

Project Evaluation Series
[25/2023](#)

**Terminal evaluation of the project
“Payments for Ecosystem Services to
Support Forest Conservation and
Sustainable Livelihoods”**

**Project code: GCP/MOZ/117/GFF
GEF ID: 5516**

Annex 1. Terms of reference

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Abbreviations

BH	budget holder
CBNPMC	community-based natural resources management committees
CTA or LTO	Chief Technical Advisor/Lead Technical Officer
DINAB	National Directorate of Environment
DINAF	National Directorate of Forest
DPTA	Provincial Directorate for Territorial Development and Environment
DPTADER	Provincial Directorate of Land, Environment and Rural Development
DST	OED Decentralization Support Team
FAO	Food and Agriculture Organization of the United Nations
FNDS	National Fund for Sustainable Development
FPIC	free, prior and informed consent
GCU	GEF Coordination Unit
GEBs	Global Environmental Benefits
M&E	monitoring and evaluation
MTR	mid-term review
NGO	non-governmental organization
OED	FAO Office of Evaluation
OFP	Operational Focal Point
PES	Payment for Ecosystem Services
PTF	Project Task Force
RAF	Regional Office for Africa
REDD+	Reducing Emissions from Deforestation and Forest Degradation
RES	Regional Evaluation Specialist
SDAE	District Services for Economic Activities
SDG	Sustainable Development Goal
SPA	Provincial Services of Environment
STAP	Scientific and Technical Advisory Panel
TOC	theory of change
TOR	terms of reference
UNEG	United Nations Evaluation Group
ZILMP	Zambézia Integrated Landscape Management Program

1. Background and context of the project

1. The project “Payments for Ecosystem Services to Support Forest Conservation and Sustainable Livelihoods”, is a five-year project signed between the Government of Mozambique through the former Ministry of Land, Environment and Rural Development, now called Ministry of Land and Environment and the Food and Agriculture Organization of the United Nations (FAO) in October 2017. It is set to end in August 2022.
2. Mozambique’s forest ecosystem covers about half the country’s surface area: it holds a significant livelihood value to local, often rural, communities. Today, forest ecosystem goods and services to rural communities are threatened by the deforestation and forest degradation caused by shifting cultivation and unsustainable timber and charcoal exploitation as well as uncontrolled forest fires. This threatens globally important biodiversity and increases greenhouse gas emissions, thereby robbing local communities of the benefits they would have received from legal forest harvesting activities.
3. Over the past two decades, Mozambique developed a number of laws, policies, strategies, programmes and action plans addressing conservation and sustainable management of the country’s natural forests, as well as mechanisms for sharing revenues of commercial forestry and wildlife conservation activities with local communities.
4. Implementation of this existing legal and regulatory framework remains a challenge. This is why the project, in line with the Scientific and Technical Advisory Panel (STAP) 2010 guidance for the design of Payment for Ecosystem Services (PES) projects, seeks to support government-financed multiple service payments for forest ecosystem services. It particularly seeks to address the four main threats to PES effectiveness: (i) non-compliance; (ii) poor administrative selection; (iii) spatial demand spill-overs (“leakage”); and (iv) adverse self-selection.

Box 1. Basic project information

- Global Environmental Facility (GEF) project ID number: 5516
- Recipient country: Mozambique
- Executing partners: Ministry of Land and Environment (former Ministry of Land, Environment and Rural Development) through: National Directorate of Forest (DINAF); National Directorate of Environment (DINAB); Decentralized government services at provincial level (Provincial Services of Economics Activities, former Provincial Directorate of Agriculture and Food Security – DPASA) and the Provincial Directorate for Territorial Development and Environment (DPTA), the District Government of the four Districts through the District Services for Economic Activities (SDAE) and the Ministry of Agriculture and Rural Development through the National Fund for Sustainable Development (FNDS).
- Date of project start and expected end: 25 August 2017 and 24 August 2022
- Date of mid-term evaluation: June 2021

1.1 Description of project, project objectives and components

5. The project was endorsed by the CEO and Chairperson of the GEF in October 2016 with a total budget of USD 3 637 748, and it became operational in August 2017 when the funding agreement was operationalized. According to the project document, the project was to be implemented in seven districts (Alto Molocué, Maganja da Costa, Mocubela, Mulevala, Pebane, Íle e Gilé) of Zambézia Province (Figure 1), progressively. Indeed, the project began

7. The project is closely aligned with a government flagship programme, the Zambézia Integrated Landscape Management Program (ZILMP), which works on Reducing Emissions from Deforestation and Forest Degradation (REDD+) in the same seven districts as this Global Environment Facility (GEF) funded project. ZILMP is funded by the Government of Mozambique through a grant of the Forest Investment Program.
8. In addition, The GEF funds were meant to make the existing forest and wildlife revenue sharing mechanism more equitable and transparent, and to design a new PES element: all PES payments to local communities were to be funded through the existing government forest revenue sharing mechanism, which is not conditional on local communities' environmental performance at present, thereby enhancing the likely sustainability of the mechanism.
9. The direct Global Environmental Benefits (GEBs) to be generated by the project are the avoided deforestation of 6 840 ha of diverse Miombo forest ecosystems and 1.49 million tonnes of CO₂ equivalent worth of emissions related to deforestation and degradation. The project will also generate indirect GEBs, through integrating PES in a national forest and wildlife revenue sharing mechanism, thus helping to mainstream biodiversity conservation into the country's development policy framework.
10. The project has four components:
 - i. The first is the improvement of an existing national forest and wildlife revenue sharing mechanism by making it more transparent and equitable and by integrating a Payment for Ecosystem Services (PES). Under this component, the project is developing i) a common set of rules for investing in, provision of, and compensation for ecosystem services, and ii) promoting their adoption by existing government sector funds and revenue sharing mechanisms, including forestry, mining, tourism, agriculture, fisheries, energy, environment and infrastructure. In this way, the project contributes to mainstreaming biodiversity conservation into the country's development policy framework.
 - ii. The second component seeks to strengthen the institutional capacity of the Ministry of Land and Environment. This ministry is in charge of natural forest management, and decentralized government bodies, NGOs and local communities; the ministry is expected to manage the improved revenue sharing mechanism, including the PES element. This involves developing institutional capacities and operating procedures, as well as training individuals.
 - iii. The third component, which builds upon the PES rules developed under the first component, concerns the detailed design and practical testing of the improved government forest and wildlife revenue sharing mechanism in Zambézia Province. Under the improved revenue sharing mechanism, payments will become conditional on environmental performance of communities. The improved mechanism will be operationalized in four districts. On-the-job training for district and provincial government officials involved in implementing this component will further enhance the institutional capacity developed under the second component.

