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## **United Nations Development Programme**

### **Terminal Evaluation of UNDP-GEF Project: Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol (UNDP PIMS ID: 5381)**

#### **Final Report**

**Mission Members:**

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**August 2021**

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## SYNOPSIS

**Title of UNDP-GEF project:** Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol

**UNDP Project ID:** PIMS 5381

**Evaluation time frame:** August 2016 to May 2021

**Project implementation start date:** 23 August 2016

**Project end date:** 23 June 2021

**Date of evaluation report:** 6 June 2021

**Region and Countries included in the project:** Global and 24 member countries

**Implementing partner:** UNDP

**Evaluation team members:** Mr. Roland Wong, International Consultant

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## EXECUTIVE SUMMARY

This report summarizes the findings of the Terminal Evaluation conducted during the February to June 2021 period for the UNDP-GEF project: *“Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol”* (hereby referred to as Global ABS, Global ABS Project or the Project). This TE was prepared as a forward-looking evaluation, with lessons learned, conclusions and recommendations primarily focused on the current setup of the Global ABS Project and its suitability of being carried forward into Phase II.

### Project Summary Table

Project Details		Project Milestones	
Project Title	Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol	PIF Approval Date:	27 May 2014
UNDP Project ID (PIMS #):	5381	CEO Endorsement Date (FSP) / Approval date (MSP):	23 June 2016
GEF Project ID:	5731	ProDoc Signature Date:	24 August 2016
UNDP Atlas Business Unit, Award ID, Project ID:	00095244, 00099240	Date Project Manager hired:	13 January 2017
Country/Countries:	Regional Centre - Istanbul, Botswana, Comoros, Ethiopia, Kenya, Rwanda, Seychelles, South Africa, India, Mongolia, Myanmar, Samoa, Egypt, Jordan, Sudan, Colombia, Dominican Republic, Ecuador, Honduras, Panama, Uruguay, Albania, Belarus, Kazakhstan, Regional Centre - Istanbul, Tajikistan, New York - GEF	Inception Workshop Date:	7 February 2017 (Panama, Latin America and the Caribbean)  27-28 April 2017 (Istanbul, rest of the regions)
Region:	Global	Mid-Term Review Completion Date:	N/A
Focal Area:	Ecosystems and Biodiversity	Terminal Evaluation Completion date:	
GEF Operational Programme or Strategic Priorities/Objectives		Planned Operational Closure Date:	23 June 2021
Trust Fund:			
Implementing Partner (GEF Executing Entity):	SVK10 (Regional Centre - Istanbul)		
NGOs/CBOs involvement:			
Private sector involvement:			
Geospatial coordinates of project sites:			

Financial Information		
PDF/PPG	At approval (US\$ million)	At PPG/PDF completion (US\$ million)
GEF PDF/PPG grants for project preparation	0.300	
Co-financing for project preparation		
Project	At CEO Endorsement (US\$ million)	At TE (US\$ million)
[1] UNDP contribution:	0.160	1.378
[2] Government:	15.529	13.257
[3] Other multi-/bi-laterals:	1.501	0.619
[4] Private Sector:	0.000	0.275
[5] NGOs:		0.564
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	16.920	16.095
[7] Total GEF funding:	12.000	12.000
[8] Total Project Funding [6 + 7]	28.920	28.095

## Project Description

The UNDP-GEF Global ABS Project was first conceived in 2014 as a 3-year project that specifically aims at assisting countries in the development and strengthening of their national access and benefit sharing (ABS) frameworks, human resources, and administrative capabilities to implement the Nagoya Protocol. The Project sought to achieve this by 1) strengthening the legal, policy and institutional capacity to develop national ABS frameworks; 2) building trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts; and 3) strengthening the capacity of indigenous and local communities (ILCs) to contribute to the implementation of the Nagoya Protocol. It was expected that the implementation of the basic measures of the Nagoya Protocol in the participating countries would unleash a wide range of monetary and non-monetary benefits for providers of genetic resources. Some of these benefits would be reinvested in the conservation and sustainable use of the biological resources from where the genetic resources were obtained.

