

Mid-Term Review of UN Environment/GEF project

Support to the Integrated Programme for the Conservation and Sustainable Development of the Socotra Archipelago

GEF Project ID 5347

MIDTERM REVIEW REPORT



Project team members with last known mature *Prosopis juliflora* tree on Socotra, an invasive exotic species. The presence of the tree will be used as an awareness-raising tool before removal and destruction

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Table of Abbreviations

CZP	Conservation Zoning Plan
CABI	Commonwealth Agricultural Bureaux International
CMEP	Centre for Middle Eastern Plants
EPA	Environment Protection Authority
FoS	Friends of Soqatra
GEF	Global Environment Facility
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoY	Government of Yemen
GPS	Global Positioning System
NGO	Non-governmental Organization
NP	National Park
PA	Protected Area
PAM	Protected Areas Management
RBGE	Royal Botanic Garden Edinburgh
SGN/ Senckenberg	Senckenberg Society for Nature Research
SocGov	Government of Socotra Governorate
UN Environment	United Nations Environment
WHS	World Heritage Site (of UNESCO)

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The UN Environment Task Manager is Ersin Esen

The UN Environment Fund Management Officer is Pooja Bhimjiani

Short biography of the consultant

The consultant, Dr Mark Infield, holds a degree in Zoology from Durham University, Great Britain. He spent 20 years working in a range of countries in Africa, Asia and Europe, designing, implementing and reviewing projects and programmes supporting nature conservation outcomes. His focus has been on the interface between protected areas and the social, political, cultural and economic environment in which they exist. He gained a Master's Degree in Natural Resource Management from the University of Natal, South Africa, where he looked at the influence of social and economic factors in the attitudes of local communities to conservation and protected areas. He completed a PhD in 2002, a multi-disciplinary investigation of conflict between a pastoral community and a national park. He has managed GEF/World Bank, European Commission and USAID projects, was Regional Director of Fauna & Flora International's Asia Pacific programme and Senior Sector Advisor to the Ministry of Water and Environment, Uganda. Dr Infield is a member of the IUCN Cultural and Spiritual Values of Protected Areas Specialist Group and the IUCN World Commission on Protected Areas.

Project Identification Table

Project title:	Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago
Project number:	5347
Project type:	Full-size project
Trust Fund:	GEFTF
Strategic objectives:	BD 1, BD 2, LD 3
UNEP priority:	EM SP, EA(a), Output 312
Geographical scope:	Yemen
Mode of execution:	External
Co-executing organisations:	Ministry of Water and Environment/Environment Protection Authority, Government of Yemen; and Senckenberg Society for Nature Research, Germany
Duration of project:	48 months Commencing: March 2016 Completion: February 2020; 1-year no-cost extension anticipated

Cost of project	US\$	%
Cost to the GEF Trust Fund	4,854,566	24.40
Co-financing	15,042,521	75.60
Cash		
		0.0
<i>Sub-total</i>	<i>0</i>	<i>0.0</i>
In-kind		
GIZ, Germany	7,500,000	37.69
EPA, Yemen	4,500,000	22.62
Royal Botanic Garden Edinburgh, UK	1,015,000	5.10
Local District Councils, Socotra, Yemen	500,000	2.51
Governorate of Hadramaut, Yemen	500,000	2.51
UNEP/DEPI/TEU	300,000	1.51
Senckenberg Society for Nature Research, Germany	200,000	1.01
Institute of Evolutionary Biology, Spain	181,151	0.91
Commonwealth Agricultural Bureaux International	150,000	0.75
La Sapienza University, Rome, Italy	116,370	0.58
Mendel University, Brno, Czech Republic	80,000	0.40
<i>Sub-total</i>	<i>15,042,521</i>	<i>75.60</i>
Total	19,897,087	100.0

Executive Summary

Background

The 'Support to the Integrated Programme for the Conservation and Sustainable Development of the Socotra Archipelago' project, ('the project' from here on) started implementation in February 2016, has a 48 month duration, a budget of 4.85 million US\$, and operations focused on the Socotra Archipelago. It is a Full-Sized Global Environment Fund project, implemented by UN Environment and executed through a partnership between the Senckenberg Society for Nature Research and the Environment Protection Agency of the Government of Yemen.

Socotra and its outer islands support globally significant biodiversity values including 300 endemic plants, 30 endemic vertebrates and more than 300 endemic invertebrates. These values led the Socotra Archipelago to be inscribed as a World Heritage Site in 2008. However, Socotra is at a critical juncture. It has yet to suffered the losses that have affected so many other island ecosystems and a window of opportunity exists to tackle the most pressing issues, Despite significant support over the last 20 years however, intense pressures continue to threaten its biodiversity and the wellbeing of its people.

Unsustainable use of land and marine resources combine with invasive alien species to threaten the ecological balance and food security. The main causes include rapid population growth, land use change, poorly planned and largely uncontrolled infrastructure development, including within protected areas, and climate change. Conservation in general and protected areas in particular is insufficiently funded. The project is supporting activities that directly assist local government and communities and help mitigate the underlying causes of biodiversity loss.

Summary of review objectives and scope

As required by the UN Environment Evaluation Policy and the UN Environment Programme Manual, and in line with recognized good practice, this Mid Term Review has been undertaken approximately half way through the project in order to:

- Provide accountability based on activities undertaken and outputs delivered in relation to funding expended;
- Assess likelihood and sustainability of outcomes and impacts in relation to expectations based on the project design;
- To assess challenges risks to achieving project objectives and consider corrective steps for concerns or shortcomings identified; and
- Generate recommendations to support the execution of the project and the design and delivery of other UN Environment/GEF projects.

Key project elements

Key elements of the project at the point of review are presented in the following table.

Project aim: To prevent the irreversible loss of the unique ecosystems, biodiversity and natural resources of the Socotra WHS	
Project objective: To strengthen governmental and non-governmental capacities sustainably to manage and protect the Socotra Archipelago WHS through biodiversity conservation, invasive alien species management and sustainable land management	
Project outcomes	Project outputs
Component 1. Biodiversity Conservation and Protected Area Management	
1.1 BD-PAM strategy developed, including updated conservation data baseline and revised Conservation Zoning Plan	1.1.1 - Existing PAs and their management evaluated. 1.1.2 - Baseline studies and analyses on BD and PAM conducted 1.1.3 - Revision of the Conservation Zoning Plan
1.2: The BD-PAM strategy operational, including improved management and expansion of PA network, and coordinated with the integrated conservation management framework	1.2.1 - Management plans of existing and new PAs reviewed/developed and implemented 1.2.2 - Special management plans aimed at targeted terrestrial and marine species conservation and resource management developed and implemented
Component 2. Invasive Alien Species Management	
2.1. A community-based management strategy to control IAS in the Socotra WHS is devised, including an updated IAS inventory	2.1.1 - All existing invasive and potentially invasive species are identified, including their direct or potential impacts on PA and BD management and ecosystem services 2.1.2 - A community-based IAS management strategy is developed, incorporating guidelines for policy, legal and institutional frameworks
2.2. The IAS management strategy is operational and coordinated with the integrated conservation management framework	2.2.1 - Pathways for IAS are identified and measures for priority prevention and control are developed and implemented
Component 3. Sustainable Land Management/Land Degradation	
3.1: A community-based strategy for SLM in the Socotra WHS is devised, underpinned by an SLM data baseline	3.1.1 - Land degradation status and threats of current land management are identified and mapped, including existing or projected impacts on biodiversity and ecosystem services. 3.1.2 - A community-based SLM strategy developed, incorporating guidelines for policy, legal and institutional frameworks.
3.2: The SLM management strategy is operational and coordinated with the integrated conservation management framework.	3.2.1 - Priority sustainable land management measures developed and implemented
Component 4. Enabling Environment	

4.1: Institutional, organisational and individual capacities are strengthened to better manage the environment on Socotra	<p>4.1.1 - A strategic capacity development plan (CDP) for environmental management is prepared.</p> <p>4.1.2 - An ecosystem services framework informs management and sustainable financing schemes.</p> <p>4.1.3 - Recommendations for an integrated conservation management framework (ICMF) for the Socotra WHS are developed (closely linked to the BD-PAM, IAS and SLM strategies and the capacity development plan).</p> <p>4.1.4 - Capacity development measures implemented for key administrative partners.</p> <p>4.1.5 - Special programmes for long-term enhancement of policing and academic capacities planned and launched.</p> <p>4.1.6 - Field schools for community-based environmental management are established and operational</p>
4.2: Information and knowledge supports environmental management	<p>4.2.1 - An information management strategy is developed.</p> <p>4.2.2 - A communication and awareness strategy is developed.</p> <p>4.2.3 - Results-based project management and M&E is established.</p>
4.3: A suite of financing mechanisms sustains the implementation of the Integrated Conservation Management Framework (ICMF) of the Socotra WHS in the long-term	<p>4.3.1 - A comprehensive Socotra WHS sustainable finance plan is developed.</p> <p>4.3.2 - A Socotra Trust Fund is established.</p> <p>4.3.3 - At least two local income generating mechanisms are developed</p>

Evaluation ratings and summary of main findings

The overall rating for the project is scored Moderately Unsatisfactory.

As can be seen from the table below, this overall rating is comprised of ratings ranging from Highly Satisfactory to Unsatisfactory. The overall rating, which will be disappointing to many and of concern to others, must be understood therefore in the context of this variation and with respect to the great challenges represented by the Nature of External Context, assessed as Highly Unfavourable. The admirable performance of the executing team despite great difficulties is recognised, and their delivery of activities and valuable outputs is commendable. The algorithms of the Evaluations Weightings and Ratings Table (see Appendix 2) and the numerous factors reviewed to generate the overall rating hides many strengths. It must be recognised, however, that there are also weaknesses, in both project design and delivery.

	Evaluation criteria	Summary Assessment	Rating
A	Strategic Relevance		Highly Satisfactory
	<i>Alignment to MTS and POW</i>	Alignment was clear and strong and well referenced in the ProDoc.	Highly Satisfactory
	<i>Alignment to UNEP/GEF/ Donor strategic priorities</i>	The design delivered close alignment with relevant strategic priorities of the donor, implementing agency and partners.	Highly Satisfactory
	<i>Relevance to regional,</i>	The project is relevant to local, national and	Highly

	<i>sub-regional, national issues/needs</i>	regional needs and priorities related to biodiversity and natural resources.	Satisfactory
	<i>Complementarity with existing interventions</i>	The project was designed to build on previous interventions but could have responded better to lessons learned.	Satisfactory
B	Quality of Project Design	The ProDoc provides a detailed analysis and a compelling case for intervention. The logical narrative on which the project hangs is weak however with poor linkages between planned actions and reasonable expectations of impact.	Moderately Satisfactory
C	Nature of External Context	The external context of national security and political instability, complex logistics and severe weather made implementation challenging	Highly Unfavourable
D	Effectiveness		Moderately Satisfactory
	<i>Achievement of outputs</i>	Significant progress has been made to deliver a broad range of outputs despite some delays. Significant challenges remain however.	Moderately likely
	<i>Achievement of direct outcomes</i>	Direct outcomes anticipated are to be delivered in the second half of the project, making it hard to anticipate them, hence the Satisfactory rating. Concerns over links between outputs and outcomes remain.	Likely
	<i>Likelihood of impact</i>	There are question marks over the likelihood of the project achieving real impacts for Socotra's biodiversity	Moderately Unlikely
E	Financial Management		Satisfactory
	<i>Completeness of project financial information</i>	The majority of financial information was available with the exception of the delivery of in-kind co-financing by partners.	Moderately Satisfactory
	<i>Communication between finance & project management staff</i>	Good levels of communication were observed between relevant parties.	Satisfactory
	<i>Compliance with UNEP standards and procedures</i>	There was full compliance	Highly Satisfactory
F	Efficiency	Areas of high efficiency were found but issues related to timeliness and cost effectiveness were also recognised	Moderately Satisfactory
G	Monitoring and Reporting		Moderately Satisfactory
	<i>Project reporting</i>	Project reports were available though not all had been submitted on time	Satisfactory
	<i>Monitoring design and budgeting</i>	The Monitoring and Evaluation framework was strong and complete in most respects	Satisfactory
	<i>Monitoring implementation</i>	The implementation of the M&E framework was not complete without clarity on how data was collected and analysed, insufficient evidence of adaptive management, and gender disaggregation not consistently ensured	Unsatisfactory
H	Sustainability		Highly Unlikely

	<i>Socio-political sustainability</i>	The political and social context generally, and especially now, makes commitment and buy in difficult for government partners and local communities.	Moderately Unlikely
	<i>Financial sustainability</i>	The probability of financial sustainability of protected area management, on-going control of invasive aliens species, and long-term support for forest restoration is hard to envisage	Highly Unlikely
	<i>Institutional sustainability</i>	Problems related to the context of delivery and to aspects of project management reduced the effectiveness of communications, and weakened perceptions of participation and ownership by national and local institutions	Unlikely
I	Factors Affecting Performance		Moderately Satisfactory
	<i>Preparation and readiness</i>	The ProDoc and the executing team worked hard to deal with issues affecting the project's inception.	Satisfactory
	<i>Quality of project management and supervision</i>	Serious problems were identified with the supervision and governance of the project leading to real challenges for delivery.	Moderately Unsatisfactory
	<i>Stakeholder participation and cooperation</i>	Participation and cooperation was mixed with considerable enthusiasm in certain quarters but the opposite in other quarters.	Moderately Unsatisfactory
	<i>Responsiveness to human rights and gender equity</i>	There was evidence of responsiveness to gender equity as far as possible, and no obvious human rights issues were evident.	Satisfactory
	<i>Country ownership and driven-ness</i>	Broad ownership of project actions was generally poor amongst community, local government and national government.	Unsatisfactory
	<i>Communication and public awareness</i>	A strong programme was designed and is being well implemented.	Satisfactory

Though project reviews can seem to be exercises in finger pointing and apportioning blame, it should be recognised that weaknesses in projects result from numerous sources, many outside the control of those that develop them and those responsible for implementation and execution. The decision to slow down the inception process was a sensible response to the constraints imposed by the security, civil and political problems of Yemen. Combined with the practical difficulties of implementation, however, the project is a year behind schedule. Nonetheless, at the point of review, a commendable 70% of the budget for Years 1 and 2 has been expended.

Many key outputs indicated in the table above have been or will soon be completed, and levels of delivery are largely on track. Important outputs include:

- Building a first rate team of Socotran and Yemeni conservation and resource management professionals to undertake the project.
- Developing the Socotra Portal, a valuable hub for information on Socotra's biodiversity for improved planning.
- Establishing Farmer Field Schools to strengthen community based resource management.
- Piloting forest restoration approaches for critically endangered endemic species.
- Detailing the conservation status and management of protected areas.

- Detailing invasive alien species on or with a high risk of arrival, and eliminating two species with high potential to cause damage.

There are concerns over the delivery of some key outcomes, however, in particular:

- Establishing sustainable income-generating mechanisms, without which the sustainability of many planned outcomes and expected impacts is doubtful.
- Implementing improved management of protected areas.
- A revised Socotra Conservation Zoning Plan that responds to present reality.
- Strengthened community-based management of land and resources.

The relationship between outputs and outcomes is not always robust or practical and there are concerns about achieving tangible impacts, especially with regard to the day-to-day management of protected area and significant change to the pattern of use of land and marine resource, which is a real and present threat to the island's biodiversity and economy.

Conclusions

There were notable achievements in delivering activities in challenging circumstances. Senckenberg, one of the world's foremost scientific institutions, the project team, and supporting institutions have made strong contributions based on good science. The project team represents in itself an important resource for the future of Socotra's biodiversity and has built partnerships with key government officers that are delivering valuable activities.

Concerns exist, however, the management and governance of the project, with implications for achieving objectives and sustainable impacts. These relate in part to top-down and insufficiently flexible management able to respond to the perspectives and legitimate interests of project partners. This has hindered development of local ownership and participation. The level of oversight provided by Senckenberg, UN Environment and the Government of Yemen is also a concern, as is the failure of the Project Steering Committee. For several reasons, the oversight and governance the project needed did not help avoid several serious operational and relational difficulties.

There are question marks over whether practical improvements in the protection of Socotra's biodiversity will be delivered through strengthened protected areas, improved management of land and resource, and reduced risk of invasive alien species. Should significant improvements be delivered, however, the probability of them being sustained beyond the life of the project appears low.

Three key questions guided the work of this review.

Question 1. *Are project activities enhancing (or likely to enhance) the prevention of species extinctions? To what extent is biodiversity benefits being demonstrated?*

Despite rigorous research and analysis and establishment of forest restoration activities, the threat of species extinctions had not been greatly reduced. In part this is because new threats have arisen, and in part because insufficient investment has been made in direct responses to immediate threats or the general level of environmental degradation.

Question 2. *Are project interventions in community based invasive alien species management and sustainable land management likely to minimize their impacts?*

The project has made significant practical improvements in the control and management of Invasive Alien Species and is preparing to strengthen systems for future biosecurity. Further work and financing will be required to make these systems truly community-based and sustainable, however.

There is little evidence that the project has or is likely to reduce land degradation. This is in part due to over-ambitious expectations. It should be noted, however, that grazing by goats was identified as a major threat 20 years ago, and that none of the projects implemented since then have improved the situation.

Question 3. *What evidence is available that project activities are helping central and local government to better manage the environment on Socotra?*

Despite difficulties, the project has developed and implemented interventions in partnership with central and local government. These are beginning to deliver useful results, raise awareness of conservation, and build capacity. Sustainable funding will be necessary for these impacts to persist beyond the life of the project.

Recommendations

Summary recommendations are presented here. Details are provided in Section 6C.

Communication, coordination and cooperation:

Increase levels and effectiveness of formal and informal interactions between key partners, especially EPA Chairman, EPA Socotra General Director, and Deputy Governor for Environment.

Increase reporting to Co-Executors and key partners by sharing reports in a timely manner, and provide informal activity reports and briefings on a regular basis.

Convene a Project Execution and Coordination Advisory Group to be distinct and separate from the Project Steering Committee and responsible for advising on day-to-day execution, comprising key Socotra partners and interested parties including the Governor's Office, government departments, district governments and local organisations.

Increase efforts to raise cooperation with relevant parties and initiatives. This is especially important for integrating cultural, social and development perspectives and organisations into conservation actions.

Governance and oversight:

UN Environment to lead process to formally constitute the Project Steering Committee. The Committee should be constituted to provide high-level guidance to the project, assist in resolving impediments to operations, and ensure oversight.

Senckenberg must strengthen institutional support for project execution, and provide closer management and oversight of operations and of its staff.

Capacity development:

Project management must develop technical and managerial capacity of project team, partners, and participating communities through formal training, on-the-job mentoring and training, and secondments with and between government and project.

Participatory processes for project reviews:

Undertaking participatory processes to develop a no-cost extension, and to review and revise the Socotra Conservation Zoning Plan.

Review priority activities to achieve stronger delivery of project objectives. Ideas that might be considered include:

- Strengthen focus on practical steps to establish community-based protected areas management.
- Concentrate land and resource management interventions in and around PAs to create a more tightly focused programme.
- Undertake a full review of the Socotra Conservation Zoning Plan.
- Strengthen focus on systems for improved biosecurity while building capacity for island wide monitoring for identified species of active concern.
- Design incentives for communities to participate in conservation activities including linking livelihoods activities to conservation outcomes.
- Producing Socotra focused awareness and educational materials with a special emphasis on the use of the Socotri language.
- Strengthen GoY capacity to gathering international support and political commitment from governments with current interests in Socotra to provide sustainable financing solutions.

I. Introduction

- 1 Support to the Integrated Programme for the Conservation and Sustainable Development of the Socotra Archipelago, the project which is the subject of this Mid Term Review, falls under UN Environment's Ecosystem Management Sub-Programme, is part of the UN Environment Middle East region, and operates within the nation of Yemen, and specifically the Socotra Archipelago. The project was designed to respond to the objectives and outcomes of the 2014-2015 Programme of Work, but is also relevant to the 2018-2019 Programme of Work, in particular to the objective of Sub Programme 3: Healthy and productive ecosystems:

Marine, freshwater and terrestrial ecosystems are increasingly managed through an integrated approach that enables them to maintain and restore biodiversity, ecosystems' long-term functioning and supply of ecosystem goods and services.

- 2 The project also responds to UN Environment's medium-term strategy for 2018 - 2021 that puts people at the centre of sustainable development and promotes human well-being.
- 3 This Project will contribute to achieving several GEF-5 Focal Area Strategic Objectives, including: BD (Biodiversity), specifically to the achievement of Outcome 1.1 under BD-1, "Improved management effectiveness of existing and new protected areas" (Project Components 1, 4), Outcome 1.2 "Increased revenue for protected area systems to meet total expenditures required for management" (Project Component 4) and BD-2 Outcome 2.3 "Improved management frameworks to prevent, control and manage Invasive Alien Species" (Project Component 2); and LD (Land Degradation), specifically contributing to LD-3, Outcome 3.2 "Good management practices in the wider landscape demonstrated and adopted by relevant economic sectors" (Project Component 3).
- 4 The project builds on four previous integrated conservation and development initiatives all of which were designed and implemented in support of the unique biodiversity and other values of the Socotra archipelago, including: the "Socotra Biodiversity Project" (1997-2001); the Socotra Conservation and Development Programme Phase 1 (2001-2003) and Phase 2 (2004-2008); and the Socotra Governance and Biodiversity Project (2009-2018). In addition to these major projects, there have been at least 39 GEF Small Grants undertaken since 2006.
- 5 The project has a 48-months duration, and a GEF budget of US\$ 4,854,566 plus in-kind co-financing valued at US\$ 15,042,521. The project was formally endorsed in February 2015 by the Global Environment Facility (GEF) and the Government of Yemen (GoY) represented by the Ministry of Water and Environment (MWE) and the Environment Protection Authority (EPA). The Project Cooperation Agreement was signed between UN Environment and the Senckenberg Society for Nature Research (SGN) 9 months later in November 2015, with the project formally starting in March 2016. The delay between GEF approval and the formal start of the project was due to the escalation of political unrest on the Yemen mainland at this time.

- 6 The project is co-executed by the Senckenberg Society for Nature Research (SGN) and the Environment Protection Authority (EPA). Other institutions delivering activities or providing more general support, either through formal contractual arrangement or as interested parties, include the Royal Botanic Gardens, Edinburgh (RBGE), the Commonwealth Agricultural Bureaux International (CABI), Mendel University, Brno, Czech Republic, Sapienza University, Roma, Italy, and the Socotra Wildlife Society.
- 7 This review covers the project's first period between February 2016 and February 2019. It is anticipated that the slowed down inception process and other delays will require a one-year no-cost extension at least and perhaps as much as two years for the project to deliver its primary outputs. That will take the project duration up to February 2021, making the timing of this Mid-Term Review (MTR) appropriate.
- 8 The MTR seeks to provide evidence of actions undertaken, objectives delivered and impacts achieved, as well as to provide guidance to improve future project execution. It also seeks to strengthen the design and delivery of UN Environment projects. To meet these expectations, the MTR will identify strengths displayed during execution, challenges experienced by the project team, and responses made to these challenges by the executors and other interested parties. The MTR report will be of particular interest, therefore, to institutions, organizations and individuals playing roles in project execution as well as in implementation and oversight, and to organisations considering similar interventions on Socotra in the future or elsewhere.

II. Review Methods

A. Theory of Change at review

- 9 The project document provides a discussion of the root causes, threats and barriers to sustainable development and biodiversity conservation on the Socotra archipelago (ProDoc Section 2.3, pp 14-17); an intervention strategy that includes a description of the project's intervention logic and key assumptions (ProDoc Section 3.4, pp 84-86); a tabular summary of incremental reasoning of the project comparing business as usual and project intervention scenarios (ProDoc Appendix 3); and a results framework for the project (ProDoc Appendix 4.).
- 10 The ProDoc does not, however, include a Theory of Change (ToC) in narrative or diagrammatic form, or a Logical Framework in narrative or diagrammatic form. It should be noted that neither was required by GEF at the time the proposal was developed and submitted. There has been no subsequent process to establish a logical project narrative, in part because this was not required, in part because the pressure of execution intervened, and in part because there was no appetite for entertaining potential changes in the design at such a late stage. I considered the lack of either of these representations of project narrative, which would have provided a clearer description of the flow of the logic underpinning the project and that would have bought a group of informed interested parties together, strengthening ownership from the start, to be a shortcoming of the ProDoc and the project development process. However, it should also be noted that the GEF project

proposal template requires the presentation of 'project components'. These section headings pre-empt to some extent the development of appropriately constructed project objectives, and therefore the development of a clear logical narrative for projects.

- 11 The materials provided in the ProDoc referred to above provided sufficient information and perspective to formulate a Theory of Change at review or indeed to reconstruct a Logical Framework for the project. I was not able to undertake the necessary process during the week spent on Socotra with the project team and other stakeholders. It was not apparent that the parties present would have been able or prepared to work on such an exercise at the time, nor was sufficient time available. Given that ToC and LogFrame processes require a considerably allocation of time and commitment by a core group and should not be attempted by an individual, I have not attempted to construct either for this MTR. I do suggest, however, that this process might be a useful activity for the project team and other interested parties to undertake, especially as part of the process of developing a no-cost extension proposal for the project.

B. Information collection

- 12 Information concerning the project, its origins, background and implementation was gathered from a number of sources. The methods employed provide the basis for the robust analysis of the project presented in this MTR report and outlined below. Investigation of project reports and other written materials provides for a limited degree of quantitative analysis while key informant interviews, group meetings, and open-ended discussions were used to gather qualitative information. Direct observations of project activities in the field allowed triangulation and fact checking as did follow up questions and requests to the project team for additional information. Analysis of the information gathered also employed the generation of a gestalt of the project, backed by the systematic appraisal of UN Environment evaluation criteria.

1. Literature and written material

- 13 A broad range of written material was examined (see Annex 6). A large number of these materials was provided by the UN Environment Task Manager and the Project Coordinator. Most documents are located on the UN Environment's Anubis web portal to which I was provided access by the UN Environment Task Manager at the start of the review process. Further materials were provided by individuals associated with the project or were located through Google searches on the Internet.
- 14 The large amount of literature available did not allow for detailed reading of all project documents and other relevant literature. Written or web-based materials were scanned to assess their relevance and importance. Close reading of key materials was undertaken and notes taken as required.

2. Identification of interested parties and potential respondents

- 15 The Project Coordinator provided me with a list of potential respondents. The UN Environment Task Manager also suggested interested parties and key informants who I was advised to communicate with. Some interviews led to the identification of other potential respondents in a form of 'snowball sampling'.

3. Face to face interviews

- 16 I held face-to-face meetings with interested parties where this was possible. Formal interviews were undertaken with key informants where circumstance and opportunity allowed. In other situations informal discussions were held. A total of 45 interviews were carried out. Notes were taken during interviews where possible or appropriate. Annex 2 lists respondents met face-to-face.

4. Phone or Skype interviews

- 17 Where necessary I organized phone or Skype calls with interested parties that could not be met face-to-face. A schedule of calls was organized by exchange of emails following a formal email introduction. All parties who were to be interviewed remotely were provided with a copy of the Inception Report and, in the body of the email, the list of seven questions that the interview would pursue. Notes of the interviews were taken. A total of 10 interviews were carried out. Annex 2 lists respondents interviewed remotely.

5. Email communications

- 18 Potential respondents who the consultant communicated with were not always available for phone or Skype interviews. In some cases these proposed to respond by email to the questions I had sent. Of the potential respondents who were contacted who could not be interviewed remotely or did not feel it would be useful, written responses were received from 7 (Annex 2).

6. Site visits

- 19 I made two trips during the course of the MTR in order to facilitate face-to-face discussion with key informants and to observe directly the work of the project team and other participating parties (see Annex 2 for details).
- 20 I visited Socotra, Yemen, between the 3rd and 10th of April 2019. During this week a schedule of site visits was prepared by the Project Coordinator and facilitated by the project team. Details of the programme are provided in Annex 2. Locations of project interventions and activities visited included D'Hamil, Habibo, Homhil, Qalancia and Roosh. I also spent the 23rd and 24th April 2019 in the offices of the Senckenberg Society for Nature Research (SGN), Frankfurt, Germany.

7. Group meetings

- 21 Group meetings with communities were held on Socotra at Roosh and Homhil as well as in Qalancia. Group meetings were also held in the Governor's Office, Hadibo, and with a local NGO, A women's association, and the Socotra Cultural Heritage project team. A group meeting was also held with the Data Portal development team at the Senckenberg offices.

C. Gender considerations

- 22 The patriarchal nature of Socotran culture and society further emphasised by the almost universal adherence to a relatively strict form of Islam created barriers to easy communication with women, especially younger women. This was a significant limitation to my ability to interview women freely, face-to-face and without the presence of a third party. It also limited the participation of women at group meetings in villages and offices and made the informal discussions enjoyed with male members of the project team largely impossible with female team members. These barriers can be partially

overcome with sufficient time to establish familiarity between men and women, but this was not possible for me during my time on Socotra, especially as I needed to be sensitive to the potentially damaging perception of over-familiarity.

- 23 The project employs two women as part of the Socotra based implementation team, a reflection of the patriarchal society in which the project operates. Both were present at different community events and demonstrations. One was interviewed in the presence of a third party, the other made presentations as part of formal engagements that I attended.

