

Project Evaluation Series

**Terminal evaluation of the project
“Sustainable management of bycatch in
Latin America and Caribbean trawl fisheries”
(REBYC-II LAC)**

**GCP/RLA/201/GFF
GEF ID: 621538**

Annex 1. Terms of reference

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Abbreviations and acronyms

AUNAP	Autoridad Nacional de Acuicultura y Pesca (Colombia)
BH	Budget holder
CRFM	Caribbean Regional Fisheries Mechanism
CPF	Country Programming Framework
FAO	Food and Agriculture Organization of the United Nations
FLO	Funding liaison officer
GEF	Global Environment Facility
INAPESCA	Instituto Nacional de Pesca (Mexico)
INCOPESCA	Instituto Costarricense de Pesca y Acuicultura (Costa Rica)
INVEMAR	Instituto de Investigaciones Marinas y Costeras (Colombia)
LTO	Lead technical officer
M&E	Monitoring and evaluation
MTE	Mid-term evaluation
OED	FAO Office of Evaluation
PTF	Project Task Force
PSC	Project Steering Committee
SO	FAO Strategic Objective
TOC	Theory of change
TOR	Terms of reference
WECAFC	Western Central Atlantic Fishery Commission

1. Background and context of the project

1. This document describes the terms of reference (TORs) of the terminal evaluation of the regional full-size project “Sustainable management of bycatch in Latin America and Caribbean trawl fisheries” (in hereinafter “REBYC-II LAC project”), GCP/RLA/201/GFF.
2. The REBYC-II LAC project, which has a duration of six years, was declared operational on July 2015 and will officially close in July 2021.¹ The total committed budget is USD 22 998 491, of which USD 5 800 000 were financed by the Global Environment Facility (GEF). The remaining budget represents the co-financing (whether in cash or in kind) committed by the REBYC-II LAC project’s partners and other national counterparts.² The regional project has been implemented in six countries, namely: Brazil, Colombia, Costa Rica, Mexico, Trinidad and Tobago and Suriname. FAO covers both roles of executing and implementing agency. Nevertheless, through letters of agreement (LOAs) issued for each country every year, the national fisheries entities under the coordination of the Western Central Atlantic Fishery Commission (WECAFC)³ have been accompanied FAO as executing partners being directly involved in the project implementation.
3. The FAO Office of Evaluation has carried out a mid-term evaluation (MTE) between October 2018 and June 2019. In summary, the MTE has concluded that with at times substantial differences in each country, the project was in the process of achieving its objective of creating an enabling environment for sustainable shrimp trawling fisheries implementation. The MTE has identified a series of results obtained by the REBYC-II LAC project, considered essential for the actions promoted to be sustainable over time. The MTE has also identified room for improvement and recommended relevant actions (conclusions and recommendations of the MTE are available in appendix 7).

¹ The original project NTE was February 2020. The project got a no-cost extension until 31 May 2021; and a new extension until 31 July, 2021 has been approved and is in the process of being formalized.

² Government of Brazil USD 3 154 378, Government of Colombia USD 3 701 285, Government of Costa Rica USD 200 000, Government of Mexico USD 3 582 000, Government of Suriname USD 1 685 000, Government of Trinidad and Tobago USD 1 365 828, private sector Colombia USD 1 010 000, private sector Costa Rica USD 400 000, FAO USD 400 000, WECAFC USD 1 250 000, University of West Indies and the National Oceanic and Atmospheric Administration of the Government of the United States (NOAA) USD 450 000.

³ The objective of the Western Central Atlantic Fishery Commission (WECAFC), a FAO Article VI body, is to promote effective conservation, management and development of living marine resources in the area of competence of the Commission and to address common problems faced by member countries. It has a total of 34 members (including also the European Union, some European countries and the USA). All six project countries are members. WECAFC has its headquarters in Barbados, within the FAO Subregional office for the Caribbean (FAO-SLC), which hosts the REBYC-II LAC Regional Project coordination Unit (RPCU).

Box 1. Basic project information

- GEF project ID number: 621538
- Recipient countries: Brazil, Colombia, Costa Rica, Mexico, Trinidad and Tobago, Suriname
- Implementing Agency: FAO
- Executing Agency: FAO
- GEF Focal Area: International Waters (IW)
- GEF Strategy/operational programme:
- PIF approved: 24 April 2013
- Date of CEO endorsement: 4 March 2015
- Date of PPRC endorsement: 23 March 2015
- Date of project start: 22 July 2015
- Initial date of project completion (original NTE): February 2020
- Revised project implementation end date: 31 May 2021 (no-cost extension)
- Date of Mid-Term Evaluation: June 2019 (report finalization)

1.1 Description of project, project objectives and components

Project context

4. The six countries participating in the REBYC-II LAC project – Brazil, Colombia, Costa Rica, Mexico, Suriname and Trinidad and Tobago - are sharing water and marine resources in the Pacific and Atlantic Oceans. Spanning a considerable area, there is great diversity in marine resources and fisheries in the project region. While only Suriname shows an important contribution of fisheries to national GDP, shrimp/bottom trawl fisheries constitute an important part of the total marine fisheries economy in the project countries contributing to employment, local incomes, food security and foreign exchange earnings.
5. Tropical and subtropical shrimp/bottom trawl fishing is highly multispecies and the quantity of bycatch amounts up to 10-15 times more than the quantity of the targeted (shrimp) catch (in quantity). This bycatch is composed mainly of juveniles of targeted species of other fisheries and non-targeted species, small-sized fish species and incidentally caught turtles. Furthermore, the shrimp trawling may cause destruction of sensitive seabed habitats which is a concern. In general, shrimp and other key target species in the project countries are overexploited. Because of generally decreasing catches and increasing costs of operation, many fishers find it difficult to maintain the profitability of their operations. The root causes of these problems include the economic reality of the private fisheries sector and global drivers such as growing demand for fishery products.

Needs identified during project design, by country

- i. **Brazil** was developing initiatives to strengthen the institutional and regulatory arrangements for the shrimp trawl fishery. They include creation of the Standing Consultative Committee for the Management of the Shrimp Fishery and the formulation of the National Management Plan for the Sustainable Use of Marine Shrimps.
- ii. **Costa Rica**, at the time of design, was in the process of developing a new national development plan for 2015-2019. The country has initiatives for civil society governance models, e.g. the Marine Areas for Responsible Fishing that are of interest to the REBYC-II LAC project in the context of co-management as well as the country's biodiversity protection and protected areas plans.
- iii. **Colombia's** national development plan at the time of design (Prosperidad para Todos 2010-2014), aimed to reduce poverty, increase income, generate employment opportunities, improve security and ensure the sustainable use of natural resources. The objectives include the promotion of competitive, equitable and sustainable strategies for fisheries (among other productive sectors) while fostering a decentralized administrative system to encourage full involvement of communities in development planning, including issues related to trawl fishing.
- iv. **Mexico's** national development plan 2013-2018 established a clear strategy for the transformation of the country, based on sustainable development concepts. It included a component on the need to establish a productive fisheries sector that contributed to food security and to establish sustainable practices in the fisheries sector.
- v. **Suriname's** fisheries policy includes the conservation of the biological resources of the sea and their balanced exploitation on a lasting basis and in appropriate economic and social conditions, ensuring that impact of fishing on marine ecosystems is reduced to a minimum. Specific aims of this policy include reduction of unwanted bycatch and of protected species, and increased stakeholder participation.
- vi. **Trinidad and Tobago's** government acknowledged the need to ensure sustainable use of the existing fishery resources and was at the time of design reviewing its fisheries management policy and legislation within the context of a small-island developing state.