- iv. The fourth component will implement a sound monitoring and evaluation framework – to track project progress and measure impacts on the health of ecosystems and on people’s well-being. Special attention will be given to women’s roles, constraints and opportunities in decision-making and benefit sharing in all components through the development and implementation of a gender strategy.
11. A mid-term review of this project was carried out in September 2020 and published in June 2021. Through the management response, the majority of recommendations were accepted. Indeed, the MTR suggested to adjust the project’s theory of change and results framework (including knowledge management), to promote interactions with other GEF-funded projects and partners such as DINAF, to secure resources for the sustainability of activities through consolidation of Savings and Revolving Credit Groups for increased institutional capacity development. These will be used as a basis for the final evaluation.

1.2 Project stakeholders and their role

12. Table 1 presents a list of stakeholders with the key partners and stakeholders involved in the project implementation, including the executing agencies and partners, local groups and beneficiaries. The table also outlines the role each plays in the project. A more detailed stakeholder matrix will be updated by the Evaluation Team during the inception phase.

Table 1. Main stakeholders

Key stakeholders	What is their role?	What is their role in the project?
1. Active stakeholders with direct responsibility for the project		
National Directorate of Forest (DINAF)	Responsibility of forest and wildlife licensing, conservation and inventory outside conservation areas.	Executing partner
National Fund for Sustainable Development (FNDS)	Fosters and promotes activities designed to ensure sustainable development and climate change adaptation and mitigation.	Executing partner
National Directorate of Environment (DINAB)	Promote policies, plans and norms for the correct use of the environment and for environmental quality control (mainly air, water and soil); disseminate information, materials and tools aiming to contribute to proper environmental management.	Executing partner
Decentralized government services at provincial level (former Provincial Directorate of Land, Environment and Rural Development [DPTADER], now subdivided into two bodies, namely: Provincial Services of Environment [SPA] and the Provincial Directorate for Territorial Development and Environment [DPTA]).	Their main responsibilities include the administration, management, protection and conservation of natural resources associated with agricultural activities, in particular land, water, forests, domestic animals and wildlife; the promotion of agricultural production, agro-industry and commerce agricultural inputs and products; development of agriculture research and extension services and technical assistance to farmers.	Executing partner

Key stakeholders	What is their role?	What is their role in the project?
The District Government of the four districts through the District Services for Economic Activities (SDAE)	Undertake agriculture and other economic activities at the district level and the District Services for Planning and Infrastructure (SDPI) responsible for environmental and planning activities at district.	Executing partner
FAO (budget holder [BH], Project Task Force [PTF])	Funding agency and provide technical assistance.	Technical assistance
2. Active stakeholders with authority to make decisions on the project, e.g. members of the Project Steering Committee (PSC)		
DINAF	Responsibility of forest and wildlife licensing, conservation and inventory outside conservation areas	Project Steering Committee (PSC) member
FNDS	Fosters and promotes activities designed to ensure sustainable development and climate change adaptation and mitigation.	Project Steering Committee (PSC) member
FAO (BH, PTF)	Funding agency and provide technical assistance	Technical assistance
Zambezia Province Representative	Beneficiary province and main responsibilities include the administration, management, protection and conservation of natural resources associated with agricultural activities, in particular land, water, forests, domestic animals and wildlife	Beneficiary
Ministry of Gender, Children & Social Action	Responsible for mainstreaming in issues related to gender	Stakeholder
3. Secondary stakeholders (only indirectly or temporarily affected)		
Former National Directorate for Agricultural Extension (DNEA), now called Agriculture and Extension Development Fund	Responsible for extending and disseminating practices, technologies and knowledge aiming at increasing crop yields, production and the income of farming communities.	Executing Partner
Former National Directorate of Agriculture and Silviculture (DINAS), now called National Directorate for Family Farming Support	Responsible for applying the laws related to development of forest plantation and related activities.	Executing partner
Private sector (e.g. cashew nut traders, forest and wildlife operators and forest plantation companies)	Payment for Environmental Services.	Stakeholders
BIOFUND	The income of the trust fund is allocated to Mozambique's conservation area network, based on criteria and conditions set by the various stakeholders who include the National Administration of Conservation Areas (ANAC), donors, local governments, communities, and others.	Stakeholder
Ministry of Economy and Finance	Responsible for guiding the allocations of financial resources at sectorial as well as territorial level.	Stakeholder
World Bank		Partner
PROAZUL and FDA	Responsible for the licensing and revenue sharing of the funds in the mining and energy sectors.	Partner

