



## Terminal Evaluation Final Report

---

### *UNDP-Supported GEF-Financed Full Size Project:*

### ***“Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge”***

UNDP PIMS ID: 5310

GEF Project ID: 5533

---

**Country:** China  
**Region:** Asia and the Pacific  
**Focal Area:** Biodiversity  
**Implementing Agency:** United Nations Development Programme  
**Implementing Partner:** Ministry of Ecology and Environment  
**Project Timeframe:** 01 April 2016 - 31 March 2022

#### **Evaluation Team:**

**Name:** Camillo Ponziani  
**Role:** Team Lead / Senior Evaluation Specialist  
**Email:** cponziani@interamngroup.com

**Name:** Shuo Liu  
**Role:** National Consultant / Evaluator  
**Email:** liushuo@caas.cn

*Copy editing courtesy of Sharon Creasey*

**Version:** 2.0  
**Date:** 2 March 2022

## DOCUMENT REVIEW

This Terminal Evaluation, version 2.0, dated 02 March 2022, for the UNDP-Supported GEF-Financed Full Size Project "***Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge***" has been reviewed by the following individuals.

### **Reviewed By:**

Name: Aihua Wang  
UNDP China Country Office M&E Officer  
and Evaluations Focal Point



Dated 3 Mar.2022  
(mmm-dd-yy)

Name: Chaode MA  
UNDP China Country Office  
Programme Director



Dated 3 Mar.2022  
(mmm-dd-yy)

Please also refer to [Annex J](#) for the formal Terminal Evaluation Clearance form to be signed by the Commissioning Unit and UNDP-GEF Regional Technical Advisor

### **Contact Information:**

If you wish to discuss this document, please contact:

**Name:** Camillo Ponziani  
**Role:** Team Leader and Lead Evaluator  
**Location:** Toronto, Canada  
**Phone Number:** +1 647 389 6944  
**Email:** cponziani@interamgroup.com

Signatures of TE Consultants:

Mr. Camillo Ponziani:



Dr. Liu Shuo:



REVISION HISTORY

Document Version Number	Version Release Date	Summary of Changes	Changed By
1.0	14 February 2022	Draft TE Report	Camillo Ponziani
2.0	02 March 2022	Final TE Report	Liu Shuo

## PROJECT INFORMATION PAGE

**Table 1: Summary of key project information**

<b>Project Title:</b>		Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge		
<b>UNDP PIMS#:</b>	5310	<b>GEF project ID#:</b>	5533	
<b>Concept Approval Date:</b>	21 March 2014	<b>CEO Endorsement:</b>	16 Feb 2016	
<b>ATLAS Award #:</b>	00087750	<b>Project Document Signature Date (official start):</b>	1 April 2016	
<b>ATLAS Project ID:</b>	00094671	<b>Date(s) NPM(s) hired:</b>	1) Q3 2016: Ms. Yiqing Lu 2) Q1 2017: Ms. Yueyu Zou 3) Q4 2019: Ms. Xiaolan Li 4) Q1 2022: Ms. Aihua Wang	
<b>Country:</b>	China	<b>Inception Workshop:</b>	17 June 2016	
<b>Region:</b>	Asia and the Pacific	<b>Midterm Review Completion:</b>	September - October 2018	
<b>Focal Area:</b>	Biodiversity	<b>Terminal Evaluation Timeframe:</b>	August 2021 - January 2022	
<b>GEF Focal Area Strategic Objectives:</b>	<b>GEF-5 (BD-4):</b> Build Capacity on Access to Genetic Resources and Benefit Sharing	<b>Planned Project Closing:</b>	31 March 2021	
<b>Trust Fund (Indicate GEF TF, LDCF, SCCF, NPIF)</b>	GEF Trust Fund	<b>Revised:</b>	31 March 2022	
<b>GEF Agency:</b>		UNDP		
<b>Lead Government Coordinating Agency / Implementation Modality:</b>		Ministry of Ecology and Environment / Foreign Environmental Cooperation Center (FECO) (Known as Foreign Economic Cooperation Office before January 2019) / NIM		
<b>Executing Partners:</b>		Ministry of Ecology and Environment (MEE); National People's Congress Committee of Environment and Resource Protection; Ministry of Foreign Affairs (MFA); Office of Legislative Affairs of the State Council; Ministry of Science and Technology (MOST); State Ethnic Affairs Commission Ministry of Finance; Ministry of Agriculture (MoA); Ministry of Commerce (MOFCOM); General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ); State Forestry Administration; State Intellectual Property Office (SIPO); State Administration of Traditional Chinese Medicine; Ministry of Culture; subnational governments; local communities; research institutions; and private sector.		
<b>UNDP-GEF Technical Team:</b>		Sustainable Development		
<b>Project Financing:</b>		<b>At CEO Endorsement US\$</b>	<b>At MTR US\$</b>	<b>At TE US\$</b>
<b>(1) GEF financing:</b>		4,436,210.00	1,380,308.92	4,270,899.00 (96%)
<b>(2) UNDP contribution:</b>		N/A	N/A	200,026.42
<b>(3) National Government (cash + in-kind equivalents)</b>		15,136,000.00	70,656,184.00 (466%)	70,656,184.00 (466%)
<b>(4) Provincial Government (cash + in-kind equivalents)</b>		7,800,000.00	3,935,292.00 (50.4%)	8,346,899.00 (107%)
<b>(5) Other Partners:</b>		N/A	N/A	N/A
<b>(6) Total co-financing [2+3+4+5]:</b>		22,936,000.00	74,591,476.00	79,203,109.40
<b>TOTAL PROJECT COSTS [1+6]:</b>		27,372,210.00	75,971,784.90	83,474,008.40

## ACKNOWLEDGEMENTS

The Terminal Evaluation (TE) consultant team would like to thank the many stakeholders who generously gave their time to participate in the interviews and stakeholder consultation process and who shared their knowledge and insights on issues pertaining to the Nagoya Protocol and Access and Benefit Sharing, often with great passion and candour. This report is not really the work of the TE consultant team alone, but rather is a joint effort representing the collective wisdom of all those involved.

There are far too many people to mention individually by name - and hopefully everyone who contributed is included in the lists of names annexed to this report - but acknowledgement must be made of the personnel from the United Nations Development Programme (UNDP) who supplied key information and special mention goes to Mr. Chaode Ma, Team Leader of Planet Pillar, Ms. Cheng Zheng and Ms. Xinhua Zhao for their open and frank discussions. A special thank you also goes to Ms. Xiaolan Li of the national Project Management Office for the smooth communication throughout the TE process, for her support in providing key contacts, setting up interviews, supplying supplementary information and completing templates requested by the consultants. We are tremendously grateful for her time to help us track down answers to, or point us in the right direction for, every question we asked and to discuss the points we took every opportunity to raise.

Additionally, we are grateful to the officials of the Foreign Environmental Cooperation Center of the Ministry of Environmental Protection and staff of the provincial Project Management Offices. All interview participants were gracious, willing and keen to assist with the evaluation and the TE consultant team would like to acknowledge all project partners who supported the development of this report.

Finally, the Team Leader is indebted to and would like to acknowledge the efforts of Liu Shuo for all the technical support in light of competing demands and international travel to UNFCCC COP26, as well as for her subject matter expertise in capturing the details needed for and underpinning this report.

One of the delights of this sort of work remains that of learning about new and extremely welcoming countries, having made new friends (and in this case renewing some old ones), and witnessing with great admiration the dedication and enthusiasm that so many people bring to their work in conserving the important places of the world. We would like to thank them and wish them every success in their continuing endeavours.

## DISCLAIMER

The TE views herein were discussed with UNDP and Implementing Partners. The UNDP China Country Office, UNDP-GEF Regional Technical Advisor and the Foreign Environmental Cooperation Center of the Ministry of Environmental Protection provided comment on the draft report prior to its finalization. The views held within this report are those of the TE consultant team.

## TABLE OF CONTENTS

PROJECT INFORMATION PAGE.....	iii
ACKNOWLEDGEMENTS.....	iv
DISCLAIMER.....	iv
TABLE OF CONTENTS .....	v
LIST OF ACRONYMS AND ABBREVIATIONS .....	1
 I. EXECUTIVE SUMMARY .....	 2
A. Project Context.....	2
B. Project Description and Strategy .....	2
C. Purpose and Methodology .....	4
B. Evaluation Ratings Summary .....	4
C. Concise Summary of Conclusions, Lessons and Recommendations .....	13
Findings and conclusions summary.....	13
Lessons learned.....	15
Recommendations .....	16
 II. INTRODUCTION .....	 22
A. Purpose and Objectives of the Terminal Evaluation .....	22
B. Scope and Methodology.....	22
Approach.....	22
Duration of Terminal Evaluation .....	23
C. Data Collection & Analysis.....	24
Development of Evaluative Matrix .....	24
Mixed Methods Approach .....	33
Draft Terminal Evaluation Report .....	35
D. Ethics.....	36
E. Cross-cutting Issues.....	36
F. Limitations to the Evaluation .....	37
G. Structure of the TE report .....	37
 III. PROJECT DESCRIPTION AND BACKGROUND .....	 40
A. Project start and duration, including milestones .....	40
B. Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope .....	40
Country Context .....	41
Environmental and Species Context.....	42
Institutional and Policy Factors Relevant to the Project Scope at Design.....	43
C. Problems that the Project sought to address: threats and barriers targeted.....	44
D. Immediate and development objectives of the Project.....	48
E. Expected results.....	48

<b>F.</b>	<b>Main stakeholders</b> .....	50
<b>G.</b>	<b>Theory of Change</b> .....	50
<b>IV.</b>	<b>FINDINGS</b> .....	51
<b>A.</b>	<b>Project Design / Formulation</b> .....	51
	Analysis of Results Framework: project logic and strategy, indicators .....	51
	Assumptions and Risks .....	59
	Lessons from other relevant projects (e.g. same focal area) incorporated into project design .....	61
	Planned stakeholder participation .....	62
	Linkages between project and other interventions within the sector .....	63
	Gender Responsiveness of Project Design .....	63
	Social and Environmental Safeguards at Design .....	64
<b>B.</b>	<b>Project Implementation</b> .....	65
	Adaptive management (changes to the project design and project outputs during implementation) .....	65
	Actual stakeholder participation and partnership arrangements .....	69
	Project Finance and Co-finance .....	76
	Monitoring & Evaluation: design at entry, implementation, and overall assessment of M&E80 UNDP implementation/oversight and Implementing Partner execution, overall project implementation/execution, coordination, and operational issues .....	83
	Risk Management, including Social and Environmental Standards (Safeguards) .....	87
<b>C.</b>	<b>Project Results</b> .....	91
	Progress towards objective and expected outcomes .....	91
	Relevance .....	119
	Effectiveness .....	119
	Efficiency .....	121
	Overall Outcome .....	122
	Country ownership .....	123
	Sustainability: financial, socio-economic, institutional framework and governance, environmental, and overall likelihood .....	124
	Gender equality and women's empowerment .....	128
	Cross-cutting Issues .....	129
	GEF Additionality .....	129
	Catalytic Role / Replication Effect .....	130
<b>V.</b>	<b>Main Findings, Conclusions, Recommendations &amp; Lessons</b> .....	131
<b>A.</b>	<b>Main Findings</b> .....	131
<b>B.</b>	<b>Conclusions</b> .....	133
<b>C.</b>	<b>Recommendations</b> .....	135
<b>D.</b>	<b>Lessons Learned</b> .....	140
	LIST OF ANNEXES: .....	142
	ANNEX A: TERMS OF REFERENCE .....	143
	ANNEX B: INCEPTION REPORT .....	144
	ANNEX C: LIST OF DOCUMENTS REVIEWED .....	145
	ANNEX D: LIST OF INDICATIVE QUESTIONS .....	147
	ANNEX E: LIST OF PERSONS INTERVIEWED .....	150
	ANNEX F: RATING SCALES .....	154
	ANNEX G: SIGNED UNEG CODE OF CONDUCT AND AGREEMENT FORM(S) .....	156

ANNEX H: CO-FINANCING ..... 158

ANNEX I: SHORT PROFILE AND BIOGRAPHY OF TE CONSULTANT TEAM..... 166

ANNEX J: SIGNED TE REPORT CLEARANCE FORM ..... 167

ANNEX K: AUDIT TRAIL OF COMMENTS..... 168

ANNEX L: UPDATED GEF SCORECARD(S)..... 169



## LIST OF ACRONYMS AND ABBREVIATIONS

ABS	Access and Benefit Sharing
APR	Annual Project Review
ATK	Genetic Resources and Associated Traditional Knowledge
AWP	Annual Work Plan
CBD	Convention on Biological Diversity
CHM	Clearing-House Mechanism
CNBSAP	China National Biodiversity Conservation Strategy and Action Plan
CO	Country Office (of UNDP)
CTA	Chief Technical Advisor
DSI	Digital Sequence Information
FECO	Foreign Environmental Cooperation Center
GEF	Global Environment Facility
GI	Geographical Indicator
GR	Genetic Resources
IA	Implementing Agency
ICH	2011 Intangible Cultural Heritage
IPR	Intellectual Property Rights
NBSAP	National Biodiversity Conservation Strategy and Action Plan
NFP	National Focal Point
NGO	Non-Governmental Organization
MAT	Mutually Agreed Terms
MEE	Ministry of Ecology and Environment (former name: Ministry of Environmental Protection)
MARA	Ministry of Agriculture and Rural Affairs (former name: Ministry of Agriculture)
MOFCOM	Ministry of Commerce
MOST	Ministry of Science and Technology
NIM	National Implementation Modality
NP	Nagoya Protocol
PIC	Prior Informed Consent
PIMS	Project Information Management System
PIR	Project Implementation Review
PMO	Project Management Office
PPG	Project Preparation Grant (for GEF)
PPR	Project Progress Report
PRC	Peoples Republic of China
ProDoc	Project Document
PSC	Project Steering Committee
NFGA	National Forestry and Grassland Administration (former name: State Forestry Administration)
CNIPA	National Intellectual Property Administration of China (former name: State Intellectual Property Office)
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SO	Strategic Objective
SRF	Strategic Results Framework
TBD	To Be Determined
TCM	Traditional Chinese Medicine
TOR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme

## I. EXECUTIVE SUMMARY

This executive summary is a 21-page summary of the Terminal Evaluation (TE) report.

### A. Project Context

1. China is one of 17 megadiverse countries, with more than 13,800 species of flora and fauna having been identified and found to have medicinal properties. China’s biological resources offer huge potential for the development of a national biotechnology industry and for providing sustainable benefits to the country, including the communities that depend on them. Yet, China’s biodiversity remains understudied and both the traditional means and regulatory framework of reaping benefits from biodiversity is changing internationally.
2. The traditional knowledge of local communities that is associated with genetic resources is disappearing rapidly. A large volume of traditional knowledge, such as medicinal use of biological resources, is being replaced by modern technology. Bioprospecting as well as the access and benefit-sharing (ABS) national regime were limited because the country did not have a fully functional and mature regulatory and institutional framework for ABS, nor the institutional and technical capacity to develop and manage ABS schemes that are compliant with Nagoya Protocol.
3. The Global Environment Facility (GEF) provides financial and technical resources to implement the United Nations (UN) Convention on Biological Diversity (CBD), which is the world’s agreement to conserve biodiversity. The three objectives of CBD were expressed in its Article 1: conservation of biological diversity; sustainable use of its components; and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources (including by appropriate access to genetic resources, and the transfer of relevant technologies and funding). The CBD convention includes the Nagoya Protocol (NP, 2010) as a legal framework that targets this 3rd objective of CBD.

### B. Project Description and Strategy

4. “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” (PIMS 5310) is a 5-year project implemented through the Foreign Environmental Cooperation Center (FECO) of the Ministry of Environmental Protection (MEE)<sup>1</sup> of the Government of People’s Republic of China, supported by the United Nations Development Program (UNDP). It officially commenced operations on 1 April 2016 with the signature of the Project Document and was scheduled for operational closure on 31 March 2021, with a subsequent extension granted to 31 March 2022. A midterm review (MTR) was undertaken for the Project between October to December 2018 and finalized on 6 December 2018.
5. The Project was implemented under the GEF-5 biodiversity focal area strategy under Objective Four “*Build Capacity on Access to Genetic Resources and Benefit Sharing*”, through a National Implementation Modality (NIM) by the Ministry of Environmental Protection as Executing Agency/Implementing Partner. Additional Executing Partners include the Ecology and Environment Bureaus of Yunnan, Guangxi, and Hunan. UNDP acts as the GEF Implementing Agency.

---

<sup>1</sup> Was restructured early on during implementation to become the Ministry of Ecology and Environment (MEE), but government counterparts and UNDP informed that this change did not affect the role of MEE or project implementation.

6. At its core, the Project was designed to address the importance of biodiversity conservation and fulfilling the objectives of the CBD through its facilitation of the implementation of the Nagoya Protocol. Furthermore, as a cross-cutting issue, it was designed to support the conservation of globally significant biodiversity and sustainable use of the components of globally significant biodiversity.
7. The aim of the Project was to create the legal and administrative underpinnings, as well as the practical capacity in China to authorize and enable providers of genetic resources and associated traditional knowledge to share in the benefits from the utilization of those resources, in a manner that promotes improvement of the providers' social welfare and provides a motivation for conservation and efforts to maintain the sustainability of those resources.
8. The objective of the Project was *"to develop and implement China's national framework on access to and benefit sharing of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity and the Nagoya Protocol"*.
9. The Project had three inter-related and mutually complementary components, each with an associated outcome<sup>2</sup>, that together are focused at addressing the barriers of (i) insufficient legal and institutional experience for the implementation of Access and Benefit Sharing considerations; (ii) sub-optimal stakeholder awareness and capacity to develop and implement national and local ABS norms; and (iii) limited capacity to regulate, oversee, promote and control bioprospecting and negotiation of viable ABS mechanisms. With respect to its three primary outcomes:
  - **Outcome 1**, was directed at establishing the foundational ABS legal measures nationally and provincially;
  - **Outcome 2**, was concerned with ABS institutional and professional capacity development (also reinforced through dependencies with implementation, through "learning by doing" exercises); and
  - **Outcome 3**, prioritized the conducting of practical pilots for the articulation and implementation of agreements and institutional arrangement in three provinces, including provincial and local legislation, implementation of a variety of ABS scenarios, negotiation of ABS agreements with small- and medium-sized enterprises for commercial and non-commercial purposes and undertaking six case studies, several of which involved contracts integrating Prior Informed Consent (PIC) and (Mutually Agreed Terms) MAT ABS concepts with communities.
10. The above is funded by a grant from the GEF of US\$ 4,436,210.00, cash and in-kind equivalents of US\$ 15,136,000.00 from the national Government, and cash and in-kind equivalents of US\$ 7,800,000.00 in Provincial co-financing. The total funding envelope of the Project is US\$ 27,372,210.00.
11. This TE report documents achievements of the Project and includes five sections. Section I presents a summary of the Project's ratings against core criteria and articulates the main conclusions, recommendations and lessons at a high level; Section II briefly describes the objective, scope,

---

<sup>2</sup> While the Project Document articulated the UNDP-GEF ABS project Components would result in a total of 6 Outcomes, operationally and from a M&E perspective, the results hierarchy in PIRs and associated reports were essentially managed and monitored as 3 overarching Component Outcomes.

methodology, evaluation users and limitations of the evaluation; Section III presents an overview of the Project; Section IV presents the findings of the TE and underpins the ratings in the Executive Summary in Section I; Section V presents the main findings, conclusions, recommendations and lessons at a deeper level of granularity; and final, relevant annexes and supplementary information are found at the back of the report.

## C. Purpose and Methodology

12. The objective of the TE was to gain an independent analysis of the results of the project. The TE focused on identifying project design issues, assessing progress towards the achievement of the project objective. Findings of this review were also incorporated as sections on sustainability and impact, as well as identifying lessons learned and recommendations for future programming on similar initiatives.

## B. Evaluation Ratings Summary

13. The key criteria and supporting questions for this evaluation concerned relevance, the achievement of outputs, effectiveness, efficiency, sustainability, and impact. Based on the review and assessment and taking into consideration the complex and transformational nature of the Project, the TE consultant team has assigned an overall rating of **Highly Satisfactory**.
14. Evaluation ratings are summarized in Table 2 with the corresponding evaluation rating scale noted in Table 3.

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
M&E design at entry	5: Satisfactory (S)	<ul style="list-style-type: none"> <li>From a design perspective, the results framework was large, with 18 indicators at the time of CEO endorsement, which remained consistent following the MTR with only minor revisions to the wording of indicators and targets for purposes of clarity;</li> <li>With a substantial M&amp;E budget of US\$ 120,000.00 (close to 3% of total GEF resources), managing the Strategic Results Framework was realistic at design and enabled the efficient planning and effective monitoring of results, as well as tracking progress towards the desired objectives;</li> <li>Strong monitoring mechanisms at both inception and throughout implementation. The Project's implemented M&amp;E systems were robust and standard, comprising of the inception report, regular Project Steering Committee meetings, ongoing</li> </ul>
M&E Plan Implementation	5: Satisfactory (S)	
Overall Quality of M&E	5: Satisfactory (S)	

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>technical monitoring, PIRs, quarterly and APRs (subsequently replaced by PPRs), MTR, as well as terminal reporting and terminal evaluation. Additionally, increases in capacity were measured via capacity development scorecards at national and provincial levels;</p> <ul style="list-style-type: none"> <li>• Digital channels using WeChat served a dual-purpose communication and monitoring tool, especially between national and provincial PMOs;</li> <li>• Demonstrated strong adaptive management following the MTR and responded to the recommendations presented therein well;</li> <li>• Still, in spite of changes made to the SRF, several indicators under Component 3 were thought to be vague by both the PMO and TE consultant team alike, and were left open to interpretation and subjectivity (i.e.: meaning of practical experience);</li> <li>• M&amp;E plan in Table 7 of the ProDoc (pp 60-61) was followed to the letter.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>• Going forward, there is a need to focus on evidence-based mechanisms and supporting business processes to monitor and evaluate the efficacy and impact of the legislative framework put in place. There is currently insufficient direction and more effort needed on this front in the time remaining.</li> </ul>
<b>2. Implementing Agency (IA) Implementation &amp; Executing Agency (EA) Execution</b>	<b>Rating</b>	
Quality of UNDP Implementation / Oversight	<b>6: Highly Satisfactory (HS)</b>	<ul style="list-style-type: none"> <li>• UNDP Implementation and Oversight have been consistently exemplary. Recognized early signs of risk from financial delivery and acted on these intuitions quickly to turn things around;</li> <li>• Tools such as initial and ongoing training (PM training) acted as a bridge with the IP and strengthened relationships with stakeholders;</li> <li>• Consensus from stakeholder consultations that UNDP has demonstrated leadership and took their</li> </ul>

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>role seriously recognizing this was a potentially game-changing project;</p> <ul style="list-style-type: none"> <li>• Took responsibility of negotiations ensuring there was for the most part 3<sup>rd</sup> Parties available and present between private enterprises and communities, and demonstrated foresight in nurturing community components;</li> <li>• The UNDP China Country Office, went beyond expectations of a NIM project and took leadership and ownership.</li> </ul> <p><b>Continuing concerns and risks:</b> None.</p>
Quality of Implementing Partner Execution	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>• FECO has demonstrated thought leadership, high quality technical input and delivery, learned from hiring mistakes made early to recruit a seasoned external PM to accelerate achievements in the back half of the Project;</li> <li>• From a sustainability perspective FECO has internalized and will continue to advance goals and objectives post-project independent of additional financing;</li> <li>• Undertook a tremendous amount of communications work with a broad range of stakeholders and played a bridge from a communication perspective when needed;</li> <li>• The continuity of PMO staff in the two years preceding the TE contributed to smooth Project operations, stability and laser focus on value added outputs which would contribute most to the Development Objective;</li> <li>• There was significant investment in capacity building post MTR.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>• ABS issues are inherently complex and require ongoing refresher training to ensure national, provincial and local level obligations under legislation are aggregated;</li> <li>• Engagement with other line ministries can fall apart quickly without buy-in and change management and transition planning;</li> </ul>

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<ul style="list-style-type: none"> <li>Ensuring information is posted on the ABS CHM;</li> <li>Pervasive interpretation that ABS = protectionism and Intellectual Property as opposed to “access”.</li> </ul>
Overall quality of Implementation / Execution	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>Adaptive management also demonstrated in recognizing shortcomings in financial delivery early on, putting in place an <b>external</b> seasoned National Project Manager;</li> <li>Recognizing the need to double-down on capacity post MTR which has clearly paid dividends;</li> <li>Did real work with the enterprises;</li> <li>Has helped realize the internalization of environmental benefits among enterprises involved, as well as sustainable development and close linkages to local economies and community livelihoods.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>Ought to focus on longer term sustainable and environmental benefits;</li> <li>Could have engaged more stakeholders and line ministries and local governments;</li> <li>While the Project provided a lot of training and knowledge to local government to give them basic and foundational knowledge. Essential to implement the framework going forward.</li> </ul>
<b>3. Assessment of Outcomes</b>	<b>Rating</b>	
Project Objective	5: Satisfactory (S)	<ul style="list-style-type: none"> <li>4 indicators in total (2 indicators achieved in full and 2 indicators partially achieved at the time of writing yet remain on track for full completion by the end of Q1 2022);</li> <li>While strong, implementation has not been consistent across all areas with gaps in certain areas with respect to implementation of legislation at different levels;</li> <li>Gaps are more attributed to the design not the project delivery per se. This is the very first ABS project for the country with no established benchmarks and more flexibility in</li> </ul>



<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>modifying on the basis of changing contexts;</p> <ul style="list-style-type: none"> <li>Interpreted obligations to the national context well.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>Need more experiences at the local level to collect more data and information to formulate legislation.</li> </ul>
Relevance	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>Widely thought to be highly innovative and ground-breaking;</li> <li>Has been foundational and first of its kind in China, with only very few other examples in the region;</li> <li>Has contributed not just to international obligations to MEA processes, but also with national policies which have firmed understanding of basic concepts and measures.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>What does the Project's achievements mean for national priorities and strategies going forward, especially in the context of ongoing discourse and prioritization of Ecological Civilization?</li> <li>What next and how will this be used as a stepping stone to usher in progress in other provinces?</li> </ul>
Effectiveness	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>The Project made adjustments to CTA and the NPM – experienced institutional re-adjustment;</li> <li>Internalized shortcomings and readjusted to include more capacity building / doubled down on training needs following the MTR;</li> <li>Very few, if any, shortcomings with respect to technical delivery, close to 100% achievement on all indicators in the SRF;</li> <li>There is plenty of runway and time to consolidate case studies as a result of COP15 Part II deferral.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>None.</li> </ul>
Efficiency	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>From an expenditure perspective financial delivery is 90% with most final deliverables expected to be delivered by contractors at the end of 2021 and final payments disbursed soon</li> </ul>



<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>thereafter in early 2022 and prior to operational closure;</p> <ul style="list-style-type: none"> <li>• Good division of workload and propensity to leverage each other's experience and subject-matter expertise;</li> <li>• Most work done undertaken ahead of schedule and strong alignment with the budget in the ProDoc;</li> <li>• Consensus from stakeholders they were afforded a budget commensurate with the scope of work to be undertaken.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>• There was a very lean project management team in place and while it was very efficient in terms of project financing and overall delivery, it had a negative impact on the pace of work needed to meet the objectives and outcomes and consequences on work-life balance.</li> </ul>
Overall Project Outcome Rating	6: Highly Satisfactory (HS)	<ul style="list-style-type: none"> <li>• At the outcome level, all indicators were fully achieved except for 1 which was partially achieved;</li> <li>• If this project is packaged well, it can and should be leveraged as a case study, especially in the context of the CBD's Post-2020 Global Biodiversity Framework as there is a dearth of current case studies and recycling of old ones;</li> <li>• Still need to consolidate scale up database of Traditional Knowledge.</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>• Some basic concepts and knowledge have been accepted and adopted in several sectors, particularly in traditional medicine. An initial framework has been established at national level from theoretical perspective. However, due to insufficient experience on ABS practices to illustrate more details in China, there are many ambiguous areas needed to be clarified for the implementation of the framework, for example, the ownership of the genetic resources and formulation of</li> </ul>

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>sustainable modality for different stakeholders at national and sub-national level;</p> <ul style="list-style-type: none"> <li>• There is still the potential to achieve more, but it will require investing in a continuation phase of the Project. Thus, the Project's stakeholders should develop and endorse a clear work-plan to ensure the achievement of the remaining deliverables with the support of the stakeholders;</li> <li>• In spite of COVID-19, a tremendous amount was achieved by the Project which showed interest in communicating and learning from other countries but was not possible due to COVID. The Project needs to connect / communicate with other governments to enable China to learn from other experiences in the future (i.e., Malaysia where there are similar genetic resources and species);</li> <li>• More provinces ought to be involved and contribute to the expansion and measures of the concept. Local communities are the conduits of success.</li> </ul>
<b>4. Sustainability</b>	<b>Rating</b>	
Financial sustainability	3: Moderately Likely (ML)	<ul style="list-style-type: none"> <li>• Although the Project is very much acknowledged by the FECO and government stakeholders, as well as very relevant to the Government's national plans, without a confirmed financial commitment and institutional arrangement to follow up on the Project's activities, prospects for financial sustainability are ambiguous, and overall sustainability is considered moderately likely;</li> <li>• From a local government perspective, the shortcoming has been that they have not set up and enabled firm support, but the enterprises will continue to add longevity and continued support through their own financial resources;</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>• The TE consultant team has observed and concluded there will be a gap in financing, at least in the short term</li> </ul>

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>which may affect continuity and momentum;</p> <ul style="list-style-type: none"> <li>Notwithstanding, there is a need to learn from this experience and process what would be the logical next step. Therefore, this lull in operations offers a pause after a frenetic 6 years of implementation to reflect on what is needed in future design to ensure that it is funded accordingly.</li> </ul>
Socio-political sustainability	L: Likely (L)	<ul style="list-style-type: none"> <li>Strong political will to continue and strengthen in the future. A 1-2 year time horizon is likely needed before the government enacts policies at a more detailed level. Strong implementation and planning forthcoming;</li> <li>Good framework and enthusiasm for the work at the local level and work will endure. Want to engage in follow-up project and make issues more powerful than this project.</li> <li>There were strong development mechanisms for local communities and livelihood issues, including women. Increased local economic benefits. New opportunities in the form of tourism and new products – went from raw material to commercial products. Involved a lot of enterprises and through training were able to get more value to their resources and meaning to protect traditional resources that might have been overlooked or ignored.</li> </ul>
Institutional framework and governance sustainability	3: Moderately Likely (ML)	<ul style="list-style-type: none"> <li>ABS concepts integrated into China's ecological civilization roadmap;</li> <li>Kunming Declaration notes the need to “<i>step up efforts to ensure, through the Convention, the Nagoya Protocol and other agreements as appropriate, the fair and equitable benefit-sharing from the use of genetic resources, including associated traditional knowledge, taking into account the context of digital sequence information on genetic resources</i>”;</li> </ul> <p><b>Continuing concerns and risks:</b></p> <ul style="list-style-type: none"> <li>There are continued gaps in the institutional framework and not a strong mechanism to support data collection</li> </ul>

<b>Table 2: Evaluation ratings table</b>		
<b>1. Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Rating</b>	<b>Comments</b>
		<p>and analysis from stakeholders and local communities. Need to nurture and develop a monitoring system at multiple levels and align 4 layers of monitoring. For this however, more time is needed than currently available;</p> <ul style="list-style-type: none"> <li>From enterprise perspective no clear signal from government on how to continue this work post-project (risk) – modalities are needed for the Project to expand knowledge and useful experience to other areas in China.</li> </ul>
Environmental sustainability	4: Likely (L)	<ul style="list-style-type: none"> <li>First of its kind and genetic resources will benefit from the agreements, framework and measures put in place (i.e., Dendrobe conservation habitat in Yunnan).</li> </ul>
Overall Likelihood of Sustainability	3: Moderately Likely (ML)  * Per TE guidelines overall likelihood of sustainability is the lowest rated sustainability criteria.	<ul style="list-style-type: none"> <li>This project is seen as a stepping stone for further initiatives and the right building blocks have been put in place for replication and upscaling at other provinces;</li> <li>Other provinces want to learn and receive signals (i.e., Guangdong). This province has highest GDP in China.</li> </ul>

<b>Table 3: Terminal evaluation rating scales</b>	
<b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, Implementation/Oversight, Execution, Relevance:</b>	<b>Sustainability ratings:</b>
<b>6 = Highly Satisfactory (HS):</b> exceeds expectations and/or no shortcomings	<b>4 = Likely (L):</b> negligible risks to sustainability
<b>5 = Satisfactory (S):</b> meets expectations and/or no or minor shortcomings	<b>3 = Moderately Likely (ML):</b> moderate risks to sustainability
<b>4 = Moderately Satisfactory (MS):</b> more or less meets expectations and/or some shortcomings	<b>2 = Moderately Unlikely (MU):</b> significant risks to sustainability
<b>3 = Moderately Unsatisfactory (MU):</b> somewhat below expectations and/or significant shortcomings	<b>1 = Unlikely (U):</b> severe risks to sustainability
<b>2 = Unsatisfactory (U):</b> substantially below expectations and/or major shortcomings	<b>Unable to Assess (U/A):</b> Unable to assess the expected incidence and magnitude of risks to sustainability
<b>1 = Highly Unsatisfactory (HU):</b> severe shortcomings	
<b>Unable to Assess (U/A):</b> available information does not allow an assessment	

## **C. Concise Summary of Conclusions, Lessons and Recommendations**

### ***Findings and conclusions summary***

15. Based on the totality of reports reviewed by the TE consultant team and stakeholder consultations, the evaluation concludes that the Project achieved the Development Objective, with progress assessed as **Satisfactory**. The Project has achieved most of its Outcomes, and in some cases has gone beyond them. Progress against Outcome 1 was rated **Highly Satisfactory** with all 5 corresponding targets for associated indicators achieved; against Outcome 2 was assessed as **Highly Satisfactory** with its 5 end-of-project targets having been met; and against Outcome 3 was also rated as **Highly Satisfactory** with all corresponding indicators having achieved their end-of-project targets. Of the 18 indicators in the Strategic Results Framework, 16 were achieved and two were partially achieved, but remain on track for full delivery by operational closure.
16. The Project delivered some foundational results of substantial and of global significance, not least of which is that ABS is now embedded within a national legal and institutional framework in China. The Project benefitted from opportune timing having acceded to the Nagoya Protocol very early on in the Project's lifecycle in September 2016, allowing it to pivot quickly from adoption of a national ABS regulatory framework in compliance with the Nagoya Protocol and mainstreaming it at the provincial and local levels, as well as focusing on the prioritization of supporting provincial regulations in parallel.
17. Under **Outcome 1** regulations on the administration of the access and benefit sharing of biological genetic resources underwent the full legislative process under the legal affairs office of the State Council, creating a favourable enabling environment for the execution of all activities planned under the Project. 14 analyses and research reports on different thematic areas and elements necessary for a robust national ABS framework were also developed in parallel to codes of conduct for different target entities, including industry. To enable local pilots, a range of tools and instruments were developed to guide local legislation, including a model contract covering national and international jurisdictions with PIC and MAT provisions therein.
18. Under **Outcome 2**, there was a fundamental shift in capacity, evidenced by an increase in scorecard results of 31%, 318%, 500% and 509% against the baseline at the national level, as well as for Yunnan, Hunan and Guangxi provinces respectively. Significant efforts were made to enhance national and provincial-level institutional capabilities and pre-requisites for ABS implementation, a plan for ABS training programs was developed, and a doubling down on capacity investments undertaken following the MTR, integrating case studies and materials based on the pilots and the legislation, procedures and contracts developed. A bespoke portfolio of modular training materials – ranging from a multi-volume text book, supporting PowerPoint training slides, additional learning resources and supporting instruction materials for trainers - was developed to target four key stakeholder groups including legislation administrators from government, research institutes, local community and private sector / industry. These were customized on the basis of situational and geographic contexts. More than 800 participants of which 40% were women, received systematic ABS trainings at the time of writing with more training forecasted until the end of the Project. Trainings were reinforced by high-quality awareness materials and exhibitions, and by raising the profile of ABS issues at commemorative events such to coincide with World Environment Day, International Biodiversity Day and Earth Day, to name a few.

19. The **Outcome 3** pilot demonstrations have resulted in 6 negotiated agreements, each opening the doors to highly innovative and long-term collaborations between local communities and private sector entities and each showcasing the genetic benefits of and commercialization - through Research and Development - of the potential of different species in order to secure research as well as environmental sustainability and resource availability; while underscoring the nexus between genetic resources and its potential to enhance economic livelihoods. The execution of these pilots has also contributed to the existing body of knowledge on traditional medicine, processing and harvesting techniques, rare varieties and the cross-pollination and symbiotic potential of traditional knowledge and modern processing methods. The Project has also been prolific in its pursuit of ABS information sharing through knowledge management, with a range of videos and animations that have been developed to summarize the good practices and the experiences generated, and will culminate in the release of a book scheduled to be released by the end of the Project and published soon thereafter.
20. Taken together, the Project has achieved many if not most of its identified targets, and in some cases has even surpassed them. The volume of work that went into the execution of the Project in comparison to the level of GEF funding was high. The Implementing Partner, supported by the national and three provincial PMOs have all contributed an extremely high level of national ownership and efforts have certainly contributed to an increased awareness with regard to ABS.
21. The project design overall shows a clear and consistent construction and logical flow between project outputs, Outcomes and Objectives. However, design was ambitious, underestimating the time and effort needed to achieve outputs on a broad range of aspects involving a complex web of stakeholders. Minor weakness was found in the formulation of and carryover of the inherent subjectivity of some indicators following the MTR.
22. The TE consultant team concludes that the Project was relevant from the outset and continues to be so as it focuses on environmental and legislative priorities that are aligned with Objective Four under the GEF-5 biodiversity focal area and Outcome 1 of UNDP's Country Programme Document for China covering both [2016-2020](#) and [2021-2025](#), as well as Pillar 2 in the latter. Moreover, the Project's in-situ, ex-situ conservation and community development efforts delivered substantial achievements within the biodiversity focal area beyond the core objective under which it was designed. The Project was in line with the national strategies and plans of the People's Republic of China, especially the National Biodiversity Conservation Strategy and Action Plan (CNBSAP) for 2011 – 2030 and in the context of the rising importance of Ecological Civilization as a foundational building block for national development planning. With respect to the international environment agenda the Project's achievements, especially its sustainability and replication potential, dovetail with Decision [14/31](#), Decision [NP-3/15](#) and commitment 8 of the Kunming Declaration.
23. The Project's strategy and its ultimate success, was predicated on an unprecedented degree of collaboration between officials at different levels and branches of government, academic institutions, civil society, the private sector and local communities, including ethnic minority groups. The level of engagement of all these stakeholders was exceptionally strong; each contributing something unique to the equation and leveraging each other's strengths for a multiplier effect. However, the TE consultant team noted it was difficult to penetrate and engage some line ministries, such as agriculture, which would have added value.
24. As a result of the time required to incubate, review and approve various pieces of legislation, supporting instruments at provincial and municipal level, as well as set up the requisite regulatory architecture to support accession to the Nagoya Protocol, the Project was least successful in ensuring

sufficient time for the implementation of the National ABS Framework at sub-national levels. The TE consultant attributes this shortcoming to the Project's design and underestimation of the work effort.

25. The initial design assumed several hypotheses, legislative process and approvals in China would be quick, an abundance of readily available subject-matter experts and an assumption that ABS issues could be easily understood through training. Furthermore, the design of the Project was very ambitious due to the magnitude of the goals in the three significant areas. By virtue of these complexities, the Project had to extend its execution period by 12 months.
26. The main risks that affected the performance of the Project were the complex and time-consuming Chinese legislative process and need for discussion and consensus around the coordination of relevant activities and mandates (key prerequisite to legislation) which impacted timely commencement or completion of different strands of the Project based on dependencies regarding approvals. These risks were beyond the Project's sphere of influence and notwithstanding delays, an important precursor to get things right to lay the foundation going forward. The PMO rightly anticipated these risks and put in place a situational analysis, training on coordination challenges and was attentive to documenting of roles and responsibilities as mitigation measures. COVID-19 was a significant risk that should have had a more significant impact nationally than it actually did, as the Project segued quickly to the adoption of online tools, although in fairness the Project could have benefited from learnings with countries in the region through exchange visits; this was not possible during the pandemic.
27. The Project was efficiently managed. Outputs were reached within approved budget parameters, and there were abundant examples of adaptive management that saved time and money and went beyond the Project's scope parameters. Annual budget revisions helped to re-program unspent funds and make transfers between budget lines. Delivery has been highly satisfactory both in program and financial terms. There has been efficient usage of human resources with exceptionally strong team dynamics that efficiently distributed work in accordance with respective strengths and skill sets.
28. The comparative advantage of the UNDP China Country Office was the technical capacity and leadership it brought to the table in the implementation of projects for the conservation of the environment and biodiversity, and also the vision and foresight of the potential the People's Republic of China has to be one of the global leaders in the application of the Nagoya protocol, as well as potential for technical and scientific cooperation and replication.
29. Sustainability is the main concern of the evaluation of this project; at the date of the conclusion of the TE an exit strategy is still being finalized and, without confirmed avenues of follow-up financing and transitional commitments to support institutional strengthening, continued capacity and awareness raising to follow up on the Project's activities, prospects for sustainability are ambiguous. Reassuringly, key staff from FECO will continue working on ABS issues and therefore, strong institutional arrangements will remain in place. Agreements between local communities and industry will endure post-project delivering economic benefits and diversifying local livelihoods. Research and development to affirm the commercial viability of the biological products and therefore their use will take time to develop but the private sector stands committed to continued investment.

### ***Lessons learned***

30. The TE consultant team finds the following lessons generated from the review of the documents and consultations with the project stakeholders:



**Lesson 1:** Leveraging existing networks and having natural partners with high absorption capacity to carry work forward post-project is a critical element of sustainability.

**Lesson 2:** It is important that a project's design and timeline reflects national constraints and the potential disruption caused by administrative, legislative and consultation procedures.

**Lesson 3:** The inception period is very valuable – allow sufficient time. It helps to demystify the expectations of GEF projects, pool together necessary expertise to “right-size” the level of ambition and determine if guidance can be provided from GEF or the GEF Implementing Agency on how to manage a big project. More importantly, this is when the national and provincial PMOs must be established to enable projects to hit the ground running. All things considered, deep consultation and the right representation is essential to set projects on the right footing.

**Lesson 4:** Project “champions” and “change agents” play a significant role in project success and furthermore, are instrumental to project replication and sustainability efforts. Strong leadership by UNDP is also needed in implementing the Project at the component level. The return on investment and benefits of initial and ongoing refresher training on critical elements of implementation such as on Project Management best practice and on gender issues, should not be underestimated.

**Lesson 5:** ABS future projects should not only focus on making the linkages between ABS, biodiversity conservation and sustainable livelihoods but also on integrating them into the project's objectives, components, activities and major deliverables. The UNDP-GEF ABS project, while principally focused on ABS and Nagoya protocol, also integrated sustainable livelihood and biodiversity conservation mainly through outcomes 1 and 3 respectively, making for a balanced and thoughtful design targeting multiple pillars of the CBD and GEF programming.

**Lesson 6:** The national PMO was not representational of the ideal number of resources to carry out such an ambitious and multi-faceted project. While the lean project management team might be very efficient in terms of project financing and attractive to the GEF, it had unfortunate consequences on work-life balance. While UNDP-supported GEF-financed projects are asked to keep management costs in check, this does not mean that one person ought to shoulder and coordinate the whole project.

## Recommendations

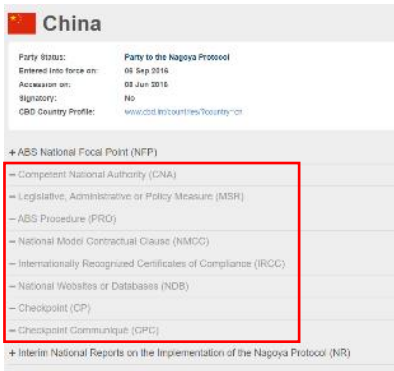
31. The recommendations that emerge from the Terminal Evaluation emphasize the importance of continuing to work on capacity and awareness to bring heightened attention to national and sub-national ABS regulations which is necessary to consolidate the enabling policy framework and improve the likelihood of implementing the overall framework.