Project framework

6. While the REBYC-II LAC project cannot easily change the macroeconomic context, it address the barriers to better management of bycatch and in this way support the sustainable development of the trawling sector and the people who depend on and are influenced by it, including also other fisheries. This includes: (i) ensuring that enabling institutional and regulatory frameworks are in place; (ii) encouraging effective management of bycatch through improved information, participatory approaches and appropriate incentives; and (iii) supporting enhanced and equitable livelihoods. The project also aims at promoting regional collaboration through existing regional fishery bodies (RFBs) such as the WECAFC.
7. The project document identifies two global objectives:
 - i. **Global Environment Objective:** reduce the negative ecosystem impact and achieve more sustainable shrimp/bottom trawl fisheries in the Latin American and Caribbean (LAC) region through implementation of an ecosystem approach to fisheries (EAF), including bycatch and habitat impact management.
 - ii. **Global Development Objective:** strengthen resilience of coastal communities through promotion of responsible fishing practices and livelihoods enhancement and diversification contributing to food security and poverty eradication.

8. To achieve these objectives, the project has been structured into four components containing several outputs and related activities, to be in six countries (Brazil, Colombia, Costa Rica, Mexico, Trinidad and Tobago and Suriname) with a certain degree of diversity given countries priorities and sector features (see appendix 2 for the full logical framework):
 - i. **Component 1:** Improving institutional and regulatory frameworks for shrimp/bottom trawl fisheries and co-management.
 - ii. **Component 2:** Strengthening bycatch management and responsible trawling practices within an EAF framework.
 - iii. **Component 3:** Promoting sustainable and equitable livelihoods through enhancement and diversification.
 - iv. **Component 4:** Project progress monitoring, evaluation and information dissemination and communication.

Contribution to FAO Strategic Objectives, FAO Country Programming Framework and GEF Objectives (GEF-5)

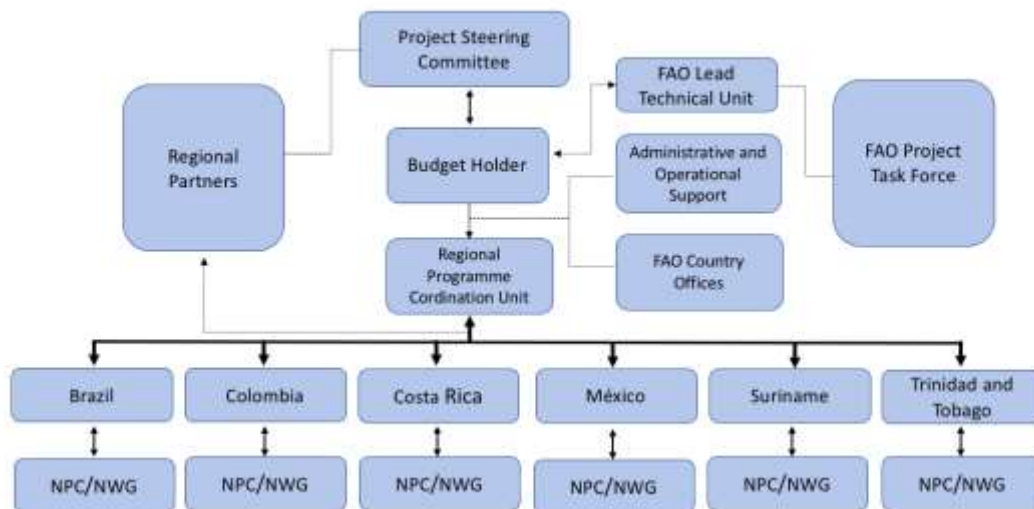
9. The project is specifically aligned with the objectives of the **GEF5 IW Objective 2:** “Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and large marine ecosystems (LMEs) while considering climatic variability and change”:
 - i. **Outcome 2.2** “Institutions for joint ecosystem-based and adaptive management for LMEs and local ICM2 frameworks demonstrate sustainability”, and
 - ii. **Outcome 2.3** “Innovative solutions implemented for reduced pollution, rebuilding or protecting fish stocks with rights-based management, ICM, habitat (blue forest) restoration/conservation, and port management and produce measureable results”.
10. The project aims at contributing to **FAO’s strategic objective (SO) 2:** Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner. Component 2 and 3 are also supposed to contribute to **SO 3** (Reduce Rural Poverty) and **SO4** (Enable more inclusive and efficient agricultural and food systems at local, national and international levels). In particular the project will support:
 - i. **Outcome 201 (SO2):** Making fisheries more productive and sustainable by addressing unsustainable fishing practices through EAF and at the same time promoting equitable distribution of benefits through enhanced understanding of the socioeconomic context of the shrimp/bottom trawl fisheries and bycatch subsectors.
 - ii. **Outcomes 202, 204:** Eliminating hunger by supporting policies and political commitments to this end and by improving the knowledge and information on the role of bycatch in food security.
 - iii. **Outcome 203:** Promoting inclusive fishery systems by introducing or strengthening co-management arrangements and supporting the implementation of the SSF Guidelines.
 - iv. **Outcome 303 (SO3):** The rural poor have greater opportunities to access decent farm and non-farm employment.
 - v. **Outcome 402:** Agribusinesses and agrifood chains that are more inclusive and efficient are developed and implemented by the public and private sectors.

Table 1. REBYC-II LAC contribution to CPFs

Country	CPF pillar
Brazil	
Colombia	1: Nutrition and fight against malnutrition 2: Natural resources and forest, land, water management 3: Social and technological innovation for sustainable agri-food systems
Costa Rica	
Mexico	A. Support for the National Crusade against Hunger / Mexico Without Hunger National Program. B. Cooperation in the formulation and evaluation of policies and in the execution of public programs to make the Mexican countryside more productive. C. Support for environmental sustainability, resilience and green economy as tools against climate change and other extraordinary risks and events. D. Encourage the presence of Mexico in the world, particularly in Latin America and the Caribbean through South-South Cooperation and Horizontal and Vertical Cooperation schemes
Suriname	Natural Resource Management, Disaster Mitigation and Resilience.
Trinidad and Tobago	Natural Resource Management, Disaster Mitigation and Resilience.

1.2 Project stakeholders and their role

11. FAO is the GEF agency responsible for supervision and provision of technical guidance during project implementation. As requested by the six participating countries during project preparation, FAO is also responsible for the financial execution and operation of the project. The project's main technical and coordination executing partner is WECAFC (an FAO Article VI body) and national co-executing partners, in close collaboration with other RFBs, NOAA and project partners including private sector fisheries associations. WECAFC has its headquarters in Barbados, within the FAO Subregional office for the Caribbean (FAO-SLC), which hosts the REBYC-II LAC Regional Project coordination Unit (RPCU).
12. A regional project steering committee (PSC) has been set up to supervise and support the coordination of project implementation. In addition, National Project Committees have been set up in each country to supervise and coordinate the implementation of national project activities. The institutional set up for project implementation is illustrated in figure 1 below and a detailed description of roles and responsibilities follows below.