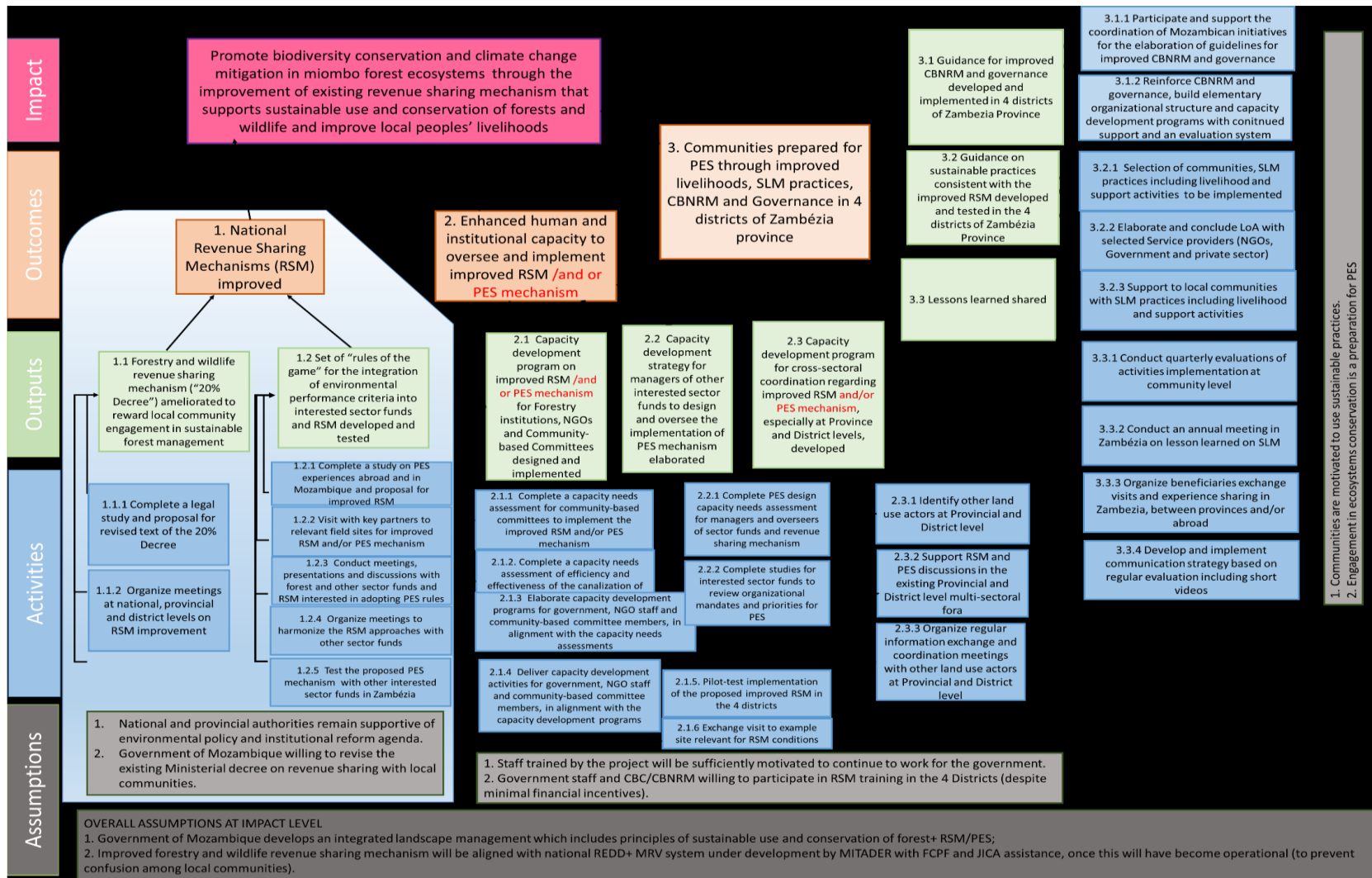
Key stakeholders	What is their role?	What is their role in the project?
National Network for CBNRMC		Partner
4. Stakeholders at grassroots level who benefit directly or indirectly from the intervention (gender disaggregated where possible)		
26 Natural Resources Management (NRM) Committees (from the selected communities: Mocubela-sede, Gunguro, Murrua, Mulevala sede, Nante, Bala, Namahipe, Naico, Nahetxe, Moneia, Txalane, Naburi, Impaca, Gingama, Muzo and Mulela)	Receive funds under the existing government forest tax revenue sharing mechanism.	Beneficiary
Producers	Beneficiaries implementing project activities.	Beneficiaries

Source: Elaborated by the Evaluation Team.

1.3 Theory of change

13. Reconstructed during the MTR, the theory of change elaborated then will be used by the final Evaluation Team, after review: it will serve as a foundation to understand the project.
14. The objective of the project is to: "promote biodiversity conservation and climate change mitigation in Miombo forest ecosystems through the improvement of existing revenue sharing mechanism that, supports sustainable use and conservation of forests and wildlife and improve local peoples' livelihoods." The objective of the project suggests that two elements are important to be attained: 1. biodiversity conservation (via reducing deforestation and forest degradation, protection of wildlife), and 2. improve local people's livelihood through a benefit-sharing mechanism. The original Logical Framework assumed that forests and wildlife will generate (monetary) benefit through selling of goods (e.g. timber, honey, mushrooms) and services (e.g. CO₂, water conservation). It was also assumed that an existing legal sharing mechanism would be improved and accepted as a national decree and put in place and operational to facilitate the delivery of the community shares. These assumptions led to the following theory of change.

Figure 2. Theory of change



Source: Elaborated by the Evaluation Team.

