



Request for Proposals (RfP)

“Consultancy Services to Conduct a Mid-Term Review for the GEF-funded project “Improving Environmental Management through Sustainable Land Management in St. Kitts and Nevis”

International Union for Conservation of Nature and Natural Resources

Regional Office for Mexico, Central America and the Caribbean

Country: St. Kitts and Nevis

Name of the Project: “Improving Environmental Management through Sustainable Land Management in St. Kitts and Nevis”

Budget Line: PA03159.ME

AOP Code: 24-SKN64

Proposers are hereby invited to submit a technical and financial proposal for the aforementioned Consultancy Service. Please read the information and instructions carefully because non-compliance with the instructions may result in disqualification of your Proposal from this Procurement.

1. ABOUT IUCN

IUCN is a membership Union uniquely composed of both government and civil society organisations. It provides public, private and non-governmental organisations with the knowledge and tools that enable human progress, economic development and nature conservation to take place together.

Created in 1948, IUCN is now the world’s largest and most diverse environmental network, harnessing the knowledge, resources and reach of more than 1,400 Member organisations and some 18,000 experts. It is a leading provider of conservation data, assessments and analysis. Its broad membership enables IUCN to fill the role of incubator and trusted repository of best practices, tools and international standards.

IUCN provides a neutral space in which diverse stakeholders including governments, NGOs, scientists, businesses, local communities, indigenous peoples’ organisations and others can work together to forge and implement solutions to environmental challenges and achieve sustainable development.

Working with many partners and supporters, IUCN implements a large and diverse portfolio of conservation projects worldwide. Combining the latest science with the traditional knowledge of local communities, these projects work to reverse habitat loss, restore ecosystems and improve people’s well-being.

www.iucn.org

<https://twitter.com/IUCN/>

2. REQUIREMENTS

2.1. A detailed description of the services to be provided can be found in Annex 1 (Terms of Reference)

3. CONTACT DETAILS

3.1. 3.1 During the course of this RfP, from its publication to the award of a contract, you may not contact or discuss this procurement with any IUCN employee or representative other than the following contact. You must address all correspondence and questions to the contact, including your proposal.

IUCN Contact: Procurement Officer, procurement.Ormacc@iucn.org

4. PROCUREMENT TIMETABLE

4.1. This timetable is indicative and may be changed by IUCN at any time. If IUCN decides that changes to any of the deadlines are necessary, that will be informed.

DATE	ACTIVITY
02/04/24	Publication of the Request for Proposals
12/04/24	Deadline for submission of questions
18/04/24	Deadline for submission of proposals to IUCN (" Submission Deadline ")
23/04/24	Clarification and evaluation of proposals
10/05/24	Planned date for contract award
13/05/24	Expected contract start date

4.2. Send an email to the IUCN contact to register an email address to receive notifications or clarifications of this bidding process, bidders in turn will be able to confirm if they intend to submit a Proposal before the deadline indicated above.

4.3. IUCN reserves the right to issue responses to any question to all Bidders, unless the Bidder making the inquiry expressly requests, at the time of inquiry, that it be kept confidential. If IUCN considers the content of the question and/or the answer to be non-confidential, it will inform the Bidder, who will have the opportunity to withdraw the question.

4.4. At any time before the deadline for submitting Proposals, IUCN may amend the RFP and will send all Bidders who have notified their interest or, failing that, registered an email to receive notifications, and it will be disclosed in the media used. For this end.

4.5. If the amendment is substantial, IUCN may extend the deadline for submission of Proposals in order to allow Bidders a reasonable time to consider the amendment in their proposals.

5. PRESENTATION OF THE PROPOSALS

5.1. The Bidder interested in submitting a Proposal must submit the following documents, in the order listed, placing:

A. ADMINISTRATIVE REQUIREMENTS

- a. Copy of identification document or passport (in case of being a foreigner)
- b. Copy of legal invoice for fees collection.

- c. Copy of resume
- d. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- e. Signed Declaration of Undertaking (Annex 3a)
- f. Human Resources Questionnaire filled and signed (Annex 4)

FOR CONSULTANCY COMPANIES:

- a. Copy of Certification of Incorporation
- b. Copy of identification document of the Legal Representative
- c. Copy of legal invoice for fees collection.
- d. Copy of resumes of the Consulting Team
- e. Letter of interest signed, indicating that the Consultant have read, understood and accept the content of these Terms of Reference. (Annex 2)
- f. Signed Declaration of Undertaking signed by the Representative of the Consulting Company or, in the case of a Consortium or group of Consultants, signed by each member indicating that they have read and understood the content of the Declaration (Annex 3b)
- g. Human Resources Questionnaire filled and signed (Annex 4)

B. TECHNICAL PROPOSAL:

- i. The technical proposal must address each of the criteria listed below explicitly and separately, citing the reference number of the relevant criterion (Description column).

	Description	Information to be presented	Relative importance (%)
1	Methodology to be implemented	A detailed description of work to be implemented; the procedure of the consultancy; instruments and parameters to be used; and participants to be engaged.	15%
2	Schedule with logical dimension of time	A matrix of activities with scope of work and timelines to achieve the objective of consultancy	15%
3	Qualifications Master's Degree or equivalent academic attainment in any of the following fields: Environmental sciences, international development, political sciences or social sciences	Company Profile / CV of the consultant(s)	20%
4	At least 10 years of technical / evaluation experience preferably including evaluating large, regional or global programmes and using a Theory of Change approach	Company Profile. CV of personnel responsible for the Consultancy. Evidence of similar deliverables – PDF, link	30%
5	Demonstrated experience working with agricultural and land management systems in small island states (SIDS)	Company Profile / CV of the consultant(s)	20%
TOTAL			100%

- i. IUCN will evaluate the technical proposals with respect to each of the criteria indicated in point i) and their relative importance.
- ii. Proposals in any other format will significantly increase the evaluation time and therefore such proposals may be rejected at the discretion of IUCN.
- iii. When resumes (CVs) are requested, these should be from the people who will perform the specified job. Persons submitted as part of the Proposal may only be replaced with the approval of IUCN.
- iv. In the event that a company or group of consultants applies, in addition to the above information, the following must be specified:
 - Responsible for consulting
 - Composition of the consulting team, specialty of each member.
 - Role and responsibility in the activities/products of each member in accordance with the TOR

C. FINANCIAL PROPOSAL:

Signed by the Proposer, indicating the value of professional services **USD in numbers and letters.**

- i. It will be considered that the prices presented include all the costs of fees, insurance, taxes, obligations and risks that must be considered for compliance with the Terms of Reference. IUCN will not accept charges beyond those clearly indicated in the Financial Proposal and that are eligible for the execution of the Contract.
- ii. The Bidder will have to assume the payments corresponding to taxes according to regulations in force in its country; You will have to have health and life insurance up to date; and will assume the bank charges by transfer.
- iii. If local or international trips must be made for the execution of this Contract, the costs will be paid by IUCN through reimbursement and will be governed by the IUCN per diem scale for food and lodging.
- iv. Travel expenses related to the execution of this Contract will not exceed the total amount of (**USD**) broken down as follows:

Expense Type	Maximum Amount (USD)
Air transfer	2500
Meals and incidentals	715
Transportation	350
Lodging	810

- v. For reimbursement of travel expenses, the Proposer must submit a financial report with original invoices/receipts (e.g., transportation, lodging, food and incidentals) to the IUCN Contact Person, in the currency of the Contract, so that the corresponding reimbursement can be processed.

- vi. Expenses related to vehicle maintenance, purchase of electronic equipment, cell phone expenses, consumption expenses or purchase of alcoholic beverages will be considered ineligible expenses.
- vii. Breakdown of the Financial Proposal.

For information purposes, it is recommended that the details of the financial proposal be broken down as follows:

	Description	Quantity	Unit price	Total price
1				
2				
3				

**USD currency*

- 5.2. Additional information not requested by IUCN should not be included in the proposal and will not be subject to evaluation.

6. SENDING

- 6.1. The Proposal must be submitted by email to the IUCN Contact (see Section 2). The subject heading of the email shall be [RfP Reference – Proposer name]. The Proposer name is the name of the company/organisation on whose behalf the proposal is being submitted, or the surname of the Proposer in case is bidding as a self-employed consultant. The proposal must be submitted in PDF format. The Proposer may submit multiple emails suitably annotated, e.g., Email 1 of 3, if attached files are too large to suit a single email transmission. You may not submit your Proposal by uploading it to a file-sharing tool (e.g. Dropbox, Google Drive, etc)

IMPORTANT: Submitted documents must be password-protected so that they cannot be opened and read before the submission deadline. Please use the same password for all submitted documents. After the deadline has passed and within 12 hours, please send the password to the IUCN Contact. This will ensure a secure bid submission and opening process. Please DO NOT email the password before the deadline for Proposal submission.

7. ELIGIBILITY

- 7.1. Not applicable.

8. VALIDITY

- 8.1. The proposal must remain valid and capable of acceptance by IUCN for a period of 60 calendar days following the submission deadline.

9. WITHDRAWALS AND CHANGES

- 9.1. Proposers may freely withdraw or change their proposal at any time prior to the submission deadline by written notice to the IUCN Contact. However, in order to reduce the risk of fraud, no changes or withdrawals will be accepted after the submission deadline.

10. EVALUATION OF PROPOSALS

- 10.1. Completeness

IUCN will firstly check your proposal for completeness. Incomplete proposals will not be considered further.

10.2. Technical Evaluation

IUCN will evaluate technical proposals with regards to each of the following criteria and their relative importance:

10.2.1. *Scoring Method*

Proposals will be assigned a score from 0 to 10 for each of the technical evaluation criteria, such that '0' is low and '10' is high. Proposals that receive a score of '0' for any of the criteria will not be considered further.

10.2.2. *Technical Score*

The score for each technical evaluation criterion will be multiplied with the respective relative weight and these weighted scores added together to give the proposal's overall technical score.

10.3. Financial Evaluation and Financial Scores

The financial evaluation will be based upon the full total price submitted. Financial proposals will receive a score calculated by dividing the lowest financial proposal that has passed the minimum quality thresholds by the total price of your financial proposal.