D. Ethics and human rights issues

E. I did not encounter obvious ethical concerns or human rights issues in carrying out the MTR. Constraints on the review process

- 24 As with all forms of research, the availability of time and resources are primary constraints on what can be attempted in terms of gathering and processing information. In this case the MTR team comprised a single external consultant, with no additional team members being recruited by UN Environment or provided by the Government of Yemen (GoY). Though a large team of EPA officials were present on Socotra during the MTR and took part in many of the meetings and field visits organised by the Project Team, they operated independently from the MTR and have not provided analysis or information in this report.
- 25 That only a single member of the MTR team was provided for must be put down to budgetary limitations. The Project Budget allocated USD 70,000 for both the MTR and the Terminal Review. This sum would not have reasonably allowed for more than one consultant to be recruited for the MTR as funds to cover the additional cost of travel and allowances would not have permitted this while leaving sufficient resources for the Terminal Evaluation.
- 26 A combination of time also limited my time on Socotra to 7 days. My time on Socotra was also limited by other factors. Firstly, access to Socotra is by a single flight per week, meaning that I would have had to be on the island for either one week or two weeks. Secondly, the execution of the MTR has led to the scheduled Steering Committee Meeting being delayed in order for the report to provide guidance for what are considered critical discussions and decisions by the Committee. Further, the anticipated mission during May of the IUCN and World Heritage Commission team to review the current status of the Socotra World Heritage Site required the timely completion of the MTR process. Given the scope of the project, the number of active project sites, and the logistics of travelling around the island, a longer time on the island would have been preferable.
- 27 The prevailing tensions between parties to the project, most especially the Environment Protection Agency (EPA) Aden Office, and the Office of the Governor of Socotra and the project execution team and the Socotra office of the EPA, led to some complications during the MTR and required a closer engagement in some aspects of the MTR than might normally be expected. A series of one-to-one meetings with GoY officials carried out in a highly formal setting and atmosphere with an externally identified translator to prevent any possible bias was required.

III. The Project

A. Context

- 28 The ProDoc provides a detailed description of the root cause and threats to Socotra's biodiversity, ecosystems and the services they provide, as well as of the barriers to overcoming these that the project was designed to respond to.
- 29 Poverty and strongly limited options for livelihoods other than the direct consumption of natural resources, for subsistence and trade, has led to the unsustainable use of both marine and terrestrial resources. This has been aggravated in recent years by growing external demand for marine resources. The threat to terrestrial ecosystems resulting from overgrazing, primarily by goats, combines with the threat posed by invasive alien species, especially plant species, to create a real and present threat of to the unique biodiversity of Socotra and to the reduction or loss of farming-based incomes. Threats to marine and terrestrial production and diversity are compounded by poorly planned infrastructure development on the island, insufficiently regulated capture fisheries, inadequate implementation of environmental protection policies and legislation, and insufficient investment in the responsible GoY agencies and institutions, in particular the Environment Protection Authority (EPA).
- 30 These linked threats combine to generate the problem the project was developed to respond to – the future loss under a Business as Usual scenario of the unique ecosystems, biodiversity and natural resources for which the Socotra archipelago was designated a World Heritage Site. The consequences of this loss are described; the failure of traditional nature-based land management identified as leading to the collapse of resource-based livelihoods and economic activity; the implications of reductions in and potential collapse of ecosystem services outlined; and the loss of Socotra's globally important biodiversity and cultural heritage presaged.
- 31 In the years since the project was developed, this already concerning analysis of the threats to Socotra's unique values has been compounded by the impacts of the political unrest that has escalated to a civil war on the mainland.. Though Socotra remains entirely peaceful, the security situation on the mainland has nonetheless had significant impacts on the island and on the project. Centralized and local government functions have been weakened consequent on new government priorities, institutional distraction and reduced financing, all resulting in evident difficulties for GoY institutions on Socotra to implement their mandates and engage with the project. Furthermore, and given the weaknesses of government institutions of equal concern for the achievement of project objectives, has been the growth in economic activity on the island. Though GoY and its people on Socotra have and continue to receive much needed development and economic assistance from the international and regional community, some of this assistance has inevitably created environmental costs, with implications for the project's ability to achieve its objectives. These include threats created by the increasing speed with which Socotra has opened up to the wider world, resulting in significant changes in community relations to land tenure, ownership and use, increased threat of the introduction of invasive exotic species due to raised levels of imports to the island, and increased

immigration from the mainland by people escaping the civil unrest and attracted by job opportunities created by international investments on Socotra that raises the level of pressure on environmental resources.

- 32 The impacts of these rapid economic and social changes have been compounded by the impacts of three cyclones to strike the island since 2015. These created significant levels of damage to social infrastructure and notwithstanding GoY and regional government efforts to respond have had inevitable impacts on the local economy as well as causing serious destruction of forest, including critical stands of the totemic and endemic dragons blood and frankincense trees, as well as damaging coral reefs.

B. Objectives and components of the project

- 33 To address the causes of threats to Socotra's biodiversity and the undermining of the potential for sustainable development, the project was designed to deliver a balance of technical support and capacity development to achieve its high order objective, restated as follows:

To strengthen governmental and non-governmental capacities to sustainably manage and protect the values the Socotra Archipelago

- 34 To achieve this objective the project was structured around four Components: 1) Biodiversity Conservation and Protected Area Management; 2) Invasive Alien Species Management; 3) Sustainable Land Management/Land Degradation; and 4) Enabling Environment. The ProDoc recognises that these four components are intimately intertwined and that integrated execution of activities under them would be vital to achieving the nine outcomes described in the ProDoc.

- 35 **Component 1 - Biodiversity Conservation and Protected Area Management (BD/PAM).** Managing and expanding the archipelago's network of protected areas is considered critical to conserving Socotra's biodiversity. This component focuses on achieving two outcomes: development of a BD-PAM strategy including an updated conservation data baseline and a revised Conservation Zoning Plan; and improving the management and expansion of the PA network.

- 36 **Component 2 - Invasive Alien Species (IAS) Management.** Invasive Alien Species (IAS) are recognised as a major threat to Socotra's biodiversity and the productivity of its ecosystems and natural resources. The project aims to prevent the introduction of IAS and control any arrivals by generating awareness, developing and strengthening institutional capacity, enhancing the policy and regulatory environment, and implementing management strategies. Two outcomes are envisaged: development of a community-based management strategy to control IAS; and operationalizing the strategy to reduce threats posed by IAS.

- 37 **Component 3 - Sustainable Land Management/Land Degradation (SLM/LD).** Sustainable land management is essential to achieving conservation and sustainable development on Socotra. All stakeholders agreed that Socotra suffers from worsening land degradation. With the majority of households dependent on the land for their livelihoods,

degradation is undermining the resource base on which the island's economy and most families is based. The project pursues two mutually supportive outcomes: a community-based strategy for SLM underpinned by a data baseline; and operationalizing the strategy to reduce land degradation.

- 38 **Component 4 – Enabling Environment.** This component aims at strengthening the institutions, human resources and financing for managing Socotra's biodiversity and natural resources in order to achieve sustainability of outcomes by project end. This entails the empowerment of local government and communities through three linked outcomes: strengthened institutional, organisational and individual capacities; raised levels of relevant information and knowledge; and a suite of financing mechanisms to sustain implementation of an Integrated Conservation Management Framework (ICMF) for the Socotra WHS.
- 39 The complex operational environment and the demand to deliver a sustainable legacy of local capacity led to the establishment of an international technical and management team supporting implementation, and a national team (largely a Socotran team) delivering activities on the ground.

C. Stakeholders

- 40 Stakeholders in the project can be divided into: groups directly involved in its execution; institutions with interests in or responsibility for the project; and beneficiaries of its several outcomes.
- 41 Key stakeholders involved in project execution include: the Senckenberg Society for Nature Research (SGN), the Environment Protection Authority (EPA), Socotra Office, and the Environment Protection Authority (EPA), Aden Office - all indicated as co-executors of the project; the Commonwealth Agricultural Bureaux International (CABI), Mendel University (MU), the Centre of Middle Eastern Plants (CMEP) of the Royal Botanic Garden Edinburgh (RBGE), La Sapienza University (LSU), and the Institute of Evolutionary Biology (IEB) – implementing a range of project activities; community groups and associations including PA co-management committees.
- 42 Key stakeholders with an interest in or responsibility for the project include GoY institutions, international bodies and civil society organisations, including: the Ministry of Water and Environment (MWE) of the Government of Yemen (GoY); UN Environment, the UN Environment West Asia Office, and the Global Environment Facility (GEF) Secretariat; the Governor and Deputy Governor for Environment and Development of Socotra; offices of GoY ministries and agencies on Socotra including Agriculture, Education, Fisheries, Tourism, and the Port and Airport Authorities; the Socotra Wildlife Society and Friends of Socotra Society
- 43 Beneficiaries are considered as direct and indirect. Direct beneficiaries include: members of Farmer Field School groups, cooperatives and other groups, especially women's associations involved in vegetable and handicraft production and marketing supported by the project, and communities living in and around protected areas; and GoY bodies supported by the project. Indirect beneficiaries include the global community concerned with the conservation of biodiversity; the people of Socotra as an ethnic group with a

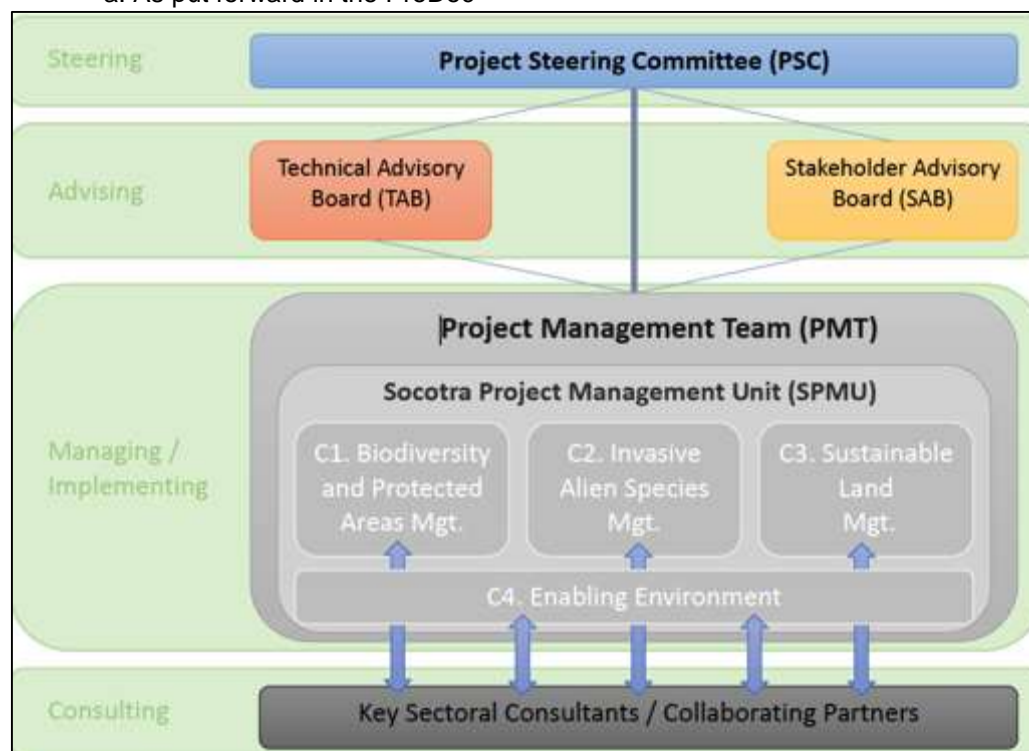
distinct language, culture and values; and investors in Socotra, especially in nature-based tourism enterprises.

D. Project implementation structure and partners

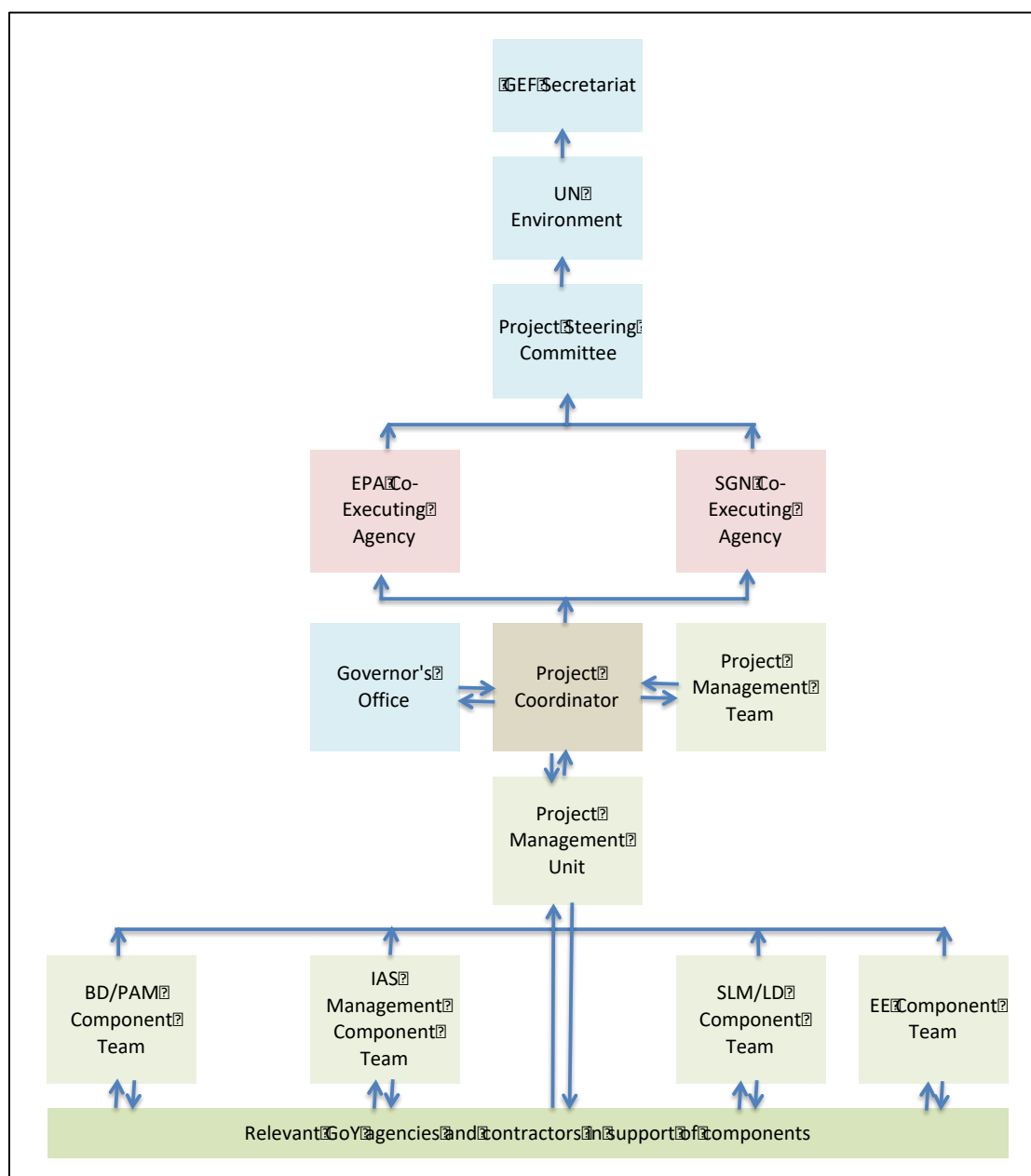
- 44 UN Environment, represented by the Ecosystems Division (formerly Division of Environmental Policy Implementation), is the GEF Implementing Agency (IA) and provides general oversight and liaison functions and ensures compliance with GEF and UN Environment policies and criteria. Two co-executing agencies are jointly responsible for undertaking project activities. According to the ProDoc, EPA is responsible for overseeing execution of agreed work plans and budgets and supports in-country operations. Senckenberg assists EPA Socotra with the coordinated execution of project activities. Senckenberg is under contract to UN Environment with overall responsibility for delivery of the project, coordination of activities, communications between stakeholders, technical, financial and administrative backstopping for day-to-day implementation, and management of sub-contractors.
- 45 The ProDoc outlines the anticipated execution structure of the project (Figure 1a.) Not all elements of this structure were actually established, notably the planned technical and stakeholder advisory boards, the formation of which were postponed at the request of the Socotra Governor's Office while the position of EPA Chair was vacant. Figure 1b. represents the operational structure of the project as I understood it, based on my discussions and observation. The two organograms are not fundamentally different suggesting that what was expected in terms of the execution structure was largely put in place. Both represent, however, representations of the way the project was designed to work rather than representations of how it is actually working. This is of fundamental concern to all parties, in particular that no working structure exists for the actual co-execution of the project by Senckenberg and EPA.
- 46 Membership of the Project Steering Committee is also indicated in the ProDoc. Difficulties in project execution has, however, led the UN Environment Task Manager to proposed a revised implementation matrix that specifies more clearly the roles and responsibilities of key institutional partners as well as the composition and functions of the Steering Committee. The project is expected to operate with oversight from the Project Steering Committee that is formed of representatives of the GoY through the EPA, UN Environment represented by the Task Manager, the office of the Governor of Socotra, and Socotra communities and civil society. The project team is expected to provide the Secretariat for the Steering Committee and though not a member, has a critical role in ensuring the Committee can play its role.
- 47 The Project Management Team (PMT), guided by the Project Coordinator (PC), operates from SGN headquarters to provide technical and administrative support to the project. The PC is responsible for financial administration, reporting and M&E. The on-site Project Management Unit (PMU), composed primarily of local staff and headed by the Onsite Project Manager, is responsible for day-to-day implementation of activities on the ground, in collaboration with the relevant authorities and local stakeholders.

Figure 1. Project implementation structure

a. As put forward in the ProDoc



b. As perceived by MTR consultant



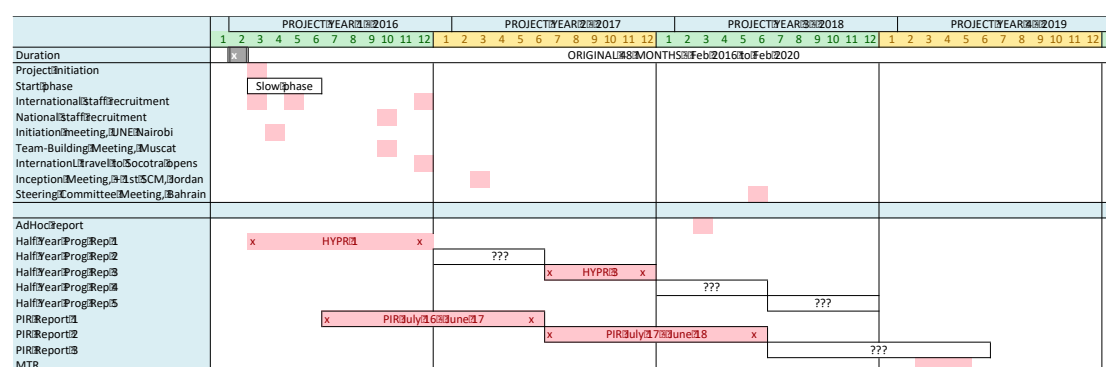
E. Changes to design during implementation

48 Concerns over the deteriorating security situation in Yemen during 2015 led to delays in initiating the project. GEF signed off on the project in February 2015 but SGN and UN Environment did not sign the implementation contract until November 2015 and project initiation did not begin until February 2016, formally, and March in practice. The first three or four months following initiation saw a slowly phased uptake of preliminary activities. This slow inception phase was designed to respond to the difficulties of operating in Yemen and delivering activities on Socotra during this period. International and national project teams were recruited during 2016 and first met as a team in Muscat in October 2016. The official Inception Meeting for the project and the first meeting of the Project Steering Committee did not occur until March 2017, a year after project initiation and two years after sign-off by GEF. This meeting was held in Jordan due to constraints on getting all parties on the

ground in Socotra. What was effectively the second meeting of the Project Steering Committee was held in Bahrain in June 2018¹. Figure 2 provides more details of the project's inception and operation timeline.

- 49 The delayed inception has set back the project time frame by approximately one year. To date there has been no formal revision of the ProDoc to deal with the reality of delays in implementation. It has been agreed in principle, however, that a no-cost extension will be needed in order for the project to have sufficient time to complete the work plan or, as is probably more likely, a revised work plan with more feasible activities for the remaining project period. Preparation of a no-cost extension request will provide an opportunity for appropriate revisions to be made to the project's work plan and if required, to its priority activities.
- 50 To date, notwithstanding a considerable investment of time, energy and resources in an on going process to develop a Green Climate Fund proposal and other initiatives that it is hoped will yield results, no additional sources of funding have been brought into the project. The management team describes, however, the securing of data sets for the Socotra Portal from historical projects being used to prepare a range of analytical products that will be valuable for the GoY and decision making on Socotra as significant added value brought into the project worth some hundreds of thousand of US dollars.

Figure 2. Project implementation time line to date



F. Project financing

- 51 As can be seen from Table 1, percentage expenditure of the key budgets is broadly in line with what might, be expected by the mid point of the project, though expenditure at just 26% on contractual services might be a matter of some concern. Considered against the actual situation at the point of review, however, in which less than one year remains for implementation, the project

¹ It is hard to describe either of these meetings as being meetings of the Steering Committee as such. Neither were meetings of formally selected members meeting with an agreed agenda circulated in advance, and neither were responding to a clear or even draft TOR outlining the expectations of the Committee with respect to the project.

is well behind where it should be in terms of project spend. The expectation of a one-year no-cost extension, already referred to above, is based on this fact.

- 52 Table 2 shows the level of delivery of in-kind co-financing against expectation. These are in broad alignment with what would be expected at a mid term point in execution. The basis of these figures, however, is not clear.

Table 1. Expenditure by Outcome/Output (for both GEF and non-GEF projects)

UMOJA Budget line <i>All figures in USD</i>	Estimated cost at design	Actual Cost/ expenditure As of 31/12/2018	Expenditure ratio (actual/planned) As of 31/03/2019
1161 - Staff and other personnel costs	1,861,500	782,504	42%
1561 – Travel	805,000	309,095	38%
2161 – Contractual Services	1,613,066	419,326	26%
4161 - Supplies, Commodities, Materials	50,000	7,819	16%
4261 - Equipment, Vehicles and Furniture	140,000	118,710	85%
5161 - General operating & other direct costs	315,000	68,991	22%
5581 – External Evaluations	70,000	0	0%
Total sum	4,854,566	1,706,444	

Table 2: Co-financing Table (GEF projects only)

Co financing	UN Environment own Financing (US\$1,000)		Government (US\$1,000)		Other* (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
Grants									
Loans									
Credits									
Equity investments									
In-kind support	300	150	5,500	2,430	9,243	3,837	15,043	6,417	
Other (*)									
Totals	300	150	5,500	2,430	9,243	3,837	15,043	6,417	0

* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

IV. Theory of Change

- 53 The project document did not provide a clear expression of a hierarchy of results structured through a clear logical project narrative. Expressing the project structure through components, which described outputs linked to

outcomes under each component, are actually sets of activities. This structure does not require or perhaps even allow for a strong relationship to be articulated between higher and lower order objectives, the one combining to achieve the other, and the activities required to deliver them. The lack of constraints on the inclusion of activities was compounded by the requirement to integrate funding from different sources within GEF, each with associated requirements and limitations. The result is a problematic project design with significant weaknesses in structure, complementarity of activities, geographic scope and targeting..

- 54 Opportunities existed following sign-off by GEF to review the suite of components and their activities to create a more compelling logical narrative. This might have been particularly useful, as at that time, the operational environment had deteriorated dramatically and it would have been a useful exercise to reconsider some of the elements of the project in this context.
- 55 The logical framework at design put forward here has been derived from the ProDoc and other relevant documents in which modifications are put forward that may allow for a more coherent expression of project intentions that are better able to guide discussion about any desired changes to the project's activities to better achieve its objectives.
- 56 Table 3 presents a side-by-side comparison between the ProDoc components and outcomes and outputs subsumed under them, and an objective hierarchy and the activities necessary to deliver them that I have constructed at the point of review. These are not fundamentally different but the description of objectives, expressed as 'future desired states' helps articulate a logical flow of inputs (activities) delivering outputs that achieve outcomes (results), which together are necessary and sufficient to achieve the project's higher objective (purpose). Figure 3 shows the elements of this rephrasing of the logic in the form of the top order of a logical framework that expresses the project's narrative.

Table 3. Comparative results hierarchy from TOC at Design and TOC at Review

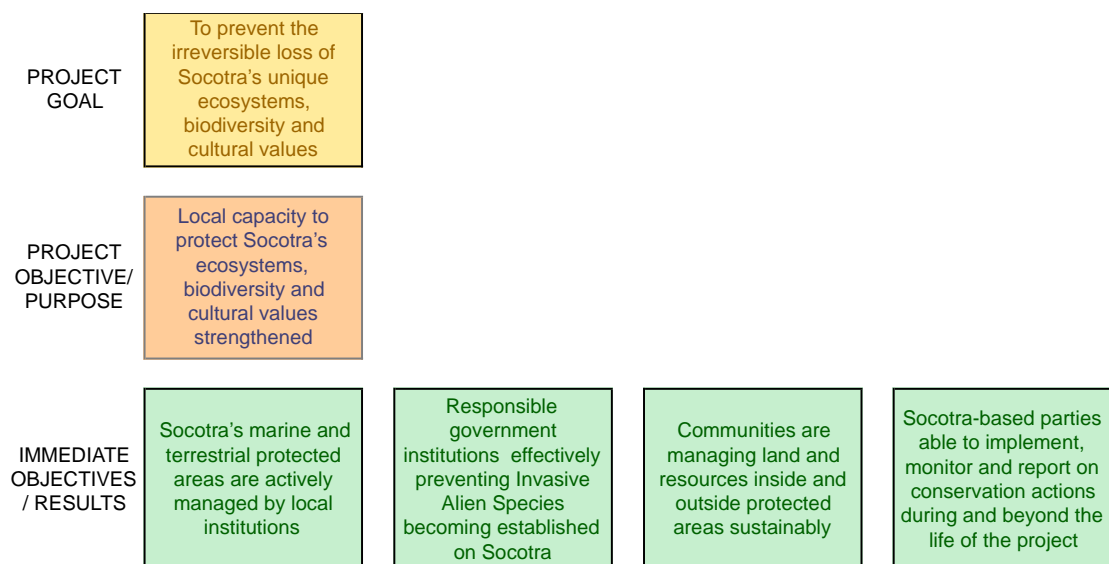
TOC at Design: Results hierarchy derived from ProDoc and other sources	TOC at Review: Prepared by MTR consultant
Objective (in PIF reports): To prevent the irreversible loss of the unique ecosystems, biodiversity and natural resources of the Socotra WHS	Project goal: To prevent the irreversible loss of Socotra's unique ecosystems, biodiversity and cultural values (<i>aspirational objective the project expects to contribute towards</i>)
Objective (in ProDoc): To strengthen governmental and non-governmental capacities sustainably to manage and protect the Socotra Archipelago WHS through biodiversity conservation, invasive alien species management and sustainable land management	Project Objective/Purpose: Local capacity to protect Socotra's ecosystems, biodiversity and cultural values strengthened (<i>high-order objective the project commits to achieving within time frame and budget</i>)

<p>Components</p> <ol style="list-style-type: none"> 1. Biodiversity Conservation and Protected Area Management 2. Invasive Alien Species Management 3. Sustainable Land Management/Land Degradation 4. Enabling Environment 	<p>Immediate Objectives</p> <ol style="list-style-type: none"> 1. Socotra's marine and terrestrial protected areas are actively managed by local institutions 2. Responsible government institutions are effectively preventing Invasive Alien Species from becoming established on Socotra 3. Communities are managing land and resources inside and outside protected areas sustainably 4. Socotra-based parties able to implement, monitor and report on conservation actions during and beyond the life of the project <p><i>(lower-level objectives/results that are necessary and sufficient to deliver the project objective/purpose)</i></p>
<p>Outcomes and outputs</p> <p>1. Biodiversity Conservation and Protected Area Management</p> <p>Outcome 1.1 A BD-PAM strategy is developed, incl. an updated conservation data baseline and a revised Conservation Zoning Plan</p> <ul style="list-style-type: none"> Output - The existing PAs and their management are evaluated. Output - Baseline studies and analyses on BD and PA conducted Output - Revision of the Conservation Zoning Plan (CZP). <p>Outcome 1.2: The BD-PAM strategy is operational, incl. improved management and expansion of the PA network, and coordinated with the integrated conservation management framework</p> <ul style="list-style-type: none"> Output - Management plans of existing and new PAs reviewed/developed and implemented Output - Special management plans aimed at targeted terrestrial and marine species conservation and resource management developed and implemented <p>2. Invasive Alien Species Management</p> <p>Outcome 2.1. A community-based management strategy to control IAS in the Socotra WHS is devised, including an updated IAS inventory.</p> <ul style="list-style-type: none"> Output - All existing invasive and 	<p>Activities</p> <p>Immediate Objective 1. Socotra's marine and terrestrial protected areas are actively managed by local institutions</p> <ul style="list-style-type: none"> Review the Socotra Conservation Zoning Plan Develop strategy for community-based protected area management Participatory process to review current PA management and develop plans for future management Develop capacity for protected area management and oversight <p>Immediate Objective 2. Responsible government institutions are effectively preventing Invasive Alien Species from becoming established on Socotra</p> <ul style="list-style-type: none"> Existing invasive and potentially invasive species are identified

<p>potentially invasive species are identified, including their direct or potential impacts on PA and BD management and ecosystem services</p> <p>Output - A community-based IAS management strategy is developed, incorporating guidelines for policy, legal and institutional frameworks</p> <p>Outcome 2.2. The IAS management strategy is operational and coordinated with the integrated conservation management framework.</p> <p>Output - Pathways for IAS are identified and measures for priority prevention and control are developed and implemented</p>	<p>Current and potential impacts of IAS on PAs and ecosystem services are assessed</p> <p>Entry pathways for IAS are identified and relative risk assessed</p> <p>Measures to prevent entry and control IAS present are developed and implemented</p> <p>Guidelines for policy, legal and institutional frameworks for IAS management are prepared and promulgated</p> <p>A community-based strategy to control IAS is devised, including an updated IAS inventory.</p>
<p>3. Sustainable Land Management/Land Degradation</p> <p>Outcome 3.1: A community-based strategy for SLM in the Socotra WHS is devised, underpinned by an SLM data baseline;</p> <p>Output - Land degradation status and threats of current land management are identified and mapped, including existing or projected impacts on biodiversity and ecosystem services.</p> <p>Output - A community-based SLM strategy developed, incorporating guidelines for policy, legal and institutional frameworks.</p> <p>Outcome 3.2: The SLM management strategy is operational and coordinated with the integrated conservation management framework.</p> <p>Output - Priority sustainable land management measures developed and implemented</p>	<p>Immediate Objective 3. Communities are managing land and resources inside and outside protected areas sustainably</p> <p>A community-based strategy for SLM designed</p> <p>Guidelines for policy, legal and institutional frameworks prepared</p> <p>Land degradation status and threats identified and mapped</p> <p>Land degradation baseline established and priority sites for interventions selected</p> <p>Priority sustainable land management measures developed and supported</p> <p>Field schools for community-based resource management are established</p>
<p>Component 4 – Enabling Environment</p> <p>Outcome 4.1: Institutional, organisational and individual capacities are strengthened to better manage the environment on Socotra;</p> <p>Output - A strategic capacity development plan (CDP) for environmental management is prepared.</p> <p>Output - An ecosystem services framework informs management and sustainable financing schemes.</p> <p>Output - Recommendations for an integrated conservation management framework (ICMF) for the Socotra WHS</p>	<p>Immediate Objective 4. Socotra-based parties able to implement, monitor and report on conservation actions during and beyond the life of the project</p> <p>A strategic capacity development plan prepared.</p> <p>Institutional, organisational and individual capacities supported through training, employment, internships, etc.</p> <p>An integrated conservation management framework (ICMF) developed</p> <p>ICMF used to inform capacity building, PA</p>

<p>are developed (closely linked to the BD-PAM, IAS and SLM strategies and the capacity development plan).</p> <p>Output - Capacity development measures implemented for key administrative partners.</p> <p>Output - Special programmes for long-term enhancement of policing and academic capacities planned and launched.</p> <p>Output - Field schools for community-based environmental management are established and operational</p> <p>Outcome 4.2: Information and knowledge supports environmental management;</p> <p>Output - An information management strategy is developed.</p> <p>Output - A communication and awareness strategy is developed.</p> <p>Output - Results-based project management and M&E is established.</p> <p>Outcome 4.3: A suite of financing mechanisms sustains the implementation of the Integrated Conservation Management Framework (ICMF) of the Socotra WHS in the long-term.</p> <p>Output - A comprehensive Socotra WHS sustainable finance plan is developed.</p> <p>Output - A Socotra Trust Fund is established.</p> <p>Output - At least two local income generating mechanisms are developed</p>	<p>and ecosystem management requirements and priorities</p> <p>Sustainable financing needs assessed, schemes developed and partners identified</p> <p>Long-term enhancement of protection and research capacities programmes designed and partners identified</p> <p>An information repository and management facility for Socotra biodiversity, natural and cultural values developed</p> <p>Communications and awareness strategy developed and priority materials prepared and disseminated</p> <p>Results-based project management and M&E system established</p> <p>A financing mechanism or mechanisms to implement the Integrated Conservation Management Framework (ICMF) is developed and partners identified</p>
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Figure 3. Re-articulation of the project narrative at review



57 Numerous factors and engaged parties affect the status of the biodiversity and ecosystems of Socotra, and many institutions are involved in efforts to improve their status. The project can only hope to contribute to the aim of improving conservation on Socotra with its US\$ 4.8 million budget and its 4-year time frame. Clarifying what the project will actually deliver that will make a contribution to conservation on Socotra is a necessary exercise². The ProDoc focuses on capacity building at its ultimate objective or purpose, and the logical narrative at the point of review takes the same line.

