

United Nations Environment Programme
Global Environmental Facility

FINAL MID-TERM REVIEW REPORT
Advancing the Nagoya Protocol in Countries of the Caribbean Region
(GFL/5060-2711-4E67)



EVALUATION OFFICE OF UN ENVIRONMENT

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DISCLAIMER

This report has been prepared by an independent consultant evaluator and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management.

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SHORT BIOGRAPHY OF THE CONSULTANT

Noel Jacobs has more than 17 years of experience working as an international consultant in project design, management, and evaluation primarily in biodiversity, climate change and sustainable tourism. He also has extensive experience as an Institutional Development Consultant, focusing on Institutional Assessment, Institutional Audit; Organizational Re-structuring; Organizational Sustainability; Capacity Building & Training; Development of Organizational Policies; Operational Guidelines and Manuals for Organizations and Projects; Sector and Institutional Strategic Plans and Action Plans; Organizational Performance Monitoring Tools; Institutional Governance & Board Development; Cost Benefit Analysis; Biodiversity Environmental Impact Assessments; Fund Raising Strategies and Resource Mobilization.

Mr. Jacobs has worked extensively in more than 22 countries in a multitude of sectors including Tourism, Marine Fisheries, Coastal Zone Management, Environment, Climate Change, Aviation, Cultural Heritage, Gaming, Health, Transport, among others. His ability to effectively apply the multi-sector approach in planning and policy development has proven to be a tremendous asset in the delivery of services to a wide diversity of clients in Latin America and the Caribbean.

ABBREVIATIONS & ACRONYMS

Acronym/Abbreviation	Meaning
ABS	Access and Benefit Sharing
ABS-CDI	ABS Capacity Development Initiative
BTORs	Back to Office Reports
CARICOM	Caribbean Community
CBD	Convention on Biological Diversity
CHM	Clearing House Mechanism
EA	Executing Agency
GEB	Global Environmental Benefit
GEF	Global Environmental Facility
GIZ	German Technical Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH)
IA	Implementing Agency
IUCN-ORMACC	International Union for the Conservation of Nature – Regional Office for Mexico, Central America and the Caribbean
MAT	Mutually Agreed Terms
MTR	Mid-Term Review
MTS	Medium Term Strategy
NBSAP	National Biodiversity Strategy & Action Plan
NP	Nagoya Protocol
OECS	Organization of Eastern Caribbean States
PDQ	Project Design Quality
PIC	Prior Informed Consent
PIR	Project Implementation Review
POW	Programme of Work
PRODOC	Project Document
PSC	Project Steering Committee
PSCM	Project Steering Committee Minutes
ROtI	Review of Outcomes to Impacts
SCBD	Secretariat to the Convention on Biological Diversity
TOC	Theory of Change
TOR	Terms of Reference
UN Environment	United Nations Environment Programme
UNCBD	United Nations Convention on Biological diversity
UNEP ROLAC	UNEP Regional Office for Latin America and the Caribbean
UWI	University of the West Indies

Table 1: Project Identification Table

Sub-programme:	Ecosystem management Environmental Governance	Expected Accomplishment(s):	3(c) Services and benefits derived from ecosystems are integrated with development planning and accounting and the implementation of biodiversity-related and ecosystem-related multilateral environmental agreements. 4(b) The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced.
UN Environment approval date:	September 21, 2015	Programme of Work Output(s):	(c)(4) Support provided to enable countries to establish national access and benefit-sharing frameworks under national programmes, as well as to strengthen equity in the use and protection of ecosystems, their services and biodiversity. (b)(2) Legal technical assistance provided to support initiatives by countries to implement, monitor and achieve compliance with, and enforcement of, international environmental obligations, including those set out in multilateral environmental agreements.
GEF project ID:	5774	Project type:	Regional
GEF Operational Programme #:	GFL/5060-2711-4E67	Focal Area(s):	Biodiversity
GEF approval date:	July 23, 2015		
Expected start date:	21/09/2015	Actual start date:	15/02/2016
Planned completion date:	20/09/2018	Actual completion date:	Not applicable
Planned project budget at approval:	USD \$ 1,826,000.00	Actual total expenditures reported as of 31/7/2017:	USD \$ 571,758.52
GEF grant allocation:	USD \$ 1,826,000.00	GEF grant expenditures reported as of 31/12/2016:	USD \$ 571,758.52
Project Preparation Grant - GEF financing:	USD \$ 90,000.00	Project Preparation Grant - co-financing:	USD \$ 41,354.00

Expected Medium-Size Project/Full-Size Project co-financing:	USD \$ 3,809,257.00	Secured Medium-Size Project/Full-Size Project co-financing:	USD \$ 374,220.82	
First disbursement:	16/02/2016	Date of financial closure:	Not applicable	
No. Of revisions:	3	Date of last revision:	February 2016	
No. Of Steering Committee meetings:	2	Date of last/next Steering Committee meeting:	Last: March 27 th 2017	Next: October 23 rd 2017
Mid-term Review/ Evaluation (planned date):	June 1 st 2017- August 31 st 2017	Mid-term Review/ Evaluation (actual date):	July – September 2017	
Terminal Evaluation (planned date):	30/09/18	Terminal Evaluation (actual date):	Not applicable	
Coverage - Country(ies):	Antigua and Barbuda, Barbados, Grenada, Guyana, Jamaica, Saint Kitts and Nevis, Saint Lucia, Trinidad and Tobago	Coverage - Region(s):	Caribbean	
Dates of previous project phases:	Not applicable	Status of future project phases:	To be determined	

EXECUTIVE SUMMARY

1. This Mid-Term Review (MTR) covers the implementation of the *Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* (GFL/5060-2711-4E67), for the period 15th February 2016 to 30th June 2017. The Project is funded by the Global Environmental Facility (GEF), implemented by UN Environment (UNEP), and executed by the International Union for the Conservation of Nature, Regional Office for Mexico, Central America and the Caribbean (IUCN-ORMACC), with support from the UNEP Regional Office for Latin America and the Caribbean (ROLAC). The Mid-Term Review was carried out in the period July – September 2017.
2. The Project was approved on 23rd July 2015 for a period of 36 months, with a total budget of US\$5,635,257 that is divided between the GEF contribution of US\$1,826,000 and US\$3,809,257.00 in In-kind co-financing from governments of participating countries and other project partners. The actual start of the project cycle was 15th February, 2016 and technical implementation started upon receipt of the first cash advance by IUCN-ORMACC. The Project aligns with UN Environment Medium Term Strategy (MTS) 2014-2017, through the *Ecosystems Management Sub-programme* and the *Environmental Governance Sub-programme*, and with the 2014-2017 Programme of Work (POW). The Project also is aligned with GEF Strategic Objective BD-5, with clear linkages to Aichi Targets (2) Biodiversity Value Integrated and (16) Access and Benefit-Sharing; as well as with Articles 5, 6, 9 and 15 of the Nagoya Protocol.
3. The overall Project Objective seeks the uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries. The project aims to overcome barriers linked to poor understanding of the Nagoya Protocol and ABS and the implications of protocol ratification and requirements for implementation.
4. Consistent with financial statements of the project, by the end of June 2017, the project had disbursed US\$532,604 since its effective start date of February 15th 2016. This represents 29.17% of the total GEF grant (US\$1,826,000), with training and equipment accounting for the larger part of the disbursement, being 41.88% and 57.05%, respectively. However, this level of disbursement is not an indication of deficiencies in budget execution, but rather a reflection of initial delays in the disbursement of the first cash advance and savings in consulting costs. Co-financing disbursed for this same period totalled US\$1,596,979, with grants accounting for US\$1,013,601.04 and in-kind support US\$583,378.05. However, updated financial data provided by the project indicate that disbursements at the end of July had increased to US\$571,758.52, or 31.31% of the total GEF grant.
5. Consistent with the ratings provided in the two tables below, the project is doing well at the mid-term, with some considerations to be made as mentioned further below.

Summary Assessment Rating of Project Performance

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results	The project is well underway to delivering project objectives, with an impressive number of results already achieved at the mid-term.	S
1. Effectiveness	The project has had significant progress towards the achievement of the outcomes, even though the level of achievement in some cases vary significantly between project countries. The outputs delivered at the MTR are significant and are indicative of effective project implementation	S
2. Relevance	The project is well aligned with GEF strategic priorities, national priorities of participating countries, and with UNEP MTS and POW.	HS
3. Efficiency	The project has implemented a series of cost saving approaches, alliances and networking to optimize use of resources in support of project outputs and objectives.	S
B. Sustainability of project outcomes	Political will and institutional uncertainties must be better addressed during the remainder of the project.	MS
1. Financial	The extent to which the continuation of project results and the eventual impact of the project are dependent on financial resources will be intimately linked to whether or not ABS implementation has been streamlined into government processes	MS
2. Socio-political	Political will is a key factor that may influence either positively or negatively the sustenance of project results and progress towards impacts.	MS
3. Institutional framework	The sustainability of the results and onward progress towards impact may be dependent on issues relating to institutional frameworks and governance, from the perspective of institutional structures and mechanisms for ABS implementation.	MS
4. Environmental	There are no project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits, and there are no foreseeable negative environmental impacts that may occur as the project results are being up-scaled	HS
C. Catalytic role	The project has had a catalytic role in securing other ABS interests that will complement the project's objectives and enhance the regional ABS agenda	S
D. Stakeholders involvement	The project has secured alliances with influential regional and international stakeholders as well as academia, line ministries, and indigenous communities	S
E. Country ownership / driven-ness	This has been manifested through leadership in national work plan development, approval and implementation	S
F. Achievement of outputs and activities	The project has had an impressive performance in terms of delivery of outputs at the mid-term for all project components, with quite a number of outputs already 100% completed.	HS
G. Preparation and readiness	Project preparation is deemed to be well done, however, a TOC was not developed during preparation and certain country-specific considerations and a sustainability exit strategy were lacking	S
H. Implementation approach	The project has generally sought to be responsive to country- specific needs as it pursues the implementation of activities as per the original schedule of activities, with minor adjustments where necessary.	S
I. Financial planning and management	Financial planning and management has been exemplary from the perspective of the project team,	S

	but delays in co-financing reports and co-financing contributions below committed levels exist.	
J. Monitoring and Evaluation	Properly designed, implemented on schedule, and appropriately budgeted.	HS
1. M&E Design	Logical Framework well designed, but could have been improved with TOC	S
2. M&E Plan Implementation	Effectively implemented and on schedule	HS
3. Budgeting and funding for M&E activities	Appropriately budgeted and funded.	HS
K. UNEP Supervision and backstopping	UNEP support and back-stopping have been excellent, as evidenced in project documents and decision-making processes.	HS

Likelihood of Impact Rating

<i>Advancing the Nagoya Protocol in Countries of the Caribbean Region Project (GFL/5060-2711-4E67)</i>						
Outcomes	Rating (D-A)	Intermediate States	Rating (D-A)	Impact (GEB)	Rating (+)	Overall
<p>O1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.</p> <p>O2: Future directions of policy development for the region are defined</p> <p>O3: Countries understand their national assets/values and requirements in a regional context</p> <p>O4: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation</p>	B	<p>IS1: Well-structured ABS regimes that are organized, professional and fair, and are inclusive of mechanisms to facilitate access applications, and protection of the region's traditional knowledge.</p> <p>IS2: Removal of critical barriers</p> <p>IS3: The region's attractiveness for biotechnology development is increased.</p>	B	The local and global benefits deriving from ABS implementation are maximized through effective and transparent use of genetic resources, and a more assertive conservation of globally significant Caribbean biodiversity	+	BB+

<p>O5: enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol</p> <p>O6: Countries share information and gain from the experiences of other countries</p>						
<p><u>Justification for the rating:</u></p> <p>The project’s intended outcomes are already partially achieved at the MTR, but are not likely to be fully delivered at EOP due to time constraints, unless the project is extended. Outcomes are designed to facilitate institutionalization within defined line ministries and competent national authorities; while this does not guarantee funding beyond the project, it does makes funding more accessible.</p>	<p><u>Justification for the rating:</u></p> <p>Support to the ABS policies and legislative framework in the region are designed to move towards intermediate states with progress already achieved in 2 countries, but there is no indication that NP ratification and ABS implementation will progress in all the remaining countries and towards the intended long term impact, unless there are more visible signs of accelerated internalization by countries during the second half of the project.</p>	<p><u>Justification for the rating:</u></p> <p>Immediate short-term impacts are already visible, especially in the cases of Antigua & Barbuda, Guyana, and St. Kitts and Nevis. The project has an opportunity to enhance the probability of long term impact by advocating for more regional participation as a key driver and more assertive role of the legislature.</p>				

- The overall rating of likelihood of impact is “**BB+**” and would thus be classified as ‘**Highly Likely**’. However, consideration must be given to the driver and assumptions that are yet to be tested in moving towards the intermediate states defined in the Theory of Change Analysis, the assumption to be tested for moving from intermediate states to long-term impact, and to the possibility of some outcomes not being fully achieved due to time constraints and differences in the rate of uptake among the project countries. With these considerations, a more conservative rating of ‘**Likely**’ is easily justified, unless otherwise demonstrated in the second half of project implementation.

Conclusions

- The project must be commended for having achieved important milestones and having already made important changes in the ABS agenda in the region. The project is on track and progressing well in almost all the activities and outputs, with 100% completed delivery in a

number of outputs. Project Coordination has been essential to progress to date, and project partners have shown sustained commitment to project processes up to now. Project countries are all satisfied with the project's performance and are looking forward to an even better delivery of the second half. The overall management of the project has been handled well, as evidenced by the ratings achieved above.

8. The project has had significant progress towards the achievement of the outcomes. The products obtained so far, as well as the implementation strategies seem to be contributing to the main objective and keeping the project on track. Of interest for the remainder of the project will be the need to develop strategies for accelerating to the extent possible, the rate with which processes for NP uptake at the country level is taking place. There is serious concern about whether the remaining 16 months in project implementation will be enough for the project to achieve all of its intended outcomes. Furthermore, project principals may need to assess whether the relevant regional partners such as OECS and CARICOM, can play a more protagonist role in enhancing the political process for NP uptake, and whether there is a more assertive way of engaging relevant parliamentarians at the country level, to garner their support for ABS processes.

9. Budget savings achieved by the project to date provide an opportunity for more strategic investments towards delivery of project outcomes during the second half of the project, especially in processes to engage high-level political stakeholders at both the national and regional levels, as part of targeted efforts to consolidate support for NP uptake and ratification. These savings also provide an opportunity to assist those countries that have made substantial progress towards NP ratification, but require an extra 'push' to deliver NA ratification by the end of the project.

Lessons Learned

10. The regional design of the project has proven to be an effective and efficient way in promoting the implementation of common regional activities, as opposed to country specific execution, which would have resulted in substantial delays and higher costs.

11. A more in depth consideration of the asymmetries in institutional capacity of countries could have probably resulted in more countries in an advanced state of the uptake process at the MTR, instead of only Antigua and Barbuda, Guyana and St. Kitts & Nevis, and may have also presented a better outlook for achievement of outcomes by end of project, i.e., within the 36-month project cycle. Additionally, the lack of a TOC and 'output to outcome' analysis during the project design resulted in lost opportunities to better test project assumptions and drivers, which would have provided valuable data to inform and refine project implementation strategies and approach, especially in relation to country-specific assumptions and timeline for delivery.

12. The apparent limited knowledge of project counterparts of the project's design suggests that downward communications between the GEF Operational Focal Point and the key project liaison may need to be strengthened. The institutional memory of the project is critical for national ownership and the championing of local processes required by the project.
13. Institutional networking and alliances are clearly desirable options in the process to pursue sustainability options for project information systems and to sustain knowledge management initiatives of the project.
14. Country ownership of project processes at the national level is indispensable for consolidating needed political support and ensuring timely delivery of project outputs and outcomes. Socio-political support will be crucial for the remainder of the project and beyond. In this regard, early engagement of the political directorate could have placed NP uptakes processes nearer towards ratification by the time of the project MTR.
15. Where political will is a determinant in the transition from project outcomes to impact at the national level, efforts must be made to pursue political will in a regional context governed by common interests among the parties concerned, as indirect support to national political processes.
16. Full project outcomes may require substantially more time beyond project closure, and the transition from project outcomes to impact will require a new round of 'hand-holding' with countries while they finalize their NP uptake processes, go through their mainstreaming of ABS, and the validation of ABS regimes in the field. This cannot be achieved in this current project and may require additional support from UNEP and the GEF.

Recommendations

17. Promote dialogue, exchange and support among national focal points, the ministry responsible for ABS, as well as other representatives of relevant institutions directly involved in the project and ABS implementation within the project countries, to ensure a successful outcome for the ABS project in the Caribbean region.
18. Conduct a high-level political meeting, in an effort to increase the direct engagement of parliamentarians in project activities at the country level and in regional project-sponsored regional processes. This is crucial for the sustainability of project outcomes and for transitioning from project outcomes to desired impact.
19. Build upon the success achieved to date, and continue to explore regional synergies and partnerships as part of the project's effort to ensure sustainability of project outcomes.
20. Identify clusters of countries with higher readiness to uptake the NP and offer cluster-specific project support to accelerate steps towards ratification, while also seeking to define tailor-

made assistance to those which may possess greater challenges and thus would not fit in the cluster.

21. Make efforts to ensure that draft ABS Bills and regulations contain provisions for revenue generation which would be earmarked for ABS implementation, compliance, enforcement, and reporting. This is crucial for the sustainability of project outcomes.
22. In view of the late start of the project and the time constraints identified in this MTR for achieving project outcomes, it is recommended that UNEP as the GEF Implementing Agency and IUCN-ORMACC as the project's Executing Agency, consider the formal extension of the project implementation period, in an effort to recover the six (6) months lost at the beginning of the project implementation cycle. This will allow the project time to maximize its delivery of outcomes as originally planned in the project's Logical Framework.
23. Based on progress achieved during the remainder of the project, identify in the remaining PIRs to be produced by the project, areas of intervention and support that would require further financial and technical support, beyond the life of the project.
24. For all future design of regional projects, it is crucial to include a detailed Theory of Change analysis, which thoroughly assesses assumptions and drivers at both the regional and country-specific levels, to allow for early identification of possible intermediate states and alternative outcome to impact pathways, thus allowing for the identification of both regional as well as country-specific project implementation strategies. This will allow for a more effective and efficient project implementation, the strategic positioning of key project drivers, an elimination of unrealistic assumptions, and a minimization of overall project risks.

INTRODUCTION

1. This Mid-Term Review (MTR) covers the implementation of the *Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* (GFL/5060-2711-4E67), for the period 15th February 2016 to 30th June 2017. The Project is funded by the Global Environmental Facility (GEF), implemented by UN environment (UNEP), and executed by the International Union for the Conservation of Nature, Regional Office for Mexico, Central America and the Caribbean (IUCN-ORMACC), with support from the UNEP Regional Office for Latin America and the Caribbean (ROLAC). The Mid-Term Review was carried out in the period July – September 2017.
2. The Project was approved on 23rd July 2015 for a period of 36 months, with a total budget of US\$5,635,257 that is divided between the GEF contribution of US\$1,826,000 and US\$3,809,257.00 in In-kind co-financing from governments of participating countries and other project partners. The actual start of the project cycle was 15th February, 2016, with technical implementation starting upon receipt of the first cash advance by IUCN-ORMACC.
3. The Project aligns with UN Environment Medium Term Strategy (MTS) 2014-2017, through the *Ecosystems Management Sub-programme*, with Expected Accomplishment 3(c): Services and benefits derived from ecosystems are integrated with development planning and accounting and the implementation of biodiversity-related and ecosystem-related multilateral environmental agreements; and through the *Environmental Governance Sub-programme*, with Expected Accomplishment 4(b): The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced. The corresponding Programme of Work (POW) Outputs include (c)(4): Support provided to enable countries to establish national access and benefit-sharing frameworks under national programmes, as well as to strengthen equity in the use and protection of ecosystems, their services and biodiversity; and (b)(2): Legal technical assistance provided to support initiatives by countries to implement, monitor and achieve compliance with, and enforcement of, international environmental obligations, including those set out in multilateral environmental agreements.
4. The Project also is aligned with GEF Strategic Objective BD-5, with clear linkages to Aichi Targets (2) Biodiversity Value Integrated and (16) Access and Benefit-Sharing; as well as with Articles 5, 6, 9 and 15 of the Nagoya Protocol.
5. In line with the UN Environment Evaluation Policy¹ and the UN Environment Programme Manual², the Mid-Term Review is undertaken approximately half way through project implementation to analyze whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR assesses project performance to date (in terms of relevance, effectiveness and efficiency), and determines the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet

¹ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationPolicy/tabid/3050/language/en-US/Default.aspx>

² http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and the IUCN, United Nations Convention on Biological Diversity (UNCBD) Secretariat, the German Technical Cooperation (GIZ), the Organization of Eastern Caribbean States (OECS), and the Governments of Antigua and Barbuda, Barbados, Grenada, Guyana, Saint Kitts and Nevis, Trinidad and Tobago, Jamaica and Saint Lucia. Therefore, the review identifies lessons of operational relevance for future project formulation and implementation (especially for the remainder of the project). To this end, the primary target audience of the evaluation findings includes the UNEP Task Manager, Evaluation Office of UN Environment, the Project Manager, the Regional Project Manager, and members of the Project Steering Committee.

EVALUATION METHODS

- This MTR was conducted by an Independent International Evaluation Consultant as per the Terms of Reference developed by the project for this purpose (Annex 1). The MTR Report was structured as per 'Guidance on the Structure of the Main Evaluation Report' of the Evaluation Office of UN Environment, Revised Version 16th December 2016. The finally agreed time frame of the MTR is presented below in Table 2.

Table 2: MTR Time Frame

Milestone	Deadline/Completion Date
Inception Mission, including field visit and one-on-one interviews to at least 50% of project countries	July 3 rd – 8 th 2017
Inception Report	July 24 th 2017
Questionnaire or one-on-one interviews/survey with remaining 50% of project countries and regional bodies	August 18 th 2017
Additional inputs/clarifications from all project stakeholders, including those consulted during the inception mission	August 28 th 2017
Power Point/presentation on preliminary findings and recommendations	September 8 th 2017
Draft Report to Project Manager	September 11 th 2017
Peer Review Mission with UN Environment Task Manager, IUCN Project Manager, and Project Manager	September 11 th 2017
Draft Report shared with the wider group of stakeholders	September 17 th 2017
Final Main Review Report	October 2 nd 2017
Final Main Review Report shared with all respondents and stakeholders	October 16 th 2017

DESIGN OF THEORY OF CHANGE (TOC) AT EVALUATION

7. In the process of designing the TOC at Evaluation, due consideration was given to feedback received from the primary project principals involved in project implementation and execution, mainly the UNEP Project Task Manager, the IUCN Project Manager and the IUCN Project Coordinator. Care was given to identify where applicable, changes in the project's intended results, intervention logic, or external context that may influence the causal pathways and the changing needs and priorities of project stakeholders, which could consequently result in adjustments to the TOC at Design prepared during the inception phase of the MTR. The TOC at Evaluation, however, can only reflect changes captured through documentary evidence which may include a revised Project Logical Framework, Project Implementation Reviews (PIRs), resolutions and/or Project Steering Committee Minutes (PSCM), etc.
8. In the design of the TOC at Evaluation, the consultant specifically revisited key processes of change of the project to identify where updates may be necessary, including the expected impact from the project as expressed in the project's goal and objective; the inclusion of new results; causal pathways and the causal linkages between results including new results where applicable, and explanations of how one result is contributing or leading to the next; the intermediate states between direct outcomes and impacts where necessary; drivers and assumptions (including new ones) and their role in the change process; key stakeholders (including new ones) needed for the change process; and indicators for the direct outcomes and intermediate states.