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
<b>Category 1: Current project</b>		
1	While the Project developed a custom and purpose-built platform ( <a href="http://www.absch.org.cn">http://www.absch.org.cn</a> ) to enable the sharing of technology and knowledge resources with Chinese stakeholders, coined “ABS Clearing-House”, this is different than the CBD Secretariat’s <a href="#">ABS</a>	FECO (with support by the national PMO if needed)



**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p><a href="#">Clearinghouse Mechanism</a>, which is the key international tool to facilitate the implementation of the Nagoya Protocol. One of the requirements of accession is to populate it and maintain current information. As a Party to the Nagoya Protocol, the Project must ensure this is undertaken before operational closure.</p> 	
2	<p>The Project needs to elaborate a <b>detailed</b> exit strategy, establishing the steps to be taken and pending issues post-project. It is recommended therefore, to augment the Project's existing exit strategy per best practice example provided by the TE consultant team. This should explore the following pillars / sub-topics:</p> <ul style="list-style-type: none"> <li>• Ongoing activities and operational strands of work should explicitly note whether they will be "phased down", "phased out" or "phased over";</li> <li>• Transition plan explicitly noting what each of the core members of the legislative expert team will continue to own and promote as part of their ongoing work, what activities are likely to lose momentum and what gaps are foreseen in the near-term;</li> <li>• An inventory of different aspects of the Project, including implementation of regulations and contracts, which need to be monitored, how often, by whom and at what cost;</li> <li>• Viability strategies for any interim management / coordination support that might be necessary;</li> <li>• A compilation of sources of funding and potential future investment(s) by key stakeholders involved, external third parties and / or international donor community.</li> </ul>	National and Provincial PMOs (in consultation with key stakeholders)
3	<p>The Project is developing a compilation of deliverables to systematically document experiences and lessons from the Project's different components, including from the pilot activities and demonstrations. It is also compiling a book on ABS expected to be published shortly after operational closure. Public awareness and information management need to be approached</p>	PMO

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p>as over-arching aspects of the ABS framework that require longer-term attention. The Project should consider the inclusion of the following in these deliverables:</p> <ul style="list-style-type: none"> <li>• Specific case studies which have emerged from implementation, not only related to ABS legislation per se, but also operational issues such as essential functions and composition of PMOs and a retrospective on what can be achieved within certain timelines based on the Chinese context;</li> <li>• Linkages to lessons of this Project to the broader portfolio of UNDP projects within the region;</li> <li>• Assessment of the Project's contribution to the Sustainable Development Goals, to global environmental benefits and possible entry points for the post-2020 Global Biodiversity Framework;</li> <li>• Important or interesting areas that have either gone underexplored or not explored at all, such as protection of microbial genetic resources and microorganisms;</li> <li>• Opportunities arising from the study of Digital Information and Big Data.</li> </ul>	
4	<p>The three pilots and demonstrations between local communities and the private sector have left their mark through a legacy of legislation, provincial and municipal regulations, as well as through 6 inclusive ABS contracts. With little to no previous experience and benchmarking prior to the UNDP-GEF ABS project, things have not always been smooth and there have been challenges and hiccups along the way. Insufficient readiness and preparation resulted in a slow start and a number of inefficiencies during the first Annual workplan. Learning from past mistakes are instrumental in setting new provinces on the right footing so they can hit the ground running. Already there are several provinces, (including Hebei, Jiangsu, Shandong) and municipalities (the city of Guangzhou in Guangdong province) which have expressed their willingness to develop specific ABS measures.</p> <p>It is recommended that a readiness package / starter kit is prepared for new stakeholders embarking on ABS regulatory discovery and implementation, including model contract(s), sample regulations, an indicative work plan / roadmap and a checklist of near-term priorities and critical questions to be answered at the outset. This kit, based on the experience accumulated by the Project and challenges met in the process, will serve as a valuable reference point and should be accompanied by a list of learning and training resources. While a legislative expert team has agreed to provide provinces with</p>	National and Provincial PMOs

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	professional support, such a resource will help make the process more self-directed in light of insufficient financial resources.	
5	<p>The Project has underscored the importance of capacity when it comes to complex issues such as ABS. While the Project has delivered robust institutional and professional training, the TE consultant team believes it has only scratched the surface on what is necessary going forward. Consultations have corroborated this observation and surfaced the need for ongoing training to different target audiences, including academia, local communities, companies and government personnel - to internalize core concepts.</p> <p>Continued technical support and funding is needed to consolidate institutional capacities for assuming ABS roles and responsibilities, functions, and provide guidance and ongoing refresher training for the implementation and refinement of national and sub-national ABS frameworks. The Project should explore different avenues for bridge funding until a follow-up initiative is incubated.</p>	UNDP China Country Office and Implementing Partner
<b>Category 2: Future project management</b>		
6	The UNDP-GEF ABS project has certainly demonstrated the value and benefits of neutral outside management support. Future projects should prioritize external recruitment of a PMO not represented by members of the Implementing Partner or executing entities. The recruitment process should prioritize seasoned management with best practice certification (Prince 2 or PMI).	UNDP China Country Office
<b>Category 3: Future programming</b>		
7	<p>Plan for and carry out a "reality check" re-thinking and adjustment phase before implementation begins. Recognizing that there may be a lapse of a year or more between project design and implementation, it would be advisable for the designers of future projects to specifically build in an inception phase that requires a critical review of project design at start-up, with substantive input from all project partners. During such a substantive inception phase, future projects would do well to:</p> <ul style="list-style-type: none"> <li>• Update the actual situation in participating countries against the context at the time the project document was written;</li> <li>• Assess the time and funding proposed for implementation against actual national capacity to deliver;</li> <li>• Revise project components and deliverables accordingly; and</li> <li>• Develop work plans on this basis.</li> </ul>	UNDP China Country Office
8	The Project has strong prospects for replication and upscaling, and there is an enabling environment for ABS made possible through clear signals within the updated China National Biodiversity Conservation Strategy and Action Plan on priority	UNDP China Country Office and core legislative expert team

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p>actions related to ABS, as well as through the Fourteenth Five-Year Plan. The Project therefore, should vigorously pursue a follow-up initiative. Regarding the design and programming of similar interventions in the future, the TE consultant team also recommends establishing the specific problem to be solved from the beginning, with a theory of change according to where the route is visualized from the inputs, activities, and products to the expected results or effects. Possible thematic areas for follow-up include:</p> <ul style="list-style-type: none"> <li>• Alignment and harmonization between international negotiation and implementation of domestic ABS issues;</li> <li>• Documenting issues arising from implementation of regulations and pursuing subsequent refinements and amendments;</li> <li>• Supporting and allocating sufficient time for R&amp;D of genetic resources;</li> <li>• Greater inter- and intra-ministerial mainstreaming; and</li> <li>• Resolving potential conflicts among overlapping authorities over natural resources, as well as rights-holders of Traditional Knowledge;</li> <li>• Through pilots, greater exploration of domestic legal recognition and protection of genetic resource rights assigned to not only ethnic minorities, but also local communities of all ethnic groups.</li> </ul>	
9	Strengthen cooperation among multiple ministries or departments to improve the integrity and consistency of ABS data and information, especially the cooperation with the Ministry of agriculture and rural affairs of China in future projects, so as to strengthen the support of existing agricultural research data for ABS basic research and database construction.	FECO
10	<p>Article 18 of the CBD and Article 23 of the Nagoya Protocol underscore the need for technical and scientific cooperation between Parties to the Convention and to the Protocol. Specifically, Article 23 of the NP encourages Parties to:</p> <p><b><i>“...collaborate and cooperate in technical and scientific research and development programmes, including biotechnological research activities, as a means to achieve the objective of this Protocol. The Parties undertake to promote and encourage access to technology by, and transfer of technology to, developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, in order to enable the development and strengthening of a sound and viable technological and</i></b></p>	FECO and core legislative expert team

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p><b><i>scientific base for the attainment of the objectives of the Convention and this Protocol.</i></b></p> <p>With this in mind and given the Project's exemplary performance and achievements, it is encouraged that FECO and the core legislative expert team which has supported implementation should register as a "Provider" of technical assistance on the CBD's <a href="#">Bio-Bridge Initiative platform</a> in order to support requests from Parties that have a dearth in capacity and knowledge on ABS issues in general. China has a lot to offer and ought to take a leadership role globally based on the outcomes of the Project and what has been achieved in a short period of time.</p>	

## II. INTRODUCTION

### A. Purpose and Objectives of the Terminal Evaluation

32. The objective of the Terminal Evaluation was to gain an independent analysis of the achievement of the Project at completion, as well as to assess its sustainability and impact. The report focuses on assessing outcomes and project management. The TE additionally considered accountability and transparency, and provided lessons learned for future projects, in terms of selection, design and implementation. This report is in five sections: (i) executive summary; (ii) introduction; (iii) project description; (iv) findings, sustainability, impact; and finally (v) conclusions / recommendations / lessons. The findings (Section IV), are additionally divided into strategy and design, implementation and management, and results.

33. Further, in accordance with UNDP [Guidance for Conducting Terminal Evaluations](#) of UNDP-supported, GEF-financed projects, the evaluation has the following complementary purposes:

- To promote accountability and transparency, and to assess and disclose project accomplishments;
- To synthesize lessons that can help to improve the selection, design and implementation of future GEF-financed UNDP activities;
- To provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues;
- To contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit;
- To gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with the applicable UN Development Assistance Framework (UNDAF) and UNDP Country Programme Document (CPD)

34. Further to this, the Terms of Reference (Ref. Annex A) also state that the objectives of the evaluation will be to:

- Assess the achievement of project results supported and underpinned by evidence (i.e., progress of project's outcome targets);
- Assess the contribution of the project results towards the relevant outcome and output of the Country Programme Document and recommendations on the way forward;
- Where relevant, assess any cross-cutting and gender issues<sup>3</sup>;
- Assess impact of the project in terms of its contribution to, or enabled progress toward, reduced environmental stress;
- Examine the use of funds and value for money and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP.

### B. Scope and Methodology

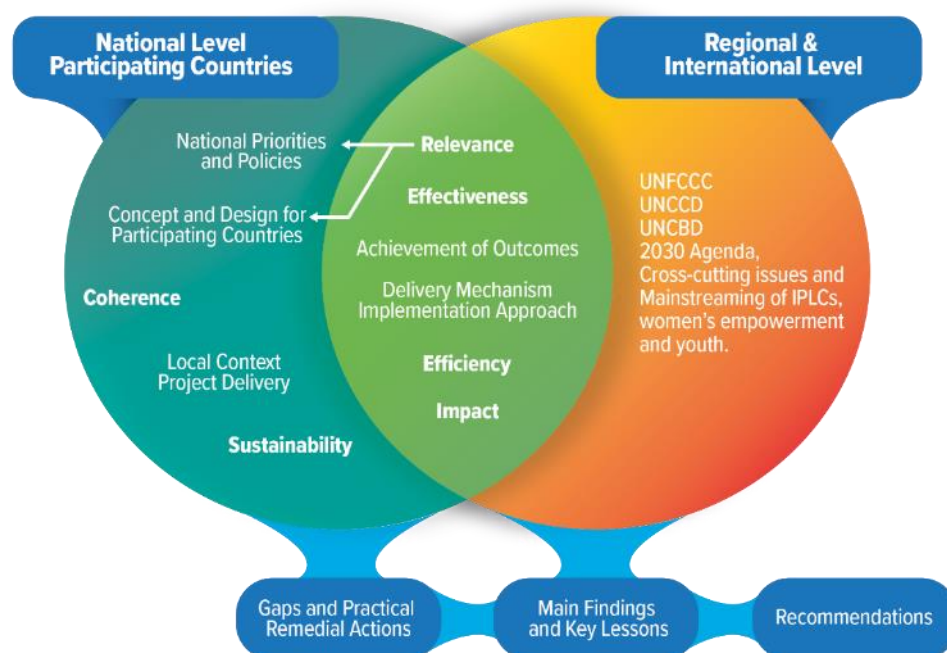
#### ***Approach***

<sup>3</sup> This includes poverty alleviation; strengthening resilience to the impacts of climate change, reducing disaster risk and vulnerability, as well as cross-cutting issues such gender equality, empowering women and supporting human rights.



35. The overall approach and methodology of the evaluation followed the guidelines and requirements outlined in UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects as noted above. The roadmap for the TE was initially discussed with the PMO and the UNDP China Country Office during preliminary tone-setting discussions and subsequently articulated in the Inception Report (Ref. Annex B).
36. The TE was an evidence-based assessment and relied on feedback from persons who were involved in the design, implementation, and supervision of the project. The TE consultant team reviewed a comprehensive information package of documents made available, and held stakeholder consultation as the primary data collection vehicles. The international consultant acted as team leader and was responsible for quality assurance and consolidation of the findings of the evaluation, and provided the TE report, in close consultation and discussion through consensus with the national consultant.
37. The TE had to adhere to COVID-19 restrictions and compliance to these measures meant that neither the international nor national consultant were able to visit the field whatsoever during the TE’s duration; it was conducted entirely in a virtual environment.

**Figure 1. Conceptual Model of the Terminal Evaluation**

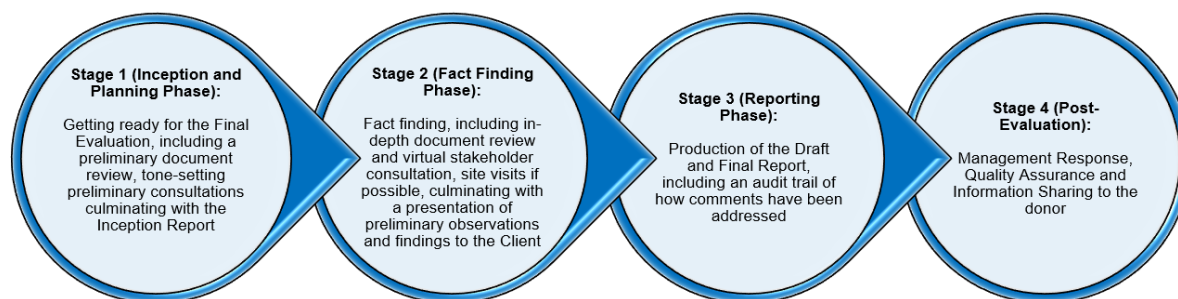


### ***Duration of Terminal Evaluation***

38. The Terminal Evaluation was undertaken between August 2021 to February 2022 by a two-person team contracted by the UNDP Country Office in China: Mr. Camillo Ponziani – International Evaluator / Team Leader and Ms. Liu Shuo - National Consultant / Evaluator. Reference is made to Annex I for a short biography of the TE consultant team members.

39. In general, the evaluation was developed in 4 steps that seek to meet the objectives of the Terminal Evaluation noted in paragraph(s) 32-34 above.

**Figure 2. Terminal Evaluation Process**



### **C. Data Collection & Analysis**

40. The methodology of the TE has followed the step-wise approach set forth below.

#### ***Development of Evaluative Matrix***

41. As per Annex 6 of UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects, an evaluative matrix has been prepared by the TE team, and is presented in Table 5. The evaluative matrix serves as a logical guide on how the TE is to be conducted, presenting key questions that are to be answered during the evaluation. Per guidelines, these questions relate to the following main subject areas and lines of inquiry: (i) Relevance; (ii) Effectiveness; (iii) Efficiency; (iv) Results; (v) Sustainability; (vi) Gender equality and women’s empowerment; and (vii) Cross-cutting and UNDP mainstreaming issues.

42. The matrix also identifies the various indicators which will reflect whether or not specific conditions or targets are met, the sources of data and information to be utilized to support the analysis and the methodology to be employed in gathering the data.

43. The following evaluative matrix was used as a logical guide of the core TE line of questioning. Some of the questions identified herein changed as the consultants drilled deeper into specific issues and as additional documentation was digested during the fact-finding stage that was not made available at the time of the inception report.



**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

Evaluative Criteria	Indicators	Sources	Methodology
<b>Relevance:</b> How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
<p>Were the objectives and implementation strategies consistent with:</p> <p>i) global, regional and national environmental issues and needs;</p> <p>ii) expectations and needs of key stakeholder groups;</p> <p>iii) the UNDP mandate, programming and policies at the time of design and implementation;</p> <p>iv) GEF Biodiversity focal area's strategic priorities and operational programme.</p>	<p>Level of alignment with (contribution of results to) sub-regional environmental issues, UNDP mandate and policies at the time of design and implementation; and to BD-4: Build Capacity on Access to Genetic Resources and Benefit Sharing.</p> <p>Degree of coherence between the project and national priorities, policies and strategies.</p> <p>Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities.</p> <p>Level of involvement of government officials and other partners in the project design, inception and implementation process.</p>	<ul style="list-style-type: none"> <li>• Comparison of Project Document and annual reports and policy and programming documents (i.e. CPD), strategy papers of local-regional agencies, GEF and UNDP</li> <li>• Interviews with UNDP-CO staff, PMU staff and governmental agencies</li> <li>• MTR report</li> </ul>	Desk review and interviews
<p>Were the objectives and implementation strategies consistent with:</p> <p>i) Outcome 4.1;</p> <p>ii) Output 4.1.</p>	<p>Level of alignment with and contribution to:</p> <p>Outcome 4.1: Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit</p>	<ul style="list-style-type: none"> <li>• Comparison of Project Document and annual reports and policy and programming documents (i.e., CPD), strategy papers of local-regional agencies, GEF and UNDP</li> </ul>	Desk review and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

<b>Evaluative Criteria</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
	sharing in accordance with the CBD provisions. Output 4.1. Access and benefit-sharing agreements (4) that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits.	<ul style="list-style-type: none"> <li>Interviews with UNDP-CO staff, PMU staff and governmental agencies</li> <li>MTR report</li> </ul>	
Was the Project consistent with international obligations and requirements under the Nagoya Protocol	Degree of alignment with MEA commitments.	<ul style="list-style-type: none"> <li>Review of Nagoya Protocol</li> <li>Discussion with ABS team at CBD Secretariat</li> <li>National Reports to the CBD</li> <li>Postings to the ABS Clearing House Mechanism</li> </ul>	Desk review and interviews
To what extent is the Project in line with national and local priorities?	Alignment with local plans.	<ul style="list-style-type: none"> <li>Review of local plans</li> </ul>	Desk review and interviews
Did persons who would potentially be affected by the Project have an opportunity to provide input to either its design and strategy?	Level of participation of persons potentially affected by the project.	<ul style="list-style-type: none"> <li>Project Document, inception report, stakeholder interviews</li> <li>Discussion with PIF formulation expert</li> </ul>	Desk review and Interviews (including field visits with beneficiaries, if possible given pandemic restrictions)
<b>Question to gauge adaptive management under "relevance":</b> To what extent did the (political, environmental, social, institutional) context change during project implementation and how did the project adapt to this/these change(s)?	Reported adaptive management measures in response to changes in context.	<ul style="list-style-type: none"> <li>Project progress reports/PIR</li> <li>Interviews with project staff and key stakeholders</li> </ul>	Desk review and interviews
Were gender and social inclusiveness considered	Active stakeholder involvement from both men and women.	<ul style="list-style-type: none"> <li>Project Document, inception report, stakeholder interviews</li> </ul>	Desk review, progress reporting / PIR, virtual field visits using remote tools and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

<b>Evaluative Criteria</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
in modifying the project strategy in the final two years of implementation?	Efforts to change SRF since MTR.	<ul style="list-style-type: none"> <li>Disaggregated data</li> </ul>	
Were lessons from other projects, including those pertaining to gender and social issues, incorporated into the project strategy?	Reference of lessons learned from other projects, including those pertaining to gender and social issues, captured in design and planning.	<ul style="list-style-type: none"> <li>Project Document and stakeholder interviews</li> </ul>	Desk review and interviews
How has the Project accommodated and succeeded in mainstreaming other cross-cutting issues?	Annual Work Plans Budget NSC Minutes Efforts to change SRF since MTR	<ul style="list-style-type: none"> <li>Project Document, inception report, stakeholder interviews</li> <li>New metrics being incorporated into the SRF</li> </ul>	Desk review, progress reporting / PIR, field visits (including field visits with beneficiaries, if possible given pandemic restrictions) and interviews
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
How successful was the Project in realizing the core objective?	Output level indicators of Results Framework.	<ul style="list-style-type: none"> <li>Project progress reports/PIR</li> <li>Tangible products (publications, studies, etc.)</li> <li>Interviews with program staff, partner organizations in implementation, project beneficiaries</li> </ul>	Desk review and field visits (including field visits with beneficiaries, if possible given pandemic restrictions) and interviews
Extent to which: <ul style="list-style-type: none"> <li>Were the Project's objectives and components clear, practicable and feasible within its time frame?</li> <li>Were the capacities of the executing institution(s) and its counterparts properly considered when the project was designed?</li> <li>Were the partnership arrangements properly identified and roles and</li> </ul>	Evidence of revisions to accommodate noted considerations.	<ul style="list-style-type: none"> <li>Project progress reports/PIR</li> <li>Review of PIF</li> <li>Interview with PIF and PPG formulation expert</li> </ul>	Desk review and field visits (including field visits with beneficiaries, if possible given pandemic restrictions) and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

Evaluative Criteria	Indicators	Sources	Methodology
<p>responsibilities negotiated prior to project approval?</p> <ul style="list-style-type: none"> <li>Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?</li> <li>Were the project assumptions and risks articulated in the PIF and project document?</li> </ul>			
How successful was the Project in realizing the three key outcomes	<p>Output level indicators of Results Framework.</p> <p>Institutional capacity in place to assess, plan and implement priority conservation management.</p> <p>Results at Pilots.</p> <p>Improved capacity as indicated by scores on ABS scorecard.</p>	<ul style="list-style-type: none"> <li>Project progress reports/PIR</li> <li>Tangible products (publications, studies, plans etc.) Interviews with program staff, partner organizations in implementation, project beneficiaries</li> <li>News / Press releases and ministerial statements</li> <li>Number of agreements in place at national and sub-national level</li> <li>ABS scorecard results</li> </ul>	Desk review, results of tracking tools and interviews
Were key stakeholders appropriately involved in producing the programmed outputs?	Stated contribution of stakeholders in achievement of outputs.	<ul style="list-style-type: none"> <li>Citation of stakeholders' roles in tangible products (publications, studies, etc.)</li> <li>Interviews with partners and project beneficiaries</li> </ul>	Desk review and interviews
To what degree have the project products (e.g., studies, methodologies, etc.) been accessible to decision makers and other relevant stakeholders, and what effect	Indicators in the SRF.	<ul style="list-style-type: none"> <li>SRF</li> <li>Budget and planning documents</li> </ul>	Detailed document reviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

Evaluative Criteria	Indicators	Sources	Methodology
has this had on financial strategies and management in the project intervention areas?			
Have the tracking tools shown improvements since the MTR?	Improved scoring (consistent upward trend) from respective tracking tools.	<ul style="list-style-type: none"> <li>Tracking tools, stakeholder interviews</li> </ul>	Desk review and interviews
What remaining barriers exist to achieving the project objective and can these be achieved post-project with little to no investment?	Identification of barriers and strategies to address the barriers.	<ul style="list-style-type: none"> <li>Progress reports, meeting minutes, stakeholder interviews</li> </ul>	Desk review and interviews
How has the Project amplified, scaled-up and replicated the results to other areas in question	Cooperation agreements, number of meetings.  Plan in exit strategy.	<ul style="list-style-type: none"> <li>Progress reports, meeting minutes, stakeholder interviews</li> <li>Extent to which exit plan as started implementation</li> </ul>	Desk review and interviews
What lessons can be drawn regarding effectiveness for other similar projects in the future?	Impressions on what changes could have been made at design and / or implementation to improve the achievement of the expected result.	<ul style="list-style-type: none"> <li>Interviews / questionnaire</li> </ul>	Interviews
<b>Question to gauge adaptive management under "effectiveness":</b> Since the MTR, how is risk and risk mitigation being managed?	<p>How well are risks, assumptions and impact drivers being managed?</p> <p>What was the quality of risk mitigation strategies developed? Were these sufficient?</p> <p>Whether or not risks articulated in MTR have been addressed.</p>	<ul style="list-style-type: none"> <li>Quality of risk mitigations strategies developed and followed articulated in progress reporting and PIRs</li> </ul>	Document analysis and interviews with national and provincial PMO team(s)
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
Did the project logical framework and work plans and any changes made to them use as	Timeliness and adequacy of reporting provided.	<ul style="list-style-type: none"> <li>Project documents and evaluations.</li> </ul>	Desk review of key documentation and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

<b>Evaluative Criteria</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
management tools during implementation?			
To what degree of success was the project able to establish synergies with other initiatives that resulted in opportunities for increased cooperation and coordination between similar interventions?	Cooperation agreements / evidence of joint planning.	<ul style="list-style-type: none"> <li>Interviews with key stakeholders (partner organizations, other projects)</li> <li>Project products (publications, data) that show collaboration / complementation with other initiatives</li> </ul>	Desk review and interviews
How was the operational execution vs. original planning (time wise)?	Level of compliance with project planning / annual plans.	<ul style="list-style-type: none"> <li>Project progress reports/PIR</li> <li>Interviews with project staff</li> </ul>	Desk review and interviews
How was the operational execution vs. original planning (budget wise)? Was the Project cost-effective?	Level of compliance with project financial planning / annual plans.	<ul style="list-style-type: none"> <li>Project financial reports</li> <li>Interviews with project staff</li> <li>ROI assessment</li> </ul>	Desk review and interviews
Were you afforded the resources (human and financial) to get the job done?	Annual plans vs. achievement of objectives.	<ul style="list-style-type: none"> <li>Interviews with project staff</li> <li>Annual work plans</li> </ul>	Interviews and data analysis
If present, what have been the main reasons for delay/changes in implementation? Have these affected project execution, costs and effectiveness?	List of reasons, validated by project staff.	<ul style="list-style-type: none"> <li>Interviews with project staff</li> </ul>	Interviews and lessons learned workshop
Was adaptive management applied adequately? Were any cost- or time- saving measures put in place in attempting to bring the Project as far as possible in achieving its results within its secured budget and time?	Measures taken to improve project implementation based on project monitoring and evaluation.	<ul style="list-style-type: none"> <li>Project progress and implementation reports</li> <li>MTR report and management response</li> <li>Interview with project staff and RTA</li> </ul>	Documentation review and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

<b>Evaluative Criteria</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
Has FECO been effective in guiding the implementation of the Project?	Leadership of the IP and ownership of other officials.	<ul style="list-style-type: none"> <li>NSC and PMO minutes, project outputs, stakeholder interviews</li> </ul>	Desk review and interviews with project staff + NSC observations and discussion
Have the executing partners been effective in implementation of the Project?	Active role in project activities with catalytic support to the project implementation.	<ul style="list-style-type: none"> <li>Stakeholder interviews</li> <li>project outputs</li> <li>quality of each of the key project outputs in the table of deliverables</li> <li>scorecards</li> </ul>	Desk review and interviews
Has UNDP been effective in providing support for the Project?	Quality and timeliness of support.	<ul style="list-style-type: none"> <li>Stakeholder interviews, project procurement and administrative procedures</li> </ul>	Desk review, data analysis, and interviews
Since the MTR, were delays encountered in project implementation, disbursement of funds, or procurement?	Compliance with schedule as planned and deviation from it is Addressed.	<ul style="list-style-type: none"> <li>Annual workplan</li> <li>project outputs</li> <li>stakeholder interviews</li> </ul>	Desk review and interviews
Has work planning for the project (i.e., funds disbursement, scheduling, etc.) effective and efficient?	Responsiveness to significant implementation problems.	<ul style="list-style-type: none"> <li>PIP and Annual workplan</li> <li>project outputs, stakeholder interviews</li> </ul>	Desk review and interviews
Have co-financing partners been meeting their commitments to the Project?	Mobilization of resources by partners beyond project funding.	<ul style="list-style-type: none"> <li>Co-financing reports, CDR reports, stakeholder interviews</li> </ul>	Desk review and evidence of co-financing letters versus annual work planning and budgeting of co-financing on an ongoing basis
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
Has a sustainability / business continuity plan(s) been drafted for the Project?	Planning for project closure.	<ul style="list-style-type: none"> <li>Sustainability plans approved</li> </ul>	Documentation review
Are legal frameworks, policies, and institutional arrangements favourable for sustaining the Project's outcomes following conclusion of the project?	Processes and insertion project objectives in national plans and policies.	<ul style="list-style-type: none"> <li>MTR</li> <li>National Biodiversity Strategy</li> </ul>	Document review and interviews

**Table 5: Evaluation framework of key questions by category (from approved Inception Report)**

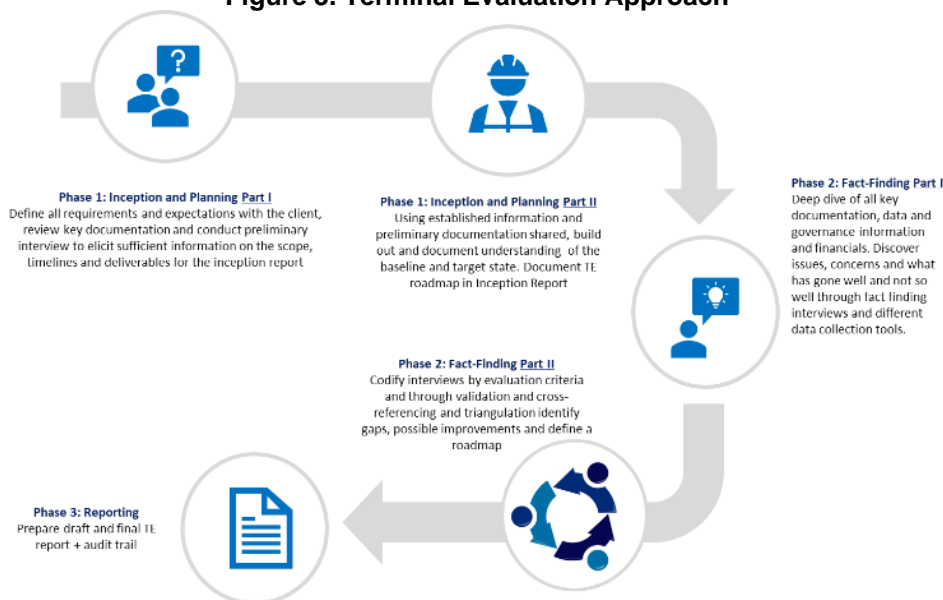
Evaluative Criteria	Indicators	Sources	Methodology
Will stakeholder ownership will be sufficient to sustain the Project's outcomes?	Handover plan and knowledge transfer ongoing.	<ul style="list-style-type: none"> <li>Sustainability plans</li> <li>Progress reports</li> <li>Interviews</li> </ul>	Document review and interviews and questionnaire
What is the likelihood that adequate financial resources will be in place to sustain the Project's outcomes by project end?	Opportunities for financial sustainability from multiple sources exist.	<ul style="list-style-type: none"> <li>Project Document, Annual</li> <li>Project Review/PIR</li> </ul>	Desk review, field visits (including field visits with beneficiaries, if possible given pandemic restrictions) and interviews
Are operational budgets in place and gaps reduced?	PAs are on a stronger footing as opposed to project baseline.	Operating costs and funding gap.	Document reviews and interviews.
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
To what extent was the GEF necessary for this initiative?	GEF Additionality	<ul style="list-style-type: none"> <li>Comprehensive review and determination.</li> </ul>	Document reviews, visits (including field visits with beneficiaries, if possible given pandemic restrictions), and interviews.
To what extent has the GEF alternative been realized?	Assessment of GEF increment	<ul style="list-style-type: none"> <li>Comprehensive review and determination.</li> </ul>	Document reviews, visits (including field visits with beneficiaries, if possible given pandemic restrictions), and interviews.
Are beneficiaries better off than they would have been under the status quo?	Beneficiary assessment, including gender and IPLCs	<ul style="list-style-type: none"> <li>Comprehensive review and determination.</li> </ul>	Document reviews, visits (including field visits with beneficiaries, if possible given pandemic restrictions), and interviews.



### Mixed Methods Approach

44. The hypothesis of the TE was that if the project’s foundational building blocks (technical, financial and management inputs) were put in place, and then, if together these were catalyzed sufficiently and following the guidance of the ProDoc, the presumption was this would ultimately make the project successful. The TE methodology therefore, was to utilize an incremental ‘multi-level mixed evaluation’ which is useful when evaluating delivery of new models or approaches, being piloted through state institutions. The method allows for cross-referencing and deeper dives at key junctures, and is suitable for finding insights which are sensitive and informative. As a cross-cutting theme, the TE assessed the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender / women’s empowerment. Each of the criteria in the evaluation matrix in Table 5 was purposely multi-dimensional and the tools incorporated gender to the extent possible, recognizing that neither the international consultant nor national consultants are gender experts and do not have the requisite training and technical underpinnings for a fulsome gender analysis.

**Figure 3. Terminal Evaluation Approach**



### Context Setting and Inception Report

45. The following core documents, as provided by the national PMO were initially reviewed which served to formulate a preliminary baseline understanding of the Project:

- Project Document (ProDoc);
- Project Identification Form (PIF);
- UNDP Initiation Plan;
- Project Inception Workshop Report;
- Project Implementation Review(s) (PIR) + supporting evidence;
- Project Progress Reports;
- Annual Work Plans;
- Minutes of the meeting(s) of the Project Steering Committee (PSC);

- MTR and accompanying Management Response, including discussion and adoption of actions at subsequent PSC meeting.

46. Based on the review, a detailed description of the Project was documented during the inception phase, covering the problems identified, the established objectives, outcomes, outputs and their respective activities, as well as barriers intended to be removed by the package of interventions. Subsequently, an evaluation framework was established that combines the guidance questions for the key criteria and categories of Project performance evaluation noted in Table 5.

#### Desk Study and Deeper Dive of Documentation

47. Following the inception phase, the TE consultant team undertook a thorough review of the rather substantial body of documentation that has been produced over the course of the Project during the fact-finding stage, including work products contracted out under Components 1, 2 and 3. The complete file of project documents was made available to the international consultant electronically through a [OneDrive](#) system and through Baidu Cloud. Other information sources including documents external to the Project itself, websites, journal articles etc., have also been utilized as data sources. In all, a total of 170 documents were reviewed as part of the desk study (of which 155 were made available as part of the TE information package). Annex C includes a list of the primary information resources and reference materials that were consulted and reviewed by the TE consultant team.

#### Semi-Structured Interviews and Stakeholder Consultation

As suggested by the Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects, the evaluation followed a consultative approach that mainly consisted of stakeholder interviews. This activity sought to enrich the vision of the context through direct contact with the most representative actors in the implementation of the Project, thus receiving first-hand testimonials regarding the progress, main achievements and barriers encountered.

48. A total of 25 stakeholder interviews were conducted with 48 unique individuals. In terms of gender participation close to 30% of those were women. The female participants consulted, especially minority women, were open and eager to share their perspectives and answer the questions of the TE consultant team; essential to the integrity and representativeness of the consultation process. The target audience interviewed ranged from implementing partners, national Project Management Office, provincial Project Management Offices (including group sessions with Guangxi PMO, Guilin PMO, Hunan PMO, Xiangxi PMO, Xishuangbanna PMO and Yunnan PMO), NGOs, academic and scientific institutes, a range of private sector companies, and beneficiary communities.
49. Each interview had an estimated duration of an hour. Participants were always informed of their confidentiality at the beginning of each meeting and that any reference that might be used in the evaluation report would be "scrubbed" for anonymity. The interviews were guided by evaluation questions, with flexibility so that the interviewees can provide information that seems relevant. Pro-forma questions (Annex D) on key themes such as those provided by the UNDP GEF guidelines were updated by the TE consultant team following the Inception Report and tailored to different stakeholder groups. A list of interviews conducted can also be found in Annex E.

#### Focus Groups

50. As part of the consultation process, a number of focus group sessions and round tables were carried out with organizations that have been linked to the Project, including beneficiary communities. This technique was also used to elicit information with the provincial PMOs.

Consultation Follow-Up

51. Following the formal interviews with stakeholders, additional actions were undertaken to continue information gathering, triangulating data, cross-referencing, and understanding functional responsibilities of PMO staff. In some cases, these actions included follow-up consultations with the Project Manager to contextualize information obtained from stakeholder interviews. During the report writing stage additional requests were made for evidence and documentation, including updated co-financing figures, results of deliberations on the development of an exit strategy, scorecard results (at national and provincial level) and finally updated progress reporting covering the period of Q4 2021.

Figure 4. Terminal Evaluation by the Numbers



***Draft Terminal Evaluation Report***

52. The information gathered from different sources was organized and coded by topic. To ensure the credibility and validity of the findings, judgments, lessons learned and conclusions presented. The evaluators used triangulation techniques, which consist of crossing the information obtained. Each component and phase of the Project was evaluated according to the categories established by the evaluation guide: 6: Highly Satisfactory (HS), 5: Satisfactory (S), 4: Moderately Satisfactory (MS), 3: Moderately Unsatisfactory (MU), 2: Unsatisfactory (U) and 1: Highly Unsatisfactory (HU). The rating scales used for each of the assessed categories are provided in Annex F.

53. Based on the results obtained, the evaluation team made recommendations of a technical and practical nature, with the intention of reflecting an objective understanding of the achievements of the Project. The TE applied to the design and implementation of the Project for the four categories of progress:

- **Project Strategy:** Formulation of the Project including the logical framework, assumptions, risks, indicators, budget, country context, national ownership, participation of design actors, replicability,

among others;

- **Progress in the achievement of results:** focus on implementation, participation of stakeholders, quality of execution by each institution involved and, in general, financial planning, monitoring and evaluation during implementation;
- **Execution of the Project and Adaptive Management:** identification of the challenges and proposal of the additional measures to promote a more efficient and effective execution. The aspects evaluated were: management mechanisms, work planning, financing and co-financing, monitoring and evaluation systems at the Project level, stakeholder involvement, information and communication;
- **Sustainability:** In general, sustainability is understood as the probability that the benefits of the Project will last in time after its completion. Consequently, this also includes an assessment of the likely risks that the Project faces so that the results will continue when the Project ends.

54. For the preparation of the draft evaluation report and to reinforce the credibility and validity of the findings, judgments, and conclusions that were obtained, the evaluation team used triangulation techniques to ensure technical quality. Triangulation involved double- or triple-checking the results from the data analysis by cross-comparing the information obtained via each data collection method.

## D. Ethics

55. The evaluation was conducted in accordance with the UN Ethical Guidelines for Evaluators, and the reviewer signed the UNEG Code of Conduct for Evaluators (Annex G). In particular, the TE team ensures the anonymity and confidentiality of individuals who were interviewed and surveyed. The team has been sensitive to issues of discrimination and gender equality and has presented results in a manner that clearly respects stakeholders' dignity and self-worth.

## E. Cross-cutting Issues

56. To evaluate to what extent the project design and implementation took into account key cross-cutting issues such as the SDG's, during data collection and analysis, the evaluation team the Project looked for evidence about how these issues were addressed, aiming to identify what specific measures or strategies were taken, and to what extent it was possible to mainstream these issues across project interventions.

57. The principal findings are detailed in [Section IV C](#) in sections on “Gender equality and women's empowerment” and “Cross-cutting Issues”. From an inclusive approach and in lieu of the possibility of physical missions, the TE consultant team insisted on face-time with a range of local communities to evaluate how the integration was facilitated by the Project to minority groups and if these processes contributed to the empowerment exercise of their rights. As a result, the TE consultant team engaged with members of the Hani minority group from Data village, with members of Heping village in Longji Township, Longsheng Ge Minority Autonomous County, and with a cross-section of representatives (including three female and two male) from Pairu, Guanba and Shoutouxi villages in Guzhang County.

58. Beyond the review of key project documents and reports, the assessment included specific questions to address cross-cutting issues (Annex D). The assessment also analyzed to what extent the project

monitoring and evaluation address its impact on gender and intercultural relations, considering the participation of stakeholders and the benefits derived from it.

## **F. Limitations to the Evaluation**

59. The main limitations to the TE related to the COVID-19 and associated constraints. In particular:

- Due to changes in provincial travel restrictions and quarantine policy, neither the International nor National Consultant were able to undertake any field missions and relied solely on a thorough review of project documentation and virtual interviews and online discussions with provincial PMOs and remote beneficiaries to support the TE’s findings. This was a deviation from the Inception Report where it was envisaged that travel would be permitted to occur;
- While a good cross section of project stakeholders were selected to participate in interviews, it was difficult for the International and National Consultants to meaningfully evaluate activities and results in the field – especially the conservation / livelihood benefits accrued over the Project’s lifespan through the 3 pilots and at the 6 demonstration sites - where deeper discussions with government personnel, communities and beneficiaries alike would have been tremendously beneficial.

60. Furthermore:

- Neither the International nor National Consultant are gender and community development specialists and had to deduce results based on existing capacity and experience;
- As noted above, close to eighty-seven percent of the documents, especially technical outputs in each of the Components, were in Chinese thereby limiting the active review of the Team Leader and requiring them to be dependent on translated synopses of key deliverables to formulate findings;
- As a result of China’s Presidency and preparations for the first part of the Fifteenth Conference of the Parties of the CBD (COP 15) held in Kunming from 11-15 October 2021, interviews did not start until thereafter due to the unavailability of key stakeholders;
- Once interviews could commence, the National Consultant was requested by the government to attend the Twenty-sixth session of United Nations Climate Change Conference (COP 26) requiring the Team Leader to shoulder most of the interviews until their return to China and where they were required to catch up post-facto via recorded sessions;
- Delays were incurred by the International Consultant due to bandwidth issues encountered with other evaluations that were being reviewed by UNDP HQ, due to non-performance issues, and cascading effects of multiple concurrent evaluations on the timelines for the UNDP-GEF ABS project TE.

61. Meaningful mitigations were not possible to be taken due to the nature of the limitations encountered and their relative importance in a TE. Therefore, risks had to be accepted. Notwithstanding, the highly technical and legal nature of the Project’s work lent itself well to virtual consultations and desk review format.

## **G. Structure of the TE report**

62. The structure of this report follows the outline proposed by the Terminal Evaluation Guidelines:

- i. Basic Report Information (to be included in title page)
  - Title of UNDP-supported GEF-financed project UNDP PIMS ID and GEF ID
  - TE timeframe and date of final TE report
  - Region and countries included in the project
  - GEF Focal Area/Strategic Program Executing Agency, Implementing partner and other project partners TE Team members
- ii. Acknowledgements
- iii. Table of Contents
- iv. Acronyms and Abbreviations
1. Executive Summary
  - Project Information Table Project
  - Description (brief)
  - Evaluation Ratings Table
  - Concise summary of findings, conclusions and lessons learned
  - Recommendations summary table
2. Introduction
  - Purpose and objective of the TE
  - Scope Methodology
  - Data Collection & Analysis
  - Ethics
  - Limitations to the evaluation
  - Structure of the TE report
3. Project Description
  - Project start and duration, including milestones
  - Development context: environmental, socio - economic, institutional, and policy factors relevant to the project objective and scope
  - Problems that the project sought to address: threats and barriers targeted
  - Immediate and development objectives of the project
  - Expected results
  - Main stakeholders: summary list
  - Theory of Change
4. Findings
  - 4.1 Project Design/Formulation
    - Analysis of Results Framework: project logic and strategy, indicators
    - Assumptions and Risks
    - Lessons from other relevant projects (e.g. same focal area) incorporated into project design Planned stakeholder participation
    - Linkages between project and other interventions within the sector
  - 4.2 Project Implementation
    - Adaptive management (changes to the project design and project outputs during implementation)
    - Actual stakeholder participation and partnership arrangements
    - Project Finance and Co -finance
    - Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment (\*) UNDP implementation/oversight (\*) and Implementing Partner

execution (\*), overall project implementation/execution (\*), coordination, and operational issues

- Risk Management, including Social and Environmental Standards (Safeguards)

#### 4.3 Project Results and Impacts

- Progress towards objective and expected outcomes
- Relevance (\*)
- Effectiveness (\*)
- Efficiency (\*)
- Overall outcome (\*)
- Sustainability: financial (\*), socio -political (\*), institutional framework and governance (\*), environmental (\*), and overall likelihood (\*)
- Country ownership
- Gender equality and women's empowerment
- Cross -cutting Issues
- GEF Additionality
- Catalytic /Replication Effect
- Progress to Impact

#### 5. Main Findings, Conclusions, Recommendations and Lessons

- Main Findings
- Conclusions
- Recommendations
- Lessons Learned

#### 6. Annexes

- TE ToR (excluding ToR annexes)
- TE Mission itinerary including summary of field visits
- List of persons interviewed
- List of documents reviewed
- Evaluation Question Matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)
- Questionnaire used and summary of results
- Co -financing tables (if not included in body of report)
- TE Rating scales
- Signed Evaluation Consultant Agreement form
- Signed UNEG Code of Conduct form
- Signed TE Report Clearance form
- Annexed in a separate file: TE Audit Trail
- Annexed in a separate file: relevant GEF/LDCF/SCCF Core Indicators or Tracking Tools


63. The TE report is structured in four levels, beginning with this introductory chapter (Section II) to the evaluation and its methodological process. A second level (Section III), provides contextual background on the Project. A third level (covering Sections IV A, IV B and IV C), presents the evaluation results for each stage of the project life cycle. The main findings and analysis are summarized in the final chapter (Section V), presenting conclusions, lessons, and recommendations. The TE report is preceded by an executive summary in Section I, which has been purposely augmented to read as a standalone report.