2. Terminal evaluation purpose and scope

15. The final evaluation has a dual purpose: accountability and learning (Improvement and Enlightenment). On the one hand, it aims to obtain an independent assessment of whether or not the planned inputs have led and/or contributed to the achievement of the planned results (outputs, outcomes, objective, and impact). On the other, it also seeks to examine and detail project achievements, identify barriers and challenges to implementation and determinants for success or failure (reasons for why project results have been delivered, or why they have not), and identify any broader results and impacts, positive or negative, intended or unintended, which have occurred through the project in an effort to inform and improve similar future projects.
16. The primary intended users of the evaluation include the Budget Holder (BH), Project Task Force (PTF), Chief Technical Advisor (CTA), FAO technical, programme and operation personnel, the donor, and other external stakeholders, including government institutions related to the project who can use the findings of the evaluation to affect change.
17. Different purposes and users of evaluations are recapped in Box 2 below. Given the very limited budget of this evaluation, while every effort will be made to ensure knowledge objectives are met the primary focus of this final evaluation will be on accountability.

Box 2. Main purposes and intended users of the evaluation

Purpose		Intended user
Accountability. To respond to the information needs and interests of policymakers and other actors with a decision-making role.	Inform decision-making	FAO Management
	Provide accountability	Government
Improvement. Programme improvement and organization development provides valuable information for managers or others responsible for programme operations.	Improve programme	Operational partners
		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 personnel and sometimes participants.	Contribute to knowledge	FAO personnel and future formulators and implementers

Source: Elaborated by the Evaluation Team.

18. The object of the evaluation is project GCP/MOZ/117/GFF over its full implementation period (five years) and geographic scope (four districts of Zambézia province and Maputo).¹ It will focus particularly on the implementation which took place after the mid-term evaluation (from June 2021), as the mid-term evaluation covered the first half of implementation in depth, it will nevertheless be comprehensive of the project's implementation time frame. The evaluation is to be carried out as a decentralized evaluation as per the new FAO Office of Evaluation (OED) and GEF evaluation policy; in other words, the regional office for Africa (RAF) is responsible for the evaluation. A field mission to take place before July 15 2022 is possible given security and health protocols in place is planned.

¹ Where project activities are implemented. Should the project have implemented activities in the other three provinces (while planned, no mention of such in last Programme Implementation Report [PIR]), these would likely not be mature enough for evaluation; furthermore, time and budget constraints to the evaluation would impede a field mission in all seven districts. Achievements in three of these additional districts would, if activities have taken place, be assessed remotely.

3. Evaluation objective and questions

19. This final evaluation will seek to assess the extent to which the project achieved its intended results. More specifically, it will seek to determine whether the project’s model and its specificities tied to Mozambique and Mozambican law warrant scaling up.
20. The following evaluation questions target the key information needs of the evaluation. They will be reviewed by the Evaluation Team and are subject to modification during the evaluation’s inception phase (the Evaluation Team is responsible for developing the final evaluation matrix during the inception phase), however, the criteria addressed is comprehensive and will not be subject to change.

3.1 Evaluation questions

Box 3. Evaluation questions

<p>1) Relevance (rating required)</p>	<p>Were the project outcomes congruent with the GEF focal areas/operational programme strategies, country priorities and FAO Country Programming Framework?</p> <p>Was the project design appropriate for delivering the expected outcomes; were the project's strategy and planned actions relevant and adequate to meet the needs of the beneficiaries and all involved stakeholders involved?</p> <p>Has there been any change in the relevance of the project since its design, such as new national policies, plans or programmes that affect the relevance of the project objectives and goals?</p>
<p>2) Effectiveness (rating required)</p>	<p>To what extent have project objectives been achieved, and were there any unintended results; what results, intended and unintended, did the project achieve so far across its components?</p> <p>Effectiveness by outcome:</p> <p>To what extent has the National Revenue Sharing Mechanisms (RSM) improved? To what extent has the national mechanism for sharing the revenues generated by the exploitation of forest and wildlife resources become more transparent and equitable and has the integrated Payment for Ecosystem Services (PES) improved?</p> <p>To what extent has the human and institutional capacity to oversee and implement improved RSM been enhanced? Has the institutional capacity of the Ministry of Land and Environment, which is responsible for the management of natural forests, as well as decentralized government agencies, NGOs and local communities to manage the improved revenue sharing mechanism, including the PES element improved, and how?</p> <p>To what extent has the pilot testing of improved RSM in Zambézia Province been successful? To what extent are the beneficiary communities better prepared for the PES (through livelihoods and SLM practices, CBNRM and governance improvements) in the four districts in Zambézia?</p> <p>Effectiveness in terms of intended impact:</p> <p>Is there any evidence of environmental stress reduction (for example, in direct threats to biodiversity) or environmental status change (such as an improvement in the populations of target species), reflecting global environmental benefits or any change in policy, legal or regulatory frameworks?</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>To what extent has the project been implemented efficiently and cost effectively? To what extent has project management been able to adapt to any changing conditions to improve the efficiency of project implementation?</p> <p>To what extent has the project built on existing agreements, initiatives, data sources, synergies and complementarities with other projects, partnerships, etc. and avoided duplication of similar activities by other groups and initiatives?</p>

4) Sustainability (rating required)	<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 are the key risks which may affect the sustainability of the project benefits (in terms of economic, environmental, institutional and social sustainability)?</p>
5) Factors affecting performance (rating required)	<p>Implementation. To what extent did FAO deliver on project identification, concept preparation, appraisal, preparation, approval and start-up, oversight and supervision? How well were risks identified and managed?</p> <p>Execution. To what extent did the execution project partners and did FAO effectively discharge their roles and responsibilities related to the management and administration of the project?</p> <p>Monitoring and evaluation (M&E) (M&E design) Was the M&E plan practical and sufficient? (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? Was the information from the M&E system appropriately used to make timely decisions and foster learning during project implementation?</p> <p>Financial management and co-financing. To what extent did the expected co-financing materialize, and how did shortfall in co-financing affect project results?</p> <p>Project partnership and stakeholder engagement. Were other actors, such as civil society, Indigenous population or private sector involved in project design or implementation, and what was the effect on the project results?</p> <p>Communication, knowledge management² and knowledge products. 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?</p>
Environmental and social safeguards	To what extent were environmental and social concerns taken into consideration in the design and implementation of the project?
Gender	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?
Progress to impact	<p>To what extent may the progress towards long-term impact be attributed to the project?</p> <p>Was there any evidence of environmental stress reduction and environmental status change, or any change in policy/legal/regulatory framework?</p> <p>Are there any barriers or other risks that may prevent future progress towards long-term impact?</p>
Lessons learned	What knowledge has been generated from project results and experiences, which has a wider value and potential for broader application, replication and use?