DATA COLLECTION

9. The MTR addressed the following four (4) primary evaluation criteria: (1) Attainment of objectives and planned results; (2) Sustainability and catalytic role; (3) Processes affecting attainment of project results; and (4) Complementarity with UNEP strategies and programmes, in addition to the following specific review categories, according to their distribution across the evaluation criteria listed above: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.
10. Evaluation questions were developed as per the guidance provided in Section 10 of the Terms of Reference of the MTR, in consideration of the results of the Project Design Quality Assessment (PDG) presented in Annex 2, and the Reconstructed TOC developed during the inception phase. The main evaluation questions of the Terms of Reference are generally included under 'effectiveness', but are reinforced by other questions through-out the different categories of the MTR as laid out in the Evaluation Framework in Annex 3. All evaluation indicators were analyzed using the project's reporting mechanisms (actual available outputs, PIRs, technical reports, Back to Office Reports, etc.), using where possible quantitative and qualitative data, validated through semi-structured interviews with project staff, partners, beneficiaries and other key stakeholders.

11. Stakeholders and project beneficiaries are important sources of information to validate information in project reports, and are instrumental in reviewing the draft MTR report, and as such, are also targeted audiences of the overall MTR process. Stakeholders, and in particular members of the PSC, were engaged at the start of the inception phase through introductory emails circulated by the project office, followed by more detail contact from the evaluator on the objectives of the MTR, the proposed approach, anticipated inputs from stakeholders, and details of field visits to project countries.
12. The specific methodological steps for data collection in this MTR were as follows:
- a)** A desk review of relevant background documentation, inter alia: the project document developed for this project; Project design documents; Annual Work Plans and Budgets based on implementation schedule in the project document; the logical framework and its budget; PSCM with reports on project progress; financial reports, reports from collaborating partners, Back to Office Reports (BTORs); relevant correspondence and including the Project Implementation Reviews (PIRs); Project outputs: Consultancy reports for the legislative and policy developments under the project; Bioprospecting report for the Caribbean Region; PR materials developed thus far under the project; and Evaluations/Reviews of similar UNEP-implemented projects. A list of documents consulted is presented in Annex 4.
 - b)** Semi-structured questions developed by the evaluator, based on questions in Annex 3, were used to secure responses and inputs from stakeholders on the four primary evaluation criteria and their respective categories. This guaranteed a more interactive process through which the interviewed respondents had more opportunities to contribute to the MTR process, without limitations to the extent of their responses. One-on-one interviews were held with project stakeholders in Trinidad & Tobago, St. Lucia, Antigua & Barbuda, and St. Kitts & Nevis, in addition to the Organization of Eastern Caribbean States (OECS), the Project Coordinating Office, and the Project Management Office. The same questions used in the one-on-one interviews were sent digitally to other project stakeholders in Barbados, Grenada, Guyana, and Jamaica, as well as to the UNEP Project Task Manager, the CARICOM Secretariat, the Secretariat to the Convention on Biological Diversity (SCBD), and to the Secretariat of the GIZ ABS Capacity Development Initiative.
 - c)** The four countries visited are consistent with 50% of the total number of project countries, and were selected based on their relative progress in developing their national ABS framework, ranging from very early stages of development as is the case of Trinidad & Tobago, to being quite advanced as in the case of Antigua & Barbuda, ABS legislation having been passed in their Environmental Protection and Management Act of 2015. Project stakeholders who participated in one-on-one interviews were given the opportunity to provide by email, additional information and/or clarifications where necessary; and the option of doing a Skype interview was also made available, in the event that certain stakeholders may prefer that medium instead

of written inputs. A list of persons who participated in the MTR process is presented in Annex 5.

- d) The findings derived from the desk review, one-on-one interviews with stakeholders from project countries, the project team, regional organizations, and the country visits, were critically reviewed, assessed and systematized to identify trends in the responses and perceptions on the project's results, overall performance, and perceived project challenges. This was especially useful in validating information presented in the Project PIRs and PSCMs, and in ensuring the proper context for articulating project lessons and recommendations for improved implementation in the remaining half of the project.

LIMITATIONS OF THE MID-TERM REVIEW

13. Physical visits were limited to half of the project countries, even though the inputs from other countries were secured through a semi-structured questionnaire. However, it was clear that stakeholders during the visits were more forthcoming with information and perceptions of the project, as opposed to the very limited and specific responses provided electronically in the questionnaire. Some project partners were not available during the review, and as such were not able to contribute to the process. More than half of the primary project focal points in the countries did not participate in the project preparation phase, and therefore could not respond or opted to reserve their response to questions on Project Design and Implementation Arrangements. Also, the fact that a number of project activities are yet to be initiated in the second half of implementation limited the extent to which respondents in the review process were able to articulate their responses in terms of outputs and performance.

THE PROJECT

CONTEXT

14. The Caribbean islands are of critical importance for global biodiversity conservation as large percentages of each species group are endemic to the region and often to particular islands, with high levels of endemism, with 50 per cent of the region's plant life classified as 'unique' and roughly 8 - 35 percent of species within the major marine taxa found globally are endemic to this hotspot. Due to the rich marine ecosystems of the Caribbean region and the fact that the ocean's biodiversity is higher than that recorded on land, bioprospecting of new marine natural products (NMNP) is gaining importance. However, bioprospecting is already common in the insular Caribbean, but generally goes unchecked.
15. There is a tremendous pressure on land resources in the Caribbean region, due to population expansion and subsequent urban development. Coupled with low investment on research and development; this means that innovation is relatively low and that genetic resources are under pressure. The main threats to the terrestrial biodiversity today are habitat destruction and

fragmentation due to the expansion of agriculture, cities, tourism and commercial development. Overexploitation of living resources, predation and competition by invasive alien species are also significant threats. Pollution and sedimentation have negatively affected marine environments by smothering coral reefs, killing fish and reducing the recreational value of beaches. A number of root causes are associated with the threats identified, including a lack of awareness of the importance of environmental protection, weak environmental legislation, limited technical information, weak environmental institutions, and insufficient funding. Under this scenario, Caribbean countries are exposed to exploitation of their genetic resources and traditional knowledge, with no systems or structures in place to guarantee that benefits accrue to local communities and indigenous people, and that the region's traditional knowledge is truly valued and protected.

16. The Nagoya Protocol (NP) on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization of the Convention on Biological Diversity (CBD) is an international agreement which aims at sharing the benefits arising from the utilization of genetic resources and traditional knowledge in a fair and equitable way. All countries participating in this project are signatories to the CBD. Countries are responsible for creating the legal and institutional frameworks that will allow for the development of terms and conditions governing access, use, and sharing of benefits (ABS) deriving from genetic resources, consistent with the Nagoya Protocol.
17. The *Advancing the Nagoya Protocol in Countries of the Caribbean Region* Project seeks to increase the region's attractiveness for biotechnology development and investment through well-structured ABS regimes that are organized, professional and fair, and are inclusive of mechanisms to facilitate access applications, the protection of the region's traditional knowledge, and will strengthen the case for more assertive biodiversity conservation. Likewise, the project seeks to remove critical barriers through technical advice, capacity building, and strengthening of the legal and institutional framework, in order to maximize the global and local benefits that may be derived from proper ABS implementation.

OBJECTIVES AND COMPONENTS

18. The overall Project Objective seeks the uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries. The project aims to overcome barriers linked to poor understanding of the Nagoya Protocol and ABS and the implications of protocol ratification and requirements for implementation.
19. Specifically, the project seeks to:
 - (a) Build knowledge between countries of shared assets and technical information that may later be used by them to build cohesive policies at national level and collaboratively at regional level;
 - (b) Identify and where possible set up sustainability mechanisms for countries by creating networks and coordination mechanisms;

- (c) Support to countries in steps and decisions conducive to ratification of the Nagoya Protocol, including drafting the policy, legal, and regulatory frameworks governing ABS, appointing the National Focal Point, and establishing the Competent National Authority;
- (d) Support to countries to improve their understanding of the implications of the NP ratification in terms of adjustments in the legal and institutional framework, assistance in the development of draft ABS Bills and regulations, and in the development of regional strategic priorities for NP implementation in the region;
- (e) Provide assistance to countries in developing the tools and guidelines required to implement the basic measures of the Nagoya Protocol, including assistance to build awareness among stakeholders that are key for NP implementation to be effective, especially parliamentarians, officers of frontline ministries, indigenous communities and researchers;
- (f) Support for the development of institutional and administrative procedures for ABS Agreements with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing;
- (g) Support to develop administrative procedures for the monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues, and capacity building to create a Roster of Caribbean ABS Experts;
- (h) Support in the drafting of methodologies that could be used by the countries for creating Traditional Knowledge and Genetic Resources inventories in the future;
- (i) Support to strategies that could bring sustainability to the project results, such as monitoring systems (i.e. for bioprospecting) and regional database of research activities;
- (j) Identification of public-private sectors interaction on ABS platforms at the regional level;
- (k) Support to regional coordination and capacity building through planned exchanges of lessons learned and best practices with project countries, the strengthening of collaboration with the SCBD, CARICOM, and the OECS to provide technical and political support for the project where appropriate; and
- (l) The provision of dedicated, targeted and on-demand assistance to project countries to ensure effective implementation at the national level.

20. The project consists of four technical components plus a fifth component dedicated to Project Management, with 42 planned 'Outputs' all contributing to 7 'Outcomes', distributed across four technical components, as follows:

- **Component 1. Identifying regional commonalities and assets, and basic elements conducive to policy formulation.** The objective of this component is to build knowledge

between countries of shared assets and technical information that may later be used by them to build cohesive policies at national level and collaboratively at regional level, such as a Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of main Applications of Traditional Knowledge in the region, which would be used to inform the formulation of National ABS Policies and a Regional ABS Policy. This component also seeks to identify sustainability mechanisms for supporting countries beyond the life of the project and to identify synergies with other ABS related initiatives and to create strategic plans and country roadmaps to facilitate implementation.

- **Component 2: Uptake of the Nagoya Protocol.** The objective of this component is that participating countries take steps and decisions conducive to ratification of the Nagoya Protocol, including drafting the policy, legal, and regulatory frameworks governing ABS, appointing the National Focal Point, establishing the Competent National Authority, and the development of regional strategic priorities for NP implementation in the region.
- **Component 3. Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP.** The objective of this component is to assist countries in developing the tools and guidelines required to implement the basic measures of the Nagoya Protocol, including the building of awareness among stakeholders that are key for NP implementation to be effective, especially parliamentarians, officers of frontline ministries, indigenous communities and researchers; the development of institutional and administrative procedures for ABS Agreements with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing; support to develop administrative procedures for the monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues, and capacity building to create a Roster of Caribbean ABS Experts; the drafting of methodologies for creating Traditional Knowledge and Genetic Resources inventories; monitoring systems (i.e. for bioprospecting), and regional database of research activities linked to existing CHMs or institutional web pages in the region.
- **Component 4. Regional Coordination, technical support and capacity development.** This component seeks to allow for the maximum level of exchange (e.g. learned best practices etc.) and networking facilitated by the Executing Agency – IUCN, and will assist in assessing common issues and how to cope with them collectively. More specifically, these meetings should allow the Executing Agency, the Implementing Agency, and the executing partners in countries and regionally, to better coordinate actions and the use of the human capacity to deliver assistance to the countries and come together in a coherent and united front on ABS related issues.

21. The project's Logical Framework and results hierarchy are summarized below in Table 1.

Table 3: Project Logical Framework

Components	Outputs	Outcomes
<p>C1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.</p>	<p>1.1.1 Scientific Study on Bio-prospecting in the Caribbean Region produced and disseminated, (linked to web-based modular Regional Inventory output in Comp 3)</p> <p>1.1.2 Stocktaking of main Applications of Traditional Knowledge associated with biological resources, generated on the basis of various information sources including a survey completed by a minimum of 50 key stakeholders (linked to web-paged modular Regional Inventory output in Comp 3).</p> <p>1.1.3 Stocktaking of the expertise of non-regulatory organizations involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge in the Caribbean.</p> <p>1.1.4 Information Sheets produced on the basis of the regional stock-takings in relation to bioprospecting, common biological resources, traditional knowledge and related institutions in the Caribbean, distributed widely at events and key locations and forums, on-line and in printed format.</p> <p>1.2.1 ABS Policies produced as national drafts or updated versions of existing policies or strategies.</p> <p>1.2.2 Draft Regional ABS Policy that describes a common vision and shared principles for ABS in the Caribbean.</p> <p>1.2.3 Summarized information items produced to disseminate policy-related progress at the national and regional levels, through websites, bulletins, annual reports and other means as relevant.</p> <p>1.3.1 Project Website and Virtual Regional ABS Forum serving as openly-accessible platforms for dissemination, exchanges, collaboration, and monitoring.</p> <p>1.3.2 CBD COP side-event on Caribbean ABS with a high level of Caribbean participation and in collaboration with partner initiatives in the region.</p> <p>1.3.3 Roster of ABS experts for the region.</p> <p>1.3.4 Inter-institutional coordination included in ABS National Work Plans for at least 8 project countries.</p>	<p>O1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.</p> <p>O2: Future directions of policy development for the region are defined.</p> <p>O3: Countries understand their national assets/values and requirements in a regional Context</p>
<p>C2: Uptake of the Nagoya Protocol.</p>	<p>2.4.1 Assessment of existing national Legal Frameworks attending to legislative overlaps and mandates, and the implications of ratification of the Nagoya Protocol completed, and being used to prioritize interventions in project countries in support of the Nagoya Protocol.</p>	<p>O4: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation.</p>

	<p>2.4.2 Cabinet Papers produced to highlight legislative and regulatory needs and the benefits and opportunities of NP ratification.</p> <p>2.4.3 Draft ABS Bill or Regulations formulated.</p> <p>2.4.4 Nagoya Protocol ratification requests from the Executive Power to the Attorney General.</p> <p>2.4.5 A Regional Strategy and Action Plan (2016-2021) that orients and converges regional efforts for ABS capacity building, sets common ABS capacity building goals for the Caribbean, collaboration, and fund raising opportunities.</p>	
<p>C3: Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP.</p>	<p>3.5.1 ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bioprospecting for awareness-raising regarding ABS and the Nagoya Protocol</p> <p>3.5.2 Inter-institutional workshops for officials of ABS frontline ministries, as well as for consultations and awareness-raising with other relevant sectors.</p> <p>3.5.3 Radio interviews and TV air-time discussions with researchers to highlight the risks, opportunities and challenges with ABS and bio-prospecting</p> <p>3.5.4 Posters and banners for targeted placement in all project countries.</p> <p>3.5.5 Local radio spots produced and aired in indigenous language for ABS awareness-raising for Indigenous Peoples.</p> <p>3.5.6 Operational Guidelines for Implementing ABS policies at the national level (institutional roles and responsibilities).</p> <p>3.5.7 Standardized Training Manual for ABS Implementation developed and used among key line agencies engaged in ABS throughout the region.</p> <p>3.5.8 At least twenty (20) trainers trained, with trainers identified on a Regional ABS Experts Roster, and available to provide expertise in the development of ABS capacity in the region.</p> <p>3.5.9 Standardized Templates for ABS agreements for use through-out the Caribbean Region</p> <p>3.5.10 Protocols for PIC developed with indigenous communities.</p> <p>3.5.11 Standardized Methodology for the creation of national inventories of marine and terrestrial biological resources.</p>	<p>O5: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol.</p>

	<p>3.5.12 Technical Assistance provided in the use of the ABS Clearing House as an exchange and monitoring mechanism (e.g. for approved permits and agreements).</p> <p>3.5.13 A searchable Regional Inventory structured as web-based modules on Research into Caribbean Biological Resources and associated Traditional Knowledge, created on existing CHMs or institutional web pages (Linked to studies of Comp 1).</p> <p>3.5.14 Business Model for Countries of the Caribbean which highlights multiple economic scenarios possible through regulated bio-prospecting available as a tool for countries in their national ABS decision-making and negotiation processes.</p>	
<p>C4: Regional Coordination, technical support and capacity development.</p>	<p>4.6.1 Review to document and tally contributions and collaborations from national and regional institutions that contributed to ABS capacity building by promoting information and experience sharing and collaboration between institutions and countries.</p> <p>4.6.2 Regional Project Inception Workshop completed with all project partners introduced to detailed project work plan, project Logical Framework, implementation timeline and procedures, monitoring and evaluation functions, and overall project governance.</p> <p>4.6.3 Regional Project Closure Workshop for reviewing progress and planning of future activities, sharing lessons learned and best practices arising from the project.</p> <p>4.6.4 Collaboration agreements reached with other key actors in the region resulting in joint planning and joint implementation of activities, avoidance of duplication, and optimization in the use of resources available to the region.</p> <p>4.7.1 National Work Plans (maximum 24 months) prepared and agreed for each project country on the basis of country “ABS Roadmaps”.</p> <p>4.7.2 Technical assistance and feedback provided to all project countries for implementation of their National Work Plans.</p> <p>4.7.3 Project oversight and coordination structures established and functioning throughout the project lifetime.</p> <p>4.7.4 Three (3) or more virtual or physical meetings carried out, involving Project Focal Points, national and regional organizations, and key partners, as appropriate, for project planning, coordination and oversight and to provide inputs to project implementation.</p>	<p>O6: Countries share information and gain from the experiences of other countries.</p> <p>O7: Effective project coordination and delivery, meeting agreed measurable outputs and indicators.</p>

	<p>4.7.5 End-of-Project Survey to gauge, among project beneficiaries and partners, satisfaction levels regarding project results, management and technical assistance.</p> <p>4.7.6 Mid Term Evaluation completed with project successes and lessons learned evaluated and used to inform the implementation of the rest of the project.</p> <p>4.7.7 Terminal Evaluation completed with achievement of project goals and objectives evaluated.</p>	
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STAKEHOLDERS

22. The PRODOC includes a clear stakeholder analysis, which provides a good overview of different groups and institutions that would have been affected by activities of the project and how they will benefit or participate in the project. The PRODOC provides a rationale for the specific stakeholders included in the process; but also provides details of the stakeholder consultation process itself during the project’s design. According to the PRODOC, the identification and engagement of stakeholders during project preparation was guided by those who could have the most relevant and direct impact on project activities and outcomes, as well as those who will be direct project beneficiaries. Specifically identified were Parliamentarians, CBD Focal Points, GEF Focal Points, the Nagoya Protocol/ABS Focal Points, operational representatives of line ministries dealing with permitting, management and access to genetic and biological resources, local communities, and other institutions working closely with the ABS agenda.
23. Results of a stakeholder mapping exercise conducted during project preparation identified key project stakeholders, their relevance or role in the project’s area of influence, and the potential impact they may have during and beyond project implementation. These were once again reviewed and confirmed during this MTR through participants’ lists of project events conducted thus far. A total of 22 institutional stakeholders were identified for the project, distributed across the following categories: government, national legislative bodies, leading executing partner, regional government institutions, national and international universities and research centres, key international development organizations and cooperation agencies, and NGO working with Indigenous Local Communities (ILCs). While one Ministry of Government is the key Project Focal Point Ministry, the project recognizes that the cross sectoral nature of ABS implementation requires that the project liaise with other ministries as well where appropriate, in cases where the role of said ministries will be key to the delivery project outputs. Table 4 presents a summary of stakeholders and their relationship with the project, using a Johari type approach, where stakeholders have been grouped into four primary types based on the perceived strength of their relationship and influence on the project, and considers the situation as it stands at the project mid-term.

24. The Project Steering Committee (PSC), National Coordination Consultants, regional and international organizations, are key stakeholders in the projects overall implementation structure as described below in paragraph 27.

25. Gender mainstreaming in the implementation of all capacity building processes and in the creation of inclusive spaces in governance structures are clearly outlined in the PRODOC. Indigenous communities are specifically targeted in Component 3, Outcome 3.1 of the project Logical Framework, in investments in public awareness in indigenous language, and in the development of templates for Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT). In the technical workshops and public awareness efforts conducted to date by the project, participation by women has been exemplary and the value of traditional knowledge effectively presented in the project’s awareness videos and public education activities.