### III. PROJECT DESCRIPTION AND BACKGROUND

#### A. Project start and duration, including milestones

64. “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” (PIMS 5310) is a 5-year project implemented through FECO of the MEE of the Government of People’s Republic of China, supported by the United Nations Development Program (UNDP).
65. The Project officially commenced operations on 1 April 2016 with the signature of the Project Document and was originally scheduled for operational closure on 31 March 2021. Due to a confluence of factors, including delays caused by a reorganization of the PMO, minor disruption to training caused by COVID-19, and additional time needed for legislative review / approvals, by early 2021 some Project activities were slightly behind schedule, underpinning the reason behind the maximum<sup>4</sup> 12-month extension to consolidate results. The new operational closure<sup>5</sup> date will be 31 March 2022. The key dates and project milestones are detailed in the figure below.
66. Per evaluation requirements, an MTR was undertaken for the Project and finalized on 6 December 2018.

**Figure 5. Project Timeline and Key Milestones**

21 March 2014	15 April 2014	16 Feb 2016	<b>01 April 2016</b>	17 June 2016	06 Dec 2018	31 March 2021	<b>02 Aug 2021</b>	<b>31 March 2022</b>
								
PIF / Project Concept Approval Date	Project Approved for Project Preparation Grant (Initiation Plan Start Date)	Full project approved: CEO Endorsement	<b>Project Document signed (Official Project Start Date)</b>	Inception Workshop	Mid-Term Review (MTR) Completion	Planned / Original Operational Closure	<b>Terminal Evaluation (TE) commences</b>  Seven months prior to operational closure of the project	<b>Revised Project Operational Closure Date</b>

#### B. Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

<sup>4</sup> Per GEF guidelines, the maximum extension for projects under implementation as of the effective date (GEF-4 to GEF-6) is 12 months.

<sup>5</sup> Per 2020 guidelines on the project and program cycle policy ([GEF/C.59/Inf.03](#)), GEF requires financial closure of projects within 12 months of completing the Terminal Evaluation and TE's are to be submitted to the GEF IEO within 12 months of project completion.



## **Country Context**

67. China is considered one of the world's megadiverse countries. 11,000 species of plants and 2,800 species of fauna found in China have identified medicinal properties. With a long agricultural history spanning thousands of years, rich genetic diversity has emerged through natural and artificial selection in China.
68. China is also a country with multiple ethnic groups. The distribution of ethnic groups in varied geographic areas has enabled people to create diverse and rich traditional knowledge in the process of conserving and sustainably using biodiversity. Such traditional knowledge includes, *inter alia*: (i) biological knowledge of crop resources with unique characters; (ii) traditional medicine; (iii) traditional farming methods and production models that facilitate comprehensive and recycled utilization of biological resources; (iv) traditional culture that promote biodiversity conservation; and (v) traditional biological products—including some that have been granted geographic indications.
69. In China, ecosystems and biological resources are an integral part of the country's economy and culture, reflected by their key values in environmental protection (ecological function value); direct use (economic value); and socio-culture. Biodiversity, therefore, is intertwined with the national fabric and makes a significant contribution to the national economy by ensuring food security, maintaining gene resources of animals and plants, and providing materials for fuel, medicine and a multitude of other uses.
70. China's rich biological heritage, both underappreciated and underexplored, has vast potential to be explored for new wealth creation and to enhance the development of the nation in line with national policies on biological diversity and biotechnology. At the time of the Project's ideation however and the two-year gestation period that followed, China lacked a national regulatory framework on ABS and was little known to international legal scholars of ABS-related laws and regulations at national and sub-national level.<sup>6</sup>
71. While China acceded to the Nagoya Protocol early in the Project's lifecycle on 8 June 2016, with it entering into force on 6 September the same year, such a legal and institutional framework was not yet fully functional. The country lacked adequately institutional and personnel capacity to carry out bio-prospecting beyond the basic level and develop and manage ABS schemes that are compliant with Nagoya Protocol.
72. As a whole, China's biological resources offer huge potential for the development of a national biotechnology industry and for providing sustainable benefits to the country, including the communities that depend on them. However, the traditional means of reaping benefits from biodiversity has been changing internationally. While traditional agricultural practices - including the development and marketing of the products of cultivation, propagation, animal husbandry and wild collection - continue, increasingly modern scientific methods are being used to enable the artificial synthesis of products based on the genetic and biochemical makeup of particular variety or subspecies.
73. The processes can result in the deterioration of supply chains for agricultural products and wild-collected specimens by eliminating the user's need to acquire more than a small quantity of samples or to return and resupply more than one or two times. Thus, existing users increasingly find their

---

<sup>6</sup> Xiaou Zheng (2019). "Key legal challenges and opportunities in the implementation of the Nagoya Protocol: The case of China". Review of European, Comparative & International Environmental Law, Volume 28, Issue 2. pp. 175-184.

products in competition with products developed by synthesizing or otherwise utilizing the genetic or biochemical information from the species.

### ***Environmental and Species Context***

74. In terms of biodiversity, China is one of the richest countries in the world. It is home to some 10% of Earth’s plant species and 14% of its fauna. With 34,984 known species of higher plants, it is third in the world on the number of higher plant species—about 50% of which are endemic. Its 6,445 vertebrate animal species account for 13.7% of the world’s total, while its more than 10,000 fungi species, make up 14% of the global total. Agriculturally, the genetic resources found within these species are globally important; China is the center of origin of important crops such as rice and soybeans and an important source of origin and distribution of wild and cultivated fruit trees.<sup>7</sup> China preserves more than 400,000 accessions of crop resources and 576 identified breeds of livestock and poultry. Over 1,339 species of cultivated crops and 1,930 species of wild relatives distributed in China.<sup>8</sup>

75. The provinces of Yunnan and Hunan, as well as Guangxi-Zhuang Autonomous Region, are all highly biodiverse:

- Yunnan Province is located in the upstream of most major rivers in China and East Asia, such as the Yangtze River, the Zhujiang River, the Mekong River, the Nu River, the Red River, and the Yiluowadi River. Altitudes range from a high of 6,740 meters to a low of 76 meters, providing diverse ecosystem patterns ranging from tropical to alpine ecosystems, due to its diversified climate and ecological zones. Its unique natural environmental conditions provide a complex mosaic of ecosystems, which are suitable habitats for the evolution and breeding of a broad range of species, including biological resources and associated germplasm and genetic resources within some 105 major types of forest. Known interchangeably as “the kingdom of animals”, “the kingdom of plants”, the “home of bamboo”, a “treasure trove of medicinal forest”, a “museum of fragrance”, a “great natural garden” or a “great fungi world”, Yunnan is home to approximately 63% of the country’s higher plant species, and 59% of its vertebrates and is the country’s most biodiverse province. It is also culturally rich, with 26 ethnic minorities, 15 of which can be found only in Yunnan. It is home to more than 1,300 kinds of ethnic medicines, including Dai medicine. Of these, *Dendrobium nobile*, also known as Shi Hu in Chinese, has long been recognized for its unique properties and use for the treatment of stomach and kidney disorders and also for diabetes. Chemical analysis confirms that Shi Hu contains compounds and properties of potential interest, including its own chemical compound of dendrobine and others that are beneficial to human health;
- Within Yunnan, **Xishuangbanna Dai Autonomous Prefecture** is the first established ethnic minority autonomous prefecture in Yunnan. Xishuangbanna shares a 966 km border with the Lao PDR and Burma. More than 13 known ethnic groups are located in Xishuangbanna. The neighbouring city of Pu’er is Yunnan’s largest city by area (in terms of municipal jurisdiction, and its population includes approximately 59% ethnic minority people). Some 1,000 medicinal plants have been identified in Xishuangbanna and Pu’er, among which 758 species are rare and precious medicines, 302 species are medicinal plants which are described in the national census. Xishuangbanna and Pu’er are also listed as key development areas for the “tropical and sub-tropical flower industry” under the Biological Industry Development Planning Outline of Yunnan

---

<sup>7</sup> Fifth national report to CBD.

<sup>8</sup> China National Biodiversity Conservation Strategy and Action Plan (2011 - 2030): <https://www.cbd.int/doc/world/cn/cn-nbsap-v2-en.pdf>

Province (2006-2020).

- **Hunan Province** is a major agricultural province, home to a large number of species that have been accorded geographical indicator (GI) status under Chinese law. Xiangxi Tujia and Miao Autonomous Prefecture is located in western Hunnan province. Its ethnic minority population includes many different groups with diverse culture and accounts for 78% of the total population. These populations are geographically-remote and as a result have developed a large number of unique agricultural animal and crop variety resources.
- **Guangxi Zhuang Autonomous Region** is one of five autonomous regions (province-level governmental structures) in China, with a total population that includes several ethnic groups. Its biodiversity is varied, evolving through a subtropical monsoon climate pattern. Guilin prefecture is the center of politics, economy, culture, science and technology of the region and is home to a diverse ethnic culture. The monkfruit, *Siraitia grosvenorii*, is among its most important species in terms of potential genetic utilization and recent discoveries; however, its germplasm resource has been declining and for various other reasons its wild population and habitat for wild population are thought to be slowly disappearing. The Fangchenggang (prefectural level) city is located at southernmost point of the mainland coastline. It is the home of the State Golden Camellia Nature Reserve, declared in 1986 by Guangxi Zhuang Autonomous Region for the protection of the Golden Camellia (*Camellia nitidissima* Ch). This endemic species has a narrow-range of distribution and has long been a source of cooking oil. In recent years, through scientific research, it has been identified as the key component for producing high-value beverage products.

### ***Institutional and Policy Factors Relevant to the Project Scope at Design***

76. Policies, plans and strategies for utilizing genetic resources in ways that conserve and sustain China's essential biodiversity have been developed and presented in various policy documents. China's National Biodiversity Conservation Strategy and Action Plan (CNBSAP), include: the National Programme for Conservation and Use of Biological Resources (2011-2030), the National Programme of Action for Conservation of Aquatic Biological Resources, the National Plan for Water Area Zoning of Important Rivers and Lakes (2011-2030), the National Plan for Zoning of Marine Areas (2011-2020), the National Twelfth Five-year Plan for Implementation of Wetland Conservation Projects (2011-2015), the National Plan for Island Conservation (2011-2020), the National Plan for Conservation and Use of Livestock Genetic Resources, the National Plan for Support to Science and Technology, the National Plan for Development of Key Fundamental Research, the National High-tech Development Plan, the National Natural Sciences Fund, and Specialized Funds for Research in Public Benefit Sectors.
77. Also of relevance in the context of ABS, is China's well-developed legal system for protecting the rights and interests of “ethnic minorities”. Both constitution and relevant laws of P.R.C specifically stipulate that the culture and customs of ethnic minorities shall be respected and protected. Many ethnic minority communities have preserved genetic resources and associated traditional knowledge. These genetic resources and associated traditional knowledge have been playing an important role in the process of cultivating crop new varieties. To date, however, the concepts clarifying the meaning and ownership (property rights) with regard to the genetic resources and traditional knowledge associated with genetic resources remain insufficiently addressed within that system.
78. Another important aspect of the legal context has to do with the legal administration of the country's autonomous areas. China is organized administratively into several levels (central level, provincial level, municipal level and county level), with most legislative focus at the national, provincial levels. At

each level, there are minority autonomous governmental units, along with others that are not autonomous.

79. In legislating to address local actions, generally speaking, provincial government has limited legislative power. However, Autonomous Regions' governments have wider latitude in legislation. Compared to other governmental units at city or county level, minority autonomous prefectures and counties enjoy legislative power. Autonomy Law on Minority areas stipulates that governments in minority areas can issue specific laws in some fields (such as protection of minority traditional culture); In addition, in accordance with the newly amended Legislation Law, municipal government with subordinate districts may enact local legislation (or decrees) related to urban and rural construction and management, environmental protection and historical and cultural conservation.

80. At the time of design, several recent laws and implementing regulations make reference to particular elements of the management of genetic resources and benefit-sharing. Some provisions of the 2005 Animal Husbandry Law regulate the protection and administration of genetic resources and specify that benefits from the use of exported genetic resources are to be shared. This marks the first time that such benefit-sharing has gained legal consideration in Chinese law. Finally, the 2008 Amendment to China's Patent Law includes provisions requiring the origin of genetic resources to be disclosed. The patent shall not be granted for those where genetic resources were accessed illegally.

"THERE ARE NO SPECIALIZED LAWS OR REGULATIONS TO ADDRESS ISSUES SUCH AS ACCESS TO GENETIC RESOURCES AND BENEFIT-SHARING"

- CHINA'S 5TH NATIONAL REPORT TO THE CBD (2014), SECTION 5.1

81. With regard to traditional knowledge associated with genetic resources (ATK), China's legislation includes a framework under the 2011 Intangible Cultural Heritage (ICH) Law, which includes ATK within the broad range of cultural heritage protected in accordance with China's international responsibilities. The ICH Law focuses on the protection and inheritance of ICH, in part through a catalogue of representative protected items and protection plans, and the development of measures to encourage representative inheritors to undertake activities for inheriting or passing on their inheritance. ATK appears to be specifically included within the ICH Law's definition of "cultural heritage": *"various traditional cultural manifestations that are handed down by people of all ethnic groups from generation to generation and are regarded as part of their cultural heritage, and objects and spaces relevant to traditional cultural manifestations."*

### **C. Problems that the Project sought to address: threats and barriers targeted**

82. As China faces major threats to its natural and genetic endowments, with biodiversity loss potentially leading to dire consequences, such as worsening health problems, higher food risks, increasing vulnerabilities and fewer development opportunities, biodiversity conservation is strategically important for China and inextricably intertwined with its long-term socio-economic development, for the well-being of its present and future generations, and for building an ecological civilization in China.

83. China's advanced culture extends back over many centuries, during which unique traditional medicinal systems were developed by many of the country's ethnic minorities. The identification and breeding of

particular species to accentuate their medicinal properties, as well as the identification of those properties and their uses as medicines, forms an essential part of the legacy of traditional knowledge held by these minority groups. In some instances, particular species and knowledge was held by an entire ethnic group, or even shared among many such groups; in others, it was limited to a particular community or family. Over the centuries, Chinese and other scholars have endeavoured to collect this knowledge into compendia of Traditional Chinese Medicine (TCM) and to preserve the medicinal plants themselves in botanical collections and herbaria.

84. The project objective was to develop and implement China's national ABS framework of genetic resources and associated traditional knowledge in accordance with provisions of the CBD and the NP. The main root cause of biodiversity loss in China centers on the lack of economic value placed on biological resources and ecosystem services, and the lack of any national accounting system that would allow such values to be considered in economic planning processes. There is also a lack of information on the value and quantity of biological resources. Such information would be needed to calculate the actual and potential benefits from the exploration and exploitation of genetic, biochemical and ATK resources.

### Threats

85. China faces challenges from a wide range of issues that threaten its biodiversity and ecological stability. These concern, inter alia, competing land use for socio-economic development such as plantations, urban and industrial growth and water storage dams. Overall, natural resources are subject to increasing pressures.
86. With rapid economic development and globalization of the economy, China's globally significant genetic diversity has come under increasing threat. Urban and industrial development contribute to degradation of ecosystems and biodiversity. Habitat loss and fragmentation due to urbanization, infrastructure and farm land development pose severe pressures on wild fauna and flora, including the wild relatives of crops; commercial pressures have resulted in the diminution of diversity in traditionally diverse agricultural varieties, as well. Excessive exploitation and utilization of wild species for subsistence and commercial use have resulted in the decreased abundance of many medicinal plants and wild animals. Other factors include fragmentation of forested landscapes by roads and other infrastructure, invasive alien species, and climate change.
87. Local communities' traditional knowledge associated with genetic resources is disappearing due to rapidly changing and dilution of traditional lifestyles. Much of this knowledge—including medicinal uses of biological resources, farming methods and techniques, and cultures closely related with nature and biodiversity—is being replaced by modern methods and technology. The degradation or loss of biodiversity also leads to the loss of associated traditional knowledge, as does the loss and degradation of habitats, fauna and flora. The convenience of modern medicine, easily available modern technology, increasing connectivity with urban civilization, and the lack of awareness of the importance of ATK among communities cumulatively contributed towards the erosion of ATK.
88. The main root cause of biodiversity loss in China centers on the lack of economic value placed on biological resources and ecosystem services, and the lack of any national accounting system that would allow such values to be considered in economic planning processes. The Project was intended to remedy a lack of information on the value and quantity of biological resources. Such information would be needed in order to calculate the actual and potential benefits from the exploration and exploitation of genetic, biochemical and ATK resources.

## Barriers

89. According to the Project Document, the long-term solution and barriers to achieving the target state are as follows: the need for cross-sectoral coordination and scoping genetic resources and traditional knowledge and setting legal baselines was verified during the evaluation in discussion with stakeholders. China's genetic resources need to generate tangible local and national benefits if they are to incentivize the safeguarding of biological diversity. Such benefits will be in the form of business, employment and capacity building opportunities through the development of a national ABS framework and the discovery and development of new medicines or agrochemicals, thereby providing a rationale for the preservation of the biological resources that contain this genetic material and other genetic resources that might provide such benefits in the future. This will represent a paradigm shift from the current situation to one in which biodiversity-rich nations such as China are fully and equitably involved in this lucrative research process with the primary goal of promoting people-centric conservation and sustainable use. Efforts to achieve the long-term solution require confronting the following barriers:

*"THE NAGOYA PROTOCOL WILL CHANGE THE CURRENT SITUATION OF UNORDERED ACCESS TO AND FREE DEVELOPMENT OF GENETIC RESOURCES. IT WILL PROVIDE A PREMISE AND GUARANTEE FOR THE PRINCIPLE OF NATIONAL SOVEREIGNTY OF GENETIC RESOURCES AND IMPLEMENTATION OF EQUITABLE SHARING OF BENEFITS ARISING FROM THEIR UTILIZATION"*

- JIANYONG, WU ET AL. (2014). "[IMPACTS OF THE NAGOYA PROTOCOL ON ACCESS TO PLANT GENETIC RESOURCES AND BENEFIT SHARING IN CHINA.](#)" *BIODIVERSITY SCIENCE*. 21. 758-764.

### **Barrier 1: Insufficient Legal and institutional settings for ABS implementation.**

90. At the time of the Project's design, China was already exploring accession to the NP, and to develop national legislation on ABS and establish its institutional framework. However, concrete and operational mechanisms and regulations on protection of traditional knowledge were deemed insufficient. Even the medical resources and traditional knowledge that comprise traditional Chinese medicine, which is widely regarded as a national treasure, did not receive adequate legal protection. Within China, a few national-level provisions had been adopted making mention of genetic or traditional knowledge resources. These provisions operated only as opportunities for particular activities to be later integrated into the future ABS framework, but did not create that framework or pilot any significant part of it.
91. The lack of a national ABS framework was seen as a source of difficulty and consternation for effective implementation of NP. There was a recognized need for a specific, coordinated legislative and administrative framework addressing genetic resources and associated traditional knowledge based on national conditions and in accordance with the CBD and the NP provisions. Such a framework will have needed to include a concretely stated approval legal procedure, including PIC for granting access to genetic resources, clear duties and obligations of competent authorities, and fair and transparent mechanisms for benefit sharing.

*"GENETIC RESOURCES INDIGENOUS TO CHINA HAVE BEEN WIDELY UTILIZED BY OTHER COUNTRIES WHEREAS UTILIZATION IN CHINA HAS BEEN POOR DUE TO WEAK INNOVATION CAPACITY AND UNDERDEVELOPED R&D. CHINA'S POLICY AND REGULATORY SYSTEM FOR ABS TO ITS GENETIC RESOURCES REQUIRES MATURITY. IT IS A PRESSING MATTER FOR CHINA TO IMPROVE THE IMPLEMENTATION OF THE NP BY STRENGTHENING NATIONAL AND LOCAL POLICIES AND REGULATIONS ON ABS"*

- JIANYONG, WU ET AL. (2014). "[IMPACTS OF THE NAGOYA PROTOCOL ON ACCESS TO PLANT GENETIC RESOURCES AND BENEFIT SHARING IN CHINA.](#)" *BIODIVERSITY SCIENCE*. 21. 758-764.

## **Barrier 2: Insufficient stakeholder awareness and capacity to develop and implement national and local ABS norms**

92. Insufficient awareness of ABS issues is a major barrier to ABS implementation. Key stakeholder groups, all of whom are lacking in awareness, include agencies that are expected to be named as the country's "competent national authorities" and others in charge of various aspects of ABS implementation, as well as providers, users, local residents and communities that hold genetic resources and traditional knowledge, scientific staff and research institutions, businesses and the private sector, public and media. For some stakeholder groups, such as users and researchers, the lack of legal certainty regarding ABS's operationalization in China presents a major obstacle to awareness of, and compliance with, their ABS responsibilities. Legal certainty regarding these topics can only be achieved through the adoption of a national ABS framework.
93. Government institutions also have limited capacity to develop and implement ABS principles at national and local levels. Multiple agencies must be involved. It will not be possible to operationalize an ABS framework without significant development of the operational capacities of the relevant agencies and their subsidiary departments. Although MEE has been designated to take the lead in establishing a multi-sectoral and participatory coordination mechanism on ABS, lack of relevant legislation and insufficient capacity have made it difficult to establish an effective coordinating forum.
94. At the time of design capacity for sound research and development activities by academic and private sector partners was also seen as sub-optimal. The lack of a platform for technology and resource sharing was considered to be hampering awareness raising and application of the ABS concept in research and development and commercialization activities.

## **Barrier 3: Limited capacity to regulate, oversee, promote and control bioprospecting and negotiation of viable ABS mechanisms**

95. ABS concepts are particularly complex, and their implications on economic development are difficult to fully map. Potentially, however, they may be very important and valuable, as evidenced by the fact that Chinese genetic resources and traditional knowledge have already contributed to an important number of commercial products and that local research companies continue in their efforts to harness the economic potential of these resources.
96. Within China, there is an overall lack of practice on formal ABS transactions or PIC processes. There are limited exceptions in that the country has had some experience with the initial development of a system for the management of genetic resource data, in the context of agricultural varieties. Coupled with the lack of ABS regulatory measures (whose development is dependent on experiential factors), this lack of experience constitutes a major barrier to effective operation of an ABS system within China.
97. There have been no such PIC or ABS processes—pilot or otherwise—and local awareness of ABS and of the need to observe or participate in local-level ABS activities appears to be almost completely lacking in China. Users and researchers consequently lack motivation to develop awareness or capacity regarding ABS compliance. Local governments, institutions and research companies have limited scientific capacity to carry out bioprospecting, obtain PICs and facilitate equitable benefit sharing. Finally, in many instances the Chinese government is unaware of the nature and extent of recent and ongoing uses of genetic resources and traditional knowledge.



98. Although ABS offers local communities and other owners (providers) of genetic resources and ATK the opportunity to reap significant benefits from the biological diversity around them by providing those assets to product developers and researchers (users), the participation of both providers and users is lagging; this situation persists in part because the two groups have limited awareness of or capacity with regard to ABS concepts. While this condition continues, relevant government officials do not have clear cut or clearly understood authority to guide and regulate the legally access and utilization of genetic resources and ATK in a manner that protects the providers' rights while empowering and encouraging users to research and develop in the field of genetic resources.
99. An additional challenge for China's providers and for the government agencies that implement ABS are the intricacies of ABS agreements and their development, negotiation and implementation in the context of multiple industries (e.g., pharmaceutical, agriculture, cosmetics, food and manufacturing) that use genetic resources and traditional knowledge. Without practical understanding of the underlying contractual process (possibly supplemented by appropriately focused model agreements), there may be little hope of achieving realistic benefit-sharing commitments.

## D. Immediate and development objectives of the Project

100. Based on the pervasive threats and underlying barriers, the long-term solution of the Project was to **establish** and **operationalize** a robust legal and institutional framework for implementing the national and provincial ABS regime in China, ensuring equitable distribution of benefits to the holders of genetic resources and associated traditional knowledge as prescribed in the NP.

"THE PROTOCOL IS A LANDMARK INTERNATIONAL ENVIRONMENTAL AGREEMENT WHICH EMBODIES A COMMITMENT TO FAIRER AND MORE EQUITABLE RELATIONSHIPS AROUND THE USE OF GENETIC RESOURCES, AND THE USE OF THE ASSOCIATED TRADITIONAL KNOWLEDGE (ATK) HELD BY INDIGENOUS PEOPLES AND LOCAL COMMUNITIES (IPLCS)"

- FROM THE CBD SECRETARIAT'S "THE ABS WE ALL NEED" CAMPAIGN OCTOBER 2021 - JANUARY 2022.

101. Per the Project's Strategic Results Framework, the objective was "to develop and implement China's national framework on ABS of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)".

## E. Expected results

102. Per the Project Document the UNDP-GEF ABS project is delivered through 3 components, each with associated outputs and indicative activity areas.

**Component 1** addresses the need for national ABS policy decisions and a national regulatory and institutional framework on ABS.

**Component 2** supports capacity building and awareness raising.

**Component 3** consists of pilot demonstrations on ABS.

103. According to the title page of the Project Document, the three components above are, in principle, expected to result in the following six project outcomes:



### **Under Component 1**

- Outcome 1: All prerequisites completed to enable accession to the Nagoya Protocol.
- Outcome 2: National ABS regulatory framework is established and operational.
- Outcome 3: ABS demonstration legislation ***ready to be adopted*** and operating in two or more pilots.

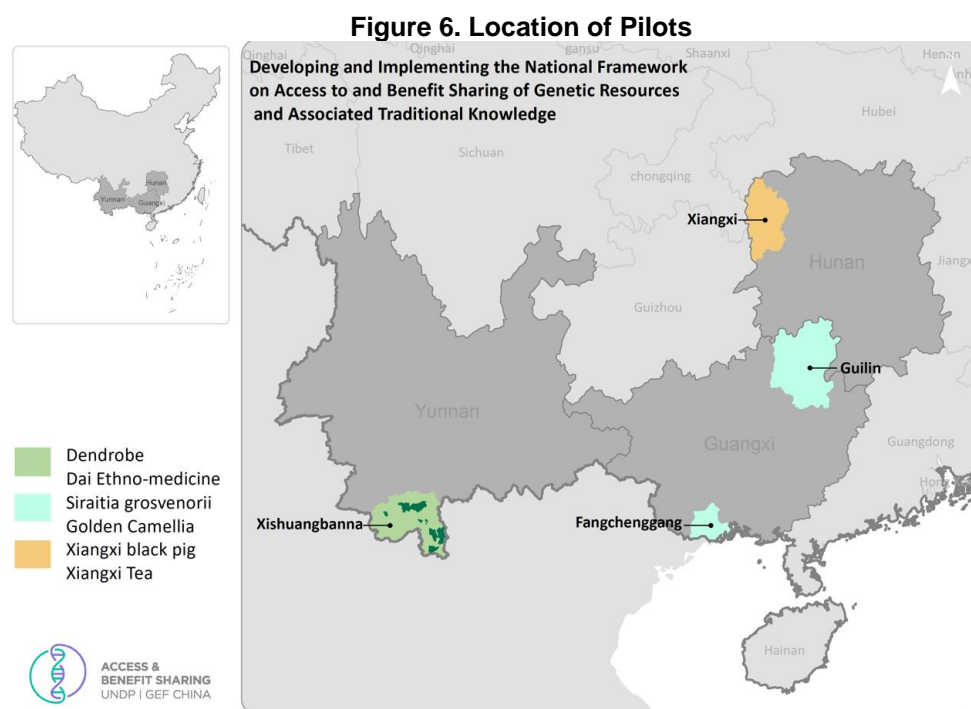
### **Under Component 2**

- Outcome 4: Overall capacity to implement the National ABS framework improved by *at least 20%* as measured by UNDP's Capacity Development Scorecard.
- Outcome 5: Enhanced awareness and understanding of the ABS regime and the value of genetic resources and traditional knowledge associated with genetic and biological resources for improved policy-making and on the ground implementation of biodiversity conservation, sustainable use and fair and equitable sharing of benefits among the stakeholders.

### **Under Component 3**

- Outcome 6: National ABS framework *under implementation* through 6 pilots in 6 jurisdictions achieving the following outcomes:
  - i) 3 leading agents for new drug production;
  - ii) at least 3 ABS agreements negotiated between users and providers of genetic resources/derivatives;
  - iii) at least 3 ABS agreements negotiated for products already commercialized;
  - iv) at least 4 PIC processes with local communities implemented in accordance with the PIC/community protocol supported under component 1;
  - v) enabling the direct financial community benefits to be derived from utilization of their local genetic resources and traditional knowledge.

104. The Project Document notes that Component 3 involves the development of pilot ABS agreements, with attention to the core ABS principles of PIC and MAT, including the fair and equitable sharing of benefits. Activities were intended to be undertaken through six pilots, in two provinces (Hunan and Yunnan) and one (province-level) autonomous region (Guangxi).



## F. Main stakeholders

105. During the PPG phase, a preliminary stakeholder analysis was undertaken to identify key stakeholders, assess their interests in the Project and define their roles and responsibilities in project implementation. Table 1 in the Project Document (page 10-12) is a culmination of this consultative work containing a detailed stakeholder analysis with stakeholders, and their roles and involvement in the Project. This assessment has been augmented and summarized in Table 11 in Section IV B (Actual Stakeholder Participation and Partnership Arrangements).

## G. Theory of Change

106. A theory of change (TOC) approach was not used for Project development or M&E as the UNDP-GEF ABS project was designed prior to the TOC becoming a GEF requirement. Nor was there a reconstructed TOC discussed or included at MTR to help reorient resource allocation towards its main impact pathways.

107. In spite of this shortcoming however, the TE consultant team believes that the absence of a TOC did not compromise the effectiveness and uniformity of results in any negative way and that clarity did exist implicitly through the Project Document's incremental reasoning (pp. 48-49) of the investments that would deliver the greatest impact for the Project. In practice therefore, there was sufficient guidance within the design for the delivery of higher order results.

## IV. FINDINGS

### A. Project Design / Formulation

#### ***Analysis of Results Framework: project logic and strategy, indicators***

##### Project Logic and Strategy

108. From an international perspective, the Project was considered highly relevant at the time of design and it remains very relevant to China's global environmental obligations - especially considering it acceded the NP early on in the Project's lifecycle - not only in relation to commitments under [Article 15](#) of the CBD but also [Article 5](#) of Nagoya Protocol, and to UNDP strategic priorities for China (highlighted in paragraph 22 above), and to the GEF global benefits.

109. The Project addresses the importance of biodiversity conservation and fulfilling the objectives of the CBD through its facilitation of the implementation of the Nagoya Protocol. As a cross-cutting issue, it also supports the conservation of globally significant biodiversity and sustainable use of the components of globally significant biodiversity in biodiversity-rich areas of the country.

110. Domestically, the Project is highly relevant for the People's Republic of China, as it reflects national priorities and a pioneering nature to support a paradigm shift to enhance national capacities on ABS of genetic resources to facilitate the implementation of the NP. The scale and ambition of the intervention logic at multiple scales also speaks to China's determination to become a global leader on ABS. Stakeholder consultations have confirmed with near unanimous consensus an adequate level of participation of different public institutions during project design - with a critical mass of continuity towards the Project's implementation - which led to clear country appropriation and institutional engagement at multiple levels.

"THE GOOD EXPERIENCE OF THIS PROJECT CAME FROM SEVERAL ASPECTS, INCLUDING STRONG SECTORAL CONSULTATION AND COOPERATION DURING THE DESIGN, STRONG MECHANISM BETWEEN NATIONAL LEVEL AND LOCAL LEVEL, DISTRIBUTION OF EXPERTISE IN THE TEAM AND GOOD DESIGN FOR THE PROJECT"

"MANY OF US WHO HAD A HAND IN DESIGNING THE PROJECT ARE STILL AROUND TO SEE THROUGH TO ITS EXECUTION. THIS IS HOW YOU BUILD STRONG INSTITUTIONAL CAPACITY"

- INTERVIEWEE REFLECTIONS ON THE PROJECT'S DESIGN

111. By focusing on three highly biodiverse provinces / regions: Yunnan Province, Hunan Province and Guangxi Zhuang Autonomous Region, the Project was designed to provide environmental benefits through its contribution towards conservation and sustainable management of China's genetic and biological diversity, as well as promoting and leading to the conservation of the traditional knowledge of the uses of these resources.

112. Through the TE's stakeholder consultations, interviewees also revealed that the design had achieved a balanced project, which encompasses national, provincial and local interventions, building awareness, technical and institutional capacities, but also most importantly, forging practical experience implementing ABS agreements through a "learning by doing" approach. The Project design is considered clear and is not short on details, complying with GEF requirements, thus providing relevant and necessary guidance for a comprehensive intervention.

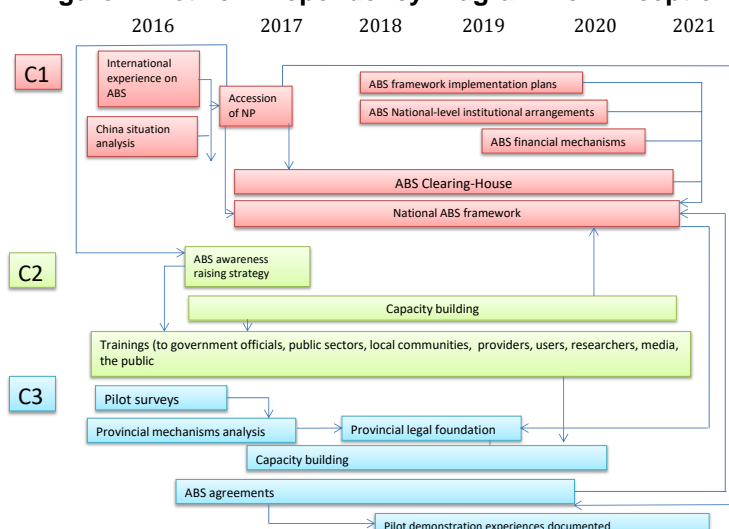
113. The Project’s logic and strategy was not without its shortcomings however. Below are some observations made by the TE consultant team with regards to these:

- While the overall Project design shows, for the most part, a clear and consistent construction and traceability between individual activities (within the AWP), Outputs and Components, to the higher-order Objective, the Project is not sufficiently Outcome(s)-oriented. In fact, the Project’s explicit outcomes are mentioned only on the initial title page. Within the SRF in the Project Document, Components are used interchangeably with Outcomes, and there is no clear alignment with the 6 Outcomes noted in [Section III E](#) “Expected results”. This logic was also carried over into the budget in the Project Document (only referring to 3 Outcomes), within the Inception Report, and in annual PIRs where only 3 Outcomes are noted; also consistent with the Component statements. In practice, however, this did not translate into problems during implementation as operationally, the Project was managed as if it had 3 Component Outcomes with indicators that aligned well;
- Component / Outcome 3 is central to the Project’s strategy as it was anticipated that the 6 pilot initiatives would generate experience with how ABS functions under the test frameworks in the pilot/demonstration jurisdictions, which will feed into pilot legislation and negotiations themselves (per the figure below). The Component was to support an enhanced understanding of genetic resources and associated traditional knowledge, related ABS opportunities and associated barriers, which will be essential in providing a pipeline of additional work and opportunities related to ABS work in the provinces, while highlighting the nature and extent of such opportunities. While this all makes sense, it is unrealistic to assume such a feedback loop could be established and refinements made to legislation within the Project’s 5-year implementation window. Given the time it has taken to develop and approve legislation (much of it coming in the final two years of operations), this vision did not play out according to plan;

*“WHAT DO YOU MEAN THE PROJECT HAS 6 OUTCOMES? WE ONLY REPORT AGAINST 3 OUTCOMES IN THE PIR”*

**- INTERVIEWEE REFLECTION ON THE RESULTS HIERARCHY**

**Figure 7. Network Dependency Diagram from Inception Report**



- In the baseline scenario, it was perceived that the degree of success in achieving the ABS objectives of the CBD would likely be limited without catalytic support through the GEF Trust Fund. As a result, local communities would not obtain benefits through the sharing of profits, information and/or technology, even though their genetic resources and traditional knowledge were being utilized. In reality however, the pilot initiatives have at most demonstration value and are not at the scale necessary for wide community benefits to accrue. Much more investment is required long-term for blanket statements like this to hold true;
- Most interviewees agreed that the project design was ambitious, underestimating the time and effort needed to achieve outputs on a broad range of aspects involving a complex web of stakeholders. Respondent's concurred that ABS concept was new and difficult to understand, the Project involved learning about new and complicated technical content on ABS, while simultaneously piloting private-public-community partnerships on ABS. Moreover, strengthening National Policy, Legal, and Institutional Framework involves complex technical and political decision-making processes usually out of the range and control of a project's PMO. In this context, some interviewees remarked that the project design was not realistic considering the limited timeframe and resources available;
- The SRF followed the UNDP-GEF format and included the end of project targets at the Component Outcome levels. No targets or indicators were identified at the output level making it complex for the project team to define the targets and indicators at the output and activity levels. This resulted in weaknesses in the results framework, mainly in relation to the evaluation of the timeliness of the Project's achievements. However, given it was difficult to anticipate and predict legislative approvals this was perhaps a blessing.

*"THE DESIGN IS OK IN THE LONG RUN BUT ESTABLISHING A NATIONAL ABS REGULATORY FRAMEWORK IS INAPPROPRIATE IN A FIVE-YEAR PROJECT. IT MIGHT TAKE A LONGER TIMEFRAME TO SENSITIZE AND BUILD CAPACITY FOR CONCEPTUALIZATION OF NATIONAL LEVEL ABS AND FOR A LAWS TO BE APPROVED"*

**- MIDTERM REVIEW**

114. According to the Project's inception workshop report, the SRF was reviewed, but no major changes were introduced; only refinements. Furthermore, no theory of change was developed at the time of design nor during the inception workshop. Although it was not mandatory to include the TOC at the time of design, it would have been very beneficial to develop it during the project implementation mainly at the inception phase when it became standard practice among new GEF projects being incubated.
115. Notwithstanding minor shortcomings in the Project's core logic and strategy, the TE consultant team finds the design sufficiently ambitious and complex, its scope reflects an integral coverage of major systemic barriers. The results framework has been reviewed at important junctures in the Project cycle: at design, during the inception phase where there was a thoughtful and iterative process together with the RTA to recalibrate indicators and targets<sup>9</sup>, and following the MTR in consultation with and input from the Project Steering Committee.

<sup>9</sup> The TE obtained a copy of the Inception Report which included comments between the PMO and RTA showing an incremental and iterative process to update the indicators and targets. It is also testament and illustrative evidence of the dedication shown by Project stakeholders to ensure it is operating well and shows flexibility and adaptive management.

### Indicators

116. From a design perspective, the results framework was large, with 18 indicators in all at the time of CEO endorsement. This remained consistent following the MTR with only minor revisions made to the wording of indicators and targets for purposes of clarity.
117. The MTR flagged that some project performance indicators and targets were not compliant with SMART criteria, nor did they sufficiently capture the added value of the intervention. The MTR recommended minor adjustments to the SRF, specifically to indicators and targets, and subsequently approved in full at the 4<sup>th</sup> session of the PSC; the project objective and outcomes remained consistent throughout implementation.
118. Tables 6, 7, 8 and 9 below present a critical analysis of the Project's results framework, assessing how SMART (**S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-bound) the indicators and end-of-project targets are. The analysis in the tables addresses the indicators in the final results framework, as reported against in the **2021 PIR** and included in the **2021 AWP**. While the TE consultant team does not agree with the assessment of all indicators following the MTR, it has found that the modifications that were undertaken have contributed to clarify and have made a difference in the SRF's cohesiveness.

<b>Objective:</b>	To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)
-------------------	---

✓ Meets criterion

✗ Does not meet criterion

? Ambiguity or clarification needed

**Table 6: SMART Analysis of the Objective-Level Indicator**

Description of Indicator	End-of-Project Target	SMART analysis				
		S	M	A	R	T
Accession to the Nagoya Protocol	Accession to the Nagoya Protocol	✓	✓	✓	✓	✓
Status of adoption and/or implementation of the National ABS Framework at national level	National ABS regulatory framework in compliance with the Nagoya Protocol established and operational at a national level, according to national constitutional and administrative circumstance, enhancement of implementing mechanisms and institutions authorized under such legislation, appointing and properly training and authorizing personnel to those institutions and mechanisms and whatever other actions or processes are legally required to establish and operationalize national legislative frameworks in China.	✓	✓	✗	✓	✓
Status of adoption and/or implementation of the National ABS Framework at sub-national levels	National ABS regulatory framework implementing legislations or other measures established and operational in	✓	✓	✗	✓	✓



	three pilot province/regions and, as appropriate, sub-provincial jurisdictions participating in the pilots, and guidance provided to other provinces and regions regarding establishment and implementation of frameworks to implement the national framework.					
Biodiversity conserved by the pilots  Incentives for biodiversity conservation	<p><b>New:</b> 100% of Dendrobe habitat conserved within PA system in pilot area.</p> <p>Protected areas established covering 2,000 ha in areas where species (over 1,000 of which are threatened) used in Dai traditional medicine are concentrated.</p> <p>Conservation of original stocks of indigenous black pigs (up to 1,000 individuals).</p> <p>Village conservation agreements covering varieties of Huangiin and Guzhang teas.</p>	×	×	✓	×	✓

119. At the Objective level, the Project's design includes 4 key goal indicators to measure the achievement of the overall project objective. While not all these indicators meet SMART criteria, they are for the most part specific and target oriented. The first three targets are undergirded by a logical flow and inter-connection between the end-of-project targets. Thus, if implemented effectively, the outputs can be mutually reinforcing, which can in turn contribute to improved potential for the success of the overall Objective by creating an integrated national and sub-national ABS framework.

120. The Project benefited from NP accession three-months after its official start, allowing it to immediately pivot to designing both a national and sub-national ABS framework. The fact that adoption of these frameworks happened relatively late and the implementation aspect is just starting to get traction, lays bare to whether these targets are in fact attainable in a five-year Project. If accession had not happened so quickly, the Project would have certainly faced a lot more obstacles and perhaps a much different result.

*"IT WAS DIFFICULT FOR THE PROJECT TO PREDICT THE LEGISLATIVE PROCESS AND APPROVALS NEEDED WITH LIMITED NATIONAL ABS EXPERIENCE AT THE TIME OF DESIGN, AND BALANCE THE NEED FOR WIDE CONSULTATION"*

- INTERVIEWEE REFLECTION ON THE AB FRAMEWORKS

121. The TE consultant team finds the final Objective-level indicator out-of-place, convoluted and poorly worded. Its multi-faceted nature makes it difficult to understand and measure, especially given the misalignment between the indicator calling for biodiversity incentives and targets that do not cover them. The Project would have been better served by an indicator calling for livelihood and biodiversity

co-benefits, as measured by both hectares of species conserved and a measurable increase in incomes from specific species.