ABS is based on a prior informed consent (PIC) being granted by a provider with negotiations between both providers and users of genetic material to develop mutually agreed terms (MAT) to ensure the fair and equitable sharing of genetic resources and associated benefits. The Global ABS Project was to involve:

- providers of genetic resources, such as states with sovereign rights over natural resources, under which they would include PICs and MATs for granting access and sharing benefits equitably, and laws within the provider country, who may entitle others such as ILCs to also negotiate access and benefit sharing;
- users of genetic resources who are responsible for sharing the benefits derived from the genetic resources from the providers. They can be a diverse group including botanical gardens and industry researchers such as pharmaceutical and agricultural research institutes;
- national focal points to provide users a clear and transparent process that details who to contact and what the requirements and processes are in provider countries to gain access;
- competent National Authorities (CNAs) who are established by governments and are responsible for granting access to users of their genetic resources and representing providers on a local or national level.

The specific problem that Global ABS seeks to address is the lack of a functioning national legal policy, and institutional framework that will enable the equitable sharing of benefits from the use of genetic resources and traditional knowledge (TK) between the state (national and state governments), commercial interests, and the owners and custodians of these resources (who can be ILCs). This issue was compounded by the lack of trust between users and providers of genetic resources that prevents unleashing the potential genetic resources as a source of innovation, biodiversity conservation, market development, and poverty alleviation. The specific objectives of Global ABS were to:

- develop and strengthen national ABS legal and political frameworks while building the capacities of national and state competent authorities and related agencies to develop, implement and enforce national ABS domestic legislation, administrative or policy measures for ABS;
- identify and strengthen emerging initiatives and opportunities for bio discovery projects for all stakeholders; and
- have ILCs engaged in the legal, policy and decision-making processes; and
- have a “community of practice” on ABS serving as a knowledge-sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at regional and global levels.

There are limitations, however, to this TE process, mainly due to the COVID-19 pandemic and the inability of the Evaluator to travel to these countries and the Global ABS’s office with the Project Coordinating Unit (PCU) to conduct face-to-face meetings. Virtual visits with stakeholders of these 8 countries and the PCU takes away any opportunity to get to know the stakeholders better. Actual visits to the offices of the stakeholders and the PCU are usually an opportunity for the stakeholders and the PCU to make a 2-3 hour presentation followed by question-and-answer period.

## Project Results

Out of the 24 countries assisted by this Project, the Egyptian part of the Project was cancelled in February 2019 due to the lack of initiation of the project at the national level. Actual outcomes of the Global ABS Project are summarized in Table A in comparison with intended outcomes.

**Table A: Comparison of Intended Project Outcomes from the Inception Report to Actual Outcomes**

<b>Intended Outcomes in Project Results Framework of August 2016 (see Appendix G)</b>	<b>Actual Outcomes as of May 2021</b>
<b>Objective:</b> To assist countries in the development and strengthening of their national ABS frameworks, human resources and administrative capabilities to implement the Nagoya Protocol.	<b>Actual achievement toward objective:</b> 23 out of 24 countries were assisted in the developing and strengthening of their national ABS frameworks, human resources and administrative capabilities to implement the Nagoya Protocol.
<b>Intended Outcome 1.1:</b> National ABS legal/political frameworks developed and/or strengthened with the participation of all stakeholders including indigenous peoples and local communities (ILCs).	<b>Actual Outcome 1.1:</b> Out of 21 countries that requested assistance for developing and strengthening their national ABS legal and political frameworks, 21 achieved this outcome with the participation of ILCs. 8 countries have approved ABS legal measures.
<b>Intended Outcome 1.2:</b> Capacities of national and state competent authorities and related agencies to develop, implement and enforce national ABS legislation, administrative or policy measures for ABS - including a Clearing House Mechanism (CHM)	<b>Actual Outcome 1.2:</b> The capacities of national and state competent authorities and related agencies of all participating 23 countries has improved to develop, implement and enforce national ABS legislation, administration or policy measures for ABS. This includes 20