Table 4: Stakeholder Analysis

Stakeholder	Relevance and Impact on Project Implementation.	Participation in Project Design	Roles and Responsibilities in Project Implementation	Changes in Behaviour Expected as a Result of Project Implementation
Type A: High power / high interest = Key player				
GEF Political Focal Point GEF Operational Focal Point Project Focal Point Focal Ministry or Agency CBD/ABS Focal Point Project Steering Committee Regional Organizations International Organizations National Coordination Consultants Implementing Agency Executing Agency	Facilitation of ratification of Nagoya Protocol by national governments; Champion policy formulation and institutional reform for ABS Implementation; Facilitation of regional ABS policy processes; Project coordination, performance, oversight and fiduciary responsibilities; Opportunities for collaboration and avoidance of duplication.	Extensive institutional participation with direct inputs in project formulation processes, with the exception of a few.	Provision of co-financing and participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Institutionalization of project results and lessons learned to allow for up-scaling, replication and sustainability.	Increased advocacy for ABS implementation. Increased collaboration in ABS implementation. Increased willingness of institutional partners to participate in ABS implementation. Increased appreciation for the economic value of genetic resources.
Type B: High power/ low interest over the project =Meet their needs				
Parliamentarians and national legislature Ministry of Foreign Affairs Attorney General Ministry of Foreign Trade	Leadership in legislative process for ABS implementation; Leadership in actions to uptake and ratify the Nagoya Protocol; Legal drafting and movement of instruments for ratification	Limited participation in project preparation; inputs during regional ABS consultation workshop and related CARICOM workshop on Multi-Lateral Environmental agreements	Facilitation of political buy-in. Political approval. Facilitation of preparation and submission of ratification instruments. Legal sustainability of project outcomes.	Enhanced understanding, ownership and leadership in the consolidation of processes for NP Uptake and ABS implementation.
Type C: Low power/ high interest over the project= Show consideration				

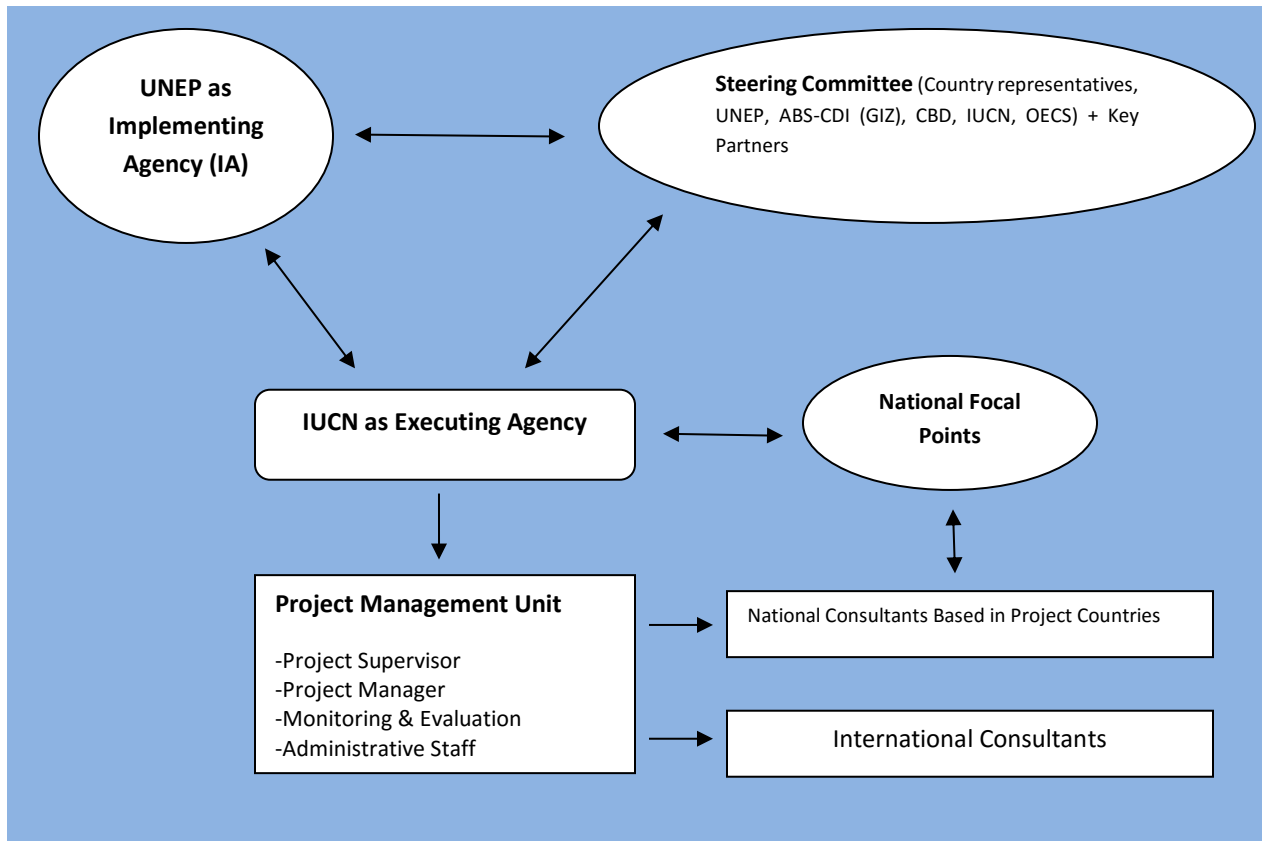
<p>Indigenous Communities NGO (Iwokrama - Guyana) Protected Areas Agency Wildlife Protection Agency Intellectual Property Agency Bioprospecting interests</p>	<p>Agency with exemplary experiences and lessons learned from working with ILCs in the management of biological and genetic resources in Guyanese Rainforests</p> <p>A valuable source of ILCs engagement models to be explored and replicated where viable in ILC awareness efforts by the project</p> <p>Responsibility for enforcing ABS regulations in protected areas, and the approval of bioprospecting permits.</p>	<p>Limited participation in project preparation; inputs during regional ABS consultation workshop and related CARICOM workshop on Multi-Lateral Environmental Agreements</p> <p>Some protected areas agencies had direct one-on-one inputs to formulation of project document.</p>	<p>Technical expertise and engagement platform for ILCs in Guyana.</p> <p>Review and vet ABS policy and regulations for relevance and ease of enforcement.</p>	<p>ILCs are more assertive in protecting their rights to fair and equitable access and benefit sharing.</p> <p>Personnel from permitting and enforcement agencies fully understand the NP and all dimensions of ABS implementation and can confidently enforce as required.</p>
<p>Type D: Low power /low interest over the project= Least important</p>				
<p>Indirect beneficiaries of the project Research Institutions Academia</p>	<p>Experience in research and bioprospecting of Caribbean genetic resources</p> <p>Source of relevant data for regional inventory of Caribbean genetic resources</p>	<p>Limited participation in project preparation; inputs during regional ABS consultation workshop and related CARICOM workshop on Multi-Lateral Environmental Agreements</p> <p>Selective one on-one inputs to project document preparation.</p>	<p>Source for data and technical expertise relevant for bioprospecting and broader ABS policy formulation.</p>	<p>Research institutions and academia are more engaged in Caribbean bioprospecting research and generating data to inform national and regional ABS policy.</p>

PROJECT IMPLEMENTATION STRUCTURES AND PARTNERS

26. Regional coordination and overall project supervision is the responsibility of UNEP as the GEF’s Implementing Agency (IA) and the IUCN-ORMACC as the project’s Executing Agency (EA). IUCN-ORMACC is responsible for day-to-day project execution in the region through the support of the Regional Project Manager and National Consultants in project countries, with management and administrative support from the Project Manager, Supervisor, Finance Officer and Administrative Assistant based at the IUCN-ORMACC offices in Costa Rica. UNEP’s Task Manager based in ROLAC in Panama provides continuous support and works closely with project personnel in project implementation aspects related to UNEP and the GEF implementation requirements.
27. The Project Steering Committee (PSC) is the project’s main coordination and oversight mechanism, and comprises of representatives from IUCN ORMACC (*Project Manager*), UNEP (*Task Manager*), GIZ ABS Capacity Development Initiative, CBD Secretariat, the

OECS, and each country's project authority (8 Project Focal Points). The PSC invites on an *ad hoc* basis, regional organizations (such as UNEP ROLAC, CARICOM, University of the West Indies (UWI), among others) to its meetings in order to address specific and relevant issues to the project. National Coordination Consultants provide coordination support for Project Focal Points on a needs basis, such as support in the organization of specific events, streamline processes, identify experts, prepare briefs, workshop agendas and minutes, and facilitate discussions, among others. The project has held two PSC meetings thus far with almost the full participation of the representatives mentioned above, evidencing ownership and commitment by stakeholders in the governance and decision-making processes of the project. Figure 1 illustrates the implementation arrangements of the project.

Figure 1: Project Implementation Arrangements



CHANGES IN DESIGN DURING IMPLEMENTATION

28. There were no events of significance that affected the project's scope, parameters, or proposed results. At the time of the MTR, there are no extensions to the project, whether costed or no-cost, and no additional funding had been secured beyond what was stipulated in the approved Project Document.

PROJECT FINANCING

29. Consistent with financial statements of the project, by the end of June 2017, the project had disbursed US\$532,604 since its effective start date of February 15th 2016. This represents 29.17% of the total GEF grant (US\$1,826,000), with training and equipment accounting for the larger part of the disbursement, being 41.88% and 57.05%, respectively. It is important to note that this level of disbursement is not due to deficiencies in budget execution, but rather due to initial delays in the start of the project. Co-financing disbursed for this same period totalled US\$1,596,979, with grants accounting for US\$1,013,601.04 and in-kind support US\$583,378.05. However, updated financial data provided by the project indicate that disbursements by the project at the end of July had increased to US\$571,758.52, or 31.31% of the total GEF grant. Table 5 illustrates the project budget and expenditure summary at July 2017, while the project costs and co-financing table is presented in Annex 6, based on data in ANUBIS.

Table 5: Project Budget and Expenditure Summary

	UNEP Budget Line	Sub-component	Budget at Design (US\$)	Expenditure at July 2017	% Spent
10	PERSONNEL COMPONENT				
	1100	Project personnel			
	1101	Regional project coordinator	135,120	\$88,530.30	65.52%
	1102	Project Staff	176,969	\$103,115.01	58.28%
	1120	Administrative Staff	117,917	\$48,142.04	40.83%
	1200	Consultants			
	1201	International Consultants	230,000	\$109,743.91	47.71%
	1202	National Consultants	332,036	\$3,750.00	1.13%
	1600	Travel on official business			
	1601	Staff Travel & Transport	93,000	\$9,725.60	10.46%
20	SUB-CONTRACT COMPONENT				
	2301	Sub-contracts to private firms	199,163	0.0	0.0%
30	TRAINING COMPONENT				
	3201	Training	209,000	\$139,112.92	66.56%
	3301	Meetings/Conferences	153,400	\$14,485.66	9.44%
40	EQUIPMENT AND PREMISES COMPONENT				
	4101	Office supplies and consumables	5,400	\$5,456.42	101.04%
	4201	Non Laboratory purchase	8,000	\$4,604.20	57.55%
	4301	Office Premises	25,200	\$13,807.38	54.79%
50	MISCELLANEOUS COMPONENT				

	5101	Equipment Maintenance	6,000	0	0.0%
	5201	Publications, Translations, Dissemination and reporting costs	27,594	\$8,973.88	32.52%
	5202	Audit reports (Exclusive for 1 year)/Annual	21,000	\$4,325.84	20.60%
	5301	Communications (tel., fax, e-mail, etc)	13,200	\$12,871.81	97.51%
	5302	Others	8,000	\$5,113.55	63.92%
	5303	Tech. Support & Evaluation	65,000	\$0.00	0.0%
99	GRAND TOTAL		1,826,000	\$571,758.52	

THEORY OF CHANGE AT EVALUATION

30. A ‘Theory of Change’ (TOC) describes the processes of change by outlining the causal pathways from outputs through direct outcomes through other ‘intermediate states’ towards impact. It explains how activities are understood to produce a series of results that contribute to achieving the final intended impacts. In UNEP evaluations, and consistent with the GEF Review of Outcomes to Impact (ROtI) Handbook, the TOC is used to illustrate the logical sequence of intended changes called “causal” or “impact pathways” to which the project is expected to contribute. It shows the causal linkages between changes at different results levels and identifies the factors influencing those changes (means-ends relationships). It recognizes significant ‘assumptions’ which are expected to contribute to the realization of the intended impacts, but are largely beyond the control of the project, as well as ‘drivers’ of change which the project is able to influence. A good TOC analysis should help to determine if the outputs, outcomes, and intermediate states of a project are likely to lead to a lasting impact. In the case of this Mid-Term Review, some of the linkages and pathways are still theoretical, since the intermediate states may not yet be visible or measurable.
31. The intervention logic in the Project Document, the Logical Framework and the results of the PDQ Assessment (see Annex 2) were analyzed to establish the project’s TOC, and a “reconstructed” TOC at Design was developed to help identify links between outputs and outcomes, and the intermediary states between outcomes and intended impacts. During the main MTR process, the TOC at design was revisited after a review of project processes, documentary evidence including the PIRs, minutes of the Project Steering Committee meetings, and other evidence of project outputs including BTORs, workshop programs and participants’ lists, etc, to reconstruct the TOC at Evaluation.
32. The logic and causal pathways defined in the Project Document and Logical Framework for moving from activities to outputs show strong coherence, resulting in a reconstructed TOC at Evaluation that is very representative of the project’s Logical Framework, as illustrated in Figure 2 below, and are expected to lead to tangible outcomes. There are clear linkages between components as well as pathways which connect outputs and outcomes of different components, as well as precursor linkages between outputs (for example Output 1.1 being a

precursor for Output 1.2, thus providing direct inputs to Outcome 1, but also indirect inputs to Outcome 2).

33. The TOC also shows Outcome 1 (*countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy*) and Outcome 3 (*countries understand their national assets/values and requirements in a regional context*) as precursors or pre-requisites to achieving Outcome 2 (*future directions of policy development for the region are defined*). Likewise, the logic and thought process that national authorities must first take informed decisions on, and steps towards the ratification of the protocol and future implementation, before an enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya protocol, clearly demonstrates Outcome 1.4 as a precursor to Outcome 1.5. Similarly, the reconstructed TOC illustrates a clear linkage between Outputs of components 3 and 4 directly impacting all six anticipated Outcomes. These linkages provide evidence of strong synergy and coherence between components, outputs and outcomes, as further explained below.
34. While the assumptions outlined in the project's logical framework are robust, they are for the most part applicable in the transition between outputs and outcomes, requiring a further articulation of applicable assumptions between outcomes and intermediates states, and between these and impact. Similarly, there are certain circumstances and factors that the project can influence, in support of outcomes, intermediate states, and impacts. These have been identified and explained as 'drivers' below and illustrated in figure 2.
35. Outputs to outcomes: The outputs outlined for Component 1 show a clear linkage with the 3 outcomes defined for that component, even though Outcomes 1 & 3 could be integrated as one, both of which support Outcome 2 (as suggested above). In addition to direct linkage with Outcome 4, the outputs outlined for Component 2 all contribute indirectly to lower level outcomes 1, 2 and 3, all of which are concrete steps towards Outcome 4: National authorities take informed decisions on, and steps towards the ratification of the protocol and future implementation. To further explain the lower level relationship, there are clear linkages between the generation of scientific information on bioprospecting and Traditional Knowledge, with outcomes geared towards establishing a common ABS knowledge base at the national and regional levels, which would inform the formulation of ABS policies at both the national and regional levels, all of which collectively contribute to the creation of an enabling environment for the implementation of the provisions of the Nagoya Protocol through-out the region (Outcome 5, which is the primary outcome of Component 3).
36. It is clear from the presentation above that Outcome 1-4 are lower level outcomes, all of which contribute to a logical pathway leading to the achievement of Outcome 5. Outputs of Component 4, focusing on information dissemination and sharing of lessons learned and leading to Outcome 6, are transversal and clearly linked to Outcome 1-5, since all components generate information to be disseminated and shared via activities of Component 4.

37. **Outputs to outcomes Assumptions and Drivers:** At the very base of the transition between outputs and outcomes is the key driver that the evolving interest in bioprospecting, technical understanding of the common genetic resources which exist in the region, and continued commitment of the countries to the CBD and the NP, continue to be a driving force for scientists, politicians and their constituents to advocate for timely NP implementation. The technical capacity to understand and advocate for fair and equitable ABS from the use of genetic resources is a factor that the project influences and contributes to directly through training and dissemination of technical studies and support to Caribbean ABS Experts. While the Logical Framework identified numerous assumptions, those that are key for the transition between outputs and outcomes are rooted in information generation and sharing, the prioritization of policy formulation by governments, and the need for decision-makers to embrace the information and knowledge generated to inform ABS policy formulation.
38. **Outcomes to intermediate state to impact:** The transition between outcomes 1-6 and impact is not direct, and requires at least three 'intermediate states'. These Intermediate States are:
- (i) Well-structured ABS regimes that are organized, professional and fair, and are inclusive of mechanisms to facilitate access applications, and protection of the region's traditional knowledge;*
 - (ii) Removal of critical barriers; and*
 - (iii) The region's attractiveness for biotechnology development is increased.*
39. These intermediate states qualify the outcomes and their readiness to ultimately and truly deliver the desired impact and Global Environmental Benefits (GEB), which is to ensure that local and global benefits deriving from ABS implementation are maximized through effective and transparent use of genetic resources, and a more assertive conservation of globally significant Caribbean biodiversity. The logic behind the intermediate states focuses on critical institutional processes at the regional, national and systemic levels that are required to translate project outcomes to tangible and measurable impacts in both the short and long term, as further discussed below.
40. **Outcomes to intermediate states to impact Assumptions and Driver:** The transition between outcomes and achieving the intermediate states relies on the continuous efforts of the regional political directorate (CARICOM and OECS) to influence and facilitate the ABS political agenda, both regionally and nationally. While an enabling environment may be created that could lead to the implementation of the NP, as defined in Outcome 5, an enabling environment is not synonymous to NP ratification (which would be an immediate short term impact of the project), and much less to the NP having an impact on Caribbean genetic resources and the benefits deriving thereof (a long term impact of the project). The project can influence the achievement of the intermediate state by consciously facilitating during the project life, opportunities for inter-institutional commitments between the OECS and CARICOM to institutionalize NP ratification and ABS implementation at the highest political and economic levels in both the OECS and CARICOM.

41. The information generated, awareness, tools, guidelines, and support to the legislative framework must be strategic and designed to deliver those specific features and characteristics that will maximize the likeliness of achieving the intended impact. Beyond the planned outcomes of the project, there is still a need for confirmation of ratification of the NP, confirmation of passage or adoption by parliament of ABS legal frameworks, and the internalization/institutionalization of newly adopted ABS regimes. This will provide evidence that critical barriers have in fact been removed, and the region's attractiveness for biotechnology development has increased. To achieve this, there is an underlying assumption that the executive power and legislature must exhibit political leadership in the NP ratification and implementation process, beyond the outcomes of the project.
42. The achievement of the ultimate impact, which is that local and global benefits deriving from ABS implementation are maximized through affective and transparent use of genetic resources, and a more assertive conservation of globally-significant Caribbean biodiversity, is strongly linked to the assumption that the ABS regimes which have been institutionalized by countries in the region are effectively enforced by the competent national authorities. The difficulty or ease with which institutions may be able to ensure effective compliance will be determined by whether tangible benefits of the use of genetic resources are accrued in a fair and transparent manner to relevant stakeholders across countries and the region. The intermediate states, drivers, and assumptions identified during the MTR are presented below in the TOC at Evaluation in Figure 2.

EVALUATION FINDINGS

43. Overall findings of the MTR are summarized as per the criteria and rating scale used by UN Environment, consisting of the following five (5) ratings:

HS: Highly Satisfactory; S: Satisfactory; MS: Moderately Satisfactory; MU: Moderately Unsatisfactory; and U: Unsatisfactory

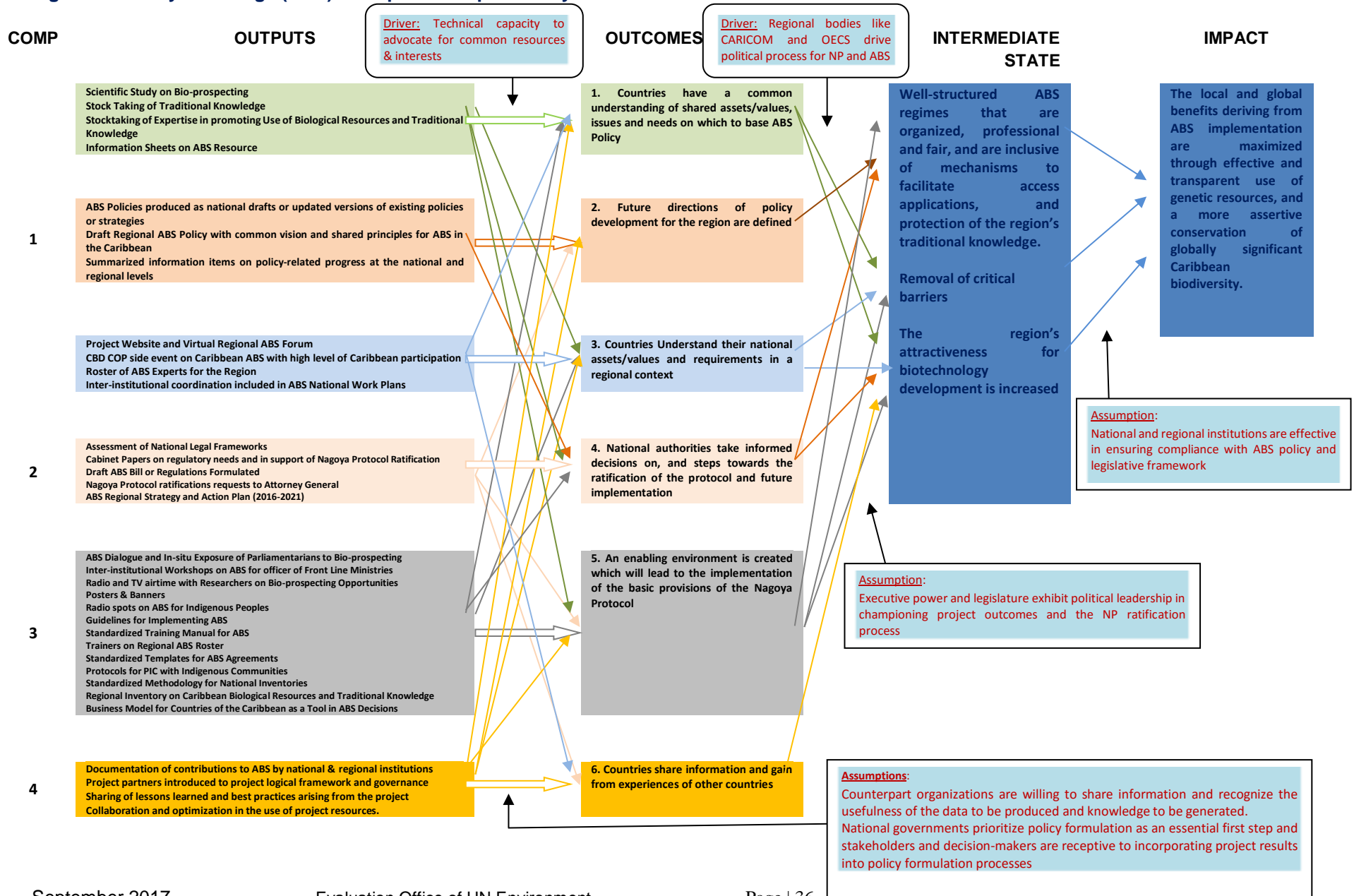
STRATEGIC RELEVANCE

44. As stated previously in paragraph 3, the Project aligns with UN Environment Medium Term Strategy (MTS) 2014-2017, through the *Ecosystems Management Sub-programme*, with Expected Accomplishment 3(c): Services and benefits derived from ecosystems are integrated with development planning and accounting and the implementation of biodiversity-related and ecosystem-related multilateral environmental agreements; and through the *Environmental Governance Sub-programme*, with Expected Accomplishment 4(b): The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced. The corresponding Programme of Work (POW) Outputs include (c)(4): Support provided to enable countries to establish national access and benefit-sharing frameworks under national programmes, as well as to strengthen equity in the use and protection of ecosystems, their services and biodiversity; and (b)(2): Legal technical assistance provided

to support initiatives by countries to implement, monitor and achieve compliance with, and enforcement of, international environmental obligations, including those set out in multilateral environmental agreements.