The proposals total score will be calculated as the weighted sum of the technical score and financial score.

The relative weights will be:

Technical: 70%
Financial: 30%

Subject to the requirements in Sections 4 and 7, IUCN will award the contract to the Proposer whose proposal achieves the highest total score.

11. EXPLANATION OF PROCUREMENT PROCEDURE

11.1. IUCN is using an Open Procedure for this procurement.

11.2. You are welcome to ask questions or seek clarification regarding this procurement. Please email the IUCN Contact (see Section 2), taking note of the deadline for submission of questions in Section 3.1. Late proposals will not be considered. All proposals received by the submission deadline will be evaluated by a team of three or more evaluators in accordance with the evaluation criteria stated in in this RfP. No other criteria will be used to evaluate proposals. The contract will be awarded to the Proposer whose proposal received the highest Total Score. IUCN does, however, reserve the right to cancel the procurement and not award a contract at all.

11.3. IUCN will contact all Proposers who submitted their proposal to inform them of the outcome of the evaluation. The timeline in Section 3.1 gives an estimate of when the

contract award is expected to be completed, however this date may change depending on how long the evaluation of the proposals takes.

12. CONDITIONS FOR PARTICIPATION IN THIS PROCUREMENT

- 12.1.1. To participate in this procurement, the Proposers are required to submit a proposal, which fully complies with the instructions in this RfP and the Attachments.
 - 12.1.2. It is responsibility of each Proposer to ensure the submission of a complete and fully compliant proposal.
 - 12.1.3. Any incomplete or incorrectly completed proposal submission may be deemed non-compliant, and as a result will not be consider to proceed further in the procurement process.
 - 12.1.4. IUCN will query any obvious clerical errors in a proposal and may, at IUCN's sole discretion, allow a Proposer to correct these, but only if doing so could not be perceived as giving an unfair advantage.
- 12.2. In order to participate in this procurement, the Proposer must meet the following conditions:
- Free of conflicts of interest
 - Registered on the relevant professional or trade register of the country in which is established (or resident, if self-employed)
 - In full compliance with its obligations relating to payment of social security contributions and of all applicable taxes
 - Not been convicted of failing to comply with environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection
 - Not bankrupt or being wound up
 - Never been guilty of an offence concerning professional conduct
 - Not involved in fraud, corruption, a criminal organisation, money laundering, terrorism, or any other illegal activity.
- 12.3. Each Proposer shall submit only one proposal, either individually or as a partner in a joint venture. In case of joint venture, one company shall not be allowed to participate in two different joint ventures in the same procurement nor shall a company be allowed to submit a proposal both on its behalf and as part of a joint venture for the same procurement. A Proposer who submits or participates in more than one proposal (other than as a subcontractor or in cases of alternatives that have been permitted or requested) shall cause all the proposals with the Proposer's participation to be disqualified.
- 12.4. By taking part in this procurement, the Proposer accept the conditions set out in this RfP, including the following:
- It is unacceptable to give or offer any gift or consideration to an employee or other representative of IUCN as a reward or inducement in relation to the awarding of a contract. Such action will give IUCN the right to exclude you from this and any future procurements, and to terminate any contract that may have been signed with you.
 - Any attempt to obtain information from an employee or other representative of IUCN concerning another bidder will result in disqualification.

- Any price fixing or collusion with other Proposers in relation to this procurement shall give IUCN the right to exclude you and any other involved bidder(s) from this and any future procurements and may constitute a criminal offence.

13. CONFIDENTIALITY AND DATA PROTECTION

13.1. IUCN follows the European Union's General Data Protection Regulation (GDPR). The information a Proposer submits to IUCN as part of this procurement will be treated as confidential and shared only as required to evaluate the proposal in line with the procedure explained in this RfP, and for the maintenance of a clear audit trail. For audit purposes, IUCN is required to retain the proposals in its entirety for 10 years after the end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

13.2. In the Declaration of Undertaking (Attachment 3) the Proposer needs to give IUCN express permission to use the information submitted in this way, including personal data that forms part of the proposal. Where a Proposer include personal data of employees (e.g. CVs) in the proposal, the Proposer needs to have written permission from those individuals to share this information with IUCN, and for IUCN to use this information as indicated in 8.1. Without these permissions, IUCN will not be able to consider the proposal.

14. COMPLAINTS PROCEDURE

14.1. If a Proposer has a complaint or concern regarding the propriety of how a competitive process is or has been executed, then please contact sofiamariela.madrigal@iucn.org. Such complaints or concerns will be treated as confidential and are not considered in breach of the above restrictions on communication (Section 2.1).

15. CONTRACT

15.1. The contract will be based on IUCN's template which terms of which are not negotiable.

16. ANNEXES

Annex 1 *Specification of Requirements / Terms of Reference*

Annex 2 *Tools, Templates and Guidance Notes for use in the Review*

Annex 3 *Mid Term Review Criteria Ratings Table*

Annex 4 *Guidance on the Structure and Contents of the Mid-Term Review Inception Report*

Annex 5 *Guidance on the Structure and Contents of the Main Mid-Term Review Report*

Annex 6 *Letter of Interest*

Annex 7 *Declaration of Undertaking (select 2a for companies or 2b for self-employed)*

Annex 8 *Human Resources Questionnaire*

**Annex 1
TERMS OF REFERENCE**

**The Regional Office for Mexico, Central America and the Caribbean of the
International Union for the Conservation of Nature**

(IUCN-ORMACC)

REQUIRES

PROFESSIONAL CONSULTANCY SERVICES

TO

***“Conduct a Mid-Term Review of the UNEP/GEF project Improving Environmental
Management through Sustainable Land Management in St. Kitts and Nevis”***

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project Summary

UNEP PIMS/SMA¹ ID:	IPMR SMA ID 43235	
Donor ID:	GEF ID 9785	
Implementing Partners:	International Union for Conservation of Nature, Ministry of Sustainable Development, St. Kitts and Nevis	
SDG(s) and indicator(s):	2.4 By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries 14.1 By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution 15.3 By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation neutral world	
Sub-Programme:	Nature action subprogramme	Expected Accomplishment(s): EA3(a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring frameworks at the national and international levels EA3(b) Policymakers in the public and private sectors test the inclusion of the health and productivity of ecosystems in economic decision-making
UNEP approval date:	15-May-19	Programme of Work Output(s):

¹ Acronym for ID assigned by the Integrated Planning, Monitoring and Reporting (IPMR) system.

		(i) Increase in the number of countries that have made progress to monitor and maintain the health and productivity of marine and terrestrial ecosystems (ii) Increase in the number of countries that demonstrate enhanced knowledge of the value and role of ecosystem services (i) Increase in the number of public sector institutions that test the incorporation of the health and productivity of marine and terrestrial ecosystems in economic decision-making	
Expected start date:		Actual start date:	25/05/2020
Planned operational completion date:	30/06/2025	Actual operational completion date:	24-May-25
Planned total project budget at approval (show breakdown of individual sources/grants):	3,015,982 USD	Actual total expenditures reported as of [date]:	819,670.08 USD
Expected co-financing:	22,695,288 USD	Secured co-financing²:	\$4,767,268.49
First disbursement:	07/07/2020	Planned date of financial closure:	30/06/2026
No. of project revisions:	0	Date of last approved project revision:	n/a
No. of Steering Committee meetings:	3	Date of last/next Steering Committee meeting:	Last: 18/03/24 Next: TBD
Mid-term Review (planned date)³:	1-Apr-24	Mid-term Review (actual date):	
Terminal Evaluation/Review (planned date):	1-Dec-25	Terminal Evaluation/Review (actual date):	<i>Not applicable</i>
Coverage - Country(ies):	St. Kitts and Nevis	Coverage - Region(s):	Latin America and the Caribbean
Dates of previous project phases:	n/a	Status of future project phases:	n/a

2. Project Rationale

Sustainable Land Management (SLM) issues in St. Kitts and Nevis are faced with a number of challenges linked to legislative, regulatory, institutional, and capacity barriers. The shift from sugar cane to tourism development as the primary economic driver has resulted in a series of use changes, not only on lands once used for sugar cane production, but also on the coastline to accommodate tourism development infrastructure. Deforestation on slopes has resulted in surface soil erosion and sedimentation, destroying suitable farm land, negatively impacting water supply and quality, and ultimately ending up on the coast with devastating consequences for mangroves, seagrass beds and coral reefs. Land degradation is also exacerbated by residential and tourism developments, by unplanned and unsustainable agricultural practices, and by land-based sources of pollution and waste disposal.

While the Government of St. Kitts and Nevis (SKN) has made steps to address these challenges through national policy attempts, such as the Medium Term Economic Strategy Paper: 2003–2005 which spoke to the enactment of legislation to address land degradation issues; the National Physical

² State whether co-financing amounts are cash or in-kind.

³ UNEP policies require projects with planned implementation periods of 4 or more years to have a mid-point assessment of performance. For projects under 4 years, this should be marked as N/A.

Development Plan of 2006 to guide physical development in reference to land and the Draft SKN Land Use Code; the development of a Draft Land Management Unit Framework in 2010, and the Agriculture Development Strategy 2013 – 2016, there has not been much evidence that land degradation and environmental degradation are being effectively addressed. The limited progress achieved to date is as a consequence of several deficiencies at the systemic level as described in detail above under 'Barriers':

- inadequate policy, regulatory and planning frameworks;
- limited technical capacities, experience and models for implementing ecologically sustainable pathways for natural resource use and economic development;
- and lack of knowledge, information and awareness.

The interventions of this project are consistent with a multi-pronged approach that targets the three primary barriers identified.

The project assists SKN to strengthen its policy, regulatory and planning frameworks through the updating/revision of the National Physical Development Plan, revise the legal and regulatory framework to support NPDP implementation, and the production of baseline digital land use maps of areas of high priority environmental concern. Technical capacity for land use planning, natural resource management, and economic development is being supported through training and capacity building for coordinated and effective action on SLM, BD conservation and climate smart agriculture, as well as support to a post-graduate technical training for at least 6 students engaged with the local authorities.

