

Critical Ecosystem Partnership Fund (CEPF) Caribbean islands Biodiversity Hotspot Programme
Framework for the Mid-term Evaluation
6 June 2013

1. Introduction

This document lays out a conceptual framework for the conduct of the required mid-term evaluation of the Critical Ecosystem Partnership Fund (CEPF) Caribbean islands Biodiversity Hotspot Programme. This evaluation will be conducted by the Regional Implementation Team (the Caribbean Natural Resources Institute [CANARI]) in collaboration with the CEPF Secretariat. It will take place May – September 2013.

The mid-term evaluation will use three complementary evaluation frameworks:

- a. Logical framework of results
- b. Outcome mapping of changes in behaviours and relationships
- c. Most Significant Change

The evaluation will use a combination of methods as follows:

- a. **Desk review of key reports:** A desk review will be conducted by the RIT, drawing from the existing 6-month progress reports submitted by the RIT and other RIT and Secretariat reports.
- b. **A written survey of key stakeholders using Survey Monkey:** This survey will be developed and administered by the RIT. It will target CEPF applicants and grantees, GEF focal points and key government partners in the project countries, RACC members, and key donors and technical partners conducting biodiversity conservation initiatives in the Caribbean.
- c. **Interviews with RACC members and mentors:** The RIT will conduct telephone/skype semi-structured interviews with RACC members and mentors to elicit additional information on key achievements, lessons and recommendations for the way forward.
- d. **Interviews with Grantees:** The RIT will conduct telephone/skype semi-structured interviews with selected grantees (including those based abroad who will not be able to participate in the focus group meetings or regional workshop) to elicit additional information on key achievements, lessons and recommendations for the way forward.
- e. **Focus group sessions of the RIT and CEPF Secretariat:** Staff of the RIT and the Secretariat will each meet to assess results and analyse lessons and recommendations on process.
- f. **Focus group sessions with grantees and key partners:** Focus groups will be held in Jamaica, Haiti and the Dominican Republic and facilitated by the RIT Country Coordinators. These will bring together CEPF applicants, grantees, the GEF focal point and key government agencies, donors, RACC members, and mentors. The focus group will facilitate sharing and analysis at the project and national level on results and lessons. National focus group participants will identify grantees to participate in the regional workshop.
- g. **A regional workshop with grantees and key partners:** This will be facilitated by the RIT and attended by the CEPF Secretariat, grantees, donors, key partners, and representatives of the Regional Advisory Committee for CEPF in the Caribbean (RACC).

Written reports of each individual assessment will be produced by the RIT (with the exception of the Secretariat focus group report, which will be drafted by the Secretariat). Findings from each of these will be compiled into a final report submitted to the CEPF Secretariat for inclusion in the formal report to be submitted to donors – this report is authored by the CEPF Secretariat. The final report produced by the RIT will be summarised and the summary report will be translated into Spanish and French. These will be published on CANARI's website and openly available.

2. Objectives

The objectives of the CEPF mid-term evaluation, focusing on both accountability and learning, are to:

- a. facilitate networking for knowledge sharing, enhanced coordination and collaboration among CEPF grantees;
- b. evaluate progress on achievement of CEPF Caribbean islands programme results at all levels – outputs (products/deliverables), outcomes and impacts;
- c. build awareness and commitment of CEPF grantees, synergies and coordination;
- d. develop recommendations on strategies to achieve all results by the end of the programme;
- e. map relevant initiatives, funding development, synergies, etc;
- f. identify unexpected positive and negative impacts of CEPF in the Caribbean;
- g. analyse lessons learnt on process of planning and implementation;
- h. develop recommendations for improvement of the process.

3. Evaluation areas

The evaluation will assess:

- a. **Relevance**, i.e. the extent to which the CEPF Caribbean islands Programme that was conceived and the activities that were planned were consistent with the needs, expectations and capacities of the various stakeholders and responded adequately to identified needs, goals and objectives.
- b. **Results** of the CEPF Caribbean islands Programme, i.e. what are the measurable (quantitative and qualitative) outputs and outcomes.
- c. **Efficiency and effectiveness**, i.e. the extent to which activities have been executed as planned and have produced the desired outputs, as well as the extent to which they have been implemented with the optimal use of financial, human and technical resources and in a timely fashion, looking also at the suitability of project management arrangements.
- d. **Sustainability**, i.e. the extent to which the outcomes and outputs have been, and are likely to remain, sustained beyond the time frame of the project and its various activities, as well as the requirements for future activities that can help build such sustainability.