Source: Elaborated by the Evaluation Team.

² See for reference: Stocking, M. *et al.* 2018. Managing knowledge for a sustainable global future. Scientific and Technical Advisory Panel to the Global Environment Facility. Washington, DC (2018).

4. Methodology

21. The evaluation will adhere to the United Nations Evaluation Group (UNEG) Norms and Standards³ and be in line with the 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.
22. The evaluation integrates the GEF criteria and requirements into the methodology, to facilitate comparison with the reports produced by GEF and to contribute to the GEF project/programme 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. The evaluation will present the financial and co-financing data (see Appendix 3) according to the new GEF guidelines published in May 2019, adapted to this terminal evaluation.
23. The evaluation will follow a theory of change approach with an emphasis on the results chain. The theory of change 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 theory of change in consultation with the project/programme team and include it in the inception report. The new theory of change will also include assumptions, a mapping of externalities and possible unwanted outcomes. The theory of change, thus developed, will serve for the analysis of the project strategy and design.
24. Likewise, at the beginning of the evaluation process, a stakeholder 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.
25. 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 evaluation criteria will be detailed. The Evaluation Team will further develop the main evaluation questions presented in these terms of reference and break them down into sub-questions able to capture specific features of project implementation at country level.
26. 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 mid-term evaluation report as this is a final evaluation, project documents, including data from the project monitoring system; the project information platform (FPMIS), semi-annual and country progress reports, project implementation reports, national strategic documents, documents of regional/local governments and the organizations and institutions involved; technical reports and

³ United Nations Evaluation Group. 2005. *2005 Norms for Evaluation in the UN System*.
<https://www.uneval.org/document/detail/21>

- reports from FAO support missions, and any other document 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 levels, public and private, based on interview protocols developed by the Evaluation Team.
 - iii. Focus group discussions (in presence or remotely) with project participants and stakeholders, including local communities, also supported by interview protocols.
 - iv. Direct observation during field visits if the COVID-19 pandemic allows it.
 - v. Online surveys of key stakeholders not interviewed.
 - vi. Level of budget execution: sites with a medium/high level of budget execution/support (range to be defined at a later stage).
 - vii. Number of activities implemented under the main products: sites with a medium/high number of key activities implemented (range to be defined at a later stage).
 - viii. Level of results: sites with successful and not so successful results to identify useful lessons for future interventions.
 - ix. Sites visited during the mid-term evaluation to corroborate the evaluation of the identified results and sites not visited by the mid-term evaluation to increase geographic coverage and representativeness (if necessary and provided budget constraints allow).
27. 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 Policy on Gender Equality,⁴ as well as in the GEF Policy on Gender Equality.
28. As a reference to evaluate the work carried out with local communities, the Evaluation Team will use the FAO Free, Prior and Informed Consent (FPIC)⁵ Manual. Together with the FAO Policy on Indigenous and Tribal Peoples,⁶ this document will serve as a reference regarding FAO's approach and processes for reaching consensus with local communities benefiting from a project.
29. The specific objectives of the project include capacity building at organizational and/or individual levels and/or building an enabling environment. The OED Capacity Development

⁴ FAO. 2020. *FAO Policy on Gender Equality 2020–2030*. Rome. <https://www.fao.org/3/cb1583en/cb1583en.pdf>

⁵ FAO. n.d. Indigenous Peoples: Free, Prior and Informed Consent. In: *FAO*. <https://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>

⁶ FAO. 2010. *FAO Policy on Indigenous and Tribal Peoples*. Rome. https://www.fao.org/fileadmin/user_upload/newsroom/docs/FAO_policy.pdf

Evaluation Framework⁷ 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.

30. 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 Capacity Development Evaluation Framework).

⁷ FAO. 2019. *OED Capacity Development Evaluation Framework*. Rome.
<https://www.fao.org/3/ca5668en/CA5668EN.pdf>