<b>Outcome 1:</b>	Establishment of the National Regulatory and Institutional Framework on ABS
-------------------	---

✓ Meets criterion

✗ Does not meet criterion

? Ambiguity or clarification needed

**Table 7: SMART Analysis of the Outcome-Level Indicator - Outcome 1**

Description of Indicator	End-of-Project Target	SMART analysis				
		S	M	A	R	T
Elements (policy, legislation, guidance) of a national framework	<b>New:</b> Contribute to the national framework instruments (policy, legislation, guidance, as and if determined to be needed) coordinating with existing legal provisions addressing GR and ATK.  (Original: National framework instruments (policy, legislation, guidance, as and if determined to be needed) are adopted and coordinated with existing legal provisions addressing GR and ATK).	✓	✓	✓	✓	✓
Incentive programs and codes of conduct for major commercial sectors	Programs providing incentives for user participation in ABS and codes of conduct for ABS compliance, collaboratively developed with and implemented through at least three major commercial sectors (e.g., from among the following: forests, marine, agriculture, traditional medicine, cosmetics, pharmaceuticals, etc.) and associations, prepared with the participation of sectoral stakeholders.	✗	✓	✓	✓	✓
Guidance for adoption of relevant sub-national legislation	Templates and guidance for the adoption of relevant legislation, and/or guidance at provincial/ regional and lower levels of government approved.	✓	✓	✓	✓	✓
Instruments and mechanisms necessary to formally establish elements of the national framework	Instruments necessary to formally establish all elements of the national framework (e.g., PIC and MAT procedures, certificates of compliance (as appropriate), national ABS clearinghouse, and other monitoring and oversight mechanisms) are adopted and relevant systems, mechanisms and databases are developed and/or coordinated.	✓	✓	✓	✓	✓



Guidance documents re. elements of the national framework	Guidance documents on elements of the national framework, i.e., PIC and MAT, ABS contracts and their negotiation, completion and use of certificates of compliance (as appropriate), and access to the ABS Clearing-House, are adopted and widely available.	✓	✓	✓	✓	✓
---	--	---	---	---	---	---

122. The TE consultant team has found that indicators and corresponding targets under Outcome 1 were compliant with SMART criteria, with the exception of 1.2 which could have used a bit more detail and specificity around which stakeholders should be involved in the development of incentive programs and codes of conduct, making it more objective for binary measurement. For indicator 1.1, the target for National framework instruments (policy, legislation, guidance, as and if determined to be needed) are adopted should consider the time-bound of the project.

<b>Outcome 2:</b>	ABS capacity building and awareness-raising
-------------------	---

✓ Meets criterion

✗ Does not meet criterion

? Ambiguity or clarification needed

**Table 8: SMART Analysis of the Outcome-Level Indicator - Outcome 2**

Description of Indicator	End-of-Project Target	SMART analysis				
		S	M	A	R	T
National-level institutional capacity for ABS implementation [sub-indicator 1 of 3]	Case studies and training material on the basis of the pilot/demos and the legislation, procedures and contracts developed and incorporated into staff training programs.	✗	✓	✓	✓	✓
National-level institutional capacity for ABS implementation [sub-indicator 2 of 3]	MEE: 53 out of 69 (77%) on UNDP ABS Capacity Development Scorecard.	✓	✓	✓	✓	✓
National-level institutional capacity for ABS implementation [sub-indicator 3 of 3]	A sufficient number of personnel (to be determined during the inception phase) of national-level agencies involved with ABS implementation are able to perform ABS-related functions successfully.  (Note: Number of proposed staff will be reviewed during project implementation).	✗	✓	✓	✓	✓
Provincial-level institutional capacity for ABS implementation in Yunnan Province, Guangxi Autonomous Region and Hunan Province	Yunnan: 36 out of 69 (52%) on UNDP ABS Capacity Development Scorecard.  Guangxi: 27 out of 69 (39%) on UNDP ABS Capacity Development Scorecard.	✓	✓	✓	✓	✓

	Hunan: 27 out of 69 (39%) on UNDP ABS Capacity Development Scorecard.					
--	---	--	--	--	--	--

123. From the indicators and targets in Outcome 2, the TE consultant team finds the two indicators related to enhanced capacity to be clearcut and straightforward as these are based upon results of the UNDP ABS Capacity Development Scorecard. Baseline scores were established in 2015 and were repeated for a final time in January 2022. Both capacity indicators meet SMART criteria.
124. The remaining 2 indicators however suffer from a lack of specificity and subjective benchmarks of measurement such as “a sufficient number” and “case studies developed” that hinders quantification of progress against the baseline.

<b>Outcome 3:</b>	Pilot demonstrations on ABS
-------------------	-----------------------------

✓ Meets criterion

✗ Does not meet criterion

? Ambiguity or clarification needed

<b>Table 9: SMART Analysis of the Outcome-Level Indicator - Outcome 3</b>						
Description of Indicator	End-of-Project Target	SMART analysis				
		S	M	A	R	T
Availability and accessibility of ABS information	Existence of systems to institutionally store and update information about GRs and ATK in one region, one province and four autonomous prefectures.  They should be organised into data sets that are generally and easily accessible to all potential providers and/or users and or involved agencies / officials.	✓	✓	✓	✓	✓
Quantity and nature of ABS agreements in China	a) At least six ABS agreements in compliance with NP in place and operationa.l  b) Among the above six agreements, at least four will include PIC and MAT with local communities.  c) Among the above 6 agreements, one or more in each of the following areas: medicine and medicinal practices and food and beverage products. Note: some agreements may cover more than one area.	✓	✓	✓	✓	✓
Authorities with ABS implementation experience	At least one autonomous region, one province and four autonomous prefectures have practical experience regulating ABS agreements.	✗	✓	✗	✓	✓

Local communities benefit from GR and ATK utilization	At least four of the users (companies) involved in ABS agreements have begun sharing benefits with providers (communities).	✓	✓	✓	✓	✓
Availability of best practice information on ABS implementation in China	Best practice guidance on ABS processes at national, state and local levels adopted on the basis of experience developed through the pilot/demos and their operation.	✗	✓	✓	✓	✓

125. With respect to indicators and targets under Outcome 3, the TE consultant team finds that - in light of changes made following the MTR - indicator 3.3 suffers from a lack of specificity regarding what constitutes “practical experience” regulating ABS agreements. Also, whether practical experience is attainable given the limited runway towards regulating ABS agreements is questionable. Indicator 3.5 also has shortcomings related to what target audience ought to adopt best practice guidelines and how many and what purpose should this ultimately serve. As phrased, these are difficult to measure at the end of the project, regardless of the impressive progress made on both fronts.

## Assumptions and Risks

### Risks

126. Table 5 in the Project Document (pp. 46-46) identifies a total of 10 potential risks (1 rated as “High”, 4 as “Medium” and 5 as “Low” using the Risk Assessment Guiding Matrix) and their respective mitigation measures. These are logically articulated with risks augmented between the PIF (only 3 risks flagged), during the design phase, and at inception where the list was whittled down to only 9 (4 rated as “Medium” and 5 as “Low”).

127. Risks have been also included in at least **four** different levels. First, within the core design in a dedicated risk section describing major risks and mitigation measures; second, within the Strategic Results Framework assessing risks and assumptions for each project indicator; third risks were identified as part of the Project’s M&E and monitored intermittently through a designated risk register where each risk was classified as either being operational, political, strategic, organizational or social / environmental; and finally in the Social and Environmental Screening Report, where a total of 5 risks were highlighted, although the Project’s overall risk categorization was deemed “low”.

128. In general terms the analysis was logical and coherent, however, the description of risks and mitigations in the Project Document were vague, lacking details and explanations to connect with the interventions. On the other hand, risk mitigation measures undertaken as part of M&E were more robust and detailed, presenting a path to guide outputs. This type of ongoing risk mitigation is a hallmark of seasoned management.

### Assumptions in the Project Document

129. The Project Document made three key assumptions in proposing the GEF intervention. In all three instances, the TE consultant team finds that the three overarching assumptions were well-articulated and justified given the barriers to be lifted and the expectation that the three-pronged set of interventions to be implemented by the Project would ultimately lead to an ABS framework at multiple levels.

- I. Baseline conditions in the selected areas can be extrapolated with high confidence level to other biodiversity rich areas and lessons learnt can be successfully disseminated;
  - II. Increased awareness and capacity will lead to a change in behaviour with respect to the conservation and sustainable use of biodiversity in China; and
  - III. Access and benefit sharing of biological resources will become an increasingly important national priority for China as knowledge and information is made available.
130. Per the Project Document, the strategy is aimed at highly ambitious "paradigm shift level results". Along with this, it had several design assumptions related to mainstreaming a concept novel to China of ABS across all departments and levels of government and in three autonomous and different administrative regions; each with its own set of nuances, needs and set of expectations, and pressing ABS related questions to answer. Major assumptions included the five-year time frame for policy and legal changes and in the learning for legal change strategy and the scheduling of the inputs. Coupled with this is that Components 2 and 3 implementation depends on Component 1. This makes it difficult for stakeholders to pursue progress well in the two components based on any delay encountered in implementing Component 1. It is also assumed the implementation of all three Components should be concurrent instead of successive.
131. The MTR noted at the end of 2018 that the pilots had yet to commence and therefore, the assumption that pilot cases would influence the upstream and provincial legislation was not correct. The TE consultant team highlights there is still a need at operational closure to not only plan how the learning from cases will feed into the implementation of the ABS regulatory environment which has been created, but refine it going forward.

#### Assumptions in the Strategic Results Framework

132. The review of the set of assumptions identified in the SRF table indicated that the Project's results hierarchy was built around 8 unique assumptions. However, some of the assumptions are not necessarily logical and ought to have been revisited. Examples:
- Given the inception workshop occurred after China had already acceded the NP, the assumption that *"sub-national bodies cannot adopt and or implement legislation implementing the national framework if the national framework does not yet exist"* should have been re-formulated when the SRF was reviewed in consultation with the RTA;
  - Given that the agreements made between industry and communities on ATK have been tightly guarded in secrecy and this information was not even privy to the Team Leader, the assumption that *"Databases and compendiums of ATK (and possibly also of key genetic information) may operate as focus points for biopiracy"* seems over the top. The TE consultant team has noted, based on conversations with several interviewees, that there may be an undercurrent of protectionism and a rush for securing intellectual property rights to species, which has percolated among some stakeholders, based on

*"I DON'T UNDERSTAND WHY THERE IS A NEED FOR SECRECY ON SPECIES YOU CAN ALREADY BUY AT THE MARKET. PROTECTIONISM AND INTELLECTUAL PROPERTY IS NOT IN THE SPIRIT OF ABS. THERE IS NO NEED TO LIST EXISTING SPECIES, IT SHOULD APPLY MORE BROADLY INVOLVING CLASSES OF SPECIES"*

**- INTERVIEWEE REFLECTION ON THE DARKER SIDE OF ABS**

a different interpretation of ABS;

- The SRF notes an assumption that "*users (commercial organisations and academic institutions and others) might face obstacles that prevent or curtail their participation in demonstration negotiations*". This assumption is very general and without further guidance does not add value in terms of actioning it.

### ***Lessons from other relevant projects (e.g. same focal area) incorporated into project design***

133. Interviewees acknowledged the pioneering and "greenfield" nature of the Project, leading to limited previous experiences offering lessons applied to genetic resources, TK, and ABS in China. On the other hand, the Project Document does not explicitly mention or reference many other relevant projects (or initiatives) nationally or internationally that were used to strengthen or adjust Project design. Only the following were articulated:

- The Project was to coordinate with the GEF-UNDP China Biodiversity Partnership and Framework for Action (CBPF) project, executed by MEE, and create co-benefits and synergies through data and information sharing;
- The Project was also to coordinate with other ABS related projects internationally, such as the regional ICIMOD's ABS programme, a regional initiative launched in 2004 with 13 countries including China. During the PPG phase, details for further collaboration were to be explored based on close examination of the ICIMOD programme achievements and future plan.

134. Notwithstanding the limited project-based lessons to draw from, interviews confirmed that the design was based on the large pool of experience from subject-matter experts within FECO involved in ABS negotiations and issues in the context of the CBD, as well as a range of legal experts in China.

135. The respondents acknowledged that Project design capitalized on decades of field expertise from individual and institutional stakeholders in biodiversity conservation (including CBOs), and highlight the following lessons incorporated from previous experience:

- Management and institutional arrangements at national and site level, considering administrative and procurement constraints from state agencies;
- Stakeholders identification and involvement in project design and implementation; Sequencing of activities for the effective and efficient delivery;
- Synergies among different projects or sources of funding supporting the implementing agencies achieve improved effectiveness and enhance the sustainability of achieved results and long-term development goals.

136. There has been a recognition that previous experience and lessons from past projects would have been helpful to blunt some of the growing pains and lengthy discussions between government entities. This is especially true for the pilot initiatives, which lacked practical international cases. The PMO had to contact international corporations to demonstrate more useful ABS cases to supplement the domestic ones noted

*"ONE OF THE MAIN GAPS EXISTED IN THE LACK OF GUIDANCE AND PRACTICAL EXAMPLES TO HELP GUIDE IMPLEMENTATION OF THE PROJECT. WE HAD TO SOLVE OUR OWN PROBLEMS"*

**- INTERVIEWEE REFLECTION ON INSUFFICIENT LESSONS FROM WHICH TO DRAW**

in the Project Document. As the practical hands-on field work was mainly back-loaded, COVID-19 impacted the ability for the Project to reach out and visit other countries within the region that share similar geographies and species to learn from them; this would have been a tremendous value-added.

### ***Planned stakeholder participation***

137. Project design followed a participative approach and was careful to incorporate the key institutional stakeholders and potential beneficiaries throughout the consultation process. During the PPG, a thorough local level socio-economic assessment and consultation was conducted to obtain the consent of the ethnic minorities to participate in the project pilots. Generally, Project Design was a participatory process, in line with UNDP's and GEF's requirements. Gender issues were specifically considered, including at the community level.

*"ETHNIC MINORITIES ARE AT THE HEART OF THE PROJECT STRATEGY BECAUSE CHINA'S LONG HISTORY OF TRADITIONAL KNOWLEDGE AND MEDICINES IS INTERTWINED WITH LOCAL ETHNIC COMMUNITIES"*

**- INTERVIEWEE REFLECTION ON THE IMPORTANCE OF LOCAL COMMUNITIES IN THE PROJECT DESIGN**

138. According to the Project Document, design consultations were triggered with initial Project design discussions with a wide range of stakeholders during the in-country mission as part of the PPG. Project preparation included pilot site visits and associated consultations with two of the Project's key stakeholder groups (governmental representatives and current users of target GR and/or ATK) in the pilot areas. The Executing Agency, MEE-FECO, also organized preparatory consultations with key line ministries at the national level.

139. During the PPG phase, a thorough local level socio-economic assessment and consultation was conducted to obtain the consent of the ethnic minorities to participate in the Project pilots. Full environmental and Social Screening was also undertaken during the project preparation phase. Furthermore, each of the pilot sites have their own socio-economic assessments in Annex 1 of the Project Document.

140. The Project Document discussed the role of stakeholders and included a plan for the involvement of actors. During project formulation, a preliminary stakeholder analysis was undertaken in order to identify key stakeholders, assess their interests in the Project, and define their roles and responsibilities in project implementation. This culminated in a Stakeholder Involvement Plan in Part IV of the Project Document which describes the different interactions and specific roles and responsibilities for each stakeholder. The Plan proposed a number of mechanisms that should be implemented, with the purpose of promote and ensure that all the relevant shareholders receive and share information and provide technical advice on the project implementation: a) regular meetings and conference calls; b) face to face meetings; c) exchange of reports; d) the contractual arrangement negotiated with the private companies should also set coordination mechanisms. The TE consultant team notes the Project Document highlighted a finer stakeholder plan would be developed during the inception phase, but was not the case, or, was not provided to the TE for review.

141. The key stakeholders include central government agencies concerned with the governance of ABS implementation (MEE, the Ministry of Culture, SIPO, SFA, MOFCOM, the State Administration of TCM, the General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ) and the Ministry of Science and Technology (MOST)); as well as research institutions involved in genetic and



biochemical analysis of wild and domesticated plant animal and fungus species; and private sector organizations and businesses involved in biotechnology and the development of products through the utilization of the genetic resources of Chinese species.

142. The local management arrangements for each pilot project were to be described in the exchange of letters between the Project executing partners, and specified representation of principal stakeholders including relevant sub-national authorities, local communities and other partners in their implementation.
143. The Project's implementation and execution arrangements were designed to ensure a balanced and coordinated development of a national ABS Framework for China. MEE (Ministry of Environmental Protection at the time of design) was designated as the government institution responsible for daily execution and coordination of the project and will serve as the government EA. UNDP was designated as the GEF Implementing Agency. The Project was to be nationally implemented (NIM), in line with the Standard Basic Assistance Agreement between the UNDP and the Government of China, and the Country Programme Action Plan (CPAP). Other executing partners include Yunnan EPB, Guangxi EPB and Hunan EPB, each of which will implement pilot demonstrations within their respective provinces. Each of these agencies were to receive a sub-grant from MEE for this purpose.

### ***Linkages between project and other interventions within the sector***

144. The Project design was intended to capitalize on ongoing advances in biotechnology and cutting-edge Research & Development on rich components of biological diversity, which could result in the development of products such as pharmaceuticals, nutraceuticals, cosmetics, antibiotics and vaccines. An underlying assumption in the engagement with private sector entities was that a growing biotechnology industry would lend significant economic value to China's natural resources and biodiversity, while providing strengthened arguments for conservation and sustainable use of these resources, in line with Article 15 and Article 5 of the CBD and NP, respectively. The TE consultant team found the Project made sufficient attempts to reach out to both international and domestic enterprise, but largely stuck to the strategy and species in the Project Document, with the exception of Novozymes, a global biotechnology company headquartered in Bagsværd outside of Copenhagen, Denmark and a world leader in biological solutions.

### ***Gender Responsiveness of Project Design***

145. The UNDP-GEF ABS project was designed and intended to partially mainstream gender considerations. The Project Document is cognizant of and recognizes the historical role of women (para 193, page 54) as the guardians of traditional knowledge and the main providers, collectors, and managers of natural and genetic resources. While there are few detailed references to gender in the Project Document, the Project sought to incorporate gender concerns and was very much at the heart of planning.

*"THE PROJECT WILL AIM TO ENSURE THAT PROJECT ACTIVITIES AND ASSOCIATED BENEFITS REACHING LOCAL COMMUNITIES ARE GENDER EQUITABLE IN THEIR DISTRIBUTION. THIS WILL INCLUDE SPECIAL EFFORTS TO ENSURE THAT WOMEN'S VIEWS ARE FULLY TAKEN ACCOUNT OF DURING ALL PLANNING AND CONSULTATION"*

**- PROJECT DOCUMENT**

146. A formal gender analysis was not undertaken during the preparation phase although it was suggested following the inception workshop that it consider developing a gender assessment as part

of the AWP. The Project does not have a specific Gender Plan, possibly because it was only mandatory for GEF financed projects approved after July 1, 2018.

147. While the SRF does not disaggregate gender in either the indicators or targets, the Project has managed to address this shortcoming by explicitly collecting gender data, where possible. The PMO commissioned a gender audit in 2019 and brought on a gender consultant who at the recommendation of the MTR should have been brought on, in particular, when the ABS cases studies were designed and to influence the legislation process at sites, including the national legislation drafting process.
148. The Project was categorized under the UNDP Gender Market as GEN-1, which means "some contribution to gender equality and mainstreaming". However, according to the information presented in the ProDoc, the rating that it should have received is GEN-2 "Significant contributions to gender equality" because of the implications to women at the local level.

### ***Social and Environmental Safeguards at Design***

149. The Project Document mentions that the Project conducted the Full Environmental and Social Screening during the PPG phase, which was included in Annex 3. The Social and Environmental Screening Report was revisited during the inception phase and included in the Inception Workshop report.
150. The Project developed the SESP following the 2012 UNDP methodology and staffing, which consists of 5 questions related to the project activities and their potential impact and vulnerability to environmental and social change for the areas of: biodiversity and natural resources; pollution; climate change; social equity and equity; demography; culture; health and safety; and, socioeconomic. The screening did not identify risks associated with the Project for the aforementioned areas, so it can be concluded that it complies with UNDP Social and Environmental Standards.
151. The SESP classified the Project as Type 1 (with an overall risk of "low"), that is, no more environmental and social reviews were required, and therefore no further action is needed. It is important to mention, that although the SESP was carried out, it was not presented to the PSC.



## B. Project Implementation

### ***Adaptive management (changes to the project design and project outputs during implementation)***

152. Adaptive management corresponds to the level of flexibility that the Project had to attend to the changing dynamics and the supervening needs. These are the adjustment mechanisms to improve the execution of the Project, after an agreement between the UNDP, GEF and the MEE – FECO.
153. The Project has introduced and applied a few adaptative management measures due to the delays and sub-optimal financial delivery early on, as well as some of the disruption to planned activities and underlying strategy as a result of the global COVID-19 pandemic.

#### Strategy and Design

154. The Project’s Strategic Results Framework was reviewed consultatively during the inception workshop and while tweaks were made to risks and assumptions underpinning the intervention logic and results hierarchy, nothing substantive was changed by way of indicators and targets. While no changes were made at inception, the act of reviewing the logical framework - in consultation with both the Project’s stakeholders and the Regional Technical Advisor - is itself an adaptive measure which also speaks volumes about the intention to align targets with the current state at the time.
155. During the MTR there were minor changes and amendments made to the wording of indicators and end-of-project targets, but again nothing substantive. See the below table, where *deletions* are highlighted in “red” and *additions* highlighted in “green”. Text flagged in “blue” delineates where, in the view of the TE consultant team, there should have been modifications to address ambiguity.

**Table 10: Changes to the Strategic Results Framework Following MTR**

Objective/ Outcome	Indicator	End of Project target	Notes by MTR Team	Comments by the TE Consultant Team
<b>Objective:</b> To develop and implement China’s national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD)	Biodiversity conserved by the pilots Incentives for biodiversity conservation	<del>Protected areas established for wild dendrobe habitat covering 300-ha</del> Protected areas established covering 2,000 ha in areas where species (over 1,000 of which are threatened) used in Dai traditional medicine are concentrated.	Based on the practical data from field survey, MTR team found that all of the wild Dendrobe habitats existed in the Nature Reserves of Xishuangbanna Dai Autonomous Prefecture. Therefore, it is recommended that it be deleted.	The TE consultant team concurs with the modification of the indicator at MTR. It also notes, from an adaptive management perspective, the Project was also able to meet the end-of-project target without designated a formal protected area by leveraging its ecological redline initiative.

**Table 10: Changes to the Strategic Results Framework Following MTR**

Objective/ Outcome	Indicator	End of Project target	Notes by MTR Team	Comments by the TE Consultant Team
and the Nagoya Protocol (NP)		Conservation of original stocks of indigenous black pigs (up to 1,000 individuals). Village conservation agreements covering varieties of Huangjin and Guzhang teas.		
<b>Component 1.</b> <u>Contribute to the</u> establishment of the National Regulatory and Institutional Framework on ABS	Elements (policy, legislation, guidance) of a national framework	<u>Contribute to the</u> National framework instruments (policy, legislation, guidance, as and if determined to be needed) are adopted and coordinated with existing legal provisions addressing GR and ATK.	The objective is OK in the long run, but establishing a national ABS regulatory framework as one of the outcomes in component one is inappropriate in a five-year project because it will take a long time, more than five years, for a country's laws to be approved. MTR team agrees this process has been supported by the Project. The Project targets may need to be changed as the adoption of the ABS legislation is outside ultimate control of the Project. They are doing as much as they can to support during a transition. The government recently went through a restructuring but this did not affect the MEE's role as	The TE consultant team notes that the Project did not modify changes to the Component 1 wording which would have diluted the ambition of the intervention and its main thrust and legacy. Notwithstanding the modification of the end-of-project is a recognition of the time needed for both the establishment and implementation of a regulatory framework and demonstrates strong adaptive capacity to address things outside of the immediate control of the PMO and core stakeholders.

**Table 10: Changes to the Strategic Results Framework Following MTR**

Objective/ Outcome	Indicator	End of Project target	Notes by MTR Team	Comments by the TE Consultant Team
			convener of the process. The issue can be resolved if MEE can provide leadership to convene other sectors.	
<b>Component 3.</b> Pilot demonstrations on ABS	<b>Jurisdictions</b> Authorities with ABS implementation experience	At least one autonomous region, one province and four autonomous prefectures have practical experience regulating ABS agreements.	As an indicator, “authorities” is appropriate than “jurisdictions” in component 3. MTR team has interviewed the capacity development training expert and all project pilot stakeholders as well as the CB scorecard and can attest to the learning that has taken place for ABS project work.	The TE consultant team agrees with the tweak in wording for clarity as “jurisdictions” in not appropriate in this context.
	Authorities with ABS implementation experience	At least one autonomous region, one province and four autonomous prefectures have <b>practical experience</b> regulating ABS agreements.	N/A	The TE consultant team finds the term “practical experience” ambiguous and not conducive to measurement. The PM had noted the PMO and stakeholders have deliberated over its meaning in an effort to give more clarity of what ought to be measured, which in itself illustrates adaptive management.

Governance and Management

156. Stakeholder consultations have surfaced that PSC meetings have been a useful mechanism to implement adaptive management, with necessary changes made in a timely manner. The TE notes that the PSC took a pragmatic and flexible approach to meetings. While in GEF projects the PSC is supposed to meet twice per year, the PSC in the UNDP-GEF ABS project met when it was most needed and in times it could add most value. A strong, active and technical PMO embedded in the MEE proved to be an additional adaptive management mechanism guiding the Project on a more regular basis.

*"WITH A VERY STRONG PMO IT IS LIKE WE HAVE TWO STEERING COMMITTEES. BECAUSE STEERING COMMITTEE MEMBERS ARE VERY SENIOR AND IMPORTANT GOVERNMENT OFFICIALS, WE USE THEM ONLY WHEN NEEDED"*

**- INTERVIEWEE REFLECTION ON LEVERAGING THE PSC**

157. The IA demonstrated adaptive management by recognizing early signs of issues of weak management and sub-optimal delivery. While there were tumultuous periods in the Project with the reorganization of the national PMO, new recruits to replace multiple Project Managers and a Chief Technical Advisor (CTA), these early decisions have paid dividends. The TE also notes the value of recruiting an external and independent Project Manager (as opposed to one seconded to the Project from the IP), which can be considered a lesson learned. The Project took its time to recruit seasoned Project Management and CTA and while there was disruption in continuity, the TE consultant team finds the approach and return on investment was substantial.

158. Part of the success of the Project is also due to the "hands on" role played by UNDP. This was especially so during difficult transition periods and where it recognized early signs of faltering. The 2018 PIR, for example, demonstrates the UNDP's role by pushing the PMO to strengthen coordination and mainstreaming efforts and to improve overall effectiveness and financial delivery. This "all hands-on deck" attitude is also demonstrated by UNDP's provision of essential training which helped cement the requisite skills and relationships for the Project to be successful.

### Partnerships

159. The augmentation of the number of private sector enterprises and ensuring representation of international companies within the Project is not only illustrative of the Project's close monitoring of the end-of-project targets, but also evidence that the PMO and stakeholders thoroughly addressed recommendations coming out of the PIR process from UNDP.

### Work Planning

160. The TE consultant team fundamentally found the Project PIRs were responded to and used to inform adaptive management; recommendations from each PIR being actions in the subsequent reporting period.

161. The Project was supposed to end in March 2021, but it was granted the maximum 12 months extension, due to COVID-19, because it was not possible to undertake certain activities such as field monitoring trips and trainings in the manner envisaged. However, in retrospect, COVID-19 did not affect the Project significantly considering it occurred almost by the end of project implementation where most activities were already on track for completion. Notwithstanding the extension was beneficial for allowing consolidation of results and to ensure maximum financial delivery.

### ***Actual stakeholder participation and partnership arrangements***

162. The mechanisms under the Stakeholder Involvement Plan were instrumental to maintain relevant participation in project management and decision making. At the local level, the contractual arrangements between local communities and the private sector companies, also set longevity of results and coordination mechanisms into the future via the Project's sustainability and post-implementation arrangements. In general terms, the Project followed these mechanisms achieving important levels of stakeholder participation.
163. The Project maintained adequate levels of stakeholder participation, both at the operative level in different intervention scales, as well as its governance through the PSC. Early engagement of stakeholders and their continuity since project design is acknowledged as a critical factor facilitating partnerships and overall participation. Per the table below, the TE consultant team also finds a broad representation and good cross-section of partners engaged.

<b>Table 11: Summary of Stakeholder Analysis</b>		
<b>Stakeholder</b>	<b>Roles and Responsibilities per Project Document</b>	<b>Role and Responsibilities Reflective of Actual Implementation</b>
<b>National Level</b>		
Ministry of Environmental Protection (MEP / MEE*)	Through its Foreign Economic Corporation Office (FECO), MEP is the national executing agency for this project providing a national project director and ensuring quality and timely results monitoring and reporting of the Project. MEP is the overall National Competent Authority for implementation of the ABS regime and is also for the reporting entity for the Convention of the Biological Diversity (CBD). It also coordinates implementation of the National Biodiversity Strategy and Framework (NBSAP) as well as the China Biodiversity Partnerships and Framework (CBPF).	<p>* The MEP, as noted in the Project Document, was restructured during implementation to become the Ministry of Ecology and Environment (MEE) but this change did not affect the role of MEE or the project implementation via the National Project Director. Although the restructure happened in 2018, the function and the role were strengthened by integrating similar and relevant working areas on protecting biodiversity in China, which provided more support to the implementation from a governance perspective.</p> <p>The MEE demonstrated excellent leading institutional capacity to execute the Project with good achievement and in conformity with the Project Document.</p>
UNDP	At the request of the Government, UNDP will serve as the GEF Implementing Agency (IA) for the Project. In this role, UNDP will ensure project execution on time, on scope and within budget, and draw on technical services provided by its regional offices and headquarters to provide technical quality assurance. The project assurance and support functions will be provided by the UNDP China Country Office as well as UNDP Asia-Pacific Regional Centre which houses technical advisors for these projects.	Conducted excellent role on ensuring project execution on time according to UNDP-GEF project management guidance and rules. Sufficient support and services have been provided to the Project through PSC meetings and other workshops for technical and procedural issues. The TE finds that UNDP went well beyond the assurance role articulated in the Project Document and exceeded expectations. The sentiment that the IA provided leadership and vision to implementation and was eager to lend a hand in technical matters when called upon was unanimous.

**Table 11: Summary of Stakeholder Analysis**

Stakeholder	Roles and Responsibilities per Project Document	Role and Responsibilities Reflective of Actual Implementation
<b>National Level</b>		
National People's Congress - Committee of Environment and Resource Protection	With the Legislative Affairs Office of the State Council, a key entity for providing guidance to enactment of the ABS laws and regulations, and play a leading role in promoting ABS legislation.	Provided sufficient laws and regulations, technical guidance related ABS from national level, and cooperated with the other relevant ministries on environment protection to give cross-cutting information on ABS.
Ministry of Foreign Affairs (MFA)	Responsible for diplomatic affairs on behalf of the Chinese government, reporting on legal issues concerning foreign affairs and international law developments, concluding bilateral and multilateral treaties, conducting international judicial cooperation between China and other countries, handling legal cases involving a foreign country or party, coordinating the compliance of international treaties, and organizing the participation in diplomatic negotiations on environmental treaties, etc.	MFA was involved in negotiations on environmental treaties and articles. However, it seems a weak connection between international negotiation and domestic implementation on ABS. In this project, it is difficult to clearly identify the role that MFA played.
Office of legislative affairs of the State Council	Responsible for the approving legislation, including the Regulations on the Management of Access and Benefit Sharing of Genetic Resources.	Performed a good role with regards to reviewing, supervising, and approving legislation on ABS by consulting with key sectors or ministries, and a positive attitude on putting forward ABS in China.
Ministry of Science and Technology (MOST)	Responsible for ensuring scientific and technological development and supervision of the scientific research relevant to genetic resources. Initial discussions indicated some informal expectation that MOST will be designated as a CNA for research, including academic and non-commercial research.	Participated properly on ABS, in particular in Intellectual property rights and technology innovation. MOST played important role in this project.
State Ethnic Affairs Commission	Responsible for drafting regulations and policies related to ethnic affairs, coordinating the implementation of Law on ethnic autonomy.	Participated positively and played an important role on guiding the 3 pilots, which are ethnic autonomous prefectures or have lots of ethnic minorities of China. Also played an important role in formulating, reviewing and submitting key regulations on ABS. The TE consultant team finds good contributions were made by protecting traditional knowledge and skills.
Ministry of Finance	GEF Operational Focal Point. Coordination and implementation of GEF projects.	Provided sound supervision to the implementation of this project and ensured the expenditure was carried out according to China's finance regulation on international cooperation projects.
Ministry of Agriculture (MoA)	Responsible for the examination and approval of collection, import and export of agricultural wild plant, validation of new	Key member to this project, and good cooperation with the other sectors, also provided necessary technical guidance in



**Table 11: Summary of Stakeholder Analysis**

Stakeholder	Roles and Responsibilities per Project Document	Role and Responsibilities Reflective of Actual Implementation
<b>National Level</b>		
	varieties of plants, regulation production, operation, imports and exports of crop seeds, grass seeds, and fungus seeds, examination and approval for import and export of aquatic seedlings and genetic resources of livestock and poultry. It is a key technical ministry to be involved in the adoption of Regulations on the Management of Access and Benefit Sharing of Genetic Resources and establishment of the National Clearing-house mechanisms in co-operation with MEP. Initial discussions during the PPG indicated some informal expectation that the MoA will be designated as a competent national authority (CNA) for agricultural uses and activities involving GR and ATK.	genetic resource utilization and protection for various species.  Deeper cooperation and attention with Ministry of Agriculture and Rural Affairs of the People's Republic of China (previously MoA) should have been paid on ABS implementation, in particular in database and information sharing and utilization on genetic resources through broader platform at national and sub-national levels.
Ministry of Commerce (MOFCOM)	Responsible for formulating the strategies, guidelines and policies related to the development of domestic and foreign trade and international economic cooperation. It is also responsible for regulating import and export commodities and technologies.	Provided key commercial guidance on the policies and regulations for different categories, in particular Chinese herbal medicine and relevant commodities. However, it is difficult to operate at local level, since the experience in pilots is very limited, it might be strengthened in the future to focus on exploration of sustainable modalities on local commercial development.
General Administration of Quality Supervision, Inspection and Quarantine (AQSIQ)	One of the agencies identified as potential check points at the national level. Responsible for inspection of import/export of biological resources. AQSIQ is expected to play a key role in ensuring sound inspection of entry and exit biological resources.	Key agency on biological resources safety, provided specific guidance on the main regulation to various raw materials, in particular import/export of medicine at the national level.
State Forestry Administration	Responsible for the examination and approval of forest genetic resources, seed, seedlings, terrestrial wild animals or animal products for import and export approval, capture, specimen collection, domestication, trade of wildlife under special state protection, and the examination and approval of new varieties of plants etc. Key technical ministry to be involved in the adoption of Regulations on the Management of Access and Benefit Sharing of Genetic Resources and related activities, in conjunction with MEP. Initial discussions indicated some informal expectation that the SFA will be designated as a CNA for forest GR and ATK.	Excellent role played in this project by guiding key activities in ABS framework establishment and pilot's implementation design. Also good momentum on ABS mainstreaming to the regulation of National Forestry and Grassland Administration (previously State Forestry Administration).  However, insufficient experiences on pilot's implementation constrained more specific regulation formulation, such as unclear rights for wild biological resources. This issue should be explored deeply on a national, as well as local level.



**Table 11: Summary of Stakeholder Analysis**

Stakeholder	Roles and Responsibilities per Project Document	Role and Responsibilities Reflective of Actual Implementation
<b>National Level</b>		
State Intellectual Property Office (SIPO)	Responsible for information technology, patent work and comprehensive coordination of the foreign related affairs in the field of intellectual property. Directly responsible under existing legislation for ensuring the implementation of the article regarding source disclosure requirements in the Law of Intellectual Property Rights and the audit of the patent. Initial discussions indicated some informal expectation that SIPO will be designated as a potential check point at the national level. Key entity for promotion and implementation of the Regulations on the Management of Access and Benefit Sharing of Genetic Resources, as well as existing legislative provisions relating to the disclosure of origin in the patent law.	Sound technical support provided by SIPO on current regulations related ABS. However, the reaction between this agency and the pilots' demands on intellectual property is quite weak. More practices and experience on ABS should be considered in the future.
State Administration of Traditional Chinese Medicine	A bureau under the jurisdiction of National Health and Family Planning Commission of the People's Republic of China, responsible for regulation of the Chinese medicine industry and for promoting development of the science of Traditional Chinese Medicine and Pharmacology (TCMP) as well as safeguarding associated traditional knowledge. This bureau organizes the TCMP resources census of the Chinese medicine, promotes protection and development and rational utilisation of these resources, and contributes to protection of the intangible cultural heritage of traditional Chinese medicine. Initial discussions indicated some informal expectation that this bureau will be designated as a CNA for ABS transactions involving GR and ATK related to TCMP.	Good support provided by this administration on identification of wild herbals and utilizations in medicine area.  Excellent technical guidance for ABS workshops and trainings for different audiences to realize the value of ABS, so as to expand the knowledge on ABS to relevant stakeholders.
Ministry of Culture	Responsible for promoting public cultural service, guiding the cultural development at a grass-roots level, and for protecting "non-material (or intangible)" cultural heritage including traditional knowledge. The declaration, examination and approval, and protection of intangible cultural heritage are being carried out by the Ministry according to the 2011 non-material cultural heritage protection law. It is also responsible for evaluation of the application of intangible cultural heritage for national recognition. Initial discussions indicated some informal	Positive support provided by this administration on traditional culture of wild herbals, which has been ignored by new generation. This administration encouraged more traditional knowledge could be disseminated by ABS framework and other relevant platform, such as some museums or exhibitions.

**Table 11: Summary of Stakeholder Analysis**

Stakeholder	Roles and Responsibilities per Project Document	Role and Responsibilities Reflective of Actual Implementation
<b>National Level</b>		
	expectation that the MOC will be designated as a CNA for certain cultural and ATK issues.	
Sub-national Governments	Provincial-level, prefectural-level and county-level governments will play an important role in establishing and implementing local ABS regime, as regulators and administrators.	Positive role in participating activities, such as training, workshops and PSC meetings. Also sound cooperation with PMO at the national level, facilitating the Project implemented in 3 pilots. However, insufficient experience cannot fully support sub-national governments to formulate proper regulation on ABS.
Local communities	Providers of genetic resources and holders of traditional knowledge associated with the resources. Local communities of selected counties and townships will directly participate in ABS regime demonstration and benefit sharing practices as a key stakeholder under component 3. Many of the local communities which are expected to be involved in pilots are ethnic minority communities. As noted in the Environmental and Social Pre-screening for the PIF, a thorough local level socioeconomic assessment and consultation will be conducted during the PPG to obtain the consent of the ethnic groups to participate in the Project pilots. Full environmental and Social Screening will also be conducted during the PPG phase.	High enthusiasm to participate and implement this project, to explore sustainable modalities on genetic resources protection and economy development; high willingness to cooperate with different stakeholders, such as enterprises, NGOs. Several agreements had been signed with different agencies to jointly improve the economic value of local traditional plants, and protect the local genetic resources and traditional knowledge as well. Many ethnic minorities thought that this project fulfilled gaps in knowledge and public awareness on ABS. However, due to the limited time on implementation, many issues on ABS implementation at local communities' level have not been resolved, such as ownership.
Research institutions	Institutions mandated to undertake survey and collection of biological resources (e.g., Institute of Botany and Institute of Zoology under Chinese Academy of Sciences; biology schools in colleges and universities; research academies of agriculture, forestry, environmental sciences, and medical sciences; local research institutions, etc.) will participate in project activities as needed and provide technical support to ABS regime implementation. For instance, taxonomists can provide technical support to survey and identify genetic resources and to the settlement of benefit sharing issues in relation to species that are not endemic and distributed across national boundaries.  The Center for Biodiversity and Indigenous Knowledge (CBIK) is expected to be an important partner in ABS education and	Excellent outputs have been formulated on researching key concepts and international protocols on ABS which are important training materials for interested audiences; At pilots' level, according to ABS knowledge, many species had been identified and relevant reports compiled for local government and other stakeholders to consider. A large amount of investigations and surveys were conducted in many provinces, which provided good tracking work for ABS knowledge dissemination.  The TE consultant team did not find evidence of engagement with the Center for Biodiversity and Indigenous Knowledge on public awareness and ABS education. Instead, the Project partnered with EcoNetwork who joined the Project in 2018 through a competitive RFP process and who led extensive training and awareness activities, mainly in Yunnan.

**Table 11: Summary of Stakeholder Analysis**

Stakeholder	Roles and Responsibilities per Project Document	Role and Responsibilities Reflective of Actual Implementation
<b>National Level</b>		
	public awareness in Yunnan and other pilot provinces as appropriate.	
Private Sector	Businesses and enterprises in bioprospecting, biotechnology and bio-industries are key stakeholders to the Project in establishing the ABS regime and in implementing the pilot component, in particular. Private sector participants are expected to include: (i) biotechnology companies that culture tissues, extract and isolate derivatives to provide genetic products; (ii) users of the genetic resources and derivatives such as pharmaceutical, cosmetic, agrochemical and manufacturing industries; (iii) manufacturing and retail sectors for traditional Chinese medicine and agricultural products; and (iv) developers of new products based on traditional Chinese medicinal plants and animals.	Participated with a positive attitude in this project, especially during the implementation of the Project by cooperating with local communities and villagers on increasing the economic value for traditional species, which were facing a big crisis on genetic resource conservation. Private sector brought some initial modalities or technologies for sustainable development. These shaped the 3 pilots, such as tea plantation and raw herbal extraction, which added to local villagers' incomes to some degree.
NGO and Civil Society Organisations	NGOs and civil society organisations working on relevant issues with communities and institutions are potential stakeholders. The PPG noted they could participate in public awareness raising and training activities targeting communities. In addition, through close cooperation with local communities, they may serve as agents and the voice of local communities and assist them to gain more reasonable benefits from commercialisation of their genetic resources.	Demonstrated a high degree of enthusiasm and interest in the Project due to its high innovativeness and greenfield nature of the interventions. The TE consultant team found that NGOs and CSOs engaged through a competitive bidding process provided sound outputs and consistently high-quality deliverables to this project. NGO and Civil Society Organisations designed and formulated specific training materials for different stakeholders, including administrator, community, research institute, enterprise. Those products gave a good chance to learn about ABS, not only for the Project, but also for the public to improve awareness.

164. At a more granular level, the table below highlights both past and current partnerships which have been forged under the Project and the long-term institutional expertise that is being built around on ABS issues across a broad cross-section and types of entities in China.

**Table 12: Current and Past Partnerships Forged Under the Project**

#	Name of partner	Type	Role and contribution of such a partner
1	Guilin Sanbao Pharmaceutical Co., LTD in Guangxi	Private sector	To protect the six piloting species and demonstrate ABS agreements.
2	Yingmeizi Tea Science, and Technology LTD in Hunan	Private sector	To protect the six piloting species and demonstrate ABS agreements

**Table 12: Current and Past Partnerships Forged Under the Project**

#	Name of partner	Type	Role and contribution of such a partner
3	Monk Fruit Corp (Jifusi in Chinese) in Guangxi.	<i>Private sector</i>	Not only demonstrating ABS agreements but also making efforts on monetary and non-monetary benefits sharing with local communities, including capacity building, <i>ex situ</i> and <i>in situ</i> conservation etc.
4	Yunnan Green Education Center	<i>CSO/NGO</i>	Involved to conduct environmental education activities in Xishuangbanna.
5	Research Institute of Guizhou Geographical Indication	<i>Academia</i>	Conduct research about the collective management of traditional knowledge.
6	Beijing Dongba Culture Research Center	<i>Academia</i>	Jointly conduct research about the collective management of traditional knowledge.
7	University of International Business and Economics	<i>Academia</i>	Working on the Research on Legitimacy and Compliance of Foreign Affairs related ABS Management.
8	Nanjing Institute of Environmental Sciences, Chinese Research Academy of Environmental Sciences, China Academy of Chinese Medical Sciences, Shanghai Institute of Nutrient and Health, Minzu University of China, China University of Political science and Law	<i>Academia</i>	Though these institutes are not project partners, they have participated in activity implementing, particularly in a dozen of researches and studies carried out by the Project.
9	Novozymes	<i>Private sector</i>	The village of Manyuan in Yunnan province has received both monetary and non-monetary benefits, such as skill training, from Novozymes.
10	Dr. Plant	<i>Private sector</i>	Reforestation project occurred in the village of Manyuan, with a two-hectare area, previously covered by rubber trees, where 2,700 native trees were replaced, including Dai traditional medicine species. Founding of an Ex-situ protected garden was supported in a Buddhist temple of the village and it has planted and conserved 148 species of rare and endangered rainforest plants.
11	GoldenBee CSR Consulting Co. LTD	<i>Private sector</i>	Contacted Service Provider for a series of 6 trainings to Enterprise Managers, all completed.
12	Chinese Research Academy of Environmental Science (CRAES)	<i>Other</i>	Contacted Service Provider for a series of 8 trainings to Government Administrators, 1 completed.
13	From Our Eyes	<i>CSO/NGO</i>	Contacted Service Provider for a series of 6 trainings to Communities, 2 completed.
14	China Agriculture University	<i>Academic</i>	Contacted Service Provider for a series of 5 trainings to Research Institute, 3 completed.