58 The four components of the ProDoc are used as the basis for the immediate objectives proposed above. Together these can deliver on the intention to improve the capacity of government and non-government parties to conserve biodiversity and ecosystems. The degree to which current project activities fit easily within this logic is open to question.

59 The ProDoc describes numerous outputs that are designed to deliver several outcomes that will achieve lasting impacts on conservation, many directly related to government and community capacity. In the logical framework at review, these are streamlined to a series of activities that focus more closely on the four immediate objectives that describe the improved status of community and government capacity and engagement that is desired and expected at the end of the project.

² It is interesting to note that although the project title, “**Support to the Integrated Programme for the Conservation and Sustainable Development of the Socotra Archipelago**” suggests development is a key concern of the project, the four components and their nested activities, outputs and outcomes make little overt reference to it beyond insisting that all interventions are linked through an Integrated Conservation Management Framework which governs all project interventions.

V. Review findings

- 60 Overall, the project is scored Moderately Satisfactory.
- 61 No doubt many of the partners and parties will be disappointed with this assessment or concerned by it. Details of the individual scores awarded provide the fine grain of the review and how the overall rating was reached (Appendix 2 and 3).
- 62 This section of the review provides the primary analysis and assessment of the project from which conclusions can be drawn and recommendation made. Analysis of the several criteria that form the basis of UN Environment's mid term reviews will form the main element of this section and generate the formal scoring of the project's performance against these criteria. These scores provide the basis for the overall result of the review.
- 63 In addition to the detailed assessment of project performance against the established criteria, and the generation of scores of performance against them, seven specific questions will be examined. These have been designed to respond directly to the particular situation and circumstance of the project in relation to concerns over its delivery. Three are drawn from the MTR Terms of Reference directing the consultant, and were generated by the UN Environment Task Manager:
- (a) What evidence is available that the project's activities regarding improved biodiversity conservation and protected area management are enhancing (or are likely to enhance) the prevention of species extinctions? To what extent are biodiversity benefits being demonstrated in Socotra Island?
 - (b) What evidence is present to suggest that the project's interventions in community based invasive alien species management and sustainable land management are likely to minimize the impact of IAS and land degradation on sustainable management and protection of the Socotra Archipelago?
 - (c) What evidence is available that the project activities are helping the central and local government to better manage the environment on Socotra?
- 64 In addition, I developed four questions during my preliminary investigation of project documents and other materials as well as discussions with the Task Manager during the inception process. These were included in the Inception Report.
- (d) What can be feasibly undertaken in the time remaining for project implementation given the significant changes and likely future changes in the operational environment, and what should be priorities for the Project Team?
 - (e) How has the operational limitations and complexities imposed by the political and security situation in Yemen and its impacts on local institutions been responded to by the project team?
 - (f) How has the project team responded to the implications for the sustainability of project impacts of the current political situation on Socotra?
 - (g) How has the role of local communities in activities related to protected areas, sustainable land management and invasive species been understood and their meaningful participation assured? How has the

unique relationship between the people of Socotra and the natural values of Socotra been engaged to support project outcomes?

- 65 My assessment of the criteria will include reference to these questions and the review attempts to provide clear answers to them as well as providing scores for the formal review criteria.

A. Strategic Relevance

- 66 Strategic Relevance of the project is scored Highly Satisfactory.
- 67 Strategic relevance needs to be assessed from the perspectives of the key stakeholders of the project. For the purposes of this sub-section these are considered to be strategic relevance to: GEF, the source of funding; UN Environment, the implementing agency; the GoY, the primary recipient of project support; and the people of Socotra, the ultimate beneficiary and 'owner' or 'holder' of the resources and values that are the subject of the project.
- 68 The project is closely relevant to GEF's mission to deliver specific Global Environmental Benefits (GEB) including: improved management effectiveness of existing and new protected areas; increased revenue for protected area systems to meet total expenditures required for management, and; improved management frameworks to prevent, control and manage Invasive Alien Species. In addition the project is relevant to GEF targets to reduce land degradation; increases levels of local community adoption of integrated landscape management practices; and mitigate levels and impacts of climate change by promoting conservation and enhancement of carbon stocks through sustainable use of land use, land use change and forestry.
- 69 Project documentation highlights two closely linked objectives, the first being to prevent the irreversible loss of the unique ecosystems, biodiversity and natural resources of Socotra, the second being to strengthen governmental and non-governmental capacities to sustainably achieve this. Both are directly relevant to the UN Environment's Medium Term Strategy 2018 – 2021 and the 2018-2019 Programme of Work, despite having been developed in 2015.
- 70 The project's over arching design framework is implicit in the Integrated Conservation Management Framework which links and governs all project interventions. This is especially relevant to UN Environment's intention to "... promote environmental sustainability while contributing to a balanced integration of the economic, social and environmental dimensions of sustainable development". Project interventions are designed where possible to provide parallel positive impacts on both biodiversity and the environment and the well being of the Socotran people, though the latter impacts are largely understood as being delivered by achieving the former.
- 71 The project is relevant to UN Environment's Medium Term Strategy for the period 2018–2021 that puts people at the centre of sustainable development, promotes human well being, and meets the needs of present and future generations without exceeding the planet's regenerative capacity. The project also responds to UN Environment's determination to put science at the centre of addressing the issue of sustainability in the twenty-first century.

- 72 The project is consistent with the objectives and expected outcomes of the UN Environment Programme of Work 2014-2015, specifically the Ecosystem Management Sub-programme, Expected Accomplishment (EA) (a): Use of ecosystem management approaches in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased; Output 312 - Tools, technical support and partnerships to improve food security and sustainable productivity in agricultural landscapes through the integration of the landscape approach; and the UN Environment Marine and Coastal Strategy, particularly the Ecosystems for Humanity Strategy.
- 73 The project is relevant to the broad range of GoY policy and legislation related to the environment and the management of natural resources. The specific policies and legislations referenced in the ProDoc are given in Appendix 1. The objectives of the project relate closely to policy and legislation established to achieve biodiversity conservation, the sustainable management of resources, especially marine resources, and the implementation of the Socotra Conservation Zoning Plan which was embodied in law in 2000.
- 74 The project is supportive of government commitments under the Convention for Biodiversity and the World Heritage Convention and relevant to local government policies and legislation for the economic development of Socotra based on the sustainable use of its natural resources and unique values, especially through the development of the twin pillars of nature-based tourism and commercial on-shore fisheries. In this context the project is directly relevant to national development interests as well as community interests in economic development based on sound environmental principles.
- 75 The ProDoc references the need to respond to the impacts of climate change on the biodiversity, ecosystems and communities of Socotra and specifies support for the delivery of GEF Global Environmental Benefits including reducing farming systems and forest ecosystems vulnerability to climate change, and reducing green house gas emissions resulting from land degradation. As such the project supports the achievement of Yemen's Nationally Determined Contributions to mitigating climate change under the Paris Agreement, though no reference is made to Yemen's Nationally Appropriate Mitigation Action (NAMA) Plan.

B. Quality of Project Design

- 76 **Quality of project design is scored Moderately Satisfactory.**
- 77 Strengths of the project design and the process of its development can be found in the solid preparation process, in good part attributable to the personal commitment of the individuals responsible for developing the project; the high strategic relevance of the project (see Section A above); the detailing of expected project outcomes and the establishment of robust indicators for assessing project results in the ProDoc's Results Framework; the basic efficiencies built into the project design in relation to building on previous investments and providing value for money; and the attention paid to risk analysis and social safeguarding.
- 78 Areas of project design that were found to be relatively weak include the analysis of intended results and causality, in large part due to the absence of

processes to develop either a theory of change or a logical framework for the project; the low attention seemingly paid to sustainability of impacts and a credible exit strategy; and the lack of a sufficient response to design concerns raised during the development process.

- 79 Areas of strength in the design of the project include elements related to preparation and readiness for implementation. Despite this the difficulties of the external context (see Section C) were such that there were delays between the securing of funding and inception and in the inception process. These delays provided an opportunity to review and revise the project to respond to the worsening external context, in order to simplify the design, for example, or strengthen elements related to practical delivery on the ground, but concerns were expressed by the project team during the MTR that such steps might have led to the withdrawal of funding by the donor or withdrawal of support from implementing and executing parties.
- 80 A detailed reading of the ProDoc suggests to me that there was a tendency to believe that the inclusion of great detail, high levels of analysis, and complexity in the design would overcome basic weaknesses in the process, the logic, and the linkages between activities and impacts that typify the product. This criticism is levelled as much at UN Environment as the implementer of the project and at GEF, the project funder and their processes, as it is levelled at those that conceived the idea of the project. The demands and requirements of donors in particular can seem to push project development in a direction where form trumps content, and results in products that 'look good on paper' but are flawed in concept and likely to be problematic in practice. For example, the detailed articulation of a monitoring and evaluation framework is not resolved into a clearly defined step of processes and procedures designed to support adaptive management of the project.

C. Nature of external context

- 81 **Nature of External Context is scored Highly Unfavourable.**
- 82 The project has had to contend with almost impossible difficulties, the majority of which could not have been predicted at the time the project was designed.
- 83 A simple list of the issues that had to be contended with fails to capture the logistical, communications and travel difficulties the execution team faced and continues to face. Consultants and team members have had difficulty getting on and off the island, and partners have found it difficult on occasion to get off. Delays, complications and costs have been attached to importing equipment and materials. Further, the extremely volatile political environment resulting from the civil and security disturbances on the mainland has had significant impacts on the GoY officers holding key positions related to the project. There have been frequent and unpredictable changes in personnel with inevitable affects on incumbents' daily concerns, limitations and aspirations towards their roles and responsibilities generally and towards the project in particular. The team has had to work with different Governors, each change requiring the building of new relations and re-sharing of information and briefings. There was no EPA Chairman in office during the initial 15 months of project implementation resulting in a difficult imbalance in the building of this critical partnership in comparison with other relationships that

had already formed. The significance of these factors for project execution needs to be recognised, both in this report and in any revisions in project design and implementation in the remainder of the project

- 84 The civil war on the mainland has had impacts on Socotra that have made project delivery even harder. The political situation on the mainland has inevitably resulted in political and administrative uncertainty on the island, affecting institutional and individual relationships, dividing loyalties and creating tensions that are impossible for the project to avoid becoming embroiled in. Furthermore, the activities of new institutions operating on the island seem to have increased the rate of social and economic change dramatically, with profound consequences for conservation and development on the island and therefore the achievement of project outcomes.
- 85 Community members in Homhil, for example, described the lack of young people to support sustainable livestock management, as they have been absorbed into the expanding construction industry on the island and other opportunities for paid work. Respondents referred to the growth in opportunities to sell fish to international buyers as responsible in part at least for declining fish stocks and difficulties for communities to manage their Marine Protected Areas, notwithstanding some reported falls in the number of fishermen able to secure alternative employment. The project team described difficulties in building and maintaining the relationships with tribal communities necessary for sustained project interventions due to growing conflicts between tribes. They attributed these conflicts to tensions over land ownership, as land is increasingly understood in the context of its potential to attract development investments³.
- 86 The complications for the delivery of the project's objectives as a result of the impacts of the civil war on Socotra cannot be ignored. It is not part of my brief to comment on the causes of these impacts, which are complex, and politically sensitive internationally, but it is necessary that I point out their consequences for execution of the project and the activities of key local partners. To provide an example, the Offices of the Socotran branch of EPA, constructed by the GEF/UNDP implemented Conservation and Sustainable Use of Biodiversity project in 2002, are no longer available to EPA or the Project Team. Historical records, reports, materials, specimens and facilities of value to EPA and the project housed in the facility have not been available, and EPA Socotra, co-executors of the project, have been without a base to work from. The Project Office was required to relocate to alternative and not entirely satisfactory premises. Of more concern is the impact of increased levels of importation of material associated with development activities, including plant materials and soils that can easily include alien invasive species, on the island's biosecurity. The EPA and the Project Team also raised concerns over the failure of some development activities to adhere to the Socotra Conservation Zoning Plan.

³ Some of these pressures and their impacts are described in the Socotra Environmental Developments; Ad hoc Situation Briefing, May 2018, prepared by the EPA and Project Team at the request of the GoY.

87 The impact of three cyclones in two years has also been significant for the project. There was serious damage to infrastructure, including the loss of investments made by the project or previous projects, which set back progress towards achieving objectives. There was also significant damage to key natural resources including endemic species that are key targets of project interventions. Damage to the most important *Boswellia elongate* forest led to a loss of 198 mature trees between 2015 and 2016, approximately 40% of the adult trees. Regenerating mangrove forest was also destroyed. Cyclones also increase the threat of IAS being blown to the island. According to local people, until these there had been no incidents of cyclones affecting Socotra.

D. Effectiveness

88 Effectiveness is scored Satisfactory.

1. Delivery of outputs

89 Delivery of outputs is scored Moderately Satisfactory.

90 The project has delivered or is in the process of delivering a significant number of outputs specified in the ProDoc work plan designed to contribute towards the outcomes indicated for the project's four components. Activities undertaken recorded in the last UN Environment Project Information Report for June 2017 to June 2018 and complimented by information collected during the MTR are summarised here.

91 Under Component 1:

- A rapid assessment of all of Socotra's terrestrial protected areas was conducted, data compiled and analysed
- PA-specific threats, lessons learned and recommendations for priority actions were made
- Rapid assessment of marine PAs was completed at accessible sites.
- New PA management committees were set up.
- Local community committees for PAs and pilot areas were established.
- Management plans drafted for several PAs.
- A mangrove rehabilitation programme was initiated at several sites.
- Terrestrial species-specific conservation plans were drafted
- Red-listing of all Socotran plants was started.
- An assessment of pervasive conservation threats, i.e. coastal-marine developments, was conducted and reported to UNE and Yemeni Government.
- A comprehensive assessment of living marine resource use initiated as special resource management action.
- A workshop on BD-PAM/SLM organized,
- Friends of Socotra AGM and WHS conference were attended.

92 Under Component 2:

- A list of exotic species on Socotra, including IAS, was compiled based on literature and field surveys, including dates and modes of introduction, and uses. Numerous exotic species revealed as not previously recorded.
- A list of all IAS in the Arabian Peninsula was compiled for inclusion in Guide on Early Detection and Rapid Response.

- Factsheets on all IAS compiled for inclusion in field guide and mobile phone app.
- An introductions pathways assessment was progressed
- An outline of and IAS strategy was drafted, possible biosecurity measures reviewed, and concerned authorities engaged.
- Specific IAS were prioritized for action and species targeted for eradication. *Prosopis juliflora*, *Opuntia stricta*, *Datura innoxia* and *Nicotiana glauca* plants have been eradicated on the ground though seeds may remain.
- Pilot community-based “eradication days” organized, awareness activities conducted, and eradication actions undertaken for two species.
- Production of awareness materials was started and continues.

93 Under Component 3

- Remote sensing surveys and production of thematic GIS based baseline map series completed, and fed into the Socotra Portal.
- Demographic surveys covering people and livestock started using a mobile app for data harvesting.
- Resource inventories and land use mapping undertaken.
- Trial plots for fenced grazing, forest restoration, and mangrove rehabilitation established.
- Seedling nurseries for mangrove and *Boswellia elongate* established
- Work plans and guidelines for Farmer Field Schools (FFS) establishment prepared, pilot FFS established, pilot trainings in FFS principles and SLM conducted.
- Trainings in forest certification and forest nurseries conducted.
- Outline of SLM strategy conceived, and SLM brochure designed.
- Workshop on BD-PAM/SLM and Friends of Socotra AGM attended.

94 Under Component 4

- Project Steering Committee Meeting organised.
- Key stakeholders extensively advised in conservation of WHS property and related international policy processes.
- Two ad hoc reports on pervasive conservation threats provided to UNE and Yemeni Government.
- Local key agencies and district administrations engaged with and capacities supported.
- Concept of “Plastic free Socotra” developed and pilot-promoted i.e. by “Non-plastic Day” event in Qalansiyah.
- Human capacity training course to stakeholder representatives organized, and online training course on biodiversity conceived, 12 of 20 planned sessions produced, adapted and employed.
- Network of CBOs/NGOs strengthened to enhance capacities; five women societies involved in engaging women in environmental issues and livelihood activities, with households engaged in food production in home gardens and handicraft production.
- Working to support four of the most active Women’s Associations:
 - The Coastal Women Association is active in awareness campaigns, supported through training programmes, awareness material, and financial costs, logistics, and equipment; the project donated four electric sewing machines; A Memorandum of Agreement signed to help market handicraft in the Cooperative Community Shop.

- Union for Socotri Associations for Women and Child Development: Awareness campaigns supported; provide space to display and sell products in the Cooperative Community Shop.
 - Al-Mustaqbal Women Association: provide help with logistics; recently provided four electric sewing machines; training programme for food and vegetable processing.
 - Nama'a Women Association: provide help with logistics; provided four electric sewing machines; training programme for food and vegetable processing.
- Working to promote and support Home Gardens:
 - Supporting 18 home gardens in Qashehin, Hadibo, which benefits 20 families.
 - Supporting 32 home gardens in Qalansiyah, which benefits the livelihood of 39 families.
- Working with all home garden owners to use the Cooperative Community Shop to sell their gardens products.
- Local NGOs “contracted” as multipliers in capacity building and awareness.
- Educational programme in schools conducted, and numerous awareness activities including ‘International Environment Day’ completed, with sectoral inputs i.e. of BD-PAM and IAS.
- Four MSc study grants with MUB organized, students selected, and visa/relocation to Czech Republic organized.
- Socotra Portal programming process was continued and populated with data and materials
- Social media as means for awareness institutionalized within project operations, and several press releases and popular-science articles prepared.
- Monitoring systems strengthened by remote sensing thru ‘Collect Earth’ surveys for vegetation performance and land-use analyses.
- Livelihood enhancing concepts assessed as possible means to sustainable finance
- Workshop on BD-PAM and SLM organized for Friends Of Socotra AGM. Human and Institutional Capacity and Training Needs Assessment carried out (report in preparation)
- Conservation Governance Assessment conducted (report in preparation)
- Three proposals to the Czech Development Agency prepared
- Academic training opportunities assessed with Socotra College and University of Hadramaut
- Socotra Environmental Education Programme – SEEP – conceived in cooperation with Education Authority

95 There have been delays in the delivery of outputs resulting from the slowed down inception process and the difficulties of the operating environment described in Section 3. Most outputs have nonetheless been delivered to a high standard and, with the presumed no-cost extension, it is believed that they will achieve their intended use and make valuable contributions to project outcomes. In this context the achievements are considered to be noteworthy.

96 A wide number of parties have been engaged in preparing these outputs and engaging in the activities described. These have included government officials, staff of participating institutions, local civil society and community

members. This has required intensive activity on the part of the project team to communicate and coordinate these engagements.

- 97 An important achievement has been the engagement of women in project activities. The close focus on women's groups to build community support for conservation through livelihoods support has been a significant achievement, the delivery of which has much to do with the recruitment of an experienced female organizer. In addition, it was observed that women community members are actively engaged in the FFS trainings.

2. Achievement of direct outcomes

- 98 Achievement of direct outcomes is scored Satisfactory.

- 99 Evidence of the achievement of direct outcomes is often difficult to identify and assess. Unlike monitoring of activities and outputs, which is largely a simple matter of recording and auditing process, monitoring outcomes requires often-complex forms of assessment against indicators that are often complex too. When outcomes are understood as representing behaviour change, assessment can be particularly difficult requiring the design of surveys to measure changes in behaviour. Though formal reporting by the project presents considerable progress made towards outcomes, expressed in percentage terms, and refers to indicators established in the ProDoc, reports are actually largely descriptions of activities undertaken and outputs delivered rather than information based assessments of outcomes resulting from these.

- 100 However, the design of the project depends heavily on the accumulation over time of information gathered through research on which strategies to be developed by the project will be based. The strategies are indicated as project outputs, but it is the implementation of these strategies that will deliver the indicated project outcomes. At the point of review in relation to the project's work plan, outcomes would not necessarily be expected, as preparatory activities are 'front-loaded' with outcomes to be delivered later. It is necessary, therefore, to make assumptions about their delivery of impacts in the future, which are discussed in the following section. However, with respect to outcomes at the point of review, it would be unreasonable at the mid term of the project to assume they will not be achieved in the future, as anticipated in the project design, and thus the achievement of direct outcomes is scored Satisfactory in relation to the design of the project.

- 101 Furthermore, there are some indications of behaviour change resulting from project interventions that I was able to observe during my visit to Socotra. These included:

- The active participation of women and children in the cleaning up of the Hadibo lagoon. Over one hundred turned up to participate.
- The active participation of teachers and children in educational and awareness raising activities supported by the project.
- Increasing levels of food production in home gardens supported by the project and the active and enthusiastic engagement of women.
- High levels of participation by women in FFS activities.
- The enthusiasm indicated by several senior GoY officers for the work of the project and their engagement with it on environmental issues. A notable

example that I observed was the pro-active response by officials at the port to the arrival of plant materials potentially posing a biosecurity threat to the island.

3. Likelihood of impacts

102 Likelihood of impacts is scored Moderately Unlikely.

103 An assessment of the likelihood of impacts at the mid term review must be largely speculative. This is especially the case with this MTR as the project design front-loaded activities related to assessments, data collection and analysis, with key activities to be designed on the basis of this work coming later. Furthermore, with implementation slowed down in response to the operating environment, there is even less expectation on impacts beginning to be evident.

104 However, at the point of review, as discussed above, few direct outcomes were clearly observed or reported on. Of more concern is that key outcomes that require changes in behaviour related to protected area management, community engagement in protected area management, and sustainable land and resource management, terrestrial or marine, were yet to be directly engaged with at a scale and on a time frame that significant impacts can be reasonably expected within the time frame of the project. Though I recognize the logic of the project design that required the accumulation of data before designing critical interventions for practical improvements in community based land and resource management, such interventions are necessarily complex processes requiring slow and careful implementation to build community institutions and capacity. To date my observations suggested to me that not enough of this painstaking work has begun to suggest that impacts from community-based protected area, land and resource management will be delivered and sustainable by the end of the project.

105 Areas in which the project is investing where there are some indications of impact beyond the life of the project include: community and government responses to IAS, and community adherence to restrictions on fishing within marine protected area⁴.

106 Moreover, sensitivities related to tribal tenure over land and the growth in conflicts over land consequent on the rapid economic and social change on Socotra, have had negative impacts on the implementation of project activities and seem likely to have equally if not greater consequences for the delivery of project impacts in the future. This is especially so for restoration activities which will require at least 10 years of consistent local support.

E. Financial Management

107 Financial Management is scored Satisfactory.

⁴ Despite the sobering analysis of marine resources within marine protected areas around Socotra of significant declines on fish biomass, the most recent figures for Roosh MPA suggest a slight increase in fish attributed to reduced fishing in the MPA by local people.

- 108 The financial management of the project by the project team and UN Environment is considered to be in most regards of a high quality. Some concerns were raised during the review process but these are considered relatively minor.
- 109 The Project Coordinator had not found it possible to collect detailed information from co-financing organisations on the actual level of in-kind of contributions made. This is a requirement of UN Environment and GEF.
- 110 There have been instances of delays in financial reporting to UN Environment by the Project Coordinator.
- 111 Table 1 shows the rate of spend in relation to that planned. It can be seen from this that there have been some delays in project execution and that expenditure is in the region of 30% down on a crude assessment that 50% of the budget would have been expended by the mid way point.
- 112 Table 2 presents the level of in-kind support that has been delivered. As will be noted in Section E1 below, it is unclear where this information is derived from.
- 1. Completeness of Project Financial Information**
- 113 Completeness of Project Financial Information is scored Satisfactory.
- 114 Table 4 provides details of the financial information made available to the MTR. All information related to project financing and financial reporting was provided to me on request with a single exception; records of the in-kind project financing from its several expected sources were not available.
- 2. Communication Between Finance and Management Staff**
- 115 Communication Between Finance and Project Management Staff is scored Satisfactory.
- 116 All parties with roles and responsibilities for the financial reporting and management of the project indicated satisfaction with the kind and level of communications between them.

Table 4: Financial Management Table

Financial management components:		Rating	Evidence/ Comments
Completeness of project financial information			
Provision of key documents to the evaluator (based on the responses to A-G below)		S	
A.	Co-financing and Project Cost's tables at design (by budget lines)	YES	Original project cost tables showing GEF financing under project component lines and detailed budget lines, and in-kind co-financing allocated to budget lines were provided
B.	Revisions to the budget	NO	To date there have been no budget revisions and no virements have been made between budget lines.

			All budget lines have positive balances at the time of the MTR.
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	YES	Original contracts signed between the project and sub-contractors and members of staff are held in the project office; Senckenburg staff contracts that specify time allocations under the project are held in the Senckenburg Administration Offices. and timesheets are provided to the project administration
D.	Proof of fund transfers	YES	Project financing is managed using SAP software. Bank records are held by Senckenburg finance office. The Project Finance Officer is informed when project funding arrives and receives copies of all bank transfer information.
E.	Proof of co-financing (cash and in-kind)	NO	All co-financing is in-kind. Proof of allocation of in-kind support by partners has not been tracked. Partners have not been requested to provide this information and do not provide statements of in-kind co-financing provided.
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	YES	A summary report of expenditures up to the quarter of the MTR was provided and is attached as Annex 3. Annual expenditure is recorded against UN Environment's established Umoja budget lines for the project.
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	YES	External audits for 2016 and 2017 were undertaken covering the period of the Germany Financial Year, January to December; the 2018 audit will be prepared by 2019 June as required; the audit process reviews expenditures and looks at sample receipts and at contracts. Copies of audit reports are kept in the project office. No audit comments on the accounting and financial system employed have been received to date
H.	Any other financial information that was required for this project (list):	NO	None required. Project management finds it unrealistic to expect documentation of in-kind co-financing to be provided by partners
	Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance with the UN Environment or donor rules	NO	
	Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process	HS	All members of the project team responsible for financial management were responsive to request for information during the MTR
	Communication between finance and project management staff	HS	
	Project Manager and/or Task Manager's level of awareness of the project's financial status	HS	Project Coordinator, National Project Manager and UN Environment Task Manager communicate closely and are aware of financial status of project
	Fund Management Officer's knowledge of project progress/status when disbursements are done	HS	Senckenburg Project Accountant fully aware of disbursements and progress of project, sharing and office with the Project Coordinator. UN Environment Fund Management Officer failed to respond to request for an interview
	Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager	HS	These officers communicate closely together as required for managing financial management issues as they arise
	Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports	HS	Close communication between these officers
	Overall rating	S	

3. Compliance with UN Environment Standards and Procedures

117 Compliance with UN Environment Standards and Procedures is scored Highly Satisfactory.

118 I found no issues of concern regarding compliance with UN Environment Standards and Procedures. Senckenberg complies with statutory financial standards in Germany and its systems operate to high standards employing SAP financial management software.