Intended Outcomes in Project Results Framework of August 2016 (see Appendix G)	Actual Outcomes as of May 2021
	out of 21 countries who now have a CHM.
<b>Intended Outcome 1.3:</b> ABS political profile increased at a sectoral level within government by linking the national ABS framework with national policies on scientific and technological innovation, research and development.	<b>Actual Outcome 1.3:</b> ABS political profile varies amongst the different governments at the sectoral level due to the opportunities to link national ABS frameworks with national policies on scientific and technological innovation, research and development.
<b>Outcome 2.1:</b> Existing and emerging initiatives and opportunities for bio discovery projects identified and strengthened with improved research capabilities to add value to their own genetic resources and TK associated with genetic resources.	<b>Actual Outcome 2.1:</b> 10 out of 22 countries succeeded in commercial agreements (identifying and strengthening opportunities for bio discovery projects that add value to their own TK associated with genetic resources). Twelve other countries did not meet their targets for a variety of reasons including administrative delays, delays in legal approval of national ABS legislation, and the delays caused by the pandemic.
<b>Outcome 2.2:</b> Stakeholders (government officials, population of researchers, local communities, and relevant industry) targeted by the campaign (1,360) are aware of the National law, CBD and NP provisions related to ABS and TK	<b>Actual Outcome 2.2:</b> In general, 12,874 stakeholders (government officials, researchers, local communities, and relevant industry) are aware of the National law, CBD and NP provisions related to ABS and TK to the extent that there is trust between local communities (providers) and relevant industry (users) and activity in almost every country of taking advantage of emerging initiatives and opportunities for bio discovery projects.
<b>Outcome 3.1(a):</b> Capacities of local ILCs to negotiate ABS agreements improved by X% as measured by the ABS tracking tool (baselines and targets for countries that have chosen to work on this outcome will be established during project implementation)	<b>Actual Outcome 3.1(a):</b> Capacities of local ILCs to negotiate ABS agreements has improved as a general observation, and not by ABS tracking tool. This finding is supported by Outcome 3.1 (b).
<b>Outcome 3.1(b):</b> Indigenous peoples and local communities engaged in the legal, policy and decision-making processes.	<b>Actual Outcome 3.1(b):</b> Almost all of ILCs engaged in the legal, policy and decision-making processes.
<b>Outcome 3.2:</b> ABS bio-cultural community protocols and TK registers adopted by local communities	<b>Actual Outcome 3.2:</b> 14 out of 18 countries had ABS bio-cultural community protocols and TK registers adopted by local communities (28 BCPs have been developed in 15 countries).
<b>Outcome 4.1:</b> Community of practice on ABS serves as a knowledge-sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at regional and global levels	<b>Actual Outcome 4.1:</b> The ABS “Community of Practice” serves as an excellent and widely-used knowledge-sharing platform for operationalizing a South-South cooperation framework. This is used for bilateral and multilateral collaboration between countries at regional and global levels.

## Summary of Conclusions, Recommendations and Lessons

There have generally been positive changes as a result of implementing the Global ABS Project. This has included strengthened legal, policy and institutional capacity to develop national ABS frameworks, strengthened trust between users and providers of genetic resources, strengthened ILC capacity to contribute to the implementation of the Nagoya Protocol, and the presence of an operationalized



knowledge-sharing platform to implement a South-South cooperation framework that includes bilateral and multilateral collaboration between countries at regional and global levels.