45. Though the Bali Action Plan and South-South Cooperation were not specifically referenced in the project document, components 3 and 4 promote capacity building, training, and regional information sharing and exchange as central themes of the project. The project also embraces technology in its capacity-building and information dissemination efforts, through provisions for a Virtual ABS Forum and online interactive possibilities.
46. This project is in line with Objective 4 of the Biodiversity Focal Area Strategy for GEF-5: Build Capacity on Access to Genetic Resources and Benefit Sharing (ABS). The project is consistent with the activities prioritized for GEF project support, which include capacity development of governments for meeting their obligations under Article 15 of the CBD, as well as developing capacity within key stakeholder groups. The Project also is aligned Aichi Targets (16), which states that: "By 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation. Access and Benefit-Sharing; and with Articles 5, 6, 9 and 15 of the Nagoya Protocol.
47. The objectives of the project are consistent with the strategic priorities defined in the Biodiversity Strategy and Action Plans of all the countries participating in the project, and which were all reconfirmed in the countries' 4th and 5th National Country Reports to the CBD. The project is also perfectly aligned with the National Development Plan of the participating countries. Some examples of this alignment include Goal 4 of the Jamaica National Development Plan which seeks to maintain a Healthy Natural Environment through National Outcome #13 which calls for the Sustainable Management and Use of Environmental and Natural Resources; Goal 4 of Barbados National Strategic Plan 2005-2025 which focuses on Strengthening Physical Infrastructure and Preserving the Environment through the development of accurate data and information systems through mapping and recording of all environmental assets, and by ensuring that the integrity of natural features, wildlife habitats, significant flora and fauna, and important landscape and seascape features and protected areas are maintained during the process of development; Chapter 5 of Guyana's most recent National Development Strategy (2001-2010) clearly defines its Environmental Policy Objectives focused at enhancing the quality of life of the country's inhabitants by utilizing its natural resources while neither degrading nor contaminating them, ensuring that the natural resource base for economic growth continues to be available in the future, and to intensify and widen the dimensions of the citizens' living standards through the conservation of unique habitats, natural treasures, biodiversity and the country's cultural heritage.

Figure 2: Theory of Change (TOC) – Outputs to Impact Analysis



48. The project is building on the results, lessons and experiences of the GIZ-CDI, the SCBD, the CARICOM Secretariat, and the GEF-UNEP ABS LAC Project in their efforts to introduce countries to the implementation requirements of ABS under the Nagoya Protocol, capacity building in the implementation of Multi-Lateral Environmental Agreements, and in embracing academia and research centres in bioprospecting research. The project also is seeking to maximize synergies and opportunities with the GEF 'Strengthening Access and Benefit Sharing (ABS) in the Bahamas' Project, through joint implementation of project activities, sharing of lessons learnt and information exchange.

The overall rating for the project's Strategic Relevance is "Highly satisfactory".

QUALITY OF PROJECT DESIGN

49. An initial assessment of Project Design Quality (PDQ) was completed for the project based on a review of project design documentation (primarily the PRODOC and Logical Framework). The results of this, coupled to responses to project evaluation questions received from project stakeholders, and review of project implementation documents, were used in the development of causal pathways, assumptions and drivers in the reconstructed Theory of Change at Evaluation, which was instrumental in confirming preliminary results of the assessment of project design.
50. There were no major Project Review Committee issues noted. Country-specific readiness could have been better analyzed in preparation of the final PRODOC. The issue of asymmetries in individual country capacity to absorb project support, and thus the overall readiness of the region to uptake the implementation of the NP could have been more critically reviewed which may have resulted in adjustments in project design. The PRODOC contains clear descriptions of the project's problem analysis, situation analysis and identification of stakeholders, even though the stakeholder engagement could have been better defined. Elements of human and sustainable development are appropriately addressed in the PRODOC. Intended results and causality are effectively addressed, except that differences in the pace of legislative change among countries could affect outcomes. While some outcomes may be realistic within the 36-month project cycle, the fact that the pace of legislative change is different in each country may prove to be a challenge in reaching all outcomes in all countries within the time frame defined.
51. The baseline, outcomes, outputs, indicators, targets and assumptions as defined in the Logical Framework of the project and in the PRODOC, provide a good system for monitoring of the project's progress. While no indicators were labelled as 'Output Indicators', the Mid-Term and End of Project Targets are in fact articulated as output indicators in the Results Framework of the project. Project design could have been enhanced with a TOC in the project document. The institutional arrangements of the project are adequate and representative of the governance needs of a regional project such as this one; and partnerships have been

appropriately identified including their specific roles. The project has to now exercise due diligence in sustaining timely and effective participation for the remainder of the project cycle.

52. The project's knowledge management approach, communication mechanisms and methods for sharing of results and lessons at the end of the project are clearly defined. Likewise, risks and corresponding mitigation measures are adequately addressed in multiple sections of the PRODOC. Environmental, social, and economic safeguards are also given due consideration. Key assumptions were reaffirmed in the reconstructed TOC.
53. Even though no TOC was included in the project document, the TOC at Evaluation provides evidence of robust causal pathways between outputs and outcomes, with strong coherence between outputs and outcomes, as well as between outcomes. Of the thirteen (13) criteria assessed in the PDQ, 8 were rated as 'Highly Satisfactory', with none receiving a rating below 'Satisfactory'. Additionally, the 5 rated as 'Satisfactory' do not necessarily place project implementation and delivery of project outcomes at risk, and this MTR will provide an opportunity for the project to increase its assertiveness in continuing to mitigate the potential risks already identified and increase conditions in favour of the transition from outcomes to impact, during the remainder of the project cycle.

The overall rating for the Quality of Project design is 'Satisfactory'.

NATURE OF THE EXTERNAL CONTEXT

54. The project faces no major challenge in terms of its External Context, and where a potential challenge may exist the PRODOC has identified necessary mitigation measures. The 8 countries participating in the project all have general elections at different times after either 4 or 5 year terms, thus staff turnover with change of government may be a challenge. However, this was identified as a risk in the PRODOC (Section 3.5) with appropriate mitigation measures defined. Natural disasters may pose a threat in terms of project delays, however prudent planning that is typical of countries in the hurricane belt will mitigate the possible impacts of this. Other external factors such as conflicts and political upheaval are not known characteristics of the Caribbean region; therefore these are not foreseen to limit the project's performance in anyway.

The overall rating for Nature of the External Context is 'Highly satisfactory'.

EFFECTIVENESS

ACHIEVEMENT OF OUTPUTS

55. This section provides an overview of the status of the project's outputs by component at the time of the MTR and an assessment of necessary considerations for their successful delivery during the remainder of the project cycle, considering the possible impacts the six-month late start may have had on project outputs to date. The assessment below is based on mid-term

targets defined in the logical framework, validated against the results of project implementation to date, with due consideration of inputs provided by stakeholders during interviews conducted as part of this MTR process.

Component 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.

56. Consistent with information presented in the PIRs and confirmed in interviews with project stakeholders, most of the outputs under this component are well on track, and show a clear positive result when compared to the baseline defined in the project's Logical Framework. The Scientific Study on Bio-prospecting, Stocktaking of Applications of Traditional Knowledge, Stocktaking of the expertise of non-regulatory organizations, and corresponding Information Sheets have all been completed, pending final revisions, and dissemination. A draft national ABS policy template has been completed for Antigua and Barbuda, and will be used as a template for other project countries. A draft regional ABS policy has been prepared and reviewed by countries, and is now being finalized. Information sheets are going through final editing to disseminate policy-related progress at the national and regional levels. A host for the project website has been finalized and information to populate the website is being collected.
57. A high level Caribbean delegation participated in CBD COP side event held in Cancun in December 2016, to present progress and challenges in ABS implementation. Criteria for a Roster of ABS experts for the region has been developed, however, experts had not been nominated at the time of the MTR. In terms of inter-institutional coordination, all 8 countries included inter-institutional workshops in their national work plans, with one workshop having been held in each country at the time of the MTR. Overall, all outputs under this component were in excess of 70% complete, with most between 90% and 100%. One specific output relating to the project's website and the virtual ABS Forum is delayed, however, the procurement process was underway to secure the expertise needed for the development of these online tools.

Component 2: Uptake of the Nagoya Protocol.

58. Component 2 is on track with most activities, with the legislative assessment as a specific outputs having been completed for all eight countries at the MTR, including a series of consultation workshops through-out the region. Additionally, National ABS Checkpoints have been proposed by the countries, and would be tasked primarily with the monitoring of the use of genetic resources in each country. Antigua and Barbuda has already done their Cabinet Paper and ratified the protocol, and the project continues to provide support to other countries to facilitate the process leading up to the point of ratification. Proposed drafts for ABS regulations have been formulated for Antigua and Barbuda and Guyana, while draft ABS Bills for St. Kitts and Nevis, St. Lucia, and Grenada have been prepared and are undergoing the necessary review process. Both Guyana and Antigua and Barbuda have now ratified the Nagoya Protocol, while St. Kitts and Nevis have indicated its intention to ratify by December

2018. A Draft Regional ABS Strategy has been developed and has been reviewed twice, with finalization of both the strategy and corresponding action plan imminent before the end of 2017.



Figure 3: David Persaud addresses attendees at the Trinidad and Tobago National Workshop on April 28th, 2016. Photo Credit: Environmental Policy and Planning Division, Trinidad & Tobago

59. All outputs under this component are above 60% complete at the MTR, with the exception of Cabinet Papers in support of the NP ratification process, which are only 10% complete at the time of the MTR. It must be noted, however, that assessments of existing national legal framework attending to legislative overlaps and mandates and implications of ratification of the Nagoya Protocol have been 100% completed, and available to assist in prioritizing interventions in project countries in support of the Nagoya Protocol. This is a major accomplishment and a key precursor to moving the ratification process forward, and clearly an important driver of change that the project has delivered on in the first half of project implementation.

Component 3: Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP.

60. This component is by far the largest in terms of number of planned outputs. A key output of this component and of the project on a whole, are ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bio-prospecting for awareness raising regarding ABS and the Nagoya Protocol. This is a crucial output to secure political buy-in and ownership in the process to secure NP ratification. To this end, the project has held one meeting with the OECS ministers of Environment and one meeting with the Minister of Environment and Health for St. Kitts and Nevis. However, at the level of the technocrats in line ministries and relevant

sectors, 10 Workshops have already been held to build ABS awareness and secure overall support, with the participation of women averaging 64% of participants in all project events held to date, as determined based on a review of the participants' lists.



Figure 4: Third Regional Workshop on the project “Advancing the Nagoya Protocol in Countries of the Caribbean Region”, Bridgetown Barbados, 20th - 21th of February, 2017. Photo Credit: IUCN-ORMACC



Figure 5: Advancing the Nagoya protocol in Countries of the Caribbean Regional Meeting, Basseterre, St. Kitts and Nevis on the 19th - 20th of June, 2017. Photo Credit: IUCN-ORMACC.

61. In terms of radio interviews and TV air time discussions with researchers to highlight the risks, opportunities, and challenges with ABS and bio-prospecting, no interviews have been held as yet. However, the project has produced and disseminated regionally, internationally and nationally two videos on ABS in the Caribbean Region. Based on the 'Video Marketing and Dissemination Plan' produced by the project, the distribution of the videos may include as much as 79 media outlets, as well as distributed via the media platforms of 10 institutional partners through-out the Caribbean region. Additionally, 5 videos in the Amerindian language have also been done for Guyana, and presented to the Government of Guyana for distribution to the nine Amerindian districts in Guyana. The videos are being promoted via Facebook, Instagram and Twitter, primarily via IUCN accounts:

- <https://www.facebook.com/UICN-México-América-Central-y-el-Caribe-495708757199181/>
- <https://www.youtube.com/user/UICNes>
- <https://www.iucn.org/ormacc>
- <https://twitter.com/IUCN-ORMACC>

62. Other efforts by the project to build ABS awareness included the installation of signs, with 10 Signs having been installed in Antigua and Barbuda at the MTR. Project banners are used at all national and regional meetings, however, in terms of sustained national awareness building, some countries have indicated that the original thought of using posters and banners will not work, and are more inclined towards signs as used in Antigua and Barbuda, an issue the project will have to address immediately in the second half of implementation.

63. Operational Guidelines for Implementing ABS policies at the national level reflecting institutional roles and responsibilities have not been developed yet, but are being addressed under the ongoing legislative policy consultancy. The Standardized Training Manual for ABS Implementation to be used by key line agencies engaged in ABS through-out the region has been delayed, as a consequence of efforts to secure collaboration and optimization of resources with the Bahamas ABS Project and other partners. This situation is having direct implications on the delivery of other outputs by the project, especially the training of trainers, the identification of trained regional ABS experts, and consequently, the development of ABS capacity building in the region. On the other hand, there has been good progress in the development of Standardized Templates for ABS agreements for use through-out the Caribbean Region, with discussion workshops having been held in all eight project countries, as well as workshops to develop Protocols for PIC with indigenous communities.

64. Other outputs under this component include a Standardized Methodology for the creation of national registers of marine and terrestrial biological resources, which at the time of the MTR, is currently being developed under a specific consultancy procured for that purpose. Technical assistance has been provided to countries in the use of the ABS Clearing House as an

exchange and monitoring mechanism, rendering this output 100% complete. In terms of the establishment of a searchable regional identification structure as web-based modules on research into Caribbean Biological Resources and associated TK created on existing CHMs or institutional web pages, the necessary data has been collected and efforts are under way for it to be included in the virtual platform that is to be developed, thus representing substantial progress in this output. Finally, there has been no progress at the time of the MTR on the development of a Business Model for Countries of the Caribbean which highlights multiple economic scenarios possible through regulated bio-prospecting as a tool for countries in their national decision-making processes on ABS.

65. While there are 3 outputs in this component that are 100% complete at the MTR, half of all outputs of the component are still less than 50% complete, with one at 0%, two at 5%, one at 10%, and one at 20%. While this situation does not represent any major risks at the mid-term, this clearly suggests that key attention must be given to this component in the second half of the project, especially when considering the linkages and connectivity which exist between and among components and their collective influence on project outcomes.

Component 4: Regional Coordination, technical support and capacity development.

66. There was a late start in commencing project activities as the funds to begin implementation was not received until February 2016. Prior to that, however, funding from the IUCN co-financing allocation was utilized to hire a Project Coordinator and begin dialogue with the project countries and co-financing partners on the way forward in support of the commencement of project activities. The Project's Inception Meeting was successfully implemented, with required project oversight and coordination structures established, country work plans have been developed and approved, and two Project Steering Committee meetings had been held at the time of the MTR. There has been a delay in securing the services of all National Project Assistants, and the PSC is working diligently with countries to address this with urgency. This however, has not affected project progress at the regional level, but may have resulted in some challenges in the follow-up of some in country processes. Also of note at the national level is the non-compliance with the submission of co-financing reports by some countries and the apparent lower level of co-financing contribution reported, when compared to what was committed. This is another challenge the PSC is treating with persistence. All project staff have been hired, the administrative structure of the project has been fully established and operational, and all PIRs and audits for relevant periods have been completed.
67. All relevant agencies and regional organizations are engaged in project activities and regional meetings to avoid duplication of effort and optimization of the resources available to the region. To this end, the proposal of the GIZ-ABS Initiative to conduct a 5-year ABS capacity development project in the context of the EU-ACP MEA cooperation was approved, and will provide a new set of opportunities for collaboration and up-scaling. Likewise, a CARICOM Capacity Building Framework and the CARICOM Biodiversity Strategy will be extended to the

entire Caribbean, thus providing opportunities for countries to identify and discuss priorities for the region in terms of NP and Access and Benefit Sharing.

68. In terms of other activities under this component, the mapping of national and regional institutions that contributed to ABS capacity building by promoting information and experience sharing and collaboration between institutions and countries has been completed, and corresponding report will be available shortly. Lessons learnt to date by project were shared at the UNCBD COP in December 2016, as initial steps in promoting the knowledge management efforts of the project.

The rating of the project's achievement of outputs is 'Highly Satisfactory'.

ACHIEVEMENT OF DIRECT OUTCOMES

69. Consistent with the discussion presented in the reconstructed ToC at Evaluation, this section seeks to determine the extent to which the anticipated outcomes of the project are likely to be achieved, thus contributing to the intermediate states identified in the TOC and ultimately to the project's intended impact. The progress of the outputs discussed above, coupled to the discussion and logic of the TOC at Evaluation, form the substantive basis upon which this assessment of achievement of direct outcomes is based.

Outcome 1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.

70. From the progress recorded for the outputs that are relevant for outcome 1, it is likely that this outcome will be achieved. A bioprospecting study, assessment of traditional knowledge and institutions, information sheets for researchers, Customs Officers and Tour Guides are being finalized for publication, and criteria for a roster of experts are being formally incorporated into the bioprospecting report. These outputs all contribute to the driver identified in the TOC for creating the technical capacity needed to advocate for common resources and interests. Besides, outputs from components 1, 3 and 4 all contribute to outcome 1, reducing the dependency on the success of one component only, thus reducing the risk of non-achievement of the outcome.

Outcome 2: Future directions of policy development for the region are defined

71. The fact that a draft national ABS policy template has been completed for Antigua and Barbuda, and will be used as a template for other project countries; a Draft Regional ABS policy has been prepared and reviewed by countries, and is now being finalized; and information sheets are going through final editing to disseminate policy-related progress at the national and regional levels, are all clear indicators that this outcome is on the right track. The regional and national approach to ABS policy formulation is a key ingredient for the driver described in the TOC for moving project outcomes to the intermediate states defined, before eventually getting to the desired impact.

Outcome 3: Countries understand their national assets/values and requirements in a regional context

72. The key outputs required for this outcome as defined in component 1 are all well on track, in addition to the fact that outputs from all four project components contribute to the achievement of outcome 3. The fact that criteria for nomination of regional experts have been developed; the UWI Cave Hill campus has agreed to host the project's virtual website at the CERMES and by the BIOPAMA Caribbean Gateway platform; Caribbean ABS initiatives and advances has been shared with the world at the UNCBD COP side event in December 2016; and all countries have inter-institutional coordination reflected in their current work plans clearly place this outcome on the right path for achievement.

Outcome 4: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation

73. As suggested in the discussion on the TOC at Evaluation, before national authorities can take steps towards ratification and implementation of the NP, they have to be informed through technical capacity and advocacy. The outputs corresponding to outcomes 1-4, most of which seem to be on track, have contributed to this capacity and advocacy, and have facilitated the process of legislative review of national legal frameworks in all 8 countries; the development of draft ABS Bills and draft ABS regulations; and the development of a Draft Regional ABS Strategy. Additionally, Antigua and Barbuda submitted their instrument of ratification to the CBD in December 2016; and St. Kitts and Nevis have indicated their intention to ratify by December 2018. These outputs at the MTR suggest a high probability of achievement of this outcome.

Outcome 5: enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol

74. This outcome is perhaps the one that best integrates all the others to form a very strong link with the intermediate states identified in the TOC at Evaluation. The delivery of all project outputs in some form or the other contribute towards the creation of an 'enabling environment for the implementation of the NP', in which that ideal enabling environment is characterized by a well-structured ABS regime, barriers to fair and equitable access to genetic resources having been removed, and the Caribbean region is seen as attractive for biotechnology development, because of its robust and transparent enabling environment. In this regard, and despite the linkage with the other components, this outcome is still very tightly linked with the outputs of component 3, simply because the outputs of component 3 are the logical state of evolution after the outputs of components 1 and 2 have been achieved, thus making them precursors to the outputs of component 3 to a large extent, and by extension, to outcome 5.

75. While there has been good progress towards this outcome, as described above under achievements of outputs relative to component 3, achieving this outcome is dependent on not just on substantial delivery under component 3, but also on the delivery of the majority of outputs from the other components as well, putting it in a situation of dependence on the other

components, and by extension, on overall project performance. Under these circumstances, the achievement of this outcome may have to be assessed within the context of the others being achieved, which at the MTR, all have high probability of being achieved.

Outcome 6: Countries share information and gain from the experiences of other countries

76. The spirit of component 4 and its corresponding outcome 6 in the project document clearly suggests pursuing collaboration among partners and the implementation of a knowledge management strategy for all ABS matters in the Caribbean. Both collaboration and knowledge management occur at project inception and are persistent through-out the project life, and beyond. Project lessons and experiences are continuously generated during implementation, and therefore can be documented and shared at any given time, and not left for the end of the project. The achievement of outputs at MTR described above under component 4, is clear evidence that this outcome is already being achieved, and will only increase to the extent that outcome 5 is also achieved, since all other outputs are strongly linked to outcome 5.

Overall assessment of the achievement of direct outcomes

77. The project has had significant progress towards the achievement of the outcomes, even though the level of achievement in some cases vary significantly between project countries. The outputs delivered at the MTR are significant and are indicative of effective project implementation. The strong linkages between outputs and outcomes and the inter-relationship among outcomes, require a holistic approach to project implementation for the remainder of the project, especially as it relates to the successful achievement of outcome 5, as probably the single most important outcome towards achieving project impact, beyond the outcomes and the intermediate states defined in the TOC at Evaluation.

The overall rating for Effectiveness is 'Satisfactory'

LIKELIHOOD OF IMPACT (REVIEW OF OUTCOMES TO IMPACT – ROTI)

78. The ROTI approach is used to determine the likelihood of impact by building upon the results of the TOC at Evaluation. There are three intermediate states defined in the reconstructed TOC, which are intimately linked, but are not necessarily synonymous to each other. The six outcomes of the project all contribute to these intermediate states, but the achievement of these states are not dependent on the project, and other factors have to be considered, including a new driver and two assumptions, as described below. Consequently, the ultimate impact of having the local and global benefits deriving from ABS implementation maximized through effective and transparent use of genetic resources, and a more assertive conservation of globally significant Caribbean biodiversity may be out of reach, unless steps are taken to address the missing links in the transition between outcomes and impact.

79. The intermediate states are necessary transition points because the outcomes of the project, which can be classified as short-term impacts, may at best reach to the point of a few countries ratifying the NP and the majority 'taking steps' towards ratifying, but not actually getting there,

notwithstanding the best efforts of the project. The life cycle of the project is short, and each country has its own particular circumstances and political realities that govern the pace of institutional change, and thus the pace with which parliamentary procedures move. Also, even if ABS Bills and regulations are put in place, actual implementation and streamlining will require a learning curve with necessary adjustments to regulations and guidelines, before effective implementation, enforcement, and eventually the desired impacts may become measurable. This clearly refers to long-term impacts beyond the life of the project, and focuses more on the continuity of processes needed to achieve global benefits deriving from ABS implementation in the Caribbean as a region, beyond the project's initial success and the possible successes of a few countries. Said differently, it is likely that quite a number of countries may still have incomplete NP uptake processes by end of project, especially as it relates to the institutionalization of ABS and effective implementation and enforcement.

80. In this regard, and assuming that the project will deliver well on its outcomes, certain assumptions become relevant, in addition to one key driver, in the transition from project outcomes to long term impact.
81. **Assumption 1:** The executive power and the legislature must exhibit political leadership in championing the project outcomes, leading to the NP ratification. The enabling environment being created by the project will require ownership and internalization, to translate project outcomes into implementable and fundable ABS regimes, in which it has been demonstrated through practical application in the field, that all critical barriers have been removed. The legislative review, draft bills, and public awareness supported by the project may not be enough to sustain the process until it reaches the point of NP Ratification or to the point of practical validation of ABS implementation in the field, which is critical for the long term sustainability of ABS implementation.
82. **Driver 1:** Notwithstanding the differences in pace of national institutionalization processes, regional bodies such as CARICOM and OECS have a key role to play, not only in sustaining NP Ratification and ABS on the highest political agendas in the region, but also in crafting strategies and policies at the regional level in support of harmonized and synchronized implementation of ABS. Regional bodies can particularly lead in the demonstration of the economic value of ABS to countries using real economic data, with illustrative linkages to GDP, Poverty Indices and other economic indicators. Regional bodies may also offer themselves to broker access agreements for clusters of Caribbean countries with common genetic resources, ensuring a common standard of benefit and protection of the interests of Caribbean countries.
83. **Assumption 2:** Probably one of the biggest threat to achieving the desired impact of ABS implementation, is the lack of capacity, ability or the desire to ensure effective enforcement and compliance with ABS regulations and the overall legislative framework. Even after validation of the ABS regime in the field, the ability to ensure compliance will be key, and the resistance of compliance structures to possible adverse changes in government and national policy must be given careful consideration in the development of the legislative framework.