4. Assessing Results

Results achieved will be assessed against:

- a. Objectives and targets in the Caribbean islands Hotspot Ecosystem Profile: Logical Framework for CEPF Investments (Appendix 1)
- b. Goals and criterion in the CEPF Global Goal Matrices (Appendix 2)
- c. Desired behaviour changes in the Outcome Map for key target groups in the CEPF Caribbean islands Programme (Appendix 3)

In addition to assessing against these specific targets and indicators, an open question will be asked using the Most Significant Change technique to identify what stakeholders judge the most significant result, positive or negative, to be. The question to be used in the various methods is:

“What do you think has been the most significant change in terms of engaging civil society in the conservation of globally threatened biodiversity in the Caribbean due to the CEPF Caribbean islands programme since it started in October 2010?”

5. Assessing process

Lessons on process will be evaluated by looking at relevance, efficiency, effectiveness and sustainability.

Process areas examined will include:

- a. Setting strategic priorities for conservation funding
- b. Communication and interpretation of strategic priorities
- c. Communication about CEPF and the work being achieved
- d. Issuing calls for proposals
- e. Technical review and selection of proposals
- f. Supporting the application process
- g. Monitoring projects
- h. Supporting project implementation (including financial management)
- i. Supporting project evaluation and reporting
- j. Evaluating strategic impact
- k. Managing portfolio investment (tracking spending, ensuring there is a good spread of funding across countries and priority areas)
- l. Catalysing additional support
- m. Catalysing and facilitating networking amongst grantees
- n. Facilitating relationship building between CSOs and government, other key partners
- o. Building capacity of civil society organisations for sustainability
- p. Providing strategic leadership on how civil society can play a role in biodiversity conservation
- q. Policy influence
- r. Internal learning and improving performance within the CEPF

Appendix 1: Logical Framework for the CEPF Caribbean Programme

Objective	Targets	Means of Verification	Important Assumptions
<p>Engage civil society in the conservation of globally threatened biodiversity through targeted investments with maximum impact on the highest conservation and ecosystem services priorities</p>	<p>NGOs and civil society actors from CEPF eligible countries, with an emphasis on the six priority conservation corridors and 45 key biodiversity areas, effectively participate in conservation programs guided by the ecosystem profile.</p> <p>Development plans, projects and policies which influence the six conservation corridors and 45 key biodiversity areas mainstream biodiversity and ecosystem services, with a focus on tourism, mining and agriculture.</p> <p>17 Key Biodiversity Areas covering 911,000 hectares have strengthened protection and management as guided by sustainable management plans.</p> <p>At least 20 percent of under-protected priority key biodiversity areas (at least six) brought under new and/or strengthened protection status.</p> <p>Strategic areas of the production landscape of six conservation corridors under improved management for biodiversity conservation and ecosystem services.</p> <p>The Caribbean ecosystem profile influences and complements other donor’s investment strategies.</p>	<p>Grantee and RIT performance reports</p> <p>Annual portfolio overview reports; portfolio mid-term and final assessment</p>	<p>The CEPF grants portfolio will effectively guide and coordinate conservation action in the Caribbean islands Hotspot</p>

Intermediate Outcomes	Intermediate Indicators	Means of Verification	Important Assumptions
<p>Outcome 1. Improve protection and management of 45 priority Key Biodiversity Areas.</p> <p>\$3,050,000</p>	<p>Number of hectares in key biodiversity areas and number of key biodiversity areas (and percent) with demonstrable improvements/strengthening in their protection and management as guided by a sustainable management plan.</p> <p>Number of hectares brought under new or upgraded protection.</p> <p>Number of sustainable financing mechanisms established and/or strengthened with initial capital secured.</p> <p>Number of co-management arrangements established or supported.</p> <p>Percent and number of grants that enable effective stewardship by local communities for biodiversity and ecosystem conservation.</p>	<p>Grantee and RIT performance reports and site visits</p> <p>Protected Areas Tracking Tool (SP1 METT)</p> <p>Sustainable financing agreements and accounts</p> <p>Global IBA/ KBA monitoring framework</p> <p>Formal legal declarations or community agreements designating new protected areas</p> <p>Management plans and reports on management activities</p>	<p>Government agencies are interested and willing to support civil society efforts to conserve KBAs and corridors</p> <p>Local communities are sufficiently organised, have capacity and are willing to participate in these activities.</p> <p>Civil society organisations have adequate capacity and are interested in engaging in conservation and management of KBAs and corridors.</p> <p>Private sector is willing to engage and participate in joint-ventures.</p>