To improve the operations and achievement of capacity building (possibly heading into a Phase II of the Project), there are some improvements that could be incorporated into future capacity building programs including:

- capacity building activities for higher level personnel who are decision makers. This will facilitate decisions being made at a higher level for ABS progress;
- careful consideration of the staffing of the regional technical advisor and project coordinator positions at the country level. This will ensure optimal use of the RTA to setup the project at the country level, and the Project coordinator to properly administer activities;
- additional management to ensure baseline monitoring for KAP

Recommendations from this Evaluation are as follows:

- *Recommendation 1 (to Global ABS Team and UNDP): A Phase II of the Global ABS would be designed as follows: (i) A portion of the project funds would be dedicated to traditional type capacity building services similar to Phase I for countries where there is little capacity for implementing Nagoya Protocol, and (ii) The remaining project funds would be dedicated to consultancies generated by requests from the Community of Practice for assistance. See Para 132 for more details;*
- *Recommendation 2 (to Global ABS Team and UNDP): In a Phase II Project, continue to work with teams that are enabled to form strong partnerships and take a multidisciplinary approach to implement effectively access to genetic resources and fair and equitable sharing of the benefits derived from their use at the national level. See Para 133 for further details;*
- *Recommendation 3 (to Global ABS Team and UNDP): Carefully assess and assign personnel for coordinating roles of ABS Project. See Para 134 for further details;*
- *Recommendation 4 (to Global ABS Team and UNDP): Scale-up capacity building activities on ABS mechanisms for competent authorities, stakeholders, local communities, and decision-makers by responding to Community of Practice requests for additional assistance on ABS. See Para 135 for further details;*
- *Recommendation 5: Integrate aspects related to ABS into district level local development planning across the country. See Para 136.*

Lessons learned from implementing the Global ABS Project include:

- Lesson #1: Several common reasons for delays of technical assistance include rotation of higher-level authorities, various municipal and national elections, and pandemics. See Para 137 for further details;
- Lesson #2: National stakeholders should be forced into the analysis and preparation of all ABS-related documents, increasing national ownership of the products and the process, which helps achieve the long-term objective. See Para 138 for further details;
- Lesson #3: For effective implementation of access to genetic resources and fair and equitable sharing of the benefits derived from their use at the national level, it is necessary to have a team that is enabled to form strong partnerships and takes a multi-disciplinary approach. See Para 139 for further details;
- Lesson #4: Care needs to be taken when recruiting for national Project Coordinator positions. See Para 140 for further details;

- Lesson #5: DIM modality seems to be a most suitable implementation arrangement for countries as implementing partners. See Para 141 for further details;
- Lesson #6: Community of Practice has been instrumental in spreading the knowledge of ABS from numerous knowledge products. See Para 142 for further details;
- Lesson #7: The Global ABS Project had a multiplier effect through the Global ABS Community (of Practice) and at regional and global levels where it is easy to escalate activities. See Para 143 for further details.

## Evaluation Ratings

**Table B: Evaluation Ratings Table**

1. Monitoring & Evaluation (M&E)	Rating <sup>1</sup>
M&E design at entry	4
M&E Plan Implementation	5
Overall Quality of M&E	5
2. Implementing Agency (IA) Implementation & Executing Agency (EA) Execution	
Quality of UNDP Implementation/Oversight	5
Quality of Implementing Partner Execution	n/a
Overall quality of Implementation/Execution	5
3. Assessment of Outcomes	
Relevance	2 <sup>2</sup>
Effectiveness	6
Efficiency	5
Overall Project Outcome Rating	5
4. Sustainability	Rating <sup>3</sup>
Financial sustainability	3
Socio-political sustainability	3
Institutional framework and governance sustainability	3
Environmental sustainability	4
Overall Likelihood of Sustainability	3

<sup>1</sup> Evaluation rating indices: 6=*Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives; 5=*Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives; 4=*Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives; 3=*Moderately Unsatisfactory (MU)*: The project has significant shortcomings in the achievement of its objectives; 2=*Unsatisfactory (U)*: The project has major shortcomings in the achievement of its objectives; 1=*Highly Unsatisfactory (HU)*: The project has severe shortcomings in the achievement of its objectives.

<sup>2</sup> Relevance ratings: 1=Not relevant; 2=Relevant

<sup>3</sup> 4 = *Likely (L)*: negligible risks to sustainability;

3 = *Moderately Likely (ML)*: moderate risks to sustainability;

2 = *Moderately Unlikely (MU)*: significant risks to sustainability;

1 = *Unlikely (U)*: severe risks to sustainability; and

U/A = *unable to assess*.