The project also supports SKN in the mainstreaming of BD conservation, SLM and CCM into key development and resource management sectors through the restoration and management of key forest sites, and supports SLM and sustainable agriculture practices. Knowledge, information and awareness are addressed through the implementation of a Public Education and Awareness Strategy and a Knowledge Management Strategy, both of which will have SLM, BD and CC as central themes, and targeted to all stakeholders across the length and breadth of the country.

3. Project Results Framework

Component 1: Integrated and strengthened environmental planning and management on the islands of St. Kitts and Nevis to support island sustainability

Component 1 seeks to address critical planning and management needs in order for SKN to better embrace its sustainable development challenges. In this regard, the project aims to strengthen the institutional and regulatory framework for land use planning to facilitate enhanced inter-agency coordination, as well as build the necessary technical capacity required for successful implementation at the levels of national institutions and stakeholders alike, with due consideration for competing land uses and the need to reduce stress on ecosystems and indicator species in Key Biodiversity Areas. While attempts were made to address land use planning under the last National Physical Development Plan (NPDP), its implementation faced difficulties with the required legal and regulatory support, the necessary institutional arrangements and implementation tools and equipment, valid land use baselines, and required human and technical capacity among key players at multiple levels of responsibility. Additionally, the lack of baseline data on critical biodiversity assets including indicator species, made it difficult to integrate land use policy planning with the need to ensure that land uses gave due consideration to the protection of biodiversity and ecosystems integrity.

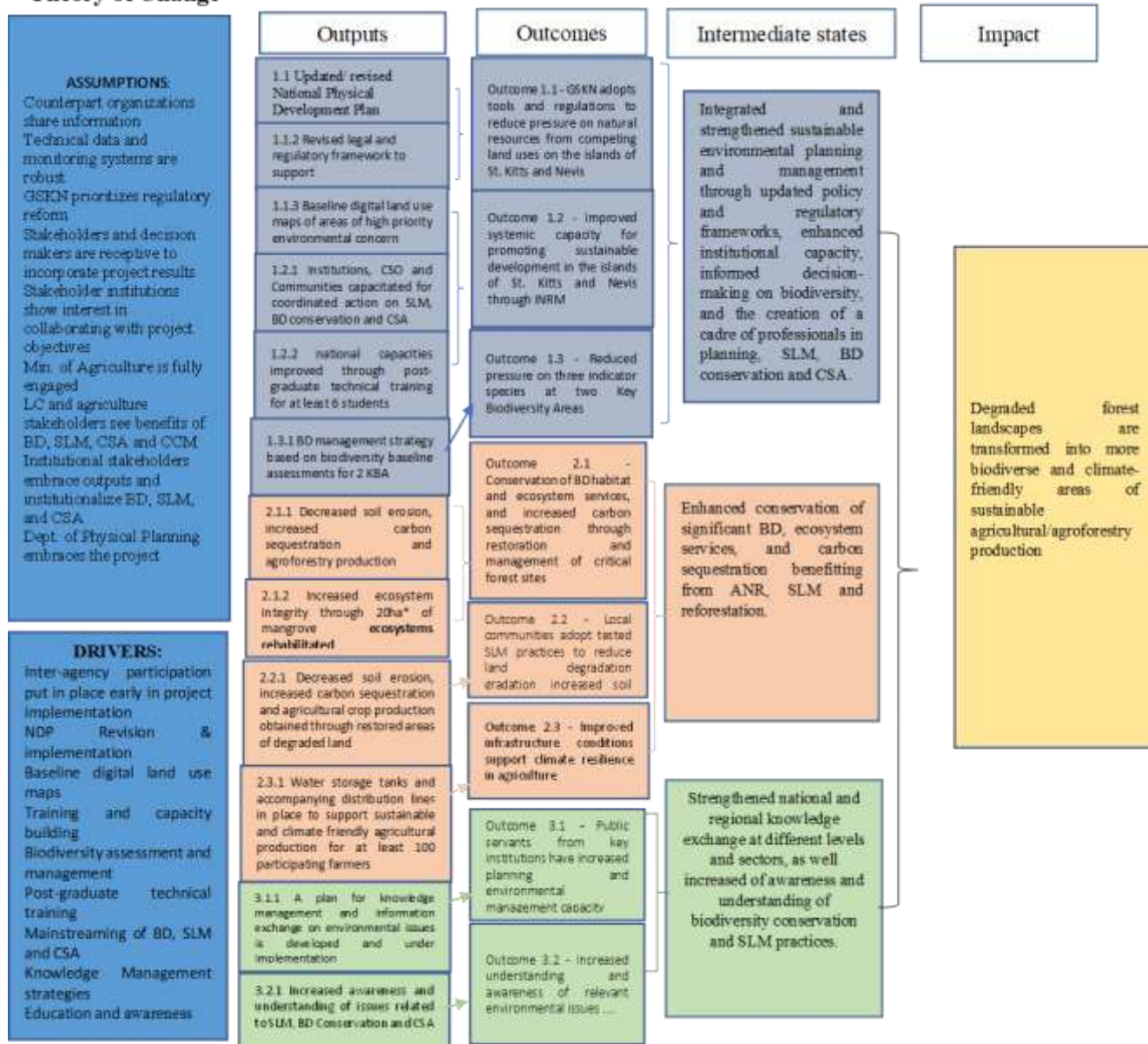
Component 2: Mainstreaming BD conservation, SLM and CCM into key development and resource management sectors

Component 2 complements the planning, regulatory and institutional interventions of Component 1, and focuses on mainstreaming biodiversity, SLM and CCM as a means to address deforestation, land degradation, surface soil erosion, and threats to biodiversity and ecosystem services, resulting from current production models in key sectors in St. Kitts and Nevis, including agriculture, tourism, coastal development, pollution, and residential housing construction. The impacts of climate change, which may be aggravated by the particular topographical characteristics of the country, are also considered in the interventions proposed under this component. The project supports reforestation through agro-forestry and targeted planting of native species, and by Assisted Natural Regeneration on degraded landscapes, and in particular on lands once used for sugar cane production. Globally important ecosystems, in this case mangroves, are also receiving restoration investments from the project, and farmers are provided with new skills in Climate-Smart Agriculture, coupled to direct assistance in ensuring a constant and efficient water supply to enhance productivity and reduce wastage, consistent with sustainable agricultural practices.

Component 3: Knowledge management and dissemination for SLM, BD and CC

Component 3 seeks to create a SLM, BD and CC information and Knowledge Management (KM) framework, within the context of the proposed outputs and outcomes of the project in St. Kitts & Nevis. It is envisioned that the successful implementation of the KM framework within the life span of the project will result in a solid foundation for the extended dissemination and exchange of SLM, BD and CC knowledge in St. Kitts & Nevis, contributing directly to SLM, BD conservation and CC mitigation in the country. This component also provides support through public education and awareness interventions to communicate the objectives and actions of the project, in order to increase awareness among specific target groups, national and local authorities and CBOs, taking into account that each target group has an invaluable potential to contribute to SLM, BD and CCM. The project also specifically identifies the need to ensure that locals and visitors are aware of practices for the sustainable use of nature and protection of biodiversity, especially in and around forests, mangroves, reefs, and sea grass beds, and with regard to threatened species of flora and fauna. This component seeks to ensure sustainability of the lessons learned from the pilots under Component 2.

Theory of Change



4. Executing Arrangements

Project Implementing Agency – The United Nations Environment Programme (UNEP) is the GEF’s Implementing Agency (IA) for this project. UNEP is tasked with the overall responsibility of ensuring that GEF policies and criteria are adhered to and that the project meets its objectives and deliver on expected outcomes. Other specific Implementing Agency responsibilities include ensuring compliance with GEF policies and standards for results-based M&E, fiduciary oversight, safeguards compliance, project budget approvals, technical guidance and oversight of project outputs, approval of Project Implementation Reports (PIRs), and participation in the project’s superior governance structure.

Project Executing Agency – The International Union for Conservation of Nature, Regional Office for Mexico, Central America and the Caribbean (IUCN-ORMACC) is performing the role of executing agency. This decision was made by the GSKN, which has adopted a collaborative approach with partners to facilitate execution of the myriad of initiatives on sustainable development in the country.

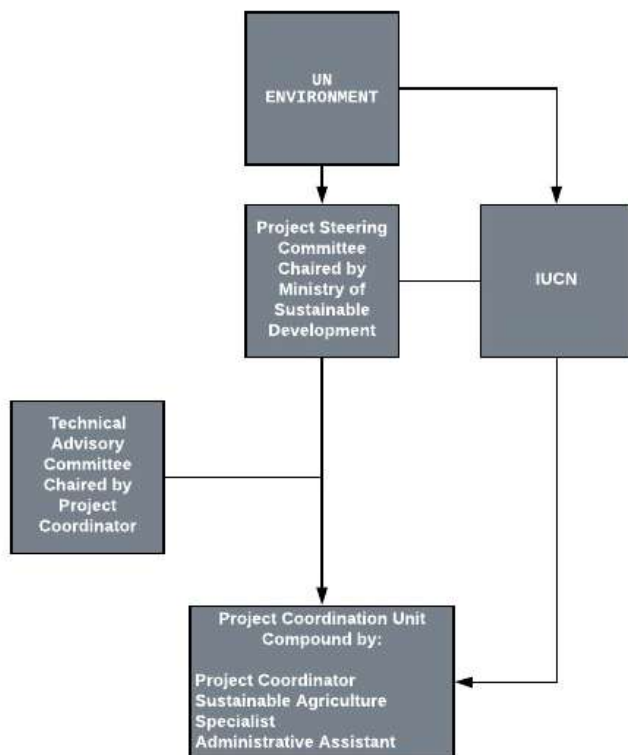
IUCN-ORMACC has established a Project Coordinating Unit (PCU) to oversee day-to-day project

execution. The PCU is responsible for the fiduciary oversight and reporting of the project, including technical and financial reporting to the IA, financial management and procurement consolidation according to the project’s operational manual and procurement plan. It is also responsible for monitoring and evaluation (M&E), provides and coordinates technical advice, and coordinates and assists overall orientation concerning project conception, strategies, criteria and methodologies. The PCU is staffed with a **Project Coordinator**, and a **Sustainable Agriculture Specialist**, based in SKN, and an **Administrative Assistant**, who provides support from Costa Rica.