<p>Outcome 2. Integrate biodiversity conservation into landscape and development planning and implementation in six conservation corridors.</p> <p>\$1,900,000</p>	<p>Number of policies, projects and plans incorporating ecosystem services, climate change and biodiversity conservation.</p> <p>Number of hectares in production landscapes with improved management for biodiversity conservation.</p> <p>Number of policies formulated and adopted to strengthen public and private protected areas systems.</p> <p>Number of public-private partnerships that mainstream biodiversity in the agriculture, tourism and mining sectors.</p> <p>Number of co-management arrangements established or supported.</p> <p>Number of projects located outside protected areas that integrate biodiversity conservation in management practices.</p>	<p>Grantee and RIT performance reports and site visits</p>	
<p>Outcome 3. Caribbean civil society supported to achieve biodiversity conservation by building local and regional institutional capacity and by fostering stakeholder collaboration.</p> <p>\$900,000</p>	<p>Number of civil society organizations with strengthened institutional capacity.</p> <p>Number of local and regional initiatives supported to strengthen stakeholder involvement in biodiversity conservation</p>	<p>Grantee and RIT performance reports and site visits</p>	<p>Civil society organisations are committed to maintaining lines of collaboration and communication with local, national and regional entities.</p>

<p>Outcome 4. A Regional Implementation Team provides strategic leadership and effectively coordinates CEPF investment in the Caribbean Islands Hotspot.</p> <p>\$650,000</p>	<p>Regional Implementation Team performance in fulfilling the approved Terms of Reference.</p> <p>Number of groups receiving grants that achieve a satisfactory score on final performance scorecard.</p>	<p>Grantee and RIT performance reports and site visits</p>	<p>Local, national and regional stakeholders remain interested in CEPF</p> <p>RIT good contacts/relations with Caribbean civil society groups</p>
<p>Outcome 5. Emergency support provided to Haitian civil society to mitigate the impacts of the 2010 earthquake.</p> <p>\$400,000</p>	<p># of actions taken to prevent destruction of forests in Massif de la Selle and Massif de la Hotte.</p> <p>Environmental Network Resource Centre established.</p> <p># of reconstruction and development policies and plans that incorporate environmental concerns.</p>	<p>Grantee and RIT performance reports and site visits</p>	<p>Haiti will not suffer another large-scale natural disaster</p>
<p>Strategic Funding Summary</p>	<p>Amount</p>		
<p>Total Budget:</p>	<p>\$6,900,000</p>		

Appendix 2: CEPF Global Goal Matrices

Goal 1: Conservation priorities - Global conservation priorities (i.e., globally threatened species, KBAs and conservation corridors) and best practices for their management are identified, documented, disseminated and used by public sector, civil society and donor agencies to guide their support for conservation in the region

Criterion	
i.	Globally threatened species. Comprehensive global threat assessments conducted for all terrestrial vertebrates, vascular plants and at least selected freshwater taxa.
ii.	Key Biodiversity Areas. KBAs identified, covering, at minimum, terrestrial, freshwater and coastal ecosystems.
iii.	Conservation corridors. Conservation corridors identified in all parts of the region where contiguous natural habitats extend over scales greater than individual sites, and refined using recent land cover data.
iv.	Conservation plans. Global conservation priorities incorporated into national or regional conservation plans or strategies developed with the participation of multiple stakeholders.
v.	Management best practices. Best practices for managing global conservation priorities (e.g., sustainable livelihoods projects, participatory approaches to park management, invasive species control, etc.) are introduced, institutionalized, and sustained at CEPF priority KBAs and corridors.

Goal 2: Civil Society Capacity - Local and national civil society groups dedicated to conserving global conservation priorities collectively possess sufficient organizational and technical capacity to be effective advocates for, and agents of, conservation and sustainable development for at least the next 10 years.

Criterion	
i.	Human resources. Local and national civil society groups collectively possess technical competencies of critical importance to conservation.
ii.	Management systems and strategic planning. Local and national civil society groups collectively possess sufficient institutional and operational capacity and structures to raise funds for conservation and to ensure the efficient management of conservation projects and strategies.
iii.	Partnerships. Effective mechanisms exist for conservation-focused civil society groups to work in partnership with one another, and through networks with local communities, governments, the private sector, donors, and other important stakeholders, in pursuit of common objectives.
iv.	Financial resources. Local civil society organizations have access to long-term funding sources to maintain the conservation results achieved via CEPF grants and/or other initiatives, through access to new donor funds, conservation enterprises, memberships, endowments, and/or other funding mechanisms.
v.	Transboundary cooperation. In multi-country hotspots, mechanisms exist for collaboration across political boundaries at site, corridor and/or national scales. (Note: the Western Ghats

and Sri Lanka Hotspot spans India and Sri Lanka).

Goal 3: Sustainable financing - Adequate and continual financial resources are available to address conservation of global priorities for at least the next 10 years.