## ABBREVIATIONS

Acronym	Meaning
ABS	Access and benefit sharing
APR	Annual Progress Report
BCP	Biocultural community protocols
BD	Biodiversity
CBD	Convention on Biological Diversity
CCM	Climate change mitigation
CDR	Combined Delivery Reports
CHM	Clearing House Mechanism
CNA	Competent National Authorities
CO	Country Office
COP	Conference of Parties
CoP	Community of Practice
CSO	Civil service organization
CSR	Corporate social responsibility
DEA	Department of Environmental Affairs (South Africa)
DIM	Direct Implementation Modality
DINAMA	Ministry of Environment, Housing, and Land Planning; National Environmental Directorate (Uruguay)
EC	European Commission
EN	European standards or norms
EOP	End of Project
EU	European Union
FSP	Full Sized Project
GCF	Green Climate Fund
GDP	Gross domestic product
GEF	Global Environment Facility
GHG	Greenhouse gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (German Technical Assistance)
HCENR	Higher Council for Environment and Natural Resources (Sudan)
IDLO	International Development Law Organization
ILCs	indigenous and local communities
IP	Implementing partner
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
IUCN	International Union for Conservation
KAP	Knowledge, attitudes and practice
LoA	Letter of Agreement
MADS	Ministry of Environment and Sustainable Development (Colombia)
MAE	Ministry of Environment and Natural Resources (Dominican Republic) or the Ministry of Environment in Ecuador
MAG	Methodology Advisory Group
MAT	Mutually agreed terms
MNRE	Ministry of Natural Resources and Environment (Samoa)
M&E	Monitoring and Evaluation
NBA	National Biodiversity Authority (India)
NEMA	National Environment Management Authority (Kenya)
NGO	Nongovernmental organization
NOK	Norwegian Krona

Acronym	Meaning
NSC	National Steering Committee
ODA	Overseas Development Assistance
OECD	Organization for Economic Cooperation and Development
PA	Protected Areas
PIC	Prior informed consent
PMU	Project Management Unit
POPP	Program and Operations Policies and Procedures
ProDoc	UNDP Project Document
PRF	Project Results Framework
PSC	Project Steering Committee
RTA	Regional Technical Advisor
SCBD	Secretariat of the Convention on Biological Diversity
SDG	Sustainable Development Goal
SEEA	United Nations System of Environmental Economic Accounting
SGP	Small Grants Programme (under UNDP)
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
TA	Technical Advisor
TE	Terminal Evaluation
TK	Traditional Knowledge
ToC	Theory of Change
ToR	Terms of Reference
UEBT	Union for Ethical Biotrader
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP FI	United Nations Environment Programme Finance Initiative
UNFCCC	United Nations Framework Convention on Climate Change
UNV	United Nations Volunteers

## 1. INTRODUCTION

1. The Terminal Evaluation (TE) for the Project entitled “Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol” (referred to here as “the Global ABS Project”, “Global ABS” or “the Project”) was conducted for UNDP-GEF as an impartial assessment of Global ABS activities, mainly comprised of capacity building activities for 24 countries. The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (hereafter referred to as “the Nagoya Protocol” or “the Protocol” or NP) was adopted by the Conference of the Parties to the Convention on Biological Diversity at its tenth meeting in Nagoya, Japan, 2010. With 92 countries having signed up to 1 February 2012, the Protocol entered into force on October 12, 2014. A total of 130 parties have ratified the Protocol as of January 2021.
2. The process of ratification has been supported by the GEF through a number of country-based and regional projects as well as investments from other donors and providers of technical assistance. The Global ABS Project was conceived to focus on implementation of the basic measures of the Nagoya Protocol. The Project is also in direct response to the decision at the Second Meeting of the Intergovernmental Committee for the Nagoya Protocol on “Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization” (ICNP-2) held in Delhi, July 2012, where the Conference of the Parties “reiterates its invitation to the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol and its implementation”.