The project’s superior governing body is the **Project Steering Committee (PSC)**. The PSC is responsible for ensuring that the project meets goals announced in the Project Results Framework by helping to balance conflicting priorities and resources. Conclusions and recommendations produced by the PSC are used by IUCN-ORMACC to modify implementation strategies, annual work plans and resources allocation budget and, when necessary, to adjust the project’s Result Framework in consultation with UNEP and the Government of St. Kitts and Nevis.

A **Technical Working Group (TWG)** is appointed to provide technical oversight, guidance and support during project implementation. The TAC is also responsible for reviewing and providing recommendations on project methodological processes (technical quality) and activities to the PCU for its consideration.

Project Institutional & Implementation Structure



5. Project Cost and Financing

Overall project budget

The overall project budget consists of GEF financing (US\$3,015,982, or 11.73% of the total project cost); and co-financing (US\$22,695,288 or 88.27% of the total project cost). The budget was prepared for the GEF in accordance with UNEP Budget Line/Object of Expenditure format and is

detailed in Appendices 1 and 2 of the project documents. Detailed Consultants Costs are presented in Appendix 9 of the project documents, while Terms of Reference for key project staff are presented in Appendix 10, and the project's Draft Procurement Plan is presented in Appendix 13. The distribution of the GEF funding and corresponding co-financing is presented in Table 2 below.

Table 2. Project Costs

Component	GEF Trust Fund	Co-Financing	Total
1: Integrated and strengthened environmental planning and management on the islands of St. Kitts and Nevis to support island sustainability	862,921	4,760,466	5,623,387
2: Mainstreaming BD conservation, SLM and CCM into key development and resource management sectors	1,356,476	15,177,280	16,533,756
3: Knowledge management and dissemination for SLM, BD and CC	458,892	1,607,778	2,066,670
Monitoring and Evaluation	194,077	15,000	209,077
Project Management Cost	143,617	1,134,764	1,278,381
TOTAL	3,015,982	22,695,288	25,711,270

6. Implementation Issues

Significant challenges were faced at the startup phase of the project, resulting in the lack of implementation during 2020 and 2021. This further increased the risks identified during the project preparation phase however since then, many of the implementation challenges have been addressed while IUCN continues to take steps to address new challenges while mitigating against project risks. A summary of the actions taken are as follows:

Challenges and Risks Identified	Actions Taken
The lack of a project coordinator at the start of the project, and up until the 4 th quarter of 2021 led to significant delays in project implementation.	In the interim, IUCN staff based in Costa Rica were assigned to assist in the completion of relevant outputs, while 4 rounds of interviews were conducted.
The COVID-19 pandemic at the start of the project impacted the commencement of technical implementation. The delay was further compounded by the lack of a project coordinator.	A proposal for the initiation of technical activities was discussed and agreed upon with the Ministry of Sustainable Development. This allowed some preparatory activities to commence.
The project was without a Sustainable Agriculture Expert until the end of 2022, thus the advancement of Component 2 activities were significantly impacted.	A recruitment process was completed during the first semester of 2022 to find a suitable replacement for the outgoing Sustainable Agriculture Expert. However, changes in the political situation prolonged the final government approval and thus the hiring of the selected candidate.
The procurement processes for several consultancies were prolonged due to the lack of proposals or in some cases the lack of suitable proposals. Consultancies affected included the Rapid Biodiversity Assessment	Some activities have had to be fast-tracked in order to prevent further delays caused by the absence of consultants, while the project has also relied on the technical expertise of IUCN staff based in Costa Rica and that of national

<p>for Mangrove Ecosystems Consultancy, the Consultancy to Develop a Mangrove Training Manual, the Consultancy to Develop a Knowledge Management Strategy, the Consultancy to Develop a SLM Training Manual and the Crop Market Suitability Study and SLM Cost Cost-Benefit Analysis Consultancy.</p>	<p>stakeholders to advance technical aspects of project activities.</p>
<p>In the case of the Scholarship Program for public servants under Component 1, the project design document had not clearly established the coordination and funding mechanism with the students and universities. This implied a financial and operational risk that generated negotiations between IUCN and SKN to define a management scheme, with roles and responsibilities, as well as procedures for financial management, payment and quality control procedures. This also caused a delay in the disbursement of university fees in the beginning.</p>	<p>IUCN and SKN signed a cooperation agreement specific to the Scholarship Program, in which SKN assumed the responsibility of overseeing the channelling of funds to the universities and students, and it established a joint mechanism to follow up on the performance of the students and the execution of funds.</p>
<p>The Legislative process has proven to be slow and identified in the risk register, it could extend beyond the life of the project with planned regulatory reforms not getting formally enacted/adopted by end of project.</p>	<p>In the absence of a coordinator, efforts were made by staff at the ORMACC office to advance this activity and it was one of the first to commence however it has still proven to be a slow process. It is hoped that the current engagement of high-level government officials would help to garner their support and move the process along so that it can be completed by the end of the project.</p>

Section 2. OBJECTIVE AND SCOPE OF THE MID-TERM REVIEW

7. Objective of the Review

In line with the UNEP Evaluation Policy⁴ and the UNEP Programme Manual⁵, 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.

8. Key Review Principles

Mid-Term review findings and judgements will 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.

Possible questions to be considered include, (*MTR Review Framework Questions available from UNEP Project Manager*):

- Does the TOC properly reflect the project’s intended change process?
- Is the stakeholder analysis still appropriate and adequate to support the project’s ambitions?

⁴ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

⁵ <https://wecollaborate.unep.org>

- Are results statements in keeping with UNEP definitions (e.g. outcomes are expressed as the uptake or use of outputs)
- Are roles and responsibilities commonly understood and playing out effectively?
- Is there an effective monitoring mechanism for the project's implementation (this is separate from, and supports, reporting)?
- Is the rate of expenditure appropriate for the mid-point?
- Have plans for inclusivity, equality and/or equity been implemented as planned, or does more need to be done?
- Are safeguard identification and mitigation plans being monitored and steps taken to minimize negative effects?
- Is there an exit strategy in place and are the elements needed for the project's benefits to be sustained after the project end, being incorporated in the project implementation?
- (Where relevant) Have recommendations from previous learning exercises/performance assessments been appropriately addressed
- (Where relevant) What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

A Mid-Term Review is a *formative assessment*, which requires that the consultant(s) go beyond the assessment of “*what*” the project performance is and make a serious effort to provide a deeper understanding of “*why*” the performance is as it is.

Attribution, Contribution and Credible Association: In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for reviews. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

Partners and Key Project Stakeholders. A key aim of the Mid-Term Review is to encourage reflection and learning by UNEP staff, the implementing partners and key project stakeholders. The Review 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.

9. Review Criteria

All review criteria will be rated on a six-point scale as follows: Highly Satisfactory⁶ (HS = 6); Satisfactory (S = 5); Moderately Satisfactory (MS = 4); Moderately Unsatisfactory (MU = 3); Unsatisfactory (U = 2); Highly Unsatisfactory (HU = 1). A Criteria Ratings Matrix is available, within the suite of tools, to support a common interpretation of points on the scale for each review criterion. The Overall Performance Rating is calculated as a simple average of the ratings for each criterion (A-H). **Any criterion assessed as being in the ‘Unsatisfactory’ range should trigger corrective action in the Management Response.**

A. Strategic Relevance

⁶ *Sustainability* is similarly rated on a six-point scale but labelled from Highly Likely (HL) down to Highly Unlikely (HU).

The Mid Term Review (MTR) will assess the extent to which the activity is suited to the priorities and policies of UNEP, the donors, implementing regions/countries and target beneficiaries and is operating in a way that is complementary to other ongoing interventions.

The MTR will assess whether there have been any changes in priorities since the project was designed and whether the project has/should adapt to address the changing policy/strategy context.

This criterion comprises two elements:

Alignment to UNEP's, Donors and Country (global, regional, sub-regional and national) strategic priorities

The Review should assess the project's alignment with the UNEP Medium Term Strategy (MTS) and Programme Of Work (POW) under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁷ (BSP) and South-South Cooperation (S-SC). The MTR will assess the extent to which the project is suited to, or responding to, donor priorities as well as alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the project is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will also be considered. Examples may include: UN Sustainable Development Cooperation Framework (Cooperation Framework) or, national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

Complementarity/Coherence⁸ with Relevant Existing Interventions

An assessment will be made of how well the project is taking account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups.

The MTR will consider if the project team, in collaboration with all partners, is fulfilling any commitments to collaborate made at project design and is working to ensure their own intervention is complementary to other interventions. Examples may include work within Cooperation Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

B. Quality & Revision of Project Design

The MTR should provide a brief overview of the strengths and weaknesses of the project design and assess whether all elements of the project design have been initiated and/or are still planned for. Based on a review of the project design document, regular reports and meeting minutes, the Review

⁷ <http://www.unep.fr/ozonaction/about/bsp.htm>

⁸ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

Consultant will confirm whether any amendments⁹ have been made to the activities and/or results of the project. This includes changes to the formulation of results statements as well as changes in results indicators and/or project targets and the associated budget. Where revisions have been made the Consultant should confirm that formal documentation for these amendments is available and that UNEP/donor policies for revisions have been followed. In the absence of such formalisation the Review Consultant will make appropriate recommendations.

C. Effectiveness

The Review will assess effectiveness across three dimensions: availability of outputs, progress towards project outcomes and adaptive management. The Review Consultant will confirm that all results statements conform to UNEP's definitions¹⁰ and make recommendations for adjustments where necessary. At the project's mid-point emphasis is placed on the timeliness, quality and ownership of outputs and whether the project is adopting approaches or delivering activities to support the uptake of outputs (i.e. outcome level results).

i. Theory of Change

The Review will assess whether the Theory of Change/Results Framework represents a coherent and realistic change process from a cause and effect perspective. Considerations will be given to whether the causal pathways are effectively shown/articulated and supported by a full set of contributing conditions (('drivers' are external factors largely under the influence of the project; 'assumptions' are external factors largely outside the influence of the project). The TOC should also reflect¹¹ UNEP's commitment to increasing equality in line with the UN's commitment to human rights. If adjustments are needed they should be clearly presented and justified during the MTR process and a recommendation made on how any revisions could be formally approved.