Criterion

- i. **Public sector funding.** Public sector agencies responsible for conservation in the region have a continued public fund allocation or revenue-generating ability to operate effectively.
- ii. **Civil society funding.** Civil society organizations engaged in conservation in the region have access to sufficient funding to continue their work at current levels.
- iii. **Donor funding.** Donors other than CEPF have committed to providing sufficient funds to address global conservation priorities in the region.
- iv. **Livelihood alternatives.** Local stakeholders affecting the conservation of biodiversity in the region have economic alternatives to unsustainable exploitation of natural resources.
- v. **Long-term mechanisms.** Financing mechanisms (e.g., trust funds, revenue from the sale of carbon credits, etc.) exist and are of sufficient size to yield continuous long-term returns for at least the next 10 years.

Goal 4: Enabling environment - Public policies, the capacity to implement these, and the systems of governance in each individual country are supportive of the conservation of global biodiversity.

Criterion

- i. **Legal environment for conservation.** Laws exist that provide incentives for desirable conservation behavior and disincentives against undesirable behavior.
- ii. **Legal environment for civil society.** Laws exist that allow for civil society to engage in the public policy-making and implementation process.
- iii. **Education and training.** Domestic programs exist that produce trained environmental managers at secondary, undergraduate, and advanced academic levels.
- iv. **Transparency.** Relevant public sector agencies use participatory, accountable, and publicly reviewable process to make decisions regarding use of land and natural resources.
- v. **Enforcement.** Designated authorities are clearly mandated to manage the protected area system(s) in the region and conserve biodiversity outside of them, and are empowered to implement the enforcement continuum of education, prevention, interdiction, arrest, and prosecution.

Goal 5: Responsiveness to emerging issues - Mechanisms exist to identify and respond to emerging conservation issues.

Criterion

- i. **Biodiversity monitoring.** Nationwide or region-wide systems are in place to monitor status and trends of the components of biodiversity.

ii.	Threats monitoring. Nationwide or region-wide systems are in place to monitor status and trends of threats to biodiversity.
iii.	Ecosystem services monitoring. Nationwide or region-wide systems are in place to monitor status and trends of ecosystem services.
iv.	Adaptive management. Conservation organizations and protected area management authorities demonstrate the ability to respond promptly to emerging issues.
v.	Public sphere. Conservation issues are regularly discussed in the public sphere, and these discussions influence public policy.

Appendix 3: Outcome Map for the CEPF Caribbean Programme

Target group 1: Civil society organisations (CSOs) working in biodiversity conservation in the Caribbean			
Outcome challenge statement: CSOs in the Caribbean are effectively managing or contributing to management of protected areas for biodiversity conservation. They are identifying strategic priorities for biodiversity conservation action and working to address these. They are working in partnership with other civil society organisations and government to share information, coordinate and collaborate. They are developing strategic relationships with donors and other partners. They are practicing effective financial management and human resource development; developing and implementing strategic plans; writing strong proposals and securing funding to implement projects; effectively implement projects; evaluating project results; communicating project results and lessons.			
Indicators of behaviour change (progress markers):			
BIODIVERSITY CONSERVATION	PROJECT DEVELOPMENT AND MANAGEMENT	OTHER ASPECTS OF INTERNAL CAPACITY	NETWORKING
Identify strategic priorities that they are positioned to address	Apply to the CEPF Caribbean programme and other donors to contribute to their work in biodiversity conservation	Identify strategic donors who can support the organisations' work	Identify potential partners
Negotiate management role(s) with the government authority	Negotiate development and approval of project proposals	Actively reach out to donors to inform them about the organisations' work	Share information on what they are doing and their plans with others
Implement conservation initiatives	Monitor projects and adapt as needed including negotiating with donors for approval	Negotiate with donors for support	Identify potential synergies and areas for collaboration with partners
Evaluate and report on conservation impacts	Deliver results within project budget and deadlines	Build human resource capacity	Collaborate on implementation where synergies are identified
Communicate to influence policy for biodiversity conservation	Evaluate and communicate project results and lessons	Establish sound financial management systems	Develop informal and formal partnerships
	Communicate project results to donors, beneficiaries and other target audiences	Conduct strategic and operational planning	
	Incorporate lessons learned into future work	Communicate about the work of the organisation	
Target group 2: Other donors working in biodiversity conservation in the Caribbean			
Outcome challenge statement: Donors working in biodiversity conservation in the Caribbean are contributing to achieving CEPF conservation priorities.			
Indicators of behaviour change (progress markers):			

Aware of the CEPF Caribbean Programme and its strategic priorities and results
Share information on relevant work with CEPF
Identify potential synergies with their programmes
Collaborate with CEPF on supporting conservation initiatives
Develop funding priorities and programmes responding to CEPF strategic priorities