RATING

84. The ROTl methodology requires ratings to be determined for the outcomes achieved by the project and the progress made towards the ‘intermediate states’ and assessment of the project’s progress towards achieving its intended impacts. This is done in accordance with the GEF ROTl Handbook, and the ratings are provided below in Table 6.

Table 6. Overall Likelihood of Achieving Impact

<i>Advancing the Nagoya Protocol in Countries of the Caribbean Region Project (GFL/5060-2711-4E67)</i>						
Outcomes	Rating (D-A)	Intermediate States	Rating (D-A)	Impact (GEB)	Rating (+)	Overall
<p>O1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.</p> <p>O2: Future directions of policy development for the region are defined</p> <p>O3: Countries understand their national assets/values and requirements in a regional context</p> <p>O4: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation</p> <p>O5: enabling environment is</p>	B	<p>IS1: Well-structured ABS regimes that are organized, professional and fair, and are inclusive of mechanisms to facilitate access applications, and protection of the region’s traditional knowledge.</p> <p>IS2: Removal of critical barriers</p> <p>IS3: The region’s attractiveness for biotechnology development is increased.</p>	B	The local and global benefits deriving from ABS implementation are maximized through effective and transparent use of genetic resources, and a more assertive conservation of globally significant Caribbean biodiversity	+	BB+

<p>created which will lead to the implementation of the basic provisions of the Nagoya Protocol</p> <p>O6: Countries share information and gain from the experiences of other countries</p>					
<p><u>Justification for the rating:</u></p> <p>The project’s intended outcomes are already partially achieved at the MTR, but are not likely to be fully delivered at EOP due to time constraints, unless the project is extended. Outcomes are designed to facilitate institutionalization within defined line ministries and competent national authorities; while this does not guarantee funding beyond the project, it does makes funding more accessible.</p>	<p><u>Justification for the rating:</u></p> <p>Support to the ABS policies and legislative framework in the region are designed to move towards intermediate states with progress already achieved in 2 countries, but there is no indication that NP ratification and ABS implementation will progress in the remaining countries and towards the intended long term impact, unless there are more visible signs of accelerated internalization by countries during the second half of the project.</p>	<p><u>Justification for the rating:</u></p> <p>Immediate short-term impacts are already visible, especially in the cases of Antigua & Barbuda, Guyana, and St. Kitts and Nevis. The project has an opportunity to enhance the probability of long term impact by advocating for more regional participation as a key driver and more assertive role of the legislature.</p>			

Table 7. ROTI Six-Point Scale

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD
<p>NB: Projects that receive documented changes in environmental status during the projects lifetime receive a positive impact rating indicated by a “+”.</p>					

85. The overall rating based on the scale in Table 7 is “**BB+**” and would thus be classified as ‘**Highly Likely**’. However, consideration must be given to the driver and assumptions that are yet to be tested in moving towards the intermediate states, the assumption to be tested for moving from intermediate states to long-term impact, and to the possibility of some outcomes

not being fully achieved due to time constraints and differences in the rate of uptake among the project countries. With these considerations, a more conservative rating of 'Likely' is easily justified, unless otherwise demonstrated in the second half of project implementation.

The rating for the project's likelihood of achieving long term impact is "Likely."

FINANCIAL MANAGEMENT

86. The absence of obvious deficiencies in the project's budget at design and secured co-financing of project partners, even though delayed by some countries, is providing secure financing for the project. The delay in co-financing reports is an issue of concern and is to be addressed urgently, as well as instances of levels of co-financing below the committed amount. The budget is tied to outputs, outcomes, and components by project year. The project resources are made available on time, and are managed according to best practice accounting principles and project management, with no issues of material interest reported so far in audited financial statements. Goods and services are procured using robust procurement practices that meet both IUCN and UNEP's standards. Financial Management oversight by IUCN with periodic reporting to the UNEP Task Manager ensures proper use of project funds. Of note is the fact that no co-financing beyond that committed during project design has been leveraged so far. Table 5 and Annex 6 provide data on budget distribution, disbursements to date, and co-financing to date.

The project rating for Financial Management is "Satisfactory".

Efficiency

87. Consistent with good financial management and robust procurement practices, the project is applying cost-saving mechanisms to ensure results are achieved within the approved budget and time, as is evidenced by the number of outputs delivered to date. Adaptive management and assertive regional coordination, to the extent possible, has minimized potential obstacles to project implementation, through open and transparent discussion and analysis of project issues at the PSC meetings, and regular feedback between project partners, the Project Coordinator, IUCN and the UNEP Task Manager. This, however, for the remainder of the project this has to be strengthened with respect to holding countries accountable to timely delivery of co-financing reports, respecting the level of co-financing committed to during the project design, and in timely response and reaction to project processes and requests, especially since untimely response may affect the overall progress of project outputs, not just those at the country level. This is particularly sensitive in terms of countries feedback on technical reports produced by the project, review of ToRs before contracting of consultants, in assertive championing of the project processes at the national level, and in ensuring that persons with institutional memory of the project participate in the project's iterative processes.

88. The project is making efforts to collaborate in joint delivery of outputs, as evidenced by the process currently underway with the Bahamas ABS Project, and other outputs delivered in conjunction with the SCBD with regards to the ABS Clearing House Mechanism. Discussions with the GIZ ABS Capacity Development Initiative is exploring joint implementation and up-scaling of ABS capacity building through-out the region. Successful partnerships with OECS, CARICOM and UWI will now help to project to achieve greater efficiencies in the housing the project's website and ABD Virtual Forum. The holding of virtual meetings also achieves greater efficiency in the implementation of the project, and reduces the project's environmental footprint with less travelling of project staff, country personnel, and UNEP personnel.

The project rating for Efficiency is "Satisfactory".

MONITORING AND REPORTING

89. The project has a sound M&E plan to monitor results and track progress towards achieving project objectives. The project logical framework is an appropriate planning and monitoring instrument, but as indicated before elsewhere in this MTR report, this could have been strengthened by a TOC analysis. Project indicators defined are specific and attainable, and specific targets have been identified for project outputs at the mid-term and end of project, and are being used to guide the assessment of efficiency and effectiveness during this MTR.

90. The M&E system of the project is operational and facilitating timely tracking of results and progress towards projects objectives. PIRs are produced in a timely fashion and are deemed to be accurate, with two PIRS having been produced thus far. Risk monitoring is regularly documented in PIRs and in participation by the Project Coordinator in project events, and the information provided by the M& E system is being used appropriately to inform project implementation and decision-making, as evidenced in the PIRs and in the minutes of PSC meetings.

91. The back-stopping support provided by UNEP has been excellent as evidenced by the guidance, oversight, and direction provided to the project, and the timely disbursement of project funds. On the other hand, the project has responded very well to direction and guidance provided by the UN Environment Task Manager, as evidenced in the project decision-making processes, especially in decisions reached by the PSC, guidance in procurement decisions, and guidance in the quality of project processes and outputs.

The project rating for Monitoring & Reporting is "Highly Satisfactory".

SUSTAINABILITY

92. Financial: The extent to which the continuation of project results and the eventual impact of the project are dependent on financial resources will be intimately linked to whether or not

ABS implementation has been streamlined into government processes, which first require that the NP be ratified by the countries. Streamlining will better position government institutions to receive budgeted and sustained funding to deliver on ABS implementation, either from the government itself, or from external sources. At this stage of the project, it is too early to make judgment on this.

93. **Social-political:** Political will is a key factor that may influence either positively or negatively the sustenance of project results and progress towards impacts. As identified in the TOC, leadership by the executive power and the legislature will be crucial to consolidate sufficient government and other key stakeholder awareness, interests, commitment and incentives to consolidate the support needed by the project to ensure its successful completion, move towards the intermediate states, and sustain its anticipated impacts. Thus far, political will has been evidenced in a few countries only, but the latter half of the project will be critical to advocate for greater and more assertive ownership by the political directorate and by regional bodies.
94. **Institutional Frameworks:** The sustainability of the results and onward progress towards impact may be dependent on issues relating to institutional frameworks and governance, from the perspective of institutional structures and mechanisms for ABS implementation. However, capacity for ABS awareness and advocacy developed by the project will not change, independent of institutional structure. The effectiveness of institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results and to lead those to impact on human behaviour and environmental resources, goods or services will not be known until end of the project. Therefore, the catalytic role of the project cannot be effectively assessed at the MTR, in the case of this project.
95. **Environmental:** There are no project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits, and there are no foreseeable negative environmental impacts that may occur as the project results are being up-scaled.

The project rating for Monitoring & Reporting is “Moderately satisfactory”.

96. Based on the discussion and ratings presented above, the summary assessment and ratings are provided in Table 8 below.

Table 8: Summary Assessment and Rating Scale

Criterion	Summary Assessment	Rating
A. Attainment of project objectives and results	The project is well underway to delivering project objectives, with an impressive number of results already achieved at the mid-term.	S

1. Effectiveness	The project has had significant progress towards the achievement of the outcomes, even though the level of achievement in some cases vary significantly between project countries. The outputs delivered at the MTR are significant and are indicative of effective project implementation	S
2. Relevance	The project is well aligned with GEF strategic priorities, national priorities of participating countries, and with UNEP MTS and POW.	HS
3. Efficiency	The project has implemented a series of cost saving approaches, alliances and networking to optimize use of resources in support of project outputs and objectives.	S
B. Sustainability of project outcomes	Political will and institutional uncertainties must be better addressed during the remainder of the project.	MS
1. Financial	The extent to which the continuation of project results and the eventual impact of the project are dependent on financial resources will be intimately linked to whether or not ABS implementation has been streamlined into government processes	MS
2. Socio-political	Political will is a key factor that may influence either positively or negatively the sustenance of project results and progress towards impacts.	MS
3. Institutional framework	The sustainability of the results and onward progress towards impact may be dependent on issues relating to institutional frameworks and governance, from the perspective of institutional structures and mechanisms for ABS implementation.	MS
4. Environmental	There are no project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits, and there are no foreseeable negative environmental impacts that may occur as the project results are being up-scaled	HS
C. Catalytic role	The project has had a catalytic role in securing other ABS interests that will complement the project's objectives and enhance the regional ABS agenda	S
D. Stakeholders involvement	The project has secured alliances with influential regional and international stakeholders as well as academia, line ministries, and indigenous communities	S
E. Country ownership / driven-ness	This has been manifested through leadership in national work plan development, approval and implementation	S
F. Achievement of outputs and activities	The project has had an impressive performance in terms of delivery of outputs at the mid-term for all project components, with quite a number of outputs already 100% completed.	HS
G. Preparation and readiness	Project preparation is deemed to be well done, however, a TOC was not developed during preparation and certain country-specific considerations and a sustainability exit strategy were lacking	S
H. Implementation approach	The project has generally sought to be responsive to country- specific needs as it pursues the implementation of activities as per the original schedule of activities, with minor adjustments where necessary.	S
I. Financial planning and management	Financial planning and management has been exemplary from the perspective of the project team, but delays in co-financing reports and co-financing contributions below committed levels exist.	S
J. Monitoring and Evaluation	Properly designed, implemented on schedule, and appropriately budgeted.	HS
1. M&E Design	Logical Framework well designed, but could have been improved with TOC	S
2. M&E Plan Implementation	Effectively implemented and on schedule	HS
3. Budgeting and funding for M&E activities	Appropriately budgeted and funded.	HS

K. UNEP Supervision and backstopping	UNEP support and back-stopping have been excellent, as evidenced in project documents and decision-making processes.	HS
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CONCLUSIONS AND RECOMMENDATIONS

CONCLUSIONS

97. The project must be commended for having achieved important milestones and having already made important changes in the ABS agenda in the region. The project is on track and progressing well in almost all the activities and outputs, with 100% completed delivery in a number of outputs. Project Coordination has been essential to progress to date, and project partners have shown sustain commitment to project processes up to now. Project countries are all satisfied with the project’s performance and are looking forward to an even better delivery of the second half. The overall management of the project has been handled well, as evidenced by the ratings achieved above.
98. The project has had significant progress towards the achievement of the outcomes. The products obtained so far, as well as the implementation strategies seems to be contributing to the main objective and keeping the project on track. Of interest for the remainder of the project will be the need to develop strategies for accelerating to the extent possible, the rate with which processes for NP uptake at the country level is taking place. There is serious concern about whether the remaining 16 months in project implementation will be enough for the project to achieve all of its intended outcomes. Furthermore, project principals may need to assess whether the relevant regional partners such as OECS and CARICOM, can play a more protagonist role in enhancing the political process for NP uptake, and whether there is a more assertive way of engaging relevant parliamentarians at the country level, to garner their support for ABS processes.
99. Budget savings achieved by the project to date provide an opportunity for more strategic investments towards delivery of project outcomes during the second half of the project, especially in processes to engage high-level political stakeholders at both the national and regional levels, as part of targeted efforts to consolidate support for NP uptake and ratification. These savings also provide an opportunity to assist those countries that have made substantial progress towards NP ratification, but require an extra ‘push’ to deliver NA ratification by the end of the project.

LESSONS LEARNED

100. The regional design of the project has proven to be an effective and efficient way in promoting the implementation of common regional activities, as opposed country specific execution, which would have resulted in substantial delays and higher costs.
101. A more in depth consideration of the asymmetries in institutional capacity of countries could have probably resulted in more countries in an advanced state of the uptake process at the MTR, instead of only Antigua and Barbuda, Guyana and St. Kitts & Nevis, and may have also presented a better outlook for achievement of outcomes by end of project, i.e., within the 36-month project cycle. Additionally, the lack of a TOC and 'output to outcome' analysis during the project design resulted in lost opportunities to better test project assumptions and drivers, which would have provided valuable data to inform and refine project implementation strategies and approach, especially in relation to country-specific assumptions and timeline for delivery.
102. The apparent limited knowledge of project counterparts of the project's design suggests that downward communications between the GEF Operational Focal Point and the key project liaison may need to be strengthened. The institutional memory of the project is critical for national ownership and the championing of local processes required by the project.
103. Institutional networking and alliances are clearly desirable options in the process to pursue sustainability options for project information systems and to sustain knowledge management initiatives of the project.
104. Country ownership of project processes at the national level is indispensable for consolidating needed political support and ensuring timely delivery of project outputs and outcomes. Socio-political support will be crucial for the remainder of the project and beyond. In this regard, early engagement of the political directorate could have placed NP uptakes processes nearer towards ratification by the time of the project MTR.
105. Where political will is a determinant in the transition from project outcomes to impact at the national level, efforts must be made to pursue political will in a regional context governed by common interests among the parties concerned, as indirect support to national political processes.
106. Full project outcomes may require substantially more time beyond project closure, and the transition from project outcomes to impact will require a new round of 'hand-holding' with countries while they finalize their NP uptake processes, go through their mainstreaming of ABS, and the validation of ABS regimes in the field. This cannot be achieved in this current project and may require additional support from UNEP and the GEF.

RECOMMENDATIONS

107. Promote dialogue, exchange and support among national focal points, the ministry responsible for ABS, as well as other representatives of relevant institutions directly involved in the project and ABS implementation within the project countries, to ensure a successful outcome for the ABS project in the Caribbean region.
108. Conduct a high-level political meeting, in an effort to increase the direct engagement of parliamentarians in project activities at the country level and in regional project-sponsored regional processes. This is crucial for the sustainability of project outcomes and for transitioning from project outcomes to desired impact.
109. Build upon the success achieved to date, and continue to explore regional synergies and partnerships as part of the project's effort to ensure sustainability of project outcomes.
110. Identify clusters of countries with higher readiness to uptake the NP and offer cluster-specific project support to accelerate steps towards ratification, while also seeking to define tailor-made assistance to those which may possess greater challenges and thus would not fit in the cluster.
111. Make efforts to ensure that draft ABS Bills and regulations contain provisions for revenue generation which would be earmarked for ABS implementation, compliance, enforcement, and reporting. This is crucial for the sustainability of project outcomes.
112. In view of the late start of the project and the time constraints identified in this MTR for achieving project outcomes, it is recommended that UNEP as the GEF Implementing Agency and IUCN-ORMACC as the project's Executing Agency, consider the formal extension of the project implementation period, in an effort to recover the six (6) months lost at the beginning of the project implementation cycle. This will allow the project time to maximize its delivery of outcomes as originally planned in the project's Logical Framework.
113. Based on progress achieved during the remainder of the project, identify in the remaining PIRs to be produced by the project, areas of intervention and support that would require further financial and technical support, beyond the life of the project.
114. For all future design of regional projects, it is crucial to include a detailed Theory of Change analysis, which thoroughly assesses assumptions and drivers at both the regional and country-specific levels, to allow for early identification of possible intermediate states and alternative outcome to impact pathways, thus allowing for the identification of both regional as well as country-specific project implementation strategies. This will allow for a more effective and efficient project implementation, the strategic positioning of key project drivers, an elimination of unrealistic assumptions, and a minimization of overall project risks.

ANNEX 1. MTR TERMS OF REFERENCE
 TERMS OF REFERENCE

Mid-Term Review of the UN Environment/Global Environment Facility project

“Advancing the Nagoya Protocol in Countries of the Caribbean Region”

Section 1: PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

Sub-programme:	Ecosystem management and Environmental Governance	Expected Accomplishment(s):	
UN Environment approval date:	September 21, 2015	Programme of Work Output(s):	See annex 2
GEF project ID:	5774	Project type:	regional
GEF Operational Programme #:	GFL/5060-2711-4E67	Focal Area(s):	biodiversity
GEF approval date:	July 23, 2015		
Expected start date:	21/09/2015	Actual start date:	15/02/2016
Planned completion date:	20/09/2018	Actual completion date:	
Planned project budget at approval:	USD \$ 1,826,000.00	Actual total expenditures reported as of 31/12/2016:	USD \$ 708,498.45
GEF grant allocation:	USD \$ 1,826,000.00	GEF grant expenditures reported as of 31/12/2016:	USD \$ 334,277.63
Project Preparation Grant - GEF financing:	N/A	Project Preparation Grant - co-financing:	N/A
Expected Medium-Size Project/Full-Size Project co-financing:	USD \$ 3,809,257.00	Secured Medium-Size Project/Full-Size Project co-financing:	USD \$ 374,220.82
First disbursement:	16/02/2016	Date of financial closure:	N/A
No. of revisions:	3	Date of last revision:	February 2016

No. of Steering Committee meetings:	2	Date of last/next Steering Committee meeting:	Last: March 27 th 2017	Next:
Mid-term Review/ Evaluation (planned date):	June 1 st 2017- August 31 st 2017	Mid-term Review/ Evaluation (actual date):		
Terminal Evaluation (planned date):		Terminal Evaluation (actual date):	<i>Not applicable</i>	
Coverage - Country(ies):	Antigua and Barbuda, Barbados, Grenada, Guyana, Jamaica, Saint Kitts and Nevis, Saint Lucia, Trinidad and Tobago	Coverage - Region(s):	Caribbean	
Dates of previous project phases:		Status of future project phases:		

Project rationale

The rationale of the project lies in the fact that all 8 countries participating in the project are signatories to the Convention on Biological Diversity, and even though they may have not ratified the Nagoya Protocol, they are in some manner or the other in the preliminary stages of implementation of the NP. At least 3 countries (Guyana, Grenada, and Antigua & Barbuda) in the region have taken key steps towards revising and updating their national measures to meet the Protocol's obligations in preparation for ratification. Countries are faced with the need to define how to regulate access to genetic resources, how to implement the fair and equitable sharing of benefits resulting from the utilization of genetic resources and traditional knowledge associated with genetic resources, what enforcement measures will be required to ensure compliance by users, and what institutional and capacity building needs must be addressed to ensure all obligations under the NP are appropriately met.

The project will assist countries in the development of regulatory frameworks for ABS, building capacity for its implementation, and sharing the experiences from these countries to catalyze similar processes in the Caribbean region. This goal will require developing appropriate capacities and measures to ensure that countries have the requisite conditions to meet the obligations under the Nagoya Protocol. In addition to the global value of Caribbean genetic resources provided by their high level of endemism and uniqueness, these genetic resources have major option and use value as the source of nature-based products with the potential to contribute significantly to the production of pharmaceuticals, food supply, and cosmetics worldwide. Project support will build additional capacity using a participative and inclusive methodology, as well as awareness that are required to allow the countries of the Caribbean to maximize the benefits derived from the use of genetic resources.

Gender mainstreaming is incorporated in the implementation of all capacity building processes, this includes for example design and implementation of gender oriented methodology to promote inclusive spaces within the

existing governance structure of indigenous peoples and local communities, in which women particularly have an active presence as well as the challenges they face regarding their participation and decision making, in order to identify opportunities that will lead to more inclusive processes.

The project is in full alignment with Articles 5, 6, 9 and 15 of the Nagoya Protocol. These articles collectively state that “benefits arising from the utilization of genetic resources as well as subsequent applications and commercialization shall be shared in a fair and equitable way with the Party providing such resources and such sharing shall be upon mutually agreed terms”; “in the exercise of sovereign rights over natural resources, and subject to domestic access and benefit-sharing legislation or regulatory requirements, access to genetic resources for their utilization shall be subject to the prior informed consent (PIC) of the Party providing such resources that is the country of origin of such resources or a Party that has acquired the genetic resources in accordance with the Convention, unless otherwise determined by that Party”; and “The Parties shall encourage users and providers to direct benefits arising from the utilization of genetic resources towards the conservation of biological diversity and the sustainable use of its components”. The above alignments illustrate the direct conformity of the objectives of the project with the overarching policies and obligations as outlined in the NP.

Global benefits to be generated by the project include direct contribution towards global compliance in achieving the Aichi Biodiversity Target 16, which states that, “by 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation”; and will facilitate sustainable and cost-effective use of the biological resources and ensure that the benefits will accrue to the region, the countries, and the local communities where biological and genetic resources occur, in direct support of the CBD’s third objective.

The project therefore has a direct impact on safeguarding genetic diversity of global importance and will specifically contribute to the conservation and sustainable use of 2.6 percent of the world’s 300,000 plant species and 3.5 percent of the world’s 27,298 vertebrate species, all of which are endemic to the Caribbean, in addition to indirectly protecting habitats that are critical for migratory species such as the great North Atlantic humpback whale, which reproduces in the northern Caribbean region.

Project objectives and components

Project Goal: Support countries of the Caribbean to facilitate access to their genetic resources and benefit sharing in a fair and equitable way, in line with the Convention on Biological Diversity and the Nagoya Protocol.