F. Efficiency

1. Overall assessment

119 Efficiency is scored as Moderately Satisfactory.

120 The efficiency of project execution, in terms of delivering maximum results, whether outcomes or impacts, has been largely positive and is discussed below in terms of timeliness of delivery and cost effectiveness. It is important to note, however, that quality of management and supervision of the project by Senckenberg, the executing institution, and a lack of sufficiently strong governance by organisations responsible for oversight of the project, both contributed to reductions in overall efficiency. This can be observed, for example, in the failure to establish and empower the Project Steering Committee adequately and in a timely fashion; the lack of sufficient and urgent responses to the breakdown in relations between the co-executing agencies, Senckenberg and EPA; and dealing with the fall-out from the report prepared by the project team detailing concerns over growing evidence of environmental damage on Socotra from unsustainable development. The report led to concerns being formally raised by IUCN and UNESCO over the status of the World Heritage Site. Confusion over its origins, some disagreement over its content and accuracy, and lack of coordination over its release led to a breakdown in trust between GoY and the project, which became very evident during the Bahrain meeting in May 2018.

121 The UN Environment Task Manager has worked closely with EPA and the Project Team to ensure that project reports are available through the Anubis reporting platform, that the roles of different parties in international communications regarding the project are clarified, that roles and responsibilities for project execution are clarified, and that the UN Environment Regional Office can support the governance of the project. These positive steps have greatly improved the situation but have not been able fully address the tensions and poor relations between GoY and the Project team, which were still clearly evident to the consultant at the point of review.

122 Similarly, difficulties related to stakeholder participation, including by the co-executors, resulting in great part from the severely unfavourable operating environment discussed in Section 5C, and in part by the inability of all parties to overcome them, have reduced efficiency of delivery significantly.

123 In this context it must be noted that the withdrawal of cooperation with the project by the Office of the Governor and demands that GoY departments

cease participation in project activities, however strong feelings were and however justified this might have been felt to be, has had a negative impact on project efficiency. So too has the inability of the project management and execution team to respond effectively to the situation. Even efforts of UN Environment and the UNE West Asia Office to restore a cooperative spirit amongst key parties have not effectively resolved the problem. As a result, the positive assessment of efficiency based on timeliness and cost effectiveness has been brought down.

124 These difficulties were compounded by the failure of project management to inform higher management levels within Senckenberg of the seriousness of the situation. The administrative distance and hands-off management style of Senckenberg as the institution with primary responsibility for project execution further aggravated the situation, making it possible for key information regarding project execution to be effectively concealed and allowing the problems to persist and worsen.

125 A significant contribution to effectiveness is the quality, commitment and persistence of the project team working together to execute the project. All individuals that I spent time with, whether part of the national team on the ground in Socotra, the international team in Frankfurt including the team working on the Socotra Portal, and individuals contributing to the project through their contracted institutions such as CABI or RBGE, and whether on the technical or administrative side, displayed the highest level of enthusiasm and commitment to the project. Similarly, the members of the co-executors and other partners, including the EPA, the Governor's Office, and the staff of GoY departments I was able to meet with, showed great enthusiasm and positivity towards the project and its expected outcomes.

2. Timeliness

126 The severity of the difficulties evident at the time of the planned inception following approval of the project by the GEF Secretariat in February 2015 led to what amounts to a one year delay in inception. During this period discussions were held between UN Environment and Senckenberg, and the requested Feasibility Statement and revised Inception Strategy were prepared. No revisions were made to the ProDoc at this time, as this was not considered necessary.

127 The new Inception Strategy responded to the serious operational difficulties discussed in Section 5C by proposing a slowed down pace of inception, which was accepted by UN Environment as appropriate and necessary. The actual start date for the project according to the Inception Report was 18th February 2016 with expected completion on 17th February 2020. The first year of the project was largely given over to the recruitment of the international and national staff, the contracting of project partners, preparation and delivery of a team building event, the first time the team was able to be together, and the preparation and holding of an inception meeting which took place in March 2017. This meeting had to be held in Jordan, as it was not possible to organise it in Socotra – international travel to the island had only re-opened in December 2016.

128 These steps point towards a strong process undertaken by the executing agency, Senckenberg, and by UN Environment. This positive

contribution to the timeliness of the project is also understood to indicate high levels of preparation for inception and readiness to act, while responding to real concerns regarding the operational environment. I have noted elsewhere that there were opportunities at this point to review and modify the ProDoc to respond to the situation, but the responsible bodies determined that revising the Inception Strategy was a sufficient response.

- 129 The implications of this slowing down of the project are that the timetable for implementation including expenditure is running about a year behind. This level of delay could not be recovered from, especially given the continuing difficulties of implementation and the large number of activities to be undertaken.
- 130 Though the need for a no-cost extension of the project in order to have a reasonable chance of fully implementing its planned activities and achieving its objectives, has been evident since the slowed down inception process, the project team did not take pro-active steps towards preparing the way for a request for a no-cost extension or beginning a process of introspection and consultation on how to proceed. UN Environment also seems to have let this slip. At the time of writing, the project has just 9 months to run before it will end. Ensuring a strong and participatory process to review project progress, including the contents of this report, revise activities, approaches and priorities if desirable, and draft a proposal to UN Environment will now be inevitably constrained and rushed.
- 131 There was a clear perception amongst project partners and other stakeholders that the project had been slow to deliver tangible results on the ground. The design of the project, however, required detailed research to be undertaken first to establish baselines and guide implementation decisions. Whether this level of painstaking research was necessary or appropriate in the context can be questioned, but the decision to implement the project as designed was not unreasonable. Indeed, attempts to depart significantly from the ProDoc would have been difficult to design or implement in a participatory way.
- 132 The ProDoc provides a strong analysis of the several preceding conservation support projects on Socotra and the numerous GEF Small Grant projects. This analysis was possible due to the long years of acquaintance with the island of the two main proponents of the project. This has allowed actions to be designed and implemented to build on previous project outcomes, avoid duplication of effort, and avoid previous errors. A major co-financer of the project was the GIZ project that was still extant at the time this project began.
- 133 I was not made aware and did not observe any specific efforts to reduce any negative environmental impacts of the project and therefore minimised UN Environment's environmental footprint. In general, however the project team works and lives in a modest way, reducing the use of resources by the project and has set up a solar energy system for the project office and the EPA Headquarters. The level of project investment in infrastructure has been minimal and would not normally have necessitated the use of Environmental Impact Assessment processes, except perhaps in order to provide an example to others who are making more significant investments in

infrastructure some of which are having profound impacts. Steps to reduce single use plastic consumption would be desirable but would not be easy in the context the project is working.

3. Cost-effectiveness

134 Exceeding the allocated 48 months of operation has, inevitably, a negative impact on cost-effectiveness due to the increased proportion of expenditure on administration and salaries compared to direct investment in project outputs and outcomes. This, however, was an unavoidable result of the decision to slow down inception.

135 The operational context has also been significant in reducing cost effectiveness, requiring the expenditure of considerable time, and financial and human resources to overcome problems associated with procurement, coordination and communications that have affected all aspects of project execution.

136 There is every evidence of great care and parsimony with the project budget to ensure it is well targeted at project outcomes.

137 The Socotra Portal has the potential and hopefully will continue to deliver significant data-based products through the analysis of data available to Senckenberg. Though copy write exists on much of this data, Senckenberg was able to use its network and its technical expertise access this data and use it to develop a range of map based products that will be of great potential value in planning social and economic development as well as conservation interventions on Socotra. This potential value will require significant attention, however, to building technical capacity on Socotra to access and employ the portal and to designing an effective hand-over mechanism for the portal at the end of the project.

G. Monitoring and Reporting

138 Monitoring and Reporting is scored Moderately Satisfactory.

139 Though the design of the monitoring and evaluation framework in the ProDoc is meticulous there is some question about the degree to which data on project outcomes and impacts have been collected, and whether analysis of project progress towards its objectives led to the expected introspection and adaptive management.

140 Though the pressures of implementing this complex project have been great, and there is a powerful tendency for pressures to execute to outweigh interest in gathering information on implementation and impact, the consequence is that it is hard for an external review to get a clear and strong sense of levels of activity, production of outputs and delivery of outcomes.

141 For example, I was able to make site visits to two areas where the project has been supporting women to cultivate home gardens. These were complex activities delivered with an impressive level of sensitivity and intensity. Formal project reports, however, provide no real information on the level of this activity, the number of women benefitting from this support, the

level of support being provided, the quantity and value of crops harvested and so forth.

1. Project Reporting

142 **Project Reporting is scored Satisfactory.**

143 Formal progress reports, including narrative Half Yearly Progress Reports and UN Environment / GEF Project Implementation Reports were made available to me. These were up to date and comprehensive. It might have been useful to provide an early half-year report to cover the period of time up to the MTR.

144 A large number of technical reports have been prepared. Several key reports have been translated into Arabic, though translating more and in a more timely manner would support a closer partnership and contribute towards long-term capacity and should be considered.

145 Reports are lodged on the UN Environment Anubis Portal greatly improving communications with project stakeholders. This was a response to complaints made by GoY and EPA Co-Executors that they were not receiving sufficient reports and were thus unable to play their expected active roles in the project.

2. Monitoring design and budgeting

146 **Monitoring design and budgeting is scored Satisfactory.**

147 The ProDoc includes a comprehensive monitoring and evaluation plan designed to conform with GEF's M&E policy. The monitoring framework is based on the Project's Results Framework that provides indicators for all proposed outcomes with expected levels of achievement described as targets for mid-term and project end points. The indicators are complimented by listings of key deliverables linked to time-specific benchmarks for each outcome. Finally the means of verification for each indicator are clearly identified.

148 The ProDoc presents a M&E budget and funds were included for the MTR and Terminal Report, though the budget perhaps needed to be higher.

149 There is less information, however, on the methods to be used in the collection of data for M&E or the frequency with which data will be collected and analysed. And rather than responsibility for M&E being given to a dedicated project officer, the ProDoc indicates that the execution team as a whole will have this responsibility. The lack of a M&E Officer can be considered a weakness. Lack of financing would not seem to have been the reason, and creating the position could have provided an area of collaboration with the Governor's Office.

150 Gender specific indicators are not indicated in the ProDoc or the Results Framework, I did observe, however, that gender-disaggregated information was collected for participants in project activities though there were not regularly reported on.

3. Monitoring Project Implementation

151 Monitoring Project Implementation is scored Unsatisfactory.

152 Though there is evidence that information has been collected against the indicators provided in the ProDoc, it is unclear nonetheless that complete and relevant monitoring data has been collected. Indicators were largely constructed around the delivery of project activities and outputs rather than clear evidence of outcomes.

153 There are few specific references to women or gender in the formal reports. Specific activities working with women's groups are reported on though not in any great detail, but few if any references are made to the participation of women in activities such as training sessions, consultations, etc. This is not to say that women were excluded from activities and I was able to observe relatively high levels of participation given the context. However, there seems to have been insufficient attention paid to monitoring the participation of women generally.

154 Despite the existence of formal reporting to UN Environment, and fully acknowledging the demands detailed reporting makes on project teams, there was in my view too little attention paid to narrative reporting, too little use of progress reporting to inform interested parties of the real status of the project and the difficulties it was facing, and a failure to use full disclosure of project progress and impediments to solicit attention and support to help resolve them. The use of regular narrative reports, formal and informal, might have helped identify and resolve problems faced by the project more promptly than has been the case.

H. Sustainability

155 Sustainability is scored Highly Unlikely.

156 This will be a worrying finding for all project parties, especially UN Environment, the EPA and the people of Socotra. This finding results from a combination of factors. The most evident is the political and security situation that pertains in Yemen. This and its consequences for the stability of political and governance institutions and technical departments on Socotra have been described in Section 5C. The significant impingement of pressures on Socotra's natural environment, its traditional culture and its social structure and organisations, originating in large part from outside the island, and their destabilizing affects on Socotra must also be acknowledged, not ignoring also their positive contributions to the island's infrastructure and people.

157 In addition to these tangible negative factors affecting the likely sustainability of project outcomes, though not unrelated to them, was the low level of engagement and ownership of the project by local institutions that I observed and had reported to me. This is not the case where specific activities of direct benefit or interest to communities are being implemented, or where engagement with government departments is assisting staff and providing benefits in the form of experience, training and participation in activities. In these cases I was able to observe enthusiasm and commitment.

158 Aspects of project design and some of the approaches to execution have contributed to the low likelihood of sustainability. Despite the ProDoc

emphasising community engagement and indicating that interventions would be community-based, this seemed more of a position than a practical reality, and the level of committed engagement with and investment in community and government institutions and capacity, certainly in the early part of the project, was relatively low. This, combined with the problematic implementation environment, resulted in a strongly research led, information based approach, with a less certain emphasis on direct engagement. Furthermore, despite the emphasis on development suggested in the project title, activities providing direct support for community livelihoods seem somewhat peripheral and tangential, and not clearly linked to the project's conservation outcomes. This suggests that the biodiversity, natural resource and protected areas components will not be sustained.

159 There are concerns over the sustainability of the community development activities. The majority of investments have been for the production of food in home gardens and the production of handicrafts. Increases in food for family consumption may be of sufficient value to households for them to maintain the fencing and water supply infrastructure provided by the project, though this is uncertain. Where the objective of project support was to create household enterprises to produce items for sale, there seems to have been little analysis of the economics of the enterprises. Establishing a cooperative structure for these enterprises and opening a cooperative shop in Hadibo to market the products are admirable intentions, but both are also of uncertain sustainability. Cooperative enterprises are complex institutions and may require external support, both financial and technical, for some years before they become self-sustaining.

160 Finally, the apparent deterioration of climatic conditions, attributed to climate change, place question marks over the sustainability of the forest restoration activities. The extremely slow growing nature of the trees concerned, especially those growing in semi arid conditions, means that seedlings must be supported and protected for between 10 and 15 years to be reasonably sure of survival. There was little evidence that this would happen without continued external funding and greater attention to the community institutions that will be involved.

1. Socio-political Sustainability

161 Socio-political Sustainability is scored Moderately Unlikely.

162 Numerous social and political factors conspire to make local support and practical engagement for the continuation of project interventions to sustain their outcomes beyond the life of the project unlikely. There is little evidence of the strong ownership, interest and commitment amongst government stakeholders, unsurprising given the situation of Yemen, equally little evidence of future commitment from the local government, also unsurprising given the fragility and uncertainty of the situation on Socotra, and despite considerable enthusiasm for specific activities on the ground amongst participating communities and an energetic and well designed communications programme, I found little to suggest that there will be the social commitment to continue investing time and resources, including financial resources, beyond the life of the project.

163 Given that the majority of project outcomes have a high degree of dependency on social and political support for their sustainability, especially those related to protected area establishment and management, and sustainable land use, and the observed low level of ownership of local government, the chances of outcomes being sustained beyond the life of the project seem low at the point of review. In this context, the ability of the project to design adaptive mechanisms and respond to this situation is uncertain. I do feel, however, that this should be a key element of the next half of the project and of any future projects.

2. Financial Sustainability

164 Financial sustainability is scored Highly Unlikely.

165 The majority of anticipated project outcomes will require significant levels of on-going financing if they are to be maintained. This is so for the key outcomes of Components 1, 2 and 3 related to improvements in protected area management, land and resource use, and invasive alien species. Though outputs under all three of these components are described as community-based, the envisaged community institutions will require significant levels of funding and the necessary levels of activity to train, mentor and establish them will require significant levels of technical support. Even if the project focuses more attention of community institutions and their capacity, there is little indication that the central or local governments will be in a position to provide the on-going funding or technical support that will be necessary or that it will be considered a political or social priority for them.

166 Though the fourth project component includes an outcome related to sustainable financing for Socotra's conservation institutions, steps taken by the project to date have not delivered results, and the future success of the proposed activities remains in question. The primary practical action taken was to prepare a proposal for the Green Climate Fund. To succeed, strong political support for the proposal will be required from both local and national government, and it is not clear this exists. In any event, funding from the GCF is uncertain and is not in itself sustainable.

167 There are possibilities for achieving some degree of sustainable financing for conservation and ecosystem management on Socotra. The primary source would seem to be through the tourism industry. This is likely to recover in the future with the return of peace and stability to Yemen but not soon enough to meet the significant funding gaps for conservation. In addition, local government could impose a range of levies on economic activities on the island. These will also need political support. Finally, the presence and activities of external parties on Socotra currently investing in a range of economic and social development activities, presents the potential for financial support for conservation and sustainable development.

168 At evaluation there is little evidence of an exit plan for the project. Project outcomes have a high dependency on future funding and a steady supply of financial support. Ideally this would be from government budgets and from linking income generation to conservation, but the current context makes either of these unlikely in the short to medium term. I suggest that it will be essential for a follow on phase of support to be agreed if there is to be a chance for outcomes of the current project to be sustained.

3. Institutional Sustainability

169 Institutional Sustainability is scored Unlikely.

170 As indicated above, the civil war in Yemen has had serious impacts on the institutions of government on the mainland and on Socotra with significant implications for the project's execution but also for the sustainability of its outcomes. The rapid turn over of Governors of Socotra over the past few years is an example of this.

171 Pressures resulting from the war have introduced a tendency to reverse the previous steps taken by the GoY towards decentralization, creating complications in the relations and interactions between central level and local level GoY departments and agencies. This has been of especial relevance to the project with respect to relations between the central and local offices of EPA and it was evident during the MTR that these were strained. The engagement of several external entities and agencies on Socotra, one of which is clearly the project with local political institutions adds to the complexity and unpredictability of the situation. All have created problems for project execution and raise serious concerns over the institutional sustainability of project outcomes.

172 The Governor's decision to withdraw the cooperation of his office from the project, and demand other GoY offices to halt practical engagement and participation with the project and its activities have consequences for the achievement of project outputs, with inevitable reductions in the efficiency and effectiveness of the project. I observed the impact of this during the MTR when a planned workshop with government officials on IAS had to be cancelled at short notice. Of more concern, however, is that whatever the underlying reasons for this decision, the negativity of the Governor's Office towards the project at the point of review presents a serious problem for institutional sustainability of project outcomes.

173 GoY agencies have overlapping and unclear roles, responsibilities and mandates with respect to the environment and its conservation. This presents problems for institutional sustainability but is outside the capacity of the project to resolve or the scope of this review to address.

174 At the point of review it is apparent that the sustainability of project outcomes, as with the sustainability of the island's biodiversity and natural resources, is highly dependent on the engagement of strong government and community institutions. Investments in these, it can be argued, have been insufficient to build the needed capacity and institutional strength. Certainly, strong statements were made during the MTR complaining that the project did not encourage the participation and sharing of responsibility with government partners, that insufficient attention was paid to the building of capacity amongst government partners, and that there was too little sharing of information and too few avenues of communication for partners to feel strong ownership of the project. It can also be argued that the operational context was too unfavourable for significant improvements to have been made, however great the attention paid and resources invested.

175 I understand that the Socotra Portal will make an important contribution to institutional sustainability. EPA and the Governor's Office

raised concerns over the lack of access to data collected on Socotra by various organisations and individuals over previous decades, but the project is unable to do anything about these. The Portal, however, will ensure that all data and information gathered by the project during its life-time will be available to the government of Yemen and the people of Socotra. In addition the Portal will house a range of maps based on the analysis of data collected on Socotra. The availability of the data and maps has the potential to make a profoundly positive impact on the way that planning decisions in particular are taken on the island.

176 A significant concern for the sustainability of project outcomes relates to the status of the Socotra Conservation Zoning Plan. The Zoning Plan represents the primary legislation related to biodiversity conservation, protected areas and natural resource use on Socotra. It is therefore the primary legal vehicle for delivering conservation and sustainable development on the island. The project includes a review of the Zoning Plan as one of its key activities. It is unclear, however, whether this will deliver useful outcomes in the current context. Significant differences are apparent in the perspectives of conservation on Socotra, including those represented by the project, by government agencies, and by local government. Local communities affected by conservation initiatives also have important perspectives that will need to be taken into account if a revised Zoning Plan is to be supported and therefore institutionally sustainable.

177 Finally, individuals and agencies, both local and external, are currently planning or are in the process of undertaking development activities on the island. It is evident that some of these contravene the Zoning Plan, but they are proceeding anyway. The construction of the corniche in Hadibo is an example. So too are the walled or fenced enclosures marking out land for development, many of which lie within protected areas. A weakening of institutional adherence to and support for the Zoning Plan, which is essential if this key tool for conservation and sustainable development is to function, will necessarily reduce the sustainability of project outcomes.

178 The steps to be taken by GoY with the support of the project to review and revise the Zoning Plan, and the degree to which all parties can be persuaded to engage with the review and abide by the revised plan will be critical to the future sustainability of project outcomes and impacts, and indeed to the long-term future of Socotra's unique biodiversity and natural values.

I. Factors affecting performance

179 As specified in MTR process, analysis of a range of factors affecting the performance of the project and its capacity to make progress towards its objectives is discussed in the context of the reviews of the several criteria presented in Sections 4A to 4H above. Here the scores are simply recorded as required in the Evaluation Criteria Ratings and Weightings table (Appendix 2).

180 The overall rating for Factors Affecting Performance is Moderately Satisfactory.

- 181 **1. Preparation and Readiness**
Preparation and Readiness is scored Satisfactory. I observed a considerable investment of time, energy and analysis in preparation for and inception of the project in difficult circumstances.
- 182 **2. Quality of Project Management and Supervision**
Quality of Project Management and Supervision is scored Moderately Unsatisfactory. As detailed in Section V F1, a range of problems was identified in the management of the project and in structures to ensure strong oversight of project management.
- 183 **3. Stakeholders' Participation and Cooperation**
Stakeholders' Participation and Cooperation is scored Moderately Unsatisfactory. Sections V F1 and V H3 describe a range of concerns raised by project partners related to their perception of weak participation, and my observations of problems related to cooperation between stakeholders.
- 184 **4. Responsiveness to Human Rights and Gender Equity**
Responsiveness to Human Rights and Gender Equity is scored Satisfactory based on the ProDoc and my observations of project implementation in the field.
- 185 **5. Country Ownership and Driven-ness**
Country Ownership and Driven-ness is scored Unsatisfactory. As discussed in Sections V H 1 and 3, reports from key parties within GoY and local government, many resulting from the observed tensions and poor relations between them and the project, indicated low perceptions of country ownership and driven-ness.
- 186 **6. Communication and Public Awareness**
Communications and Public Awareness is scored Satisfactory. The work of the Communications Team has had a significant positive impact on local public awareness of the project and of environmental issues on Socotra.

VI. Conclusions and recommendations

A. Conclusions

- 187 The conclusions that follow are based on perspectives drawn from the information collected during the review process, the analysis of the key criteria provided in Section IV A to IV I above, and a generalized overview or gestalt formed by the consultant through the course of the review process. The general conclusions in Sections VI A1 to VI A4 below are applied to the questions posed in Consultant's Terms of Reference and the Inception Report. Unless answered in the text of the following sections, they are addressed directly in Section VI 5.

1. Notable achievements

- 188 The challenges posed by the project's implementing context that the co-executors and project team have had to contend with have been presented in Section C: Nature of External Context, where the highly unfavourable consequences of climatic conditions and poor infrastructure, the security and political context influencing institutional partners, and the

logistical and practical barriers to implementation are described. Despite these challenges, as has been shown in Section IV D1 the project has achieved much.

- 189 Question 5 asks, “How has the operational limitations and complexities imposed by the political and security situation in Yemen and its impacts on local institutions been responded to by the project team?”
- 190 The executors have overcome significant obstacles including: the practical and administrative complexities of travelling to Socotra resulting from security concerns on the mainland; challenges of provisioning and equipping activities on the island, compounded by the security situation; the destabilizing influence of the political situation on local institutions; extreme weather conditions that make field work difficult for half of the year; and the apparent effect of climate change in the form of three devastating cyclones in two years. All have affected project interventions significantly, but a wide range of activities has nonetheless been delivered on the ground.
- 191 The leading role of Senckenberg, one of the world’s foremost scientific institutions, and the project team, both international and local, have contributed to ensuring that a strong technical approach based on strong science has been applied to the design and delivery of activities. This has been especially important in establishing robust baselines against which to measure impacts.
- 192 An important part of this scientific platform provided by Senckenberg is the Socotra Portal, recently demonstrated to project partners. This resource, a repository of scientific, social and cultural data about Socotra, meets rigorous standards and will be important to the sustainability and incremental nature of interventions that will help safeguard Socotra’s biodiversity and other values in the future.
- 193 The partnership implementing, executing and supporting the project is of the highest quality. In particular, the national team represent a profoundly important resource for the future of Socotra’s biodiversity and should be recognised as such. The danger of such capacity being lost should also be recognised and guarded against.
- 194 The project team has built positive partnerships with key government offices and technical officers through which important activities are being undertaken, for example the development of school curricula based on Socotra’s natural values, the training of airport and port officers on biosecurity, and improvements in the collection of fisheries data (see Section IV D1).
- 195 There is a high level of awareness of the project on Socotra from the Governor’s Office through local government to village institutions and individuals. Much of this visibility is the result of practical engagement with these institutions, but much is the result of a communications programme that works with schools, community-based groups, civil society organisations, and government departments. The programme is not only important for the project but is central to the sustainability of outcomes and the impacts by raising

awareness, knowledge and interest in Socotra's unique values, especially amongst the youth.

196 Deserving of special mention, because of the critical and time-bound nature of the threat posed by invasive alien species, is the work undertaken in partnership with CABI. The project has responded energetically to contain threats posed by two species, *Opuntia stricta* and *Prosopis juliflora*, nipping them in the bud through timely interventions, while working to strengthen institutional capacity to reduce the threat of invasive species more generally through biosecurity systems to prevent new arrivals and monitoring the island to detect any that might arrive notwithstanding these systems.

2. Concerns related to project management

197 Despite commendable achievements, there are concerns related to the management and governance of the project as these were observed to have negative implications for the achievement of project objectives and the sustainability of impacts.

198 Representatives of key partners, most particular the EPA Chairman, the Acting Governor and the Deputy Governor for the Environment, expressed concerns to me over several aspects of project execution. Similar concerns were raised by some government officials and by individuals working for project partners delivering parts of the project. I was informed that: there was insufficient participation of local stakeholders; Yemeni institutions were not adequately consulted or involved in decisions; the delivery of practical and tangible activities on the ground was low; local expertise was not adequately engaged in the project; the building of local capacity was not given sufficient priority; the flow of information was not enough to encourage a collegiate and collaborative approach to project implementation; and that opportunities for active engagement of GoY partners were too few.

199 Perhaps the most significant weakness in the management of the project in terms of its impact on partners' sense of ownership and engagement, and its contribution to the negative and conflicted atmosphere I observed, was the perception amongst of key partners of the low level, irregularity and ineffective nature of communications. There was a feeling that there are not enough opportunities for formal and informal discussion of the project and its activities. These perceptions persist despite the considerable efforts of the project team, especially the National Project Manager, to ensure close communications with and connections to GoY partners. Meanwhile, the nature and content of project reports and how they have been shared⁵ has created the perception amongst some partners that they are not being

⁵ The practical difficulties of sharing reports with interested parties when management and implementation is spread between two far removed locations and when different languages are used should not be underestimated. The agreement reached with the assistance of the UN Environment Task Manager to use the Anubis Portal for report sharing is welcome and should help partners feel they are able to access all the information they need to participate effectively.

enabled to play meaningful roles in project decision-making and project delivery.

200 There is little question that the strength of language used to express concerns about the management of the project related in great part to the tension between the co-executors of the project, and specifically, relations between members of the Project Team and the EPA, the Governor, and the Deputy Governor for Environment and Development. It is quite likely and would be unsurprising if these concerns were given heightened emphasis to ensure they would influence the findings of the MTR. Nonetheless the concerns expressed are real or perceived concerns, and therefore significant. A faster, more pro-active and more effective response to them could have helped avoid the extremely tense and dysfunctional situation I observed on the ground. I was made aware of the several contributing issues behind the break down in relations between partners. Several are of concern in themselves – such as the withdrawal of cooperation by the Governor's Office, discussed in Section IV H3. This does not, however, reduce the significance of the failure to respond appropriately and sufficiently to the concerns raised.

201 I attribute this failure to respond to the concerns raised by partners in great part to the nature of the relationship between the project and key project partners. It is not always easy to maintain positive relationships between partners, especially in difficult circumstance, and fostering positive relationships is more of an art than a science. It is nonetheless a key responsibility of key management staff. Separating the concept of 'the project' from personal concerns for its success or achievement can allow managers to respond to the perspectives, concerns and even demands of partners more flexibly and based on realistic and empathetic understanding of their interests, drivers and limitations.

202 The lack of sensitivity to the perspectives of partners may relate to perceptions of control over or ownership of the project. Key project partners, most notably EPA representing GoY and the Governor's Office clearly feel they should have more control of the project and its budget than they have, while the Project Coordinator demonstrates an apparent expectation for a strong control over the project. These conflicting demands for control and authority over the project is undermining important outcomes and anticipated impacts beyond the life of the project. The sense of local ownership and engagement that is an important aspect of sustainability has been failed to flourish.

203 This tendency of senior project management also seems to reduce the delegation of responsibilities to junior members of the project team, creating inefficiencies on one hand and hindering professional development on the other. The Project Coordinator in particular has taken on or retained too many roles and has allowed or encouraged too little input to decision making from others. This has created bottlenecks in the implementation of project activities actions and in delivering required management processes, including reporting. Of equal concern is that team members are disempowered and do not receive the kind of mentoring that would be important to building their capacities and technical and management skills.