165. One of the most interesting findings of the TE is related to the political support received by different line ministries by FECO, which was critical to move forward some project activities that included institutional, and legal decision-making processes. During the consultation process it was mentioned on several occasions that technical and legislative achievements were achieved because of three key factors: i) FECO (via the MEE) has extensive experience spanning nearly 20 years in participating in ABS discussions via the CBD COP negotiations and intersessional discussions, and drafting legal documentation, decrees and secondary laws; ii) The pool of expertise concentrated within FECO and among members of the Technical Working Group enabled the Project to make preliminary recommendations, through both formal and informal discussions, on the new regulations, before presenting them formally and iii) the national PMO proactively anticipated risks and pre-empted their impact by conducting situational analyses.

### ***Project Finance and Co-finance***

166. The Project is funded by a grant from the GEF of US\$ 4,436,210.00, cash and in-kind equivalents of US\$ 15,136,000.00 from the national Government, and cash and in-kind equivalents of US\$ 7,800,000.00 in provincial co-financing. The total amount of pledged co-financing was US\$ 22,936,000 at CEO Endorsement and the funding envelope of the Project and total implementation budget was US\$ 27,372,210.00.

#### Utilization of GEF Funds

167. The actual expenditure versus the originally planned budget was examined and assessed by the TE consultant team, as well as the leveraged co-financing as presented in the tables and figures below. Discussions with the Project Manager confirmed that as of 31 December 2021, approximately 96% of the GEF funds (US\$ 4,270,899.00) have been disbursed. While this is little changed from the US\$ 3,881,810.00 (87.5%) disbursed at the time of the 2021 PIR, the TE consultant team notes this is attributed to holdbacks for final deliverables that were not undertaken in 2021 but will be disbursed in 2022 prior to operational closure.

168. The table below illustrates that in spite of a surplus of approximately 4% of the total GEF funds at the end of December 2021, these are fully obligated and earmarked to open contracts and pending payment milestones. Based on the pending disbursements, the TE consultant team is confident that FECO has a clear path and sufficient runway for full disbursement and makes the following observations:

- 95% of the pending payments will be undertaken within the timeframe of operational closure;
- Substantive work by the Guangxi, Hunan and Yunnan PMOs have all been completed and pending activities are linked to final reporting and administrative closure of those contracts;
- Publication of the final book is scheduled for 30 June 2022 (3 months beyond the Project's operational closure), however, GEF financial policy allows for financial closure up to 12 months following the submission of the TE report provided that the funds have been obligated through PO and no net new contracts are issued;
- Due to the postponement of the second installment of COP15, there will be a surplus of \$20,000 for promotional work with no definitive timeline for its utilization.

**Table 13: Pending Disbursements**

No	Planned Activities	Budget	Current Status	Follow up	Anticipated
1	Developing incentive codes for three major commercial sectors.	¥ 80,000	PMO signed contracts with a subject-matter expert for the formulation of ABS Codes for one association of <b><u>Agriculture Sector</u></b> .  Final version of the codes for the China National Seed Association have been submitted and pending approval and formal publishing. The first milestone payment, 40% of the contract, was effected in December 2021.	According to the contracts, once the associations approve the codes, PMO will install the second and final payment, 60% of the total amount.	28 Feb '22
		¥ 80,000	PMO signed contracts with a subject-matter expert for the formulation of ABS Codes for one association of <b><u>Chinese Medicine Sector</u></b> .  Final version of the codes for China Association of Traditional Chinese Medicine and are waiting to be approved and published. The first milestone payment, 40% of the contract, was effected in December 2021	According to the contracts, once the associations approve the codes, PMO will install the second payment, 60% of the total amount.	28 Feb '22
2	Proceed with the Contract of ABS Project Video Shoot	¥ 368,500	The vendor, <b>From Our Eyes</b> , has completed material collection and submitted a nine-minute video. PMO is looking for a briefer cut and providing the vendor with the new script. The first (30%) and second (40%) payments had been effected in 2021.	Work with the vendor and install the final 30% payment after approving their final deliverable.	31 March '22
3	Publish a compilation of ABS Project Outputs to share ABS best practice	¥ 135,000	The contract signed with the subject-matter expert / consultant is going smoothly. The first payment was effected following the inception / implementation plan.	Review the second and the third deliverables and install the payments accordingly.	31 March '22
		¥ 100,000	2021-2022 TYWP budgeted the cost.	Select a publishing house and sign a new contract to publish the compilation.	30 June '22
4	Proceed with the sub-contract with <b><u>Guangxi Pilots</u></b>	\$500,000	Guangxi PMO has achieved all targets of the Project and been preparing to close the Project.  From 2017 to 2021, FECO has disbursed \$496,415.73.	Review the final report and disburse the final payment \$3,584.27.	31 March '22
5	Proceed with the sub-contract with <b><u>Hunan Pilots</u></b>	\$500,000	Hunan PMO has achieved all targets of the Project and been preparing to close the Project.	Review the final report and install the final payment \$2,711.09.	31 March '22



**Table 13: Pending Disbursements**

No	Planned Activities	Budget	Current Status	Follow up	Anticipated
			From 2017 to 2021, FECO has disbursed \$497,288.91.		
6	Proceed with the sub-contract with <u>Yunnan Pilots</u>	\$500,000	Yunnan PMO has achieved all targets of the Project and been preparing to close the Project.  From 2017 to 2021, FECO has disbursed \$490,550.68.	Review the final report and install the final payment \$9,449.32.	31 March '22
7	Publish the text book named <i>Access to and Benefit Sharing of Biological Genetic Resources</i>	¥80,800	Corporate with China Academy of Chinese Medicine Science to develop and press a textbook on ABS. The first version of the book is under review.  PMO paid the expert fee CNY80,800 in 2021.	Work with the Academy to follow the press. The academy is to pay the expense for the press.	31 March '22
8	Maintain the ABSCH webpage	¥100,000	Renew the contract with the vendor to maintain the webpage launch by FECO.	Renew the contract and disburse the payment for 2022.	31 March '22
9	Promotion the project in COP15 phase two	\$20,000	There was no cost happened in 2021.	Carry over the budget and organize related activities.	30 June '22
10	Contract with the PM		PM signed the third Contract (amount CNY, duration from August 2021 to March 2022) and received the expert fee (CNY 96,643.82) from August to November.	According to the working days to pay PM's expert fee. CNY 87,028.18 is budgeted to pay.	31 March '22

169. The GEF grant has been monitored through the UNDP's Atlas system and annual audits have been conducted for the Project in line with UNDP established procures. The following observations are made by the TE consultant team in relation to Table 14 and Figures 8 and 9 below:

- During the first two years of operations, financial delivery was relatively low, which has been noted as something somehow common for GEF projects, considering the normal start-up challenges, learning curve, and the necessary adaptation time;
- The GEF funds were mostly executed between 2018 and 2019. Since 2020 there has been a marked decrease influenced by COVID- 19 as well as the fact that the Project was nearing completion (at the time);
- The low delivery in the first two years of operations aligns with the narrative of the management changes that were required and implemented by the Project as adaptive management;
- At US\$ 210,000.00 Project Management costs are quite low for a FSP, but also speaks to the significant co-financing provided by FECO to support elements of the PMO;
- As part of the financial control, the Project prepared detailed quarterly forecasts, which included the planned budget and disbursement level for the different activities planned for each Outcome. This is rare for GEF projects and illustrates use of best practice and is indicative of seasoned management.

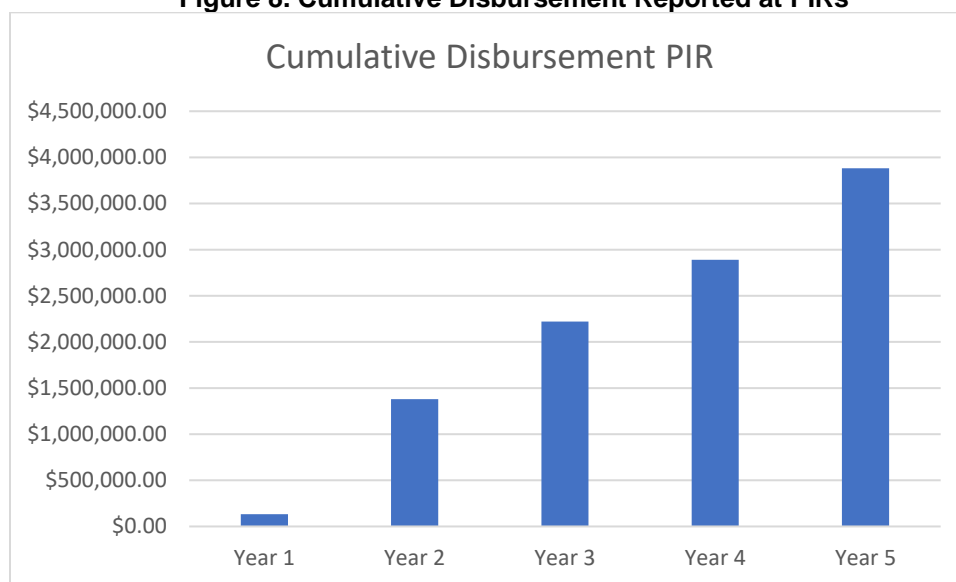


Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

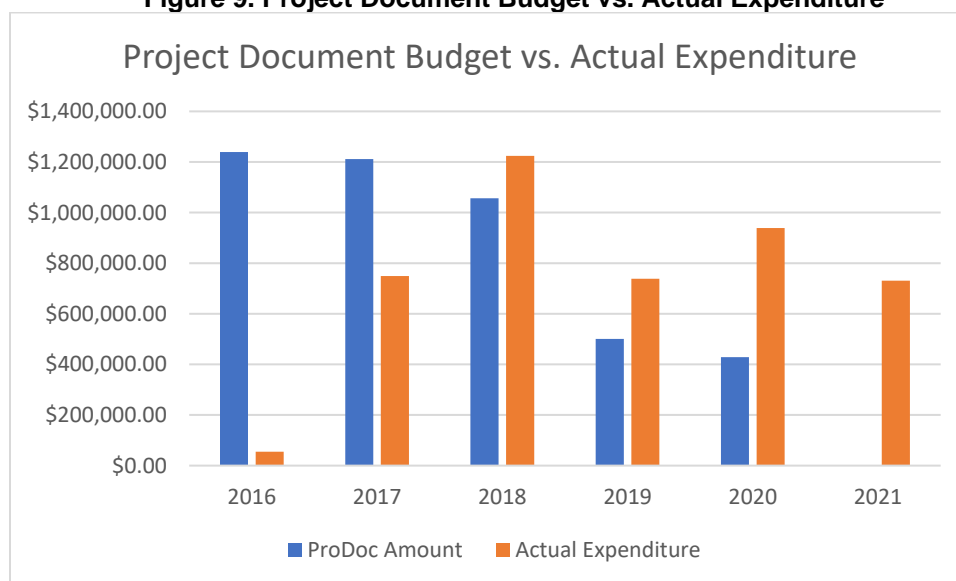
**Table 14: Total Disbursement and Expenditure by Component**

GEF Outcome/ Atlas Activity	Donor Name	Approved Total Budget and Workplan						AWPs						
		Amount Year 2016 (USD)	Amount Year 2017(USD)	Amount Year 2018 (USD)	Amount Year 2019 (USD)	Amount Year 2020 (USD)	Total (USD)	2016 Disbursemen t	2017 Disbursemen t	2018 Disbursemen t	2019 Disbursemen t	2020 Disbursement	2021 AWP	Total (USD) expenditure by end of project
Outcome 1	GEF	192,840.00	172,840.00	176,840.00	136,840.00	146,850.00	826,210.00	3,805.85	202,440.01	274,183.60	57,645.65	240,290.50	47,844.39	826,210.00
Outcome 2	GEF	183,320.00	175,320.00	213,520.00	194,320.00	133,520.00	900,000.00	24,319.32	114,722.75	375,250.64	160,242.03	61,693.43	163,771.83	900,000.00
Outcome 3	GEF	820,320.00	821,320.00	625,020.00	127,320.00	106,020.00	2,500,000.00	9,149.13	421,940.63	520,660.29	456,329.64	621,449.44	480,043.85	2,509,572.98
Management	GEF	43,003.00	42,000.00	40,997.00	42,000.00	42,000.00	210,000.00	0.00	32,482.29	51,509.72	61,265.37	25,128.08	39,150.92	209,536.38
Totals		1,239,483.00	1,211,480.00	1,056,377.00	500,480.00	428,390.00	4,436,210.00	54,731.51	749,169.80	1,224,137.81	738,371.42	938,988.47	730,810.99	4,436,210.00

**Figure 8. Cumulative Disbursement Reported at PIRs**



**Figure 9. Project Document Budget vs. Actual Expenditure**



### Co-Financing

170. Based on the new figures shared with the TE consultant team, it shows that total co-financing mobilized during implementation was US\$ 79,203,109.40 representing over 345% of the amount originally committed at CEO Endorsement. The co-financing figure also includes US\$ 200,026.42 mobilized by the UNDP China Country office representing a portion of a partnership with Dr. Plan Biotechnology Company formalized in May 2021. This 3-year partnership aims at developing voluntary group standards at the national level on the raw materials and production areas for cosmetic industry, supporting AI technology application on the environmental monitoring in Yunnan, and intensifying the community participatory biodiversity conservation model and ABS implementation at two demonstration sites in Xishuangbanna in Yunnan. This will enhance the continuity of ABS practice in the field, and leverage more active engagement of private sector in ABS implementation.
171. The TE consultant team was informed that co-financing by the National Government of China remained unchanged from the MTR and the increase represents the amount mobilized at the provincial level since. The TE consultant team would also like to acknowledge the exemplary and incremental manner in which co-financing was tracked and managed co-financing as inputs to the AWP. Additional details are provided in Table 15 below and in Annex H.

**Table 15: Summary of Co-Financing**

Table 15: Summary of Co-Financing								
Sources of Co-financing	Name of Co-financer	Description of Actual Co-Financing Contributed	Type of Co-financing	Amount Confirmed at Endorsement (USD)	Amount Contributed at Stage of Midterm Review (USD)	Percent (%) of Confirmed Amount (USD)	Amount Contributed at Stage of Terminal Evaluation (USD)	Percent (%) of Confirmed Amount (USD)
Implementing Agency	UNDP	N/A	Cash	\$0.00	\$0.00		200,026.42	
National Government of China	Ministry of Ecology and Environment	N/A	In-kind and Cash	15,136,000	70,656,184	466	70,656,184	466
Local Government of China	Provincial Government	Yunnan	In-kind and Cash	2,700,000	1,212,611	44.91	2,896,157	107
		Hunan	In-kind and Cash	2,400,000	1,568,310	65.34	2,814,035	117
		Guangxi	In-kind and Cash	2,700,000	1,154,371	42.75	2,636,707	98
		Total		7,800,000	3,935,292	50.45	8,346,899	107
Total Co-financing				22,936,000	74,591,476	325	79,203,109.40	345

### **Monitoring & Evaluation: design at entry, implementation, and overall assessment of M&E**

Monitoring & Evaluation overall rating:

**(5): SATISFACTORY**

### Evidence

- ✓ M&E plan in Project Document was comprehensive, satisfactory and followed to the letter
- ✓ PIRs were completed candidly and used constructively with appropriate use of evidence

- ✓ Reporting was comprehensive, timely and showed traceability and consistency between different reporting templates
- ✓ Proactive and consistent monitoring of the targets at both national and sub-national levels
- ✓ Strong examples of adaptive management with respect to revisiting indicators and targets throughout implementation and keen interest in ensuring the right data is collected
- ✗ Issues and risk management not done on quarterly basis per the Project Document but semi-annually via PPRs and annually in the PIR
- ✗ Some shortcomings with indicators against SMART criteria, most regarding specificity

**Monitoring & Evaluation design at entry overall rating:**

**(5): SATISFACTORY**

172. In general terms, the M&E workplan and budget were well-conceived and follows the general guidelines and procedures for GEF / UNDP projects. M&E design at entry includes the project Inception Workshop to be held within the first 2 months of project implementation, Quarterly Reports, Annual Project Review (APR) and Project Implementation Reports (PIR), Mid Term Evaluation, Final Evaluation, audits, and visits to field sites.

173. Part IV of the Project Document "Monitoring and Evaluation Plan and Budget" summarized in table 7 on pages 60-61 of the ProDoc outlines the standard M&E activities, based around the following:

- Inception workshop and report;
- Measurement of Means of Verification for Project Purpose Indicators;
- Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis);
- Annual reporting (ARR and PIR);
- Quarterly progress reports;
- Issues and risk logs;
- CDRs;
- ESSP review;
- MTR (independent);
- TE (independent);
- Project Terminal Report (prepared by the project team);
- Compilation of lessons learned;
- Relevant GEF Focal Area Tracking Tools and Scorecards;
- Audit.

174. From a design perspective, the results framework was large, with 18 indicators at the time of CEO endorsement, which remained consistent following the MTR with only minor revisions to the wording of indicators and targets for purposes of clarity.

175. With a substantial and overall healthy M&E budget of US\$ 120,000.00 (close to 3% of total GEF resources), managing the Strategic Results Framework was realistic at design and enabled the efficient planning and effective monitoring of results, as well as tracking progress towards the desired objectives. The TE consultant team notes that the budget for purposes of indicator verification is generally quite low under normal circumstances at only US\$ 15,000.00 for a 5-year project, especially considering the geographic scope of the demonstration sites involved. That said, many of the actual deliverables are paper based (i.e., agreements, contracts, regulations) and can in principle be validated remotely.

176. Finally, the ProDoc establishes that the Project would carry out an independent Midterm and Terminal Evaluation, in both cases relevant UNDP ABS Capacity Development Scorecard are to be completed prior to completion of the final evaluation.

**Monitoring & Evaluation at implementation rating:**

**(5): SATISFACTORY**

177. M&E implementation was led by designated M&E Officer, with support from the Project Manager and when necessary, the PMO. The Project also leveraged the provincial PMOs heavily, especially when travel was not permitted due to pandemic restrictions. It has been mentioned that project design underestimated the time and effort needed to comply with complex and time-consuming M&E-related tasks. According to the PMO, in general terms the M&E plan was adequately funded, allowing the Project to comply with most of the M&E Plan as stated in the Project Document.

*"EVEN THOUGH WE ONLY MEET THE NATIONAL PMO MAYBE ONCE PER YEAR, WE HAVE WEEKLY INTERACTIONS WITH THE PROJECT MANAGER ON A RANGE OF ISSUES, INCLUDING MONITORING. THE COMMUNICATION IS QUITE GOOD AND EFFECTIVE"*

**- INTERVIEWEE REFLECTION ON FREQUENCY OF MONITORING**

178. During the Inception Workshop and the subsequent report that followed there was evidence of a thorough review of the both the indicators and targets, together with the accompanying risks and assumptions. While these did not change, the Project did review each of the Outputs, with annotations and technical notes produced at the meetings, and the roadmap for delivery of each of the Outcomes and the information that needs to be collected for each. This was also anchored to an assessment of dependencies which is quite rare for GEF projects and is a hallmark of seasoned management and utilization of best practice.
179. Strong monitoring mechanisms at both inception and throughout implementation were used. The Project's implemented M&E systems were robust and standard, comprising of the inception report, regular Project Steering Committee meetings when needed, ongoing and frequent technical monitoring, PIRs, quarterly and APRs (subsequently replaced by PPRs), MTR, as well as terminal reporting and terminal evaluation. Additionally, increases in capacity were measured via capacity development scorecards at national and provincial levels. The TE consultant team also notes that the TWG functioned as it should and in accordance with the Project Document and chaired by the NPD.
180. Fine-tuning of the indicators and targets was undertaken following the MTR with all recommendations, aside from the dilution of the Outcome 1, adopted in full and endorsed by the PSC. Still, in spite of changes made to the SRF, several indicators under Component 3 were thought to be vague by both the PMO and TE consultant team alike, and were left open to interpretation and subjectivity. From this perspective the targets could and should have been made smarter and less open to subjectivity.
181. The TE consultant team finds that the Project architecture was robust and did function to give the team end targets and goals to work towards. Monitoring was put in place for all indicators and the information collected aligned to both the baseline and the corresponding targets. The Project followed the M&E plan well. It has also followed the different milestones and monitoring and evaluation tools established in the Project Document. In summary:

- The project inception workshop was held 17 June 2016 and a corresponding report was prepared;
- Quarterly progress reports were completed regularly until 2019, after which they were not prepared and superseded by the PPR;
- PIRs were completed according to schedule in 2017, 2018, 2019, 2020 and 2021. Reporting in these was realistic, and of very high quality with supporting evidence. They were used by the PMO, UNDP China Country Office and RTA to flag matters that needed attention and more so, there was actioning of these issues which was reported on by the Project Manager in the subsequent PIR. Financial reporting of GEF funds was provided in the PIRs, although there was no reporting of co-financing;
- Periodic visits were conducted regularly to the pilot sites until emergency COVID-19 restrictions were put in place after which the national PMO relied heavily on the three provincial PMOs;
- 1 tracking tool was used and prepared at CEO endorsement, at MTR and at completion by competent third-parties;
- An MTR was conducted, and some changes made, albeit quite late in the project cycle and therefore, somewhat limited in the extent to which it could influence the Project. There were several moderate shortcomings in M&E implementation and adaptive management;
- Reporting on attendance at some project activities included a breakdown of attendance by gender; however, there was little other assessment of the involvement of women and men in the SRF;
- The MTR for the Project was completed in December 2019. The Section (Adaptive Management) summarizes several of the MTR's recommendations;
- There was little formal monitoring of the environmental and social risks that were identified through the UNDP SESP but only because the Project was not required to;
- The PIR overall ratings were generally consistent with the MTR and TE findings;
- The COVID-19 pandemic changed the way the Project conducted its activities, reducing physical contacts and the way monitoring could be undertaken. The pandemic forced the Project to depend heavily on provincial and local PMOs. The PSC demonstrated leadership and support when needed, also enabled by competent oversight by both a PMO and TWG;
- The PSC was not involved in day-to-day M&E activities, although it did consider the MTR and endorse the MTR management response. It also provided the green light to revise a number of the proposed changes to indicators and targets which were not undertaken by the Project.

182. Although there has been a handover to a new Regional Technical Advisor who does not have the requisite institutional memory, the TE consultant team has found that the RTA provided backstopping support to the Project throughout, including detailed technical inputs on the inception report monitoring and strategies for implementation and monitoring of risk and PIR work. It is recommended that the new RTA visit key Project sites in the near future to engage with the teams in all pilots, to discuss and suggest spin-offs.

### ***UNDP implementation/oversight and Implementing Partner execution, overall project implementation/execution, coordination, and operational issues***

Overall Project Implementation / Execution rating:

**(6): HIGHLY SATISFACTORY**

#### **Evidence**



UNDP project supervision/oversight and support to the IP and the Project were exemplary,

- ✓ especially in the context of third-party oversight of negotiations under Outcome 3
- ✓ FECO enjoyed strong ownership and made substantial contributions to the institutionalization of results through Outcomes 1 and 2 of the Project
- ✓ Strong management arrangements and capacity increased overall implementation effectiveness. The Project recognized the need to double-down on capacity building post MTR
- ✓ Effective work planning
- ✓ Co-financing tracked well by the IP and managed incrementally
- ✗ Exit / transition planning still in progress and occurring late in the Project's lifecycle

#### UNDP Implementation/Oversight rating:

**(6): HIGHLY SATISFACTORY**

183. The TE consultant team notes that UNDP played a leading role as implementing agency throughout the project lifecycle. According to interviewees, UNDP has provided solid and quality support since the Project was first conceived at ideation, incubating it throughout the preparation phase of the project proposal, following up on its project, and later accompanying on the start-up, oversight, and implementation supervision.
184. Day-to-day operational oversight was ensured by UNDP through the UNDP Country Office in Beijing. The strategic oversight was input into the inception report and project document by the RTA in Bangkok. The RTA is there to ensure that the Project practices due diligence with regard to UNDP's Environmental and Social Screening Procedure.
185. The UNDP Country Office (according to the Project Document) is responsible for (i) providing financial and audit services to the Project; (ii) overseeing financial expenditures against project budgets approved by MEE; (iii) appointment of independent financial auditors and evaluators and (iv) ensuring that all activities, including procurement and financial services, are carried out in strict compliance with UNDP/GEF procedures.
186. In addition to management and oversight, UNDP has responsibility for technical oversight and human resources management. Given ABS issues are particularly new to the country and a challenging new technical area, hiring and recruitment was an important consideration for results and a responsibility that UNDP has taken seriously.
187. In general terms, testimonies during the TE consultations consider UNDP provided quality support to the implementing partner and to the PMO. Despite being a NIM Project, in practice, UNDP played an enhanced role in supporting in-country implementation, technical monitoring and providing training where needed. Interviews confirm that UNDP played an active role in coordinating with other projects, its portfolio approach maintains coherence and consistency with national policies as well as synchronize with the emerging trends and priorities from the UN Conventions, in this case particularly keen on the Nagoya Protocol. UNDP's staff participated in different seminars, meetings, and events organized by the Project; its added value

*"UNDP SETS THE BAR HIGH IN TERMS OF OVERSIGHT AND SUPPORT. COMMUNICATION BETWEEN FECO AND UNDP HAS ALWAYS BEEN SMOOTH BASED ON PREVIOUS SOUND EXPERIENCE"*

*"A KEY ROLE PERFORMED BY UNDP WAS ENSURING THAT CONTRACTS NEGOTIATED BETWEEN COMMUNITIES AND ENTERPRISE WERE FACILITATED AND OVERSEEN BY COMPETENT THIRD PARTIES AND AT TIMES THEMSELVES. THIS HAS BEEN INSTRUMENTAL IN ENSURING A FAIR DEAL AND THAT BENEFITS WILL ACCRUE TO MINORITY ETHNIC GROUPS"*

**- INTERVIEWEE REFLECTION ON UNDP'S OVERSIGHT ROLE**



was acknowledged through the holistic approach that integrates a wide range of different development challenges. FECO also recognizes the support received from UNDP to comply with the GEF operational and administrative standards, demonstrating flexibility and responsiveness, as well as helping it to effectively navigate compliance with GEF requirements.

188. It was also mentioned during the TE consultations that there were occasional challenges in harmonizing the views of UNDP and the government entities about the planning and revision of documents and that the PMOs (both national and provincial) did important work to meet the goals of the Project, bringing together both perspectives.

189. Annual reporting via the PIRs and PPRs was realistic and used as a tool for identifying emerging issues and implementing adaptive management; as identified previously, follow-up on matters raised through the PIRs was consistent and of a high technical quality. UNDP provided consistent delivery support and leadership (see comments made in the 2021 PIR inset) throughout the Project and has emphasized a results-based focus; evident in the progress made and reporting on the indicators and exemplary reporting. It facilitated the translation of the ProDoc vision into implementation and was responsive to significant implementation problems and implemented appropriate adaptive management responses. The quality of reporting and the backing up of statements with evidence was notably exemplary, and risk management was appropriate throughout the Project, but not as frequent as noted in the Project Document. Some challenges were reported by partners in working with UNDP administrative and financial rules and procedures.



*“UNDP CO APPRECIATE ALL THE PARTNERS’ EFFORTS IN 2021 DESPITE COVID-19 RESTRICTIONS CONTINUING FROM TIME TO TIME. LOOK FORWARD TO A WELL IMPLEMENTED ABS PROJECT IN CHINA ON COP 15 AND A SUCCESSFUL PROJECT CLOSURE. THIS SHOULD BE ONE OF THE BEST ABS PROJECT’S IN THE WORLD”*

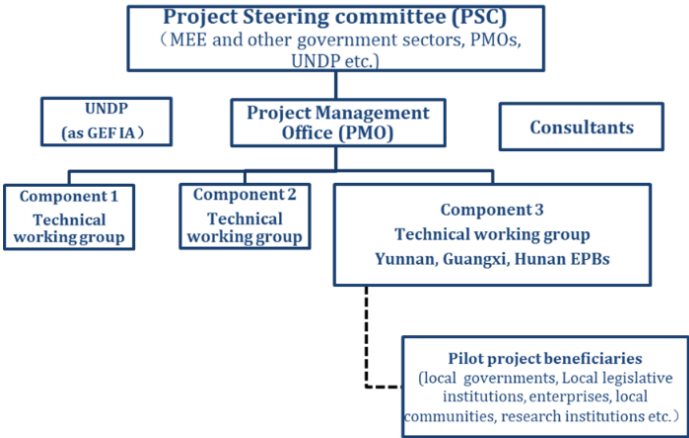
- STATEMENT BY THE UNDP CO IN THE 2021 PIR

Implementing Partner execution rating:

(6): HIGHLY SATISFACTORY

190. The structure of the Project’s management and oversight arrangements is shown in the organogram below from Section IV, Part II of the Project Document (page 82). The Project is implemented under the UNDP NIM, which means that the national execution of the Project was led by MEE, however overall oversight rested with the PSC.

Figure 10. Overall Project Organizational Chart





191. Oversight of project activities has been the responsibility of the PSC, with MEE responsible for overall Project execution and for timely and verifiable attainment of project objectives and outcomes, as well as reporting back to the PSC. MEE has provided effective support to and inputs for the implementation of all project activities, recruitment of project staff, and contracting of consultants and service providers with advice from and involvement of the UNDP, whereas international procurement is handled by the UNDP upon request of the MEE. A Deputy Director General of FECO is serving as the Project's NPD (seconded to the Project in-kind) who has been responsible for providing government oversight and guidance towards Project implementation. The arrangements have all been consistent with the vision of the Project Document and have worked well, following some early "growing pains" and issues involving a re-recruitment of a CTA following the MTR.
192. Interviews confirmed that MEE - FECO provided the necessary vision, technical leadership and support for the implementation of the Project, providing appropriate focus on results and timelines, as well as delivery of high-quality outputs. The manner in which it managed and exceeded co-financing by nearly 345% is testament to the inputs and quality outputs delivered.
193. In the final 3 years of operations, the Project benefited from an experienced PMO, formed by authorities and technical staff from FECO and an externally-recruited PM. FECO's previous experience with GEF funded projects, facilitated an adequate risk management as well as the appropriate use of funds and the capacity to procure goods and services. Significant executing partners include Yunnan EPB, Guangxi EPB and Hunan EPB, each of which implemented pilot demonstrations within their respective provinces and received sub-grants (see Table 13 for explicit amounts) and guidance from the PMO at MEE for this purpose. Collectively, the Project undertook a tremendous amount of communications work with a broad range of stakeholders and played a bridge from a communication perspective when needed.
194. While there is always room for improvement and any project should strive to do better, it has been uncharacteristically difficult for the TE consultant team to identify major deficiencies in the UNDP-GEF ABS project and specifically with the overall IA and IP execution, largely due to its solid strategy, seasoned management, and cadre of mature, committed, and ambitious partners. The continuity of PMO staff in the two years preceding the TE contributed to smooth Project operations, stability and laser focus on value added outputs which would contribute most to the Development Objective.
195. On the other hand, some interviewees did mention setbacks and break in continuity, as well as a period without a CTA and turnover of NPDs due to internal FECO reassignment protocol, that disrupted momentum and shifted focus away from delivery. However, these setbacks were not considerable and ones which the Project could not recover from.

<b>Table 16: Evolution of the PMO</b>	
<b>Position</b>	<b>Staff Name</b>
<b>PMO Staff (May.2016-Feb. 2017)</b>	
Chief Technical Advisor (CTA)	XUE Dayuan
Project Manager	Lu Yiqing
Project Assistant	GAO Lei
Project Monitoring and Evaluation Specialist	ZHAO Yang
Communications Consultant	WANG Ying
Project Financial Advisor	ZOU Yueyu
<b>PMO Staff (Feb. 2017 to mid-2019)</b>	
Project Manager	ZOU Yueyu

<b>Table 16: Evolution of the PMO</b>	
<b>Position</b>	<b>Staff Name</b>
Project Assistant	FU Yulin
Project Monitoring and Evaluation Specialist	Wang Ye
Communications Consultant	WANG Ying
Project Financial Specialist	Gao Lei
<b>PMO Staff (mid-2019 to Present)</b>	<b>Staff Name</b>
Chief Technical Advisor (CTA) and Member of the ABS legislative experts group ABS	ZHAO Fuwei
Project Manager (until 31 December 2021)	LI Xiaolan
Project Manager (1 Jan - 31 March 2022)	Aihua Wang
Project Monitoring and Evaluation Specialist	ZHAO Yang

### ***Risk Management, including Social and Environmental Standards (Safeguards)***

196. Risks identified during project design were adequate to set a mitigation baseline and to further describe the project context and the challenges ahead, however, they were described vaguely and very limited detail was provided to characterize their potential impact to project implementation. The same holds true for the risks identified in the SRF.

197. Happily, the originally risks systematically analyzed during implementations and the corresponding mitigations were updated as part of the PPRs and were much more pragmatic with linkages to operational realities. Also, the ratings were re-assessed and augmented to include the likelihood of the risks materializing. Table 18 below identifies the main risks tracked by the Project with the TE consultant team’s assessment on each.

198. No critical risks were reported in the PIRs and the Project’s overall risk profile was rated “Low” throughout.

<b>Table 17: Mention of Risks in Annual PIRs</b>	
<b>PIR</b>	<b>Critical Risks</b>
2017	No critical risks have been identified for this project, and general risks are recorded in ATLAS and regularly monitored and updated. The project has employed adaptive management to improve project implementation by streamlining reporting procedures and strengthening communication within the PMO and implementing partners.
2018	The Project has no critical risks. Risk management is adequate and general risks are captured in project reporting and recorded in ATLAS.
2019	No critical risks
2020	No critical risks
2021	No critical risks - overall risk rating “Low”

<b>Table 18: Social and Environmental Standards</b>		
<b>Risks</b>	<b>Measures</b>	<b>TE Comments</b>
Controversy or other factors might delay or prevent China’s accession to the NP, which could in turn delay	<ul style="list-style-type: none"> <li>MEP (with support from the Project) will conduct seminars targeting legislators to garner their support for accession and the adoption of the new ABS regulatory framework.</li> <li>The Project will prepare and present background and other substantive</li> </ul>	This measure was appropriate. PSC involved relevant ministries and sectors to participate the discussion on legislation framework design and some part of implementation, which increased common understanding among different administration on ABS, and made good

**Table 18: Social and Environmental Standards**

<b>Risks</b>	<b>Measures</b>	<b>TE Comments</b>
legislative development.	information to contribute to accession issues.	progress on legislation framework of ABS to be established under this project.
Ministries and government agencies potentially affected by/involved in ABS unable to agree on coordinate of relevant activities and mandates (key prerequisite to legislation)	<ul style="list-style-type: none"> <li>A thorough situation analysis will be conducted to mitigate this risk; and the Project will sponsor facilitated meetings to address the coordination challenge early in the Project.</li> </ul>	PMO facilitated relevant ministries to provide suggestions during the implementation of this project by virtual or practical meetings. Most of ministries gave positive feedback and support the activities and their outputs of this project.
The Pilot/demos could be negatively impacted if targeted commercial users determine that they should not participate in the pilots.	<ul style="list-style-type: none"> <li>The project design includes commercial-style feasibility studies in each of the demo areas, which may facilitate either (1) provision of additional information targeted users, to motivate their participation; or (2) identification of other potential pilot-users.</li> <li>The Project will conduct extensive consultation and advocacy campaigns targeting commercial stakeholders to stimulate awareness and interest, starting with the pilot areas.</li> </ul>	Most of pilot/demos have been identified and selected according to their previous relevant experience and good basis for cooperation with local communities, which ensured proper interested stakeholders on participation to this project, and local government also provided encouraging measures to mobilize more stakeholders to be involved into the activities.
Commercial confidentiality restrictions may limit information sharing on development process	<ul style="list-style-type: none"> <li>The Project situation analysis relating to ABS legislative development will investigate commercial confidentiality issues and identify options and best methods encouraging information-sharing, and addressing/resolving situations in which information-sharing is forestalled by confidentiality concerns.</li> </ul>	Through reviewing all agreements that have been signed in this project, all of agreements have included clear articles on commercial confidentiality restrictions, which have adhered to national and sub-national regulation. The boundary of information-sharing has been confirmed by both sides.
Biopiracy risks increase as specific data (ATK, genetic code, etc.) is transferred and committed to writing.	<ul style="list-style-type: none"> <li>The above-mentioned situation analysis will include an analysis of the effect of the existence of such databases on the risk of biopiracy and information on the most effective measures that can be taken to protect against these risks in both existing data collections and those that are planned or possible.</li> </ul>	Some measures related to this risk have been mentioned, such as intellectual property protection. However, it is very rough and does not satisfy to the demands of local development on ABS and relevant economy products, particularly herbal medicines.
Delay in the complex, time-consuming Chinese legislative process may affect timely	<ul style="list-style-type: none"> <li>Legislative work needed to support/authorise the demonstration/pilot processes will take place at the regional/provincial level and autonomous prefectures, which</li> </ul>	Through good communication with local government and administration, the process of legislation framework establishment on pilot/demos was quite sound. High enthusiasm of relevant

**Table 18: Social and Environmental Standards**

Risks	Measures	TE Comments
commencement or completion of other aspects of the Project.	<p>have authority to legislate, even before China has acceded to the NP or has an established, in the absence of accession, national framework or policy.</p> <ul style="list-style-type: none"> <li>To the extent possible, the Project will be designed so that national level legislation delays will not delay the pilot and other components.</li> </ul>	governments has been stirred up by training, workshops and other meaningful activities.
MEP and pilot province staff may not have the benefit of a policy and regulatory environment that gives them adequate opportunity and authority to engage productively in ABS framework development and oversight. Delay in the complex, time-consuming Chinese legislative process may affect timely commencement or completion of other aspects of the Project.	<ul style="list-style-type: none"> <li>Component 1 and Output 3.2 are intended to ensure that those performing the Project are legally and politically supported and mandated to undertake this work. Legislative work needed to support/authorise the demonstration/pilot processes will take place at the regional/provincial level and autonomous prefectures, which have authority to legislate, even before China has acceded to the NP or has an established in the absence of accession, national framework or policy.</li> <li>To the extent possible, the Project will be designed so that national level legislation delays will not delay the pilot and other components.</li> </ul>	Through transferring the target from national level to provincial level after Mid-term evaluation for this project, this risk has been resolved.
MEP and pilot province staff may not have the benefit of a policy and regulatory environment that gives them adequate opportunity and authority to engage productively in ABS framework development and oversight.	<ul style="list-style-type: none"> <li>Component 1 and Output 3.2 are intended to ensure that those performing the Project are legally and politically supported and mandated to undertake this work.</li> </ul>	According to the training to the administrators implemented by this project, most of pilot province staff realized the benefits of ABS to local social, environment and economy development, which also expanded their thoughts on their regular work, based on relevant outputs, which is more helpful to their capacities.
Climate change is having a negative impact on genetic resources, with	<ul style="list-style-type: none"> <li>Component 1 is designed both to ensure that national ABS legislation covers all relevant activities, and that it supports and integrates with national</li> </ul>	Risk mitigation negligible.

**Table 18: Social and Environmental Standards**

Risks	Measures	TE Comments
potential implications for ABS	policies and other legislative frameworks, including those relevant to climate change. As such any opportunity for the national ABS law to promote climate-protection measures will be investigated through the legislative analysis and addressed in the comprehensive drafting processes.	
Risk associated with effective involvement of local populations such as producers	<ul style="list-style-type: none"> <li>Regarding the challenges of effective engagement of producers and other local populations, the project design focuses significantly on this relationship, with particular attention to the difference in the needs and expectations of the individuals and communities granting access to genetic resources from those of the rural farmers multiplying and cultivating or propagating the targeted species.</li> </ul>	Regular tracking work with local communities on evaluating the progress of each activity has contributed to and facilitated to the reduction of this risk.

## C. Project Results

### *Progress towards objective and expected outcomes*

199. Evaluation of the achievements of results in terms of attainment of the overall objective as well as identification of Project's outcomes and outputs in line with UNDP / GEF TE guidelines were the two main areas the TE consultant team focused on. For this, the performance by the outcome is analyzed by looking at three main aspects as identified by the UNDP/GEF evaluation guide: (i) general progress towards the established baseline level of the indicators; (ii) actual values of indicators by the end of the Project vs. designed ones; and (iii) evidence of relevance, effectiveness, and efficiency of the results as well as how this evidence was documented.<sup>10</sup>

200. Below is the rating for the achievement of the project objective and three outcomes, with an accompanying evaluation and commentary preceding each table - where appropriate - of the achievement against each associated target in the Strategic Results Framework (**Met**, **Partially Met** or **Not Met**).

#### Overall Objective

#### **Achievement Against the Overall Objective rating:**

**(5): SATISFACTORY**

201. The summary of the evaluation of the attainment of the objective of the Project is presented in Table 19. The assessment of progress was done based on observations, findings, data collection and interviews with key stakeholders, data provided in the Project's reports, and technical reports reviewed.

202. The TE consultant team believes it was a bold decision from a design perspective to assume there would be sufficient time to realize the Development Objective. Ensuring there would be a legislative and regulatory framework in place at both the national and sub-national level - and the complex conversations and dependencies between these two levels - would have been a tall order and quite an achievement in itself. The design went one step further in its ambition to implement the framework.

203. The Development Objective is comprised of a total of 4 indicators, in which 2 indicators were met in full and the remaining 2 partially, but remain on track given the vision and leadership of the IP. While strong, implementation has not been consistent across all areas with gaps registered in certain areas with respect to implementation of legislation at different levels; albeit this is more attributed to design and not the Project's delivery per se. Given this is the very first ABS project for the country with no

---

<sup>10</sup> TE [guidelines](#), pp 51-52.



established benchmarks and the greenfield nature of many of the discussions that transpired, this achievement is certainly something to be proud of.

204. The Ministry of Ecology and Environment, the National Focal Point (NFP) for the Nagoya Protocol and the national executing agency for the Project interpreted ABS obligations well and socialized two versions of the draft Regulation on Management of ABS for comments in 2017 and 2019 respectively. This was the first attempt to frame the mechanisms and institutions of ABS legislation on the national level in China. It is regrettable that the Project could not witness the official establishment of the ABS national regulation given all the work that has gone into it, but the deliverables of the ABS project have been contributing to the national regulatory and institutional framework on ABS and there is a clear long-term vision and roadmap taking shape.

205. At the subnational level, the following advances were made with respect to the development and implementation of an ABS framework:

- Provincial Regulations on Biodiversity Conservation were officially put into effect for Yunnan on 01 January 2019 and were the first local regulations on biodiversity conservation in China, as well as the first to establish specific statutes on sharing of benefits. They also formed the basis and a model for Xishuangbanna to formulate its local ABS measures;
- Weighing legislative challenges and costs, Xishuangbanna opted for the development of local ABS administrative measures and in June 2021, temporary Measures on Access and Benefit Sharing of Genetic Resources were passed by the People's Government of Xishuangbanna Prefecture Standing Committee. These will be officially published following operational closure;
- In Hunnan Province, Xiangxi Tujia and Miao Autonomous Prefecture Regulations on Biodiversity Conservation were enacted on 1 October 2020, establishing principles on systems for the access and benefit sharing of genetic resources designed to guide specific requirements for the activities and management of ABS;
- In Guangxi, the Department of Ecology and Environment of Guangxi released Guangxi Zhuang Autonomous Region Temporary Measures on ABS and related Traditional Knowledge of Genetic Resource on 24 September 2021 and will be revised based on lessons and documents released by the central government. The plan is to publish the amended Measures in the next three to five years.