Figure 1. Institutional set up

13. This project draws together a large and diverse group of stakeholders at the local, national, regional and international levels. The paragraphs below identify the main counterparts and partners categories; the evaluation team will conduct a stakeholder analysis, with the support of the national coordinator, and present it in the inception report.
14. **National authorities responsible for fisheries management:** The institutional set-ups vary from one country to another but the formal project co-executing partner in each country is the fisheries authority (see list below).
- i. **Brazil:** Secretary of Aquaculture and Fishery of the Ministry of Agriculture, Livestock and Supply.
 - ii. **Colombia:** Instituto de Investigaciones Marinas y Costeras (INVEMAR), Autoridad Nacional de Acuicultura y Pesca (AUNAP).
 - iii. **Costa Rica:** Instituto Costarricense de Pesca y Acuicultura (INCOPESCA).
 - iv. **Mexico:** Instituto Nacional de Pesca (INAPESCA), Secretaría de Agricultura, Ganadería, Desarrollo Rural, Pesca y Alimentación (SAGARPA).
 - v. **Suriname:** Ministry of Agriculture, Animal Husbandry and Fisheries.
 - vi. **Trinidad and Tobago:** Fisheries Division of the Ministry of Food Production, Land and Marine Affairs.
15. **Civil society organizations and the private sector:** Small and large-scale fishers and fish workers and related enterprises in both harvesting and accessory activities, such as postharvest processing and marketing, constitute a key group of stakeholders as they are directly concerned by the project and what the project is trying to achieve. Fishers, fish workers and communities tend to be organized in associations or civil society organizations.
16. **Regional inter-governmental organisations:** Key RFBs, besides the WECAFC include the Caribbean Regional Fisheries Mechanism (CRFM) formal partner and co-funder of the project. The CRFM collaborates with FAO in the delivery of the project, including such areas as data management, fisheries assessment, governance and management, implementation of participatory approaches, and public awareness-raising. The NOAA Fisheries Harvesting Systems Unit, based in Pascagoula Mississippi, has been actively involved in the development and evaluation of shrimp trawl bycatch reduction mitigation technologies in the Gulf of Mexico and Atlantic for more than 30 years. In this project, NOAA researchers will provide support by assisting

in project activities related to the identification and development of bycatch mitigation technologies (BRDs).

17. **Universities and research institutes in the region:** The project has planned to collaborate with the Centre for Resource Management and Environmental Studies (CERMES) of the University of the West Indies (UWI, Barbados) who provided important inputs into project design, in particular with regard to the livelihoods and gender aspects of Component 3, during project preparation. The project intends also to collaborate with Saint Mary's University (Canada), and particularly the International Community Conservation Research Network based there, specifically concerning interactions of fishery conservation initiatives, fishing community livelihoods and policy aspects. At the national level, it is expected that extensive collaboration will take place between project executing partners and relevant universities and research institutes throughout the project. Collaboration with universities and research institutes are in the form of technical support to the project from faculty members. Duke University (USA), collaborates with a Fisherfolks organization's diagnosis in Suriname.

1.3 Theory of change

18. No theory of change (TOC) was developed during the project design nor by the MTE. This FE will elaborate a TOC in consultation with the project team (including national coordinators) and include it in the inception report. As further elaborated in the methodology section, the agreed TOC will be the basis to develop in detail the evaluation approach.

2. Terminal evaluation purpose and scope

Purpose

19. The EF, which was contemplated in the project document and in accordance with GEF requirements, will be conducted with the dual purpose of accountability and learning. On the one hand, the evaluation will serve to inform the donor (GEF), regional bodies and national governments actors and counterparts in the project execution. At the same time, this exercise will have a learning purpose, since, in the process of assessing the achievement of results, their impact and the contribution to the objectives set by the REBYC-II LAC project, measures will be identified to consolidate the sustainability of the results of the project itself and in turn highlight main lessons learned that could serve future similar activities.

Scope

20. As mentioned in the introduction, the FAO Office of Evaluation (OED) has carried out the MTE of the REBYC-II LAC project between October 2018 and June 2019. Therefore, the final evaluation will evaluate the period of project execution that goes from May 2019 (considering June was dedicated to the evaluation report drafting) to the date of the investigation phase (March/April 2021), covering the activities in all project components. It will also take into consideration the first part of the project implementation, its design, and the conclusions of the MTE (2019). The evaluation will assess i) the performance of the project considering both its regional and national dimensions, ii) its results, their sustainability and transformational changes occurred in the enabling environment for sustainable shrimp trawling fisheries, iii) shortcomings as well as good practices of project implementation.
21. Regarding geographic coverage, the evaluation team will cover all six project countries and should the current COVID-19 pandemic allow, visit partners and project sites in at least three countries: Brazil, Colombia and Mexico (see the methodology section for more information on countries choice for in depth investigation). Should the current COVID-19 emergency make it possible, the project sites to be visited will be identified in consultation with the project national teams and the evaluation team, based on the criteria presented in the methodology section of this document. The evaluation inception report will present different and flexible plans for the conduct of investigation phase on the basis of the COVID-19 pandemic restrictions.

Box 2. Main purposes and intended users of the evaluation

Purpose		Intended user
Accountability: to respond to the information needs and interests of policy makers and other actors with a decision-making role.	Inform decision-making Provide accountability	Donor (GEF) FAO Management Governments involved
Improvement: Programme improvement and organization development provides valuable information for managers or others responsible for programme operations	Improve Programme	GEF coordination unit REBYC-II LAC executing partners at regional and national level Project Task Force, Project Management Unit, FAO Country Office(s) GEF project formulators
Enlightenment: In-depth understanding of the programme and its practices normally cater to the information needs and interests of programme staff and sometimes participants	Contribute to knowledge	FAO staff and future formulators and implementers

3. Evaluation objectives and questions

22. The evaluation objectives and main questions have been identified in consultation with the REBYC-II LAC project regional coordinator and national project coordination teams. Evaluation objectives and main questions are also aligned to the GEF Terminal Evaluation guidelines⁴ which indicate that the terminal evaluations should **assess at a minimum, and provide a rating, for the following areas.**⁵

23. Examples of evaluation questions for each area are provided in the table below.

i. Relevance

- Assess whether the intervention is still relevant (see MTE) in relation to the needs and expectations of the institutions involved, beneficiaries, the Country's Environmental and Development Goals, and the Strategic Objective SO2, SO3, SO4 of FAO and the GEF goals, GEF5 IW Objective 2.

ii. Effectiveness

- The extent to which the intervention achieved expected results (outputs, outcomes and impacts, including global environment benefits) taking into account the key factors influencing the results. Unexpected positive and negative results will also be assessed.
- Assess the extent to which the expected results and project objectives have been effectively achieved, their sustainability and in particular the extent to which they contribute to achieving the project objectives.
- The terminal evaluation will also include an analysis of potential impacts to the extent that they can be measured. In particular, the terminal evaluation will explore the impact the REBYC-II LAC project had in the creation of a conducive and enabling environment for sustainable shrimp trawling fisheries. It will also include an analysis of the effectiveness of the collaboration mechanisms among all parties involved.
- The evaluation will verify if the MTE recommendations (see appendix 7) were implemented and the actions taken in this regard will be assessed as their results.
- Identify the lessons learned and actions still necessary for similar future projects or a possible follow-up /expansion phase that can make a "scale-up" of the results achieved.

iii. Efficiency (including project implementation and execution)

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

iv. Sustainability

- Sustainability is understood as the continuation/likely continuation of positive effects from the intervention after it has come to an end, and its potential for scale-up and/or replication; interventions need to be environmentally as well as institutionally, financially, politically, culturally and socially sustainable.