5. Roles and responsibilities

31. This section describes the different roles that key stakeholders play in the design and implementation of the evaluation in the case of Regional Evaluation Specialist (RES)-managed and decentralized evaluations conducted under the responsibility of the budget holder.
32. The Regional Evaluation Specialist (RES), based in the Africa Regional Office, will act as Evaluation Manager. The RES is responsible for developing the first draft TOR. This TOR includes the TOC, developed by the Evaluation Manager and based on document review. Besides the TOR drafting and finalization, the RES is responsible for the selection of the evaluations team. The RES 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 TOR and timely delivery, quality, clarity and soundness of evidence provided and of the analysis supporting conclusions and recommendations in the evaluation report. The RES also has a responsibility in following up with the budget holder for the timely preparation of the management response and the follow-up to the management response.
33. The budget holder is responsible for initiating the evaluation process. Together with the project Lead Technical Officer/Chief Technical Advisor, they assist the Evaluation Manager in the identification of potential consultants and in the organization of the missions. The budget holder will provide the Evaluation Team with all project documents needed for the terminal evaluation. The budget holder is also responsible for sharing the terminal evaluation report with the GEF Operational Focal Point, the executing 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 Lead Technical Officer and other members of the Project Task Force. OED guidelines for the management response and the follow-up report provide necessary details on this process. Involvement of different members of the Project Task Force will depend on respective roles and participation in the project.
34. The GEF Coordination Unit (in particular the Funding Liaison Officer) is responsible for providing inputs to the first version of the terms of reference. They are required to meet with the Evaluation Team, make available information and documentation as necessary, and comment on the draft evaluation report.
35. The country level GEF Operational Focal Point (OFP). According to the GEF Evaluation Policy (2019), the OFPs will be informed of mid-term 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. GEF OFPs play a key role in facilitating access to staff members of government institutions involved in GEF projects during evaluations. They may promote the use of, follow-up to, and action on evaluation recommendations related to GEF matters and directed at the regional, national and project levels. They also play an important role in keeping national stakeholders (including the civil society organizations involved in GEF activities) fully consulted with, informed on, and involved in the plans, conduct, and results of country-related GEF evaluation activities.

36. The 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 on in the evaluation process, based on the template provided by OED. 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, consultations with the budget holder and Project Task Force 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.
37. 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.
38. For further details related to the tasks of the Evaluation Team leader and Evaluation Team members, please refer to template job descriptions provided by OED.
39. The OED Decentralization Support Team (DST) and in particular the appointed OED Supporting Officer will provide comments on the various deliverables and technical support throughout the evaluation process.
40. The RES Supervisor in the concerned Regional Office is responsible for the final clearance of evaluation products, in particular the TORs and evaluation report.

6. Evaluation Team composition and profile

41. In consideration of the workload and type of work required for the evaluation, it will be carried out by two persons – one international consultant and one national consultant who jointly meet the skills and competences described below. The international consultant will be the team leader of the evaluation and the national consultant will support the team leader.
42. The two reviewers will have an appropriate balance of relevant technical expertise and experience in evaluation. They should jointly have the following skills and competences:
 - i. the team should include professionals specialized in forestry and/or sustainable natural resources management with specific knowledge of PES and Mozambique;
 - ii. demonstrated experience in project evaluation;
 - iii. a minimum of 10 years of professional experience in the field;
 - iv. previous working experience in the region;
 - v. experience in project coordination with international bodies will be especially valuable; and
 - vi. fluency in English and Portuguese required.
43. The consultants should be independent of any organizations that have been involved in designing, executing or advising on any aspect of the project being evaluated and should not have previously been involved in any aspect of the project.
44. Both consultants are expected to demonstrate the following competencies:
 - i. results focus;
 - ii. teamwork;
 - iii. excellent communication skills (both written and oral) in English;
 - iv. building effective relationships; and
 - v. knowledge sharing and continuous improvement.

7. Evaluation products (deliverables)

45. This section describes the key evaluation products the Evaluation Team will be accountable for producing. At the minimum, these products should include:
- i. 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 stakeholder mapping, a revised theory of change, 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 plan for the investigation phase. The inception report should include a proposed schedule of tasks, activities and deliverables, a stakeholder analysis and the final evaluation matrix.
 - ii. Zero draft evaluation report. A clear, concise (30-35 pages excluding appendices and annexes), professionally written and high-quality draft evaluation report is expected. The report should be written in English, and composed in accordance with FAOSTYLE.⁸ For reference, samples of FAO evaluation reports can also be accessed at <https://www.fao.org/evaluation/evaluation-digest>. The zero draft should be sent by the Evaluation Team to the RES for comments, peer review and clearance, and will then be circulated by the RES for comments to internal and external stakeholders (OED, budget holder, Funding Liaison Officer, Lead Technical Officer, FAO's GEF Coordination Unit, project team, executing partner, Project Steering Committee members, key project partners).
 - 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 the RES to all stakeholders, and will be revised by an editor and graphic designer, before publication on the OED or Regional Office website.
 - iv. The evaluation report should be prepared in MS Word Format and submitted electronically by the Evaluation Team leader to the RES. As the main author of the report, the RES will have the final decision as to how the report should be composed.
 - v. 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 the RES. Sources of secondary data/information used in the report should be cited in the text and included in the list of documents reviewed in the evaluation report.
 - vi. The final evaluation report should include an abstract of 200 to maximum 400 words and an executive summary, and illustrate the evidence found that responds to the evaluation questions listed in the terms of reference. The executive

⁸ FAO. 2017. *Publishing at FAO: Strategy and guidance*. Rome. <https://www.fao.org/3/i7429en/i7429EN.pdf>.

summary should be drafted as presented in Annex 3A of the OED project evaluation manual.

- vii. All GEF evaluation reports should have a full translation in English if they are prepared in another UN language. This is under FAO responsibility. In this case, the report will be translated into Portuguese.
- viii. Evaluation reports should have numbered paragraphs, following the GEF OED reporting outline (see Annex 3B). Supporting data and analysis should be annexed to the report when considered important to complement the main report.
- ix. Evaluation briefs and other knowledge products or participation in knowledge sharing events, if relevant.
- x. The evaluation report should include the GEF evaluation criteria rating table.⁹

Table 2. GEF evaluation criteria rating table

GEF criteria/sub-criteria	Rating ⁱ	Summary comments ⁱⁱ
A. STRATEGIC RELEVANCE		
A1. Overall strategic relevance	HS-HU	
A1.1. Alignment with GEF and FAO strategic priorities	HS-HU	
A1.2. Relevance to national, regional and global priorities and beneficiary needs	HS-HU	
A1.3. Complementarity with existing interventions	HS-HU	
B. EFFECTIVENESS		
B1. Overall assessment of project results	HS-HU	
B1.1 Delivery of project outputs	HS-HU	
B1.2 Progress towards outcomes ⁱⁱⁱ and project objectives	HS-HU	
- Outcome 1	HS-HU	
- Outcome 2	HS-HU	
- Etc.	HS-HU	
- Overall rating of progress towards achieving objectives/outcomes	HS-HU	
B1.3 Likelihood of impact	HS-HU	
C. EFFICIENCY		
C1. Efficiency ^{iv}	HS-HU	
D. SUSTAINABILITY OF PROJECT OUTCOMES		
D1. Overall likelihood of risks to sustainability	L-U	
D1.1. Financial risks	L-U	
D1.2. Sociopolitical risks	L-U	

⁹ See Appendix 1 for more information on GEF ratings.