Availability of Outputs¹²

The Review will assess the project's success in producing the planned outputs and making them available to the intended beneficiaries as well as its success in achieving milestones as per the project design document or any formal revisions. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in delivering its planned outputs and recommend corrective action as appropriate.

Progress towards Project Outcomes¹³

At the project mid-point the Review Consultant will focus on the links between the provision of outputs and their adoption at the outcome level. The MTR will explore whether the assumptions and drivers

⁹ The conditions and processes for amendments should abide by the terms of the funding agreement. For example, the GEF has specific requirements for the approval/reporting of 'minor' and 'major' amendments. This includes the provision that any minor and major (approved) amendments should be reflected in the PIR report of the same year.

¹⁰ UNEP, 2019, Glossary of Results Definitions

¹¹ This can be as a driver or assumption if there is no specific equality results statement.

¹² Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

¹³ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition (UNEP, 2019)

that need to be in place to support the uptake of outputs are evident/emerging and consider whether sufficient effort and attention is being directed towards reaching outcome levels.

The Review Consultant will review the project Theory of Change (TOC) and confirm that it properly reflects all levels (outputs, outcomes, intermediate states and long-lasting impact) of results included in the project design. Where necessary, the TOC should be reconstructed, in discussion with the project team, to better guide and strengthen project implementation.

Likelihood of Impact

Based on the articulation of long-lasting effects in the reconstructed TOC (i.e. from project outcomes, via intermediate states, to impact), the Review will assess the likelihood of the intended, positive impacts becoming a reality.

The Review will consider the extent to which the project has played a catalytic role¹⁴ or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long-lasting impact.

Adaptive Management

The Review will assess whether any adaptive management¹⁵ is evident, possibly reflected in annual reports or reports from field missions etc. The Review Consultant will consider the project’s performance to-date from a risk perspective considering: a) the likelihood of any non/late delivery of the project’s workplan; b) likelihood of any negative effects, including reputational risks and safeguard issues and c) factors undermining the endurance of project achievements.

During the MTR, forward plans should be reviewed and adaptive management strategies discussed such that the project’s effectiveness and efficiency are maximized. Actions for adaptive management should be reflected in the MTR recommendations, which may include recommendations on governance structures, implementation arrangements, project design elements, monitoring and/or exit strategies etc.

Global Environment Facility	The Review should consider, under Effectiveness, the extent to which the evaluation is reaching Core Indicator targets (from GEF-6 onwards).
Global Environment Facility	The Review will determine, under Effectiveness, the project’s <u>additionality</u> by comparing the benefits of GEF support to a scenario without GEF support. It will identify specific areas where GEF support has contributed additional results and what these additional results were. It will provide quantitative and qualitative evidence to support the findings.

¹⁴ The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project - these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

¹⁵ Adaptive management is an **iterative process** in which practitioners test hypotheses and adjust behavior, decisions, and actions based on experience and actual changes (Stankey et al., 2005).

D. Financial Management

Under financial management the Mid-Term Review will assess: a) whether the rate of spend is consistent with the project’s length of implementation to-date, the agreed workplan and the delivery of outputs and b) whether financial reporting and/or auditing requirements are being met consistently and to adequate standards by all parties. Any financial management issues that are affecting the timely delivery of the project or the quality of its performance will be highlighted. Expenditure should be reported, where possible, at output/component level and will be compared with the approved budget.

Ratings should be provided for two sub-categories (*adherence to policies and completeness of financial information*), as assessed at the mid-point: i) the Review will verify the application of proper financial management standards and adherence to UNEP’s financial management policies; ii) the Review will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Review may comment on the level of communication between the UNEP Project Manager¹⁶ 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.

Global Environment Facility	The Review will determine, under Financial Management, i) time from CEO endorsement (FSP) / CEO approval (MSP) to first disbursement; ii) disbursement balance; iii) whether the project has secured co-financing higher than 35% and iv) time between CEO Endorsement and (likely) end of MTR.
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E. Efficiency

Under the efficiency criterion, the Review will assess the extent to which the project delivered maximum results from the given resources. 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 have been/are being delivered according to expected timeframes as well as whether events are being sequenced efficiently. The Review will give special attention to efforts being made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities¹⁷ with other initiatives, programmes and projects etc. to increase project efficiency.

The Review will also assess ways in which potential project extensions can be avoided through stronger project management.

F. Monitoring and Reporting

The Review will assess monitoring and reporting across two sub-categories: monitoring of project implementation and project reporting.

i. Monitoring of Project Implementation

¹⁶ For GEF funded projects the UNEP Project Manager refers to the Task Manager.

¹⁷ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹⁸ results towards the achievement of the project’s outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Review will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management.

The Review will assess whether the monitoring system is operational and facilitates the timely tracking of results and progress towards project milestones and targets throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider how quality monitoring data are being used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring are being used to support this activity.

Project Reporting

UNEP has a centralised information management system¹⁹ in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Review Consultant by the UNEP Project Manager. Donors may have specific reporting requirements and copies of reports will be made available by the UNEP Project Manager. The Review will assess the extent to which both UNEP and Donor reporting commitments have been fulfilled. This should include confirmation that meeting and field mission reports are being written and centrally stored.

Where the need for any corrective action has been indicated in any project reports (e.g. as an identified risk), the Review Consultant will record whether this action has been taken. This may include responses made during the COVID-19 pandemic or other unpredictable external events of a disruptive or crisis nature. The Review Consultant will also confirm whether formal reports have been appropriately authorised by both the author and the relevant supervisor.

Global Environment Facility	For internally executed projects the Review Consultant should review the quality of regular reports and confirm they have been submitted on a timely basis.
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G. Exit Strategy & Sustainability (for Adaptation Fund, read Human and Ecological Sustainability and Security)

Sustainability²⁰ is understood as the probability of the benefits derived from the achievement of the project outcomes being maintained and developed after the close of the intervention. It may be considered from the perspectives of socio-political, institutional and/or financial sustainability. The Review will identify and assess the key conditions or factors that *are likely* to undermine or contribute to the endurance of benefits at the outcome level. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances

¹⁸ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

¹⁹ Project Information Management System (PIMS) or, from 2022, Integrated Planning Monitoring and Reporting (IPMR)

²⁰ As used here, ‘sustainability’ means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms ‘environmental sustainability’ or ‘sustainable development’, which imply ‘not living beyond our means’ or ‘not diminishing global environmental benefits’ (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

or conditions that evolve over the life of the intervention. It is assumed that environmental sustainability is central to any UNEP project design but where applicable an assessment of bio-physical factors that may affect the sustainability of project 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. The Review Consultant will consider: a) the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards; b) the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance and c) the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. 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.

H. Factors and Processes Affecting Project Performance and Cross-Cutting Issues

i. Project Inception

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, fill information gaps 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 capacity²¹ and development of partnership agreements as well as initial staffing and financing arrangements. The Review Consultant will confirm whether appropriate inception meetings were held and whether an inception report is available on file.

ii. Quality of Project Management and Supervision

During the MTR the consultant will review the planned implementation structure and the roles and responsibilities assigned to each partner or party. Where roles are not being played as planned, an appropriate recommendation to formalise correction action and/or a change in the implementation structure, should be made.

In some cases 'project management and supervision' may refer to the supervision and guidance provided by UNEP to partners and national governments while in others it may refer to the project management performance of an implementing partner and the technical backstopping and supervision provided by UNEP. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this sub-category is established as a simple average of the two.

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

²¹ During 2023 UNEP is reviewing its Partnership Policy and Procedures and a future version is expected to include a requirement for risk mitigation against weak performance among partners.

iii. 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; target users of project outputs and any other collaborating agents external to UNEP and the implementing partner(s). The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life to-date 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.

iv. Responsiveness to Human Rights and Gender Equality

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 UNEP's Policy and Strategy for Gender Equality and the Environment²².

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 Equality and Human Rights are adequately taken into account. In particular, the Review will consider the extent to which project implementation has taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening, risk assessment and management (avoidance or mitigation) of potential environmental and social risks and impacts associated with project and programme activities. The Review will confirm whether UNEP requirements²³ were met to: screen proposed projects for any safeguarding issues; conduct sound environmental and social risk assessments; identify and avoid, or where avoidance is not possible, mitigate, environmental, social and economic risks; apply appropriate environmental and social measures to minimize any potential risks and harm to intended beneficiaries and report on the implementation of safeguard management measures taken.

The Review will also consider the extent to which the management of the project is minimising UNEP's environmental footprint.

²²The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

²³ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

vi. Country Ownership and Driven-ness

The Review will assess the quality and degree of engagement of government / public sector agencies in the project to-date. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. 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 (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). 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.

vii. 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 plans to sustain, handover or decommission the communication channel at the end of the project.

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 review methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the Review Consultant 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) A **desk review** of:

Relevant background documentation, *inter alia*:

Project Document and Appendices

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 etc.;

Evaluations/Reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UNEP Task Manager and UNEP Programme Assistant
- Project Coordinator (PC), Monitoring and Evaluation Expert, Sustainable Agriculture Expert (IUCN), and the Project National Focal point and team from the Ministry of Sustainable Development
- IUCN ORMACC Regional Director
- UNEP Fund Management Officer (FMO);

- Representatives from the project's stakeholder groups, including the Ministry of Agriculture, Ministry of Agriculture (NIA), Department of Environment, Department of Physical Planning, Department of Physical Planning and Environment (NIA), Ministry of Tourism
 - Representatives from civil society and specialist groups such as Fahies Agricultural Women's Cooperative Society, the St. Kitts Sea Turtle Monitoring Network, and the Nevis Historical and Conservation Society.
- (c) **Field visits:** One country mission
- (d) **Other data collection tools:** If needed, to be decided by the Review Consultant at the inception phase

10. Review Deliverables and Review Procedures

See Annex 1 of these TOR for a list of tools and guidance available, see Annex 2 for a list of review criteria and sub-categories to be assessed. The Review Consultant will prepare:

- **Inception Report:** (see Annex 3 of these TOR for guidance on structure and content) containing confirmation of the results framework and 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 PowerPoint 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 Reports:** (see Annex 4 for guidance on structure and content) 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 Consultant will submit a draft report to the Project Coordinator, IUCN ORMACC Regional MEL Specialist and the Regional Portfolio Coordinator, and UNEP Task 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 Coordinator 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 Coordinator for consolidation. The Project Coordinator will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

At the end of the review process and based on the findings in the Review Report, the UNEP Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate **Lessons Learned**.