⁴ <https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-guidelines-te-fsp-2017.pdf>

⁵ Definitions are taken from the GEF Evaluation Policy (2019)

v. Factors affecting performance

- Monitoring and Evaluation (M&E)
 - The Terminal Evaluation will assess M&E according to two main elements: M&E design and budgeting; and M&E implementation, including project reporting. The GEF Monitoring Policy (2019) will be consulted for this section.
- Stakeholder engagement
 - The Terminal Evaluation report will detail the level and quality of stakeholder engagement and the project’s partnership arrangements both at the design stage and during implementation. The Terminal Evaluation will examine three related (often overlapping) processes: (i) active engagement of stakeholders in project design, implementation of project activities and decision-making; (ii) consultations with and between stakeholders; and (iii) dissemination of project-related information to and between stakeholders. The GEF stakeholder engagement policy (2017), GEF principles and practices for engagement with indigenous people, and the GEF guidelines “Partnership in practice – indigenous people” should be consulted for this section.

24. In addition, the following aspects must have a **dedicated section in the report**, *but do not require any rating*. Examples of evaluation questions for these aspects are provided in the table below.

Environmental and Social safeguards

- i. The evaluators will assess whether appropriate environmental and social safeguards, including those on mainstreaming of gender concerns, were addresses in the project’s design and implementation. It is expected that a GEF project will not cause any harm to environment or to any stakeholder and, where applicable, it will take measures to prevent and/or mitigate adverse effects. The GEF policy on environmental and social safeguards (2019) should be consulted for this section.
- ii. As stated in the Project Document, *“In line with the Environmental impact assessment (EIA) guidelines for FAO field projects {...} considering the objectives and content of the REBYC-II LAC project, with its main intention to address existing environmental concerns, this Project is classified as category C in FAO’s environmental and social impact categorization and mitigation system. The project will not produce negative environmental impacts and an EIA is not needed. Environmental risks and mitigation measures are integral parts of the project itself and included in the risk analysis below.”*
- iii. The MTRs has confirmed the nature of the REBYC-II LAC project at finding 9 *“Environmental safeguards are key elements of the REBYC-II LAC project. One of the Project’s explicit main objective is to diminish negative environmental impact of shrimp trawling, mainly through the reduction of discards and bycatch as well as through integrated management. Furthermore, a series of social issues, or safeguards, are embedded in the project. These issues, in order to support sustainable development within the shrimp trawling sector, include specific products and expected outcomes to support enhanced and equitable livelihoods and food security issues associated to bycatch. Hence, the project has clear equity and development factors weaved in several of its expected outcomes.”*

Gender

- i. The evaluators will determine the extent to which the gender considerations were taken into account in designing and implementing the project. The evaluator should report whether a gender analysis was conducted, the extent to which the project was implemented in a manner that ensures gender equitable participation and benefits, and whether gender disaggregated

data was gathered and reported on beneficiaries. The evaluator will describe the gender analysis conducted and report on how the women benefitted from the project, especially in terms of empowerment. In case the given GEF project disadvantages or may disadvantage women, then this should be documented and reported. The evaluators should also determine the extent to which relevant gender related concerns were tracked through project M&E. The GEF gender guidelines, gender equality policy and gender implementation strategy should be consulted for this section.

Co-financing

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

Progress to Impact

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

Knowledge management (knowledge activities/products)

- i. The Terminal Evaluation will assess the effectiveness of the communication of project aims, progress, results and key messages to date along with any structured lesson-learning and experience-sharing between project partners and interested groups that has arisen from the project. Some analysis should be provided on whether communication products and activities are likely to support the sustainability of project results.

Additionality

- i. The GEF Evaluation Policy, revised in 2019, introduced the requirement that programme evaluations should assess the coherence between programme and child projects theories of change, indicators, and expected results. It also established the principle that programme evaluations should measure and demonstrate programme value added over the same level of investment made through comparable alternatives.
25. The terminal evaluation report will be structured around main evaluation questions corresponding to the above areas of analysis (see the FAO GEF projects terminal evaluations report outline).
 26. Box 3 below provides main evaluation questions for each area of analysis mentioned above. These questions have also been drafted taken into consideration specific expected results and objectives of the project at regional level. These will be further developed and broken down into sub-question by the evaluation team. Listed in an evaluation matrix with related indicators and means of verification, they will also capture specific features of project implementation at country level.

Box 3. Examples of evaluation questions

<p>1) Relevance (rating required)</p>	<p>Has there been any change in the relevance of the project since the MTE, such as new national policies, plans or programmes that affect the relevance of the project objectives and goals?</p> <p>Were the project outcomes congruent with the GEF focal International Waters, countries priorities and FAO Country Programming Framework?</p> <p>Was the project design appropriate for delivering the expected outcomes? (Review starts from what assessed at MT)</p>
<p>2) Effectiveness (rating required)</p>	<p>To what extent have the project contributed to the achievement of stated environmental and development objectives? Were intended results achieved as expected and were there any unintended results?</p> <p><i>Sub-questions are herewith included for each project outcome</i></p> <p><u>Component 1</u>: What results has the project achieved in contributing to improved institutional and regulatory frameworks for shrimp/bottom trawl fisheries and its effective co-management? (institutional/policy support – contribution analysis)</p> <p><u>Component 2</u>: What results has the project achieved in strengthening bycatch management and responsible trawling practices within the an EAF framework?</p> <p><u>Component 3</u>: What results has the project achieved in promoting sustainable and equitable livelihoods through enhancement and diversification?</p> <p>To what extent can the attainment of results be attributed to the GEF-funded component?</p>
<p>3) Efficiency (rating required)</p>	<p>(implementation) To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well risks were identified and managed?</p> <p>(execution) To what extent did FAO and its co-executing partners effectively discharge its role and responsibilities related to the management and administration of the project?</p> <p>To what has the project been implemented efficiently, cost-effectively, and management been able to adapt to any changing conditions to improve the efficiency of project implementation?</p> <p>Was the project cost-effective? How does the project cost/time versus output/outcomes equation compare to that of similar projects?</p>
<p>4) Sustainability (rating required)</p>	<p>What is the likelihood that the project results will continue to be useful or will remain even after the end of the project?</p> <p>What process has the project generated or supported that ensure sustainability?</p> <p>What are the key risks which may affect the sustainability of the project benefits?</p>
<p>5) Factors affecting performance (rating required)</p>	<p>Monitoring and Evaluation</p> <p>(M&E design) Was the M&E plan practical and sufficient?</p> <p>(M&E implementation) Did the M&E system operate as per the M&E plan? Was information gathered in a systematic manner, using appropriate methodologies?</p> <p>Was the information from the M&E system appropriately used to make timely decisions and foster learning during project implementation?</p> <p>Stakeholder engagement</p> <p>To what extent were other actors, such as civil society, indigenous population or local communities and private sector involved in project design or implementation, and what was the effect on the project results?</p>
<p>Environmental and social safeguards</p>	<p>To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?</p>
<p>Gender</p>	<p>To what extent were gender considerations taken into account in designing and implementing the project? Was the project implemented in a manner that ensures gender equitable participation and benefits as well as women empowerment?</p>

Co-financing	To what extent did the expected co-financing materialize, and how short fall in co-financing, or materialization of greater than expected co-financing affected project results?
Progress to Impact	To what extent may the progress towards long-term impact be attributed to the project? Was there any evidence of environmental stress reduction and environmental status change, or any change in policy/legal/regulatory framework? Are there any barriers or other risks that may prevent future progress towards long-term impact?
Knowledge management ⁶	How is the project assessing, documenting and sharing its results, lessons learned and experiences? To what extent are communication products and activities likely to support the sustainability and scaling-up of project results?
Additionality	(coherence) What is the coherence between the programme and its child projects theories of change, indicators and expected/achieved results? (added-value) What is the added-value of bringing the different interventions together under one programme (or over the same level of investment made through comparable alternatives)?