*"FOR THE LEGISLATION AND LAWS AT EACH OF THE PILOTS, THESE WERE MAINLY PUT FORWARD AT THE CITY LEVEL, WHICH WAS FACILITATED BY PROVINCIAL LEVEL"*

*"THE PROCEDURES AND STRATEGY FOR PURSUING REGULATIONS WAS DIFFERENT BETWEEN TWO PMOS. SINCE THE CITY PMO IS PART OF PROVINCIAL PMO, THEREFORE NO DIFFICULTIES WERE INCURRED"*

**- PERCEPTIONS BY PROVINCIAL PMOS**



Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 93

Indicator Met		Indicator Partially Met		Indicator Not Met
Table 19: Progress Towards Objective				
Objective: To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)				
Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
Accession to the Nagoya Protocol	China has not acceded to the Protocol	Accession to the Nagoya Protocol	Achieved on September 6, 2016	<b>MET:</b> <ul style="list-style-type: none"><li>China became a Party of Nagoya Protocol in September 2016 when it entered into force;</li><li>This is only one pillar of the objective which can only be achieved through operationalization of the ABS framework developed nationally.</li></ul> <b>Continuing concerns and risks:</b> None foreseen however the Project is encouraged to upload documentation to the CBD's ABS Clearing-House Mechanism (CHM) and not just the national CHM that was purpose-build for the Project.
Status of adoption and/or implementation of the National ABS Framework at national level	No framework, in place. Some individual laws identify specific types of GR in ways that could be coordinated with, or integrated into, a national ABS framework.	National ABS regulatory framework in compliance with the Nagoya Protocol established and operational at a national level, according to national constitutional and administrative circumstance, enhancement of implementing mechanisms and institutions authorized under such legislation, appointing and properly training and authorizing personnel to those institutions and mechanisms and whatever other actions or processes are legally required to establish and operationalize national legislative frameworks in China.	The Project has been supporting the enhancement of implementing mechanisms and institutions required to establish and operationalize national legislative frameworks in China.  In 2017, the Ministry of Ecology and Environment (MEE) canvassed the first version of draft Regulation on Management of ABS for comments. The Project contributed to the process of formulation and giving comments as feedback.	<b>PARTIALLY MET:</b> <ul style="list-style-type: none"><li>As a cornerstone to the ABS regulatory framework, the draft national ABS regulatory guidance has gone through public and trans-ministry consultation and there has been supporting research submitted to the legislative expert team responsible for drafting ABS regulations to surface and build consensus around some of the contentious and trickier elements of the</li></ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 94

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
			<p><a href="http://www.mee.gov.cn/ywgz/zrs/bh/swdyxbh/201703/t20170323_408704.shtml">http://www.mee.gov.cn/ywgz/zrs/bh/swdyxbh/201703/t20170323_408704.shtml</a>.</p> <p>In 2019, MEE launched the consultation process of the Administrative Rules for Utilization and Benefit-sharing of Genetic Resources and the three pilots gave feedback based on their practices. At the end of 2019, MEE suspended the process since they decided to prioritize the legislation of the ABS Regulation.</p> <p>In 2020, the ABS project supported a series of research, including Legitimacy and Compliance of Foreign Affairs related ABS Management, Traditional Knowledge Collective Management, and ABS Information Sharing Mechanism etc., to figure out controversies over some points of the ABS regulation. All the research reports were submitted to the legislative expert team responsible for drafting ABS regulations.</p>	<p>ABS framework;</p> <ul style="list-style-type: none"> <li>The central government released biodiversity conservation and ABS related documents in 2021 and there is a clear pathway for developing the ABS framework in China. The key documents are as follows: <ul style="list-style-type: none"> <li>The <a href="#">Opinions on Further Strengthening Biodiversity Protection</a>, newly issued by the Communist Party of China Central Committee and the State Council in October 2021, clearly set the timeline for an ABS regulation, noting that China will establish and improve the regulatory system on ABS by 2035;</li> <li>The <a href="#">Outline for Building China an Intellectual Property Power (2021-2035)</a>, also jointly issued by the Central Committee of the Communist Party of China (CPC) and the State Council, revealed that China would speed up legislation on intellectual property rights in new fields and new formats such</li> </ul> </li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 95

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
				<p>as big data, artificial intelligence, and genetic technology;</p> <ul style="list-style-type: none"> <li>○ The Biosecurity Law of the People's Republic of China came into force on April 15, 2021.</li> <li>• Some basic concepts and knowledge have been accepted and adopted in several sectors, particularly in traditional medicine;</li> <li>• An initial framework has been established at national level from a theoretical perspective. However, due to insufficient experience on ABS practices to illustrate more details in China, there are many ambiguous areas needed to be clarified for implementation of the framework, for example, the ownership of the genetic resources and formulation of sustainable modality for different stakeholders at national and sub-national level.</li> </ul> <p><b>Continuing concerns and risks:</b> Current gaps address the need for implementation as noted by the Development Objective.</p>

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 96

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
Status of adoption and/or implementation of the National ABS Framework at sub-national levels	No framework in place and no pilots implemented to date.	National ABS regulatory framework implementing legislations or other measures established and operational in three pilot province/regions and, as appropriate, sub-provincial jurisdictions participating in the pilots, and guidance provided to other provinces and regions regarding establishment and implementation of frameworks to implement the national framework	<p>On track</p> <p>Conservation of Xiangxi Tujia &amp; Miao Autonomous Prefecture went into force on October 1, 2020. ABS related terms and provisions are embedded in this regulation.  <a href="http://www.hnxxrd.gov.cn/zxtlhdxtl/202008/t20200824_1726290.html">http://www.hnxxrd.gov.cn/zxtlhdxtl/202008/t20200824_1726290.html</a>.</p> <p>In Yunnan pilot, the provincial Regulation on Biodiversity Conservation, which involves the terms and provisions of ABS, entered into force in January 2019.  <a href="http://www.scio.gov.cn/xwfbh/gsxwfbh/xwfbh/yunnan/Document/1639547/1639547.htm">http://www.scio.gov.cn/xwfbh/gsxwfbh/xwfbh/yunnan/Document/1639547/1639547.htm</a>.</p> <p>On June 22, 2021, the Xishuangbanna Dai Autonomous Prefecture Administrative Measures for ABS was approved by the Autonomous government which will officially publish the measures soon.  <a href="https://www.xsbn.gov.cn/143.news.detail.dhtml?news_id=82853">https://www.xsbn.gov.cn/143.news.detail.dhtml?news_id=82853</a>.</p> <p>The Administrative Measures for Dai Traditional Medicine, which involves ABS terms and provisions, has been drafted and will be submitted for authorities' review following routine procedure.</p>	<p><b>PARTIALLY MET:</b></p> <ul style="list-style-type: none"> <li>As a result of dependencies with the national framework and need for the sub-national framework to be undertaken in lockstep, the TE consultant team believes achievement of this indicator - while certainly on the right footing has not fully met criteria for being considered implemented;</li> <li>Concerns raised in the 2021 PIR regarding the approval of Guangxi Administrative measures have been all been but alleviated, as the Department of Ecology and Environment of Guangxi released Guangxi Zhuang Autonomous Region Temporary Measures on ABS and related Traditional Knowledge of Genetic Resource on 24 September 2021. These temporary measures will be revised based on lessons and documents released by the central government. The plan is to publish the amended Measures in the next three to five years;</li> <li>Good practices played in the three pilots under the ABS project, including the formulation of legislation,</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
			In Guangxi Pilot, the PMO submitted an updated version of Guangxi Administrative Measures for ABS on May 14, 2021. Whether it can be approved within the Project period is uncertain.	<p>training for different objectives and exploration for potential modalities for the cooperation between local communities and enterprises;</p> <ul style="list-style-type: none"> <li>Many key stakeholders were involved in real “hard / tangible” activities, including local governments, medicine enterprises, local communities and villagers, farmers, and women.</li> </ul> <p><b>Continuing concerns and risks:</b> While the above are all valuable experiences at the sub-national levels to implement ABS after the Project closure, the financial sustainability has not been arranged clearly so far; it might be difficult from a continuity / sustainability perspective of ABS in China, particular in the sub-national level.</p>
Biodiversity conserved by the pilots Incentives for biodiversity conservation	Limited areas / efforts devoted to conservation of target species	<p><b>New:</b> 100% of dendrobe habitat conserved within PA system in pilot area. <b>(Original:</b> Protected areas established for wild dendrobe habitat covering 300 ha).</p> <p>Protected areas established covering 2,000 ha in areas where species (over 1,000 of which are threatened) used in Dai traditional medicine are concentrated.</p>	<p>Achieved</p> <p><b>Yunnan</b> 100% of Dendrobe habitat and original habitat for Dai traditional medicine has been included into the Ecological Red-line Area and Xishuangbanna National Nature Reserve, which means they are strictly protected.</p>	<p><b>MET:</b></p> <ul style="list-style-type: none"> <li>Conservation objectives realized through China's ecological Red-line initiative;</li> <li>Through desk review and stakeholder interviews the TE consultant team has validated the end-of-project metrics to be consistent with reporting;</li> <li>Most of the pilots have</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 98

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
		<p>Conservation of original stocks of indigenous black pigs (up to 1,000 individuals).</p> <p>Village conservation agreements covering varieties of Huangjin and Guzhang teas.</p>	<p>The field survey for monitoring living conditions of Dai traditional medicine and Dendrobe is completed. According to the field survey report, 1098 species of Dai Medicine plant are distributing within the Xishuangbanna National Nature Reserve. The local PMO reached a conservation agreement with the conservation center of the Bureau of the Nature Reserve, which has been and will continue to carry out the conservation works for Dai medicine. Within the nature reserve, which covers 36,000 ha area in total, the habitat of Dai Medicine is over 2000 ha.</p> <p>The field survey for monitoring living conditions of Dai traditional medicine and Dendrobe habitat is completed. In addition to it, a two-hectare area, previously covered by rubber trees, was replaced with 2,700 native trees, including Dai traditional medicine species. An ex situ protected garden was founded in a Buddhist temple of the village and it has planted and conserved 148 species of rare and endangered rainforest plants.</p> <p><b>Hunan</b> The old tea trees of Huangjin and Guzhang have been protected well by approximate 20 private-owned tea gardens.</p>	<p>established clear regulations on biodiversity conservations, such as Xiangxi Tujia and Miao Autonomous Prefecture;</p> <ul style="list-style-type: none"> <li>Other pilots made efforts on clear definition formulation and mechanism establishment on ABS, such as the department of ecology and environment of Guangxi province;</li> <li>Traditional plant species and animals have been protected and considered for broader uses by using innovative technologies.</li> </ul> <p><b>Continuing concerns and risks:</b> Protection under ABS should not equate to protectionism and intellectual property benefiting the few.</p>

**Table 19: Progress Towards Objective**

**Objective:** To develop and implement China's national framework on access to and benefit sharing (ABS) of genetic resources and associated traditional knowledge in accordance with provisions of the Convention on Biological Diversity (CBD) and the Nagoya Protocol (NP)

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
			More than 1000 individuals of original stocks of indigenous black pigs have been cultivating.	

### Outcome 1

#### Achievement Against the Outcome 1 rating:

**HIGHLY SATISFACTORY**

206. Outcome 1 supported the full stocktaking of relevant national legal and administrative measures related to ABS and supported the establishment of a sound regulatory and institutional framework necessary to support the successful implementation of the Nagoya Protocol in China. These were supported by solid research and due diligence on technical issues to facilitate the alignment of the regulatory operation environment between national and sub-national level. In particular, this outcome supported the development of supporting guidelines and codes of conduct for access and benefit sharing nationally.
207. The Project supported a number of activities aimed at institutionalizing permits, access, benefit sharing, contract negotiation, compliance and monitoring of ABS-related issues. The Project also undertook activities to develop tool-kits, manuals, circulars, guidelines and other instruments for facilitating the establishment of the ABS permitting system.
208. The Project provided support to concrete mechanisms to increase coordination and exchange of information among the different national competent authorities, facilitating the establishment of networks and communities using a purpose-build national CHM.
209. Research on different elements necessary for a national ABS framework have been being carried out and most have been finalized in 2021. The development of instruments, incentives and guidance that are important for a comprehensive national ABS framework is also on track for completion by operational closure. The summary of the evaluation of the attainment of Outcome 1 is presented in Table 20.



Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 100

Indicator Met		Indicator Partially Met		Indicator Not Met
Table 20: Progress Towards Outcome 1				
Outcome 1: Establishment of the National Regulatory and Institutional Framework on ABS				
Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
Elements (policy, legislation, guidance) of a national framework	No elements necessary for creation of a primary ABS Framework in place, although, as noted above, some legal provisions addressing GR or ATK exist in other legislation.	<p><b>New:</b> Contribute to the national framework instruments (policy, legislation, guidance, as and if determined to be needed) coordinating with existing legal provisions addressing GR and ATK.</p> <p><b>(Original:</b> National framework instruments (policy, legislation, guidance, as and if determined to be needed) are adopted and coordinated with existing legal provisions addressing GR and ATK).</p>	<p>On track</p> <p>The Project has contributed to the national framework instruments by implementing a series of research reports.</p> <p>Completed research/reports on:</p> <ol style="list-style-type: none"><li>1. National Access and Benefit Sharing (ABS) Guidelines and Issues</li><li>2. Analysis on Japanese and Korean legislation</li><li>3. The study on the development tendency of Biotechnology about Nagoya Protocol</li><li>4. The study on the prospect and countermeasures of the legislation about GR management in China</li><li>5. ABS Gender Studies</li><li>6. Research on Public Financial Mechanism for ABS in China</li><li>7. Management Framework for traditional knowledge related to Genetic Resources</li><li>8. The study on the terms of digital sequence information of genetic resources</li><li>9. The status and trend analysis of the utilization of digital sequence information of genetic resources in China</li><li>10. The study on the outflow and introduction status of microbial genetic resources</li><li>11. Study on important issues and countermeasures of</li></ol>	<p><b>MET:</b></p> <ul style="list-style-type: none"><li>• The TE consultant team found that good progress has been made and that a solid contribution towards the outcome has been achieved through implementation on this indicator;</li><li>• New concepts and knowledge on ABS were introduced to relevant domestic audiences through a range of technical assessment reports, to disseminate fundamental terms and key roles of ABS, which provided a concrete basis for national framework instruments. These were based on a full and exhaustive jurisdictional analysis in a report called "National ABS Guidelines and Issues" framing the approach taken by other countries;</li><li>• The TE consultant team undertook a due diligence analysis of the following technical reports and found them to be comprehensive, of high-technical quality and raising key issues for resolution with appropriate models, technical guidance and recommendations therein</li></ul>

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

**Table 20: Progress Towards Outcome 1**

**Outcome 1: Establishment of the National Regulatory and Institutional Framework on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
			<p>microbial genetic resources access and benefit sharing</p> <p>12. Research on the applicability of China ABS Regulatory Framework</p> <p>13. Research on Legitimacy and Compliance of Foreign Affairs related ABS Management.</p> <p>One ongoing research:</p> <p>14. The Research on Genetic Resource Related to Traditional Knowledge Collective Management System is ongoing and the contractors will submit the final reports by July 2021.</p>	<p>for each: (i) Gender Analysis Report; (ii) Research report on the fiscal and taxation mechanism of national biological genetic resources benefit sharing; (iii) Research Report on the Applicability of China's Genetic Resources Access and Benefit Sharing Laws and Regulations; and (iv) Research report on the information sharing system for the access and benefit sharing of biological genetic resources.</p>
Incentive programs and codes of conduct for major commercial sectors	No such documents (formal or informal) in place for any sector.	Programs providing incentives for user participation in ABS and codes of conduct for ABS compliance, collaboratively developed with and implemented through at least three major commercial sectors (e.g., from among the following: forests, marine, agriculture, traditional medicine, cosmetics, pharmaceuticals, etc.) and associations. prepared with the participation of sectoral stakeholders.	<p>On track</p> <p>Codes of conduct for ABS compliance for Academic Institutes, Chinese Traditional Medicine and Agriculture were formulated by three senior experts respectively. According to the TORs, the entities they are serving will adopt the codes by the end of 2021.</p>	<p><b>MET:</b></p> <ul style="list-style-type: none"> <li>• Great cooperation with experts in three important areas / domains, and explored possible codes respectively. The TE consultant team finds that this indicator can be considered as having been achieved;</li> <li>• The case study on enterprise bioprospecting has been finalized and was important in providing the basis for the development of the codes of conduct for major commercial sectors on thornier issues associated with DSI;</li> <li>• Sectoral stakeholders have participated in these</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 102

**Table 20: Progress Towards Outcome 1**

**Outcome 1: Establishment of the National Regulatory and Institutional Framework on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
				<p>processes through seminars and consultations;</p> <ul style="list-style-type: none"> <li>The PMO conducted a study on the template for code of conduct, gathering and sourcing information worldwide as a model.</li> </ul>
Guidance for adoption of relevant sub-national legislation	No guidance instruments have been developed	Templates and guidance for the adoption of relevant legislation, and/or guidance at provincial/ regional and lower levels of government approved.	<p>Achieved</p> <p>15. The Guide to Local Legislation on Biogenetic Resources and Related Traditional Knowledge is completed</p>	<p><b>MET:</b></p> <ul style="list-style-type: none"> <li>Clear and relevant outputs are evidence this indicator has been achieved through the completion on the report of the Guide to Local Legislation on Biogenetic Resources and Related Traditional Knowledge in 2018, which provided technical support by providing key principles, clear scope, institutional structure, and other specific components;</li> <li>In the absence of basic, comprehensive and specialized legislation on biological genetic resources and related traditional knowledge and inadequate direct upper laws and regulations, local legislation innovation and practice in related fields are faced with more problems, difficulties and obstacles. The purpose of the guidelines is to provide quasi-official and authoritative guidance.</li> </ul>

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

**Table 20: Progress Towards Outcome 1**

**Outcome 1: Establishment of the National Regulatory and Institutional Framework on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 2021 PIR)	TE Ratings and Comment
Instruments and mechanisms necessary to formally establish elements of the national framework	No such instruments or mechanisms (formal or informal) in place. Databases including information potentially relevant exist but are not coordinated	Instruments necessary to formally establish all elements of the national framework (e.g., PIC and MAT procedures, certificates of compliance (as appropriate), national ABS clearinghouse and other monitoring and oversight mechanisms) are adopted and relevant systems, mechanisms and databases are developed and/or coordinated.	On Track  Instruments are developed. 16. ABS model contract, including PIC and MAT, are delivered by two studies: on the ABS contracts at home and abroad, on the ABS process and code of conduct. 17. The Research on ABS Information Sharing and Management Mechanism is ongoing. It is expected to complete the final report in July 2021. 18. The study of Digital Information and Big Data is ongoing. The final report will be submitted at the end of July 2021.  FECO is taking the responsibility to maintain the Clearinghouse. <a href="http://www.absch.org.cn/">http://www.absch.org.cn/</a>	<b>MET:</b> <ul style="list-style-type: none"><li>• All outputs are established. The TE consultant team has verified the website of Clearinghouse in Chinese is operational which includes international protocols, domestic legislation and laws, traditional knowledge, partnerships, and other important information. This system is a good platform to enhance the interaction among different stakeholders.</li><li>• The other technical outputs of NO.17 and NO. 18, provided an essential database and information sharing platform, which established a fundamental basis for ABS in China to be implemented.</li></ul>
Guidance documents re. elements of the national framework	No such instruments (formal or informal) in place.	Guidance documents on elements of the national framework, i.e., PIC and MAT, ABS contracts and their negotiation, completion and use of certificates of compliance (as appropriate), and access to the ABS Clearing-House, are adopted and widely available.	On Track  TOR for the task, developing a compilation of ABS Project Outputs to share ABS best practices, has been prepared and the procurement for the research is in process.	<b>MET:</b> <ul style="list-style-type: none"><li>• While no relevant documents to support the progress of this indicator were provided to the TE consultant team (e.g., the folder named "Outcome1-4: The study on the prospect and countermeasures of the legislation about GR management in China" may be relevant with this indicator, however it does not contain the requisite documentation noted in</li></ul>

<b>Table 20: Progress Towards Outcome 1</b>				
<b>Outcome 1: Establishment of the National Regulatory and Institutional Framework on ABS</b>				
<b>Indicator</b>	<b>Baseline</b>	<b>End of project target</b>	<b>End-of-project status (level as of 2021 PIR)</b>	<b>TE Ratings and Comment</b>
				<p>the end-of-project target), the Exit Plan indicates the activity that will contribute to this indicator is slated for finalization in Q1 2022;</p> <ul style="list-style-type: none"> <li>• Notwithstanding, from another perspective, the TE consultant team believes the Project has resulted in good examples and core elements of a national framework. There is a model law and good progress on pilots' activities, and many positive comments were given by local communities and farmers who participated in this Project and want to share good practices, not only to other counties in the same province, but also to other provinces.</li> </ul>

## Outcome 2

### **Achievement Against the Outcome 2 rating:**

**HIGHLY SATISFACTORY**

210. Outcome 2 focused on building the institutional and staff capacity of the MEE / FECO, a range of line ministries and key national and provincial partner agencies developing regulations for managing ABS issues and agreements in compliance with the strategic direction of the ABS framework and requirements under the NP.
211. Intensive awareness-raising and capacity-building efforts have clearly paid dividends and ensured that all concerned stakeholders understand foundational principles behind the ABS regime, the requirements for its implementation, and the potential benefits that can be realized. The “readiness” of authorities responsible for oversight of ABS processes has been accelerated to facilitate implementation.

212. Information provided by the Project allows a quantitative assessment, confirming that the project target has been not only achieved but surpassed in some cases, in terms of national and provincial authorities trained. However, there is no qualitative indication about the results of the training received, the percentage of gaps filled or the usability of the training generated (per sub-indicator 3). Moreover, the Project still needs to secure the official approval of material and training manuals developed. There is also consensus from the majority of stakeholders interviewed as part of the TE process, that due to the complexity and multi-faceted nature of ABS issues, capacity building (both institutional and professional) needs to continue long into the future to coincide with the central government's vision and roadmap of implementing the ABS framework and regulatory regime. The summary of the evaluation of the attainment of Outcome 2 is presented in Table 21.

"BETWEEN 2019 AND 2021 A TOTAL OF 19,008 PARTICIPANTS WERE TRAINED INCLUDING 89 SCHOOLS (65% WOMEN), MAINLY FOCUSING ON AWARENESS OF STUDENTS IN YUNNAN"

"CAPACITY EFFORTS WERE GOOD BUT THERE NEEDS TO BE MORE AFTER THE PROJECT FOCUSING ON GOVERNMENT DEPARTMENTS"

"AWARENESS HAS BEEN ENHANCED BY THIS PROJECT IN A WAY THAT WOULD OTHERWISE BE IMPOSSIBLE WITHOUT GEF FUNDS"

- PERCEPTIONS ON CAPACITY BUILDING & AWARENESS EFFORTS

213. With regards to the awareness raising campaigns targeted to different ABS stakeholders undertaken in parallel, these have amplified the results described above under this Outcome significantly. As noted in the PIR's knowledge management, communications have been nothing short of prolific. Importantly, the Project has heeded the recommendations following the MTR and invested considerable effort in communications and awareness raising, as well as knowledge management. The collection and distillation of lessons learned and best practices - while falling under awareness - are a part of Outcome 3.

Figure 11. Exhibition Prepared for COP15 - Part I in October 2021



Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Indicator Met		Indicator Partially Met		Indicator Not Met
Table 21: Progress Towards Outcome 2				
Outcome 2: ABS capacity building and awareness-raising				
Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
National-level institutional capacity for ABS implementation  [sub-indicator 1 of 3]	No existing experience or training materials related to ABS and associated transactions	Case studies and training material on the basis of the pilot/demos and the legislation, procedures and contracts developed and incorporated into staff training programs.	On track  1. A series of ABS Training Textbooks (five volumes) has been developed. One of them, the ABS on GR and TK: 100 Highlights, was published in November 2019.  2. Targeted for four groups of stakeholders, administrators, research institutes, community members and enterprisers, a portfolio of training material has been developed, including training instructions for trainers, PPTs for courses, expanded reading materials for trainees, etc. The portfolio has been used in the training conducted from July 2020 to June 2021. According to the feedback both from trainees and trainers, the PMO is developing a new textbook and plans to officially publish it by the end of the Project.	<b>MET:</b> <ul style="list-style-type: none"><li>• The TE consultant team has found evidence of top-notch training underpinned by a solid and well thought out strategy and plan;</li><li>• Excellent training activities were designed and conducted for different stakeholders and received positive reviews from administrators, enterprises, research institute;</li><li>• Training materials were formulated well;</li><li>• ABS themed exhibition was established for enhancing public awareness;</li><li>• The materials have been formulated according to various experiences drawn from pilot/demos;</li><li>• The Project delivered four sets of training materials for different stakeholders and formed the training expert team; developed a series of textbooks and is preparing to publish one in 2022.</li></ul>
National-level institutional capacity for ABS implementation  [sub-indicator 2 of 3]	MEP: 39 out of 69 (57%) on UNDP ABS Capacity Development Scorecard	MEP: 53 out of 69 (77%) on UNDP ABS Capacity Development Scorecard	On track  According to the mid-term review, the National-level institutional capacity increased from 43% to 55% on the UNDP ABS Capacity development Scorecard. PMO will arrange	<b>MET:</b> <ul style="list-style-type: none"><li>• In order to understand and evaluate the training effects, a questionnaire was designed by the Project - with the assistance of GoldenBee CSR Consulting - for</li></ul>



Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

**Table 21: Progress Towards Outcome 2**

**Outcome 2: ABS capacity building and awareness-raising**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
			<p>the re-scoring before the terminal evaluation and submit the new result to the TE team.</p> <p>3. The shooting of ABS project video began in 2020 and a demo has been submitted. With plentiful material collected from piloting sites, the final edition will be completed by August 2021.</p> <p>4. An animation for explaining what ABS is and how ABS works has been developed.</p> <p>5. Six of eight trainings for administrators in Beijing, Hunan and Guangxi have been organized. The other two will be held in Yunnan by July 2021.</p>	<p>managers on ABS capacity building and awareness raising. The methodology was well-articulated with a total of 6,528 questionnaires collected, and 69 invalid ones were eliminated. 6,459 valid questionnaires were obtained, reaching the target of more than 6,000 valid samples required by the Project;</p> <ul style="list-style-type: none"> <li>The Project team developed a Training Implementation Plan for Enterprises of Capacity Building and Awareness Promotion of (i) Biogenetic Resources Acquisition and Benefit Sharing; (ii) a teaching plan for Biogenetic Resource Acquisition and Benefit Sharing Capacity Building and Awareness Promotion Enterprise Training Module 1-4; (iii) courseware for Biogenetic Resource Acquisition and Benefit Sharing Capacity Building and Awareness Promotion Enterprise Training Module 1-4 (iv) designed the Enterprise Training Manual for Capacity Building and Awareness Promotion of Biogenetic Resources Acquisition and Benefit Sharing (v) Enterprise Training Propaganda</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 108

**Table 21: Progress Towards Outcome 2**

**Outcome 2: ABS capacity building and awareness-raising**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
				<p>Manual for Capacity Building and Awareness Promotion of Biogenetic Resources Acquisition and Benefit Sharing; and (vi) completed ABS capacity building and Awareness Promotion questionnaire and designed other teaching materials targeting the private sector;</p> <ul style="list-style-type: none"> <li>• Six sessions of enterprise training and promotional activities were successfully held with 129 participants, exceeding the expected 120, and 93 enterprises and industry associations;</li> <li>• Reference is made to Figure 12 where the Project has come within striking distance of the end-of-project target at the national level;</li> <li>• The TE consultant team has found evidence of top-notch training underpinned by a solid and well thought out strategy and plan;</li> <li>• Other activities including workshops, videos, and reports for 4 objective groups have proved the tasks of capacity development have been implemented under this project.</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

**Table 21: Progress Towards Outcome 2**

**Outcome 2: ABS capacity building and awareness-raising**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
National-level institutional capacity for ABS implementation  [sub-indicator 3 of 3]	Very few staff within implicated national-level agencies have more than a basic awareness of ABS	A sufficient number of personnel (to be determined during the inception phase) of national-level agencies involved with ABS implementation are able to perform ABS-related functions successfully (Note: Number of proposed staff will be reviewed during project implementation)	On track. Besides the training for administrators reported above, trainings for the other three groups have been arranged: 6. Six trainings were held in Beijing and three pilots for ABS related institute staff. 7. Six trainings were held in Beijing, Shanghai and three pilots for ABS related companies. 8. Six trainings were held in the three pilots for community members.  In total, more than 800 participants, approximately 40% female, received systematic ABS trainings. It involved multi management institutions, from national to provincial and city level, including ecology and environment, forest, agriculture, Traditional Chinese medicine, etc.; covered the key stakeholders from government officials, GR users and providers, and research institutes. The lessons learned from the capacity building efforts will impact the long-term ABS framework development.	<b>MET:</b> <ul style="list-style-type: none"> <li>The TE consultant team has pored through and undertaken a review of the list of workshops for ABS capacity building, and can confirm the number of attendees was 856 within key sectors, with almost 40% being women;</li> <li>In 2020, Chinese Academy of Environmental Sciences implemented ABS training activities. A total of 6 training courseware was completed and 8 trainings were carried out in 4 different cities of China. The number of participants in the training reached 264 and the number of units represented by the trainers reached 121.</li> </ul>
Provincial-level institutional capacity for ABS implementation in Yunnan Province, Guangxi Autonomous Region and Hunan Province	Yunnan Province: 16 out of a possible 69 (23%) on UNDP ABS Capacity Development Scorecard  Guangxi Autonomous Region: 11 out of a possible 69 (16%) on UNDP ABS Capacity Development Scorecard	Yunnan: 36 out of 69 (52%) on UNDP ABS Capacity Development Scorecard  Guangxi: 27 out of 69 (39%) on UNDP ABS Capacity Development Scorecard  Hunan: 27 out of 69 (39%) on UNDP ABS Capacity Development Scorecard	Achieved.  At the mid-term review, the three pilot sites achieved or exceeded their own targets in advance. Before terminal evaluation, re-scoring will be arranged and TE team will verify the new result.	<b>MET:</b> <ul style="list-style-type: none"> <li>Reference is made to Figure 12 where the provinces of Yunnan, Guangxi and Hunan have exceeded the baseline scores by 318%, 509% and 500% respectively;</li> <li>Regarding the local</li> </ul>

**Table 21: Progress Towards Outcome 2**

**Outcome 2: ABS capacity building and awareness-raising**

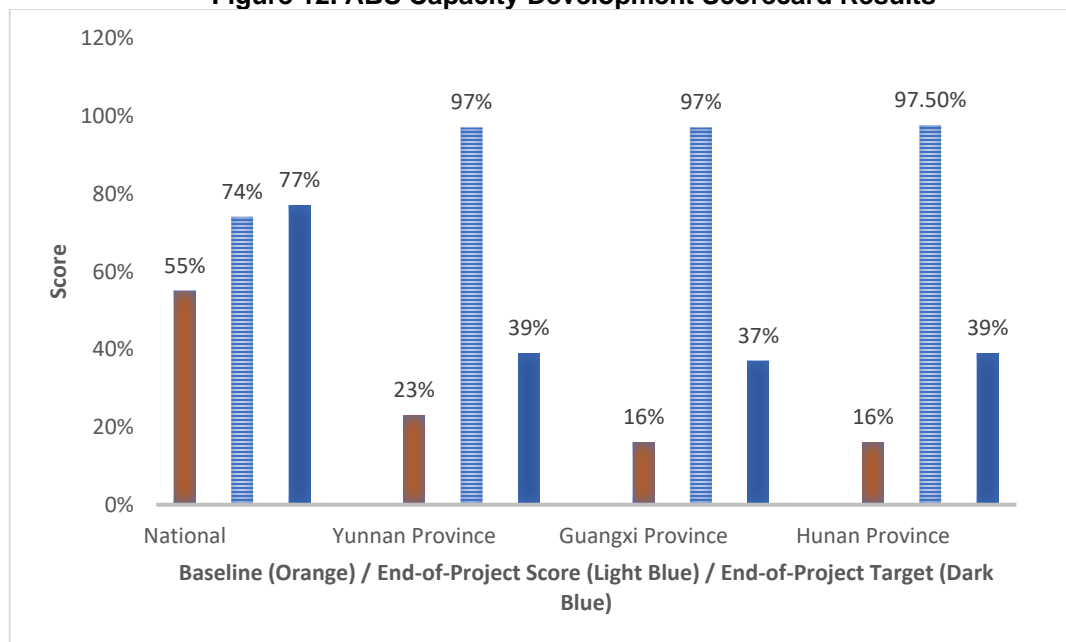
Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
	Hunan Province: 11 out of a possible 69 (16%) on UNDP ABS Capacity Development Scorecard		<p>All of the three sub-national PMOs have been making efforts on promotion:</p> <p>9. ABS themed activities for raising public awareness have been held on special occasions, such as World Environment Day, International Biodiversity Day, and Earth Day, etc.</p> <p>10. ABS themed panels were permanently installed in the community center of the Village of Manyuan, Yunnan. Temporary panels have been exhibited in the other two provinces.</p> <p>11. ABS management related workshops have also been integrated into training for government officials.</p> <p>12. Project related reports and articles were published through Website, WeChat, etc.</p>	<p>communities, five models of training have been developed by the project team, 6 seminars were conveyed with 251 participants in total;</p> <ul style="list-style-type: none"> <li>Three pilots developed various modes of activities to enhance ABS capacity, through exhibition, posters, webpage, workshops and so on. Those outputs provided opportunities to local communities to realize ABS key concepts and practices, which are important to promote their capacities.</li> </ul>

214. According to the data and calculations obtained from the capacity questionnaire, there are mainly five findings: (i) generally, the public's ABS awareness in the entire country is relatively low, and varies with age, region, industry and educational background; (ii) the public's awareness of ABS knowledge and behavior is relatively weak and needs to be improved urgently; (iii) about half of the public cannot recognize that biological genetic resources and related traditional knowledge are national strategic resources, but the value of protecting related rights and interests is recognized by 70% of the public; (iv) approximately 80% of the public have a firm attitude towards punishment for violating the right to knowledge about biological genetic resources; and (v) the Internet has become the main channel for acquiring biological genetic resources and related traditional knowledge.

215. According to the results of the investigation and analysis, five corresponding suggestions / recommendations have been put forward, several of which emerged through the TE stakeholder consultations: (i) improving laws, regulations and policies to provide institutional guarantee for all parties to carry out access and benefit-sharing activities; (ii) strengthen ABS knowledge

education, enhance the public's ABS knowledge reserve, and cultivate the public's recognition of the strategic value of biological genetic resources and related traditional knowledge; (iii) involving all parties to broaden the channels of ABS publicity; (iv) according to the characteristics of different groups, carry out targeted ABS awareness publicity activities; and (v) exert the communication function of new media on the Internet to spread ABS knowledge and value in a wider range.

**Figure 12. ABS Capacity Development Scorecard Results**



### Outcome 3

#### Achievement Against the Outcome 3 rating:

**HIGHLY SATISFACTORY**

216. Outcome 3 focused on addressing the barrier of limited capacity and practical experience with the negotiation and implementation of ABS Agreements, as well as the lack of practical experiences with the development of bio-cultural community protocols and the documentation of traditional knowledge associated with genetic resources. This output aimed at supporting the local communities and ethnic communities (users and providers) to negotiate and implement ABS agreements with the private sector, for access and benefit sharing. Through these pilot projects, proper negotiation and documentation of PIC, MAT and ABS agreements were demonstrated.

*"IN SHUANGXI COUNTY, THE PLANTING AREA INCREASED FROM 200 HA TO OVER 600 HA DURING THE PROJECT"*

*"MONK FRUIT FARMING WITH JIFUSI HAS CREATED NEW JOBS AND OPENED UP NEW MARKETS. HARVESTING TECHNOLOGY AND NEW VARIETIES WERE ALSO INTRODUCED TO US"*

**- REFLECTIONS ON THE VALUE OF OUTCOME 3**

217. As a result of delays incurred at the outset of the Project and the time needed for consultation underpinning the approval of national and sub-national legislative framework and regulatory environment, the Project is a little behind schedule in terms of developing and disseminating best practices and lessons of ABS from pilots since results have accrued relatively late in the project cycle. These are nonetheless planned in the first quarter of 2022 with a published textbook expected to be published by the end of the second quarter this year. A summary of the evaluation of the attainment of Outcome 3 is presented in Table 22.

Indicator Met		Indicator Partially Met		Indicator Not Met	
Table 22: Progress Towards Outcome 3					
Outcome 3: Pilot demonstrations on ABS					
Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment	
Availability and accessibility of ABS information	Scattered and partial information exists but is not easily obtained and used	Existence of systems to institutionally store and update information about GRs and ATK in one region, one province and four autonomous prefectures. They should be organised into data sets that are generally and easily accessible to all potential providers and/or users and or involved agencies / officials.	On track  Information about GRs and ATK updated during the project period will be easy to access in three pilots by the end of the Project. Information without confidential concerns will be shared through Clearing House	<b>MET:</b> <ul style="list-style-type: none"><li>According to the Report on Guangxi GR related TK entries Classification and Guangxi GR related TK Case Investigation Report, TE team confirmed that the local</li></ul>	

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Table 22: Progress Towards Outcome 3

## Outcome 3: Pilot demonstrations on ABS

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
			<p>and the websites of local department of ecology and environment. For information with confidentiality issues, most GRs and TK are involved, only the name of the report will be shared.</p> <p><b>Guangxi:</b> three reports have been completed, they are Guangxi GR related TK Case Investigation Report, the Assessment Report for Capacity and Needs on TK management, and the Guangxi GR related TK Catalogue which had illustrated 30 pieces of TK information in Guangxi. The TK Catalogue has been updated in 2020.</p> <p><b>Hunan:</b> the field surveys had been conducted and 30 pieces of GR information, 12 of plant and 18 of animal, were categorized, as well as 90 pieces of TK information.</p> <p><b>Yunnan:</b> The field survey for monitoring living conditions of Dai traditional medicine and Dendrobe habitat is completed.</p>	<p>traditional knowledge has been collated to be easily accessed and used by relevant stakeholders;</p> <ul style="list-style-type: none"> <li>Although China has not submitted the key information to the CBD's and national CHM, some government entities have started to prepare and organize the essential materials from different perspectives, and waiting for review and approval;</li> <li>Field surveys have been conducted broadly in the pilots. These provide a good database on assessing key demands for main sectors and stakeholders;</li> <li>A study of Digital Information and Big Data was finalized in 2021 and ought to be leveraged going forward to facilitate accessibility of information. As part of knowledge management, there is a need to transform information into insights / knowledge.</li> </ul>
Quantity and nature of ABS agreements in China	<p>a) Some informal oral agreements exist related to benefit sharing</p> <p>b) No experience with PIC, MAT and ABS contracts.</p> <p>c) Key bio-industries lack any ABS experience or examples</p>	<p>a) At least six ABS agreements in compliance with NP in place and operational</p> <p>b) Among the above six agreements, at least four will include PIC and MAT with local communities</p> <p>c) Among the above 6 agreements, one or more are in each of the following</p>	<p>Achieved</p> <p>Case NO. 1 is signed between Novozymes, an international company, and the Village of Manyuan, located in Yunnan Province on December 19, 2019. Cooperating with a domestic University, the company collected soil samples,</p>	<p><b>MET:</b></p> <ul style="list-style-type: none"> <li>For sub-indicator "a", six agreements have been achieved through different enterprises;</li> <li>For sub-indicator "b", all six agreements assigned with local communities, have been achieved;</li> <li>For sub-indicator "c", the</li> </ul>



Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 114

**Table 22: Progress Towards Outcome 3**

**Outcome 3: Pilot demonstrations on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
		<p>areas: medicine and medicinal practices and food and beverage products.</p> <p>Note: some agreements may cover more than one area</p>	<p>microbial materials from pickled vegetable jars and homemade distilling alcohol bottles from 30 households. As a representative, the leader of the village signed a three-party contract. PIC and MAT were also signed with each householder before the collection.</p> <p>Case NO.2 is demonstrated in Yunnan by Dr. Plant, a leading domestic cosmetic company. In-situ, ex-situ conservation, and community development efforts have been made on the site where the company collects raw materials. On June 21, 2021, the company signed one contract with Manyuan village for the utilization of a traditional prescription of fumigation; another contract was signed with Daka village on June 23, 2021 for the use of a fragrance species.</p> <p>Case NO.3 is also signed in Yunnan between Daiyitang, a leading Dai Medicine company, and transitional knowledge holder, who has kept old prescriptions. The two parties signed the contract in August 2020 in Dai language since the holder cannot understand mandarin.</p> <p>Case NO.4 is demonstrated in Guangxi. Monk Fruit Corp (Known as Jifusi in Chinese) is a domestic company that is</p>	<p>agreements of the Xiangxi Black Pigs, Dai Medicine company, referred to food and medicine, have all fulfilled the requirement and delivered co-benefits to communities, to enterprise, and to nature;</p> <ul style="list-style-type: none"> <li>• The report of “Cataloging Report on Entries of Guangxi Ethnic Minority Traditional Knowledge”, involved 250 terms related to ABS at local level;</li> <li>• 20 Species in Guangxi province from 6 dimensions were assessed, and documentation of the current situation, benefits, ABS barriers, threatening factors, gaps in capacity-building, suggestions and measurements were captured.</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

**Table 22: Progress Towards Outcome 3**

**Outcome 3: Pilot demonstrations on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
			<p>leading monk fruit production and integrates natural sweetness solutions for beverage and food. The company had gotten plants from community members and through wild collection, and then developed and commercialized higher-yielding varieties of monk fruit. Due to the difficulty in identifying the original owners while benefit sharing, the company's solution is to work closely with the local growers' associations and farmers to ensure a win-win situation. The company signed a contract with Sanlian Village on March 11 2020 and Miaoping Village on March 20 2020 respectively. Jifusi also signed two contracts with two GR individual members of the local community.</p> <p>Case NO.5 is about the Xiangxi Black Pigs. Two companies which are cultivating Xiangxi Black Pigs signed contracts with two communities respectively in 2020.</p> <p>Case NO.6 is about Huangjin and Guzhang Teas. The company Yingmeizi and Huangjin Tea signed contracts with two villages which conserve the old tree teas in 2020.</p>	
Authorities with ABS implementation experience	None	At least one autonomous region, one province and four autonomous prefectures have practical experience regulating ABS agreements.	<p>On track</p> <p>Authorities, including Guangxi Autonomous Region, Hunan and Yunnan Provinces, and four</p>	<p><b>MET:</b></p> <ul style="list-style-type: none"> <li>Per interviews with local administrators of Guangxi, Yunnan, and Hunan provinces, they provided</li> </ul>

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 116

**Table 22: Progress Towards Outcome 3**

**Outcome 3: Pilot demonstrations on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
			cities/prefectures, Xiangxi, Guilin, Fangchenggang and Xishuangbanna, in the three provinces, have been summarizing experiences from the legislation procession, agreements negotiation and species conservation in piloting sites.	official notice to support the activities of the Project, and deploy sufficient staff to conduct and continue activities post-project; <ul style="list-style-type: none"> <li>The term "practical experience" has proven problematic to measure, especially since there has not been sufficient time for implementation. Notwithstanding, experiences are being gathered and will culminate in a range of awareness products by operational closure.</li> </ul>
Local communities benefit from GR and ATK utilization	No local communities are currently benefiting through ABS agreements	At least four of the users (companies) involved in ABS agreements have begun sharing benefits with providers (communities)	On track  As referred to above, sharing benefits with local communities is an essential part of the agreements, under negotiation or signed: the village of Manyuan has received both monetary and non-monetary benefits, such as skill training, from Novozymes and Dr. Plant; the growers of monk fruit in Guangxi benefit from planting high-yielding varieties provided by the company Jifusi; the owners of Huangjin tea (Golden Camellia) get higher annual incoming because of the higher market price.	<b>MET:</b> <ul style="list-style-type: none"> <li>Per interviews conducted with local communities of Guangxi, Yunnan, and Hunan provinces, all community members were enthusiastic and spoke positively about the benefits from the Project, particularly to the economic benefits and environmental benefits from innovative technologies and cooperation modalities with more than 4 enterprises, including Novozymes, Dr. Plant Corp, Jifusi Corp, Fengrunlai Corp. These modalities are expected to continue after operational closure. Companies have also signaled their</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 117

**Table 22: Progress Towards Outcome 3**

**Outcome 3: Pilot demonstrations on ABS**

Indicator	Baseline	End of project target	End-of-project status (level as of 1 November 2021)	TE Ratings and Comment
				willingness to continue investing in these communities.
Availability of best practice information on ABS implementation in China	No best practice information available in Chinese language	Best practice guidance on ABS processes at national, state and local levels adopted on the basis of experience developed through the pilot/demos and their operation.	On track  The project video, and compilation of outputs and best practices development are ongoing. It will be easy to access. The ABS animation and project video will be shared through FECO's official WeChat, local PMOs and partners, including NGOs. The compilation of best practices will be officially published. The Clearing House will also share related information.	<b>MET:</b> <ul style="list-style-type: none"> <li>Many electronic materials have been developed and some of them have been uploaded to appropriate webpages, to make them more available to interested audiences;</li> <li>The Project has actioned recommendations in both PIRs and in the MTR to concentrate efforts on communications and knowledge management;</li> <li>The Project has developed a video on lessons learned at the demonstration site, which included information on ABS agreement and activities in a number of communities;</li> <li>While, the Project has not made significant progress on disseminating the lessons from the Project, the outputs contributing to this indicator are still in flight and will be consolidated in Q1 and Q2 of 2022, and culminate with the publication of a text book. Funds have been set aside for activities and interviews with the subject-matter expert illustrating that there is a sound approach for the</li> </ul>

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 118

<b>Table 22: Progress Towards Outcome 3</b>				
<b>Outcome 3: Pilot demonstrations on ABS</b>				
<b>Indicator</b>	<b>Baseline</b>	<b>End of project target</b>	<b>End-of-project status (level as of 1 November 2021)</b>	<b>TE Ratings and Comment</b>
				<p>crystallization of case studies and that things remain on track to reach key milestones.</p> <ul style="list-style-type: none"> <li>The TE consultant team concludes that while this indicator has yet to be achieved, it is reasonable to expect that the Project will achieve this target by the closure date.</li> </ul>

## Relevance

### Relevance rating:

**(6): HIGHLY SATISFACTORY**

218. The Project is highly relevant for China, as it reflects national priorities and a pioneering nature to support national capacities to facilitate the implementation of the Nagoya Protocol on ABS. The Project is also relevant from an international perspective, considering China is one of few countries using its GEF allocation to build and strengthen its ABS framework at both the national and sub-national levels, and creating a long-term roadmap anchored in national development documents.
219. The Project has been aligned and supports the implementation of objectives and strategic tasks of the State Council adopted China National Biodiversity Conservation Strategy and Action Plan for 2011 – 2030, which defines the basic principles as "conservation first", "sustainable use", "public participation", and "benefit sharing" and reiterates the need to "ensure benefit sharing of genetic resources and associated traditional knowledge".
220. The Project has also been aligned to Outcome 1 of UNDP's Country Programme Document for China covering both 2016-2020 and 2021-2025, as well as Pillar 2 in the latter. Moreover, the Project's in-situ, ex-situ conservation and community development efforts delivered substantial achievements within the biodiversity focal area beyond the core objective under which it was designed, as well as in the context of the rising importance of Ecological Civilization as a foundational building block for national development planning. With respect to the international environment agenda, the Project's achievements, especially its sustainability and replication potential, dovetail with Decision 14/31, Decision NP-3/15 and commitment 8 of the Kunming Declaration.
221. The project strategy is in line with the GEF-5 biodiversity focal area goal on conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services. Specifically, the Project's outcomes correspond to the activities foreseen as support for GEF 5, BD4 Focal Area objective<sup>11</sup> – build capacity on access to genetic resources and benefit-sharing. Moreover, giving China's rich biodiversity, the Project presents clear global environmental benefits and opportunities for replication and scaling up.
222. It The Project was formulated according to the needs and interests of major stakeholders, leading to enthusiastic and proactive participation across different project activities, as well as those specifically designed for stakeholder engagement. The TE consultant team has concluded therefore, the Project has contributed not just to international obligations to MEA processes, but also with national policies which have firmed understanding of basic concepts and measures.