GEF criteria/sub-criteria	Ratingⁱ	Summary commentsⁱⁱ
D1.3. Institutional and governance risks	L-U	
D1.4. Environmental risks	L-U	
D2. Catalysis and replication	HS-HU	
E. FACTORS AFFECTING PERFORMANCE		
E1. Project design and readiness ^v	HS-HU	
E2. Quality of project implementation	HS-HU	
E2.1 Quality of project implementation by FAO (BH, LTO, PTF, etc.)	HS-HU	
E2.2 Project oversight (PSC, project working group, etc.)	HS-HU	
E3. Quality of project execution For DEX projects: Project Management Unit/BH; For OPIM projects: Executing Agency	HS-HU	
E4. Financial management and co-financing	HS-HU	
E5. Project partnerships and stakeholder engagement	HS-HU	
E6. Communication, knowledge management and knowledge products	HS-HU	
E7. Overall quality of M&E	HS-HU	
E7.1 M&E design	HS-HU	
E7.2 M&E plan implementation (including financial and human resources)	HS-HU	
E8. Overall assessment of factors affecting performance	HS-HU	
F. CROSS-CUTTING CONCERNS		
F1. Gender and other equity dimensions	HS-HU	
F2. Human rights issues/Indigenous Peoples	HS-HU	
F3. Environmental and social safeguards	HS-HU	
Overall project rating	HS-HU	

Notes:

ⁱ See rating scheme in Appendix 1.

ⁱⁱ Include reference to the relevant sections in the report.

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

^{iv} Includes cost efficiency and timeliness.

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

Source: Elaborated by the Evaluation Team.

8. Evaluation time frame

Task	Dates	Responsibility (OED or RES)
Team identification and recruitment	April/May 2022	EM
TOR preparation	April/May 2022	EM, LTO, FLO and GCU
TOR finalization	May 2022	EM
Travel arrangements and organization of the agenda/travel itinerary in the country for the field mission	May 2022	EM, project team/country office and Evaluation Team
Reading background documentation	May 2022	Evaluation Team
Briefing of Evaluation Team	Before May 20 2022	EM, GCU, LTO, FLO, OED when necessary
Inception report	June 1 2022	Evaluation Team
Data collection	June 13-24 2022	Evaluation Team with support of EM and project management unit/country office
Production of first draft for EM review	July 15 2022	Evaluation Team
Circulation of first draft for comments (BH, LTO, Funding Liaison Officer [FLO], project team, GEF Coordination Unit [GCU], key national partners, PSC members, executing partners)	July 25 2022	EM
Integration of comments and production of the final report	Early August 2022	Evaluation Team
Circulation of final report and publication	August 2022	EM
Management response	One month after the final report is issued	BH
Follow-up report on terminal evaluation	Six months after the management response is issued	BH

Source: Elaborated by the Evaluation Team.

Appendix 1. GEF ratings

PROJECT RESULTS AND OUTCOMES

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

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

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

PROJECT IMPLEMENTATION AND EXECUTION

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

Rating	Description
Highly Satisfactory (HS)	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 or execution 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

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

- i. design
- ii. implementation

SUSTAINABILITY

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

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

Appendix 2. Financial data

GEF financing table

Co-financer name	Co-financer type ⁱ	Co-financing type ⁱⁱ	Co-financing agreed upon at CEO endorsement (in USD)			Materialized co-financing at project end (in USD)		
			In kind	Cash	Total	In kind	Cash	Total
Total								

Notes: ⁱ 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).

ⁱⁱ Scholarships, loans, equity participation by beneficiaries (individuals) in form of cash, guarantees, in-kind or material contributions, and others (please explain).

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				

Appendix 3. Stakeholder preliminary analysis (based on the MTR)

Key stakeholders (disaggregated as appropriate)	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for final evaluation (1-3)	How and when should they be involved in the final evaluation?
1. Active stakeholders with direct responsibility for the project				
National Directorate of Forest (DINAF)	Responsibility of forest and wildlife licensing, conservation and inventory outside conservation areas.	Executing partner	1	Key Informant during data collection Provide inputs to TORs Provide inputs to draft report
National Fund for Sustainable Development (FNDS)	Fosters and promotes activities designed to ensure sustainable development and climate change adaptation and mitigation.	Executing partner	1	Key informant during data collection Provide inputs to TORs Provide inputs to draft report
National Directorate of Environment (DINAB)	Promote policies, plans and norms for the correct use of the environment and for environmental quality control (mainly air, water and soil); disseminate information, materials and tools aiming to contribute to proper environmental management.	Executing partner	2	Key Informant during data collection Provide inputs to TORs Provide inputs to draft report
Decentralized government services at provincial level (Provincial Directorate of Agriculture and Food Security [DPASA] and the Provincial Directorate of Land, Environment and Rural Development [DPTADER].	Their main responsibilities include the administration, management, protection and conservation of natural resources associated to agricultural activities, in particular land, water, forests, domestic animals and wildlife; the promotion of agricultural production, agro-industry and commerce agricultural inputs and products; development of agriculture research and extension services and technical assistance to farmers.	Executing partner	1	Key informant during data collection Provide inputs to TORs Provide inputs to draft report
The District Government of the seven districts through the District Services for Economic Activities (SDAE)	Undertake agriculture and other economic activities at the district level and the District Services for Planning and Infrastructure (SDPI) responsible for environmental and planning activities at district.	Executing partner	1	Key informant during data collection Provide inputs to TORs Provide inputs to draft report
FAO (BH, PTF)	Funding agency and provide technical assistance.	Technical assistance	1	MTR debriefing Key informant Provide inputs to draft report