⁶ See for reference: Stocking, M. et al. 2018. Managing knowledge for a sustainable global future. Scientific and Technical Advisory Panel to the Global Environment Facility. Washington, DC (2018)

4. Methodology

27. The evaluation will adhere to the UNEG Norms & Standards⁷ and be in line with OED Manual and methodological guidelines and practices. The evaluation will adopt a consultative and transparent approach with internal and external stakeholders throughout the evaluation process. Triangulation of evidence and information gathered will underpin its validation and analysis and will support conclusions and recommendations.
28. The evaluation integrates the GEF criteria and requirements into the methodology, to facilitate comparison with the reports produced by the GEF and to contribute to the GEF program selection process. In this respect, the evaluation will present an assessment of GEF criteria as mentioned in section 3, also through the qualification scheme presented in section 7 and appendix 4. The evaluation will present the financial and co-financing data (see appendix 5) according to the new guide of the GEF published in May 2019, adapted to this FE.
29. The evaluation will follow a TOC approach with an emphasis on the results chain. The TOC will seek to capture the causal relationship between inputs, expected products detailed in the project's results framework, results to which they should contribute, and conditions under which they should occur. The evaluation team will elaborate a TOC in consultation with the project team (including national coordinators) and include it in the inception report. The new TOC will also include assumptions, a mapping of externalities and possible unwanted outcomes. The TOC, thus developed, will serve for the analysis of the project strategy and design.
30. Likewise, at the beginning of the evaluation process, a stakeholders mapping will be prepared with the objective of identifying additional users of the evaluation and planning the information collection phase, ensuring that all counterparts are identified.
31. To answer the key questions, an evaluation matrix will be developed in which the indicators, the evaluative criteria, the sources of information to monitor said indicators, as well as the methods and instruments that will be used to respond to the GEF criteria / requirements will be detailed. The evaluation team will further develop the main evaluation questions presented in these terms of reference (TORs) and break them down into sub-questions able to capture specific features of project implementation at country level, taking into consideration specific features of the fishery sector and project workplan in each of the six concerned countries.
32. In general, the following methods and sources will be used to collect primary and secondary data to answer the evaluation questions:
 - i. **Desk review** of the MTE report, project documents (including the GEF tracking tools), the same REBYC-II LAC information platform, semi-annual and country progress reports, PIRs, national strategic documents, regional / local governments and the organizations and institutions involved related to the issue of agro-biodiversity; technical reports and reports from FAO support missions, and any other that is identified in the course of the evaluation;
 - ii. **Semi-structured interviews** (in person or remotely) with key informants, stakeholders and participants at the regional, national and local level, public and private, based on interview protocols developed by the evaluation team.

⁷ <http://www.uneval.org/document/detail/21>

- iii. **Focus group discussions** (in presence or remotely) with Project participants and stakeholders, including local communities involved in artisanal fishery, also supported by interview protocols;
 - iv. **Direct observation** during field visits will take place if the current COVID-19 emergency allows it;
 - v. **Online surveys** of key stakeholders not interviewed;
 - vi. Technical knowledge and experience of the evaluation team.
33. Even though the evaluation will cover all six project countries, in consultation with the regional and national project coordinators, Brazil and Colombia have been selected for an in-depth assessment. This decision is based on the likelihood presented by the project implementation and the shrimp trawling fisheries specific features to generate trough ad hoc case studies important lessons learnt, useful also for other countries in the region. Should the evaluation budget allow, a national consultant will be hired for a shorth period in Mexico as well, to look more in depth at the activities implemented in the country.
34. The approach mentioned above should also limit the negative impact the current COVID-19 pandemic might have on the evaluation process and products. The hiring of national consultants at least in Brazil and Colombia will ensure that, in case of international flight restrictions or observance of a 14 days quarantine period won't hinder the possibility of direct observation at least in these two countries.
35. Always due to the current COVID-19 pandemic, the plan for the investigation phase of this evaluation is flexible. The different scenarios available, as well as measures to limit the risks of a remote evaluation process, will be detailed in the inception report. The mission to project countries, if possible, also for the evaluation team leader, will last 10 days. This phase includes a) interviews with FAO country staff and relevant national stakeholders for the project, based in the capital and b) field visits to project sites, local communities, institutions and regional associations involved, selected based on criteria illustrated below. Should this not be possible, or not possible in those countries where the evaluation will recruit national consultants, the assessment will proceed with interviews and remote surveys, ensuring as far as possible to include local actors, and secondary data analysis.
36. The selection of pilot sites for the field visits, should the national norms during the COVID-19 pandemic allow them, will be made by the evaluation team, based on consultations with the project team, the evaluation manager and according to the criteria below. The evaluation team may add criteria or reorganize the priority among them.
 - i. Level of budget execution: sites with a medium / high level of budget execution / support (range to be defined at a later stage);
 - ii. Number of activities implemented under the main products: sites with a medium / high number of activities of key activities implemented (range to be defined at a later stage);
 - iii. Level of results: sites with successful and not so successful results to identify useful lessons for future interventions.
 - iv. Sites visited during the MTE: some of the sites visited by the MTE to corroborate the evaluation of the identified results and sites not visited by the MTE to increase geographic coverage and representativeness.
37. At the beginning of the investigation phase, a protocol for the interviews will be developed according to the type of actor to be interviewed and the topic to be addressed. Special attention will be paid to ensure that women, indigenous groups and other disadvantaged groups are properly consulted. In terms of gender analysis, the evaluation team will assess the project's

contribution to the objectives presented in the FAO Gender Equity Policy⁸ as well as in the GEF Gender Policy.⁹

38. As a reference to evaluate the work carried out with local communities, the evaluation team will use the FAO Free, Prior and Informed Consent Manual (FPIC),¹⁰ taking into account that it was developed one year after the start of the REBYC-II LAC project. Together with the FAO Policy on Indigenous and Tribal Peoples¹¹ and the GEF Policy on Stakeholder Engagement, this document will serve as a reference regarding FAO's approach and processes for reaching consensus with local communities benefiting from a project.
39. The specific objectives of the project include capacity building at enabling environment, organizational and individual level. The OED Framework for evaluating Capacity Development¹² will be the basis for evaluating the measures, approach, performance, and results of the activities that were implemented throughout the project to develop capacities. The interview protocols will seek to measure the level of Knowledge, Attitudes and Practices (KAP model) of the beneficiaries.
40. To answer the question on sustainability, four main criteria will be assessed: i) beneficiaries' ownership of project results, ii) availability of resources, iii) sufficient capacities of the actors involved, and iv) conducive institutional and social environment (with respect to the FAO's capacity development framework). The table for the evaluation of the sustainability criteria is presented in appendix 6.
41. Beyond the methodological elements outlined above, final decisions about the specific design and methods for the evaluation should emerge from consultations among the project team, the evaluators, and key stakeholders about what is appropriate and feasible to meet the evaluation purpose and objectives and answer the evaluation questions.