11. The Review Consultant

The Review Consultant who will work under the overall responsibility of the Project Coordinator Nikkita Browne and the UNEP Task Manager Christopher Cox in consultation with the Head of Branch/Unit Johan Robinson, Fund Management Officer, George Saddimbah. The consultant will liaise with the Project Coordinator on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility (where applicable) to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders (with assistance from the Partners), organize online surveys, and any other logistical matters related to the assignment. The Project Coordinator and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the Review Consultants to conduct the review as efficiently and independently as possible.

The Review Consultant will be hired over a period of 3 months [13 May 2024 to 12 August 2024] and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 10 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of agricultural and land management systems in small island states (SIDS) is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with one (1) field visit.

The Review Consultant will be responsible, in close consultation with the Project Coordinator, supported by the UNEP Task Manager, for overall management of the Review and timely delivery of its outputs, described above in Section 10 Review Deliverables, above. The Review Consultant will ensure that all review criteria and questions are adequately covered.

12. Schedule of the Review

The table below presents the tentative schedule for the Review.

Table 3. Tentative schedule for the Review

Milestone	Tentative Dates
Inception Report	2 weeks after commencement of contract
Review Mission	4 weeks after commencement of contract
E-based interviews, surveys etc.	6 weeks after commencement of contract
PowerPoint/presentation on preliminary findings and recommendations	7 weeks after commencement of contract
Draft Report to UNEP Project Manager	8 weeks after commencement of contract
Draft Report shared with the wider group of stakeholders	9 weeks after commencement of contract
Final Main Review Report	12 weeks after commencement of contract
Final Main Review Report shared with all respondents	13 weeks after commencement of contract

13. Contractual Arrangements

The Review Consultant will be selected and recruited by IUCN under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with IUCN, the consultant certifies 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. Consultants who carry out a Mid-Term Review may not be contracted for a Terminal Review of the same evaluand. All consultants are required to sign the Code of Conduct Agreement Form.

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

Schedule of Payment for the Consultant:

Deliverable	Percentage Payment
Approved Inception Report (<i>as per Guidance Note</i>)	20%
Approved Draft Main Review Report (<i>as per Guidance Note</i>)	50%
Approved Final Main Review Report (<i>as per Report Template</i>)	30%

Fees only contracts: All travel has to be approved in writing (email accepted) by the IUCN Contact Person before any reservation is made. Where applicable, air tickets will be directly purchased by IUCN. Ground transport and accommodation costs are reimbursed on the basis of actual costs incurred, whereas the cost of meals and ancillary costs are reimbursed on the basis of a Daily Subsistence Allowance (DSA). A financial report with receipts (e.g. transportation, accommodation,

meals and incidentals) must be submitted in the currency that will be agreed in the Consultancy Agreement to the IUCN Contact Person in order for reimbursement to be made.

The consultants may be provided with access to UNEP's information management systems (e.g. PIMS, IPMR, Anubis, SharePoint etc) 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 consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards of the Project Coordinator in consultation with the UNEP Task Manager, payment may be withheld until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultant fails to submit a satisfactory final product to the Project Coordinator 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 the project team to bring the report up to standard or completion.

Annex 2: Tools, Templates and Guidance Notes for use in the Review

The tools, templates and guidance notes listed below, and available here [UNEP Communities of Practice](#), are intended to help UNEP Project Managers and Review Consultants to produce review products that are consistent with each other. This suite of documents is also intended to make the review process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the review needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the review process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the UNEP Project Manager and the Review Consultant in order to produce review reports that are both useful to project implementers and that produce credible findings.

ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from the link provided by the Evaluation Office during the Inception Phase and use those versions throughout the review.

List of Tools, templates and guidance Notes available:

MID-TERM REVIEWS (All Funding Partners)

Mid Term Review (MTR) are intended to provide insights into possible course correction for the remainder of the project.

- 00_MTR_List of MTR Support Tools.docx
- 00a_UNEP Glossary of results definitions_April 2021.pdf
- 00c_MTR Documents needed for Mid Term Reviews.docx
- 00d_MTR Main MTR Report_Template FOR USE BY CONSULTANT.doc
- 01_TOR Mid Term Review_All Funders.docx
- 02_MTR Review Criteria Ratings_Table.docx
- 03_MTR Criterion Rating Descriptions_Matrix.docx
- 04_MTR Inception Report_Guidance Note.docx
- 05_MTR Main Review Report_Guidance Note.docx
- 06_MTR TOC Reformulation Justification_Template.docx
- 07_MTR Stakeholder Analysis_Guidance Note.doc
- 08_MTR Review Methodology_Guidance Note.docx
- 09_MTR Addressing Gender_Guidance Note.docx
- 10_MTR Safeguards Assessment_Template.docx
- 11_MTR Use of Theory of Change in Reviews_Guidance Note.docx
- 12_MTR_Financial Tables.docx
- 13_MTR Recommendations Quality_Guidance Note.docx
- 13a_MTR Presenting Recs and LL_Template.docx
- 14_MTR Recommendation Impl Plan_Template.docx
- 15_MTR Review Framework Questions_SUGGESTIONS.docx
- GCF Investment Criterion for Design Strengths.docx

Annex 3: Mid Term Review Criteria Ratings Table

The Review should provide individual ratings for the review criteria described in the table below. A suite of support tools, templates and guidance notes is available from the Evaluation Office to support the assessment of performance against these criteria (contact: janet.wildish@un.org).

Criteria will be rated on a six-point scale as follows: Highly Satisfactory²⁴ (HS = 6); Satisfactory (S = 5); Moderately Satisfactory (MS = 4); Moderately Unsatisfactory (MU =3); Unsatisfactory (U = 2); Highly Unsatisfactory (HU =1).

A Criteria Ratings Matrix is available, within the suite of tools, to support a common interpretation of points on the scale for each review criterion. The Overall Performance Rating is calculated as a simple average of the ratings for each criterion (A-H). **Any criterion assessed as being in the ‘Unsatisfactory’ range should trigger corrective action through the Management Response.**

In the Conclusions section of the Main Review Report, ratings will be presented together in a table, with a brief justification for each rating, cross-referenced to findings in the main body of the report (see Table 1 below).

Table 1: Project Performance Ratings Table

Criterion	Summary Assessment	Rating
A. Strategic Relevance		HS à HU
1. Alignment to UNEP’s, Donors and Country (global, regional, sub-regional and national) strategic priorities		HS à HU
2. Complementarity/Coherence ²⁵ with relevant existing interventions		HS à HU
B. Quality & Revision of Project Design		HS à HU
C. Effectiveness		HS à HU
1. Theory of change		
2. Availability of outputs		HS à HU
3. Progress towards project outcomes, including towards indicators ²⁶		HS à HU
4. Likelihood of impact, includes innovativeness ²⁷ and replication and scalability		HLà HU
5. Adaptive management		HS à HU
D. Financial Management		HS à HU
1. Adherence to UNEP’s/Donor policies and procedures		HS à HU
2. Completeness of project financial information		HS à HU
E. Efficiency		HS à HU
F. Monitoring and Reporting		HS à HU
1. Monitoring of project implementation		HS à HU
2. Project reporting		
G. Exit Strategy & Sustainability		HL à HU
H. Factors Affecting Performance and Cross-Cutting Issues		HS à HU
1. Project Inception		HS à HU
2. Quality of project management and supervision		HS à HU
2.1 UNEP/Implementing Agency:		HS à HU
2.2 Partners/Executing Agency:		HS à HU
3. Stakeholders participation and cooperation		HS à HU

²⁴ Sustainability is similarly rated on a six-point scale but labelled from Highly Likely (HL) down to Highly Unlikely (HU).

²⁵ For GCF this includes coherence in climate finance delivery with other multilateral entities;

²⁶ For Adaptation Fund these are SRF indicators and for the GEF, Core Indicators (from GEF-6 onwards)

²⁷ For GCF innovativeness includes the extent to which interventions may lead to paradigm shift towards low-emission and climate-resilient development pathways;

Criterion	Summary Assessment	Rating
<i>4. Responsiveness to human rights and gender equality²⁸</i>		HS à HU
<i>5. Environmental and social safeguards</i>		HS à HU
<i>6. Country ownership and driven-ness</i>		HS à HU
<i>7. Communication and public awareness</i>		HS à HU
Overall Project Rating		HS à HU

²⁸ For Adaptation Fund replace this with 'Equity'; for GCF replace this with 'Gender Equity'.