### 1.1 Evaluation Purpose

3. In accordance with UNDP-GEF M&E policies and procedures, all UNDP-GEF supported projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation of a project to provide a comprehensive and systematic account of the performance of the completed project by evaluating its design, process of implementation and achievements vis-à-vis its objectives, and any agreed changes during project implementation. As such, the TE for the Global ABS Project serves to:
  - promote accountability and transparency, and to assess and disclose levels of Global ABS accomplishments in the context of developing a comprehensive methodology to estimate ABS capacity building financing needs, and for developing countries to measure and design new financing approaches and systems for building capacity for ABS needs;
  - synthesize lessons that may help improve the selection, design and implementation of future ABS capacity building financing projects;
  - provide feedback on issues that are recurrent on ABS capacity building needs that require attention, and on improvements regarding improving the impact of Global ABS activities in all participating and interested countries;
  - provide an outlook and guidance in charting future directions on sustaining current efforts by UNDP and the governments of the more than 24 countries that have adopted the Global ABS approaches and methodologies, and their donor partners; and
  - contribute to UNDP’s Evaluation Office databases for aggregation, analysis and reporting on effectiveness of UNDP in achieving global environmental benefits and on the quality of monitoring and evaluation within UNDP projects;

- gauge the extent of project convergence with other priorities within the UNDP country and regional programmes, including poverty alleviation; strengthening resilience to the impacts of climate change, reducing disaster risk and vulnerability, as well as cross-cutting issues such as gender equality, empowering women and supporting human rights.

## 1.2 Scope and Methodology

4. The scope of this TE was to evaluate all activities funded by GEF and activities that are parallel-financed. The Terms of Reference (ToRs) for the TE are contained in Appendix A. Key issues addressed on this TE include:

- that the TE is independent of Global ABS Project management to ensure independent quality assurance;
- the application of UNDP and UNDP-GEF norms and standards for evaluations<sup>4</sup>;
- assessment of achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- reporting basic data of the evaluation and the Project, as well as provide lessons from the Project on broader applicability. This would include an outlook and guidance in charting future directions by UNDP and their future support for a possible Global ABS Phase II.

5. With this scope, the following issues were identified for further discussion in this TE:

- dedicated nature of the national stakeholders of the Global ABS project. Were there outstanding results that made it effective in terms of building capacity and knowledge? An assessment of a particular country's baseline activities may determine the extent and effectiveness of capacity building;
- why the Project has only supported 14 of 18 biocultural community protocols (BCP)<sup>5</sup> by ICLs when accessing their genetic resources and traditional knowledge (TK);
- why only 13 out of 22 of the participating countries have reached their targets for commercial agreements indicating that few countries have the ABS legal framework in place, a normal prerequisite to negotiate a commercial agreement. The TE needs to find the reasons why this is the case;
- who are the team members responsible for monitoring of the project results? Is it from the Global ABS team or alternatively on the national team who is instructed by the Global ABS team?
- lessons be learned for Phase II of the Global ABS Project. These should be discussed in an open discussion with the Global ABS team and selected stakeholders at a later date during the TE;
- Project expenditures by outcome (components) and by year. An example will be sent by e-mail that will include a co-financing table.

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<sup>4</sup> This TE was conducted to closely adhere to GEF guidelines for evaluations. The Table of Contents of this report reflects these GEF guidelines that were accepted by UNDP in the Evaluator's Inception Report from April 2021.

<sup>5</sup> A Biocultural Protocol (BCP) is one of the tools provided by the Nagoya Protocol on Access and Benefit Sharing (ABS) that acknowledges, recognizes and protects biodiversity and traditional knowledge as an entry point to science developments for the wellbeing of human kind. The most important feature of the BCP is to ensure the rights of the local community over their resources. If any party is willing to examine or use the resources and the community's traditional knowledge, the community requests respect for the traditions and rituals, and seek the permission of the community. If the users succeed with the resources, they should contribute some of their benefits for the wellbeing of the local community. This is very important for locals to promote their conservation efforts. .