Project Objective: Seeking uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries.

This project is divided into four inter-dependent components. Component 1. Identifying regional commonalities and assets, and basic elements conducive to policy formulation (US\$ 220,000). The objective of this component is to build knowledge between countries of shared assets and technical information that may later be used by them to build cohesive policies at national level and collaboratively at regional level, such as a Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of main Applications of Traditional Knowledge in the region, which would be used to inform the formulation of National ABS Policies and a Regional ABS Policy. Apart from conducting the analysis and assessing needs and opportunities, the project will identify, and where possible set up, sustainability mechanisms for supporting countries in future, well past the life of the project by creating networks and coordination mechanisms such as a Virtual ABS Policy Forum and project website. Component 1 is key for gathering baseline information that will be used for the implementation of activities of other components. This component will also allow the project team to identify synergies with other ABS related initiatives and to

create strategic plans and country roadmaps for the implementation of the current project based on those interactions and information sharing.

This component has three (3) expected outcomes:

Outcome 1.1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.

Outcome 1.2: Future directions of policy development for the region are defined.

Outcome 1.3: Countries understand their national assets/values and requirements in a regional context

Component 2: Uptake of the Nagoya Protocol (US\$ 349,784). The objective of this component is that participating countries take steps and decisions conducive to ratification of the Nagoya Protocol. In order to achieve this objective, each country will need to take the necessary steps for the legislature (or whatever government branch is responsible for ratifying international treaties), to ratify or accede to the protocol, including drafting the policy, legal, and regulatory frameworks governing ABS, appointing the National Focal Point, and establishing the Competent National Authority. Some countries are in a position to ratify/accede faster than others, based on their own legal systems and national procedures. At the time of project preparation, four countries had determined their will to ratify, with Guyana already moving towards national implementation, St. Lucia intending to start as soon as possible, and Antigua and Barbuda as well as Dominica acknowledging the vantage of having ABS clauses in their environment bills. This will mean different starting points for the countries in the current project (and the possibility of clustering countries into groups), however, the need for regulators to fully understand the commitments and rights embedded in the Nagoya Protocol will need to be addressed across the board as a matter of priority. Countries will be assisted to improve their understanding of the implications of the NP ratification in terms of adjustments in the legal and institutional framework, assistance in the development of draft ABS Bills and regulations, and in the development of regional strategic priorities for NP implementation in the region.

This component has one (1) expected outcome:

Outcome 2.1.: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation

Component 3. : Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP (US\$ 739,581). The objective of this component is to assist countries in developing the tools and guidelines required to implement the basic measures of the Nagoya Protocol. These include providing assistance to build awareness among stakeholders that are key for NP implementation to be effective, especially parliamentarians, officers of frontline ministries, indigenous communities and researchers. Support will also be provided for the development of institutional and administrative procedures for ABS Agreements with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing, in an effort to build on the baseline knowledge established by preliminary exposure received by ABS stakeholders on these topics in recent regional workshops, to reach a level of competency required for proper ABS implementation. Support also will be provided to develop administrative procedures for the monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues, and capacity building to create a Roster of Caribbean ABS Experts. Considering the differences in government capacity and needs on ABS, it is expected that countries will achieve different levels of implementation of the protocol. This component will also provide support in the drafting of methodologies that could be used by the countries for creating Traditional Knowledge and Genetic Resources inventories in the future. Likewise, the project will support strategies that could bring sustainability to the project results, such as regional cost effective solutions for areas such as: monitoring systems (i.e. for bioprospecting) and regional database of research activities in the Caribbean region, linked to existing CHMs or institutional web pages in the region. Likewise, this component will also identify aspects of ABS that could be taken up on a regional basis, like public-private sectors interaction on ABS platforms;

and the identification of sustainability methods to ensure that project results and the operation of ABS systems in the region are maintained overtime.

This component has one (1) expected outcome:

Outcome 3.1: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol.

Component 4. Regional Coordination, technical support and capacity development (US\$358,828). This component will bring together the participating countries at least twice during the life of the project to allow for the maximum level of exchange (e.g. learned best practices etc.), and networking facilitated by the Executing Agency – IUCN for mutual benefit during the term of the project and beyond. These meetings will also assist in assessing common issues and how to cope with them collectively. More specifically, these meetings should allow the Executing Agency, the Implementing Agency, and the executing partners in countries and regionally, to better coordinate actions and the use of the human capacity to deliver assistance to the countries and come together in a coherent and united front on ABS related issues. Efforts will be made to build on progress made during project preparation to further engage the SCBD, CARICOM, and the OECS to provide technical and political support for the project where appropriate. In this sense, this component covers regional coordination, including the facilitation of regional meetings, events as well as promoting synergies and coordination with other relevant initiatives and stakeholders to ensure complementarities and adequate leverage to reach the project objectives. Coordination and management activities as well as monitoring and evaluation will also be included. Coordination meetings plus other virtual activities will serve as communication platforms for these interactions. Draft projects plans and outputs will be shared with countries for their input on regular basis. The project will be managed centrally as one project rather than 8 separate sub-projects. However, each country will receive the dedicated, targeted and on-demand assistance that it requires. This approach is the most cost-effective one given the funding level and the project timeframe; and will best facilitate the collective benefits/outputs anticipated to be produced by the project. Given the strong limitations in personnel that exist in most environment Ministries in the Caribbean, funds are envisaged to support national-level delivery of project outputs. Hiring of project personnel and subcontracting of consultants and/or project partners will be undertaken, so that in addition to regional coordination, each country can benefit from part-time human resources to organize and support national activities. The costs associated to this in-country support have been incorporated as part of components 1 to 3. Any local persons contracted by the Executing Agency for this purpose will coordinate regularly with the overall Project Manager and will work with, and report to, the respective government official designated as liaison to the project. Also, gender considerations will be mainstreamed within this component, ensuring whenever possible equal opportunities for men and women.

This component has two (2) expected outcomes:

Outcome 4.1: Countries share information and gain from the experiences of other countries.

Outcome 4.2: Effective project coordination and delivery, meeting agreed measurable outputs and indicators

Component 5 Project Management (US\$157,807) Project Management will include basic services needed for project execution such as costs related to office, communication, IT services, and other logistic expenses. Also, it will include costs related to administrative support for project activities such as the generation of financial project reports by project staff. It represents 8.64 % of the total GEF budget.

The main difference between component 4 and component 5 is that component 4 embraces the overall project coordination through facilitation of regional meetings, promoting synergies among relevant initiatives and stakeholders as well as networking opportunities. Because this projects relays on important interaction with key stakeholders and other initiatives, at both, regional and national levels, a full component is dedicated to facilitate this interaction. This approach is expected to increase the possibilities of success and leverage of the project, since often regional coordination is considered as an extra activity

underestimating its importance and the time required for it. On the other hand, component 5, as described above, will include financial and administrative management.

Executing Arrangements

The project has a two-tier approach concerning institutional arrangements. The first tier is composed of the Implementing and Executing agencies (UNEP and IUCN respectively). The regional coordination and overall project supervision is the responsibility of the abovementioned organizations; and project execution at a regional level is the responsibility of IUCN as the project's EA. Along the same lines, UNEP's TM provides support and works closely with EA's personnel, who carry out all project management related issues. The second tier is composed by the national counterparts, represented by a national project focal point, which was designated at the PIF stage and reconfirmed during the PPG process. The national teams are responsible for ensuring that project outputs related to national interventions are produced. Moreover, the national project focal points liaise with the local coordination consultants, guiding them and providing the necessary means to execute activities at a national level.

Implementation arrangement: Project internal and external structure diagrams are presented below. Project Headquarters (PH) is located in Costa Rica. Staff working out of the office includes the Project Manager (PM), supervisor, Finance Officer, and Project Administrative Assistant. Local and international consultants have been hired to support project execution.

It is important to mention that despite the fact that neither UNEP nor IUCN have their main regional offices based in the Caribbean, both institutions have the necessary means and institutional capacity to implement actions beyond the territory where their main offices are, as has been the case of similar projects for the region. The project was designed in a way that the main actions have taken place in the Caribbean region, mainly through country visits, the national coordination consultants, and the time that the regional project manager spends throughout the region.

The Regional Steering Committee (RSC): In practical terms the RSC is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. Conclusions and recommendations produced by the SC are taken into consideration by UNEP and the PM to improve implementation strategies, annual work plans and resources allocation budget and, when necessary, to adjust the project's Result Framework. This committee meets every six months, either physically or virtually.

Decision-making flowchart and organizational chart

DIVISION OF RESPONSIBILITIES

This project operates under the supervision of UNEP as Implementing agency, and IUCN as executing agency; as well as through country respective (national focal points); as part of the Steering Committee (SC). (see project's governance structures here below)

INTERNAL STRUCTURE

Project Headquarters (PH) is located in IUCN Mesoamerica, in Costa Rica. Staff working from this office includes the Project Manager (PM), Project supervisor, Monitoring & Evaluation Supervisor, administrative and financial staff

OVERSIGHT MECHANISMS

The Steering Committee (PSC) consists of Country representatives, UNEP as IA, IUCN as EA, and the project co-financiers (ABS CDI (GIZ), OECS, and CBD Secretariat). To the PSC meetings CARICOM and UNEP's ROLAC office; which could provide important support to the project and ensure synergies with other initiatives are also invited as necessary. Likewise, the project team of the UNEP-GEF Bahamas project on ABS has been invited to participate in order to support the integration of the Bahamas in the regional approaches that will be established under this initiative.

The PSC is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. The PSC will be chaired by the one of the participating countries on rotational basis. The PM will act as the Committee Secretary. This committee will meet every six months (virtual and face to face meetings, depending on the case).

This PSC will issue reports on progress by the project and make recommendations concerning the need to revise any aspects of the Project Results Framework, or the M&E plan. Supervision to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the UNEP-GEF Task Manager. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

PROJECT GOVERNANCE – STRUCTURES

REGIONAL LEVEL

Project Management Unit:

- Main project coordination and execution mechanism
- Consists of:
 - o Project supervisor (part time): Head of Biodiversity & Rights Unit at IUCN ORMACC, based in Costa Rica supervises and monitors the technical and strategic implementation of the project.
 - o Project Manager (Full time): Hired to implement the project, comply with project reporting and coordinate with relevant stakeholders at national (ABS focal points, government agencies, etc) and at regional level (CARICOM, OECS, etc). As well as to promote synergies with other relevant ABS initiatives (GIZ, CBD).
 - o Monitoring and Evaluation supervisor (back-stopping) (part time): Staff of IUCN ORMACC involved in technical and strategic project related activities. Based in Costa Rica.
 - o Project Administrative and financial Staff (part time): Support to logistics, administrative and financial procedures, financial reporting, among others.
- This unit is responsible for ensuring the project meets its expected targets and objectives through: planning, supervising technical consultants, reviewing and ensuring quality of project outputs, keeping project accounts, generating project reports, carrying out procurements, positioning and strategic alliances of the project, as well as general coordination and communications between all project stakeholders.

Steering Committee:

- Main project monitoring and oversight mechanism
- Project Manager acts as the Committee Secretary and the committee chair is a representative from one of the participating countries.
- Will comprise representatives from:
 - o IUCN ORMACC (*Project supervisor*)
 - o UNEP (*Task Manager*)
 - o GIZ ABS Capacity Development Initiative
 - o CBD Secretariat
 - o OECS

- Each country's project authority (8 Project Focal Points)
- Will meet at least twice a year, combining virtual and physical meetings (minimum one physical meeting per year), with 60% of the membership quorum can be achieved.
- Will be tasked with: monitoring project progress, reviewing yearly Project Implementation Reports presented to UNEP, suggesting improvements to project management and planning, raising key issues (opportunities and concerns), coordinating with other ongoing ABS efforts, and contributing to strategic actions (including budgetary measures) to maximise project impacts.
- The Steering Committee, invites on an *ad hoc* basis, regional organizations (such as UNEP ROLAC, CARICOM, UWI, among others) to its meetings in order to address specific and relevant issues to the project.

NATIONAL LEVEL

Project Focal Points (Govt):

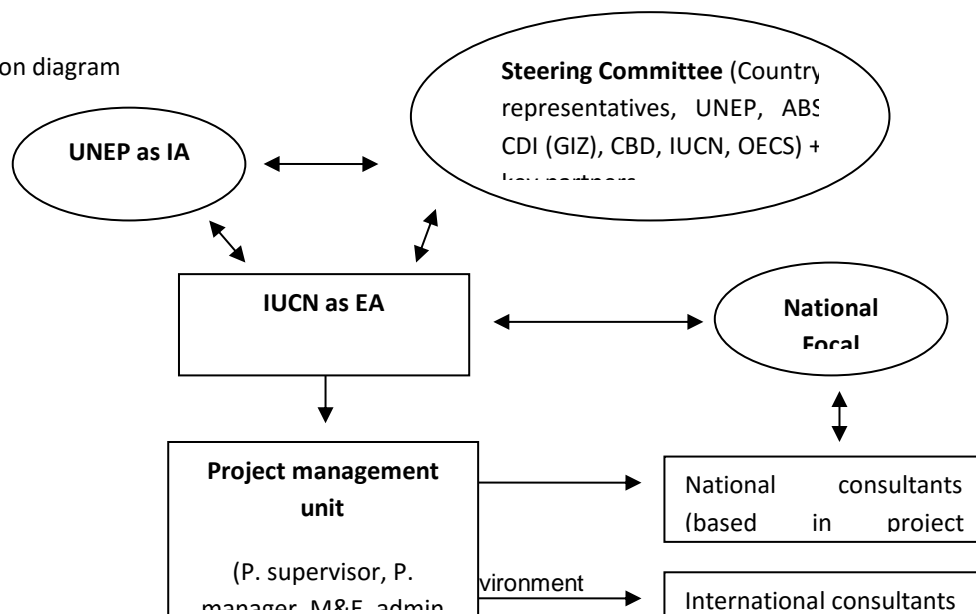
- One person per project country.
- Nominees are in charge of planning, coordinating and overseeing project actions at the national level and act as the conduit for feeding issues up to the regional level
- Representatives review and provide inputs into all regional project outputs
- Representatives contribute to project reports, including co-financing reports, and M&E efforts as a member of the project Steering Committee
- Representatives liaise with National Consultants

Project Focal Points are not considered project staff, so that their participation on the project can be considered as country co – financing.

National Coordination Consultants:

- Will provide coordination support for Project Focal Points, on a needs basis
- A total of 9 months, distributed across 24 months, is available to each country for National Coordination Consultants to support the organization of specific events, streamline processes, identify experts, prepare briefs, workshop agendas and minutes, and facilitate discussions.
- TORs for Coordination Consultants will be agreed between the Project Manager and the Project Focal Points; contracts and payments for these consultants will be managed by IUCN, once their work has been approved by the Project Focal Points.
- Additional and separate technical consultants will also be available to deliver technical studies and products that are different from coordination actions.

Project coordination diagram



Project Cost and Financing

See attached budget

Implementation Issues

For this project, we have not had any major issues during implementation. The only thing worth mentioning at this point is the fact that project implementation began later than anticipated due to late disbursements of funds. As a result some of the consultancies have begun later than anticipated. There have not been any risks highlighted from the PIRs completed and no major reallocations of funds have been done. There has not been any need for a reallocation of the log frame for the project at this point.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

Key Review Principles

Review findings and judgements should be based on **sound evidence and analysis**, clearly documented in the review report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

The “Why?” Question. As this is a Mid-term Review particular attention should be given to identifying implementation challenges and risks to achieving the expected project objectives and sustainability. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the project intervention, the reviewers should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the reviewers, along with any simplifying assumptions that were taken to enable the reviewer to make informed judgements about project performance.

Communicating review results. A key aim of the review is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. There may be several intended audiences, each with different interests and needs regarding the report. The Project Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key review findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation. Draft and final versions of the Main Review Report will be shared with key stakeholders by the Project Manager and a copy of the final version will be submitted to the UN Environment Evaluation Office.

Objective of the Review

In line with the UN Environment Evaluation Policy³ and the UN Environment Programme Manual⁴, the Mid-Term Review (MTR) is undertaken approximately half way through project implementation to analyze whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR will assess project performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and The IUCN, UNCBD Secretariat, the GIZ, The OECS and the Governments of Antigua and Barbuda, Barbados, Grenada, Guyana, Saint Kitts and Nevis, Trinidad and Tobago, Jamaica and Saint Lucia. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation (especially for the remainder of the project).

Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the review will address the **strategic questions** listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

How likely are the countries, once this project has been completed, to move towards ratification of the Nagoya protocol

What help will the countries need once the project is finished to implement the outputs achieved under this project

Will the countries have the relevant resources to get the legislations developed under the project enacted

Will the countries have the capacity to put in place the check points outlined in the policies developed under the project

Would having a second phase of this project help to bring the countries to fully implement the outputs achieved under this project

Evaluation Criteria

All evaluation criteria will be rated on a **six-point scale**. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the achievement of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The reviewer(s) can propose other review criteria as deemed appropriate.

³ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁴ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

Strategic Relevance

The review will assess, in line with the OECD/DAC definition of relevance, ‘the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor’. The review will include an assessment of the project’s relevance in relation to UN Environment’s mandate and its alignment with UN Environment’s policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

Alignment to the UN Environment Medium Term Strategy⁵ (MTS) and Programme of Work (POW)

The review should assess the project’s alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

Alignment to UN Environment /GEF/Donor Strategic Priorities

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁶ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

Relevance to Regional, Sub-regional and National Environmental Priorities

The review will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

Complementarity with Existing Interventions

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UN Environment’s comparative advantage has been particularly well applied should be highlighted.

⁵ UN Environment’s Medium Term Strategy (MTS) is a document that guides UN Environment’s programme planning over a four-year period. It identifies UN Environment’s thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

⁶ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

Factors affecting this criterion may include: stakeholders' participation and cooperation; responsiveness to human rights and gender equity and country ownership and driven-ness.

Quality of Project Design

The quality of project design is assessed using an agreed template during the review inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. This overall Project Design Quality rating is entered in the final review ratings table as item B. In the Main Review Report a summary of the project's strengths and weaknesses at design stage is included.

Factors affecting this criterion may include (at the design stage): stakeholders participation and cooperation and responsiveness to human rights and gender equity, including the extent to which relevant actions are adequately budgeted for.

C. Nature of External Context

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable and unexpected external operating context, the overall rating for Effectiveness may be increased at the discretion of the Review Consultant and Project Manager together. A justification for such an increase must be given.

D. Effectiveness

The review will assess effectiveness across three dimensions: achievement of outputs, achievement of direct outcomes and likelihood of impact.

Achievement of Outputs

The review will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, a table should be provided showing the original formulation and the amended version for transparency. The achievement of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their usefulness and the timeliness of their delivery. The review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include: preparation and readiness and quality of project management and supervision⁷.

Achievement of Direct Outcomes

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed⁸ Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes are necessary. The review should report evidence of attribution between UN Environment's and IUCN's intervention and the direct outcomes.

Factors affecting this criterion may include: quality of project management and supervision; stakeholders' participation and cooperation; responsiveness to human rights and gender equity and communication and public awareness.

Likelihood of Impact

Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the EOU website, web.unep.org/evaluation and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁹

The review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication¹⁰ as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes.

⁷ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

⁸ UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

⁹ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

¹⁰ *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

However, the review will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals¹¹ and/or the high level results prioritised by the funding partner.

Factors affecting this criterion may include: quality of project management and supervision, including adaptive project management; stakeholders participation and cooperation; responsiveness to human rights and gender equity; country ownership and driven-ness and communication and public awareness.

E. Financial Management

Financial management will be assessed under three broad themes: completeness of financial information, communication between financial and project management staff and compliance with relevant UN financial management standards and procedures. The review will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The review will assess the level of communication between the Project Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The review will verify the application of proper financial management standards and adherence to UN Environment's and IUCN' financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include: preparation and readiness and quality of project management and supervision.

F. Efficiency

In keeping with the OECD/DAC definition of efficiency, the review will assess the cost-effectiveness and timeliness of project execution. Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The review will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The review will describe any cost or time-saving measures put in place to maximize results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The review will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives,

¹¹ A list of relevant SDGs is available on the EO website www.unep.org/evaluation

programmes and projects etc. to increase project efficiency. The review will also consider the extent to which the management of the project minimized UN Environment's environmental footprint.

Factors affecting this criterion may include: preparation and readiness (e.g. timeliness); quality of project management and supervision and stakeholders participation and cooperation.

G. Monitoring and Reporting

The review will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹² indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

Monitoring Implementation

The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The review should confirm that funds allocated for monitoring were used to support this activity.

Project Reporting

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Consultant(s) by the Project Manager. Projects funded by GEF have additional requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template¹³), which will be made available by the Project Manager. The review will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

¹² SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

¹³ The Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

Factors affecting this criterion may include: quality of project management and supervision and responsiveness to human rights and gender equity (e.g. disaggregated indicators and data).

H. Sustainability

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The review will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included. The review will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability.

Socio-political Sustainability

The review will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the review will consider whether individual capacity development efforts are likely to be sustained.

Financial Sustainability

Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. The question still remains as to whether the future project outcomes will be financially sustainable.

Institutional Sustainability

The review will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

Factors affecting this criterion may include: stakeholders participation and cooperation; responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined); communication and public awareness and country ownership and driven-ness.

Factors and Processes Affecting Project Performance

These factors are rated in the ratings table, but are discussed as cross-cutting themes as appropriate under the other evaluation criteria, above.

Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project. The review will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the review will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

Quality of Project Implementation and Execution

Specifically for GEF funded projects, this factor refers separately to the performance of the executing agency and the technical backstopping and supervision provided by UN Environment, as the implementing agency.

The review will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

Stakeholder Participation and Cooperation

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups, should be considered.

Responsiveness to Human Rights and Gender Equity

The review will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the review will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account. In particular, the review will consider to what extent project design (section B), the implementation that underpins effectiveness (section D), and monitoring (section G) have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii)

specific vulnerabilities of women and children to environmental degradation or disasters; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

Country Ownership and Driven-ness

The review will assess the quality and degree of engagement of government / public sector agencies in the project. The review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.

Communication and Public Awareness

The review will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The review should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gender or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the review will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

The Mid-Term Review will use a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings.

The findings of the review will be based on the following:

A desk review of:

Relevant background documentation, inter alia

The project document developed for this project

Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;

Project outputs:

Consultancy reports for the legislative and policy developments under the project

Bioprospecting report for the Caribbean Region

PR materials developed thus far under the project

Evaluations/Reviews of similar projects.

Interviews (individual or in group) with:

UN Environment Project Manager (TM);

Project management team;

UN Environment Fund Management Officer (FMO);

Project partners, including

The GIZ

CARICOM

Antigua and Barbuda

St Kitts and Nevis

Guyana

Jamaica

Barbados

Trinidad and Tobago

St Lucia

Grenada

Relevant resource persons.

Field visits

One field visit is anticipated June 19th -22nd. However other field visits and/or country missions maybe requested. In event this is necessary the project will cover such expenditures, including tickets and a daily subsistence allowance (at the IUCN rate).