Annex 4: Guidance on the Structure and Contents of the Mid-Term Review Inception Report

Section	Notes	Recommended no. pages
Preliminary pages	Review and complete the Project Summary Table that was in the Terms of Reference.	1
1. Introduction	<p><i>Summarise:</i></p> <ul style="list-style-type: none"> • Purpose and scope of the review (<i>i.e. learning/accountability and the project boundaries the review covers e.g. timeframe, funding envelope etc</i>) • Project problem statement and justification for the intervention • Institutional context of the project (<i>MTS, POW, Division/Branch, umbrella etc</i>) • Target audience for the Review findings 	1
2. Project outputs and outcomes	The project should be assessed against its intended results (outputs, outcomes, intermediate states, impact), but these may need to be rephrased, re-aligned etc to make them consistent with UNEP results definitions ²⁹ and to create the Theory of Change (TOC). <i>Where the formulation of the project's results statements need to be revised, a simple table should be provided showing the original version and the revisions proposed for use in the Review.</i>	1/2
3. Project design	<p>Summarise the project design strengths and weaknesses within the body of the inception report.</p> <p>Identify any revisions/amendments that have taken place or that be considered and/or formalised.</p>	1
4. Stakeholder analysis³⁰	Identify key stakeholder groups and provide an analysis of the levels of influence and interest each stakeholder group has over the project outcomes. Give due attention to gender and under-represented/marginalised groups.	1
5. Theory of Change	<p>The Project Design document should have a TOC. Review, revise and reconstruct, as necessary, the TOC at Review Inception³¹ (<i>TOC at Review Inception</i>) based on project documentation and any formal Revision Documents.</p> <p>Present this TOC as a one-page diagram and explain it with a narrative that outlines the causal pathways, including a discussion of the assumptions and drivers that contribute to change.</p> <p>Include an 'assumption' or 'driver' to reflect UNEP's aim to increasing equality across all groups, as part of its mandate on human rights.</p>	Diagram and up to 2 pages of narrative

²⁹ UNEP, 2019, Glossary of Results Definitions

³⁰ Evaluation Office of UNEP identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners; government officials and duty bearers (e.g. national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (e.g. households, tradespeople, disadvantaged groups, members of civil society etc.).

³¹The project's *TOC at Review Inception* is prepared during the inception phase of the review and refined during the review process to become the *TOC at Review*. For the *TOC at Review Inception* the review team will need to examine the result statements and their causal logic from the project logframe and the drivers and assumptions from the narrative sections from the ProDoc (in particular from the critical success factors and risks sections). Stakeholder roles may be available from the description of the project intervention and the stakeholder and partner analysis sections.

6. Review methods	<p>Describe all review methods (<i>especially how sites/countries will be selected for field visits or case studies; how any surveys will be administered; how findings will be analysed etc</i>)</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability, disability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>Summarise data sources/groups of respondents and methods of data collection to be used with each (<i>e.g. skype, survey, site visit etc</i>)</p> <p>Create a review framework that includes detailed review questions linked to data sources. <u>Note that the Evaluation Office provides a matrix for rating each of its review criteria.</u></p> <p>Design draft data collection tools and present in an annex (<i>e.g. interview schedules, questionnaires etc</i>)</p>	<p>1-page narrative. Include the review framework as a matrix and draft data collection tools as annexes to the Inception Report.</p>
7. Team roles and responsibilities	<p>Describe the roles and responsibilities among the Review Team, where appropriate</p>	<p>½</p>
8. Review schedule	<p>Provide a revised timeline for the overall review (<i>dates of travel, where appropriate, and key review milestones</i>)</p> <p>Tentative programme for site/country visits, where appropriate.</p>	<p>½ (table)</p>
9. Learning, communication and outreach	<p>Describe the approach and methods that will be used to promote reflection and learning through the review process (<i>e.g. opportunities for feedback to stakeholders; translation needs, etc.</i>)</p>	<p>½</p>
TOTAL NARRATIVE PAGES		8-12 pages, plus annexes
Annexes (to be provided by the Review Consultant)	<p>A - Review Framework</p> <p>B - Table justifying any adjustment of the project results statements as part of the TOC reconstruction</p> <p>C - Draft data collection tools</p> <p>D- List of individuals and documents consulted for the inception report</p> <p>E - List of documents and individuals to be consulted during the main review phase</p> <p>F- Original TOC (where the TOC has been reconstructed for the purposes of the Mid Term Review)</p>	

Annex 5: Guidance on the Structure and Contents of the Main Mid-Term Review Report

NOTE: The final product is called a **Review Report** (and not an Evaluation Report). Review Consultants are kindly advised to refer the reader to paragraphs in different parts of the report instead of repeating material.

Please refer to the “Cover Page Prelims and Style Sheet Main Mid Term Review Report” for the report template.

See the SharePoint link shared with you containing a suite of tools, templates and guidance notes. Please make a fresh download for every new Mid Term Review as we update these materials regularly.

<p>Preliminaries</p>	<p><i>Title page</i> – Name and number of the reviewed project, type of review (mid-term), month/year review report completed, UNEP logo. Include an appropriate cover page image.</p> <p><i>Disclaimer text to be included</i> – “This report has been prepared by an external consultant as part of a Mid-Term Review, which is a management-led process to assess performance at the project’s mid-point. The UNEP Evaluation Office provides templates and tools to support the review process. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.”</p> <p><i>Acknowledgements</i> – This is a maximum of two paragraphs. At the end of acknowledgements name the UNEP Project Manager and Fund Management Officer.</p> <p><i>Short biography of the consultant(s)</i> – giving relevant detail of experience and qualifications that make the consultant a suitable candidate for having undertaken the work. (Max 1 paragraph)</p> <p><i>Contents page</i> – including chapters, tables and annexes</p> <p><i>Abbreviations table</i> – only use abbreviations for an item that occurs more than 3 times within the report. Introduce each abbreviation on first use and ensure it is in the table. Where an abbreviation has not been used recently in the text, provide its full version again. The Executive Summary should be written with <u>no abbreviations</u>.</p> <p><i>Paragraph numbering</i> – All paragraphs should be numbered, starting from the Executive Summary</p> <p><i>Header/footer</i> – Name of reviewed project, type of review and month/year review report completed. Page numbers, header and footer do not appear on the title page</p> <p><i>Font</i> – Roboto 10</p> <p><i>(Cover page, prelims and style sheet/Main Mid Term Review Report template available)</i></p>
<p>Project Summary Table</p>	<p>A completed version of the Project Summary/Identification Table</p>
<p>1.Executive Summary (Avoid abbreviations in the Executive Summary)</p> <p>Start numbering paragraphs from the Executive Summary.</p>	<p>The Executive Summary should be able to <u>stand alone</u> as an accurate summary of the main Mid Term Review Report. It should include a concise overview of the evaluand; clear summary of the review objectives and scope; overall review rating of the project performance and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the review ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic review questions) and summary of lessons learned and recommendations.</p> <p>In an MTR Report it is important that the Review Consultant brings significant or substantive concerns to the attention of Senior Management for further action. (Max 4 pages).</p>
<p>2.Project Overview (describe the Evaluand)</p>	<p>Provide an overview of the project, covering, <i>inter alia</i>:</p> <ul style="list-style-type: none"> • its institutional context within UNEP (where managed from etc) • implementation structure (with diagram) • the problem/issue the project aims to address

	<ul style="list-style-type: none"> • project parameters for the review (start and end date; geographic reach; total budget etc) • project results framework - Theory of Change diagram³² to be included under Review findings below (<i>justify any revisions to the formulation of results statements to conform to UNEP definitions and/or international standards</i>) • any major and agreed changes to the project (e.g. formal revisions, additional funding etc) • description of targeted groups/stakeholders and their relationship with the project (including, stakeholder analysis diagram) • any external challenges faced by the project (e.g. conflict, natural disaster, political upheaval etc) • financial tables ((a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing) <p>(Max 3 pages)</p>
Review Methods	<p>This section is the foundation for the review's credibility, which underpins the validity of all its findings.</p> <p>The section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation, including different gender groups; details of how data were verified (e.g. triangulation, review by stakeholders etc). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc) should be described.</p> <p>It should also address limitations to the review such as: low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider review questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted, including: how anonymity and confidentiality were protected, and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. E.g. <i>'Throughout this review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. Data were collected with respect for ethics and human rights issues. All pictures were taken, and other information gathered after prior informed consent from people, all discussions remained anonymous and all information was collected according to the UN Standards of Conduct.'</i></p> <p>(Max 2 pages)</p>
Theory of Change (Reconstructed) TOC of the project	<p>Where the project results as stated in the project design documents (or formal revisions³³ of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary</p>

³² During the Inception Phase of the review process a *TOC at Review Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports, etc. Revisions to results may be formalized through official communication between the project team and the funding partner (e.g. Steering Committee minutes; email exchange with the donor; GEF Project Implementation Review report; email confirming adoption of revisions after a mid-term review etc.)

³³ Minor revisions to results may be formalized through official communication between the project team and the funding partner (e.g. Steering Committee minutes; email exchange with the donor; GEF Project Implementation Review report; email confirming adoption of revisions after a Mid-Term Review, etc.). UNEP and/or donor requirements for major changes in the project design, results, budget etc. must be followed.

	<p>table of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised ProDoc logframe/TOC and b) as formulated in the TOC at Review³⁴. <i>The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i></p> <p>This section should include a description of how the <i>TOC at Review</i> was reconstructed (who was involved, which source documents were used, formal revisions, need for reconstruction, etc.)</p> <p>The <i>TOC at Review</i> should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. The insights gained by preparing the <i>TOC at Review</i> should be identified (e.g. gaps or disconnects in the project's logic that were identified; added value or UNEP comparative advantages that were highlighted; lessons in project design that became apparent etc).</p> <p>Work to promote human rights and gender equality is central to the aims of UNEP but does not always appear within results frameworks. The TOC should include assumptions/drivers relating to human rights and gender equality and the TOC narrative should discuss how greater equality and inclusivity was expected to be achieved by the project. For example, if the project document includes commitments to gender equality/gender strategies etc, these should be identified as drivers. <u>If the project document is silent, then the UN expectations on human rights and gender equality should be included as assumptions. (2 pages + diagram)</u></p>
<p>Review Findings</p> <p>**Refer to the TOR for descriptions of the nature and scope of each criterion**</p>	<p>This chapter is organized according to the <u>review criteria</u> presented in the TORs and reflected in the project performance ratings table. The Review Findings section provides a summative analysis of all triangulated data relevant to the parameters of the criteria. Review findings should be objective, relate to the review objectives/questions, be easily identifiable and clearly stated and supported by sufficient evidence. This is the main substantive section of the report and incorporates indicative evidence³⁵ as appropriate.</p> <p>"Factors Affecting Performance" may be discussed as appropriate in each of the review criteria as cross-cutting issues. Ratings should be provided at the end of the assessment of each review criterion and the complete ratings table should be included under the conclusions section, below. <i>Please see the Performance Criteria Ratings Matrix in the suite of tools provided on the Communities Platform.</i></p> <p><u>Review Criteria:</u></p> <ul style="list-style-type: none"> A. Strategic Relevance B. Quality & Revision of Project C. Effectiveness (includes availability of outputs, progress towards outcomes, likelihood of impact and adaptation management) D. Financial Management E. Efficiency F. Monitoring and Reporting G. Sustainability

³⁴ During the Inception Phase of the review process a *TOC at Review Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports, etc. During the review process this TOC is revised based on changes made during project implementation and becomes the *TOC at Review*.