6. The methodology of this TE essentially assesses the Project's performance from 2016 to 2021 in addressing the capacity gaps in managing ABS affairs, through the lens of UNDP evaluation criteria of **relevance**, **effectiveness**, **efficiency**, **sustainability**, and **impact** for one objective, 9 expected outcomes, 3 objective level indicators, 13 outcome level indicators, and 15 outputs (that were achieved through a number of activities) contained in the Global ABS:
  - *Relevance* – the extent to which the outcome is suited to local and national development priorities and organizational policies, including changes over time;
  - *Effectiveness* – the extent to which an objective was achieved or how likely it is to be achieved. This would include the effectiveness of Global ABS to assist national implementation and facilitate capacity building (through technical assistance of the Project), and the quality of Global ABS project management (including M&E performance);
  - *Efficiency* – the extent to which results were delivered with the least costly resources possible. This would include the pace of capacity building based on the baseline capacities by national implementation teams;
  - *Sustainability* - The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion. This would include the sustained acceptance of the Global ABS methodologies for capacity building for ABS at the national level, and the extent of adoption in participating countries; and
  - *Impact* – The positive and negative, foreseen and unforeseen changes to and effects produced by a development intervention. This may include the extent of uptake by national implementation teams to the Global ABS methodologies, and their resulting ability to confidently formulate and facilitate financing solutions for more training.
7. The TE achieves these assessments by collecting credible, useful, and evidence-based information of the Project; interviewing selected countries to triangulate information to bring up key issues in capacity building to the Global ABS team; and bringing up these key issues in strengthening capacity building within the Global ABS team and its stakeholders. The evaluation of the project is based on evaluability analysis consisting of formal (clear outputs, indicators, baselines, data) and substantive (identification of problem addressed, theory of change, results framework) inputs. Considering the information to be provided into this evaluation (which is mainly whether or not the technical assistance of the Project was effective to the recipient countries), the implication of the proposed methodology is that it should be effective in the evaluation process, and should inform stakeholders and the Global ABS team as it possibly transitions into a Phase II.
8. This TE also evaluates the progress and quality of implementation against the indicators of each objective and outcome in the Project Results Framework (PRF) as provided Appendix E. The TE process was conducted in a spirit of collaboration with Global ABS personnel with the intention of providing constructive inputs that can inform activities of Phase II and future programming of ABS financing.

### 1.3 Structure of the Evaluation

9. This evaluation report is designed to meet GEF's "Guidelines for Conducting Terminal Evaluations of UNDP-Supported, GEF Financed Projects" of 2020<sup>6</sup>. The report is presented as follows:

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<sup>6</sup> [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)



- An overview of Project activities from commencement of operations in August 2016 to the present activities of Global ABS Project;
- An assessment of results based on Project objectives and outcomes through relevance, effectiveness and efficiency criteria;
- Assessment of sustainability of Project outcomes;
- Assessment of monitoring and evaluation systems;
- Assessment of progress that affected Project outcomes and sustainability; and
- Lessons learned and recommendations.

## 1.4 Data Collection and Analysis

10. Data and information for this TE was sourced from:

- Review of project documentation notably the final country reports, and the GEF ABS Tracking Tool for each participating country. This was important in establishing information pertaining to each country's perceptions of capacity building activities of the Project. This was done primarily at the Evaluator's home base. A full listing of data and information sources is provided in Appendix C;
- Interviews with key Project personnel including the team members and technical advisors from 8 country teams. Preliminary discussions were undertaken by e-mail from the Evaluator's home base. Zoom meetings were conducted with over 6 country teams. A full list of persons interviewed is provided in Appendix B.

## 1.5 Ethics

11. This Terminal Evaluation has been undertaken as an independent, impartial and rigorous process, with personal and professional integrity and is conducted in accordance with the principles outlined in the UNEG Ethical Guidelines for Evaluations, and the UNDP GEF M&E policies, specifically the August 2020 UNDP "Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects".