Key stakeholders (disaggregated as appropriate)	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for final evaluation (1-3)	How and when should they be involved in the final evaluation?
2. Active stakeholders with authority to make decisions on the project, e.g. members of the PSC				
DINAF	Responsibility of forest and wildlife licensing, conservation and inventory outside conservation areas.	Project Steering Committee (PSC) member	1	See category 1
FNDS	Fosters and promotes activities designed to ensure sustainable development and climate change adaptation and mitigation.	Project Steering Committee (PSC) member	1	See category 1
FAO (BH, PTF)	Funding agency and provide technical assistance.	Technical assistance	1	See category 1
Zambezia Province Representative	Beneficiary province and main responsibilities include the administration, management, protection and conservation of natural resources associated to agricultural activities, in particular land, water, forests, domestic animals and wildlife.	Beneficiary	1	See category 1
Ministry of Gender, Children & Social Action	Responsible for mainstreaming in issues related to gender.	Stakeholder	1	KI informant Provide inputs to draft report
3. Secondary stakeholders (only indirectly or temporarily affected)				
National Directorate for Agricultural Extension (DNEA)	Responsible for extending and disseminating practices, technologies and knowledge aiming at increasing crop yields, production and the income of farming communities.	Executing partner	3	Key informant
National Directorate of Agriculture and Silviculture (DINAS)	Responsible for applying the laws related to development of forest plantation and related activities.	Executing partner	3	Key informant
Private sector (e.g. cashew nut traders, forest and wildlife operators and forest plantation companies)	Payment for Environmental Services.	Stakeholders	3	Key informant
BIOFUND	The income of the trust fund is allocated to Mozambique's conservation area network, based on criteria and conditions set by the various stakeholders who include the National Administration of Conservation	Stakeholder	3	Key informant

Key stakeholders (disaggregated as appropriate)	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for final evaluation (1-3)	How and when should they be involved in the final evaluation?
	Areas (ANAC), donors, local governments, communities, and others.			
Ministry of Economy and Finance	Responsible for guiding the allocations of financial resources at sectorial as well as territorial level.	Stakeholder	2	Key informant
World Bank		Partner	3	Key informant
Fundo Nacional de Energia (FUNAE)	Responsible for the licensing and revenue sharing of the funds in the mining and energy sectors.	Partner	3	Key informant
National Network for CBNRM		Partner	3	Key informant
4. Stakeholders at grassroots level who benefit directly or indirectly from the intervention (gender disaggregated where possible)				
26 NRM Committees (from the selected communities: Mocubela-sede, Gunguro, Murrua, Mulevala sede, Nante, Bala, Namahipe, Naico, Nahetxe, Moneia, Txalane, Naburi, Impaca, Gingama, Muzo and Mulela)	Receive funds under the existing government forest tax revenue sharing mechanism.	Beneficiary	1	Focus group discussion Field visits Key informant
5. Stakeholders at grassroots level who do not benefit from the intervention (gender disaggregated where possible)				
N/A				
6. Other interest groups that are not participating directly in the project				
Coordinamento delle Organizzazioni per il Servizio Volontario (COSV)	Its current activities are related to conservation of natural resources in the National Reserve of Gilè and in its buffer zones through the strengthening of economic and productive activities of rural communities, such as sustainable agriculture, the production of cash crops, the production of local seeds, storage and processing of food, farming.	Civil society organizations	2	Key informant

Key stakeholders (disaggregated as appropriate)	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for final evaluation (1-3)	How and when should they be involved in the final evaluation?
Adventist Development and Relief Agency (ADRA)	Is facilitating farmers' capacity in food security and livelihoods. Its role in the GEF project will be in reducing the local communities' dependence on forest resources.	Civil society organizations	2	Key informant
Rede de Organizações para Ambiente e Desenvolvimento Sustentável da Zambézia (RADEZA)	Its interventions are on advocacy, capacity development and awareness to local communities on issues related to environment and natural resources. RADEZA is involved in activities such as dissemination of the 20% decree, identification of beneficiary communities, support in the creation of the NRMCS and facilitating the opening of bank accounts and monitoring of projects implemented by local communities. It is also supporting small scale mining associations and sustainable practices and artisanal fisheries.	Civil society organizations	1	Key informant
Associação Comunitária de Defesa e Saneamento do Meio Ambiente da Zambézia (ACODEMAZA)	It is currently involved in activities such as dissemination of the 20% decree, identification of beneficiary communities, support in the creation of the NRMCS and facilitating the opening of bank accounts and monitoring of projects implemented by local communities.	Civil society organizations	1	Key informant
Associação Rural de Ajuda Mútua (ORAM)	Promoting justice on land issues. ORAM represents farmers' rights in the decision-making process on access to and sustainable use of land resources.	Civil society organizations	1	Key informant
The International Institute for Environment and Development	IIED works in collaboration with forest operators to promote sustainable forest management, supporting them to switch from simple licences to concessions, and to collaborate more closely with local communities	IIED is an international development and environment policy research organization	2	Key informant

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