204 Tension between international members of the Senckenberg team has created tensions within the national team, presenting a danger of factionalisation as individuals are drawn to support either the Project Coordinator or the Deputy Project Manager. It is not uncommon for tensions to arise within project teams and the challenging circumstances under which this project has been implemented can only have made them more likely. It is thus surprising that steps were not taken to resolve the situation earlier.

205 The serious tensions between the project, as an entity, and some of its key partners were equally clear and, again, it is surprising these were allowed to continue to the point that they became significant problems for the project. This is not to suggest that the issues behind the tensions were easy to address, but rather that they were so deleterious to the project, and to the wellbeing of individuals concerned, that more attention should have been paid to them.

3. Concerns related to project governance

206 It is important to distinguish between the problems of management discussed above and concerns over governance, including oversight from responsible organisations.

207 The most significant governance failure in my view is that the Project Steering Committee has not been formalized to ensure it plays its critical role in supporting the project. The Steering Committee should be the primary vehicle through which the project is governed, providing guidance for project execution and oversight of its management. Despite the ProDoc's references to its composition and roles, and the agreement at the Bahrain meeting that the members and the Terms of Reference should be agreed upon well before its next meetings, members have not been formally proposed and invited, and terms of reference have not been drafted. The project team, as Secretariat to the Committee, needed to take steps to formalize the Steering Committee and ensure it met regularly. However, Senckenberg and the UN Environment team also needed to pay closer attention to this and ensure progress was achieved. For a project of such complexity and implemented in such difficult conditions, to lack the positive support of an active and engaged Steering Committee was unfortunate and deleterious to its operations and chances of success.

208 The Steering Committee provides an opportunity to strengthen the engagement of key institutional partners in the project, most obviously UN Environment and Senckenberg, but potentially others such as the Royal Botanical Garden Edinburgh or CABI. The Steering Committee could also provide an opportunity for other parties with interests in Socotra's conservation and sustainable development to support the project. These might include IUCN, UNESCO, Friends of Socotra, and the Khalifa Foundation. There are legitimate concerns that increasing membership of the Steering Committee could make decision-making more difficult and strengthening the Steering Committee by adding new members should be balanced by limiting membership to representation of institutions with interests in the project's implementation. Institutions with operational interests and capacities should join the proposed Project Execution and Coordination Advisory Group (see paragraph 243 below)

- 209 An area of particular concern is the weakness of institutional support of the project execution team and the oversight of project management by Senckenberg. As the primary contracted executing agency, Senckenberg should have been more pro-active in responding to evident concerns over the management of the project. This could have been achieved by a stronger and more formal internal reporting mechanism accompanied by a greater level of engagement with and mentoring of the Project Coordinator by his line manager. Ensuring strong representation on and support for the Steering Committee would also have been important.
- 210 These gaps in the governance and oversight of the project were compounded by a change in UN Environment staff associated with the project resulting from a standard internal transfer and reallocation of tasks. Such changes in personnel occur frequently in large institutions such as UN Environment, and are part of how they function, but inevitably they can impact operations. It is worth noting that these changes did not come about due to any personal preferences of the individuals concerned. In this particular case, the changes led to the current Task Manager being introduced into the project at the moment a particularly difficult set of circumstances was coming to a head at the Bahrain meeting. At the same time the GoY expressed concerns at what was perceived to be a lack of clarity about and some potential overlap in the roles of UN Environment players. GoY requested UN Environment to have a stronger presence in project execution and requested greater involvement of the UN Environment's West Asia Regional. Changes to the individuals concerned disrupted continuity and the focus of institutional memory. In normal circumstances this would not have been a great concern, but it occurred at a critical moment for the project when specific challenges were having real impacts on project partners' ability to perform. At this moment even a slight weakening of institutional continuity within project governance contributed to the problems described in Section IV F1.
- 211 The tensions between the project, the EPA and local government described in various sections above led to reduced levels of active participation in and perceptions of ownership of the project. The consequences of this included a failure of these institutions to play their roles in project governance, resulting from countervailing tendencies to withdraw interest and engagement while attempting to impose control over the project. Both tendencies weakened delivery and complicated governance of the project.
- 212 Equally serious has been the responses of parties to these problems. Rather than engaging strongly with them and making all efforts to resolve them, to some extent the opposite seems to have happened. The Project team withdrew from certain relationships, with key partners; the Governor's Office withdrew cooperation and put pressure on GoY departments to stop participating in project activities; UN Environment initially seemed to hold back from engaging with GoY partners, before remedying the situation and energetically stepping back in; the Task Manager slowed the flow of funding to put pressure on project management; and the EPA reduced levels of facilitation to the project. In each case these actions worsened the situation, reducing the level and quality of activity, thus undermining the likelihood of achieving project objectives.

4. Concerns related to delivery and sustainability

- 213 As noted, project partners have raised concerns over the perceived failure to deliver tangible improvements and benefits on the ground. I understand the desire to see greater contributions to social infrastructure; the construction and equipping of a meeting room/conference facility for a school was suggested as a project priority, for example, during the MTR process. Such activities are not, however, envisaged in the project design, are not budgeted for, and would not contribute directly to the delivery of project objectives. Notwithstanding their attractions, such proposals must be considered with great care and only agreed where their contribution to specific project outcomes can be demonstrated.
- 214 There are, however, legitimate concerns regarding the low level of tangible improvements in protected area management, including investments in infrastructure, plans, management and capacity building. The focus has been largely on assessing the status of the projected areas. It would be fair to say that the situation described in the ProDoc - the lack of active management of PAs and the absence of direct protection of threatened biodiversity – continues to be the case and has not been materially improved on by the current project to date. Opportunities exist, however, to build on the strong analysis undertaken to deliver practical support for improved protected area management.
- 215 Tangible improvements in resource management are also few. Despite activities related to forest and mangrove restoration, pasture and grazing management and improved fisheries management, the scale of activities seems insufficient to the urgency of the problems they address. The impact of goat grazing on endemic and threatened tree species, for example, seems largely untouched except for in a small number of pilot interventions.
- 216 Support for the recovery of the totemic endemic species, *Boswellia elongate*, is significant, the species being threatened by grazing pressure from goats, damage caused by recent cyclones, and the apparent desiccation of the island. The very slow growth of the species under natural conditions indicates that seedlings planted by the project will need to be protected and watered for 10 to 15 years according to project workers. This time frame, which extends well beyond the project life, does not seem to have been adequately planned for. There are similar reservations over other restoration activities.
- 217 A range of activities are being undertaken to support household-level gardens for vegetable production, handicraft production, and the marketing of products. These are valuable contributions to economic development and community welfare and are delivering tangible benefits to communities. Questions remain, however, over their economic viability, the number of households being reached, and their sustainability. Further, these interventions are not clearly integrated with and supportive of the project's conservation activities and objectives.
- 218 Other key concerns over the sustainability of interventions relate to the lack of evident incentives for communities to participate in conservation activities, especially in protected area management, that will be critical to their sustainability. Insufficient attention has been paid to building capacity

amongst partners from communities and local government, in either technical or management skills.

219 Socotra's biodiversity and natural resources are threatened by unsustainable development. The level and speed of economic and social change is increasing as changes set in train by the political turmoil on the mainland take hold and the island is opened up to outside influences, interests and pressures. This inevitable process has already been operating with regard to Socotra's fisheries resources and spectacular reductions in fish stocks have already been recorded. Without care, the same is likely to occur on the island itself. Mainland Yemini see the island as a safe haven, a source of employment, and a place to invest in, and are arriving in growing numbers. The level of investment in Socotra is probably greater than ever before, especially from regional sources, and is compounding these threats, all of which act to undermining project objectives.

220 How to use the Socotran language in project activities is a complex and contested issue. The project is designing activities that make use of the unwritten Socotri language but more needs to be done to ensure that cultural linguistic connections between the people and natural resources of Socotra are preserved and made an explicit part of conservation programmes, making the concept of biocultural diversity central to project approaches.

221 At the same time, however, greater investment is needed to ensure that all substantive technical materials produced by the project are translated into Arabic. This will make a significant contribution to strengthening ownership of the project by all parties but will also contribute towards a sustainable legacy of the project.

222 The support provided to the people and government of Socotra by international and regional organisations, for example, the building and improvement of schools, mosques and health services across the island, is evident and welcomed by the people of Socotra. However, not all of these activities can be considered consistent with the vision for Socotra's development implicit in the Conservation Zoning Plan, supportive of the World Heritage Site, or complimentary to project objectives. The construction of a Cornishe along the coast in Hadibo Town, for example, will create negative environmental impacts of wetlands unless these impacts are carefully mitigated through appropriate design and planning. There is a compelling argument for the project to work through the GoY and with UN Environment to engage with these organisations and develop mechanisms through which a closer collaboration with them can be reached.

5. Review questions answered

223 Unless answered clearly in the text above or in sections below, the questions set by the UN Environment Task Manager in the consultants Terms of Reference and in my Inception Report are answered here.

Question 1. Are project's activities enhancing (or likely to enhance) the prevention of species extinctions? To what extent are biodiversity benefits being demonstrated in Socotra Island?

224 Despite the significant investment in research and analysis, and the establishment of pilot forest restoration activities, it is hard to say definitively that the threat of species extinctions have been significantly reduced by the project. In part this is because new threats have arisen not envisaged in the ProDoc, including the rapid social and economic changes on Socotra resulting from the civil war on the mainland, and the impacts of climate change. However, it is also apparent that insufficient attention has been paid to activities delivered at a sufficient scale and directed at immediate threats to specific highly endangered species or to reduce the level of environmental degradation caused by unsustainable management of the island's goats. Biodiversity benefits are being demonstrated through restoration activities but not at a scale to significantly improve species recovery and not in ways that are clearly sustainable. Biodiversity benefits are also being achieved by the successful removal of 4 invasive alien species that let to spread would have had a significant negative impact on the island's biodiversity

Question 2. Are project's interventions in community based invasive alien species management and sustainable land management likely to minimize the impact of IAS and land degradation?

225 The project has made significant improvements in the control and management of IAS at a practical, field level and through the involvement of communities. The project is preparing to strengthen systems for biosecurity and IAS monitoring. Further work and investment of time and resources is required to make these systems truly community-based and to seek resources for their on-going implementation

226 There is little evidence that project interventions are likely to reduce the specific forms of land degradation that threaten its ecosystems and species as well as its productive potential. This is a significant concern and relates in part to over-ambitious expectations. It should be noted that the role of goat grazing on land degradation was identified 20 years ago but none of the projects implemented on Socotra since then have made significant progress in reducing this threat.

Question 3. What evidence is available that the project activities are helping the central and local government to better manage the environment on Socotra?

227 Despite the difficulties described above, the project has certainly developed and implemented interventions that support environmental management on Socotra in partnership with local government and departments of central government. These are beginning to deliver useful results, raise awareness of conservation concerns, and build capacity.

228 Questions 4 and 5 have been answered previously in Sections VI C4 and VI A1 above.

Question 6. How has the project team responded to the implications for the sustainability of project impacts of the current political situation on Socotra?

229 As indicated in Section IV H, there are significant concerns regarding the sustainability of project interventions. These are mostly implicit in the

nature of the conservation endeavour on Socotra and the short-term funding horizon of this as most projects. However, the political and security problems being experienced by Yemen have reduced the probability of government inputs into conservation or environmental activities on the island being sufficient to make project outcomes sustainable. The ProDoc has an important component on sustainable financing but this has yet to yield fruit, needs to be given great priority, and needs to have a broader level of engagement from all project partners including UN Environment to be successful.

Question 7. How has the role of local communities been understood and their meaningful participation assured? How has the unique relationship between the people of Socotra and the natural values of Socotra been engaged?

230 It is my opinion that despite considerable engagement by the project with certain sectors of the community, most especially with respect to IAS control, support for household livelihoods, the establishment of Field Farm Schools for the management of terrestrial and marine resources, and for forest restoration activities, there has been insufficient engagement of communities in protected area management or in dealing with land degradation. The intention of the project to deliver community-based systems for protected area and resource management is far from being achieved.

231 The project is taking significant actions to build the Socotran language into products that will support the retention of local knowledge and values associated with Socotran biodiversity and natural values. I feel that more is required and more should be done in this regard, especially with respect to land management, the design and management of protected areas, and campaigns for the protection of specific endemic species.

B. Lessons learned

232 Important lessons learned from the successes of this project as well as from shortcomings in its delivery include:

233 The potential for security and political disturbances within the host nation to disrupt relations between internal and external partners should not be underestimated, and needs to be pro-actively addressed, in the project design if possible, but certainly in execution strategies before they become damaging. The agreement between Senckenberg and UN Environment to adopt a slowed down inception period as referred to in Section IV F2 was appropriate but further responses to the situation may have been valuable.

234 The problems caused by tensions between executing partners are evident. Investing time, energy and resources in relationships between partners is important and should be prioritized, especially if the circumstance of project execution is likely to aggravate the inevitable complexity and difficulty of managing the interpersonal and institutional relationships that are central to the delivery of every project.

235 Section IV C discusses how problems encountered by the project made implementation difficult. Section IV F1 discusses the consequences of the failure of the key parties to respond adequately, appropriately and sufficiently rapidly. Ensuring a timely response to difficulties affecting

execution is important to avoid situations deteriorating and making things worse and more difficult to fix.

236 The need to integrate funding from multiple sources, whether within GEF or with other donors too, to achieve expected levels of funding, each with their often distinct requirements and programmatic objectives, puts pressure on project development processes and can result in projects that lack a strong guiding logical narrative, are over-ambitious and unrealistic. Concerns raised over the structure and ambitions of the project did not result in the design being fundamentally modified.

237 Sustainability is easy to describe but hard to deliver. Expectations of sustainability of conservation outcomes are generally not realistic, whether demanded by funders or assured by project developers. This should be recognised. Though sustainability of conservation interventions depends to a great extent on the engagement of government institutions and communities, sufficient and sustainable financing of programmes is nonetheless essential if the required participation and commitment is to be sustained into the future.

238 Socotra has a unique culture that has developed over centuries of isolation from the wider world but which has nonetheless been greatly influenced by Islam. The impacts of this on delivering gender equality as understood in an international context must be recognised. Delivering gender equity in engagement in project delivery and levels of benefits needed to be understood and responded to more strongly in the ProDoc than they were. This would have led to stronger targets for achieving gender equity in the execution of the project and the design of specific activities.

239 Land tenure is central to resource and land management everywhere and therefore central to any conservation project. The effectiveness of some activities on the ground has been reduced, however, by land tenure conflicts. A strong analysis of land tenure is critical to the design of interventions that are likely to be locally acceptable and likely to succeed, and should be central to plans for the management of existing and the development of new protected areas.

C. Recommendations

240 The following recommendations respond to the concerns discussed above in sections VI A2 to VI A5. Each recommendation attempts to propose a practical way of dealing with the specific concerns by outlining interventions and indicating the parties responsible for taking action on them.

1. Management actions to be undertaken

241 The Project Coordinator and the National Project Manager must take immediate steps to reduce sources of tension within the project team and to increase shared levels of responsibility and ownership. Steps should include:

- Where necessary, establish formal line-management relations amongst the team and ensure they are followed.
- Support the delegation of responsibility through active mentoring of junior staff.
- Establish budgets to be managed by team members with cascading levels of authority to spend to allow junior team members to take decisions within their areas of activity.

This recommendation responds to the over-concentration of authority and responsibility amongst key project managers, and the resulting lack of capacity building of project staff, which is a key project outcome, as well as the creation of operational bottlenecks that slow down delivery of project activities.

- 242 The Project Coordinator and the National Project Manager must increase with immediate effect and for the duration of the project, the frequency of formal and informal interactions with key project partners, in particular with the EPA Chairman, the EPA Socotra Director, the Governor of Socotra and the Deputy Governor for Environment and Development, and members of the wider project execution team.

This recommendation is proposed to re-build trust and collaboration in the short term and increase the sense of local ownership of and connection to the project in the longer term. This recommendation is justified by and responds to the conflictual nature of relations between the co-executors and other project stakeholders, which has proved a significant impediment of delivering project outcomes and has persisted since at least May 2018 following the Bahrain meeting.

- 243 The National Project Manager must increase the regularity of reporting to the project co-executors and key partners while the Project Coordinator must ensure regular posting of reports to the UN Environment Anubis portal. Donor reports should be shared in a timely manner, and less formal activity reports and briefings should be provided on a regular basis.

This recommendation responds to concerns raised over the lack of reporting leading to perceptions of exclusion and low feelings of ownership and driven-ness by GoY partners.

- 244 The National Project Manager should convene a Project Execution and Coordination Advisory Group comprising representation of key Socotra partners and interested parties including the Governor's Office, GoY departments, district government representatives and local NGOs collaborating with the project. This will strength local ownership and allow the Steering Committee to focus on the high-level governance of the project rather than operation concerns. The process of formation should begin immediately. Meetings should be three monthly at least.

This recommendation responds to the perception amongst key stakeholders that they are not sufficiently involved in project implementation, and are not always aware of what is happening. It is also relevant to the recommendations made below regarding the Project Steering Committee, the need to keep its membership small and at higher governance levels, and the need to ensure a separation in functions between committee members engaged in execution and governance.

- 245 With the support of his line manager and senior team members, the Project Coordinator should carefully review and adjust the distribution of key

project roles and tasks amongst the team to avoid over extension and implementation bottlenecks

2. Governance

- 246 The UN Environment Task Manager should formally constitute and make operational the Project Steering Committee as the preeminent body for the governance of the project. The Committee should be constituted to provide high-level guidance to the project, assistance in resolving impediments to operations, and oversight of progress towards objectives. The Committee should not involve itself in project execution, which may wish to consider proposing a Project Execution and Coordination Advisory Group to which project execution matters can be delegated. Specific steps include:
- Terms of reference for the Committee should be drafted, shared and agreed with Senckenberg and the EPA; a small task-force comprising Senckenberg and project team members should be established to provide the first draft based on the ProDoc.
 - Committee membership should be based on named positions rather than individuals. Participation should be in person and delegation of participants should be discouraged.
 - Membership should be kept to a minimum for effectiveness, to allow for regular meetings, and to strengthen relationships between members. Seven is considered an ideal number of members, which should be balanced between government, non-government and international institutions.
 - Positions considered suitable for the Committee might include representatives of GoY (Ministry of Water and Environment, EPA, Governor's Office, Socotra), UN Environment (Task Manager), Senckenberg (Senior Project Adviser), Friends of Socotra (Board Member), IUCN (World Heritage Panel delegate).
 - The first meeting of the restructured Steering Committee should be as soon as possible. Meetings for the remainder of the project should ideally be 6-monthly.
 - To be effective as the governing body for the project, the principle of separating the roles of governance and execution must be adhered to. Institutions represented on the Steering Committee cannot be engaged in project execution or represented on the Project Execution and Coordination Advisory Group.

This recommendation is made in response to the lack of oversight being provided to the project by this essential grouping of institutions with a mix of responsibility for, authority over, and interest in the project.

- 247 Senckenberg must strengthen its institutional support for and oversight of project execution and management by its staff. Steps that can be taken to achieve this may include:
- Holding monthly or bimonthly meetings between the Project Coordinator and his line manager.
 - Greater institutional engagement with the project and in the making of key decisions related to the project including budgeting decisions.
 - Periodic reviews of progress.
 - Mentoring of key personnel on project execution.
 - Nomination of a senior officer as the Senckenberg Steering Committee Member.

This recommendation is made to strengthen the observed lack of institutional oversight being provided to the project management team.

3. Sustainability and legacy

248 Project management must pay closer attention to developing the technical and managerial capacity of the project team and staff of project partners, and of participating communities. Close attention must also be paid to designing effective hand-over mechanisms for key project outputs, especially the Socotra Portal. Several steps can be taken towards increasing efforts to build cadres of skilled and environmentally aware personal on Socotra:

- Design and support capacity building programmes with partners at all operational levels.
- Design and deliver specialist trainings events at all operational levels.
- Design and deliver specialist trainings in project development and proposal writing.
- Design and deliver specialist trainings in the operation and maintenance of the Socotra Portal.
- Assess the potential for offering internships to work on different components of the project to suitably qualified Socotrans.
- Develop a programme of technical secondments with partner organization on Socotra.

This recommendation is made as a response to question marks over institutional sustainability of project outcomes resulting from insufficient focus on capacity building, especially in management skills.

249 The Project Team must make greater efforts to ensure that educational and awareness materials prepared under the project are based on local ecological, biological and geological examples. This should include the development of audio materials employing the Socotri language. At the same time, all technical documents should be translated into Arabic in a timely manner to ensure strengthened ownership and a stronger and more sustainable legacy of the project.

Section IV D1 notes the work undertaken on the development of education materials and school curricula with the Department of Education, and the project is involved in raising public awareness about conservation through its Communications Programme. The biocultural significance of employing the indigenous language in conservation activities of all kinds needs to be recognized and its use further strengthened.

250 The project should prioritize working with the Office of the Governor and the EPA to design and establish policies and local byelaws to levy charges for activities with potential impacts on the environment and biodiversity on Socotra to be used to defray the costs of minimizing or mitigating these impacts.

This recommendation responds to the centrality to project outcomes of establishing sustainable financing mechanisms for the long term

funding of conservation activities, including the management of protected areas and biosecurity systems to prevent the arrival and spread of invasive alien species. A range of environmental levy mechanisms have been deployed by governments and should be explored by the government of Socotra as means of covering the on-going costs of conservation and environmental management. The decentralisation of government authorities provides for such levies to be imposed. Opportunities exist to design levies around activities on Socotra that incur costs and environmental challenges that must otherwise be paid for by government or the community. Levies that might be examined include, ecological levies on all imports to and exports from Socotra to cover the costs of biosecurity inspections; a levy on the sale of concrete, the use of which is closely linked to developments that must be assessed for environmental impacts; a tourism levy on all arrivals on Socotra or a bed-night charge to ensure the natural values on which the tourism industry on Socotra is based receive funding for its protection.

- 251 The GoY, with the support of UN Environment and other appropriate institutions should explore the potential to seek positive conservation outcomes through collaboration with relevant institutions to reduce any unintended environmental impacts of their programmes and to seek support for the sustainable financing of conservation programmes on Socotra.

An unexpected result of the civil war being waged on the mainland has been the raising of international interest becoming focused on Socotra. Regional governments and organisations are delivering a range of development assistance projects. This recommendation responds to the potential to establish productive partnerships for the delivery of sustainable conservation and development on Socotra.

4. New priorities for project interventions

- 252 This section answers Question 4 set in the Inception Report:

Question 4. What can be feasibly undertaken in the time remaining for project implementation given the significant changes and likely future changes in the operational environment, and what should be priorities for the Project Team?

- 253 The midterm review provides an opportunity to look at the future of the project in relation to its past and the past of previous interventions. It is clear that a cost-neutral or no-cost extension must be requested if the project is to deliver significant outcomes by its end. It is equally clear that the ambitious suite of interventions proposed in the ProDoc need to be reduced and more strongly integrated.

- 254 The project executors should undertake a participatory process to respond to this MTR report. Re-prioritization of project activities can help achieve stronger delivery of the project's existing objectives, which ideally should not be changed. This process will provide the basis for a no-cost extension proposal to be submitted to UN Environment. Ideas that might be considered to strengthen the outputs and impacts of the project include:

- Strengthening the project's focus on practical steps to establish community-based protected areas management. This will strengthen delivery of outcomes related to protected areas and biodiversity conservation as well as highlight the intended community-based nature of the project.
- Focusing land and resource management interventions in and around PAs. The current 'island wide' approach is too ambitious for the level of resources available and focusing interventions in relation to protected areas can help deliver outcomes for protected area management as well as create a more tightly focused programme.
- Undertaking a full review of the Conservation Zoning Plan, ensuring the process employs Free and Prior Informed Consent principles and works with models developed by the Indigenous and Community Conserved Area Consortium.
- Strengthening the focus on systems for improved biosecurity while building capacity for island wide monitoring for identified invasive alien species of active concern.
- Designing incentives for communities to participate in conservation activities including by linking livelihoods activities with communities directly to conservation outcomes – the IUCN model of revolving conservation funds may be useful
- Producing Socotra focused awareness and educational materials with a special emphasis on the use of the Socotri language
- Gathering international support and political commitment from nations with current interests in Socotra to provide sustainable financing solutions for Socotra's biodiversity and natural resources.

VII. Appendixes

Appendix 1. Relevant legislation and policies of GoY from the ProDoc

Fields of intervention	Concerned key legislation
1. Biodiversity Conservation / Protected Area Management	<ul style="list-style-type: none"> - Law No. (26) of 1995, "On Environment Protection", and its By-law No. (148) of 2000 - Prime Minister's Decree No. (104) of 2002, "Concerning the Approval of the Regulations Protecting Endangered Flora and Fauna and Regulating their Trade" - Law No. (16) of 2004, "On Protecting the Marine Environment from Pollution", Amending Law No.(11) of 1993
2. Invasive Alien Species Management	<ul style="list-style-type: none"> - Law No. (26) of 1995, "On Environment Protection", and its By-law No. (148) of 2000
3. Sustainable Land Management, and Land-Use (and Sea-Use) Planning and Management	<ul style="list-style-type: none"> - Law No. (32) of 1999, "On the Agricultural Wealth" - Law No. (33) of 2002, "On Water Resource Management" - Law No. (21) of 1995, issued by a Republican Decree, "On State Lands and Estates" - Law No. (1) of 1995, "On Ownership for Public Interest/Common Benefits" - Republican Resolution By-law No. (20) of 1995, "On Urban Planning" - Republican Resolution (Presidential Resolution) By-Law No. (37) of 1991, "On the Territorial Seas, the Exclusive Economic Zone (EEZ) and the Continental Shelf" - Cabinet's Resolution No. (98) of 2002, "Concerning Stopping the Covering of the Coastal Cities' Beaches" - Republican Decree of the Law No. (42) of 1991, as Amended by the Republican Decree No. 43 of 1997, and re-shuffled by Law No. 2 of 2006, "Concerning the Regulation of Fishing and the Use of Aquatic Living Organisms and their Protection"
4. Overarching and cross-sectoral	<ul style="list-style-type: none"> - Law No. (31) of 2013, "On the Establishment of the Governorate of Socotra" - Law No. (4) of 2000, "On the Local Authorities", and its Executive Regulation issued by the Republican Decree No. (269) of 2000

Fields of intervention	Concerned key policies and strategies
1. Biodiversity Conservation / Protected Area Management	<ul style="list-style-type: none"> - National Biodiversity Strategy and Action Plan (NBSAP), 2004 - National Plan of Action for the Protection of the Marine Environment from Land-based Activities

Fields of intervention	Concerned key policies and strategies
	(NPA), 2003 - National Environmental Action Plan (NEAP), 1996
2. Invasive Alien Species Management	- No specific policy known yet
3. Sustainable Land Management, and Land-Use (and Sea-Use) Planning and Management	- Irrigation Water Policy, 2001 - Agriculture Sector Reform Policy, 2000 - Water Resources Policy and Strategy, 1999-2000 - Watershed Policy, 2000 - National Action Plan to Combat Desertification - Wastewater Reuse Strategy - National Plan of Action for the Protection of the Marine Environment from Land-based Activities (NPA), 2003 - Fisheries Sector Reform (in preparation) - Fisheries Sector Strategy, 2000
4. Overarching and cross-sectoral	- Vision 2025 - Fourth Five-Year Development Plan for the Period 2011-2015 - Pilot Programme for Climate Resilience (PPCR) - National Adaptation Programme of Action (NAPA), 2008 - National Capacity Self-Assessment (2007) - Poverty Reduction Strategy Paper (PRSP 2003-2005) - Environment and Sustainable Development Investment Programme (ESDIP), 2003-2008 - National Strategy for Environmental Sustainability (NSES), 2006

Appendix 2. Scored review weightings and ratings template

Evaluation criteria	Rating	Score	Weight	Weighted Score
Strategic Relevance (select the ratings for sub-categories)	Highly Satisfactory	6	6	0.3
Alignment to MTS and POW	Highly Satisfactory	6	1	
Alignment to UNEP/GEF/Donor strategic priorities	Highly Satisfactory	6	1	
Relevance to regional, sub-regional and national issues and needs	Highly Satisfactory	6	2	
Complementarity with existing interventions	Satisfactory	5	2	
Quality of Project Design	Moderately Satisfactory	4	4	0.2
Nature of External Context	Highly Unfavourable			
Effectiveness (select the ratings for sub-categories)	Satisfactory	4	45	2.0
Achievement of outputs	Moderately Satisfactory	4	5	
Achievement of direct outcomes	Satisfactory	5	30	
Likelihood of impact	Moderately Unsatisfactory	3	10	
Financial Management (select the ratings for sub-categories)	Satisfactory	5	5	0.3
Completeness of project financial information	Moderately Satisfactory	4		
Communication between finance and project management staff	Satisfactory	5		
Compliance with UNEP standards and procedures	Highly Satisfactory	6		
Efficiency	Moderately Satisfactory	4	10	0.4
Monitoring and Reporting (select the ratings for sub-categories)	Moderately Satisfactory	4.0	5	0.2
Project reporting	Satisfactory	5		
Monitoring design and budgeting	Satisfactory	5		
Monitoring implementation	Unsatisfactory	2		
Sustainability (select the ratings for sub-categories)	Highly Unlikely	1	20	0.2
Socio-political sustainability	Moderately Unlikely	3		
Financial sustainability	Highly Unlikely	1		
Institutional sustainability	Unlikely	2		
Factors Affecting Performance (select the ratings for sub-categories)	Moderately Satisfactory	4	5	0.2
Preparation and readiness	Satisfactory	5		
Quality of project management and supervision	Moderately Unsatisfactory	3		
Stakeholder participation and cooperation	Moderately Unsatisfactory	3		
Responsiveness to human rights and gender equity	Satisfactory	5		
Country ownership and driven-ness	Unsatisfactory	2		
Communication and public awareness	Satisfactory	5		
			100	3.74
				Moderately Satisfactory