## Effectiveness

### Effectiveness rating:

**(6): HIGHLY SATISFACTORY**

223. As described in section above (Relevance), the Project contributed to the country programme, the UNDP Country Programme Document, GEF strategic priorities, and national development priorities. There are also clear global environmental benefits which have accrued through establishing a national

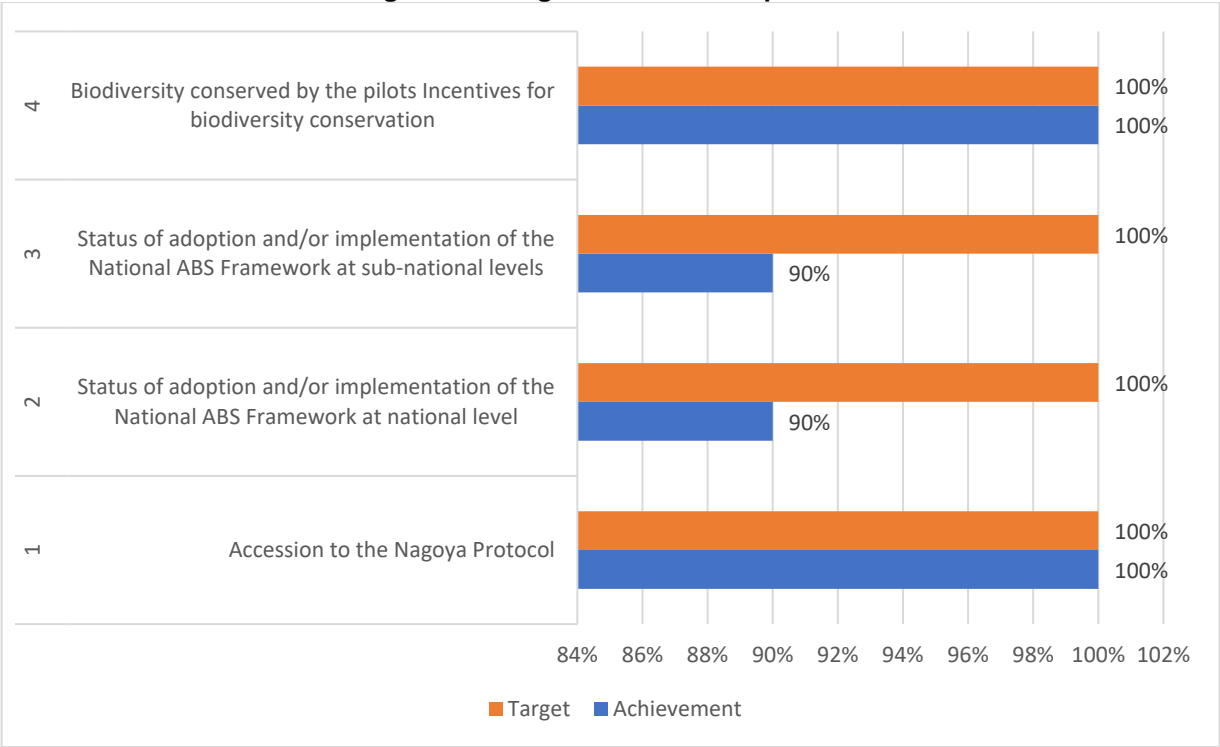
---

<sup>11</sup> At a more granular level, the Project contributed Focal Area **Outcome 4.1** "Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the CBD provisions" and FA **Output 4.1** "Access and benefit-sharing agreements that recognize the core ABS principles of PIC and MAT, including the fair and equitable sharing of benefits."

and subnational ABS framework, by way of enhancing China’s national contribution towards achievement of the three objectives of the CBD (especially Objective 3 on ABS but also Articles 15 and 5 of the CBD and NP respectively). Also, with respect to international development priorities, the Project contributes explicitly to the following three SDG targets: (i) SDG 1 on ending poverty; (ii) SDG 5 Gender Equality; (iii) SDG 15 Life of terrestrial ecosystems.

224. To determine the effectiveness, reference has been made to its impact indicators. From this perspective, it can be observed that, several months before the Project is scheduled to end, the PIR compliance performance report suggests the Project is on track to achieve its 4 impact indicators. This has been corroborated by the TE consultant team, even though at the time of writing two of those indicators (2 & 3) are lagging slightly on the basis that more time is required for the actual implementation of the ABS framework at national and sub-national level and the experience and lessons that will be learned along the way for subsequent refinement. During the TE, a major constraint was found with regards to insufficient time for implementation since the frameworks have come relatively late in the project cycle. Nonetheless, the Project benefited from early NP accession and considerable institutional support by way of a future roadmap for ABS. The TE attributes these shortcomings to a function of design rather than any performance issues and operational issues from the Project itself.

Figure 13. Progress Towards Impact Indicators



225. It is also unfair to look at the impact indicators in a binary manner and these need to be contextualized by other advances made by the Project at the Outcome level. When one factors in the number of ABS agreements negotiated (18 in total) with little or no benchmarks, considering the degree of consultation and follow-up research undertaken to surface thorny and complex issues, the co-benefits established through 6 negotiated agreements between local communities and industry,



and finally, the level of capacity which blew past the end-project-targets by a substantial margin, the Project was effective and a resounding success.

226. Considering the complexity associated with the Project and the achievements reported, in general terms, both interviews and secondary sources of information suggest the Project has been implemented in an effective manner.

## ***Efficiency***

**Efficiency rating:**

**(6): HIGHLY SATISFACTORY**

### **Evidence**

- ✓ IP and executing partners' capabilities vastly improved with greater capacities likely leading to built-in efficiencies
- ✓ All planned deliverables largely met within original budget allocations
- ✓ Strong leadership, champions and change agents within governance mechanisms
- ✓ Strong budgeting, financial planning and delivery starting from 2018
- ✓ Management disruption and continuity issues made up for through reconstitution of PMO

227. The logic in the Project document with respect to the cost-effectiveness of the intervention, was predicated on an assumption that focusing on ABS would be a cost-effective alternative as compared with a purely conservation-based approach. It was also believed that it had potential to generate revenues; by providing sustainable livelihoods, the investment can help to further reduce pressures on biodiverse habitats. Finally, it was also envisaged that deep coordination and collaboration would streamline efficiency among government entities through mainstreaming and improve cost effectiveness of the Project. As appropriate, the Project would adopt measures such as hiring shared experts, introducing external outputs, and conducting joint research to enhance coordination and collaboration among different initiatives.

228. Evidence gathered suggests project implementation has followed an efficient use of resources, ensuring quality delivery of goods and services, albeit not in the manner articulated in the Project's original design.

229. Project efficiency is considered Highly Satisfactory for the following reasons:

- The PMO and other governance structures such as the TWG, as well as the operational arrangements at the provincial level responded to and leveraged previous institutional experience implementing GEF-funded projects;
- In spite of ABS issues being new to China and with accession to the NP only happening in late 2016, the Project's strategy to assemble existing subject-matter experts from FECO and academia in China who had been following ABS issues through participation in CBD COP and intercessional processes ensured the legislative expert team was stacked with such subject-matter experts;
- Continuity and carry-over of stakeholders from the design stage minimized disruption and promoted institutional memory thereby leading to fewer growing pains at inception;
- With respect to fund allocations, while there were reallocations between budget lines within Components / Outcomes, the overall budgets of those Components were aligned with the budget at design with the exception of Outcome 3, which had a slight deviation of US\$

9,106.36, but understandable since it engaged with and involved an additional international company to ensure sufficient representation of the Project Document vision and strategy;

- At US\$ 209,536.38, management costs are well below the normal benchmark for FSPs. Efficiencies were realized by dovetailing on the significant management contribution through co-financing;
- Co-financing was substantial and commitments exceeded those committed at the outset; the TE consultant team believes the overall impact is aligned with the Project's total resource envelope;
- The TE consultant team noted that stakeholders unanimously indicated that the budget they were afforded was commensurate with the work effort;
- Minor shortcomings were reported with regards to implementation timelines, due to delays attributed to the re-hiring of critical PMO staff and partly because of COVID-19. The Project was awarded a no-cost extension until March 2022 but considering the effect on overall operations, the requested extension could not have been avoided and is justified. In the end, the Project more than made up for these delays and caught up to delivery targets and critical milestones;
- In terms of efficiency, there were few, if any, shortcomings with respect to technical delivery. The Project has achieved almost 100% of its central objective, in this sense, the progress of Outcomes 1, 2 and 3 have been key to ensure this performance. All outcomes show significant percentages of progress having executed more than 90% of the GEF resources at the time of writing, with the remainder fully obligated prior to operational closure;
- Certain Outcomes may not reach 100% implementation despite investing 100% of resources but the path to getting to completion was sorely underestimated;
- The Project internalized shortcomings and readjusted to include more capacity building / doubled down on training needs following the MTR. This investment in capacity and the increase in capacity development scorecard results are likely to lead to greater efficiencies because of the heightened awareness and experience created by the Project.

230. To summarize, the TE consultant team finds the Project was efficiently managed. Outputs were reached within approved budget parameters through a rigorous and consultative AWP process, and there were examples of adaptive management that saved time and money. Re-programming of funds between budget lines in Atlas created the flexibility to deliver results. Delivery has been highly satisfactory both in program and financial terms.

231. Although the Project did not assign a specific budget to ensure adequate gender equality, important contributions were made that improved the involvement of women; much more than what would be expected from a GEN1 marker project. However, a larger budget would have yielded greater benefits in terms of the number of beneficiaries and the improvement of their incomes. The Project stakeholders with practical, hands-on experience with implementing this project learned value for money significant lessons about how to coordinate and manage a project that addresses a new and complex suite of issues, with relatively limited funds earmarked at the sub-national level, relatively short implementation period compared with the ambitious results, and presumably will be able to apply them in the future.

## Overall Outcome

Overall Outcome rating:

**(6): HIGHLY SATISFACTORY**

232. In accordance with the methodology in the UNDP-GEF TE Guidance for calculating the Project's overall outcome (p.54), the rating is Highly Satisfactory. The UNDP-GEF TE Guidance states that calculation of overall project outcome is based on the ratings for relevance, effectiveness and efficiency, of which relevance and effectiveness are critical. The methodology states that the rating cannot be higher than effectiveness (Highly Satisfactory in this case) and that it cannot be higher than the average score of effectiveness (which is "6" – Highly Satisfactory) and efficiency (which is also "6" - Highly Satisfactory) criteria.
233. This also takes into consideration that for Outcome 1, all indicators have met their end-of-project targets. For Outcome 2, all sub-indicators have achieved the end-of-project target. For Outcome 3 results have largely been met and the consolidation of results will continue until Q2 2022 with the dissemination of best practices and lessons.
234. Given that the UNDP-GEF TE Guidance states that effectiveness is critical in determining the Project's overall outcome, and given the significant achievements of this Project, the TE consultant team considers Highly Satisfactory is appropriate based on guidance.

### ***Country ownership***

235. A key indicator of country-ownership is that the government has approved policies and modified regulatory frameworks in line with the Project's objectives,
236. The proposed Project is fully in line with the country's national strategies and plans. The Project is in high conformity with China's policies and strategic goals and its components are highly relevant to priority domains and actions for the next five years clarified by the Chinese Government, revealing its close linkage with sectoral plans and programs of the government. Implementation of this project is expected to receive strong support from the Chinese Government, associated competent authorities, and local governments, which will contribute to its success and maximize its impacts in China.
237. The Chinese government has been making major efforts to safeguard its genetic biodiversity through adopting the ABS concept into laws and government plans. The updated China National Biodiversity Conservation Strategy and Action Plan identify priority actions and projects related to ABS, as well as the Fourteenth Five-Year Plan, the Major Activities of Biodiversity Conservation Ten-Year Plan, and other genetic resource-related laws and regulations.
238. The Government has integrated biodiversity conservation, its sustainable use and access to and benefit-sharing of genetic resources and associated traditional knowledge into key national strategic plans, planning and programmes. In October 2011, the National People's Congress (NPC) reviewed and adopted The Outline of the Twelfth Five-Year Plan for National Economic and Social Development of People's Republic of China (the "Outline", 2011 – 2015). Chapter 25 of the Outline on Promoting Ecological Conservation and Restoration reiterates the need for conserving biodiversity, improving species resources conservation and management, and effectively preventing bio-piracy and the loss and genetic resources.
239. In December 2011, the State Council issued the Twelfth National Five-Year Plan for Environmental Protection in which biodiversity conservation is identified as an outstanding environmental problem that needs to be effectively addressed. The plan also requires the continuous implementation of CNBSAP, enhanced efforts to develop germplasm banks and gene pools for key areas and sectors,

strengthened supervision and management of genetic resources (species) import and export, and establishment of regime on access to and benefit sharing of genetic resources.

240. The Project directly implements the State Council adopted China National Biodiversity Conservation Strategy and Action Plan (CNBSAP) for 2011 – 2030. The CNBSAP defines the basic principles as "conservation first", "sustainable use", "public participation", and "benefit sharing" and reiterates the need to "ensure benefit sharing of genetic resources and associated traditional knowledge" which is one of the 8 strategic tasks. It includes: (i) to draw on advanced international experience and carry out pilot demonstrations; (ii) to strengthen studies on valuation of biodiversity and systems for management of biological and genetic resources; (iii) to rescue and pass on associated traditional knowledge by improving its protection system; and (iv) to explore the establishment of a regime for access to, and benefit sharing of, genetic resources and associated traditional knowledge and coordinate the interests among protectors, developers and users of genetic resources and associated traditional knowledge to ensure that the interests of all stakeholders will be protected.

241. It is also important to recognize the high levels of participation of the different ministries in the implementation of the Project, considering that the issue of ABS is transversal to several sectors. While it was the national PMO, in consultation with provincial and local PMOs, that facilitated and orchestrated the coordination between them, there are significant levels of leadership from FECO and active participation from the Foreign Environmental Cooperation Center, Ministry of Ecology and Environment, Provincial Departments of Ecology and Environment, Foreign Cooperation Center, People's Congress Legal Work Committees of Prefectures involved, National Intellectual Property Administration, Chinese Research Academy of Environmental Sciences, among others that has stood out in the eyes of the TE consultant team.

***Sustainability: financial, socio-economic, institutional framework and governance, environmental, and overall likelihood***

Overall Likelihood of Sustainability rating:

**(3): MODERATELY LIKELY**

**Evidence**

- ✓ Strong institutionalization
- ✓ Strong continuing ownership and commitments made among parties in the exit strategy
- ✓ A special fund for biodiversity has been established after COP 15 but has yet to be operationalized for ABS
- ✓ Continuity of local benefits through negotiated contracts and willingness by enterprises to continue investing with their own funds
- ✓ Subject-matter experts will continue working on ABS within their respective departments and have committed to supporting and overseeing high-priority needs
- ✗ No viable sustainable financing mechanisms in place

242. Considering and balancing the four measures of sustainability, overall sustainability is at low risk, but nonetheless momentum is constrained by insufficient financial investment in the remaining months of Project operations to transition from GEF funding to other donor / national sources of financing.

243. The overall sustainability rating is Moderately Likely because that is the rating assigned to Financial Sustainability and the overall rating cannot be higher than the lowest rated dimension. Nevertheless,

the ratings for Institutional / Governance and Environmental Sustainability are both Likely, because of the strength of ownership, enthusiasm and engagement during the Project and at project close, as well as the high degree of institutionalization and investments in safeguarding biodiversity and genetic resources on a wider scale. If financing were available through hard and tangible commitments, then the Project would be well positioned to continue to deliver excellent results.

**Financial Sustainability rating:**

**(3): MODERATELY LIKELY**

244. The Project was careful to incorporate the financial sustainability perspective within the Draft Regulations on the Administration of Access to and Benefit Sharing of Biological Genetic Resources, stipulating that the state establishes a biological genetic resource protection and benefit-sharing fund, which collects 0.5-10% of its annual profits from the recipients as national non-tax revenue and includes it in the financial budget management. The fund is intended and dedicated to the protection and sustainable use of biological genetic resources, and gives priority to supporting the socio-economic development of the areas where biological genetic resources were originally provided. These allocations are expected to complement FECO / MEE's budget to attend to the emerging responsibilities and competencies provided by the international ABS legal obligations emanating from NP accession and institutional framework recently approved with support from the Project. However, it is important to notice that there are still important gaps in terms of specific financial regulations guiding the ABS implementation, such as mechanisms to reinvest ABS monetary benefits in biodiversity conservation, which are currently barriers to put ABS implementation in practice.
245. A designated [biodiversity fund](#) was established during the High-level segment of COP15 - Part I, which explicitly references ABS and the Nagoya Protocol, but this has yet to be operationalized.
246. Stakeholders of the Project and staff from FECO will continue to support ABS issues and therefore, there is implied financial sustainability as part of their ongoing job descriptions.
247. Many of the private companies with whom the TE consultant team liaised reaffirmed their commitment to the contractual agreements negotiated with the local communities in question and their intent to continue investing with their own funds.
248. On the other hand, interviews confirm there is no planned project or initiative in the short and mid-term that will follow up, scale up or replicate the Project in other regions or for different products, consequently posing important challenges to the financial sustainability of ABS implementation shortly.

**Socio-political Sustainability rating:**

**(4): LIKELY**

249. The deliverables of the UNDP-GEF ABS project have been contributing to the national regulatory and institutional framework on ABS, but there will certainly be a need to nurture, refine and augment this framework following the Project's operational closure. Along with the central government releasing biodiversity conservation and ABS related documents in 2021, there is a clear pathway for developing the ABS framework in China, anchored to the following two documents:
- The "Opinions on Further Strengthening Biodiversity Protection", newly issued by the Communist Party of China Central Committee and the State Council in October 2021, clearly [sets a timeline for ABS regulation](#). It notes that China will establish and improve the regulatory system on ABS by 2035, as well as communicates the regulatory system for access to biological genetic resources and benefit sharing, and improves the responsibility and

accountability mechanism for the examination and approval of access, utilization and entry and exit, and strengthen the supervision and management of the external provision and cooperative research and utilization of biological genetic resources;

- The "Outline for Building China an Intellectual Property Power (2021-2035)", also jointly issued by the Central Committee of the Communist Party of China (CPC) and the State Council, notes that China would speed up legislation on intellectual property rights in new fields and new formats such as big data, artificial intelligence, and genetic technology. It is designed to strengthen the construction of systems for the acquisition and benefit sharing of genetic resources, traditional knowledge, and folklore, and strengthen the collection, sorting, transformation and utilization of intangible cultural heritage, as well as calls for the improvement of a comprehensive protection system of Chinese medicine intellectual property rights, establish a special examination and protection mechanism for Chinese medicine patents, and promote the inheritance and innovation of Chinese medicine.

250. The TE consultant team has observed, through consultations and a review of documents, the existence of strong political will to continue and strengthen ABS in the future. A 1–2-year time horizon is likely needed however, before the government enacts policies at a more detailed level. Perspectives from stakeholder interviews, confirm the Project has received adequate social and political support and that the different stakeholders' value and endorse the long-term objectives of the Project. This means that the Project has been aligned to national and local priorities and therefore selected communities and participating stakeholders were engaged to mobilize high-level support.

251. The evaluation also noted a good framework and enthusiasm for work at the local level and commitments to ensure these will continue through existing and new modalities and investments. There were strong development mechanisms for local communities and livelihood issues, including women. Increased local economic benefits. New opportunities in the form of tourism and new cultural products – went from raw material to commercial products. The protection of TK, improved conditions to access markets, and the benefits derived from the pilot ABS agreements are expected to improve household socioeconomically, and therefore provide a biodiversity-based economic alternative for rural communities to advance in the SDG. Gender results achieved will have an impact in the mid and long-term as the negotiated contracts will start yielding benefits. The Project involved a good cross-section of enterprises with national and international footprints, and robust R&D programs.

*"WE WANT TO ENGAGE IN A FOLLOW-UP PROJECT AND TO MAKE ABS ISSUES MORE POWERFUL FOR US AND FOR OTHER COMMUNITIES"*

*"THROUGH TRAINING WERE ABLE TO GET MORE VALUE TO THEIR RESOURCES AND MEANING TO PROTECT TRADITIONAL RESOURCES THAT MIGHT HAVE BEEN OVERLOOKED OR IGNORED"*

**- STATEMENTS BY COMMUNITY MEMBERS ON WHAT THE FUTURE HOLDS**

252. The project invested in capacity building and awareness-raising campaigns which were instrumental to ensure stakeholders informed participation. However, these cannot be considered sufficient in terms of supporting scaling up, replication, and other long-term objectives of the project, given the complexity and multi-faceted nature of ABS issues.

253. The Project made a similarly important contribution to social sustainability. The institutional framework described in the preceding paragraph aimed to ensure the equitable distribution of benefits arising from the utilization of genetic resources and of the traditional knowledge associated with ATK



to the providers of the genetic resources and to the holders of ATK, as prescribed in the NP. This emphasis on equity, together with a focus on strengthening economic incentives for conservation and sustainable use, together contributed to social sustainability. Social sustainability could be further enhanced by conservation of associated traditional knowledge, which plays an important role in social cohesion among many rural communities as well as in urban areas.

**Institutional Framework and Governance Sustainability rating:**

**(4): LIKELY**

254. The Project's major focus is on supporting the institutionalization of ABS within China's regulatory systems and procedures. The development of an ABS Framework represents the cornerstone of this effort. By defining long-term institutional responsibilities, staffing requirements and processes under this framework, while building associated capacities and demonstrating value and benefits via piloting, the Project made a major contribution to the institutional sustainability of ABS efforts in China.
255. The Project successfully shaped the legal and institutional system of ABS in the country through draft legislation and regulations, this provides institutional sustainability and engagement towards the overall intervention. There are also international obligations and requirements that go with NP accession that will have to be met going forward. However, there is currently no broadly-owned plan or exit strategy engaging the participating stakeholders towards the follow-up, sustainability and most importantly the monitoring of project activities and outcomes post-project. The TE makes recommendations for the augmentation of the exit strategy.
256. The Project has strengthened capacities in the management of access to genetic resources, which plays an important role for the ABS system to be sustained to implement new / harmonized ABS agreements, legislation and regulations at different levels, or to continue with other activities initiated by the Project such as the [national Clearing-House Mechanism](#). However, these efforts should be further institutionalized.
257. There is no evidence suggesting the Project actively anticipated future risks or challenges, however, elements of the legal and financial framework will still depend on other projects and interventions to further refine the necessary enabling environment for implementing the Nagoya Protocol and ABS in China.
258. However, the TE consultant is encouraged that an important commitment has been generated to continue the legacy of the Project through the updated China National Biodiversity Conservation Strategy and Action Plan identify priority actions and projects related to ABS, as well as the Fourteenth Five-Year Plan, the Major Activities of Biodiversity Conservation Ten-Year Plan, and other genetic resource-related laws and regulations.
259. Going forward, there is a need to focus on evidence-based mechanisms and supporting business processes to monitor and evaluate the efficacy and impact of the legislative framework put in place. There is currently insufficient direction and more effort needed on this front in the time remaining.

**Environmental Sustainability rating:**

**LIKELY**

260. The ABS Framework being developed with support of the Project on creating economic incentives to conserve genetic resources and associated traditional knowledge by rewarding holders of such knowledge. It operated in conjunction with, and create synergies with, related regulatory efforts such



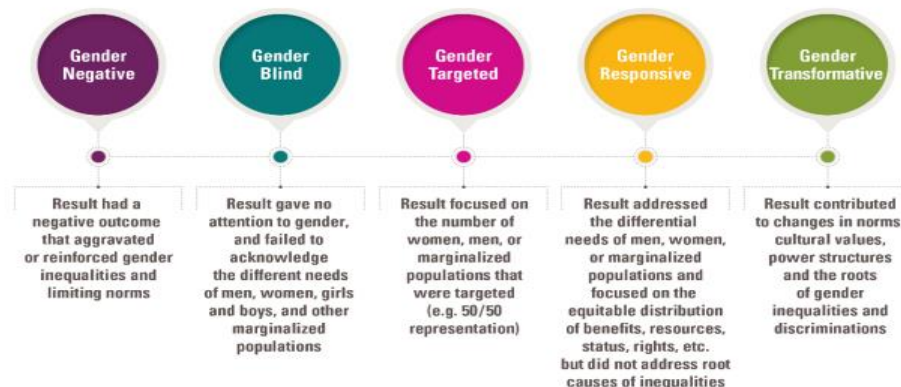
as the National Intellectual Property Strategy that also include environmental sustainability among their aims.

261. With the accession to and entry into force of the NP, and the supporting national and sub-national framework developed over its 6 years of implementation, the Project has laid the groundwork for regulating the use of genetic resources and indigenous knowledge. Although their application is relatively new and their operation is currently small, there is great potential for harmonizing their conservation and sustainable use in the future.

### ***Gender equality and women's empowerment***

262. Chinese institutional and administrative practices are strongly oriented toward gender sensitivity, and women are represented at all levels of operation from the most local to the highest governmental levels. This approach is apparent and become an important element of the Project. Since 1995, China has formulated and implemented three rounds of the Programme for the Development of Chinese Women. As the national action plan to promote the development of women, the Programme is designed to promote women's full development and to protect their rights in terms of health, education, economy, participation in decision-making and management, social security, environment, laws, etc. It has further incorporated gender awareness into the legal and policy system, and improved the level of women's social security. It has enhanced women's political participation and further raised their sense of social participation.
263. With respect to enhancing women's participation in environmental protection and decision-making during the Project, the Project has engaged in direct efforts to enable women's participation in a key development process that is focused on both enhancement of social welfare and protection of the environment, the Programme for the Development of Chinese Women provided a platform that helped to solidify and maintain the gains achieved by the project.
264. Concerning gender participation, the Project does not have a Gender Plan. Moreover, during the design of the Project, there was no evidence that women's groups had been properly consulted and involved in this process. Ideally, this differentiation would have been key because of the role of women, especially in implementation sites. This may have also led to more gender disaggregated indicators in the SRF.
265. To ensure the participation of women, during the implementation of the pilots, special attention was paid to the groups of local women and girls, particularly those who are part of the processes of growing and harvesting plants, product development, and marketing. Efforts were also made to ensure the active participation of women through community protocols for the protection of traditional knowledge. Part of Outcome 3 was to conduct a series of training and awareness raising workshops. Although no exclusive sessions were held for women, the condition that 30% of participants be women was addressed.
266. Overall, the Project's contributions to gender equality and women's empowerment were limited, but more so than one would expect from a GEN1 marker project. This was due in large part to aspects of the Project's design. There was no disaggregation of gender data within the SRF.
267. Applying the Gender Results Effectiveness Scale (GRES), the Project design and implementation were 'Gender Targeted'.

**Figure 14: The Gender Results Effectiveness Scale (Adapted from UNDP IEO Gender Toolset)**



### Cross-cutting Issues

268. The Project has generated positive effects on the local populations, generally, the activities implemented have sought to ensure that they can access equitably and take advantage of natural resources. The biggest contribution of UNDP-GEF ABS project is to concretize verbal agreements between the company and the local ethnic people into official documents (ABS contract) and take actions to further conserve and value the benefits of TK (TK contract).
269. The Project implementation provided new opportunities for employment and income stability for the community of ethnic minority including women and girls. The designed activities in pilot sites contribute to improving the quality of life of the indigenous communities. In this way, the Project not only included marginalized groups but its conservation and sustainable development activities contribute to poverty reduction and livelihood sustainability
270. While not intentional and part of the intended design, the Project contributed to a human rights-based approach, especially, to ethnic groups, the implementation was respectful and mindful of local cultures, ensuring the different outputs and results were sensitive and interpret their knowledge, traditions, and aspirations. In the opinion of stakeholders interviewed, the Project implementation was careful not to rush, pressure, or stress ethnic groups or local communities. Evidence suggests the Project placed special emphasis on managing the environmental and social safeguards throughout the interventions, especially facilitated through third-party oversight of negotiations.

### GEF Additionality

271. China acceded the Nagoya Protocol in June 2016 and it went into force in September of the same year. Without the Project, national efforts would have continued to move ABS forward, however, restrictions in budgetary allocations for biodiversity and the lack of an institutional and legal framework would delay national response, tackling harmonization of a supporting regulatory framework at sub-national and local level. In this sense,

*"GEF RESOURCES PROVIDED A CATALYTIC ACCELERATION IN OUR UNDERSTANDING OF ABS DESIGN AND IMPLEMENTATION"*

*"WE HAVE BEEN FOLLOWING ABS ISSUES FOR CLOSE TO TWENTY YEARS NOW. THIS PROJECT CATAPULTED US FORWARD BY YEARS, AND WE WOULD NOT HAVE BEEN ABLE TO ACHIEVE THINGS AS EFFICIENTLY WITHOUT THIS INVESTMENT"*

**- REFLECTIONS ON THE VALUE OF THE GEF INVESTMENT**

GEF funding was instrumental to overcome key barriers and accelerate the practical implementation of ABS in China.

272. The Project's incremental reasoning builds on existing and functional state institutions, whose mandate and competencies are needed to ensure a comprehensive implementation of ABS. In this context the Project was lead and nested within FECO / MEE, its investments did not replace or duplicate but complement allocations from the 3 provinces. The GEF facilitated investments that otherwise would not have been possible to realize from other governmental sources.

### ***Catalytic Role / Replication Effect***

273. The Project is the first of its kind in China and one of the few within the regional UNDP portfolio, offering a comprehensive case of supporting a country to implement the Nagoya Protocol on ABS, therefore it offers valuable lessons and high replication potential that could eventually be applied to other countries in the region.

274. Per the Project Document, the results and lessons learned were to be shared and feed into to global best practices on ABS, in an aim to help other countries to develop and implement suitable ABS and conservation frameworks and modalities. These in turn can also provide useful guidance to ongoing regional and global processes related to ABS. Nationally, the Project will ensure that the central, provincial/regional, prefectural and county governments, as well as local communities all gain from China's efforts to promote biotechnology, while encouraging equitable benefit-sharing.

275. The three pilots made marked progress on legislation and agreements. The experience accumulated and challenges met in the process will serve as a valuable reference in implementing legislation in other localities and as an important source of support for national legislation on access to and benefit sharing of China's genetic resources.

276. The Project developed guidance for legislation at province and city level and the PMO is preparing the compilation of deliverables to systematically document experiences from different components, in particular from the pilot activities, and codify lessons and disseminate widely. In parallel to this, there are several provinces, including Hebei, Jiangsu, Shandong, etc. that have already expressed interest to develop specific measures for ABS. The legislative expert team has signalled a willingness to provide those provinces with professional support, further indication of its sustainability and replication potential.

277. The Project's efforts on a knowledge/information management system on genetic resources planned in the first quarter of 2022 and codification of traditional knowledge, as well as the institutional and technical capacity placed at the central and provincial levels, suggest there is a potential to scale up ABS to other regions and genetic resources in China rich in TK.

278. Finally, a lasting ABS network was established with members from related agencies, research institutes, academia and provinces.

## V. Main Findings, Conclusions, Recommendations & Lessons

### A. Main Findings

#### Project Design

279. The project design overall shows a clear and consistent construction and logical flow between project outputs, Outcomes and Objectives. Minor weakness was found in the formulation of and carryover of the inherent subjectivity of some indicators following the MTR. The Project design capitalized on over a decade of institutional expertise following ABS through the CBD environment agenda decades of field expertise from individual, it shows a clear and consistent construction of project outcomes, outputs, and objectives, but was weak in terms of formulating SMART indicators. The design was ambitious, underestimating the time and effort needed to achieve outputs on a broad range of aspects involving a complex web of stakeholders.
280. The TE consultant team concludes that the Project was relevant from the outset and continues to be so as it focuses on environmental and legislative priorities that are aligned with Objective Four under the GEF-5 biodiversity focal area and Outcome 1 of UNDP’s Country Programme Document for China covering both [2016-2020](#) and [2021-2025](#), as well as Pillar 2 in the latter. Moreover, the Project’s in-situ, ex-situ conservation and community development efforts delivered substantial achievements within the biodiversity focal area beyond the core objective under which it was designed. The Project was in line with the national strategies and plans of the People’s Republic of China, especially the National Biodiversity Conservation Strategy and Action Plan (CNBSAP) for 2011 – 2030 and in the context of the rising importance of Ecological Civilization as a foundational building block for national development planning. With respect to the international environment agenda the Project’s achievements, especially its sustainability and replication potential, dovetail with Decision [14/31](#), Decision [NP-3/15](#) and commitment 8 of the Kunming Declaration.
281. The Project’s strategy and its ultimate success, was predicated on an unprecedented degree of collaboration between officials at different levels and branches of government, academic institutions, civil society, the private sector and local communities, including ethnic minority groups. The level of engagement of all these stakeholders was exceptionally strong; each contributing something unique to the equation and leveraging each other’s strengths for a multiplier effect. However, the TE consultant team noted it was difficult to penetrate and engage some line ministries, such as agriculture, which would have added value.

#### Implementation

282. The project has followed an adaptive management approach, showing flexibility and the capacity to face the different challenges found. Implementation was results-based and the Project Document was used as the main roadmap for implementations, with minimal but well-justified deviations.
283. Travel restrictions and social distancing due to COVID-19 did not impact the Project too negatively and it was able to respond to these emerging challenges well by quickly pivoting to online tools. A maximum 12-month extension was granted until 31 March 2022, but this was due to the need to consolidate results and allow for more time for implementation of the framework which came relatively late in the project cycle.

284. Evidence confirms the project maintained superior levels of stakeholder engagement and participation, both at the operative level in different intervention scales, as well as its governance through the TWG and PSC. One of the most interesting findings of the TE, is related to the top-notch political support received by different line ministries, which was critical to move forward some project activities that included institutional, and legal decision-making processes.
285. Both UNDP as IA and FECO / MEE as implementing partner played an indispensable role in the Project, in terms of oversight, coordination, and implementation, facilitating the technical and political support from different stakeholders and entities, including the private sector. The leadership and vision provided by both the IA and IP are exemplary and the change agents and champions that continue to be embedded within UNDP and within the government bode well for ABS issues and continuity going forward.
286. Until the fourth quarter of the 2021 the project executed nearly 90% of the total available GEF funding, it also reports the mobilization of co-financing worth US\$ 79,003,083.00.

#### Project Results and Impact

287. The Project clear demonstrates its effectiveness through the achievement of two impact indicators at the Objective level, while the remaining two are on track to be realized before the project ends. The 3 Project Outcomes have made considerable progress having achieved all corresponding indicators. Taken together the realization of these outcomes have lifted the barriers identified during the Project's design regarding the insufficient legal and institutional setting for ABS implementation, insufficient stakeholder awareness and capacity to develop and implement national and local ABS norms and third, limited capacity to regulate, oversee, promote and control bioprospecting and negotiation of viable ABS mechanisms at the prefecture and provincial levels. The level of efficiency in realizing these breakthroughs is also impressive.
288. One of the Outcomes in which the project made important contributions was the one related to capacity building (Outcome 2). This generated an impressive array of awareness materials, important training documents and inputs, moreover, the Project still needs to secure the official approval of material developed and tailor these to the needs going forward post-project.
289. In relation to the sustainability of the project, among the legacies is that the project has strengthened capacities in the management of access to genetic resources, which plays an important role for the ABS system to be sustained to implement new ABS agreements or to continue with other activities initiated by the project such as the Clearing House Mechanism and populating the database being finalized.
290. The project has contributed to cross-cutting issues such as gender equity and women's empowerment, this is especially evident in the implementation at site level, through the 6 negotiated agreements. In general, the work carried out by the project should have warranted an upgrade of its gender marker from GEN-1 to GEN-2, which means that the project has a "significant contribution to gender equality.

#### Project Results and Impact

291. The differentiating factor of the Project's success was not only the IA's and IP's ability to recognize weakness and sub-optimal delivery, but also to respond swiftly to install a seasoned external Project Manager who was able to not only make up for lost ground during the initial two years, but translate the Project's vision into reality. The PMO was excessively lean for a complex GEF project on issues that were relatively new to China and should not be seen as the benchmark. The effectiveness and rate of delivery came down to not only an experienced management team, but one that was excessively committed to the Project and willing to routinely work beyond business hours and on weekends to get the Project through the finish line.

## **B. Conclusions**

292. Based on the totality of reports reviewed by the TE consultant team and stakeholder consultations, the evaluation concludes that the Project achieved the Development Objective, with progress assessed as **Satisfactory**. The Project has achieved most of its Outcomes, and in some cases has gone beyond them. Progress against Outcome 1 was rated **Highly Satisfactory** with all 5 corresponding targets for associated indicators achieved; against Outcome 2 was assessed as **Highly Satisfactory** with its 5 end-of-project targets having been met; and against Outcome 3 was also rated as **Highly Satisfactory** with all corresponding indicators having achieved their end-of-project targets. Of the 18 indicators in the Strategic Results Framework, 16 were achieved and two were partially achieved, but remain on track for full delivery by operational closure.

293. The Project delivered some foundational results of substantial and of global significance, not least of which is that ABS is now embedded within a national legal and institutional framework in China. The Project benefitted from opportune timing having acceded to the Nagoya Protocol very early on in the Project's lifecycle in September 2016, allowing it to pivot quickly from adoption of a national ABS regulatory framework in compliance with the Nagoya Protocol and mainstreaming it at the provincial and local levels, as well as focusing on the prioritization of supporting provincial regulations in parallel.

294. Under **Outcome 1** regulations on the administration of the access and benefit sharing of biological genetic resources underwent the full legislative process under the legal affairs office of the State Council, creating a favourable enabling environment for the execution of all activities planned under the Project. 14 analyses and research reports on different thematic areas and elements necessary for a robust national ABS framework were also developed in parallel to codes of conduct for different target entities, including industry. To enable local pilots, a range of tools and instruments were developed to guide local legislation, including a model contract covering national and international jurisdictions with PIC and MAT provisions therein.

295. Under **Outcome 2**, there was a fundamental shift in capacity, evidenced by an increase in scorecard results of 31%, 318%, 500% and 509% against the baseline at the national level, as well as for Yunnan, Hunan and Guangxi provinces respectively. Significant efforts were made to enhance national and provincial-level institutional capabilities and pre-requisites for ABS implementation, a plan for ABS training programs was developed, and a doubling down on capacity investments undertaken following the MTR, integrating case studies and materials based on the pilots and the legislation, procedures and contracts developed. A bespoke portfolio of modular training materials – ranging from a multi-volume text book, supporting PowerPoint training slides, additional learning resources and supporting instruction materials for trainers - was developed to target four key stakeholder groups including legislation administrators from government, research institutes, local community and private sector / industry. These were customized on the basis of situational and geographic contexts. More

than 800 participants of which 40% were women, received systematic ABS trainings at the time of writing with more training forecasted until the end of the Project. Trainings were reinforced by high-quality awareness materials and exhibitions, and by raising the profile of ABS issues at commemorative events such to coincide with World Environment Day, International Biodiversity Day and Earth Day, to name a few.

296. The **Outcome 3** pilot demonstrations have resulted in 6 negotiated agreements, each opening the doors to highly innovative and long-term collaborations between local communities and private sector entities and each showcasing the genetic benefits of and commercialization - through Research and Development - of the potential of different species in order to secure research as well as environmental sustainability and resource availability; while underscoring the nexus between genetic resources and its potential to enhance economic livelihoods. The execution of these pilots has also contributed to the existing body of knowledge on traditional medicine, processing and harvesting techniques, rare varieties and the cross-pollination and symbiotic potential of traditional knowledge and modern processing methods. The Project has also been prolific in its pursuit of ABS information sharing through knowledge management, with a range of videos and animations that have been developed to summarize the good practices and the experiences generated, and will culminate in the release of a book scheduled to be released by the end of the Project and published soon thereafter.
297. Taken together, the Project has achieved many if not most of its identified targets, and in some cases has even surpassed them. The volume of work that went into the execution of the Project in comparison to the level of GEF funding was high. The Implementing Partner, supported by the national and three provincial PMOs have all contributed an extremely high level of national ownership and efforts have certainly contributed to an increased awareness with regard to ABS.
298. As a result of the time required to incubate, review and approve various pieces of legislation, supporting instruments at provincial and municipal level, as well as set up the requisite regulatory architecture to support accession to the Nagoya Protocol, the Project was least successful in ensuring sufficient time for the implementation of the National ABS Framework at sub-national levels. The TE consultant attributes this shortcoming to the Project's design and underestimation of the work effort.
299. The initial design assumed several hypotheses, legislative process and approvals in China would be quick, an abundance of readily available subject-matter experts and an assumption that ABS issues could be easily understood through training. Furthermore, the design of the Project was very ambitious due to the magnitude of the goals in the three significant areas. By virtue of these complexities, the Project had to extend its execution period by 12 months.
300. The main risks that affected the performance of the Project were the complex and time-consuming Chinese legislative process and need for discussion and consensus around the coordination of relevant activities and mandates (key prerequisite to legislation) which impacted timely commencement or completion of different strands of the Project based on dependencies regarding approvals. These risks were beyond the Project's sphere of influence and notwithstanding delays, an important precursor to get things right to lay the foundation going forward. The PMO rightly anticipated these risks and put in place a situational analysis, training on coordination challenges and was attentive to documenting of roles and responsibilities as mitigation measures. COVID-19 was a significant risk that should have had a more significant impact nationally than it actually did, as the Project segued quickly to the adoption of online tools, although in fairness the Project could have benefited from learnings with countries in the region through exchange visits; this was not possible during the pandemic.