⁸ <http://www.fao.org/3/a-i3205e.pdf>

⁹ https://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.53.04_Gender_Policy.pdf

¹⁰ <http://www.fao.org/3/I6190E/i6190e.pdf>

¹¹ <http://www.fao.org/3/I4476E/i4476e.pdf>

¹² <http://www.fao.org/3/ca5668en/CA5668EN.pdf>

5. Roles and responsibilities

42. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation.
43. The **Office of Evaluation (OED)**, in particular the Evaluation Manager develops the first draft TOR *with inputs from the Project Task Force (PTF) (including the budget holder – BH - and the lead technical officer – LTO, regional and national coordinators), the funding liaison officer - FLO - and the GEF coordination Unit in FAO HQ (GCU)* and using the guidance of OED's templates. The Evaluation Manager is responsible for the finalization of the TOR and for the selection of the evaluation team members.¹³ OED has the responsibility of following up with the BH for the timely preparation of the management response and the follow-up report to the management response.
44. The **Budget Holder** is responsible for initiating the evaluation process. Together with the project **LTO**, they assist the Evaluation Manager in drafting the TOR, in the identification of potential consultants and in the organization of the missions. The BH will provide the evaluation team with all project documents (see *appendix 1*) needed for the terminal evaluation. The BH is also responsible for sharing the terminal evaluation report with the GEF Operational Focal Point, the Execution Partner, the project team and national partners and for leading and coordinating the preparation of the FAO Management Response and the Follow-up Report, fully supported in this task by the LTO and others members of the PTF. OED guidelines for the Management Response and the Follow-up Report provide necessary details on this process. Involvement of different members of the PTF will depend on respective roles and participation in the project.
45. The **GEF Coordination Unit (in particular the FLO)** is responsible for initiating the evaluation process, providing inputs to the first version of the Terms of Reference, especially the description of the background and context chapter, and supporting the evaluation team during its work. They are required to meet with the evaluation team, make available information and documentation as necessary (see *appendix 1*), and comment on the terms of reference and draft reports.
46. The country level **GEF Operational Focal Point** (OPF). According to the GEF Evaluation Policy (2019), Minimum Requirement 4 (Engagement of Operational Focal Points), "the OPF will be informed of midterm reviews and terminal evaluations and will, where applicable and feasible, be briefed and debriefed at the start and at the end of evaluation missions. They will receive a draft report for comment, will be invited to contribute to the management response (where applicable), and will receive the final evaluation report within 12 months of project or programme completion". "The GEF OFPs play a key role in facilitating access to staff members of government institutions involved in GEF projects during evaluations. They may promote the use of, follow-up to, and action on evaluation recommendations related to GEF matters and directed at the regional, national, and project levels. They also play an important role in keeping national stakeholders (including the civil society organizations involved in GEF activities) fully consulted with, informed on, and involved in the plans, conduct, and results of country-related GEF evaluation activities".
47. The **Evaluation Manager** shall brief the evaluation team on the evaluation methodology and process and will review the final draft report for Quality Assurance purposes in terms of presentation, compliance with the TORs and timely delivery, quality, clarity and soundness of

¹³ The responsibility for the administrative procedures for recruitment of the team, will be decided on a case-by-case basis.

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

48. The **evaluation team** is responsible for further developing and applying the evaluation methodology, for conducting the evaluation, and for producing the evaluation report. All team members, including the evaluation team leader, will participate in briefing and debriefing meetings, discussions, field visits, and will contribute to the evaluation with written inputs for the final draft and final report. The evaluation team will agree on the outline of the report early in the evaluation process, based on the reporting outline provided in *Annex 1* of this TOR. The evaluation team will also be free to expand the scope, criteria, questions and issues listed above, as well as develop its own evaluation tools and framework, within time and resources available and based on discussions with the Evaluation Manager, and consultations with the BH and PTF where necessary. The evaluation team is fully responsible for its report which may not reflect the views of the Government or of FAO. An evaluation report is not subject to technical clearance by FAO although OED is responsible for Quality Assurance of all evaluation reports.
49. The **evaluation team leader** guides and coordinates the evaluation team 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.
50. For further details related to the tasks of the evaluation team leader and evaluation team members, please refer to their specific job descriptions prepared at the time of their recruitment.

6. Evaluation team composition and profile

51. The evaluation team will be made up of one international/ regional independent consultant and two/three national consultants.
52. The evaluation team as a whole will have the following capabilities:
 - i. Experience evaluating international cooperation development programs;
 - ii. Knowledge generation and management at policy level;
 - iii. Livelihoods enhancement and diversification;
 - iv. Civil society participation to policy making;
 - v. Sustainable shrimp/bottom trawl fisheries in the Latin American and Caribbean (LAC) region;
 - vi. EAF, including bycatch and habitat impact management;
 - vii. Knowledge of the institutional and regulatory frameworks for shrimp/bottom trawl fisheries and co-management in at least one of the following countries: Brazil, Colombia, Costa Rica, Mexico, Suriname, and Trinidad and Tobago;
 - viii. Enabling environment improvement for policy implementation and adoption of sustainable practices by local communities;
 - ix. Sustainable management of biodiverse ecosystems;
 - x. Gender, interculturality and social inclusion approach;
 - xi. Indigenous Peoples and traditional communities;
 - xii. Familiarity with FAO and GEF policies and project implementation/ evaluation requirements.
53. The evaluation team will not have prior direct involvement in the formulation, execution or support of the project and will sign the FAO/OED Declaration of Interests form.

7. Evaluation products (deliverables)

54. This section describes the key evaluation products the evaluation team will be accountable for producing.

55. At the minimum, these products should include:

Inception report: an inception report should be prepared by the evaluation team before going into the fully-fledged data collection exercise. It should include a stakeholders mapping, a revised TOC, an evaluation matrix showing how each evaluation question will be answered through indicators, methods, sources of data and data collection procedures. The inception report should also include a flexible plan, with different scenarios, for the investigation phase as mentioned in the methodology section.

- i. ZERO draft evaluation report: a clear, concise (40-50 pages excluding appendices and annexes), professionally-written and high-quality draft evaluation report is expected. It should be written in English and composed in accordance with the FAO Style of Writing. For reference, samples of FAO evaluation reports can also be accessed at <http://www.fao.org/evaluation/library/>. The Zero draft should be sent by the evaluation team to OED for comments, peer review and clearance, and will then be circulated by OED for comments to internal and external stakeholders (BH, FLO, LTO, GCU, project team, executing partner, PSC members, key project partners).
- ii. COUNTRY reports from the in depth-assessment in Brazil and Colombia. The structure of these reports will be determined by the evaluation team in consultation with the Evaluation Manager - They will be annexed to the evaluation report and inform its sections.
- iii. FINAL evaluation report: this is the result of the incorporation of comments received on the zero draft. The final report will be submitted by OED to all the stakeholders, and will be revised by an editor and graphic designer, before publication on OED website.
 - The evaluation report should be prepared in MS Word Format and submitted electronically by the evaluation team leader to OED. As the main author of the report, OED will have the final decision as to how the report should be composed.
 - Supporting Evidence – Electronic or hard copies of the survey data and report, minutes or notes of interviews and discussions, and other sources of the primary data/information collected by the evaluation team and used in the report should be sent to OED. Sources of secondary data/information used in the report should be cited in the footnotes and included in the list of documents reviewed which is appended in the evaluation report.
 - The evaluation report should include an Executive Summary and illustrate the evidence found that responds to the evaluation questions listed in the TOR. The executive summary should include the following paragraphs, in order to update the GEF Portal: i) Information on Progress, challenges and outcomes on stakeholder engagement; ii) Information on Progress on gender-responsive measures; iii) information on knowledge activities / products.
 - Evaluation reports should have numbered paragraphs, following the GEF OED reporting outline (see *annex 1*). Supporting data and analysis should be annexed to the report when considered important to complement the main report.
 - Evaluation briefs and other knowledge products or participation in knowledge sharing events, if relevant.