Appendix 3. Scored project design ratings template

A.	Nature of the External Context ⁶	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating: (see footnotes 2 & 3) – Highly Unfavourable to Highly Favourable.
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	<div> i) Ongoing/high likelihood of conflict? </div> <div> ii) Ongoing/high likelihood of natural disaster? </div> <div> iii) Ongoing/high likelihood of change in national government? </div>	<div> YES Concerns are raised in the ProDoc about the potential for conflicts over land tenure in relation to PAs; between GoY institutions with conflicting mandates; and between parties with interests in Socotra </div> <div> NO No reference was made to natural disasters and there had been no recent records of these. The 3 cyclones that hit Socotra in 2 years was unprecedented </div> <div> NO The ProDoc was finalized prior to the political and civil unrest that led to civil war on the mainland. These threat of these and their likely impacts on the project were discussed and noted by UN Environment prior to inception and led to a revised inception strategy, though not to a significant re-appraisal of the project design </div>	6

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

B.	Project Preparation	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating: (see footnote 2)
2	Does the project document entail a clear and adequate problem analysis?	YES		5
3	Does the project document entail a clear and adequate situation analysis?	YES		
4	Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings?	YES		
5	If yes to Q4: Does the project document provide a description of stakeholder consultation during project design process? (If yes, were any key groups overlooked: government, private sector, civil society, gendered groups and those who will potentially be negatively affected)	NO	Despite the great detail provided on the analysis, categorisation and ranking of stakeholders, there is little description of the process of consultation during the project preparation phase.	
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development?	i) Sustainable development in terms of integrated approach to human/natural systems	YES	
		ii) Gender	YES	
		iii) Indigenous peoples	YES	
C	Strategic Relevance	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
7	Is the project document clear in terms of its alignment and relevance to:	i) UN Environment MTS and PoW	YES	5
		ii) UN Environment /GEF/Donor strategic priorities (including Bali Strategic Plan and South-South Cooperation)	YES	
		iii) Regional, sub-regional and national environmental priorities?	YES	
		iv. Complementarity with other interventions	YES	
D	Intended Results and Causality	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
8	Is there a clearly presented Theory of Change?	NO	TOC was not required at the time the ProDoc was prepared. The LogFrame provided in the ProDoc is actually a Results Framework. As such there is no evidence of a strong process to describe a strong and logical project narrative, whether through a TOC or LogFrame process	2
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC?	NO		
10	Are impact drivers and assumptions clearly described for each key causal pathway?	NO		
11	Are the roles of key actors and stakeholders, including gendered/minority groups, clearly described for each key causal pathway?	NO		
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?	NO	The project design is unrealistic in terms of expected outcomes	

E	Logical Framework and Monitoring		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
13	Does the logical framework ...	i)Capture the key elements of the Theory of Change/ intervention logic for the project?	NO		5
		ii)Have 'SMART' indicators for outputs?	YES		
		ii)Have 'SMART' indicators for outcomes?	YES		
14	Is there baseline information in relation to key performance indicators?		YES		
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		YES		
16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		YES		
17	Have responsibilities for monitoring activities been made clear?		YES	ProDoc refers to the Project Coordination Team and project partners as being responsible for monitoring. The ProDoc focuses strongly on monitoring outcomes – e.g. related to biodiversity, natural resources, land degradation etc. There is less reference to monitoring inputs, activities, progress against targets.	
18	Has a budget been allocated for monitoring project progress?		YES		
19	Is the workplan clear, adequate and realistic? (eg. Adequate time between capacity building and take up etc)		NO	A clear and detailed work plan is provided. However, as the overall proposal is not realistic in terms of range, level, scope and scale of activities, so the workplan is not realistic	
F	Governance and Supervision Arrangements		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
20	Is the project governance and supervision model comprehensive, clear and appropriate? (Steering Committee, partner consultations etc.)		NO	Internal mechanisms for project oversight by Senckenberg are not described	4
21	Are roles and responsibilities within UN Environment clearly defined?		YES		
G	Partnerships		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
22	Have the capacities of partners been adequately assessed?		NO	The central roles to be played by GoY and communities are beyond their immediate capacities	4
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?		YES		
H	Learning, Communication and Outreach		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
24	Does the project have a clear and adequate knowledge management approach?		YES		4
25	Has the project identified appropriate methods for communication with key stakeholders, including gendered/minority groups, during the project life? If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?		YES	The cross cutting communications programme is well articulated and provides critical areas of support for project components 1, 2 and 3. In addition, the role of communications and awareness raising form their own area of focus. These are however	

			largely stand alone approaches rather than integrated into local government systems	
26	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	YES		
I	Financial Planning / Budgeting	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
27	Are the budgets / financial planning adequate at design stage? <i>(coherence of the budget, do figures add up etc.)</i>	YES		4
28	Is the resource mobilization strategy reasonable/realistic? <i>(E.g. If the expectations are over-ambitious the delivery of the project outcomes may be undermined or if under-ambitious may lead to repeated no cost extensions)</i>	NO	Especially in the context of the challenging operational context	
J	Efficiency	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	NO	As indicated above, the project was over ambitious in terms of scale and scope of interventions	5
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	YES		
31	Does the project document refer to any value for money strategies (i.e. increasing economy, efficiency and/or cost-effectiveness)?	YES		
32	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the review)</i>	YES	A no-cost extension will be sought to respond to the delays in implementation	
K	Risk identification and Social Safeguards	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
33	Are risks appropriately identified in both the TOC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC)</i>	YES		6
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>	YES		
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management)</i>	YES		
L	Sustainability / Replication and Catalytic Effects	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
36	Was there a credible sustainability strategy at design stage?	NO		3
37	Does the project design include an appropriate exit strategy?	NO	ProDoc makes no reference to an exit strategy though interventions for sustainable financing are present	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?	NO		
39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	YES	All are addressed in the ProDoc but responses are not realistic or sufficient to achieve sustainable outcomes	

M	Identified Project Design Weaknesses/Gaps	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
40	Were recommendations made by the PRC adopted in the final project design? If no, what were the critical issues raised by PRC that were not addressed.	Not Clear	<p>There is not reference to the PRC in the ProDoc or elsewhere.</p> <p>The GEF PIF Review 2013 criticises the proposed project design, but clears the project following apparent revision. However, the criticisms, quoted below, remain in the view of this consultant pertinent to the final ProDoc suggesting the concerns were not properly responded to.</p> <p>“The project has a very loose structure. The components appeared to be stacking one on top of each other, rather than being complementary. There is no common geographic setting for the project (except the entire Socotra WHS) and that makes very difficult to understand why these components were selected. The project will greatly benefit from a narrower geographic focus, and that will facilitate visualizing tangible and measurable Global Environmental Benefits on the ground.</p> <p>Re. Component 3 - This component is too wide to render tangible and measurable results on the ground within time and budget.</p> <p>Re. Component 4 - A very fussy component with the potential of using financial resources and rendering no GEBs. ... this component has a real change of overpromising and under delivering.</p>	2
41	Were there any critical issues not flagged by PRC?	Not clear		
N	Gender Marker Score	SCORE	Comments	No rating.
	<p>What is the Gender Marker Score applied by UN Environment during project approval? (This applies for projects approved from 2017 onwards)</p> <p>UNEP Gender Scoring: 0 = gender blind: Gender relevance is evident but not at all reflected in the project document. 1 = gender partially mainstreamed: Gender is reflected in the context, implementation, logframe, or the budget. 2a = gender well mainstreamed throughout: Gender is reflected in the context, implementation, logframe, and the budget. 2b = targeted action on gender: (to advance gender equity): the principle purpose of the project is to advance gender equality. n/a = gender is not considered applicable: A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.</p>	N/A	<p>Reflections on whether the gender score appears appropriate.</p> <p>This consultant would score the ProDoc 2a. Implementation has been more difficult</p>	5

SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x
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				Weighting)
A	Nature of the External Context	6	0.4	2.4
B	Project Preparation	5	1.2	6.0
C	Strategic Relevance	5	0.8	4.0
D	Intended Results and Causality	2	1.6	3.2
E	Logical Framework and Monitoring	5	0.8	4.0
F	Governance and Supervision Arrangements	4	0.4	1.6
G	Partnerships	4	0.8	3.2
H	Learning, Communication and Outreach	4	0.4	1.6
I	Financial Planning / Budgeting	4	0.4	1.6
J	Efficiency	5	0.8	4.0
K	Risk identification and Social Safeguards	6	0.8	4.8
L	Sustainability / Replication and Catalytic Effects	3	1.2	3.6
M	Identified Project Design Weaknesses/Gaps	2	0.4	0.8
			TOTAL SCORE (Sum Totals divided by 100)	4.08

VIII. Annexes

Annex 1. Response to stakeholder comments received but not (fully) accepted

Comments were associated with numbered paragraphs. Responding to comments has in some cases led to the creation of new paragraphs. The paragraph numbers indicated here refer to the MTR draft circulated for comment, not to this final report.

Para no.	Source	Comment	Response
Para 9 – 11; also 54-57, 77	SGN MT ⁷	<p>The development of the ... ProDoc (PAD) ... was guided by an international, experienced consultant [with] a strong track record of successfully developing project proposals for GEF and the UN system ... The wording (used by the MTR consultant to critique) the project development methodology is questioned, appears too strong, and we refute a lack of logic from Outcomes, to Outputs, to Activities</p> <p>It remains unclear, however,</p>	<p>It is my view that basic elements of the project design were weak and had a serious negative impact on the project's delivery and achievements. It should be noted that all parties involved in the design, including UN Environment and GEF as well as Senckenberg share the responsibility for this.</p>

⁷ Comments on the draft report attributed to Senckenberg were prepared by the senior project management team and endorsed by Prof Thomas Hickler.

		why the MTR consultant refers in a footnote to a single, critical comment during the PIF, ... the PIF passed with 'minor revision', followed by GEF CEO endorsement which review form clearly stated that all concerns at PIF had been addressed ("cleared") in the PAD.	
Para 30	EPA Central	Lately livelihoods of local communities have been improved due to increasing numbers of public and private employments supported by the Arab coalition. This has resulted in dramatic decrease in number of fishermen as well as reduced pressure on natural resources. In addition, fishery value chain has improved which would positively impact livelihoods of the islanders.	This is an important perspective. It does not however change the historical facts of overuse of natural resources, or data showing that fisheries resources continue to be over exploited.
Para 32	EPA Central	Assistance provided by the Arab coalition in general has positively impacted Socotra. It has tackled issues what environmental projects failed to attain for years ... we have seen that the development provided by the coalition has tackled many threats to the environment. These development efforts of the coalition have improved livelihoods of local communities and almost poverty does not exists at the moment on Socotra. This has strong positive impacts on natural resources as it reduced pressure on natural resources. Poverty is one of the main cause for environmental degradation. Poverty is tackled on Socotra and hence human-induced pressures on natural resources are significantly decreased.	This is an important note and one that I agree with in general. However, specific activities of the Arab coalition (sic) have undeniably had negative environmental impacts, while increased economic activity has also created specific environmental problems that will need to be addressed
Para 32	EPA Central	Land tenure and use is an issue that has existed since the 1990s and good measures have been taken lately to tackle this challenge.	Observations on the ground suggest that land tenure issues remain problematic and need to be addressed

Para 32	EPA Central	Invasive species is an issue even by the time the project proposal was developed. There is a positive support from the coalition with this and local authorities has taken measures on this	It is good to learn that the threat posed by alien invasive species is being addressed by the local authorities with support from the Arab coalition. The project is also helping to address the threat. AIS remain, however, a critical concern and increased levels of economic activity resulting in higher levels of imports and travel to the islands increases the threat.
Para 46	SGN MT	The PM disagrees with the chart proposed by the consultant. The PC is part of the senior management, and thus part and parcel of the PMT. All major operational decisions have been mutually discussed among the team of three senior experts (at least during the first 2.5 years since initiation). The PC reserves the right though to lead processes if and as necessary, and that appears to be a normal situation.	I have revised the text to indicate that the organogram represents my impression of the project's operational structure, not how it was supposed to be. The Project Coordinator appeared to me to occupy a space rather separate from both the Management Team and the National Team
Para 49	SGN MT	The Footnote needlessly denounces the substantial efforts related to organizing the PSCMs.	The footnote draws attention to the important fact that despite considerable efforts, the Steering Committee has not been formally established and has not played therefore the critical role required of it.
Para 54 – 57	SGN MT	... unclear why the MTR consultant refers in a footnote to a single, critical comment during the PIF, ... the PIF passed with 'minor revision', followed by GEF CEO Endorsement which review form clearly stated that all concerns at PIF had been addressed ("cleared") in the PAD.	I referred to this review statement that raised concerns over the logic, coherence and scope of the project because I felt they summarized well the concerns I had and because I did not feel they had been adequately addressed, even though the project was approved.
Para 60 - 61	SGN MT	The PT ... is most concerned about the overall turn out expressed in the draft MTR report, especially the overly negative perception and total rating of project status and	The MTR rating process generates a range of scores against pre-established criteria that produce an overall score. I do not feel I scored in an unfair or overly

		<p>achievements. This, we believe does not do justice to the hard work the three main partners UNE, EPA and SGN put into implementing and executing the project under less than conducive circumstances. The PT believes that no project partner can be satisfied with this. The PT is disappointed over the fact that the prospect of this turn-out had not been communicated by the MTR consultant in an adequate way before the draft MTR report was shared.</p> <p>The PT seeks to provide evidence that certain review results are too negative:</p> <p>[LPT: "Since we have been working in great difficulties and huge challenges of the current tough time of Yemen and Socotra as well, we were expected the overall rating of the project to be more ambitious and motivated."]</p> <p>[CABI: "There have been issues, especially around the conflict in Yemen which has had an indirect impact that should be taken into account."]</p> <p>... a main intention expressed by the MTR consultant during his missions and subsequent communication could be more clearly expressed in the report; that is to explicitly and positively encourage an extension to the project.</p> <p>The PT especially rebuts the general notion that local and national stakeholders have been insufficiently communicated with. As a matter of fact, the PM/PT afforded substantial amounts of its work time in trying to establish good ties within stakeholder arena,</p>	<p>negative way but completed the rating process based on the detailed requirements of the criteria provided by UN Environment.</p> <p>The difficulties of operational circumstances referred to were taken into account and are reflected in the final score. A 'Moderately Satisfactory' rating is a significant achievement.</p> <p>A range of factors prevented a higher rating being achieved but as reflected in the text, the team achieved a great deal they should be proud of and many of the difficulties are not attributable to them.</p> <p>I communicated my thoughts of the project team's achievements during the MTR process. I was unable to communicate the final rating of the project in advance, however, as this was revealed only after the scoring process had been completed.</p> <p>I believe that I have clearly indicated the need for an extension of the project.</p> <p>Despite efforts to ensure effective communications with partners, the negative nature of relations between the co-executing partners and other parties demonstrates these were not successful. The MTR format does not aim primarily at investigating inputs but outcomes and impacts.</p>
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		notably with EPA and the Governorate.	
Para 77	SGN MT	The PTs believes that the overall quality of the project design is certainly better than the suggested rating.	I believe the rating is fair.
Para 79	SGN MT	<p>What must be strongly refuted are statements that the design process did not comprise a “team processes to develop a logical framework for the project”.</p> <p>That concerns at “PIF were not addressed” during the onward design is a contrafactual statement. The project structure was further elaborated and adjusted,</p>	<p>No Logical Framework or ToC were prepared.</p> <p>I noted the “...lack of a sufficient response ...” to address concerns raised. The weaknesses of the final ProDoc demonstrate this to be the case in my view.</p>
Para 81	SGN MT	The views expressed in this paragraph in our opinion clearly appear to be over the top and an exaggeration of what might be considered a constructive and justifiable critique to be had.	I feel the views expressed are balanced and reasonable and designed to support all parties involved to improve project design processes
Section C	SGN MT	<p>The PT appreciates the level of concern given to the adverse external context the project is executed in. While not being spelled out comprehensively the selected examples draw an instructive picture.</p> <p>Unfortunately, the MTR methodology provides little detail as to how these difficulties are considered in the review process and in relation to the ratings, besides being recognised somehow.</p>	The “Highly Unfavourable” score given in this section is weighted and included as part of the calculation of the overall score for the project
Para 86	EPA Central	<p>The number of fishermen has dramatically decreased as most of them secured employment in public and private sectors hence there is less pressure on marine resources.</p> <p>If there is decline in fish stocks this could be attributed to other factors including natural disasters rather than overexploitation by Socotri fishermen.</p>	Though the number of fishermen may have decreased as indicated, there is a broad range of long-term data showing significant declines in fish stocks that have been attributed to over-fishing.
Para 87	Abdul	The buildings were available for	This is not the information

	Majeid Haddad	project team at the beginning of the project period but the executing agency opted not to utilize them. Only since early 2018, the building were not made available	that I was provided with by a number of different local sources
Para 87	Abdul Majeid Haddad	EPA Socotra moved to the Governorate Office	The EPA Socotra Director claimed that they had no office to work from after being required to vacate their official offices.
Para 87	Abdul Majeid Haddad	The project team was not required to relocate because it was not in the EPA building in the first place.	This is not what I was told by local sources
Para 87	EPA Central	The project's failure to attain some of its objectives cannot be justified through blaming activities of other international donors. The coalition through their development activities has practically proved how environment can be protected and how biodiversity can be conserved through community development and livelihoods improvements which environmental projects were not able to adequately address this yet, alas.	Development activities undertaken by the coalition have made valuable contributions to local livelihoods and the economy of Socotra (which several conservation projects have largely failed to do). This does not change the fact that they have also increased pressures on and threats to Socotra's natural resources and biodiversity and the need to address these threats more fully.
Para 87	EPA Central	Few plants were imported lately. This issue has been sorted out by an agreement with the coalition. The main aim for introducing these plants was to improve health of the islanders through provision of fruits and vegetables to fulfill local demands and there was no adequate knowledge on procedures that should be followed ... the coalition has welcomed cooperation with EPA and local institutions on this.	At the time of the MTR it was the view of CABI's experts that IAS was a growing threat to the island requiring stronger attention and closer collaboration with the coalition.
Para 90	SGN MT	The PT is not quite sure how that vast list of achievements in 'Outputs' justifies a 'Moderately Satisfactory' only for 'Delivery of outputs'; there have been massive efforts towards getting these outputs in place in spite of the adverse 'external context'.	The impact of the external context is accounted for elsewhere. The "Moderately Satisfactory" score was given based expected outputs in relation to those achieved. In the context, this level should be seen as an achievement by the

			team.
Para 102	SGN MT	Please re-consider the modest ratings in Criteria Group H 'Sustainability' against these statements. We believe there are even more promising signs indicating a less bleak prospect on lasting impacts and outcomes than suggested by the report.	I believe the score fairly indicates the likelihood of lasting impacts from project interventions.
Para 102	Anon	No indication of behavior change – Socotri have conservation of nature in their culture and blood ... their participation and help in conservation activities is normal. What is a behavioral change is the change in perception of the importance of nature conservation through shifts in economy, politics and education. Therefore, and this should be a strong point, we should focus for sustainability of conservation, on the next generations.	While agreeing with much of this comment, I felt that behaviors of local parties had been influenced by the project to some extent. The MTR criteria required analysis of behavior change elicited by the project
Para 103=107	SGN MT	The PT firmly believes that a number of key activities and outputs set already in place warrant a more positive outlook on the 'Likelihood of impacts'	There is often a limited relationship between project activities and outputs and sustainable and meaningful impacts. This should be a critical area of concern for all parties involved in the project. Even the important achievements in IAS eradication and establishing vegetation restoration plots will have impacts only if there is institutional and financial sustainability over an extended period.
Para 108	Anon	Financial management is completely non-transparent both in Senckenberg and beyond ... more transparency is urgently needed.	I am unable to comment on the degree of internal transparency of financial management, though I have recommended greater Senckenberg and EPA institutional roles in budgeting processes. The MTR scoring of financial management refers to UN Environment requirements.
Para 116	Anon	Communication on finances in the project between project	Communication Between Finance and Project

		coordinator and the team and other staff ... is completely lacking,	Management Staff refers to UN Environment team members, not the co-executing team members.
Para 118	Anon	Who checks whether the expenditures decided by the project coordinator are relevant, objective and true? ... Any budget decisions should be agreed before execution with input of local stakeholders (EPA, GoY).	I agree with this comment and have recommended great participation in budgeting processes. However, the Highly Satisfactory score relates to system standards and external, audited transparency.
Para 125	SGN MT	The PC refutes that any project management action has contributed to aggravate and worsen the situation. To the contrary, it's been the reasonable handling that now allows resuming a fruitful collaboration. The PC refrains from further commenting on these issues since doing so, however justified this might be felt to be, would compromise the reconciliation process all parties have substantially invested into. The PM suggests though to more prominently referring to the progress achieved instead of overemphasizing issues for which the key partners have agreed on solutions.	The concerns I raise about the 'hands-off' management style of Senckenberg are serious and important and should be considered thought-fully rather than refuted as a knee-jerk response. At the time of the MTR there was no evidence of progress towards real reconciliation between parties, though I am happy to hear there has been since.
Para 151 - 154	SGN MT	The PT refutes the notion of an unsatisfactory implementation of the M&E framework. Project reporting requirements are vast and attending to them absorbs a substantial amount of work time of the lead management, and also of all team members.	My score and statements related to M&E are based on my reading of the ProDoc, the reports and my observations of the mechanisms for M&E.
Para 157	EPA Central	We do not think it is tolerable to issue such judgments on issues out of the scope of this assessment and precisely identify factors of cause based on only a week visit that is minutely devoted to assess the project.	The understanding, that pressures originating from outside Socotra are having impacts on Socotra's biodiversity, culture, social structure and institutions, is drawn from a wide range of discussions, reports and written sources. It is not a unique view of the consultant, is not surprising, and not in my view contentious.

Para 160	Anon	It is possible to undertake regeneration if combined with local ownership and interest ... the Czech team knows how to do this effectively and have always been able to engage local communities to do so. However, here, the scale of replantation should be revisited ... to ensure survival of these species, regeneration efforts should be island-wide, not in small individual places.	My observations led me to believe that current regeneration initiatives are not sustainable. This analysis related to an assessment of project impacts being highly unlikely to persist beyond the life of the project.
Para 178	Anon	Does GoY want a revised zoning plan, or improved implementation of the existing plan?	Discussions with officials led me to believe that a process to revise the zoning plan is considered a priority
Para 194	Anon	Has the project contributed to the development of school curricula? Improved collection of fisheries data is not as important as protecting coastal areas.	Local government officials informed me that they had worked with the project team to develop new educational curricula. This need to strengthen MPA management has been noted elsewhere
Para 200	SCN MT	For example, the MTR consultant bore witness to a constructive reconciliation meeting between the EPA Chairman, Deputy Governor, NOPM and PC, representing a clear turning point to the better. It is unclear to the PT why the report insists on focussing on issues in neglect of successful mitigation efforts being already put in place.	I was pleased to sit as an observer at this meeting. It is positive that it is described as a 'reconciliation meeting' as this indicates recognition of a problem needed to be resolved. I do not feel I could report on this meeting in the MTR report as a 'clear turning point to the better' as the meeting could be considered an artifact of the MTR process itself. I have felt it necessary to discuss the problematic relationships I observed as these were having significant impacts on project delivery and I believe that improving them will be important. The MTR can only describe the situation at the 'point or review' and I believe I have reflected these fairly. I am

			pleased to hear that mitigation efforts have already been put in place since the MTR.
Para 204	SCN MT	The statement is rebutted as well. The conflict issue is primarily an internal matter at SGN, and as such is an unpleasant yet pretty normal issue in a project of this kind, or in any organization or corporation. The PC has made clear statements to this end towards the team and organized and communicated consequences professionally. It is for nobody to take sides, no team member has been requested or forced so, and there is no risk of fractionalisation [statement supported by NOPM]. Steps of the PC to resolve the issue per se were taken immediately and repeatedly; statements to the contrary have no evidence.	Conflicts within management teams may be normal but need to be carefully and quickly addressed as they can have serious consequences for project teams and project execution. My observations and discussions led me to raise this issue as real and needing to be addressed by Senckenberg as an institution.
Para 208	Abdul Majeid Haddad	Bringing more to PSC will complicate decision-making. I still believe that there should be two level committee; one project board with decision making authority and confined to EPA, SGN, Governor Office and limited local government offices, and the 2nd level is a broader advisory group that bring all relevant partners	Recommendations have been made proposing a Steering Committee with reduced numbers but broader membership to help overcome the governance problems of the project, and a larger execution advisory committee. There should be strict separation of membership between these committees.
Para 208	EPA Central	Project steering committee should be limited to EPA, SGN and local authority and related institutions on Socotra.	I believe that the Steering Committee and the project would benefit from a small but more broadly drawn committee.
Para 243	SCN MT	It is not for the PSC to interfere in operational matters (day-to day management) per se, hence there is accordingly no need to lift respective tasks from it and shift it to another group (the term 'Executive' in the name of the group should therefore be avoided, and its TOR be unanimous to this end). The 'Inception Matrix'	The proposed committee is not proposed as an executive committee but an advisory committee; its formation should allow the Project Steering Committee to operate as a high-level oversight and governance body while allowing a broad range of local partners to be engaged in advising on

		already holds detailed prescriptions derived from the ProDoc that should not be undermined.	project execution.
Para 244	Abdul Majeid Haddad and EPA Central	Steering committee should only be between government and UNEP, no external organizations since it touches project design and decision-making	I do not understand that external organizations are prevented from sitting on the Steering Committee by prevailing rules. And I believe that in this case, they may be a valuable addition.

