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ABBREVIATIONS & ACRONYMS

Acronym/Abbreviation	Meaning
ABS	Access and Benefit Sharing
ABS-CDI	ABS Capacity Development Initiative
BTORs	Back to Office Reports
CARICOM	Caribbean Community
CBD	Convention on Biological Diversity
CHM	Clearing House Mechanism
EA	Executing Agency
GEB	Global Environmental Benefit
GEF	Global Environmental Facility
GIZ	German Technical Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH)
IA	Implementing Agency
IUCN-ORMACC	International Union for the Conservation of Nature – Regional Office for Mexico, Central America and the Caribbean

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

Dates of previous project phases:

EXECUTIVE SUMMARY

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

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

21. Make efforts to ensure that draft ABS Bills and regulations contain provisions for revenue generation which would be earmarked for ABS implementation, compliance, enforcement, and reporting. This is crucial for the sustainability of project outcomes.

22. In view of the late start of the project and the time constraints identified in this MTR for achieving project outcomes,

11. Stakeholders and project beneficiaries are important sources of information to validate

fragmentation due to the expansion of agriculture, cities, tourism and commercial development. Overexploitation of living resources, predation and competition by invasive alien species are also significant threats. Pollution and sedimentation have negatively affected

Table 3: Project Logical Framework

Components	Outputs	Outcomes
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C1:

2.4.2 Cabinet Papers produced to highlight legislative and regulatory needs and the benefits and opportunities of NP ratification.

2.4.3 Draft ABS Bill or Regulations formulated.

2.4.4 Nagoya Protocol ratification requests from the Executive Power to the Attorney General.

2.4.5 A Regional Strategy and Action Plan (2016-2021) that orients and converges regional efforts for ABS capacity building, sets common ABS capacity building goals for the Caribbean, collaboration, and fund raising opportunities.

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

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

22. The PRODOC includes a clear stakeholder analysis, which provides a good overview of different groups and institutions that would have been affected by activities of the project and how they will benefit or participate in the project. The PRODOC provides a rationale for the specific stakeholders included in the process; but also provides details of the stakeholder consultation process itself during the project’s design. According to the 1(-)-266(t)5(h)-11(e)c>200551

PROJECT FINANCING

29. Consistent with financial statements of the project, by the end of June 2017, the project had disbursed US\$532,604 since its effective start date of February 15th 2016. This represents 29.17% of the total GEF grant (US\$1,826,000), with training and equipment accounting for the larger part of the disbursement, being 41.88% and 57.05%, respectively. It is important to note that this level of disbursement is not due to deficiencies in budget execution, but rather due to

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

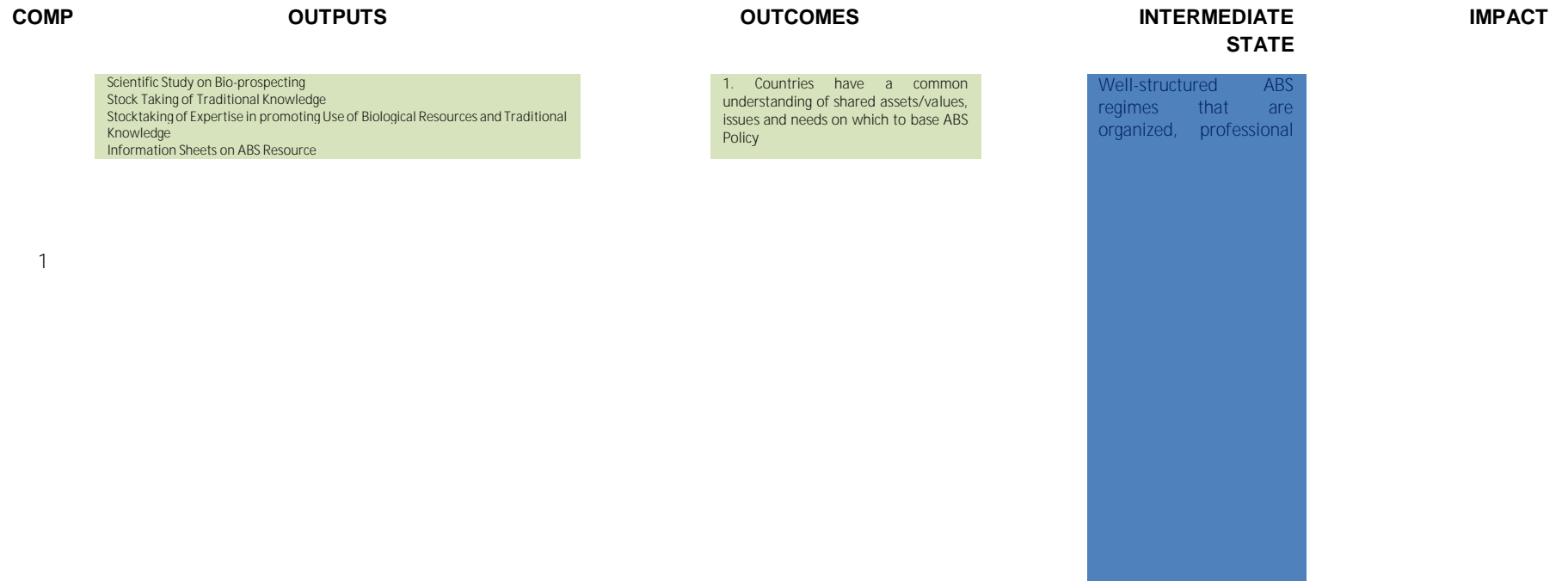
33.