³⁵ This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

	<p>H. Factors Affecting Performance (<i>Project Inception; Quality of Project Management and Supervision; Stakeholder Participation and Cooperation; Responsiveness to Human Rights and Gender Equality; Economic and Social Safeguards; Country Ownership and Communication and Awareness</i>)</p> <p>(Max 15 pages)</p>
Conclusions	<p>This section should summarize the <u>main conclusions of the Review regarding the performance of the project to-date</u> following a logical sequence from cause to effect. The conclusions should highlight the main strengths and weaknesses of the project's performance, preferably starting with the positive achievements and a short explanation of how these were achieved, and then moving to the less successful aspects of the project and explanations as to why they occurred. Answers to the key strategic review questions should be provided. All conclusions should be supported with evidence that has been presented in the review report and can be cross-referenced to the main text using paragraph numbering. The conclusions section should end with the overall assessment of the performance of the project, followed by the ratings table.</p> <p>The conclusions section should not be a repeat of the Executive Summary but focuses on the main findings in a compelling story line that provides both evidence and explanations of the project's results and impact. (Max 2 pages)</p>
Lessons Learned	<p>Lessons learned should be anchored in the conclusions of the review, with cross-referencing to appropriate paragraphs in the review report where possible. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated in similar contexts. Alternatively, they can be derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful. Specific lessons on how human rights and gender equity issues have been successfully integrated into project delivery and/or how they could have could have been taken into consideration, should be highlighted.</p>
Recommendations	<p>As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with paragraph cross-referencing where possible. Recommendations are <u>proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results</u>. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target in order that the project team/Head of Branch/Unit can monitor and assess compliance with the recommendations.</p> <p>Structure the recommendation as a SMART (Specific, Measurable, Achievable, Relevant, and Time-oriented recommendation), followed by a summary of the finding that supports it (this is the challenge/ problem identified and needs to be addressed) and an indication of the priority level, type of recommendation, responsibility, and proposed timeframe.</p> <p>Also, in some cases, the same challenge/problem can lead to separate recommendations (prescribed actions) to be addressed by different groups e.g. Project or Partners recommendations. In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance.</p> <p>Address the strengthening of human rights and gender dimensions of UNEP interventions, in (at least) one recommendation. Alternatively, include human rights and gender-related practice carried out by the intervention as a lesson learned.</p>
Annexes	<p>These may include additional material deemed relevant by the Review Consultant but must include:</p>

	<ol style="list-style-type: none">1. Response to stakeholder comments received but not (fully) accepted by the Review Consultant, where appropriate.2. Mid Term Review TORs (without annexes).3. Review itinerary, containing the names of locations visited and the names (or functions) and of people met/interviewed. <i>(A list of names and contact details of all respondents should be given to the UNEP Project Manager for dissemination of the report to stakeholders but <u>contact details should not appear in the report</u>).</i>4. Summary of co-finance information and a statement of project expenditure by activity or component5. Any communication and outreach tools used to disseminate results (e.g. power point presentations, charts, graphs, videos, case studies, etc.)6. List of documents consulted7. F- Original TOC (where the TOC has been reconstructed for the purposes of the Mid Term Review)8. Brief CVs of the Review Consultant(s)9. Review TORs (without annexes)
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ANNEX 6: LETTER OF INTEREST

Fill in the information in blue

[Place and date]

TO: [IUCN]

The undersigned, [name of the professional], after having examined the Terms of Reference for the Contracting of the Professional Consulting Services for (name of the consultancy) and offers to perform these services in accordance with the call for date _____.

The attached Financial Proposal is for the total sum of [amount in letters and figures], which includes all taxes required by law.

The period of time in which the signatory of this document agrees to provide the services is from the date of signing the contract, until the date of termination thereof, without price variation, unless modifications are made resulting from contract negotiations.

The undersigned declares that all the information and statements made in the submitted proposals are true and that any misinterpretation contained in them may lead to disqualification.

Cordially,

Signature _____

Full name of the proposer or legal representative _____

ATTACHMENT 3a – SELF-EMPLOYED PROPOSER

DECLARATION in relation to RfP < Consultancy Services to Conduct a Mid-Term Review of the UNEP/GEF project Improving Environmental Management through Sustainable Land Management in St. Kitts and Nevis >

I, the undersigned, hereby confirm that I am self-employed and able to provide the service independent of any organisation or other legal entity.

Full name (as in passport):

Home or Office (please delete as appropriate) Address (incl. country):

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favorable. I acknowledge that IUCN is required to retain my Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

I further confirm that the following statements are correct:

1. I am legally registered as self-employed in accordance with all applicable laws.
2. I am fully compliant with all my tax and social security obligations.
3. I am free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. I agree to declare to IUCN any real or perceived emerging conflicts of interests I may have concerning IUCN. I acknowledge that IUCN may terminate any contracts with me that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. I have never been convicted of grave professional misconduct or any other offence concerning my professional conduct.
6. I have never been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. I acknowledge that engagement in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with me with immediate effect.
8. I am not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. I agree that I will not provide direct or indirect support to firms and individuals included in these lists.
9. I have not been, am not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

<Date and Signature>

ATTACHMENT 3b - For Consulting Companies

DECLARATION in relation to RfP < Consultancy Services to Conduct a Mid-Term Review of the UNEP/GEF project Improving Environmental Management through Sustainable Land Management in St. Kitts and Nevis >

I, the undersigned, hereby confirm that I am an authorised representative of the following organisation:

Registered Name of Organisation (the "Organisation"): _____

Registered Address (incl. country): _____

Year of Registration: _____

I hereby authorise IUCN to store and use the information included in the attached Proposal for the purpose of evaluating Proposals and selecting the Proposal IUCN deems the most favourable. I acknowledge that IUCN is required to retain the Proposal in its entirety for 10 years after then end of the resulting contract and make this available to internal and external auditors and donors as and when requested.

Where the Proposal includes Personal Data as defined by the European Union's General Data Protection Regulation (GDPR), I confirm that the Organisation has been authorised by each Data Subject to share this Data with IUCN for the purposes stated above.

I further confirm that the following statements are correct:

1. The Organisation is duly registered in accordance with all applicable laws.
2. The Organisation is fully compliant with all its tax and social security obligations.
3. The Organisation and its staff and representatives are free of any real or perceived conflicts of interest with regards to IUCN and its Mission.
4. The Organisation agrees to declare to IUCN any real or perceived emerging conflicts of interests it or any of its staff and representatives may have concerning IUCN. The Organisation acknowledges that IUCN may terminate any contracts with the Organisation that would, in IUCN sole discretion, be negatively affected by such conflicts of interests.
5. None of the Organisation's staff has ever been convicted of grave professional misconduct or any other offence concerning their professional conduct.
6. Neither the Organisation nor any of its staff and representatives have ever been convicted of fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation.
7. The Organisation acknowledges that engagement by itself or any of its staff in fraud, corruption, money laundering, supporting terrorism or involvement in a criminal organisation will entitle IUCN to terminate any and all contracts with the Organisation with immediate effect.
8. The Organisation is a going concern and is not bankrupt or being wound up, is not having its affairs administered by the courts, has not suspended business activities, is not the subject of proceedings concerning those matters, or in any analogous situation arising from a similar procedure provided for in national legislation or regulations.
9. The Organisation complies with all applicable environmental regulatory requirements or other legal requirements relating to sustainability and environmental protection.
10. The Organisation is not included in the UN Security Council Sanctions List, EU Sanctions Map, US Office of Foreign Assets Control Sanctions List, or the World Bank listing of ineligible firms and individuals. The Organisation agrees that it will not provide direct or indirect support to firms and individuals included in these lists.
11. The Organisation has not been, is not, and will not be involved or implicated in any violations of Indigenous Peoples' rights, or injustice or abuse of human rights related to other groups or individuals, including forced evictions, violation of fundamental rights of workers as defined by the International Labour Organization's (ILO) Declaration on the Fundamental Principles and Rights at Work, child labour, sexual exploitation, sexual abuse, or sexual harassment.

<Date and Signature of authorised representative of the Proposer>

< Name and position of authorised representative of the Proposer >

ATTACHMENT 4: HUMAN RESOURCES QUESTIONNAIRE

HR Questionnaire for Consultancy Contracts

Consultant / Company Name _____

Country of Residency _____

Required Checks

	Yes	No
Are payments linked to deliverables?	ÿ	ÿ
Does the consultant have official invoices?	ÿ	ÿ

Required documents

	Yes	No
Professional insurance/medical insurance policy statement, valid during the project's execution term	ÿ	ÿ
Civil responsibility policy: should include at least coverage for physical injuries and/or death of third persons, and coverage for damages to others' property	ÿ	ÿ

The Consultant understands that, in case of answering NO to any of the previous questions, it is his/her responsibility to assume any legal implication or cost that is derived from it to the detriment of IUCN.

Other Assignments

Name other organizations for which the consultant has previously worked for:

Previous assignments with the IUCN (please indicate the last three):

- 1.
- 2.
- 3.

Are you currently working on a consulting with IUCN? If so, please specify the name of the consultancy, the person responsible for the consultancy and the end date.

For Self-Employed Consultants:

Is the Consultant part of one of IUCN Commissions?

Yes _____ No _____

If so, please indicate which of the following Commissions:

- _____ World Commission on Protected Areas
- _____ International Law Commission
- _____ Species Survival Commission
- _____ Commission on Ecosystem Management
- _____ Commission on Education and Communication
- _____ Commission on Environmental, Economic and Social Policy

For Consultant Companies:

Is the Company/Organization an IUCN Member?

Yes _____ No _____

Consultant Signature: _____

Date: _____