Annex 2. People contacted, interviewed remotely or met, and Consultant's programme of visits

Skype or phone interviews

Name	Position / Relation to project
Ersin Esen	UN Environment Task Manager
Dr. Edoardo Zandri	Former UN Environment Task Manager
Dr. Abdelkader Bensada	Former UN Environment Task Manager
Dr. Kay Van Damme, Sxx	BD-PAM Expert and Lead Scientist. Senckenberg
Dr. Alan Forrest	CMEP and RBGE, Cultural Heritage Project - British Council
Anna Paolini	UNESCO-WHC, Regional Office Doha, Qatar
Prof. Dr Fabio Attore	Sapienza University, Roma, Italy
Dr. Miranda Morris	Soqotri Culture, Language and Socio-Economic Expert, St. Andrews, Scotland, UK.
Dr. Richard Porter	Conservation Training Expert and Ornithologist
Haifa Abdulhalim	ARC-WHS Bahrain /IUCN

Email communications

Name	Position / Relation to project
Dr. Omar Al-Saghier	UNDP-GEF/Small Grants
Katja Setzkorn	GIZ Socotra Project (closed)
Prof. Dr. Petr Madera	Leader Int'l. SLM Expert Consultants; Mendel University, Brno, Czech Rep.
HE Eng. Abdulrahman Al-Eryani	Environmental Advisor to the President
Dr Sue Christie	Environmental Education Volunteer
Lisa Banfield	Secretary, Friends of Socotra
Pooja Bhimjani	UN Environment Fund Management Unit - Ecosystems Division

Meetings in person

On Socotra; Project Team plus Consultants

Name	Position / Relation to project
Dr Abdulkarim A. Nasher Saeed	National Onsite Project Manager
Abdulwahab Saad Saeed Ali	National Terrestrial Biodiversity and PA Management Expert
Fuad Naseeb Saeed Khamis	National Marine Biodiversity and PA Management Expert
Asrar Mo' Abdullah H. Al-Hamed	National Accountant and Administrative Officer
Ahmed Saeed Suliman Abdullah	National Invasive Alien Species Management Expert
Abdullateef Saad Amer Saeed	National Sustainable Land Management Expert
Haifa Saeed Ali Tayseer Bazayad	National Community Engagement and Gender Expert
Ali Yahya Ali Mahross	National Community Engagement and Nature-based Livelihoods Expert
Motea Shiekh Aided	Marine biology expert
Uwe Zajonz (SGN)	Project Coordinator
Sergy Borogodisky	International Marine biology expert
Dr Arne Witt (CABI)	Leader, IAS Expert

Socotra based partners and interested parties

Name	Position / Relation to project
Local Government	
Rayad Nasser Alguraibi	Acting Governor/Deputy Governor for Island Affairs
Abduljameal Abdullah Ali	Deputy Governor for Environment & Development
Saleh Ali Saad	Deputy Governor for Governance
Salem Hawash Ahmed	General Director of EPA Socotra
Imged Mohammed Thani	General Director of Hadibo District
Mo'd Saad Taha Al Beshmahy	General Director of Qalansiyah District
Fahmi Al Ghatnani	General Director of Agriculture Office
Saad Mohammed Baziyad	General Director of Fisheries Authority
Ahmed Ebrahim	General Director of Education Office
Mahdi Saleem	Governor's Office Manager
Ali Mohammed Sabab	General Director of Youths and Sport
Abdulaleem Ahmed Issa	General Director of Works and Social Affairs
Fahmi Bahwairth	Manager of Agriculture Office (Qalansiyah Branch)
Community members	
Omer Ali Ahmed	Chairman of Roosh marine protected area
Wajdi Omer Ali Ahmed	Protected Area Coordinator and Communication Officer
Thani Suliman	Chairman, Homhil Protected Area Society

Saleh Omer Salem	Community Committee Member
Issa Suliman	Community Committee Member
Issa Musliem	Community Committee Member

Alzahara School

Ashwaq Abdullah Salem	Headmistress, Alzahra School, Hadibo
Mohammed Mo'ad Salem	School deputy, Alzahra School, Hadibo
Aref Abdoh	Teacher, Alzahra School, Hadibo

Womens Associations

Muna Abu baker Alhamed	Head/ Representative of Qashyihan Women' Group
Tammoh Saad Abdullah	Coastal Women Association Chairperson
Tammoh Adeeb Abdullah	Coastal Women Association General secretary
Zamzam Ali Khaled	Chair, Union for Women and Child
Saeedah Mahfouz Saeed	Chairman of Al-musrqbal Women Association
Thakiryat Khaled Ebrahim	Home Garden's Supervisor

Socotra Wildlife Association

Nasser Abdul Rahman	Chairman, Socotra Wildlife Assoc.
Sameer Bin Qublan	Communication and relation officer, Socotra Wildlife Assoc.
Mansour Ahmed Sha'aban	Media officer, Socotra Wildlife Association
Asma'a Nather Ali	Member, Socotra Wildlife Association
Abtisam Ali Anini	Member, Socotra Wildlife Association
Sana'a Saeed Saad Qarhan	Member, Socotra Wildlife Association
Adnan Zakirya Omer	Member, Socotra Wildlife Association

Socotra Heritage Project

Esmail Salaam	Project Leader
Ali Hassan	Project Coordinator
Ahmed Al Rumeli	Linguistics Officer
Mohammed Ali	Site Documentation Officer
Ahmed Al Orqbi	Department of Antiquities and Museums
Shaikha Suliman	Society of Women's Development Associations
Ahdab Al Amri	Qalansiyah and Islands Officer

Visiting EPA Delegation

Name	Position / Relation to project
Abdulqadir Mohammed Alqiraz	EPA Chairman
Fadel Obid Al-thalebi	General director of EPA (Aden Branch)
Fatehi Al-sawi	General director of EPA (Lahj Branch)
Mohammed Ahmed Al-abadi	General director of EPA (Mar'ab Branch)
Abdulsalam Al-gabi	General director of EPA (Dalah Branch)
Nayaf Al-kalifi	General director of EPA (Shabwah Branch)
Nader Basneed	Head of marine geology, EPA
Fatehi Atta	Chairman office manager, EPA

Name	Position / Relation to project
Prof. Dr. Andreas Mulch	Vice General Director SGN
Prof. Dr. Thomas Hickler	Work Group Leader
Mrs. Nadine Schneck	Administrative & Scientific Assistant
Dr. Claus Weiland	Database, Remote Sensing & Modelling
Dr. Aidin Niamir	Database, Remote Sensing & Modelling
Thomas Winter	Database, Remote Sensing & Modelling
Dr. Faared Krupp	Head, Ichthyology Section

	WED, 3 April	THU, 4 April	FRI, 5 April	SAT, 6 April	SUN, 7 April	MON, 8 April	TUE, 9 April
AM	<p>Arrival</p> <p>Meet EPA and Governor's Office officials at airport</p>	<p>Welcome Governorate Office, Hadiboh</p> <p>Touch base As group: EPA Yemen (Chairman) and Socotra (GD), GDs of Districts and Offices</p>	<p>Project event Sirhin Lagoon: Coastal lagoon clean-up and awareness campaign</p> <p>Port visit Unofficial re. IAS issue</p> <p>NGO Coastal Women Assoc: Handicraft production and coastal awareness</p>	<p>Informal discussion with Village Sheik</p> <p>Attended meeting of Wagdi's Fisher Field School</p> <p>Project site Homhil Community: Forest restoration, tree nursery, rotational grazing enclosure</p> <p>Community meeting</p>	<p>Meetings Governor's Office:</p> <p>One-to-one meetings with: Acting Governor, Dep. Gov. for Outer Island Affairs; Dep. Gov. Governance; Manager, Education; DG Tourism; Acting Manager, Agriculture; GM Hadibo District; GD, Fisheries; Vice Manager, Airport; GD, Port</p>	<p>Meeting Qalansiya District:</p> <p>GD of Qalansiya District, EPA Qalansiya, District Officers</p> <p>Project site Qalansiyah Gardens: Farmer Field School</p>	<p>Meeting One-to-one with Project Coordinator</p> <p>Meeting and Site Visit Cultural Heritage Project team</p>
PM	<p>Welcome Meeting Project Team; preliminary briefings</p> <p>Familiarization Tour of Hadiboh by car</p>	<p>Project site Al-Sahareh School: Meeting headmistress and students</p> <p>Project site Qashehin Gardens: Farmer Field School</p>	<p>Project site Roosh-Haleh Community</p> <p>MPA, Ecotourism</p>	<p>IAS sites Visit to eradication and control sites</p> <p>Project team Meeting Int'l IAS Expert Dr. A. Witt</p>	<p>Meetings Project Office</p> <p>One-to-one with: DG EPA Socotra; Project Finance and Admin Officer; National Project Manager</p> <p>Project team presentations Gender Programme; Marine Programme</p>	<p>Project site DiHamd Community:</p> <p>Mangrove rehabilitation, nursery and reforestation site</p>	<p>Project event Al Zahra School; Nature and Culture Awareness Event and Quiz</p> <p>EIS Programme presentation Project Centre</p>

Eve	Touch base Planning meeting with EPA, GoY and Project team	Meeting: Esmail Salaam; IUCN/British Council Cultural Heritage Project	Overnight at Roosh campsite	Meeting: Esmail Salaam; IUCN Cultural Heritage Project	NGO Socotra Wildlife Association; at Centre	Project site Community Cooperative Shop	Informal De-Briefing and Meeting: EPA Chairman; Dep. Gov. Environment; Project Team
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Programme for Frankfurt trip to Senckenberg, provided by the Project Coordinator

Programme MTR – Visit Dr. Mark Infield, Consultant Evaluator of UNE-GEF/EPA-SGN Socotra Project – Tuesday-Wednesday, 23-24 April 2019

23 April, time	Programme	Location	Participants	Remarks
10:30 – 11:00	Briefing by Mr. Zajonz - Introduction to SGN	SBIK-F, Laurasia	Dr. Infield - Mr. Zajonz	
11:15 – 11:45	Courtesy Meeting at Directorate	SGN Main (Jügelhaus), Office Directorate	Dr. Infield - Prof. Mulch, Dr. Schneck, Mr. Zajonz, Mrs. Schneck	
12:00 – 13:00	Lunch	Frankfurt and Friends	Dr. Infield - Prof. Hickler, Mr. Zajonz, Dr. Krupp	
13:15 – 14:45	Meeting Technical Project Team (Group) Socotra Data Portal	SBIK-F, Laurasia	Dr. Infield - Prof. Hickler, Mr. Zajonz, Dr. Weiland, Dr. Niamir, Mrs. Schneck	
15:00 – 17:00	Meeting Technical Project Team (bilateral) - Senior Management / Oversight	SBIK-F, Laurasia	Dr. Infield - Prof. Hickler (Dr. Krupp as advisor)	

24 April, time	Programme	Location	Participants	Remarks
09:00 – 10:00	Tour of Ichthyology Section: Dr. Krupp Example of basic research and museum unit and origin of SGN's work on Socotra	SRI, Ichthyology	Dr. Infield – Dr. Krupp, Mr. Zajonz	<i>Incl. overview of SGN's work in Arabia and earlier UN projects</i>
10:00 – 10:45	Meeting Technical Project Team (bilateral) Administrative/Financial Processes	SRI, Ichthyology – Meeting room	Dr. Infield - Mrs. Schneck	
11:00 – 11:45	Debriefing	SBIK-F, Laurasia	Dr. Infield - Mr. Zajonz	<i>Incl. recommendations for ProDoc review</i>

Annex F1 - RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET LINE (GEF FUNDS ONLY USS)													
Project title: Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago													
Project number: ADOS 1081 - GEF ID 5367													
Project executing partner:													
Project implementation period: 2015-2019													
From:													
To:													
Expenditure by project component/activity (provide description)													
Add additional components/activities as required													
Instart actual year													
Add additional years as required													
Expenditure by calendar year													
	Ref to relevant Output	1 BD/PAM	2 IAS	3 SLM/LD	4 Enabling Environment	5 Proj. Mgmt	Total	Year 1*	Year 2*	Year 3*	Year 4*	Total	
UNEP Budget Line													
10 PERSONNEL COMPONENT													
1100 Project personnel													
1101 Socotra-based Project Manager	all	99,000	55,000	55,000	55,000	24,000	288,000	72,000	72,000	72,000	72,000	288,000	
1102 Intf. Project Coordinator (part-time, 50%)	all	45,000	45,000	45,000	45,000	20,000	200,000	50,000	50,000	50,000	50,000	200,000	
1103 National Socotra-based Co-Manager	all	22,000	22,000	44,000	44,000	12,000	144,000	36,000	36,000	36,000	36,000	144,000	
1199 Sub-total		166,000	122,000	144,000	144,000	56,000	632,000	72,000	72,000	72,000	72,000	632,000	
1200 Consultants (local and intl)													
1201 BD/PAM	1.1.1 - 1.2.2	167,000					167,000	40,000	40,000	40,000	40,000	167,000	
1202 IAS	2.1.1 - 2.2.1		187,000				187,000	50,000	50,000	40,000	47,000	187,000	
1203 SLM	3.1.1 - 3.2.1			182,000			182,000	50,000	48,000	38,000	46,000	182,000	
1204 TrF. Fundraising	4.3.1 - 4.3.3			223,500			223,500	65,000	58,000	58,000	48,500	223,500	
1205 K&M/COM	x-cutting, mainly 4.2.1 - 4.2.2			80,000			80,000	20,000	20,000	20,000	20,000	80,000	
1206 Legal Advisors	4.3.1 - 4.3.3			40,000			40,000	10,000	10,000	10,000	10,000	40,000	
1207 Capacity Development	x-cutting, mainly 4.1.1 -	30,000	25,000	25,000	40,000	0	120,000	30,000	30,000	30,000	30,000	120,000	
1299 Sub-total		187,000	212,000	207,000	383,500	0	989,500	10,000	10,000	10,000	10,000	989,500	
1300 Administrative Support													
1301 Administrative and Technical Support staff	all	50,000	50,000	50,000	50,000	40,000	240,000	60,000	60,000	60,000	60,000	240,000	
1399 Sub-total		50,000	50,000	50,000	50,000	40,000	240,000	60,000	60,000	60,000	60,000	240,000	
1600 Travel on official business													
1601 Travel costs for project team	all	35,000	35,000	35,000	35,000	0	140,000	35,000	35,000	35,000	35,000	140,000	
1699 Sub-total		35,000	35,000	35,000	35,000	0	140,000	35,000	35,000	35,000	35,000	140,000	
1999 Component total		438,000	419,000	436,000	615,500	96,000	2,601,500	177,000	177,000	177,000	177,000	2,601,500	
20 SUB-CONTRACT COMPONENT													
2100 Sub-contracts (MOU/LOAs for cooperating agencies)													
2101 Establishment of Field School Units	x-cutting, mainly 4.1.6	40,000	40,000	40,000	40,00								

Project title: Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago

Project executing partner:

*Insert actual year

From:		Add additional years as required				
		Year 1*	Year 2*	Year 3*	Year 4*	Total
UNEP	Budget Line					
10	PERSONNEL COMPONENT					
	1161 Staff and other personnel costs	483,000	471,000	451,000	456,500	1,861,500
	1561 Travel	201,250	201,250	201,250	201,250	805,000
1999	Component total	684,250	672,250	652,250	657,750	2,666,500
20	SUB-CONTRACT COMPONENT					
	2161 Contractual Services	496,000	437,000	332,000	348,066	1,613,066
2999	Component total	496,000	437,000	332,000	348,066	1,613,066
40	EQUIPMENT AND PREMISES COMPONENT					
	4161 Supplies, Commodities, Materials	12,500	12,500	12,500	12,500	50,000
	4261 Equipment, Vehicles and Furniture	85,000	55,000	0	0	140,000
4999	Component total	97,500	67,500	12,500	12,500	190,000
50	MISCELLANEOUS COMPONENT					
	5161 General operating and other direct costs	87,500	80,000	75,000	72,500	315,000
	5581 External Evaluations (mid-term and final)		35,000		35,000	70,000
5999	Component total	87,500	115,000	75,000	107,500	385,000
99	GRAND TOTAL	1,365,250	1,291,750	1,071,750	1,125,816	4,854,566

QUARTERLY EXPENDITURE STATEMENT and UNLIQUIDATED OBLIGATIONS REPORT (US\$)

Project title: Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago												
Project number: ADDIS 1083 - GEF ID 5347												
Project executing partner: Senckenberg Gesellschaft fuer Naturforschung (SGN), Frankfurt a.M., Germany												
Project implementation period:				From: 18/02/16		To: 17/02/20						
Reporting period:				From: 01/10/18		To: 31/12/18						
UNEP Budget Line (UMOJA)	UNEP approved budget			Actual expenditures incurred*							Cumulative unspent balance to-date	
	Total project budget	Current YEAR budget	Cumulative expenditures for current YEAR	Disbursements for current QUARTER	Unliquidated obligations for current QUARTER	Total expenditures for current QUARTER	Total expenditures for current YEAR	Cumulative expenditures for previous YEARS	Total cumulative expenditures to date			
	A	B	C	D	E	F=D+E	G=C+F	H	I=G+H	J=A-I		
	1161	Staff and other personnel costs	1,861,500	239,722	68,256		68,256	307,978	474,525	782,504		1,078,996
	1561	Travel	805,000	92,743	44,494		44,494	137,237	171,858	309,095		485,905
	2161	Contractual Services	1,613,066	194,053	68,492		68,492	262,546	156,780	419,326		1,193,740
4161	Supplies, Commodities, Materials	50,000	2,795	2,075		2,075	4,871	2,948	7,819	42,181		
4261	Equipment, Vehicles and Furniture	140,000	8,802	894		894	9,695	109,015	118,710	21,290		
5161	General operating and other direct costs	315,000	29,428	22,647		22,647	52,075	16,916	68,991	246,009		
5581	External Evaluations (mid-term and final)	70,000	-	-		-	-	-	-	70,000		
99	GRAND TOTAL	4,854,566	-	567,544	206,858	-	206,858	774,402	932,042	1,706,444	3,148,122	

*The actual expenditures should be reported in accordance with the specific budget lines of the approved budget (Appendix 1) of the project document in Annex 1

The appended schedule "Explanation for expenditures reported in quarterly expenditure statement" should also be completed

EXPLANATION FOR EXPENDITURES REPORTED IN QUARTERLY EXPENDITURE STATEMENT

From:	To:	Total expenditure for QUARTER	EXPLANATION
BL**	Budget Line description		
1161	Staff and other personnel costs	68,256	Fees for local/national team and salaries staff
1561	Travel	44,494	Travel of consultants, staff and Steering Committee
2161	Contractual Services	68,492	Int. technical support and coordination SGN; Support to local NGOs, CBOs
4161	Supplies, Commodities, Materials	2,075	IT supplies; office consumables; commodities
4261	Equipment, Vehicles and Furniture	894	Furnitures
5161	General operating and other direct costs	22,647	Operational costs; bank transfer costs; maintenance of equipment
5581	External Evaluations (mid-term and final)		
99	Total as per Expenditure Statement	206,858	equals total of column F

**Budget Lines (BL) in this report shall be exactly as specified in the approved budget (Appendix 1) of the project.

Name: Stephanie Schwedhelm Title: Administrative Director Name of Project Manager: Uwe Zajonz Date: 29/01/19
 Duly authorized official of Executing Division Date: 29/01/19 Signature: _____
 Signature: _____

Table 2: Expenditure by Outcome/Output (for both GEF and Non-GEF projects)

UMOJA Budget Line	Estimated Cost at Design	Actual Cost/Expenditure Dated: 31.12.2018	Expenditure Ratio (actual/planned) Dated: 31.03.2019
All figures in USD			
1161 Staff and other personnel costs	1,861,500	782,504	95,029
1561 Travel	805,000	309,095	31,856
2161 Contractual Services	1,613,066	419,326	39,210
4161 Supplies, Commodities, Materials	50,000	7,819	1,551
4261 Equipment, Vehicles and Furniture	140,000	118,710	3,043
5161 General operating and other direct costs	315,000	68,991	13,429
5581 External Evaluations (mid-term and final)	70,000	0	0
Total Sum	4,854,566	1,706,444	184,118

Annex 4. Review bulletin

The primary MTR objective was to advise project stakeholders through: analysis of project design; reviewing operating environment; assessing progress made towards objectives; identifying learning lessons; and making recommendations.

The consultant undertook a literature review, made field visits to the island of Socotra and the headquarters of the Senckenberg, the co-executing agency of the project, and held a series of interviews and discussion with key groups and individuals as well as employing forms of observation and analysis.

The wide range of criteria provided by UN Environment was scored based on the information collected and led to an overall MTR Moderately Satisfactory result. This single score hides a wide range of positive and negative findings that led to a series of recommendations summarized here.

A number of key project achievements were observed and noted.

- Overcoming obstacles to deliver a wide range of activities on the ground
- Strong technical approach based on strong science
- Socotra portal created as repository of data
- Building a quality team of local and international partners
- Building positive relations and programs with technical offices on the ground
- High awareness and visibility based around communications program
- Strong practical response to invasive species threats

A broad range of concerns with the execution and implementation of the project were identified. Several related to questions over project delivery and sustainability of impacts.

- Lack of tangible improvements in PA management
- Lack of tangible improvements in land management
- Insufficient incentives for participation of communities in conservation
- Weak integration of economic development and conservation activities
- Long time-frame for ecological restoration
- Insufficient attention to building capacity of partners
- Development activities threatening biodiversity and sustainable resource use

Problems associated with project management were found to be important

- Tensions within team and between key partners and failure to find timely and acceptable resolutions
- High level of concern expressed by partners over project implementation
- Insufficient delegation of responsibilities and active mentoring of team members
- Ineffective interpersonal engagement between project management and key partners
- Insufficient communication between project management and key partners
- Reporting and sharing of reports to allow all parties to play their roles

Of equal if not greater concern were problems with project governance

- Weak role and poor formalization of Project Steering Committee
- Failure to engage key international parties and interests in project governance
- Insufficient institutional support and oversight of project implementation by Senckenberg
- Changes in UN Environment oversight reduced historical continuity of institutional knowledge
- EPA and local government participation and ownership

- Insufficient engagement with Saudi and Emirati institutions active on the ground

In order for the remaining time and funds of the project to be made best use of, a number of priority project interventions were proposed.

- Undertake participatory process to respond to MTR report and opportunities for project revisions
- Prepare no-cost extension proposal; potential ideas for consideration include:
 - Strengthen focus on practical steps to establish community-based PA management
 - Focus land and resource management interventions and Invasive Species control in and around PAs
 - Design and deliver incentives for communities to participate in conservation activities
 - Produce Socotra focused awareness and educational materials
- Gather international political support to engage Saudi and Emirati government commitment to financing solutions

Several recommendations were made to the management team to strengthen delivery of the project.

- Pro-active management actions to overcome tensions within team and between key partners
- Increase formal and informal communication between partners
- Establish a Project Implementation Advisory Group of Socotra partners to strength local ownership/driveness
- Greater delegation of responsibility, including financial within the team, and especially to the Socotra team
- Improve reporting and dissemination to strengthen engagement of all parties

Similarly, recommendations were made to a range of parties to put in place the critical elements of governance found to be weak or lacking.

- Project Steering Committee
 - Define member, draft TORs, raise profile, 6 monthly meetings
 - UN Environment to propose IUCN or UNESCO place
 - Embody principle separating steering and operational roles
 - Senckenberg to nominate permanent representative
- Establish mechanisms, formal and informal, for wider and more meaningful stakeholder participation
- Senckenberg to strengthen support and oversight of project including bi-monthly management meetings

With little time remaining, concerns over the sustainability of impacts and project legacy led to some recommendations.

- Design and implement expanded capacity building program - trainings, internships, secondment, etc. in technical and management skills including project development and operation of the Socotra Portal
- Produce educational and awareness materials for local use based on local materials, including audio materials
- Design environmental levy mechanisms around activities that incur costs and environmental challenges, e.g. import and export levies; concrete levy; tourism levy
- Engage Saudi and Emirati institutions to reduce potential impacts and seek positive outcomes from their presence, especially for sustainable financing of conservation

Annex 5. PowerPoint presentation of primary elements of final report**Support to the Integrated Programme for the
Conservation and Sustainable Development of the
Socotra Archipelago****Project No. 5347*****Mid term review***

Preliminary analysis and
recommendations for discussion

**Introducing the MTR****To advise stakeholders
through:**

- Analysis of project design
- Reviewing operating environment
- Assessing progress made towards objectives
- Identifying learning lessons
- Making recommendations





InField
CONSERVATION
CONSULTING

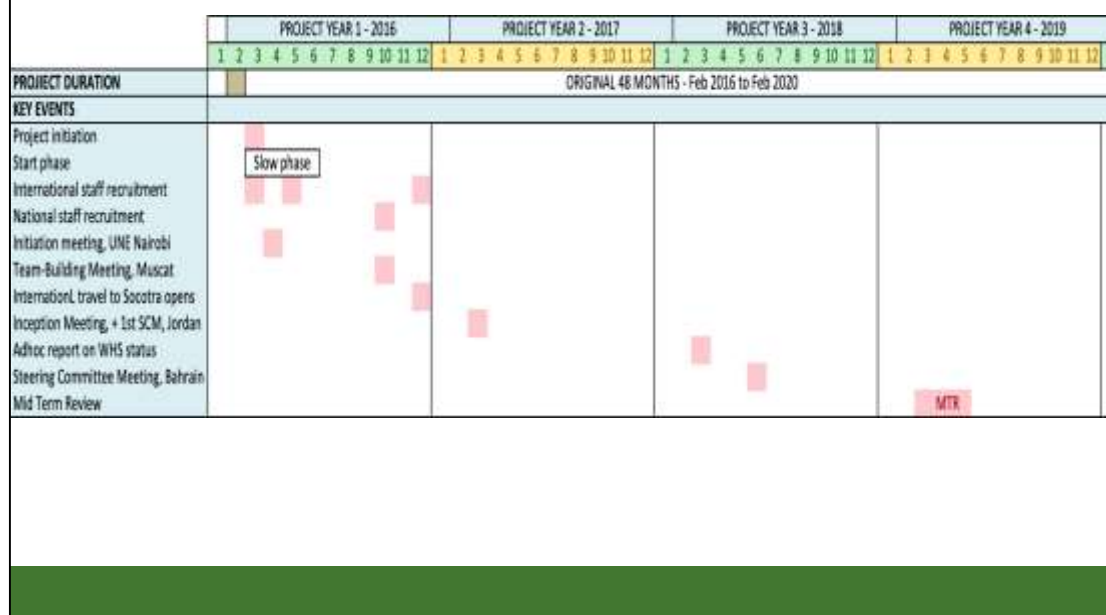
Mid Term Review timetable

- Preparation and inception – March
- Interviewing stakeholders – March / April / May
- Socotra visit – 3rd to 10th April
- Senckenberg visit – 23rd to 24th April
- Preliminary drafting – April
- 1st sharing of report materials – early May
- Detailed report preparation - May
- Stakeholder report review – June
- Final MTR report – 15th June



InField
CONSERVATION
CONSULTING

Implementation mile stones





EVALUATION CRITERIA 1

Strategic Relevance

- Relevant to GEF
- Relevant to GoY policy and legislation
- Relevant to local government policy, legislation and national development interests
- Relevant to community interests and economic and environmental needs
- Question mark over climate change impacts



EVALUATION CRITERIA 2

Quality of Project Design

- Logical narrative: links between outputs, outcomes and impacts not clear and strong
- Competing for multiple GEF envelopes led to complex design
 - The project has a very loose structure. The components appeared to be stacking one on top of each other, rather than being complementary. There is no common geographic setting for the project (except the entire Socotra WHS) (GEF ProDoc Review)
- No substantive revision to ProDoc to respond to situation in Yemen



EVALUATION CRITERIA 3

Nature of External Context

- Ongoing civil and security problems on mainland
- Institutional difficulties and weaknesses on Socotra
- Operational constraints affecting implementation
- New levels of economic activity outpacing development of GoY institutions and practices
- Impacts of 'new players' intervening on Socotra
- Responses to political situation creating complex relations and tensions between parties



EVALUATION CRITERIA 4

Effectiveness

- Delivery of Outputs
 - High levels of activity
 - Multiple formal and informal outputs
- Achievement of Direct Outcomes
 - Increased awareness of environmental issues
 - Increased GoY and local government capacity
 - Increased income/improved nutrition through community groups
 - Improved community capacity to engage with natural resource and land management issues
 - Strengthened capacity to respond to threat of invasive species
 - Raised environmental awareness at many levels



EVALUATION CRITERIA 4

Effectiveness (cont.)

- Likelihood of Impact
 - Uncertain short to medium term future creates uncertain impacts
 - Positive impacts on local government capacity will strengthen future environmental management
 - Raised environmental awareness at many levels will strengthen future environmental management
 - Potential to improve community management of land and resources, but many issues to address
 - Increased income generation and nutrition may persist
 - Potential to strengthen protected areas, but issues to address
 - Lack of sustainable funding for key conservation activities



EVALUATION CRITERIA 5

Financial Management

- Completeness of Financial Information
 - Financial management processes strong producing transparent accounting
 - Audit reports provide assurance of good practice
- Communication Between Finance and Project Management Staff
 - Project coordinator and Finance manager share office
 - UN Environment and Senckenberg well linked
 - Socotra Project Offices team well connected



EVALUATION CRITERIA 6

Efficiency

- **Timeliness**
 - Slow pace of inception as response to operational environment
 - Inception delayed by one year – no cost extension required
 - Rate of financial spend below target
- **Cost-effectiveness**
 - Senckenberg has low institutional overhead
 - Socotra Portal has delivered valuable information based products at no extra cost to project



EVALUATION CRITERIA 7

Monitoring and Reporting

- **Monitoring Design and Budgeting**
 - ProDoc Results Framework provides indicators, baselines, targets, monitoring milestones, and means of verification
 - Indicators are generally SMART
 - ProDoc provides component based budget: Umoja uses operational budget lines
- **Monitoring of Project Implementation**
 - Activity reporting undertaken; levels of implementation
 - Outcome or impact reporting less clear
- **Project Reporting**
 - Required reports available
 - Some reporting delays



EVALUATION CRITERIA 8

Sustainability

- **Socio-political Sustainability**
 - Strong local support in theory but not always in practice
 - Social complexities not always recognized in advance of actions
 - Rapid changes in Socotra society and economy since opening of island and especially since 2015 security concerns
- **Financial Sustainability**
 - Not yet sufficiently addressed; certainly not achieved
 - Critical demand for sustainable action on Socotra
- **Sustainability of the Institutional Framework**
 - New parties need to be absorbed into a framework
 - GoY, local government and community institutions unstable



EVALUATION CRITERIA 9

Factors Affecting Project Performance

- **Preparation and Readiness**
 - Careful preparation and analysis of complex operational situation
 - Insufficient critical assessment of project interventions in context
- **Quality of Project Management and Supervision**
 - Senckenberg supervision too remote and hands off
 - UN Environment supervision personnel changed
 - Project Steering Committee not established or working
- **Stakeholders' Participation and Cooperation**
 - High levels of local community participation
 - Good departmental level participation and cooperation
 - Problematic relations with Governors Office and EPA



KEY FINDINGS

Achievements

- Overcoming great obstacles to delivering wide range of activities on the ground
- Strong technical approach based on strong science
- Socotra portal created as repository of data
- Building a quality team of local and international partners
- Building positive relations and programs with technical offices on the ground
- High awareness and visibility based around communications program
- Strong practical response to invasive species threats



KEY FINDINGS

Concerns – delivery and sustainability

- Lack of tangible improvements in PA management
- Lack of tangible improvements in land management
- Insufficient incentives for active participation of communities in conservation activities
- Weak integration of economic development and conservation activities
- Long time-frame for ecological restoration
- Insufficient attention to building capacity of partners
- Saudi and Emirati activities threatening biodiversity and sustainable resource use



KEY FINDINGS

Concerns - management

- Tensions within team and between key partners and failure to find timely and acceptable resolutions
- High level of concern expressed by partners over project implementation
- Insufficient delegation of responsibilities and active mentoring of team members
- Ineffective interpersonal engagement between project management and key partners
- Insufficient communication between project management and key partners
- Reporting and sharing of reports to allow all parties to play their roles



KEY FINDINGS

Concerns - governance

- Weak role and poor formalization of Project Steering Committee
- Failure to engage key international parties and interests in project governance
- Insufficient institutional support and oversight of project implementation by Senckenberg
- Changes in UN Environment oversight reduced historical continuity of institutional knowledge
- EPA and local government participation and ownership
- Insufficient engagement with Saudi and Emirati institutions active on the ground



RECOMMENDATIONS 1

Priority project interventions

- Undertake participatory process to respond to MTR report and opportunities for project revisions
- Prepare no-cost extension proposal; potential ideas for consideration include:
 - Strengthen focus on practical steps to establish community-based PA management
 - Focus land and resource management interventions and Invasive Species control in and around PAs
 - Design and deliver incentives for communities to participate in conservation activities
 - Produce Socotra focused awareness and educational materials
 - Gather international political support to engage Saudi and Emirati government commitment to financing solutions



RECOMMENDATIONS 2

Management

- Pro-active management actions to overcome tensions within team and between key partners
- Increase formal and informal communication between partners
- Establish a Project Implementation Advisory Group of Socotra partners to strength local ownership/driveness
- Greater delegation of responsibility, including financial within the team, and especially to the Socotra team
- Improve reporting and dissemination to strengthen engagement of all parties



RECOMMENDATIONS 3

Governance

- Project Steering Committee
 - Define member, draft TORs, raise profile, 6 monthly meetings
 - UN Environment to propose IUCN or UNESCO place
 - Embody principle separating steering and operational roles
 - Senckenberg to nominate permanent representative
- Establish mechanisms, formal and informal, for wider and more meaningful stakeholder participation
- Senckenberg to strengthen support and oversight of project including bi-monthly management meetings



RECOMMENDATIONS 4

Sustainability and legacy

- Design and implement expanded capacity building program - trainings, internships, secondment, etc.
- Produce educational and awareness materials for local use based on local materials, including audio materials
- Design environmental levy mechanisms around activities that incur costs and environmental challenges, e.g. import and export levies; concrete levy; tourism levy
- Engage Saudi and Emirati institutions to reduce potential impacts and seek positive outcomes from their presence, especially for sustainable financing of conservation

Annex 6. List of documents consulted

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15 Dec 2016

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2018

Evaluation Office of UN Environment, Gender Methods Note for Consultant,
26 Jan 2018

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Process, 26 October 2018

Evaluation Office of UN Environment, Guidance on the Structure of the Main
Review Report, 26 October, 2017

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Evaluation Office of UN Environment, Quality Assessment of the Review
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Evaluation Office of UN Environment, Guidance on the Structure and
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and Sustainable Development of the Socotra Archipelago, and Annexes

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Kay Van Damme, Senckenberg Research Institute, UNEP/GEF Project #5347
- Working Version for Local Team, May 2017

Socotra Archipelago Exotic Species (Compiled from Literature): PLANTS. Kay
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IAS Socotra Archipelago Import and Response Sheet (to record each
introduction of exotics)

Policies, regulations and laws of Yemen and traditional rules and regulations
in Socotra. Final report of Sustainable Land Management/ Land Degradation
Component- Socotra Island, Prepared by Ing. Salem Hamdiah. 29 August
2017.