Other data collection tools

To be determined by the consultant based on information required to complete the review. This will be discussed prior to signing of contract.

Review Deliverables and Review Procedures

The review team will prepare:

Inception Report: (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, review framework and a tentative review schedule.

Preliminary Findings Note: typically in the form of a power-point presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.

Draft and Final Review Report: (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

Review of the draft review report. The review team will submit a draft report to the Project Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Project Manager will share the cleared draft report with key project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Project Manager for consolidation. The Project Manager will provide all comments to the review team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The Project Manager will prepare a **quality assessment** of the first and final drafts of the main review report, which acts as a tool for providing structured feedback to the review consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1.

At the end of the review process, the Project Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals.

The Consultants' Team

For this review, the review team will consist of a firm or individual consultant who will work under the overall responsibility of Maria Pia Hernandez from IUCN and UNEP's Project Manager Marianela Araya. The reviewer(s) will liaise with the Project Manager on any procedural and methodological matters related to the review. It is, however, the consultants' individual responsibility to arrange for their travel visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

The consultant/firm will be hired for 4 months spread over the period June 1st 2017 to September 30th 2017 and should have: an advanced university degree in environmental sciences, international development or other relevant

political or social sciences area; a minimum of 5 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of Access and Benefit Sharing in the context of the Nagoya Protocol; proficiency in time management along with excellent writing skills in English; team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

The consultant/firm will be responsible, in close consultation with the Project Manager, for overall management of the review and timely delivery of its outputs, described above in Section 11 Evaluation Deliverables. The consultant/firm will ensure that all evaluation criteria and questions are adequately covered.

Details of Evaluation Consultants’ Team Roles can be found on the Evaluation Office of UN Environment website: www.unep.org/evaluation. Schedule of the Review

The table below presents the tentative schedule for the review.

Table 3. Tentative schedule for the review

Milestone	Deadline
Inception Mission	June 24 th 2017
Inception Report	June 30 th 2017
Review Mission	July 30 th 2017
Telephone interviews, surveys etc.	July 30 th 2017
Power-point/presentation on preliminary findings and recommendations	August 15 th 2017
Draft report to Project Manager	August 25 th 2017
Draft Report shared with the wider group of stakeholders	August 31 st 2017
Final Main Review Report	September, 15 th 2017
Final Main Review Report shared with all respondents	September 30 th 2017

Contractual Arrangements

Review Consultants will be selected and recruited by the Project Manager under a professional service contract on a “fees only” basis (see below). By signing the service contract with IUCN, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance.

Fees will be paid on an instalment basis, paid on acceptance by the Project Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the [Consultant/Team Leader]:

Deliverable	Percentage Payment
Approved Inception Report	30%
Approved Draft Main Review Report	30%
Approved Final Main Review Report	40%

Fees only contracts: Air tickets will be purchased by IUCN and the DSA for each authorized travel mission will be given by a member of the IUCN staff onsite. If an IUCN staff member is not present the consultant will have to present a rendition for reimbursement of monies spent within 2 weeks of returning from the mission. Local in-country travel will only be reimbursed where agreed in advance with the Project Manager and on the production of acceptable receipts. All travel related expenses will be reimbursed in accordance with the IUCN Travel Policy. The consultants may be provided with access to IUCN's Programme Information and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the review report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the Project Manager, payment may be withheld at the discretion of the Head of Branch/Unit until the consultants have improved the deliverables to meet the IUCN and UN Environment's quality standards.

If the consultant(s) fail to submit a satisfactory final product to the Project Manager in a timely manner, i.e. before the end date of their contract, IUCN reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by IUCN to bring the report up to standard.

ANNEX 2. PROJECT DESIGN QUALITY ASSESSMENT

A.	Nature of the External Context ¹⁴		YES/NO	Comments/Implications for the evaluation design Overall: The project faces no major challenge in terms of its External Context, and where a potential challenge may exist, the PRODOC has identified necessary mitigation measures	Section Rating: 1
1	Does the project face an unusually challenging operational environment that is likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	No	The Caribbean region and particularly the 8 countries participating in this project are not known to have any conflict.	
		ii)Ongoing/high likelihood of natural disaster?	No	While the Caribbean is prone to be affected by hurricanes, this is not an ongoing threat, and likelihood of a hurricane varies from year to year.	
		iii)Ongoing/high likelihood of change in national government?	Yes	The 8 countries participating in the project all have general elections at different times after either 4 or 5 year terms, thus staff turnover with change of government may be a challenge. However, this was identified as a risk in the PRODOC (Section 3.5) with appropriate mitigation measures defined.	
B.	Project Preparation		YES/NO	Comments/Implications for the evaluation design Overall: The PRODOC contains clear descriptions of the project's problem analysis, situation analysis and identification of stakeholders, even though the stakeholder engagement could have been better defined. Elements of human and sustainable development are appropriately addressed in the PRODOC.	Section Rating: 6
2	Does the project document entail a clear and adequate problem analysis?		Yes	A clear and consistent presentation of the problem is presented in the PRODOC.	
3	Does the project document entail a clear and adequate situation analysis?		Yes	A comprehensive analysis of the ABS baseline, context, threats, root causes, barriers, institutional and policy aspects is presented in the PRODOC (Sections 2.1-2.4 and 2.6)	
4	Does the project document include a clear and adequate stakeholder analysis?		Yes	A detailed stakeholder analysis is included in Section 2.5 of the PRODOC, addressing relevance, impact, potential contribution, and synergies with the project. Stakeholders in the analysis included governments, regional bodies, key international development organizations, project partners, Bahamas ABS Project, academia, and NGOs.	
5	<i>If yes to Q4:</i> Does the project document provide a description of stakeholder consultation during project design process? <i>(If</i>		Yes	The PRODOC (Section 2.5) provides a rationale for the specific stakeholders included in the process; but also provides details of the stakeholder consultation	

¹⁴ For Nature of External Context the 6-point rating scale is changed to: Highly Favourable = 1, Favourable = 2, Moderately Favourable = 3, Moderately Unfavourable = 4, Unfavourable = 5 and Highly Unfavourable = 6. (Note that this is a reversed scale)

	<i>yes, were any key groups overlooked: government, private sector, civil society and those who will potentially be negatively affected)</i>			process itself during the project's design in Section 3.4, Paragraph 54 of the PRODOC, as well as in Section 5, Paragraph 81 of the PRODOC.	
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development?	i) Sustainable development in terms of integrated approach to human/natural systems	Yes	The project seeks to facilitate sustainable and cost-effective use of the biological resources and ensure that the benefits will accrue to the region, the countries, and the local communities where biological and genetic resources occur, in direct support of the CBD's third objective. This is clearly defined in the Intervention Strategy of the PRODOC in Section 3.1.	
		ii) Gender	Yes	Gender mainstreaming in the implementation of all capacity building processes and in the creation of inclusive spaces in governance structures are clearly outlined in Section 3.1, Paragraph 32 of the PRODOC.	
		iii) Indigenous peoples	Yes	Indigenous communities are specifically targeted in Component 3, Outcome 3.1 of the project Logical Framework, in public awareness in indigenous language and in the development of templates for PIC and MAT.	
C	Strategic Relevance		YES/NO	Comments/Implications for the evaluation design Overall: Alignment with national and regional priorities are clearly defined; however, specific linkages to strategic priorities such as the Bali Action Plan and South-South Cooperation are not clear.	Section Rating: 5
7	Is the project document clear in terms of its alignment and relevance to:	i) UN Environment MTS and PoW	No	While it can be extracted from the text of the PRODOC that Ecosystem Management (expected accomplishment A) and Environmental Governance (expected accomplishment B and C) can be linked to UN Environment MTS and POW, this linkage is not articulated in the product.	
		ii) UN Environment /GEF/Donor strategic priorities (including Bali Strategic Plan and South-South Cooperation)	No	Linkage to GEF Strategic Objective BD-5 is understood, and linkages to Aichi Targets and articles of the Nagoya Protocol can be extracted from the text. However, the PRODOC is deficient in its articulation of linkages to the Bali Strategic Plan and to South-South Cooperation.	
		iii) Regional, sub-regional and national environmental priorities?	Yes	Consistency with national priorities and plans are described. This is clearly addressed in Section 3.6, Paragraphs 57-59 of the PRODOC; while regional linkages are described in Section 2.7	
		iv. Complementarity with other interventions	Yes	Linkages to GEF and non-GEF initiatives are described. This is clearly addressed in Section 2.7, Paragraphs 26-29 of the PRODOC.	
D	Intended Results and Causality		YES/NO	Comments/Implications for the evaluation design	Section Rating: 5

			Overall: Intended results and causality are effectively addressed, except that differences in the pace of legislative change among countries could affect outcomes	
8	Is there a clearly presented Theory of Change?		Yes	This can be appreciated in the project's Results Framework
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC?		Yes	This is clearly described in the projects logframe and in the Incremental Cost Reasoning section of the PRODOC (Section 3.7) and Sustainability Section of the PRODOC (Section 3.8).
10	Are impact drivers and assumptions clearly described for each key causal pathway?		Yes	This is clearly described in the projects logframe and in the Incremental Cost Reasoning section of the PRODOC (Section 3.7) and Sustainability Section of the PRODOC (Section 3.8). However,
11	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		Yes	The role of each stakeholder in the delivery of project outputs is described in Section 2.5 of the PRODOC, and captured again in the logframe.
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		No	While some outcomes may be realistic within the 36 months project cycle, the fact that the pace of legislative change is different in each country may prove to be a challenge in reaching all outcomes within the time frame defined.
E	Logical Framework and Monitoring		YES/NO	Comments/Implications for the evaluation design Overall: The baseline, outcomes, outputs, indicators, targets and assumptions as defined in the Logical Framework of the project and in the PRODOC, provide a good system for monitoring of the project's progress. Section Rating: <p style="text-align: center;">6</p>
13	Does the logical framework	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes	This can be easily extracted from the logical framework, allowing for the mapping of the causal pathways.
		ii) Have 'SMART' indicators for outputs?	Yes	While no indicators were labelled as 'Output Indicators', the Mid-Term and End of Project Targets are in fact articulated as output indicators in the Results Framework of the project. This however, could have been better articulated.
		ii) Have 'SMART' indicators for outcomes?	Yes	All indicators in the Results Framework are 'Outcome' indicators.
14	Is there baseline information in relation to key performance indicators?		Yes	This is clearly indicated for the 7 Outcomes defined in the Results Framework.
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		Yes	All indicators have defined Mid-Term and End of Project Targets.
16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		Yes	When combined with the details contained in Appendix 6 of the PRODOC – 'Key Deliverables and Benchmarks', the milestones collectively are appropriate to track progress and foster management towards outputs and outcomes.

17	Have responsibilities for monitoring activities been made clear?	Yes	This is clear in the Costed M&E Plan (Appendix 7 of PRODOC) and in the Summary of Reporting Requirements and responsibilities (Appendix 8 of the PRODOC).	
18	Has a budget been allocated for monitoring project progress?	Yes	This is clear in the Costed M&E Plan (Appendix 7 of PRODOC).	
19	Is the work plan clear, adequate and realistic? <i>(eg. Adequate time between capacity building and take up etc)</i>	Yes	The activities are clearly phased by year and quarter, in a logical and sequential manner within the 36 months available for project implementation (Appendix 5 of PRODOC).	
F	Governance and Supervision Arrangements	YES/NO	Comments/Implications for the evaluation design Overall: The institutional arrangements of the project are adequate and representative of the governance needs of a regional project such as this one.	Section Rating: 6
20	Is the project governance and supervision model comprehensive, clear and appropriate? <i>(Steering Committee, partner consultations etc.)</i>	Yes	This is clearly described in Section 4 and Appendix of the PRODOC, inclusive of illustrative diagram of institutional and organizational structure.	
21	Are roles and responsibilities within UN Environment clearly defined?	Yes	This is clearly described in Section 4 and Appendix of the PRODOC, inclusive of illustrative diagram of institutional and organizational structure.	
G	Partnerships	YES/NO	Comments/Implications for the evaluation design Overall: Partnerships have been appropriately identified including their specific roles. The project has to now exercise due diligence in ensuring timely and effective participation.	Section Rating: 6
22	Have the capacities of partners been adequately assessed?	Yes	This has been described repeatedly through-out the PRODOC, and clearly recognized in Section 2.5 of the PRODOC.	
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	Yes	The roles of different partners and the level of impact they may have on the project's implementation have been clearly described.	
H	Learning, Communication and Outreach	YES/NO	Comments/Implications for the evaluation design Overall: The project's knowledge management approach, communication mechanisms and methods for sharing of results and lessons at the end of the project are clearly defined.	Section Rating: 6
24	Does the project have a clear and adequate knowledge management approach?	Yes	This can be clearly appreciated from the description presented in Section 3.9 of the PRODOC, and Mid-Term and End of Project targets also clearly capture outputs related to the knowledge management objectives of the project.	
25	Has the project identified appropriate methods for communication with key stakeholders during the project life? <i>If yes, do the plans build on an analysis of existing</i>	Yes	A list of clearly defined methods for communicating project's goals and results is presented in Section 3.10 of the PRODOC, in which the use of other existing communication mechanisms in Government line ministries and in regional bodies were identified.	

	<i>communication channels and networks used by key stakeholders?</i>		
26	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	Yes	The section on 'Replication' in the PRODOC provides a clear description of this approach, including the use of existing channels in the countries and region.
I	Financial Planning / Budgeting	YES/NO	Comments/Implications for the evaluation design Overall: The absence of obvious deficiencies in the project's budget and secured co-financing of project partners should provide secure financing for the life of the project. Section Rating: 6
27	Are there any obvious deficiencies in the budgets / financial planning at design stage? <i>(coherence of the budget, do figures add up etc.)</i>	No	The budget is tied to outcomes and components by project year, but no obvious deficiencies could be observed.
28	Is the resource mobilization strategy reasonable/realistic? <i>(E.g. If the expectations are over-ambitious the delivery of the project outcomes may be undermined or if under-ambitious may lead to repeated no cost extensions)</i>	Yes	Co-financing letters were secured from governments and partners identified for the project, and opportunities and spaces for effective collaboration for all partners have been considered and included in project design, in support of the delivery of project outcomes.
J	Efficiency	YES/NO	Comments/Implications for the evaluation design Overall: The project appropriately addresses all aspects related to efficiency; however, consideration for asymmetries in countries' capacity could have been given greater relevance from a 'project efficiency' perspective. Section Rating: 5
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	No	A more in depth consideration of the asymmetries in institutional capacity of countries, and thus the pace of NP uptake by individual countries could have resulted in an adapted project design with country-specific indicators, which are more realistic within the planned 36 months project cycle.
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes	This is clearly described under the institutional arrangements, replication, and public awareness sections of the PRODOC, as well as in sections addressing consistency with national plans and policies, and with GEF and other regional initiatives such as the GIZ ABS Capacity Development Initiative.
31	Does the project document refer to any value for money strategies (i.e. increasing economy, efficiency and/or cost-effectiveness)?	Yes	Sections 3.7 (Incremental Cost Analysis) and 7.3 (Project Cost-Effectiveness clearly address this.

32	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the evaluation)</i>	No	There has been no extension of the project to date.	
K	Risk identification and Social Safeguards	YES/NO	Comments/Implications for the evaluation design Overall: Risks and corresponding mitigation measures are adequately addressed in multiple sections of the PRODOC. Environmental, social, and economic safeguards are also given due consideration.	Section Rating: 6
33	Are risks appropriately identified in both the TOC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC)</i>	Yes	These are appropriately addressed in Section 5.3 'Risk Analysis and Risk Management Measures' as well as in Appendix 4 'Results Framework' of the PRODOC. Key assumptions were reaffirmed in the reconstructed TOC.	
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>	Yes	The anticipated social and economic impacts are all positive and are appropriately addressed in Section 3.7, in the GEF and non-GEF scenarios were described. There are no perceived negative environmental impacts.	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management)</i>	Yes	There are no perceived negative environmental foot-print to be produced in the delivery of the projected outputs of the project. In terms of project management, the cost-savings mechanisms used by the project minimize travel by project personnel and the Steering Committee, thus minimizing project management's carbon foot print.	
L	Sustainability / Replication and Catalytic Effects	YES/NO	Comments/Implications for the evaluation design Overall: Sustainability and replication strategies have been clearly defined in the relevant sections of the PRODOC; the exit strategy could have been better defined.	Section Rating: 5
36	Was there a credible sustainability strategy at design stage?	Yes	Paragraphs 66-69 provide a good description of the strategy proposed for achieving sustainability of project outcomes, focusing primarily at strengthening the ABS knowledge base and institutional framework at the national and regional levels, as well as stakeholder ownership, as part of a broader enabling framework for NP implementation.	
37	Does the project design include an appropriate exit strategy?	No	Notwithstanding the focus on strengthening the human capacity and institutional framework in project countries, the exit strategy is not that clear. The exit strategy is assumed to be linked to the sustainability strategies defined for the project, but is not clearly articulated as a conspicuous 'exit strategy'.	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?	Yes	This is detailed in Section 3.9 of the PRODOC, with clear and intentional linkages to the existing national institutional framework and to existing regional and international bodies as key mechanisms for scaling up and replication.	

39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	Yes	Sections 3.8 and 3.9 of the PRODOC provide an elaborate description of all aspects highlighted, with the exception of the environmental aspects. However, this is consistent with only positive environmental impacts of the project.	
M	Identified Project Design Weaknesses/Gaps	YES/NO	Comments/Implications for the evaluation design Overall: No major PRC issues noted. Country-specific readiness could have been better analysed in preparation of the final PRODOC.	Section Rating: 5
40	Were recommendations made by the PRC adopted in the final project design? If no, what were the critical issues raised by PRC that were not addressed.	Yes	There are major issues identified in the final PRODOC.	
41	Were there any critical issues not flagged by PRC?	Yes	The issue of asymmetries in individual country capacity to absorb project support, and thus the overall readiness of the region to uptake the implementation of the NP could have been more critically reviewed which may have resulted in adjustments in project design.	

ANNEX 3. EVALUATION FRAMEWORK

Criterion & Evaluation Questions	Possible Respondents	Indicators	Possible Data Sources
1. Attainment of objectives and planned results			
A. Relevance			
i. How does the project goals and programmatic targets align with local and national development policies and priorities and do they remain relevant considering any changes in context since start-up?	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator, ABS CDI (GIZ), CBD, + key partners (OECS, CARICOM)	Level of alignment of results to national policies and to sub-regional environmental issues, UNEP mandate and policies at the time of design and implementation	Project Document, Project Document Supplement, Interviews, Project Reports, National Policies, Strategies and Plans, UNEP Strategic Documents, GEF Strategic Documents
ii. How does UNEP’s overall mandate and policies/GEF focal area on biodiversity and natural resource management relate to the project?		Respondent perceptions, level of achievement of objectives and outcomes	
iii. Are the components of the project consistent for the achievement of the goals of the project?			
B. Effectiveness			
i. How and to what extent is the project contributing to the definition of national and regional ABS Policy?	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Number of new Draft ABS Policies formulated or updated and means used to disseminate them.	Interviews, Project Progress Reports, Project Technical Reports, ABS Clearing House, Draft Policy Documents, Project Manuals and Protocols
ii. How is the project supporting the countries in their process to ratify and implement the Nagoya Protocol?		Number of Nagoya Protocol ratification/accession requests from the Executive Power to the Attorney General.	
iii. How is the project addressing ABS awareness for the general public, including parliamentarians and indigenous peoples?			
iv. How and to what extent has the project supported the use of the ABS clearing House as a mechanism for information exchange in the region?		Respondent perceptions, level of achievement of objectives and outcomes	
C. Efficiency			
i. Is the project applying any cost-saving mechanisms to ensure results are achieved within the approved timeframe and budget?	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Reported adaptive management measures in response to changes in context	Interviews, project unit documentation, signed budget revisions, PIRs
ii. Have there been any obstacles to project implementation and if yes, how are these being addressed to mitigate against delays in implementation?		Respondent perceptions, level of achievement of objectives and outcomes	

2. Sustainability of Project Outcomes			
A. Financial			
i. To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources?	National focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Respondent perceptions, policies of government of the day, budget and staff allocations	PIRs, budget revisions, financial reports, interviews
ii. Are there any financial risks that may jeopardize sustainability of project results and onward progress towards impact?			
B. Socio-political			
i. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts?	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator, ABS CDI (GIZ), CBD, + key partners (OECS, CARICOM)	Respondent perceptions, policies of government of the day, stakeholder ownership, and country drivenness	Interviews and project reports
ii. Is the level of awareness and ownership by the main stakeholders sufficient to allow successful project implementation and for the project results to be sustained?		Stakeholders participate actively in implementation and replication of project activities and results	
C. Institutional framework			
i. To what extent is the sustainability of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance?	National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Respondent perceptions, policies of government of the day, stakeholder ownership, and country drivenness	Interviews, project reports, national policies and strategies
ii. How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?			
D. Environmental			
i. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits?	National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Key factors positively or negatively impacting project results	Interviews, project reports, national policies and strategies
ii. Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?		Respondent perceptions, policies of government of the day, level of achievement of objectives and outcomes	
iii. Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?			