37. **Outputs to outcomes Assumptions and Drivers:** At the very base of the transition between outputs and outcomes is the key driver that the evolving interest in bioprospecting, technical understanding of the common genetic resources which exist in the region, and continued commitment of the countries to the CBD and the NP, continue to be a driving force for scientists, politicians and their constituents to advocate for timely NP implementation. The technical capacity to understand and advocate for fair and equitable ABS from the use of genetic resources is a factor that the project influences and contributes to directly through training and dissemination of technical studies and support to Caribbean ABS Experts. While the Logical Framework identified numerous assumptions, those that are key for the transition between outputs and outcomes are rooted in information generation and sharing, the prioritization of policy formulation by governments, and the need for decision-makers to embrace the information and knowledge generated to inform ABS policy formulation.

38. Outcomes to intermediate state11(t)5(e)-11()11()-107(a-27(n)30(p)-11(l)-4(ct)5(o)1ETQq0.00000912 0 612

41. The information generated, awareness, tools, guidelines, and support to the legislative framework must be strategic and designed to deliver those specific features and characteristics that will maximize the likeliness of achieving the intended impact. Beyond the

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



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

Figure 3: David Persaud addresses attendees at the Trinidad and Tobago National Workshop on April 28th, 2016. Photo

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



**Figure 4: Third Regional Workshop on the project
Bridgetown Barbados, 20th - 21th of February, 2017. Photo Credit: IUCN-ORMACC**

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

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

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

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

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

64. Other outputs under this component include a Standardized Methodology for the creation of national registers of marine and terrestrial biological resources, which at egis0ig G/(o)11(n)5(i)-4(o)-11(n)11

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

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

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

Overall assessment of the achievement of direct outcomes

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

The overall rating for Effectiveness is

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

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

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

RATING

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

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

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

FINANCIAL MANAGEMENT

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

Efficiency

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

CONCLUSIONS AND RECOMMENDATIONS

CONCLUSIONS

97. The project must be commended for having achieved important milestones and having already made important changes in the ABS agenda in the region. The project is on track and progressing well in almost all the activities and outputs, with 100% completed delivery in a number of outputs. Project Coordination has been essential to progress to date, and project partners have shown sustain commitment to project processes up to now. Project countries are all satisfied with the project's performance and are looking forward to an even better delivery of the second half. The overall management of the project has been handled well, as evidenced by the ratings achieved above.
98. The project has had significant progress towards the achievement of the outcomes. The products obtained so far, as well as the implementation strategies seems to be contributing to the main objective and keeping the project on track. Of interest for the remainder of the project will be the need to develop strategies for accelerating to the extent possible, the rate with which processes for NP uptake at the country level is taking place. There is serious concern about whether the remaining 16 months in project implementation will be enough for

LESSONS LEARNED

100. The regional design of the project has proven to be an effective and efficient way in promoting the implementation of common regional activities, as opposed country specific execution, which would have resulted in substantial delays and higher costs.
101. A more in depth consideration of the asymmetries in institutional capacity of countries could have probably resulted in more countries in an advanced state of the uptake process at the MTR, instead of only Antigua and Barbuda, Guyana and St. Kitts & Nevis, and may have also presented a better outlook for achievement of outcomes by end of project, i.e., within the 36-month project cycle. Additionally, the lack of a TOC and 'output to outcome' analysis during the project design resulted in lost opportunities to better test project assumptions and drivers, which would have provided valuable data to inform and refine project implementation strategies and approach, especially in relation to country-specific assumptions and timeline for delivery.
102. The apparent limited knowledge of E f E f E fé &

RECOMMENDATIONS

107. Promote dialogue, exchange and support among national focal points, the ministry responsible for ABS, as well as other representatives of relevant institutions directly involved in the project and ABS implementation within the project countries, to ensure a successful outcome for the ABS project in the Caribbean region.
108. Conduct a high-level political meeting, in an effort to increase the direct engagement of parliamentarians in project activities at the country level and in regional project-sponsored regional processes. This is crucial for the sustainability of project outcomes and for transitioning from project outcomes to desired impact.
- 109.

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

Dates of previous project phases:

Status of future project phases:

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

This component has three (3) expected outcomes:

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

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

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

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

This component has one (1) expected outcome:

Outcome 2.1.: hers, Tf-0.03 Ttio 2.1.:2.1.: hers, Tf-0.96(h)6(e)1(d)-18(e)6(r)-1stRramcro-21(i)22(ca)6 28(t)-18(3196(BT0

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

Executing Arrangements

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

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

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

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

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

NATIONAL LEVEL

Project Focal Points (Govt):

- One person per project country.
- Nominees are in charge of planning, coordinating and overseeing project actions at the national level

Project Cost and Financing

See attached budget

Implementation Issues

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

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

Key Review Principles

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

The "Why?" Question. As this is a Mid-term Review particular attention should be given to identifying implementation cha[...]

Objective of the Review

In line with the UN Environment Evaluation Policy³ and the UN Environment Programme Manual⁴, the Mid-Term Review (MTR) is undertaken approximately half way through project implementation to analyze whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR will assess project performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The review has

stakeholders' participation and cooperation responsiveness to human rights and gender equity and country ownership and driven-ness.

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

stakeholders participation and cooperation and responsiveness to human rights and gender equity, including the extent to which relevant actions are adequately budgeted for.

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an

preparation and readiness and quality of project management and supervision⁷.

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

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

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

political or social sciences area; a minimum of 5 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of Access and Benefit Sharing in the context of the Nagoya Protocol; proficiency in time management along with excellent writing

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

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

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

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

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

ANNEX 3. EVALUATION FRAMEWORK

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

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| i. How and how well did the project stimulate country ownership of project outputs and outcomes? | Country representatives – National Focal Points, UNEP Task Manager, ABS Project Manager, ABS Project Coordinator | Respondent perceptions, timeliness |
| ii. To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project? | | |

ANNEX 6.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