GRIIS Checklist of Introduced and Invasive Species - Yemen - Soqotra

Published by Invasive Species Specialist Group ISSG, Tony van Harten, Alan Forrest, Richard Porter, Kay van Damme, Tony Miller, Sabina Knees, Shyama Pagad, Lian Jenna Wong

Project Communication and Awareness Strategy, Revised 2018 (based on draft of 2017). Technical Document. By Ali Yahya Ali (NCAKME). Endorsed by Project Management Unit and Project Coordinator. November 2018

Communication and Media Coverage 2018, Cuttings 1. Technical Document. By Ali Yahya Ali (NCAKME) Endorsed by Project Management Unit and Project Coordinator, March 2019.

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Aloe Production on Socotra. Feasibility Study Report (Draft). Technical Report. By Abdulraqeb S.A. Al-Okashi, National Terrestrial Resource Use Expert. April 2018

Biogas Production on Socotra. Feasibility Study Report (Draft). Technical Report. By Abdulraqeb S.A. Al-Okashi, National Terrestrial Resource Use Expert), August 2018.

Mangrove Restoration – Concept Brief. Project Coordinator et al. Internal Document (in iterative progress). By Uwe Zajonz et al., May 2018.

Mission Accomplishments Report, National Marine Resource Use and Training Expert. Internal Progress Report. By Moteah Sheikh Aided. April 2018.

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FARMER FIELD SCHOOLS: Basic concepts and application on Socotra island – handbook.

SUSTAINABLE LAND MANAGEMENT of Socotra island – handbook.

Socotra Environmental Developments. Ad hoc Situation Briefing. Prepared for and upon request of the Government of Yemen by Environmental Protection Authority Socotra and UNEP-GEF 'Socotra Project' May 2018

Land assessment of Socotra Island using Collect Earth. Tullia Riccardi, Luca Malatesta, Michele De Sanctis, Mario Messina, Fabio Attorre, Department of Environmental Biology Sapienza University of Rome. Sept 2018

List of Metadata - Socotra Conservation and Development Portal

associated with use restricted data sets collated and provided by 30 March 2019. Internal working list compiled by Kay Van Damme, 30 March 2019.

EE-BDPAM Training Course: Small-scale Fisheries. PowerPoint Presentation. 2019

Biogeography of the Coastal Fishes of Socotra Archipelago: Challenge to current ecoregional concepts. Poster.

Minutes – Project Steering Committee Meeting, Bahrain. 1 July 2018,

Half Yearly Progress Report No 1. Prepared by Project Management Unit and Project Coordinator. March 2017.

UNEP GEF PIR Fiscal Year 17, 1 July 2016 to 30 June 2017.

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Half Yearly Progress Report No. 3 (July to December 2017). Prepared by Project Management Unit and Project Coordinator. March 2017.

Inception Meeting Report, 5-9 March 2017. Prepared by Project Management Unit and Project Coordinator. May 2017

Call for Immediate Action and Intervention by UNE. Safeguarding the Environmental and Cultural Heritage of Socotra Archipelago, Yemen. Preserving the UNESCO World Heritage Site. Managing Development in a Sustainable Way. By Uwe Zajonz, Project Coordinator UNEP-GEF/SGN/EPA "Socotra Project" (#GEF 5347)

UN Environment. Programme of work and budget for the biennium 2018 – 2019. Report of the Executive Director. May 2016

Friends of Socotra. Information and Advice for Visitors and Tourists. 2018

The Important Bird and Biodiversity Areas of the Socotra archipelago, Yemen. RF PORTER & AHMED SAEED SULEIMAN. Sandgrouse 38. 2016

Memo. Subject: Responding to the inquiries of the Heritage. Dr. Abdul qader M. Alkharraz, Chairman, Environment Protection Authority. January 2018.

Quarterly Expenditure Financial Report, January 2019.

Executive Work Plan; 2017. Prepared by Project Management Unit and Project Coordinator. May 2017

Socotra Archipelago World Heritage Property. The State of Conservation Report. Prepared by: the Ministry of Water and Environment in Yemen. Prepared for: the World Heritage Committee. February 2016

Report of the Terminal Evaluation Mission. CONSERVATION AND SUSTAINABLE USE OF BIODIVERSITY OF SOCOTRA ARCHIPELAGO YEM/96/G32/B/1G/31 (Phase 1) YEM/01/003/01/B (Continuation Phase) including ENVIRONMENT, NATURAL RESOURCES AND POVERTY ALLEVIATION FOR THE POPULATIONS OF SOCOTRA ISLAND, YEMEN YEM/00/001/01/31 – YEM/00/Z01/IF/31. Prepared by Mark Infield and Ibrahim Sharaf Al Deen. August 2003

A Note on the Clarification of the Roles and Responsibilities of Key Agencies in the Implementation of 'Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago' (GEF id 5347)

Proposal for inclusion in the World Heritage List, UNESCO. January 2006

UNITED NATIONS EDUCATIONAL SCIENTIFIC AND CULTURAL ORGANIZATION CONVENTION CONCERNING THE PROTECTION OF THE WORLD CULTURAL AND NATURAL HERITAGE WORLD HERITAGE COMMITTEE. Thirty-seventh session. Phnom Penh, Cambodia. 16-27 June 2013. Item 7 of the Provisional Agenda: State of conservation of properties inscribed on the World Heritage List and/or on the List of World Heritage in Danger.

Annex 7. Brief CV of consultant

Mark Infield

53 Swanborough Drive, Brighton, England

Phone: +44 7950 969635

Skype: markinfieldhanoi

Email: mark@infield.nu

Website: www.infieldconservation.com

Professional profile

I have worked in Africa, Asia and Europe with communities, charities, governments and the private sector to deliver nature conservation initiatives and advocate for nature's protection.

I have played different roles and used many approaches to conserving nature including: designing and managing protected areas; creating local benefits from resources use and nature-based enterprises; and drafting policies and

practices for conservation. I have experience of institutional development, governance and working with communities and decision makers. I have held technical and management positions, operated at local, landscape and global scales, delivered species and ecosystem conservation, and supported government departments and ministries, community based organisations and private sector actors.

Career summary

August 2014 – present
UK

InField Conservation Consulting,

Independent consultant

Outline

As an independent consultant I have undertaken contracts for government, international bodies, charitable organisations and companies, supporting institutional development, leading project design and appraisal processes, as well as providing implementation and technical support.

Clients

and

contracts

September 2017 to present

- Chemonics International: I worked in Kenya and Uganda to investigate perceptions of the effectiveness of community engagement in biodiversity conservation, presenting findings to support design of a programme on community engagement.
- Ramsar Secretariat: I led a Ramsar Advisory Mission to Uganda, visiting wetlands, reviewing threats to their status, and providing recommendations to the government and Ramsar Secretariat.
- Chemonics International: I provided advice to a bid for the Climate and Environment lot of an International Multi-Disciplinary Programme Framework Agreement advertised by the British Department for International Development.
- The Luc Hoffman Institute: I analysed ideas and opportunities for attracting expertise to the Institute to review the conservation movement and propose innovative means to strengthen performance.
- The Cross Cultural Foundation of Uganda: I reviewed and advised on research investigating cultural links between indigenous communities and nature in Uganda, assessed and commented on findings, and reviewed the draft report.
- Food and Agriculture Organisation: I supported the Ugandan Government to develop a proposal for the Green Climate Fund to implement Uganda's Forest Investment Programme.
- Hydrophil plc: I supported the Ministry of Water and Environment, Uganda, to prepare a Joint Programme for Water and Sanitation to mainstream environment across government and development partner programmes.

August 2014 to September 2015

- International Institute for Environment and Development: I represented the institute in Uganda to support the Uganda Poverty and Conservation Learning Group, assisting project development, and providing technical advice.
- Fauna & Flora International– I continued my role as Technical Advisor, supporting the country director to implement activities and report to donors.
- The Cross Cultural Foundation of Uganda: I undertook an institutional assessment to mark the first 10 years of operations, interviewing a range of partners and interested parties and holding workshops with staff and trustees.
- The International Gorilla Conservation Programme: I facilitated meetings and processes to investigate relationships between communities and Bwindi Impenetrable National Park.
- The Arcus Foundation– I undertook research into links between culture and conservation of great apes in Asia and Africa.

September 2015 – August 2017
Environment, Uganda

Ministry of Water and

Senior Environment Advisor

Outline

I assisted the Director for Environment Affairs to achieve national targets for forest and wetland conservation, revise key policies, legislation and regulations, establish and clarify institutional roles and functions, and prepare programmes and project proposals.

Key responsibilities

- Guiding the Ministry of Water and Environment's process for the development of the National Environment Management Policy II and the new Environment Bill.
- Advising on management of wetlands and forest, especially related to protected area management, governance and social and economic development.
- Implementation of government and donor funded projects, in particular responding to World Bank and government environmental and social safeguards.
- Facilitating development of proposals for the Green Climate Fund and Carbon Investment Fund with the World Bank and the United Nations.
- Advising on mechanisms to improve data collection, analysis and reporting, with specific responsibility for promoting the inter-agency establishment of a common framework for environmental monitoring.
- Mainstreaming environment and climate change response across key ministries to ensure appropriate policies, approaches to planning, and fiscal responses.
- Representing the Directorate of Environment Affairs on the Development Partners Environment and Natural Resources Group.

Key achievements

- I supported the Ministry to host two international conferences (World Mountain Forum 2016, African Great Lakes Conference 2017), including management of intergovernmental requirements, security and logistics.
- I guided and improved annual reporting on Environment Affairs to the Joint Programme Working Group for Environment and Natural Resources.
- We completed a final draft of the revised National Environment Management Policy incorporating fundamental revisions for the institutional governance of Uganda's environment and natural resources
- We achieved funding for a USD 24 million project for wetland management and restoration from the Green Climate Fund.

June 2011 – July 2014

Fauna & Flora International, UK
Director, Cultural Values and

Conservation

Outline

I developed this new programme to integrate cultural approaches into community engagement across FFI as an institution, working with staff at headquarters and country levels to identify opportunities to integrate local values into conservation initiatives and work with cultural values, knowledge, practices and institutions

Key responsibilities

- Development of the programme, identifying internal and external opportunities, and ensuring financial and administrative stability.
- Examining and developing methods to assess, describe and value cultural ecosystem services.
- Developing initiatives, projects and best practice for integrating cultural values into conservation and development initiatives and mainstreaming them within FFI.
- Assessing and building staff knowledge and capacity, and helping teams to design and implement cultural conservation activities.
- Leading design and implementation of a project on Lake Victoria to support community fisheries, traditional cultural institutions and ecosystems management.
- Networking with organisations including UNESCO, IUCN, RAMSAR, Birdlife International and the Mediterranean Consortium for Nature and Culture to champion and advise on cultural values approaches to conservation and development.

Key achievements

- I achieved financial and institutional sustainability of the programme within two years of its launch.
- I designed and supported delivery of the 10 year Culture, Values and Conservation Programme funded by the MacArthur Foundation and implemented by the Uganda Wildlife Authority, expanding from two

pilot protected areas to seven.

- I developed and led a Darwin Initiative project to use cultural values approaches to address damaged caused by the management of three national parks to the Batwa community, a marginalized indigenous people.
- I led the successful development of a MacArthur Foundation project to support community conserved forests and wetlands in the Lake Victoria Basin.

July 2004 – June 2011

**Fauna & Flora International, Asia
Regional Director, Asia Pacific**

Outline

I led the Asia Pacific programme in 7 countries with an annual budget of £8 million and 200 staff and volunteers undertaking landscape and species-level projects, policy development, and integrated conservation and development initiatives.

Key responsibilities

- Overall responsibility for the Asia Pacific programme and team to ensure timely delivery of conservation outcomes, provide financial accountability and stability, and strengthen organisational and staff capacity.
- Overseeing and facilitating FFI's regional processes including the development and implementation of 5-year strategic and business plans.
- Technical support and management of integrated conservation and development initiatives, protected areas and endangered species projects, community based natural resource management, 'reef to ridges' and marine and coastal conservation projects.
- Oversight of a USD 7.8 million conservation and development project to mitigate post-Tsunami reconstruction impacts in Aceh, Indonesia through forest conservation.
- Negotiating agreements with government ministries and departments,
- Developing regional REDD+ projects and national and sub-national initiatives on climate change and public private partnerships for carbon sequestration.
- Supporting regional community based REDD+ projects in Indonesia, REDD readiness processes in Vietnam, and payment for environmental services in Cambodia.

Key achievements

- We helped bring back from the brink critical endangered primates in Vietnam including the Tonkin snub-nosed monkey, the Cao Vit gibbon and Delacour's langur.
- I reformed administrative and financial structures and procedures in response to changing circumstances in Vietnam, Cambodia, China, Indonesia and Philippines country programmes.
- I oversaw the more than doubling of the regional budget over the period

and a four-fold increase in the percentage of institutional overheads gathered from the programme budget.

- I juggled direct responsibility for the Vietnam Programme and the regional programme while representing Asia and Eurasia on FFI's Senior Management Team.

May 2002 – April 2006

Fauna & Flora International, Vietnam Project Manager

Outline

I managed a US\$ 1 million World Bank GEF landscape conservation project, bringing together government and community leaders to discuss conservation and development, building capacity, implementing biodiversity surveys, and administering community development micro-grants.

Key responsibilities

- Led project inception, recruited the project team, negotiated implementation structures and regulations with government authorities, established basic operational components and oversaw overall management and technical delivery of the project.
- Built partnerships with Vietnam Forest Protection Department at central, provincial and district levels for development and implementation of project activities.
- Spearheaded the institutional establishment and built the capacity of an inter-provincial, multi sector conservation, development and land use planning committee.
- Oversaw process of village development planning and implementation of small grants programme through joint government and community processes.

Key achievements

- We helped establish the Ngo Luong Nature Reserve, a critical corridor between two existing protected areas.
- I led a successful bid for a US\$ 5 million contract for the management of Vietnam's Biodiversity Conservation Fund.

January 1991 – December 1999 Uganda

African Wildlife Foundation,

Technical Advisor / Programme

Leader

Outline

I advised the Uganda Wildlife Authority on community participation, managing an 8-year programme to pilot community conservation at park level and establish the Authority's Community Conservation Department. I investigated the role of culture in creating and resolving conflicts over protected areas and building support for conservation.

Key responsibilities

- Overall responsibility for delivering the programme, reporting to the

Uganda Wildlife Authority and the Development Partner, providing the Secretariat for the Programme Advisory Committee.

- Providing technical advice to park managers, local and national government and communities on community participation in park management decision-making, and helped design and implement a protected area revenue sharing programme.
- Supporting community access to resources within a national park and development of professional hunting and cropping on land around the Park.
- Supervising research and management of fire and grazing, and of protected area/community relations, and introduced cultural approaches to park management.

Key achievements

- We helped save Lake Mburo National Park from erosion and loss and put in place a socially, politically and economically sustainable institution to ensure its future survival.
- I pioneered research into the cultural basis of conflict over the park, which led to a 10-year programme with the Wildlife Authority to integrate local culture into park design and management.
- We established the Ankole Cow Cultural Organisation as a critical partner to the national park.

June 1989 – December 1990
Switzerland

WWF International / IUCN,
Technical advisor and

Conservation Officer

Outline

I supported the African Elephant Conservation Coordination Group to respond to a crisis in elephant conservation, helped IUCN to develop its position on African Elephant CITES listing, and supported the French government's donor conference for elephant conservation.

Key achievements

- I prepared an African Elephant Action Plan, designed projects to protect elephants throughout Africa, and assessed scenarios for safeguarding the species in the wild.
- I led WWF's response to the New World screwworm African emergency, participating in conferences, sharing information, and leading external communications on the issue.

Short-term positions

Researcher, AgriConsulting plc, Uganda, 1988: Designed and implemented socio-economic surveys of fishing villages within a national park; formulated plans to manage impacts, improve relations with communities and strengthening fisheries management and community development.

Researcher, Korup Project, WWF-UK, Cameroon, 1987 - 1988: Surveyed hunting using interviews, participant observation and biometric data; described patterns of wildlife utilization and assessed economic importance; advised on mechanisms for sustainable forest resource use.

Zoologist, The White Oryx Project, Oman, 1986: Supervised ranger patrols to monitor, map and protect Oryx, collected behavioural and ecological data, supported project operations and logistics.

Research Fellow, Institute of Natural Resources, South Africa, 1983 - 1986: Researched resource-based enterprises; assessed local benefits including employment and proposed ways to maximise them; investigated the influence of benefits on community attitudes to protected areas.

Research Assistant, Institute of Natural Resources, South Africa, 1983: Assisted ecological research into the decline of suni antelope within protected areas.

Volunteer, IUCN/WWF, Uganda, 1981 - 1982: Assisted the Regional Programme Director to implement activities in support of Uganda's national parks and game reserves.

Early consultancies

- Team Leader, Terminal evaluation, Biodiversity Project, Yemen, UNDP, July 2003
- Integrated conservation and development assessment, Uganda, CARE, December 2001
- Team Leader, Terminal evaluation, Fisheries Project, Yemen, UNDP, April 2001
- Team Leader, Mid-term evaluation, Biodiversity Project, Yemen, UNDP, September 2000
- Mid-term review, Gorilla Tourism Development Project, Uganda, IGCP, February 1999
- Terminal assessment, EU Southern PA Project, Botswana, Ecosystems Ltd. August 1998
- Mid term review, Bwindi Forest Conservation Project, Uganda, CARE, June 1995
- Project feasibility study, Simen Mountains NP, Ethiopia; UNCDF, May 1995

Education & qualifications

- Ph.D. – School of Development Studies, University of East Anglia – 1996 to 2002
Thesis - The Culture of Conservation: Exclusive Landscapes, Beautiful Cows and Conflict Over Lake Mburo National Park, Uganda
- M.Sc. – University of Natal – 1985 to 1986
Thesis - Wildlife resources, utilization and attitudes towards conservation; a case study of Umfolozi and Hluhluwe Game Reserves in KwaZulu, RSA

- B.Sc. Honours, 2:2 – University of Durham – 1978 to 1980
Zoology, ecology, and animal behaviour

Selected publications

Infield, M. and Mugisha A. (2018) Cultural values and conservation: an innovative approach to community engagement. In: Sandbrook, C., Cavanagh, C.J. and Tumusiime, D.M. (eds) *Conservation and Development in Uganda*, Earthscan, London.

Infield, M., Entwistle, A., Anthem, H., Mugisha, A., and Phillips, K. (2018) Reflections on cultural values approaches to conservation: lessons from 20 years of implementation, *Oryx*, 52 (02), pp. 220-230.

Infield, M., Morse-Jones, S., and Anthem, H. (2015). Guidelines for the Rapid Assessment of Cultural Ecosystem Services (GRACE): Version 1. A report by Fauna & Flora International.

Infield, M. and Mugisha, A. (2013). Sacred sites and conservation of the Rwenzori Mountains in Uganda. *Conservation News, Oryx*, 47 (01), pp 13-13.

Infield, M, Duli, E. M., Mugisha, A.R. and Rubagyema, P. (2008). How protection took the beauty from the land: conflicting values and meanings of Lake Mburo National Park, Uganda. In: Josep-Maria Mallarach (ed). *Protected Landscapes and Cultural and Spiritual Values*. IUCN.

Mugisha, A.R. and Infield, M. (2008). People-oriented conservation: using cultural values in Uganda. *Conservation News, Oryx*, 43 (1).

Infield, M. (2003). *The Names of Ankole Cows*, Fountain Press, Kampala (2003).

Adams, W.M. and Infield, M. (2003). Who is on the Gorilla's Payroll? Claims on Tourism Revenues from a Ugandan National Park. *World Development*. Vol. 31, No 1. January 2003, 177-190.

Infield, M (2002). The values of conservation: whose values? Whose sense of beauty, integrity and equity? *Policy Matters*, Issue 10.

Infield, M. (2001). Cultural values: A forgotten strategy for building community support for protected areas in Africa. *Conservation Biology*, 15, 3, 800-803

Infield, M and Namara, A. (2001). Community attitudes and behaviour towards conservation: an assessment of a community conservation programme around Lake Mburo NP, Uganda. *Oryx*. 35 (01), pp. 48-60.

Hulme, D and Infield, M. (2001). Community Conservation, Reciprocity and Park – People Relationships. Lake Mburo National Park. In: Hulme D and M Murphree (ed), *African Wildlife and Livelihoods; The Promise and Performance of Community Conservation*. London, James Currey.

Infield, M and Adams, W.M. (1999). Institutional Sustainability and Community Conservation: A Case Study from Uganda. *Journal of International Development*, 11, pp. 305 – 315.

Infield, M. (1989). Hunters claim a stake in the forest. *New Scientist*, No. 1689.

Infield, M. (1988). Attitudes of a rural community towards conservation and a local conservation area in Natal, South Africa. *Biological Conservation*. 45. Pp. 21-26.

Annex 8. Consultant's Terms of Reference

TERMS OF REFERENCE

Mid-Term Review of the UN Environment/Global Environment Facility project
 “Support to the Integrated Program for the Conservation and
 Sustainable Development of the Socotra Archipelago”

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

Key Review Principles

1. 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.
2. As this Review is being undertaken at the mid-point of project implementation, particular attention should be given to identifying implementation challenges and risks to achieving the expected project objectives and sustainability, which will support potential course correction. This means that the consultants need to go beyond the assessment of “*what*” the project performance was and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project and the recommendations that are derived from the review process
3. The reviewers should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and potential impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the reviewers, along with any simplifying assumptions that were taken to enable the reviewer to make informed judgements about project performance.
4. A key aim of the review is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. There may be several intended audiences, each with different interests and needs regarding the report. The Task Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key review

findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation. Draft and final versions of the Main Review Report will be shared with key stakeholders by the Task Manager and a copy of the final version will be submitted to the UN Environment Evaluation Office, who will provide an assessment of the quality of the Review Report.

Objective of the Review

5. In line with the UN Environment Evaluation Policy⁸ and the UN Environment Programme Manual⁹, 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, including their sustainability.

Key Strategic Questions (OPTIONAL)

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

- (h) What evidence is available that the project activities regarding improved biodiversity conservation and protected area management are enhancing (or are likely to enhance) prevent species extinctions? To what extent are biodiversity benefits being demonstrated in Socotra Island?
- (i) What evidence is present to suggest that the project's interventions in community based invasive alien species management and sustainable land management are likely to minimize the impact of IAS and land degradation on sustainable management and protection of the Socotra Archipelago?
- (j) What evidence is available that the project activities are helping the central and local government to better manage the environment on Socotra?

Evaluation Criteria

7. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1. A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating.

A. Strategic Relevance

8. The review will assess, in line with the OECD/DAC definition of relevance, 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The review will include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. Under strategic relevance an assessment of the

⁸ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁹ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UN Environment Medium Term Strategy¹⁰ (MTS) and Programme of Work (POW) and the GEF Strategic Priorities*

The review should assess the project's alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. GEF priorities are specified in published programming priorities and focal area strategies.

ii. *Relevance to National Environmental Priorities*

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

B. Effectiveness

9. The review will assess effectiveness across three dimensions: delivery of outputs, achievement of direct outcomes and, where appropriate and feasible, likelihood of impact. At the mid-point more emphasis is placed on performance at the output and outcome levels, but observations about likelihood of impact may be helpful for course correction or adjusting the emphasis of the project's efforts.

i. ***Achievement of Outputs***

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

ii. ***Achievement of Direct Outcomes***

The achievement of direct outcomes is assessed as performance against the direct outcomes defined in the Project Framework. These are the first-level outcomes expected to be achieved as an immediate result of project outputs, by the end of the project and with the total funds secured for the project's implementation. A table can be used where substantive amendments to the formulation of direct outcomes is necessary to make them consistent with OECD/DAC guidelines. Where possible, the review should report evidence of attribution between UN Environment's intervention and the direct outcomes.

iii. ***Likelihood of Impact***

Based on the articulation of longer term effects as defined in project objective or stated intentions, the review will, where possible, assess the likelihood of the intended, positive impacts becoming a reality.

¹⁰ UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

The review will also consider the likelihood that the intervention may lead, or contribute, to unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.¹¹ The review will consider the extent to which the project is playing a catalytic role or is promoting longer-term scaling up and/or replication¹².

C. Financial Management

10. 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.

D. Efficiency

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

E. Monitoring and Reporting

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

i. Monitoring Design and Implementation

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹³ indicators towards the achievement of the projects outputs and direct outcomes. The review will assess the quality of the design of the monitoring plan. The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. The review should confirm that funds allocated for monitoring were used to support this activity.

ii. Project Reporting

Projects funded by GEF have requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement

¹¹ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

¹² *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

¹³ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

template¹⁴), which will be made available by the Task Manager. The review will assess the extent to which both UN Environment and GEF reporting commitments have been fulfilled. Where corrective action is indicated in the annual Project Implementation Review reports (e.g. as an identified risk), the Reviewer will record whether this action has been taken.

F. Sustainability

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

14. The review will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability. The review 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 project outcomes are dependent on future funding for the benefits they bring to be sustained and c) the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

I. Factors and Processes Affecting Project Performance

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

i. Preparation and Readiness

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

ii. Quality of Project Implementation and Execution

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

The review will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of

¹⁴ The Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

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 and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups, should be considered.

iv. Responsiveness to Human Rights and Gender Equity

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

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

v. Country Ownership and Driven-ness

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

vi. Communication and Public Awareness

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

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

16. The Mid-Term Review will use a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project

achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings.

17. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

18. 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 and including the Project Implementation Reviews and Tracking Tool etc.;
 - Evaluations/Reviews of similar projects.
- (b) **Interviews** (individual or in group) with:
 - UN Environment Task Manager (TM);
 - Project management team;
 - UN Environment Fund Management Officer (FMO);
 - Project partners, including
 - Environment Protection Authority,
 - Governorate of Socotra Council/Administration
 - Ministries'/Executive Agencies' local branches
 - The Senckenberg Institute,
 - Un Environment
 - Tbd at the inception phase
- (c) **Field visits: Minimum 2 visits (1 to the pilot site and 1 to the headquarters of Senckenberg Institute)**
- (d) **Other data collection tools:** If needed, to be decided at the inception phase

II. Review Deliverables and Review Procedures

19. The review team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) 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 links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

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

21. At the end of the review process, the Task Manager will either circulate **Lessons Learned** or prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals.

III. The Consultants' Team

22. For this review, the review team will consist of a Consultant who will work under the overall responsibility of the Task Manager Ersin Esen, in consultation with the Head of Branch/Unit Johan Robinson, Fund Management Officer, Pooja Bhimjani. The consultant will liaise with the Task Manager on any procedural and methodological matters related to the review. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

23. The consultant will be hired for 35 days over a spread of 5 month period (February to June 2019). He / She should have: an advanced university degree in environmental sciences, natural resources management, biodiversity conservation, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large, global programmes, including overseeing project teams, managing complex budgets, interacting with oversight personnel or committees, and demonstrating adaptive management when necessary. Hands-on experience in managing national and international natural resources projects, in particular, concerning natural resources management, environmental information management, capacity building etc. Knowledge of the UN system, specifically of the work of UN Environment, is desirable. Experience in the project target area Socotra is an asset. Fluency in written and oral English with strong writing and editing skills is required. Language skills in oral and written Arabic is an asset.

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

IV. Schedule of the Review

25. The table below presents the tentative schedule for the review.

Table 3. Tentative schedule for the review

Milestone	Indicative Timeframe
Inception Report	28 February 2019
Review Mission	1 to 10 April 2019
Telephone interviews, surveys etc.	10 March to 10 April 2019
Powerpoint/presentation on preliminary findings and recommendations	1 May 2019
Draft report to Task Manager	15 May 2019
Draft Report shared with the wider group of	20 April 2019

stakeholders	
Final Main Review Report	1 June 2019
Final Main Review Report shared with all respondents	15 June 2019

V. Contractual Arrangements

26. Review Consultants will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a "fees only" basis (see below). By signing the service contract with UN Environment/UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

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

28. Schedule of Payment for the Consultant:

Deliverable	Percentage Payment
Approved Inception Report (<i>as per annex document 7</i>)	20%
Approved Draft Main Evaluation Report (<i>as per annex document 13</i>)	30%
Approved Final Main Evaluation Report	50%

29. Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

30. The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) 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.

31. 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 Task Manager, payment may be withheld at the discretion of the Head of Branch/Unit until the consultants have improved the deliverables to meet UN Environment's quality standards.

32. If the consultant(s) fail to submit a satisfactory final product to the Task Manager in a timely manner, i.e. before the end date of their contract, UN Environment 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 UN Environment to bring the report up to standard.