3. Catalytic Role			
i. Has the project had a catalytic role in promoting institutional change, changes in behavior, policy changes, new opportunities or follow-up support?	National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Number of follow up initiatives by stakeholders, national and regional partner organizations or individuals to replicate results and lessons from project	Interviews, project reports, national policies and strategies
4. Processes affecting attainment of project results			
A. Project Preparation & Readiness			
i. Were project stakeholders adequately identified and were they sufficiently involved in project development?	National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Respondent perceptions, project performance and delivery trends, positive appraisal of project document	Interviews, project reports, Minutes of Meetings
ii. Are the project's objectives and components clear, practicable and feasible within its proposed timeframe?		Respondent perceptions, level of achievement of objectives and outcomes	Results of PDQ assessment
iii. Are potentially negative environmental, economic and social impacts of projects identified?			Reconstructed TOC
iv. Were the capacities of executing agencies properly considered when the project was designed?			
v. Were counterpart resources (funding, staff, and facilities) and enabling legislation assured?			
vi. Were adequate project management arrangements defined?			
vii. Were lessons from other relevant projects properly incorporated in the project design?			
B. Stakeholders' Involvement & Awareness			
i. What approaches are being used to engage stakeholders in project implementation?	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator, ABS CDI (GIZ), CBD, + key partners, OECS, CARICOM Secretariat	Respondent perceptions, evidence of workshops or other consultation mechanisms	Interviews, Workshop Reports, Inception Phase Reports, Training Shirts, Project Reports, Minutes of Meetings
ii. Is the project promoting mechanisms for stakeholder participation in decision-making in the programmes, plans and other initiatives that it implements?		Respondent perceptions, evidence of stakeholder participation in planning and decision-making	
iii. To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks?			
C. Country Ownership/Driven-ness			

<p>i. How and how well did the project stimulate country ownership of project outputs and outcomes?</p> <p>ii. To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?</p>	<p>Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator</p>	<p>Respondent perceptions, timeliness of co-financing contributions, level of commitment and participation by government institutions and employees in the project’s activities</p>	<p>Interviews, National Policies, Strategies and Plans, Project Progress Reports, Minutes of Meetings</p>
<p>D. Achievement of Outputs and Activities</p>			
<p>i. How successful has the project been in achieving its planned outputs, considering aspects such as quantity, quality, sequencing, timeliness and usefulness?</p> <p>ii. To what extent have project outputs contributed towards the expected outcomes?</p>	<p>Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator</p>	<p>Respondent perceptions, level of achievement of objectives and outcomes</p>	<p>Interviews, Project Progress Reports, M&E Reports</p>
<p>E. Implementation Approach</p>			
<p>i. To what extent are the project implementation mechanisms outlined in the project document delivering project milestones, outputs and outcomes?</p> <p>ii. Were pertinent adaptations made to the approaches originally proposed?</p> <p>iii. To what extent has project management responded to direction and guidance provided by the UN Environment Task Manager?</p> <p>iv. Are there operational and political / institutional problems and constraints influencing the effective implementation of the project, and how is the project overcoming these problems?</p>	<p>UNEP Task Manager, ABS Project Manager, ABS Project Coordinator</p>	<p>Level of implementation of mechanisms outlined in project document</p> <p>Measures to improve implementation based on results of planned project monitoring</p> <p>Number of recommendations of the UN environment Task Manager addressed in project reports.</p>	<p>Interviews, Project Progress Reports, M&E Reports, Minutes of Meetings</p>
<p>F. Financial Planning & Management</p>			
<p>i. Are sufficient financial resources being made available and disbursed in a timely manner to the project and its partners?</p> <p>ii. Are co-financing commitments being met as programmed and made available in a timely manner?</p> <p>iii. Are additional resources – financial, in-kind – being leveraged by the project, beyond those that were already committed prior to the project’s approval?</p>	<p>UNEP Task Manager, ABS Project Manager, ABS Project Coordinator</p>	<p>Respondent perceptions, timeliness of disbursements, number of budget revisions</p> <p>Number of national co-financing reports</p> <p>Level of co-financing related to original planned budget</p>	<p>Project Progress Reports, M&E Reports, Financial Reports, National Co-financing Reports</p>

iv. Are there Independent Audited financial Statements available for the project?		Number of Audited Financial Statements	
G. Monitoring & Evaluation			
a. <u>M&E Design:</u>	UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Respondent perceptions, number of indicators that allow measurement of objectives Number of indicators measured or monitored successfully by the project's M&E efforts Number of mid-term and end of project targets defined in Logical Framework	Interviews, Project Progress Reports, M&E Reports, Minutes of Meetings PRODOC, Results of PDQ assessment, Reconstructed TOC
i. How well was the project logical framework designed as a planning and monitoring instrument? ii. Are there specific indicators in the log-frame for each of the project objectives? iii. Are the indicators measurable, attainable (realistic) and relevant to the objectives? iv. Have specific targets been specified for project outputs?			
b. <u>M&E Plan Implementation:</u>	Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Number of indicators measured or monitored successfully by the project's M&E efforts Number of PIRS and Half-yearly Progress & Financial Reports Number of adaptive approaches embraced by project management as a consequence of M&E results	Interviews, Project Progress Reports, M&E Reports, Minutes of Meetings
i. Is the M&E system operational and facilitating timely tracking of results and progress towards projects objectives? ii. Are PIR reports prepared? iii. Are Half-yearly Progress & Financial Reports complete and accurate? iv. Is the information provided by the M&E system being used to improve project performance and to adapt to changing needs?			
c. <u>Budgeting and funding for M&E activities:</u>	UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	PIRS and Half-yearly Progress & Financial Reports	Interviews, M&E Plan, Project Progress Reports, M&E Reports, Financial Reports, Minutes of Meetings Budgeted M&E Plan in PRODOC
i. Are M&E activities properly budgeted and funded in a timely manner?			
UNEP Supervision and Backstopping			
i. How effective has the supervision, guidance and technical support provided by UNEP been? ii. How effective has UNEP been in monitoring the outcomes of the project? iii. How well are the backstopping mechanisms of UNEP working in support of project	UNEP Task Manager, ABS Project Manager, ABS Project Coordinator	Respondent perceptions, timeliness and acceptance of PIR and financial reports; timeliness of disbursements and administrative support services by UNEP Documented back-stopping by UNEP	Interviews

implementation? iv. What are the strengths and limitations of UNEP backstopping support?			
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ANNEX 4. LIST OF DOCUMENTS CONSULTED

1. Bio-Propecting in the Caribbean Region – Caribbean ABS Institutional Mapping (DRAFT), Anthony Richards, Sylvia Mitchell, Kevel C. Lindsay, February 28, 2017
2. GEF ROTI HANDBOOK AUGUST 2009, OPS4 – Progress Towards Impact*
3. Guidance on the Structure and Contents of the Main Evaluation Report, Evaluation Office of UN Environment, Last Reviewed 16.12.16
4. IUCN Back-to-Office Report (BTOR) - *ABS project Synergies Meeting*–Bahamas: 24th – 27th August 2016
5. IUCN Back-to-Office Report (BTOR) - *Regional Meeting on Bioprospecting and Legislation and First National Meeting for Barbados for the Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* – [19th February- 24th February 2017]
6. IUCN Back-to-Office Report (BTOR) - *Clearing House Mechanism Meeting*–Jamaica: 21st – 22nd July 2016
7. IUCN Back-to-Office Report (BTOR) - *In-Country Meetings with Project Countries for the Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* – [15th March- 18th March 2016]
8. IUCN Back-to-Office Report (BTOR) - *National Legislation Meetings*–Jamaica: Aug 2nd 2016; Guyana- August 4th -5th; St Lucia- August 8th -9th, Grenada- August 11th and 12th; Antigua- August 15th and 16th
9. IUCN Back-to-Office Report (BTOR) - *CBD COP Side Event Presentation for the project Advancing the Nagoya Protocol in Countries in the Caribbean Region* – [4th December to 8th December 2016]
10. IUCN Back-to-Office Report (BTOR) - *National Workshops on Traditional Knowledge and the Nagoya Protocol*–Jamaica: 23rd July to Aug 1st 2016
11. IUCN Back-to-Office Report (BTOR) - *OECS Ministers of Environment Meeting presentation for the project Advancing the Nagoya Protocol in Countries of the Caribbean Region* – [2nd May- 6th April 2016]
12. IUCN Back-to-Office Report (BTOR) - *Fourth Regional Meeting and First National Workshop for the Federation of Saint Kitts and Nevis for the Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* – [19th June- 22nd June 2017]
13. IUCN Back-to-Office Report (BTOR) - *Inception Meeting and First National Workshop for Trinidad and Tobago for the Advancing the Nagoya Protocol in Countries of the Caribbean Region Project* – [23rd April- 29th April 2016]
14. IUCN - Video marketing and dissemination plan, February 2017
15. Medium Term Strategy 2014-2017, United Nations Environment Programme (UNEP), January 2015
16. Minutes of the First Steering Committee Meeting, April 26th 2016, Hilton Trinidad & Conference Centre
17. Minutes of the Second Steering Committee Meeting; Virtual Meeting via Zoom, March 27th, 2017
18. PIR - 1 July 2015 to 30 June 2016 - Advancing the Nagoya Protocol in Countries of the Caribbean Region
19. PIR – (Draft) - 1 July 2016 to 30 June 2017 - Advancing the Nagoya Protocol in Countries of the Caribbean Region
20. Press Release - IUCN and UN Environment launch promotional videos for the Caribbean on the Nagoya Protocol
21. Project Document (PRODOC) – Advancing the Nagoya Protocol in Countries of the Caribbean Region
22. Proposed Biennial Programme of Work and Budget (POW) for 2014-2015, Governing Council of the United Nations Environment Programme

23. Proposed Biennial Programme of Work and Budget (POW) for 2016-2017, United Nations Environment Assembly of the United Nations Environment Programme
24. Request for CEO Approval - Advancing the Nagoya Protocol in Countries of the Caribbean Region
25. United Nations Environment Programme, Evaluation Policy, Draft of March 2016
26. Use of Theory of Change in Project Evaluations, Evaluation Office of UN Environment, Last Reviewed 16.12.16

ANNEX 5: MID-TERM REVIEW ITINERARY & PERSONS CONSULTED

DATE OF VISIT OR CONTACT	MEDIUM & PLACE	CONTACT/POST	ORGANIZATION
3 rd July, 2017	Physical visit and one-on-one interview with email follow-up after visit Port-of-Spain, Trinidad & Tobago	Candace Amoroso Biodiversity Specialist	Environmental Policy and Planning Division; Ministry of Planning and Development
3 rd July, 2017	Physical visit and one-on-one interview with email follow-up after visit Port-of-Spain, Trinidad & Tobago	Julius Smith Environmental Biologist	Environmental Policy and Planning Division; Ministry of Planning and Development
4 th July, 2017	Physical visit and one-on-one interview with email follow-up after visit Castries, St. Lucia	Jannel Gabourel Sustainable Development and Environment Officer	Department of Sustainable Development ; Ministry of Education, Innovation, Gender Relations and Sustainable Development
4 th July, 2017	Physical visit and one-on-one interview with email follow-up after visit Castries, St. Lucia	Norma Cherry-Fevrier Programme Officer	Social & Environmental Development Division; OECS Commission
5 th July, 2017	Physical visit and one-on-one interview with email follow-up after visit St. John's, Antigua & Barbuda	Nneka Nicholas, Technical Officer/Legal Consultant	Department of the Environment; Ministry of Health and the Environment
6 th – 7 th July, 2017	Physical visit and one-on-one interview with email follow-up after visit St. Kitts & Nevis	Eavin Parry, Environment Scientist	Department of Environment, Ministry of Sustainable Development
Between 3-18 July 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Dr. Helena Brown, ABS Project Focal Point, Technical Coordinator	Department of the Environment; Ministry of Health and the Environment; St. John's, Antigua & Barbuda
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Joni Jackson Director, Natural Resources	Ministry of Economic Growth and Job Creation Kingston, Jamaica
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from	Kim Downes-Agard National Focal Point to the Convention on	Ministry of Environment and Drainage Bridgetown, Barbados

	Evaluation Framework, with email follow-up	Biological Diversity (CBD)	
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Stacy Lord Project Focal Point, Caribbean ABS Project	Environmental Protection Agency (EPA) Ganges, Sophia, Guyana
Between 3 rd July - 20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Melesha Banhan, Project Coordinator, Caribbean ABS Project	Project Coordinating Unit, St. John's, Antigua & Barbuda
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Maria Pia Hernandez Project Manager/Supervisor	Project Management Unit, Biodiversity & Rights Unit at IUCN ORMACC San Jose, Costa Rica
Between 3 rd July - 20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Marianela Araya UNEP Task Manager	UNEP Regional Office for Latin America and the Caribbean (ROLAC), Panama City, City
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Dr. Therese Yarde Project Coordinator	Sustainable Development Unit at the CARICOM Secretariat Turkeyen, Greater Georgetown, Guyana
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Valerie Normand Senior Programme, Access & Benefit Sharing	Secretariat of the Convention on Biological Diversity (CBD) Montreal, Quebec, Canada
Between 7 th -20 th August 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Dr. Hartmut Meyer	Caribbean ABS Development Initiative of the GIZ - German Technical Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH) Frankfurt, Germany
Between 7 th August and September 11 th , 2017	Electronic questionnaire based on questions from Evaluation Framework, with email follow-up	Aria St. Louis Head of Environment Division	Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment, Grenada

ANNEX 6. PROJECT COSTS AND CO-FINANCING TABLE

**Project Cost and Co-financing Table
Up to June 30,2017**

Project Costs

Project Costs Component/sub- component	Estimated cost at Design	Actual Cost	Expenditure ratio Actual / Planned
10. PERSONNEL	\$1,085,042	\$329,341	30.35%
20. SUBCONTRACTS	\$199,163		0.00%
30. TRAINING	\$362,400	\$151,762	41.88%
40. EQUIPMENT AND PREMISES	\$38,600	\$22,019	57.04%
50. MISCELLANEOUS	\$140,794	\$29,482	20.94%
99. TOTAL:	\$1,826,000	\$532,604	29.17%

Co-Financing

Co- financing Co financing (Type/So urce)	IA own Financing (US\$) (Implementing Agency)		Government (US\$)		Other (US\$)		Total (US\$)		Total Disbursed US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	\$532,604	\$1,826,000	\$12,000.00		\$379,993.00	\$480,996.69	\$2,217,992.58	\$1,013,601.04	\$2,217,992.58	\$1,013,601.04
Loans										
Credits										
Equity investments										
In Kind Support			\$3,206,183.00	\$316,190.86	\$211,081.00	267187.1907	\$3,417,264.00	\$583,378.05	\$3,417,264.00	\$583,378.05
Other**										
Totals:	\$532,604	\$1,826,000	\$3,218,183	\$316,191	\$591,074	\$748,184	\$5,635,257	\$1,596,979	\$5,635,257	\$1,596,979

ANNEX 7. BRIEF CV OF MTR CONSULTANT

Name: Noel D. Jacobs

Year of Birth: 1967

Nationality: Belizean

Education (Formal Degree Programs):

1994 - 1996 Masters Degree in Marine Biology – National Polytechnic Institute, Mexico

1988 - 1992 Bachelors Degree in Aquaculture Engineering – Technical Institute of the Sea, Mexico

Executive Education (Certificate Courses & Short Courses):

- March 2017 – The Strategy Consultant; Chartered Management Institute (CMI)/Institute of Consulting(IC)/Advanced Management Skills (AMS); London, England, United Kingdom.
- March 2017 – The Lean Operations Consultant; Chartered Management Institute (CMI)/Institute of Consulting (IC)/Advanced Management Skills (AMS); London, England, United Kingdom.
- March 2017 – The Professional Consultant; Chartered Management Institute (CMI)/Institute of Consulting (IC)/Advanced Management Skills (AMS), London, England, United Kingdom.
- May 2012 – Advanced Level Organizational Development Certified Consultant Program (ODCC); Institute of Organization Development (IOD), Fort Lauderdale, Florida, U.S.A.
- March 2009 - Practitioners Program in the Critical Components of Effective Governance; BoardSource, Arlington, Virginia, U.S.A.
- June 2007 – Certificate in Fund Raising Management (CFRM); Centre on Philanthropy, Indiana University, Indianapolis, U.S.A.
- November, 2003 – Certificate in Negotiation and Decision Making Strategies; Columbia University Graduate School of Business, New York, U.S.A
- June, 2002 - Leaders in Development: Managing Political & Economic Reform; John F. Kennedy School of Government, Harvard University, Cambridge, Massachusetts, U.S.A.

Membership in Professional Associations:

- Association for Strategic Planning (ASP-Canada) – Full Member ID#: 43690191
- Society for Human Resources Management (SHRM-U.S.A.) – Professional Member ID#: 01792767
- Institute of Consulting - United Kingdom (IC-UK) – Fellow (FIC) #P04525163

Language Skills:

English: Mother tongue

Spanish: Read, Write, Speak (Excellent Level)

Overview of Employment Experience:

Period	Employment position and sector	Countries	Key activities performed
July 2007 to Present	International Institutional Development Consultant in the following sectors: Tourism Aviation Heritage & Culture Environment/Biodiversity/Protected Areas Marine & Fisheries Coastal Zone Management Climate Change Agriculture Health	Antigua & Barbuda, Barbados, Dominica, Grenada, Guyana, Jamaica, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Trinidad & Tobago, Cuba, Dominican Republic, Mexico, Colombia, Ecuador, Bolivia, Peru, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica, Panama, Belize, Uruguay, Chile, Argentina	Provision of national and international Consulting Services in the following thematic areas: Strategic Planning; Board Governance & Institutional Development; Institutional Assessment; Biodiversity and Social Impact Assessment; Capacity Building & Training; Development of Organizational Policies, Guidelines and Manuals; Fund Raising Strategy; Project Design (National & Regional Projects) in Biodiversity and Climate Change; Project Management and Project Evaluation.
July 2001 to June 2007	Regional Director, Central American Commission for Development and Development (CCAD)	Belize Guatemala Honduras Mexico	Regional oversight of the Mesoamerican Barrier Reef Systems Project; overall execution of a multi-national, multi-sector, and multidisciplinary project over a 6-year period, while leading a team of regional experts.
August 1998 to April 1999	Director, Lobster & Conch Resource Management Program (CIDA/CARICOM)	Belize Jamaica St. Kitts & Nevis St. Lucia Grenada St Vincent & the Grenadines	Program development, monitoring and supervision of technical program implementation in six countries of the Caribbean to ensure compliance with planned activities, outputs and performance indicators both on a national and on a regional scale.
September 1996 to July 1998	Fisheries Administrator	Belize	Fisheries and Coastal Management, Research, Fisheries Enforcement, Compliance with International Conventions and Agreements, Marine Protected Areas Management

Consulting Assignments:

Peru: GEF Project Concept Note Consultant – Sustainable Landscape of Northern Tropical Peru. Client: Development Bank of Latin America (CAF), 2017

Peru: GEF Project Concept Note Consultant - Sustainable Landscapes of Madre de Dios. Client: Development Bank of Latin America (CAF), 2017

Uruguay, Chile, and Argentina: GEF Project Concept Note Consultant - 'Cetaceans and Health of the Oceans in South America: Banner Species as Bio-indicators of Mercury Pollution'. Client: Development Bank of Latin America (CAF), 2017

Colombia: GEF Project Document Consultant - Transformation of the Panela (sugar cane) Sub-Sector in Colombia Through Nationally Appropriate Mitigation Actions (NAMA) to the Impacts of Climate Change. Client: Development Bank of Latin America (CAF), 2016

Belize: Institutional Assessment - Review and Revision of the Belize Coastal Zone Act & Regulations. Client: AGRER-Grupo TYPASA/Government of Belize/World Bank, 2016

Belize: Institutional Review and Organizational Development Support to the Karl Heusner Memorial Hospital Authority. Client: Government of Belize, 2016

Antigua & Barbuda, Bahamas, Barbados, Belize, Commonwealth of Dominica, Grenada, Guyana, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Suriname, and Trinidad & Tobago: Assessment of Capacity in the Caribbean Sub-Region in Support of Biosafety Systems. Client: University of the West Indies/United Nations Environment Programme (UNEP), 2016

Antigua & Barbuda, Bahamas, Barbados, Belize, Commonwealth of Dominica, Grenada, Guyana, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Suriname, and Trinidad & Tobago: Assessment of Genetically Modified Organisms in the Caribbean Region. Client: University of the West Indies/United Nations Environment Programme (UNEP), 2016

Bolivia, Colombia, Ecuador and Peru: GEF Project Implementation Manual of the Andes Adaptation to the Impacts of Climate Change on Water Resources (AICCA) Project. Client: Development Bank of Latin America (CAF), 2016

Bolivia, Colombia, Ecuador, Peru: GEF Project Document Consultant - Andes Adaptation to the Impacts of Climate Change on Water Resources (AICCA). Client: Development Bank of Latin America (CAF), 2016

Jamaica, Grenada, St. Lucia, and St. Vincent & the Grenadines: Project Design Consultant - Coastal Protection for Climate Change Adaptation in the Small Island States in the Caribbean project. Client: International Union for the Conservation of Nature (ORMACC)/Caribbean Community Climate Change Centre (CCCCC)/German Development Bank (KFW), 2016

Belize: Project Terminal Evaluation Consultant - Making Tourism Benefit Communities Adjacent to Archaeological Sites" (MTBCAAS). Client: Government of Belize/European Union (EU), 2015

Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica: Organizational Development Support & Management Coaching to the Central American Cooperation for Air Navigation Services (COCESNA). Client: COCESNA, 2015

Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica: 20-Year Master Plan of the Central American Cooperation for Air Navigation Services (COCESNA). Client: COCESNA, 2015

Belize: Organizational Development Support to the Belize Airports Authority. Client: Government of Belize, 2014

Belize: General Core Component - Curriculum Framework of the Revised Belize National Tour Guide Training. Client: Government of Belize, 2014

Belize: Training Needs Assessment and Training Program Design for Members of the Belize Shrimp Cluster for Aquaculture Stewardship Council (ASC) certification. Client: Inter-American Development Bank (IDB)/Compete Caribbean/World Wildlife Fund (WWF)

Belize: Project Mid-Term Evaluation Consultant - Making Tourism Benefit Communities Adjacent to Archaeological Sites” (MTBCAAS). Client: Government of Belize/European Union (EU), 2014

Belize: 5-Year Strategic Planning & Operational Planning Support to the Ministry of Trade, Investment Promotion, Private Sector Development, and Consumer Protection. Client: Government of Belize, 2014

Belize: Institutional Assessment & Proposal for a Gaming and Lotteries Commission. Client: Government of Belize, 2014

Belize: 2013-2015 Strategic Plan for the Development Finance Corporation. Client: Government of Belize, 2013

Belize: Belize National Sustainable Development Report. Client: United Nations Development Program (UNDP)/UNDESA, 2012

Belize: Institutional Assessment & Proposal for a Civil Aviation Authority. Client: Government of Belize, 2012

Belize: Project Management Services - Sustainable Tourism Program (STP). Client: Inter-American Development Bank (IDB), 2011

Seven Countries of Central America + Mexico: Development of a White Paper and Proposed Framework for the Establishment of a ‘Global IUCN Ridge to Reef Program. Client: International Union for the Conservation of Nature IUCN-Mesoamerica, 2011

Belize: 2010-2015 Strategic Plan for the Protected Areas Conservation Trust (PACT). Client: Government of Belize, 2010

Belize: 2010-2015 Institutional Assessment of the Protected Areas Conservation Trust (PACT). Client: Government of Belize, 2010

Belize: Preparation of an Environmental Impact Assessment (EIA) Manual for Belize. Client: Government of Belize and Central American Commission for Environment & Development (CCAD) and IUCN, 2009

Belize, Guatemala, Honduras, El Salvador, Nicaragua, Costa Rica: Institutional Assessment & Five Year Strategic Plan. Client: Central American Cooperation for Air Navigation Services (COCESNA), 2009

Costa Rica-Panama-Colombia-Ecuador: Shark Management Strategy and Guidelines for the Tropical Eastern Pacific Corridor. Client: International Union for the Conservation of Nature (IUCN), 2008

Seven countries of Central America, Southern Mexico, Cuba and the Dominican Republic: : Regional Marine Conservation Strategy for IUCN Mesoamerica. Client: International Union for the Conservation of Nature (IUCN)

Belize: Institutional Development Plan. Client: Belize Association of Private Protected Areas (BAPPA), 2008

Belize, Guatemala, Honduras & Mexico: Project Preparation and Design Coordinator – Mesoamerican Barrier Reef systems Project. Client: Central American Commission for Environment & Development (CCAD)/GEF-World Bank, 1999-2001

Belize: Master Editor, Belize National Biodiversity Strategy and Action Plan. Client: United Nations Development Programme (UNDP), 1998

Belize: Marine and Coastal Areas Strategy and Action Plan for Belize. Client: United Nations Development Programme (UNDP), 1997