- The evaluation report should include the GEF rating table:¹⁴

FAO - GEF rating scheme	Rating	Summary comments¹⁵
1) RELEVANCE		
Overall relevance of the project	HS→HU	
2) EFFECTIVENESS		
Overall assessment of project results	HS→HU	
Outcome 1	HS→HU	
Outcome 2	HS→HU	
Outcome 3	HS→HU	
3) EFFICIENCY, PROJECT IMPLEMENTATION & EXECUTION		
Overall quality of project implementation & adaptive management (implementing agency)	HS→HU	
Quality of execution (executing agencies)	HS→HU	
Efficiency (incl. cost effectiveness and timeliness)	HS→HU	
4) SUSTAINABILITY		
Overall sustainability	L→U	
5) FACTORS AFFECTING PERFORMANCE (M&E and Stakeholder engagement)		
Overall quality of stakeholder engagement	HS→HU	
Overall quality of M&E	HS→HU	
M&E design at project start up	HS→HU	
M&E plan implementation	HS→HU	

¹⁴ See appendix 4 for more information on GEF ratings

¹⁵ Include hyperlink to relevant sections in the report

8. Evaluation timeframe

56. The evaluation will take place between February and June/July 2021. The following table provides more details on the tasks to be carried out.

Task	Period	Responsibility
Team identification and recruitment	January/February 2021	Evaluation Manager
TOR preparation	January 2021	Evaluation Manager, LTO, FLO and GCU
TOR finalization	Early February 2021	Evaluation Manager
Briefing of evaluation team	Mid-February 2021	Evaluation Manager, GCU, LTO, FLO
Inception report	Mid-March 2021	Evaluation team
Reading background documentation	March 2021	Evaluation team
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	March 2021	Evaluation Manager, project team/country office and evaluation team
Data collection and preliminary findings presentation	March/ April 2021	Evaluation team with support of Evaluation Manager and PMU/country office
Production of first draft for OED review	Early May 2021	Evaluation team
Circulation of first draft for comments (BH, LTO, FLO, project team, GCU, key national partners, PSC members, EP)	Mid-May 2021	Evaluation Manager
Integration of comments and production of the final report	June 2021	Evaluation team
Circulation of final report and publication	June/July 2021	Evaluation Manager
Management response	1 month after the Final report is issued	BH
Follow-up report on terminal evaluation	1 year after the management response is issued	BH

Annexes & appendices

Annex 1. FAO-GEF terminal evaluation reporting outline (separate document)

Appendix 1. Overview of the available documents

A list of important documents and webpages that the evaluators should read at the outset of the evaluation and before finalizing the evaluation design and the inception report. This list should include all GEF M&E and Evaluation guidelines. The list should include the documents that have been provided to the evaluation team, such as:

1. Project Identification Form (PIF)
 2. Comments received from GEF Secretariat, the GEF Scientific and Technical Advisory Panel (STAP) and the GEF Council members on the project's design and FAO's responses
 3. FAO Concept Note, and FAO Project Review Committee report
 4. Request for GEF CEO Endorsement
 5. FAO-GEF Project Preparation Grant (PPG) document¹⁶
 6. Project Document
 7. Project Inception Report
 8. Six-monthly FAO project progress reports (PPR)
 9. Annual work plans and budgets (including budget revisions)
 10. All annual GEF Project Implementation Review (PIR) reports¹⁷
 11. Any documentation detailing any changes to the project framework and project components, e.g. changes to outcomes and outputs as originally designed
 12. List of stakeholders
 13. List of project sites and site location maps (for planning the mission itineraries and fieldwork)
 14. Execution Agreements in case under Operational Partners Implementation Modality (OPIM) and LOAs
 15. Relevant technical, backstopping, and project supervision mission reports, including Back to the Office Reports (BTOR) of relevant project and FAO staff, including any reports on technical support provided by FAO HQ or regional office staff
 16. Minutes of the meetings of the PSC, FAO PTF and other relevant meetings
 17. Any Environmental and Social Safeguards analysis and mitigation plan produced during project design period and online records on FPMIS
 18. Any awareness raising and communications materials produced by the project, such as brochures, leaflets, presentations given at meeting, address of project website, etc.
 19. FAO policy documents e.g. related to FAO Strategic Objectives and Gender
 20. All other monitoring reports prepared by the project
 21. Finalized GEF focal area tracking tools at CEO endorsement and updated tracking tools at midterm for GEF-5 projects or review of contribution to GEF-7 core indicators (retrofitted) for GEF-6 projects, and GEF-7 core indicators for GEF-7 approved projects
 22. Financial management information including: an up-to-date co-financing table; summary report on the project's financial management and expenditures to date; a summary of any financial revisions made to the project and their purpose; and copies of any completed audits for comment (as appropriate).
 23. GEF Gender Policy, GEF Gender Implementation Strategy, GEF Guidelines on Gender Equality, and GEF Guide to advance Gender Equality in GEF projects and Programmes
 24. Mid-Term Review/Evaluation report and Management Response
 25. FAO Country/Countries Programme Framework document; FAO Guide to the Project Cycle; FAO Environment and Social Management Guidelines and Policy; FAO Policy on Gender Equity; Guide to mainstreaming gender in FAO's Project Cycle; and Free, Prior and Informed Consent (FPIC) Manual
- In the case of Programmes*
26. CEO endorsement/approval of child projects under the programme
 27. Programme Framework Document (PFD) and child projects titles or concepts

¹⁶ Applicable to full-sized projects, medium-sized projects, and projects under Programmes for which Project Preparation Grant (PPG) was approved by the GEF.

¹⁷ A Project Progress Report (PPR) is an FAO requirement, due every six month, with deadlines on 31 July for a reporting period from 1 January to 30 June, and on 31 January for a reporting period from 1 July to 31 December every year. The Project Implementation Report (PIR) is a GEF requirement, due every year (usually from July) until project closure for projects that have been under implementation for one year or longer.

Appendix 2. Project results framework

Global Environment Objective: reduce the negative ecosystem impact and achieve more sustainable shrimp/bottom trawl fisheries in the Latin American and Caribbean (LAC) region through implementation of an EAF, including bycatch and habitat impact management.

Global Development Objective: strengthen resilience of coastal communities through promotion of responsible fishing practices and livelihoods enhancement and diversification contributing to food security and poverty eradication.

The logical framework presented below has been tailored in each country involved according to needs and features of the sector at national level. This has resulted in slight changes to certain activities or products, remain overall results and objectives the same across all countries.

Component 1: Improving institutional and regulatory frameworks for shrimp/bottom trawl fisheries and bycatch co-management			
Outcome 1.1. Strengthened regional collaboration on shrimp/bottom trawl fisheries and bycatch management.			
Output 1.1.1. Best bycatch management practices in line with the B&D and SSF Guidelines disseminated to all countries in the region.	Output 1.1.2. Regional strategy for shrimp/bottom trawl fisheries and bycatch management agreed and under initial implementation.		
Outcome 1.2. Improved legal and institutional frameworks in the project countries for shrimp/bottom trawl fisheries and bycatch co-management and EAF.			
Output 1.2.1. National legal frameworks for shrimp/bottom trawl fisheries and bycatch co-management reviewed and amended.	Output 1.2.2. Institutional structures for EAF and co-management of shrimp/bottom trawl fisheries and bycatch in place.		
Component 2: Strengthening bycatch management and responsible trawling practices within an EAF framework			
Outcome 2.1. Selected key shrimp/bottom trawl fisheries in the region are successfully co-managed through EAF (including bycatch/discards considerations).			
Output 2.1.1. Information on bycatch (species, volumes, bottom impacts) and monitoring systems improved in selected fisheries (both small and large-scale) in project areas, supporting EAF and co-management, and information-sharing among countries.	Output 2.1.2. Alternative fishing methods, BRD technologies and other management measures identified and adopted by fishers.	Output 2.1.3. EAF training provided and participatory management planning process operational in all six project countries.	
Outcome 2.2. An enabling environment created including incentives and promoting responsible practices by trawl operators.			
Output 2.2.1. Drivers of bycatch and discard practices investigated and understood and potential incentives identified for bycatch management.	Output 2.2.2. New products tested, using sustainable bycatch, with a view to reducing discards.		