301. The Project was efficiently managed. Outputs were reached within approved budget parameters, and there were abundant examples of adaptive management that saved time and money and went beyond the Project's scope parameters. Annual budget revisions helped to re-program unspent funds and make transfers between budget lines. Delivery has been highly satisfactory both in program and financial terms. There has been efficient usage of human resources with exceptionally strong team dynamics that efficiently distributed work in accordance with respective strengths and skill sets.
302. The comparative advantage of the UNDP China Country Office was the technical capacity and leadership it brought to the table in the implementation of projects for the conservation of the environment and biodiversity, and also the vision and foresight of the potential the People's Republic of China has to be one of the global leaders in the application of the Nagoya protocol, as well as potential for technical and scientific cooperation and replication.
303. Sustainability is the main concern of the evaluation of this project; at the date of the conclusion of the TE an exit strategy is still being finalized and, without confirmed avenues of follow-up financing and transitional commitments to support institutional strengthening, continued capacity and awareness raising to follow up on the Project's activities, prospects for sustainability are ambiguous. Reassuringly, key staff from FECO will continue working on ABS issues and therefore, strong institutional arrangements will remain in place. Agreements between local communities and industry will endure post-project delivering economic benefits and diversifying local livelihoods. Research and development to affirm the commercial viability of the biological products and therefore their use will take time to develop but the private sector stands committed to continued investment.

## C. Recommendations

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
<b>Category 1: Current project</b>		
1	While the Project developed a custom and purpose-built platform ( <a href="http://www.absch.org.cn">http://www.absch.org.cn</a> ) to enable the sharing of technology and knowledge resources with Chinese stakeholders, coined "ABS Clearing-House", this is different than the CBD Secretariat's <a href="#">ABS Clearinghouse Mechanism</a> , which is the key international tool to facilitate the implementation of the Nagoya Protocol. One of the requirements of accession is to populate it and maintain current information. As a Party to the Nagoya Protocol, the Project must ensure this is undertaken before operational closure.	FECO (with support by the national PMO if needed)

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
		
2	<p>The Project needs to elaborate a <b>detailed</b> exit strategy, establishing the steps to be taken and pending issues post-project. It is recommended therefore, to augment the Project's existing exit strategy per best practice example provided by the TE consultant team. This should explore the following pillars / sub-topics:</p> <ul style="list-style-type: none"> <li>• Ongoing activities and operational strands of work should explicitly note whether they will be “phased down”, “phased out” or “phased over”;</li> <li>• Transition plan explicitly noting what each of the core members of the legislative expert team will continue to own and promote as part of their ongoing work, what activities are likely to lose momentum and what gaps are foreseen in the near-term;</li> <li>• An inventory of different aspects of the Project, including implementation of regulations and contracts, which need to be monitored, how often, by whom and at what cost;</li> <li>• Viability strategies for any interim management / coordination support that might be necessary;</li> <li>• A compilation of sources of funding and potential future investment(s) by key stakeholders involved, external third parties and / or international donor community.</li> </ul>	National and Provincial PMOs (in consultation with key stakeholders)
3	<p>The Project is developing a compilation of deliverables to systematically document experiences and lessons from the Project's different components, including from the pilot activities and demonstrations. It is also compiling a book on ABS expected to be published shortly after operational closure. Public awareness and information management need to be approached as over-arching aspects of the ABS framework that require longer-term attention. The Project should consider the inclusion of the following in these deliverables:</p> <ul style="list-style-type: none"> <li>• Specific case studies which have emerged from implementation, not only related to ABS legislation per se, but also operational issues such as essential functions and</li> </ul>	PMO

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p>composition of PMOs and a retrospective on what can be achieved within certain timelines based on the Chinese context;</p> <ul style="list-style-type: none"> <li>• Linkages to lessons of this Project to the broader portfolio of UNDP projects within the region;</li> <li>• Assessment of the Project's contribution to the Sustainable Development Goals, to global environmental benefits and possible entry points for the post-2020 Global Biodiversity Framework;</li> <li>• Important or interesting areas that have either gone underexplored or not explored at all, such as protection of microbial genetic resources and microorganisms;</li> <li>• Opportunities arising from the study of Digital Information and Big Data.</li> </ul>	
4	<p>The three pilots and demonstrations between local communities and the private sector have left their mark through a legacy of legislation, provincial and municipal regulations, as well as through 6 inclusive ABS contracts. With little to no previous experience and benchmarking prior to the UNDP-GEF ABS project, things have not always been smooth and there have been challenges and hiccups along the way. Insufficient readiness and preparation resulted in a slow start and a number of inefficiencies during the first Annual workplan. Learning from past mistakes are instrumental in setting new provinces on the right footing so they can hit the ground running. Already there are several provinces, (including Hebei, Jiangsu, Shandong) and municipalities (the city of Guangzhou in Guangdong province) which have expressed their willingness to develop specific ABS measures.</p> <p>It is recommended that a readiness package / starter kit is prepared for new stakeholders embarking on ABS regulatory discovery and implementation, including model contract(s), sample regulations, an indicative work plan / roadmap and a checklist of near-term priorities and critical questions to be answered at the outset. This kit, based on the experience accumulated by the Project and challenges met in the process, will serve as a valuable reference point and should be accompanied by a list of learning and training resources. While a legislative expert team has agreed to provide provinces with professional support, such a resource will help make the process more self-directed in light of insufficient financial resources.</p>	National and Provincial PMOs
5	<p>The Project has underscored the importance of capacity when it comes to complex issues such as ABS. While the Project has delivered robust institutional and professional training, the TE consultant team believes it has only scratched the surface on</p>	UNDP China Country Office and Implementing Partner

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p>what is necessary going forward. Consultations have corroborated this observation and surfaced the need for ongoing training to different target audiences, including academia, local communities, companies and government personnel - to internalize core concepts.</p> <p>Continued technical support and funding is needed to consolidate institutional capacities for assuming ABS roles and responsibilities, functions, and provide guidance and ongoing refresher training for the implementation and refinement of national and sub-national ABS frameworks. The Project should explore different avenues for bridge funding until a follow-up initiative is incubated.</p>	
<b>Category 2: Future project management</b>		
6	The UNDP-GEF ABS project has certainly demonstrated the value and benefits of neutral outside management support. Future projects should prioritize external recruitment of a PMO not represented by members of the Implementing Partner or executing entities. The recruitment process should prioritize seasoned management with best practice certification (Prince 2 or PMI).	UNDP China Country Office
<b>Category 3: Future programming</b>		
7	<p>Plan for and carry out a "reality check" re-thinking and adjustment phase before implementation begins. Recognizing that there may be a lapse of a year or more between project design and implementation, it would be advisable for the designers of future projects to specifically build in an inception phase that requires a critical review of project design at start-up, with substantive input from all project partners. During such a substantive inception phase, future projects would do well to:</p> <ul style="list-style-type: none"> <li>• Update the actual situation in participating countries against the context at the time the project document was written;</li> <li>• Assess the time and funding proposed for implementation against actual national capacity to deliver;</li> <li>• Revise project components and deliverables accordingly; and</li> <li>• Develop work plans on this basis.</li> </ul>	UNDP China Country Office
8	The Project has strong prospects for replication and upscaling, and there is an enabling environment for ABS made possible through clear signals within the updated China National Biodiversity Conservation Strategy and Action Plan on priority actions related to ABS, as well as through the Fourteenth Five-Year Plan. The Project therefore, should vigorously pursue a follow-up initiative. Regarding the design and programming of similar interventions in the future, the TE consultant team also recommends establishing the specific problem to be solved from the beginning, with a theory of change according to where the	UNDP China Country Office and core legislative expert team

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	<p>route is visualized from the inputs, activities, and products to the expected results or effects. Possible thematic areas for follow-up include:</p> <ul style="list-style-type: none"> <li>• Alignment and harmonization between international negotiation and implementation of domestic ABS issues;</li> <li>• Documenting issues arising from implementation of regulations and pursuing subsequent refinements and amendments;</li> <li>• Supporting and allocating sufficient time for R&amp;D of genetic resources;</li> <li>• Greater inter- and intra-ministerial mainstreaming; and</li> <li>• Resolving potential conflicts among overlapping authorities over natural resources, as well as rights-holders of Traditional Knowledge;</li> <li>• Through pilots, greater exploration of domestic legal recognition and protection of genetic resource rights assigned to not only ethnic minorities, but also local communities of all ethnic groups.</li> </ul>	
9	<p>Strengthen cooperation among multiple ministries or departments to improve the integrity and consistency of ABS data and information, especially the cooperation with the Ministry of agriculture and rural affairs of China in future projects, so as to strengthen the support of existing agricultural research data for ABS basic research and database construction.</p>	FECO
10	<p>Article 18 of the CBD and Article 23 of the Nagoya Protocol underscore the need for technical and scientific cooperation between Parties to the Convention and to the Protocol. Specifically, Article 23 of the NP encourages Parties to:</p> <p><b><i>“...collaborate and cooperate in technical and scientific research and development programmes, including biotechnological research activities, as a means to achieve the objective of this Protocol. The Parties undertake to promote and encourage access to technology by, and transfer of technology to, developing country Parties, in particular the least developed countries and small island developing States among them, and Parties with economies in transition, in order to enable the development and strengthening of a sound and viable technological and scientific base for the attainment of the objectives of the Convention and this Protocol.”</i></b></p> <p>With this in mind and given the Project’s exemplary performance and achievements, it is encouraged that FECO and the core legislative expert team which has supported implementation should register as a “Provider” of technical assistance on the</p>	FECO and core legislative expert team

**Table 4: Key recommendations table (with responsible entity)**

Number	Recommendation	Primary Responsible Unit(s) or Party(ies)
	CBD's <a href="#">Bio-Bridge Initiative platform</a> in order to support requests from Parties that have a dearth in capacity and knowledge on ABS issues in general. China has a lot to offer and ought to take a leadership role globally based on the outcomes of the Project and what has been achieved in a short period of time.	

## D. Lessons Learned

**Lesson 1:** Leveraging existing networks and having natural partners with high absorption capacity to carry work forward post-project is a critical element of sustainability.

**Lesson 2:** It is important that a project's design and timeline reflects national constraints and the potential disruption caused by administrative, legislative and consultation procedures. While GEF projects must be ambitious to achieve global environmental benefits, they need to balance and take into consideration the sphere of influence of the management teams that implement them so as not to set unrealistic expectations and targets. Meaningful engagement of partner experts during the project development and inception phase is important to help avoid the development of impractical targets.

**Lesson 3:** The inception period is very valuable – allow sufficient time. It helps to demystify the expectations of GEF projects, pool together necessary expertise to “right-size” the level of ambition and determine if guidance can be provided from GEF or the GEF Implementing Agency on how to manage a big project. More importantly, this is when the PMU must be established to enable projects to hit the ground running. All things considered, deep consultation and the right representation is essential to set projects on the right footing.

**Lesson 4:** Project “Champions” and “Change Agents” play a significant role in project success and furthermore, are instrumental to project replication and sustainability efforts. Strong leadership by UNDP is also needed in implementing the Project at the component level. The return on investment and benefits of initial and ongoing refresher training on critical elements of implementation such as on Project Management best practice and on gender issues should not be underestimated.

**Lesson 5:** ABS future projects should not only focus on making the linkages between ABS, biodiversity conservation and sustainable livelihoods but also on integrating that into the project's objectives, components, activities and major deliverables. The UNDP-GEF ABS project, while principally focused on ABS and Nagoya protocol, also integrated sustainable livelihood and biodiversity conservation mainly through outcomes 1 and 3 respectively, making for a balanced and thoughtful design targeting multiple pillars of the CBD and GEF programming.

**Lesson 6:** The national PMO was not representational of the ideal number of resources to carry out such an ambitious and multi-faceted project. While, the lean project management team might be very efficient in terms of project financing and palpable to the GEF, it had unfortunate consequences on work-life balance. While UNDP-supported GEF-financed projects are asked not to invest a lot in project management, that does not mean that you ask one person shoulder the load and coordinate the whole project.

While UNDP-supported GEF-financed projects invest a lot in project management, but that does not mean that you ask one person to oversee and orchestrate the whole project which required significant overtime without compensation. This should not be the benchmark nor the expectation. The pace and ability of the PMU is atypical and should not be leveraged as an input into the future composition of PMUs.



## LIST OF ANNEXES:

<b>ANNEX A:</b>	Terms of Reference
<b>ANNEX B:</b>	Inception Report
<b>ANNEX C:</b>	List of Documents Reviewed
<b>ANNEX D:</b>	List of Indicative Questions
<b>ANNEX E:</b>	List of Persons Interviewed
<b>ANNEX F:</b>	Rating Scales
<b>ANNEX G:</b>	Signed UNEG Code of Conduct and Consultant Agreement Form
<b>ANNEX H:</b>	Co-financing Table
<b>ANNEX I:</b>	Short Biography of TE Consultant Team
<b>ANNEX J:</b>	Signed TE Report Clearance Form
<b>ANNEX K:</b>	Audit Trail of Comments (separate file)
<b>ANNEX L:</b>	Relevant terminal GEF/LDCF/SCCF Core Indicators or Tracking Tools, as applicable

## ANNEX A: TERMS OF REFERENCE



UNDP-GEF-TE-TOR-  
ABS Project\_0602.do

## ANNEX B: INCEPTION REPORT



UNDP-GEF ABS  
Project\_Inception\_R

## ANNEX C: LIST OF DOCUMENTS REVIEWED

No.	File Name
1	PIF.docx
2	Initiation Plan China ABS Project-20140314.doc
3	12-03-15_PIMS_5310_China_ABS_Prodoc_FINAL_Resubmission_2_Dec.docx
4	5310 China ABS CEO ER FINAL_Resubmission_December 2.docx
5	5-UNDP SESP
6	20170118update-Inception Report-ABS.doc
7	ABS Project MTR-Final-12082018.docx
8	2020 PPR_94671_ABS_FINAL.docx
9	2021 PPR_94671_ABS-Final.docx
10	2017-PIR-PIMS5310-GEFID5533.docx
11	2018-GEF-PIR-PIMS5310-GEFID5533.docx
12	2019-GEF-PIR-PIMS5310-GEFID5533.docx
13	2020-GEF-PIR-PIMS5310-GEFID5533.docx
14	2021-GEF-PIR-PIMS5310-GEFID5533.docx
15	Info note.txt
16	The 1st ABS PSC Meeting Minute_CH.docx
17	The 2nd ABS PSC Meeting Minute_CH.pdf
18	The 2nd ABS PSC Meeting Minutes_EN.docx
19	The 3rd ABS PSC Meeting Minute_CH.pdf
20	The 3rd ABS PSC Meeting Minutes_EN.docx
21	The 4th ABS PSC Meeting Minute_CH.pdf
22	The 4th ABS PSC Meeting Minute_EN.docx
23	The 5th ABS PSC Meeting Minute_CH.pdf
24	The 5th ABS PSC Meeting Minutes_EN.pdf
25	The 6th ABS PSC Meeting Minute_CH.pdf
26	The 6th ABS PSC Meeting Minute-EN.doc
27	Co-finance table - Guangxi.doc
28	Co-finance table - Yunnan.doc
29	Co-finance table -Hunan.docx
30	Co-finance table -Hunan.xlsx
31	2020-2021 TYWP-94671-signed by UNDP.pdf
32	2021-2022 ABS Project- Two Year Work Plan-VFinal-tracking.xlsx
33	BGT Table_5310ABS_22010818.xlsx
34	The study on the prospect and countermeasures of the legislation about GR management in China
35	National Access and Benefit Sharing (ABS) Guidelines and Issues
36	Abstract of the Analysis on Japanese and Korean legislation
37	The study on the development tendency of Biotechnology about Nagoya Protocol
38	The study on the prospect and countermeasures of the legislation about GR management in China
39	ABS Gender Studies
40	Research on Public Financial Mechanism for ABS in China
41	Management Framework for traditional knowledge related to Genetic Resources.doc
42	The study on the terms of digital sequence information of genetic resources
43	The status and trend analysis of the utilization of digital sequence information of genetic resources in China
44	Report on Types Analysis of DSI of Genetic Resources
45	The study on the outflow and introduction status of microbial genetic resources
46	Draft of the Study on important issues and countermeasures of microbial genetic resources access and benefit sharing
47	Research on the applicability of China ABS Regulatory Framework
48	Final report assessment comments of experts for the Research on Legitimacy and Compliance of Foreign Affairs related ABS Management.
49	Draft of the Research on Genetic Resource Related to Traditional Knowledge Collective Management System
50	The Guide to Local Legislation on Biogenetic Resources and Related Traditional Knowledge
51	The study on ABS contracts at home and abroad

Terminal Evaluation: “Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge” - Final Report

Page 146

No.	File Name
52	The study on ABS process
53	The report of the Research on ABS Information Sharing and Management Mechanism
54	Report of the study on the development tendency of Biotechnology about Nagoya Protocol
55	Middle report assessment comments of experts for the study of Digital Information and Big Data
56	A series of ABS Training Textbooks
57	Training Material for Enterprise
58	Training Material for research institute
59	Training Material for Community
60	Training Material for Administrator
61	ABS themed activities for raising awareness of the public
62	ABS themed exhibition
63	ABS related workshops integrated into training for government officials
64	Knowledge management and communication
65	ABS Project VI & Website Design and Production
66	Report of the awareness investigation and status analysis of relevant industries' development and utilization of GR
67	Report of the Public ABS Awareness Survey
68	Midea report for one training of research institute
69	Final Report of the ABS training for research institute
70	Final Report of the ABS training for communities
71	Final Report of the ABS training for enterprise
72	National ABS communication strategy and implementation plan development
73	Case Studies and Analysis on Innovative Advocacy Approaches to Promote ABS
74	Report on Guangxi GR related TK entries Classification
75	Guangxi GR related TK Case Investigation Report
76	ABS agreements- Case 1- Novezymes and Jiangnan University with Dahuangba Village
77	ABS agreements-Case 2- Dr. Plant Corp with Daka Village and Manyuan Village
78	ABS agreements-Case 3- TK ABS Contract between Daiyitang and Aihanle
79	ABS agreements-Case 4- Jifusi Corp (Monk Fruit) with two individuals and four villages
80	ABS agreements-Case 5- Xiangxi Black Pigs (two companies with two villages respectively)
81	ABS agreements-Case 6- Three agreements on Xiangxi Tea ABS
82	ABS agreements-Case 7- Fengrunlai Corp ABS Agreements on Monk fruit and Golden Golden Camellia
83	ABS agreements-Case 8- Kiwi Fruit ABS Agreement in Xiangxi
84	ABS agreements-Case 9- Zhongganggaoke Corp ABS Agreement with individual
85	The Regulation on ABS Drafted Version for comments
86	Feedback from pilots for the draft of Administration Rules of ABS
87	Xiangxi Tujia and Miao Autonomous Prefecture Regulations on Biodiversity Conservation
88	Xishuangbanna Prefecture Temporary Measures on Access and Benefit Sharing of Genetic Resources
89	Conservation Sites photos
90	Exit/Transit Plan for the ABS project

## ANNEX D: LIST OF INDICATIVE QUESTIONS

### **General**

1. Did they have an inception workshop? How was it, who participated, is there a minute or document I can see about it?
2. When was decided to scale down the project?
3. How were the administrative and financial arrangements?
4. What other projects and initiatives have been collaborating / complementing or competing with ours?
5. What happened with the strategic advisors the project was supposed to provide under the different Outcomes? Did it work? Where Is he/she now?
6. The extent to which the project activities are suited to the priorities and policies of the target group, recipient and donor.
7. To what extent are the objectives of the project still valid?
8. Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
9. Are the activities and outputs of the project consistent with the intended impacts and effects?
10. What could have been done differently?

### **Relevance**

1. Is the project relevant to GEF biodiversity focal area?
2. How does the project support the GEF biodiversity focal area and strategic priorities?
3. Is the project relevant to the China's environment and sustainable development objectives?
4. Is the project country-driven?
5. What was the level of stakeholder participation in project design?
6. What was the level of stakeholder ownership in implementation?
7. Does the project adequately take into account the national realities, both in terms of institutional and policy framework in its design and its implementation?
8. Is the project relevant to the country programme of the UNDP?
9. Does the project contribute to the Country Programme Document of UNDP in China?
10. Is the project addressing the needs of target beneficiaries at the local and regional levels?
11. How does the project support the needs of relevant stakeholders?
12. Has the implementation of the project been inclusive of all relevant stakeholders?
13. Were local beneficiaries and stakeholders adequately involved in project design and implementation?
14. Is the project internally coherent in its design?
15. Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources etc.)?
16. Is the length of the project sufficient to achieve project outcomes?
17. How is the project relevant with respect to other donor-supported activities?
18. Does the GEF funding support activities and objectives not addressed by other donors?
19. How do GEF-funds help to fill gaps (or give additional stimulus) that are necessary but are not covered by other donors?
20. Is there coordination and complementarity between donors?
21. Does the project provide relevant lessons and experiences for other similar projects in the future?
22. Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?

23. What has been the main focus of the project implementation so far? Who are the main beneficiaries? How were they selected?
24. The extent to which the project activities are suited to the priorities and policies of the target group, recipient and donor.
25. To what extent did the objectives remain valid throughout the project duration?
26. Were the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
27. Were the activities and outputs of the project consistent with the intended impacts and effects?
28. How was the project aligned to the national development strategy?
29. To what extent are the objectives of the project still valid?
30. Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
31. Are the activities and outputs of the project consistent with the intended impacts and effects?

### **Effectiveness**

1. Has the project been effective in achieving its expected outcomes?
2. To what extent have the project targets been achieved?
3. To what extent have the project failed to achieve its targets?
4. To what factors can be attributed the achievement and/or non-achievement of the targets?
5. Did the activities contribute to the achievement of the planned outputs?
6. Have the different outputs been achieved?
7. What progress toward the outcomes has been made?
8. How is risk and risk mitigation being managed?
9. How well are risks, assumptions and impact drivers being managed?
10. What was the quality of risk mitigation strategies developed? Were these sufficient?
11. Are there clear strategies for risk mitigation related with long-term sustainability of the project?
12. What changes could have been made (if any) to the design of the project in order to improve the achievement of the project's expected results?
13. To what extent the design, implementation and results of the project have incorporated a gender equality perspective and human rights-based approach? What should be done to improve gender and human rights mainstreaming?
14. What has been the result of the capacity building/trainings interventions? Were qualified trainers available to conduct training?
15. How did UNDP support the achievement of project outcome and outputs?
16. How was the partnership strategy conducted by UNDP? Has UNDP partnership
17. strategy been appropriate and effective? What factors contributed to effectiveness or ineffectiveness? What were the synergies with other projects?

### **Efficiency**

1. Is project support provide in an efficient way?
2. Is adaptive management use or need to ensure efficient resource use?
3. Is the project logical framework and work plans and any changes made to them use as management tools in the implementation?
4. Are the accounting and financial systems in place adequate for project management and producing accurate and timely financial information?
5. Are progress reports produced accurately, timely and responded to reporting requirements including adaptive management changes?
6. What was the original budget for the Project? How have the Project funds been spent? Were the funds spent as originally budgeted?



7. Are there any management challenges, which affected efficient implementation of the Project? What are they and how were they addressed?
8. Do the leveraging of funds (co- financing) happen as planned?
9. Are financial resources utilize efficiently? Could financial resources have been used more efficiently?
10. Is procurement carried out in a manner making efficient use of project resources?
11. How is results-based management used during project implementation?
12. Is project implementation as cost effective as originally proposed (planned vs. actual)
13. How efficient are partnership arrangements for the project?
14. To what extent partnerships/ linkages between institutions/ organizations are encouraged and supported?
15. Which partnerships/linkages are facilitated? Which ones can be considered sustainable?
16. What is the level of efficiency of cooperation and collaboration arrangements?
17. Which methods are successful or not and why?
18. Is the project efficiently utilize local capacity in implementation?
19. Is an appropriate balance struck between utilization of international expertise as well as local capacity?
20. Is the project take into account local capacity in design and implementation of the project?
21. Is there an effective collaboration between institutions responsible for implementing the project?
22. How could the project have more efficiently carry out implementation (in terms of management structures and procedures, partnership arrangements etc.)?
23. What changes could make (if any) to the project in order to improve its efficiency?
24. Are objectives achieved on time?
25. Is the project implement in the most efficient way compared to alternatives?
26. Sustainability
27. Are the outputs and outcomes of the project likely to be sustainable?
28. Is there a realistic sustainability plan?
29. Do project achievements show potential for sustainability, replication, scaling up?
30. Do the financial, institutional, policy, social, economic, cultural and environmental conditions pose risk/s to the sustainability of project results?
31. Are the risks manageable?
32. Does the sustainability plan address the risks?
33. What opportunities are available that can help sustainability of project gains?
34. How can these opportunities be used or optimized for sustainability?
35. What are the major factors that influence the achievement or non-achievement of sustainability of the programme or project?
36. What should be done to improve environmental sustainability mainstreaming?
37. To what extent will the benefits of the programme or project continue after donor funding stops?

### ***Impact of interventions***

1. What are the stated goals of the Project? To what extent are these goals shared by stakeholders? What are the primary activities of the programme and expected outputs? To what extent have the activities progressed?
2. What has happened as a result of the project?
3. How many people have been affected?
4. Has the project contributed or is likely to contribute to long-term social, economic, technical, environmental changes for individuals, communities, and institutions related to the project?

## ANNEX E: LIST OF PERSONS INTERVIEWED

Beijing		Toronto		NO.	Interviewee
Date	Time	Date	Time		
2021-10-21	10:00-11:00	2021-10-20	22:00-23:00	1	LI Xiaolan 李笑兰 Project Manager 项目经理
2021-10-22	10:00-11:00	2021-10-21	22:00-23:00	2	UNDP China Country Office: MA Chaode ZHAO Xinhua ZHENG Cheng
2021-10-25	19:00-19:30	2021-10-25	07:00-07:30	3	SHEN Dingfang 申顶芳 Mengnanshe 梦南社 (NGO) Trainer for community
	19:30-20:00		07:30-08:00	4	YANG Guangxi 杨光 China Academy of Chinese Medical Science 中国中医科学院
2021-10-26	11:00-11:30		23:00-23:30	5	XU Jing 徐靖 Chinese Research Academy of Environmental Sciences 中国环境科学研究院 Member of the Chinese delegation of recent COPs. Team leader for the series of training for Administrator.
	11:30-12:00		23:30-24:00	6	LIU Haiou 刘海鸥 Chinese Research Academy of Environmental Sciences 中国环境科学研究院 The expert who is responsible for ABS project compilation.
	19:00-20:00	2021-10-26	07:00-08:00	7	ZHAO Fuwei 赵富伟 CTA (Dec 2019 to now) 项目首席专家 Member of the ABS legislative experts groupABS 立法专家组成员 Member of the Chinese delegation of recent COPs.

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 151

2021-10-27	10:30-11:00		22:30-23:00	8	GAO Lei 高磊 Finance Officer of the PMO
2021-11-02	09:30-10:00	2021-11-01	21:30-22:00	9	ZHAO Yang 赵阳 Project Monitoring and Evaluation Specialist
2021-11-03	10:30-11:00	2021-11-02	22:30-23:00	10	Small Group meeting with three participants: WANG Ying 王影, YANG Shihui 杨时惠 and YU Binrong 余宾蓉 both from the company: GoldenBee CSR Consulting 贵扬天下(北京)管理顾问有限公司 The company took tasks listed below: 1) Research on the applicability of China ABS Regulatory Framework 2) Enterprise Training in Capacity Building and Awareness Raising of Access to and Benefit Sharing of Genetic Resources 3) Public ABS Awareness Survey
	11:00-11:30		23:00-23:30	11	ZHONG Xiaodong 钟晓东 Chief expert, Foreign Environmental Cooperation Center, Ministry of Ecology and Environment 首席专家, 生态环境部对外合作与交流中心 As an internal expert, Mr. Zhong has provided technical supports for the PMO.
	18:00-18:30	2021-11-03	06:00-06:30	12	CHEN Yongsong 陈永松 Representative of the Ecological Network 云南生态网络 Close partner of Yunnan PMO to conduct community activities.
2021-11-09	19:00-19:30	2021-11-09	06:00-06:30	13	QU Xianhe 曲显和 广西大学法学院, Law School of Guangxi University
2021-11-11	11:00-12:00	2021-11-10	22:00-23:00	14	Group meeting with Guangxi PMO and Guilin PMO 广西项目办及桂林项目办

	12:00-12:20		23:00-23:20	15	the Representative of the Legislative agencies of Guangxi 广西壮族自治区立法主管部门代表
	19:00-19:30	2021-11-11	06:00-06:30	16	LAN Feisi 蓝斐思 Monk Fruit Corp, 桂林吉福思罗汉果股份有限公司 Signed ABS agreements with four villages and two individuals
2021-11-12	11:00-12:00	2021-11-11	22:00-23:00	17	Group meeting with Hunan PMO and Xiangxi PMO 湖南及湘西项目办 Most of the representatives are from the Department of Ecology and Environment of Hunan Province and the Bureau of Ecology and Environment, Xiangxi Tujia and Miao Autonomous Prefecture
	12:00-12:30		23:00-23:30	18	Prof YU Wenxuan 于文轩教授 China University of Political science and Law 中国政法大学 Prof. Yu is the team leader of the Research on ABS Information Sharing and Management Mechanism, He is the member of the ABS legislative experts group as well.
	12:30-13:00		23:00-24:00	19	Group meeting with Xishuangbanna PMO 西双版纳项目办
2021-11-23	10:00-11:00	2021-11-22	21:00-22:00	20	Group meeting with Yunnan PMO 云南项目办访谈
2021-11-25	10:30-11:00	2021-11-24	21:30-22:00	21	YU Lei 禹雷 General Manager Assistant 总裁助理 Dr. Plant Corp 北京植物医生生物科技有限公司

	11:00-11:30		22:00-23:30	22	LONG Zigang 龙自刚 General Manager 总经理 Yingmeizi Tea Technical Corp 湖南英妹子茶叶科技有限公司
2021-11-30	10:00-11:30	2021-11-29	21:00-22:30	23	湘西州项目办公室访谈社区代表 Group meeting with representatives in Xiangxi PMO office. Five representatives, three females and two males, are from Pairu, Guanba and Shoutouxu Village, Guzhang County (古丈县排茹村、官坝村、梳头溪村) Guzhang County. They signed the ABS contracts with Yimeizi Corp.
2021-12-03	10:00-11:00	2021-12-02	21:00-22:00	24	广西项目办社区连线（龙胜各族自治县龙脊镇和平村） Heping Village, Longji Township, Longsheng Ge Minority Autonomous County Guangxi PMO will support the on-site connection with community members who benefit from providing genetic resource of Monk fruits.
2021-12-03	11:30-13:00	2021-12-02	22:30-24:00	25	西双版纳项目办大卡寨现场连线 Xishuangbanna PMO will support the on-site connection with Daka community members. Daka is a Hani minority village. The agreement between QIAN Zhou, the representative of the community and Dr. Plant is about the use of a fragrance species and its related traditional knowledge.

## ANNEX F: RATING SCALES

### Monitoring & Evaluation Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no short comings; quality of M&E design/implementation exceeded expectations
5 = Satisfactory (S)	There were minor shortcomings; quality of M&E design/implementation met expectations
4 = Moderately Satisfactory (MS)	There were moderate shortcomings; quality of M&E design/implementation more or less met expectations
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of M&E design/implementation was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of M&E design/implementation was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in M&E design/implementation
Unable to Assess (UA)	The available information does not allow an assessment of the quality of M&E design/implementation.

**Source:** Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects, Annex 9, page 111.

### Implementation/Oversight and Execution Ratings Scale

Rating	Description
6 = Highly Satisfactory (HS)	There were no shortcomings; quality of implementation/execution exceeded expectations
5 = Satisfactory (S)	There were no or minor shortcomings; quality of implementation/execution met expectations.
4 = Moderately Satisfactory (MS)	There were some shortcomings; quality of implementation/execution more or less met expectations.
3 = Moderately Unsatisfactory (MU)	There were significant shortcomings; quality of implementation/execution was somewhat lower than expected
2 = Unsatisfactory (U)	There were major shortcomings; quality of implementation/execution was substantially lower than expected
1 = Highly Unsatisfactory (HU)	There were severe shortcomings in quality of implementation/execution
Unable to Assess (UA)	The available information does not allow an assessment of the quality of implementation and execution

**Source:** Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects, Annex 9, page 111.

### Outcome Ratings Scale - Relevance, Effectiveness, Efficiency

Rating	Description
6 = Highly Satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings
5 = Satisfactory (S)	Level of outcomes achieved was as expected and/or there were no or minor shortcomings
4 = Moderately Satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.
3 = Moderately Unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings
2 = Unsatisfactory (U)	Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.
1 = Highly Unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe shortcomings
Unable to Assess (UA)	The available information does not allow an assessment of the level of outcome achievements

**Source:** Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects, Annex 9, page 112.

### Sustainability Ratings Scale

Ratings	Description
4 = Likely (L)	There are little or no risks to sustainability
3 = Moderately Likely (ML)	There are moderate risks to sustainability
2 = Moderately Unlikely (MU)	There are significant risks to sustainability
1 = Unlikely (U)	There are severe risks to sustainability
Unable to Assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability

**Source:** Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects, Annex 9, page 112.



## ANNEX G: SIGNED UNEG CODE OF CONDUCT AND AGREEMENT FORM(S)

### Camillo Ponziani - Team Leader / Sr. Evaluation Specialist

#### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

#### Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Evaluator: Camillo Ponziani

Name of Consultancy Organization (where relevant): N/A

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Toronto, Canada (Place) on 30 September 2021 (Date)

Signature: 

Terminal Evaluation: "Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge" - Final Report

Page 157

**Liu Shuo - National Consultant / Evaluator**

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

**Evaluation Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Evaluator: Liu Shuo

Name of Consultancy Organization (where relevant): N/A

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Beijing, China (Place) on 30 September 2021 (Date)

Signature: 

ANNEX H: CO-FINANCING

Table 15: Summary of Co-Financing								
Sources of Co-financing	Name of Co-financer	Description of Actual Co-Financing Contributed	Type of Co-financing	Amount Confirmed at Endorsement (USD)	Amount Contributed at Stage of Midterm Review (USD)	Percent (%) of Confirmed Amount (USD)	Amount Contributed at Stage of Terminal Evaluation (USD)	Percent (%) of Confirmed Amount (USD)
Implementing Agency	UNDP	N/A	Cash	\$0.00	\$0.00		200,026.42	
National Government of China	Ministry of Ecology and Environment	N/A	In-kind and Cash	15,136,000	70,656,184	466	70,656,184	466
Local Government of China	Provincial Government	Yunnan	In-kind and Cash	2,700,000	1,212,611	44.91	2,896,157	107
		Hunan	In-kind and Cash	2,400,000	1,568,310	65.34	2,814,035	117
		Guangxi	In-kind and Cash	2,700,000	1,154,371	42.75	2,636,707	98
		Total		7,800,000	3,935,292	50.45	8,346,899	107
Total Co-financing				22,936,000	74,591,476	325	79,203,109.40	345

Co-financing Mobilized by Yunnan

年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (CNY)
2016	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional	实物和人员劳务配套：办公场所及相关服务费、固定资产和人员劳务费、等 Material and personnel costs, including offices and its management services, fixed assets, personnel costs, etc.	4,828,540

年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (CNY)
	Knowledge -Pilot Demonstration Project in Yunnan		
2017	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套	实物和人员劳务配套：办公场所及相关服务费和人员劳务费等 Material and personnel costs, including offices and its management services, personnel costs, etc.	2,419,836
	Co-financing of GEF	环保专项经费 Special funds for environmental protection.	200,000
	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge -Pilot Demonstration Project in Yunnan	开展生物遗传资源及其相关传统知识获取与惠益分享的立法工作。Carry out legislative work on access and benefit sharing of genetic resources and its associated traditional knowledge.	100,000
2018	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套	实物和人员劳务配套：办公场所及相关服务费和人员劳务费等 Material and personnel costs, including offices and its management services, personnel costs, etc.	2,131,500
	Co-financing of GEF	环保专项经费 Special funds for environmental protection.	200,000
	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot	开展生物遗传资源及其相关传统知识获取与惠益分享的立法工作。Carry out legislative work on access and benefit sharing of genetic resources and its associated traditional knowledge.	100,000

年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (CNY)
	Demonstration Project in Yunnan		
2019	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套	实物和人员劳务配套：办公场所及相关服务费和人员劳务费等 Material and personnel costs, including offices and its management services, personnel costs, etc.	2,531,760
	Co-financing of GEF	环保专项经费 Special funds for environmental protection.	100,000
	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot	开展生物遗传资源及其相关传统知识获取与惠益分享的立法工作。Carry out legislative work on access and benefit sharing of genetic resources and its associated traditional knowledge.	100,000
2020	Demonstration Project in Yunnan		
	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套	配套资金：开展生物遗传资源及其相关传统知识获取与惠益分享的立法工作。Co-financing funds used for carrying out legislative work on access and benefit sharing of genetic resources and its associated traditional knowledge.	100,000
	Co-financing of GEF		
	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot	实物和人员劳务配套：办公场所及相关服务、办公设施和人员劳务费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, etc.	2,758,640



年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (CNY)
	Demonstration Project in Yunnan		
2021	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架云南示范项目配套 Co-financing of GEF	开展生物遗传资源及其相关传统知识获取与惠益分享的立法工作。 Carry out legislative work on access and benefit sharing of genetic resources and its associated traditional knowledge.	60,000
	Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot Demonstration Project in Yunnan	实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, etc.	2,812,452
TOTAL(CNY)			18,442,728
USD			2,896,157

Co-financing Mobilized by Hunan

年份 Year	主要用途 Content	金额 Amount	资金文号 File Number
2020	农业资源与安全利用等 Agriculture resource utilization and safety related	CNY2, 655, 200	湘财资环指 2020 37 号
2020	农村生物多样性保护试点等 Pilot for conserving rural area biodiversity	CNY2, 000, 000	湘财资环指 2020 41 号

2021	农村生物多样性保护试点等 Pilot for conserving rural area biodiversity	CNY2,600,000	湘财资环指 2021 7 号
2021	COP15 参展筹备经费 Promoting activity and biodiversity communication fee on COP15	CNY700,000	湘财资环指 2021 38 号
小计 (2020-2021) Sub-total Amount		CNY7,955,200	USD1,245,725
中期评估报告配套金额 Reported co-financing amount for ME			USD1,568,310
2017-2021 Total			USD2,814,035

### Co-financing Mobilized by Guangxi

年份 Year	项目名称 Project	项目内容 Content	金额 (元) Amount (RMB)
2017	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge -Pilot Demonstration Project in Guangxi	实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	4,684,000
2018	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing	实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its	3,684,000



年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (RMB)
	of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge -Pilot Demonstration Project in Guangxi	management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	
2019	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot Demonstration Project in Guangxi	实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	1,590,000
2020	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and	配套资金：开展生物遗传资源及其相关传统知识获取与惠益分享的立法、宣传和意识提升、能力建设等工作。Co-financing funds used for carrying out legislative work, publicity, awareness raising and capacity building activities on access and benefit sharing of genetic	1,000,000

年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (RMB)
	Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot Demonstration Project in Guangxi	resources and its associated traditional knowledge.	
		实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	1,590,000
2021	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot Demonstration Project in Guangxi	配套资金：开展生物遗传资源及其相关传统知识获取与惠益分享的立法、宣传和意识提升、能力建设等工作。Co-financing funds used for carrying out legislative work, publicity, awareness raising and capacity building activities on access and benefit sharing of genetic resources and its associated traditional knowledge.	950,000
		实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	1,590,000

年份 Year	项目名称 Project	项目内容 Content	金额（元） Amount (RMB)
2022	全球环境基金建立和实施遗传资源及其相关传统知识获取与惠益分享的国家框架广西示范项目配套 Co-financing of GEF Developing and Implementing the National Framework on Access to and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge-Pilot Demonstration Project in Guangxi	配套资金：开展 ABS 项目成果的宣传、公众意识提升等工作 Co-financing funds used for carrying out publicity, awareness raising activities on access and benefit sharing of genetic resources and its associated traditional knowledge.	800,000
		实物和人员劳务配套：办公场所及相关服务费、办公设施和人员劳务费、项目点保护巡视管理费等 Material and personnel costs, including offices and its management services, office facilities and equipment, personnel costs, demonstration spots management and inspection costs, etc.	900,000
TOTAL: CNY16,788,000 USD2,636,707			

## **ANNEX I: SHORT PROFILE AND BIOGRAPHY OF TE CONSULTANT TEAM**

### **Lead Evaluator: Mr. Camillo Ponziani**

As President and Managing Director at Interamna Group Inc., Camillo Ponziani is a motivated leader and program management professional with a proven talent in bridging the gap between strategy and execution. Camillo is genuinely passionate about understanding the big picture and helping organizations map out their current and desired business goals and assisting clients towards realizing their full potential.

Camillo has held various senior management roles within the United Nations system. Camillo has worked and consulted for a range of UN organizations including the Global Environment Facility, UNDP Drylands Development Centre, UN Environment, UNOCHA and UNOPS, as well as the Secretariats of the Convention on Biological Diversity, Convention on Migratory Species and African-Eurasian Waterbird Agreement. He has also led consulting assignments within the public and private sectors, where he led teams through a myriad of business and information technology transformation initiatives that have driven impact across multiple business units.

Between 2016-2019, while at the Secretariat of the Convention on Biological Diversity, Camillo was responsible for realizing the Secretariat’s technical and scientific cooperation goals under Article 18. He contributed to the formulation of initial priorities in the post-2020 biodiversity framework, managed a technology seed grant and established a Program Management Office. He also helped internalize the Secretary General’s management and development reforms to scale-up the delivery of the 2030 Agenda.

With more than fifteen years’ experience within the UN international system, Camillo brings a wealth of biodiversity, protected area and natural resource management experience and knowledge of UN practices and has also led the design, management and evaluation of numerous GEF-financed projects.

### **National Expert: Ms. Liu Shuo**

Liu Shuo graduated from Beijing Forestry University for the PhD. in China in 2009, then she was employed by Institute of Environment and Sustainable Development in Agriculture, which was affiliated to Ministry of Rural and Agriculture Affairs in China. She focused on the research of agroforest system and relevant policies over a decade, with refer to the international certification standards and methodologies for different kinds of activities implemented in cropland, grassland and forest, which included the process of planning, implementation, calculation, monitoring and evaluation at national and subnational levels. Liu Shuo has rich and professional experience and knowledge background on biodiversity and environmental science over 15 years, particularly in agroforest system and relevant policies assessment with the baseline, indicators, challenges and needs from different levels.

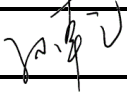
Liu Shuo has fruitful experience in evaluating GEF-funded projects. As national consultant of GEF projects, she facilitated TE work on in National PA/ Wetland System Strengthening (PIMS4391) 2019 and YSLME Ph II project (PIMS 4552) in 2020 with UNDP. Liu Shuo is one of the leading negotiators of UNFCCC of China over 10 years. She is very familiar with key approaches of Convention on Biological Diversity, United National Convention of Climate Change (UNFCCC). As the member of Adaptation Committee of UNFCCC over 5 years, she has facilitated to formulate a series of technical or synthesis reports, including Guidance of Adaptation Communication, National Adaptation Plan, etc, which provided relevant experience for evaluating international projects.

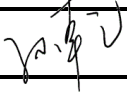
ANNEX J: SIGNED TE REPORT CLEARANCE FORM

Terminal Evaluation Report for (Project Title & UNDP PIMS ID) Reviewed and Cleared

By: Commissioning Unit (M&E Focal Point)

Name: Qian Sun


DocuSigned by: 


Signature: 

Date: 07-Mar-2022

Regional Technical Advisor (Nature, Climate and Energy)

Name: Gabriel Jaramillo

DocuSigned by: 

Signature: 

Date: 08-Mar-2022

B510E356B66F44F

94281976E4884D9...

## **ANNEX K: AUDIT TRAIL OF COMMENTS**

**See file annexed separately.**

## **ANNEX L: UPDATED GEF SCORECARD(S)**

**See file annexed separately.**