Component 3: Promoting sustainable and equitable livelihoods through enhancement and diversification			
Outcome 3.1. Capacities and opportunities for enhanced sustainable and diverse livelihoods created and gender equality promoted.			
Output 3.1.1. Value chain analysis with focus on the utilization of bycatch and the roles of gender and vulnerable groups carried out.	Output 3.1.2. Existing and potential non-fisheries livelihood alternatives for both men and women identified along the value chain, and capacity building support provided accordingly, including promotion of decent work.	Output 3.1.3: Community organizations strengthened, allowing for participatory processes (at household and enterprise level) leading to desired livelihood changes.	
Component 4: Project progress monitoring, evaluation and information dissemination and communication			
Outcome 4.1. Project implementation based on results-based management and application of project findings and lessons learned in future operations.			
Output 4.1.1. Project monitoring system operating and providing systematic on- progress information related to project outcome and output targets in all countries.	Output 4.1.2. Mid-term and final evaluation conducted and project implementation adjusted according to recommendations	Output 4.1.3. Project-related “best-practices” and “lessons-learned” published and disseminated in all project countries.	

Appendix 3. GLOSSARY

(Source: GEF Evaluation Policy, 2019)

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

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

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

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

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

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

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

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

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

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

GEF Operational Focal Point:¹⁸ nominated by the recipient country, the GEF Operational Focal Point ensures that GEF proposals and activities in the country are consistent with country priorities and the country commitments under global environmental conventions; identifies project ideas to meet country priorities; endorses project proposals; facilitates broad based in-country consultations on GEF operational matters; and provides feedback on GEF activities, including implementation of projects.

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

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

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

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

¹⁸ See <https://www.thegef.org/sites/default/files/council-meeting-documents/C.8.Inf..5.5.pdf>

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix 4. GEF ratings

PROJECT RESULTS AND OUTCOMES

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

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

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

PROJECT IMPLEMENTATION AND EXECUTION

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

Rating	Description
Highly Satisfactory (HS)	There were no shortcomings and quality of 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 .

MONITORING AND EVALUATION

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

- Design
- Implementation

SUSTAINABILITY

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

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

Appendix 5. Financial data

GEF financing table

CO-funder name	Co-funder type ¹⁹	Co-finding type ²⁰	Co-finding agreed upon at CEO endorsement (in USD)			Materialized co-financing at project end (in USD)		
			In kind	Cash	Total	In kind	Cash	Total
Total								

GEF grant by Project component and result

	Total at CEO endorsement		Total at the end of the project	
	%	(USD '000)	%	(USD '000)
Component 1:				
Outcome 1.1				
Outcome 1.2				
Subtotal				
Component 2:				
Outcome 2.1				
Outcome 2.1				
Subtotal				
Component 3:				
Outcome 3.1				
Subtotal				
Component 4:				
Outcome 4.1:				
Subtotal				
TOTAL PROJECT COST				

¹⁹ Some examples of categories include: local, provincial or national government; autonomous semi-governmental institutions; private sector, multilateral or bilateral organizations; educational and research institutions; non-governmental organizations; Civil society organizations; foundations; beneficiaries; GEF agencies; and others (please explain).

²⁰ Scholarships; loans; beneficiary (individual) cash shares; guarantee; material contributions in kind; and others (please explain).

Appendix 6. Sustainability assessment criteria

Rating	Sustainability criteria			
	Beneficiaries ownership	Sufficient capacities	Availability of resources	Enabling institutional and social environment
1	No beneficiaries or national/local institutions ownership.	No capacities in place.	Donor investment but no national investment.	Legal and regulatory framework absent or very limited in terms of national policies, strategies and programs. No support from sector institutions.
2	Some stakeholders show ownership but not ownership at national and local authorities level	Temporary capacities in place but no capacities to sustain changes after the project	National and cooperative investment low	Existing legal and regulatory framework, but with various gaps and inconsistencies. Limited support from sector institutions for implementation
3	Good beneficiaries' ownership, variable ownership of national and local authorities, as well as of other local actors from sector institutions devoted to implementation.	Capacities in place but limited to sustain changes after the project	National investment and significant donors' investments	Sufficient legal and regulatory framework, but with some gaps and inconsistency. Some support from sector institutions for implementation.
4	High beneficiaries national and local authorities' ownership, as well of other local actors	Sufficient capacities in place. Special efforts should be made to ensure their continuity and sustainability	Sufficient national investment and cooperation	Sufficient legal and regulatory framework, with limited to good coherence Variable support from sector institutions

Appendix 7 – MTE conclusions and recommendations

Conclusions

Conclusion 1. The project remains relevant and its overall strategy is pertinent and in alignment with each country's priorities, as well as GEF and FAO priorities. This has aided in fostering high-level country ownership in most countries, but it has also caused imbalances in implementation resulting in countries performing at different levels.

Conclusion 2. The Project design logic is appropriate, although overly ambitious at times, and applied in countries with widely differing situations as they relate to fisheries and to shrimp trawling. This ambitiousness in design is having lasting impacts on implementation, hindering execution in some countries and resulting in several countries underperforming.

Conclusion 3. Notwithstanding issues in design and implementation difficulties, overall the project has had a series of achievements, mainly at the output levels, but also some achievements in terms of effects.

Conclusion 4. Regional project coordination has been efficient and effective, but it has been negatively affected by administrative and financing issues.

Recommendations

Recommendation 1. To FAO and GEF: For future programming, design of projects should be streamlined based on initial assessments and include suitable financing.

Recommendation 2. To the country partners, coordination unit and FAO: Review log frame and adjust expected outputs vis-à-vis time left to implement. For the Regional Coordination, review expected outputs and streamline in order to properly budget not only the expected products but also funds for staffing, coordination activities, etc.

Recommendation 3. To Technical Team, FAO: It is necessary to include other gears that catch shrimp to estimate the carrying capacity of the fishery at a sustainable level.

Recommendation 4. To Coordination Unit, FAO and GEF: Establish if there is a need for a no-cost extension and begin to generate the mechanisms for requesting it if needed.

Recommendation 5. To Project Coordination and FAO: Encourage all project main stakeholders at the national level to understand the link between products and expected outcomes, as well as the results-based nature of a project such as this.

Recommendation 6. To Project Coordination and country-level partners: Generate knowledge management products and user – friendly materials, especially in order to reach stakeholders at different levels (policy and decision – makers, fishers, etc.).

Recommendation 7. To the Project partners at the national level and to Regional Coordination: Concrete actions that would make the project more sustainable need to be fostered and implemented as soon as possible.

Recommendation 8. To FAO: Streamline and accelerate administrative and operational mechanisms in order to be more efficient in project implementation and harmonize administrative issues at the various levels at which the Project operates.

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