## 1.6 Limitations

12. There are limitations, however, to this TE process, mainly due to the COVID-19 pandemic and the inability of the Evaluator to travel to these countries and the Global ABS's office with the Project Coordinating Unit (PCU) to conduct face-to-face meetings. Notwithstanding the fact that 8 countries were more thoroughly assessed for capacity building effectiveness (giving a coverage of 33% of the countries), virtual visits with stakeholders of these 8 countries and the PCU takes away any opportunity to get to know the stakeholders better. Actual visits to the offices of the stakeholders and the PCU are usually an opportunity for the stakeholders and the PCU to make a 2-3 hour presentations followed by question-and-answer period. This has many intangible benefits including the collection of information not documented. With the virtual visits on Zoom, the opportunity to make these 2-3 hour presentations and conduct a question-and-answer period is limited. The Evaluator has limited exposure to the stakeholder teams, and as such, the Terminal Evaluation to a large extent is dependent on the documentation from progress reports, PIRs and other reports. This dependence on documentation is also limiting the Terminal Evaluation in terms of findings.

## 2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

### 2.1 Project Start and Duration

13. The Global ABS Project commenced as of 23 August 2016. The Project has been implemented up to the time of writing of this report (as of May 2021). The Project is scheduled to close as of 23 June 2021.

### 2.2 Development Context

14. The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (hereafter referred to as “the Nagoya Protocol” or “the Protocol”) was adopted by the Conference of the Parties to the Convention on Biological Diversity at its tenth meeting in Nagoya, Japan, 2010. With 92 countries having signed up to 1 February 2012, the Protocol entered into force on October 12, 2014. A total of 130 parties have ratified the Protocol as of January 2021.
15. The process of ratification has been supported by the GEF through a number of country-based and regional projects as well as investments from other donors and providers of technical assistance. The Global ABS Project was conceived to focus on implementation of the basic measures of the Nagoya Protocol. The Project is also in direct response to the decision at the Second Meeting of the Intergovernmental Committee for the Nagoya Protocol on “Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization” (ICNP-2) held in Delhi, July 2012, where the Conference of the Parties “reiterates its invitation to the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol and its implementation”.
16. The Global ABS Project acknowledges that there are several countries that are unable to address the national legal, policy and institutional framework that will enable the equitable sharing of benefits from the use of genetic resources and traditional knowledge (TK) between the state, commercial interests and owners and custodians of these resources. This Project sought to address these issues by extending capacity building services and training to 24 countries, adding to each country’s baseline in the legal and institutional context, and baseline investments.
17. With the basic premise of the Project in raising the importance of genetic resources that are not evenly distributed, it is widely acknowledged that plants, animals and microbes often make up delicately balanced ecosystems that may be threatened or endangered. There are means in which genetic resources can be shared to create incentives for their conservation and sustainable use. Current understanding of genetic resources comes from traditional knowledge of indigenous and local communities (ILCs) that have been built up over generations. The rights of ILCs must be considered during negotiations or access and use of genetic resources. Failure to do so puts many communities and resources at risk.
18. Access and benefit sharing (ABS) refers to the way in which genetic resources may be accessed and how the benefits resulting from their use are shared between the parties using the resources (users) and the people that provide them (providers). Generally speaking, providers of genetic resources are governments or civil society bodies (which can include private landowners and communities within a country or entitled to provide access to genetic resources and share the benefits resulting from

their use). The benefits to be shared can be monetary (such as sharing royalties when resources are used to create a commercial product) or non-monetary (such as the development of research skills and knowledge). It is vital that providers understand and respect the institutional framework of the CBD.

19. ABS is based on a prior informed consent (PIC) being granted by a provider with negotiations between both parties to develop mutually agreed terms (MAT) to ensure the fair and equitable sharing of genetic resources and associated benefits. This will involve:
- providers of genetic resources, such as states with sovereign rights over natural resources, under which they would include PICs and MATs for granting access and sharing benefits equitably, and laws within the provider country, who may entitle others such as ILCs to also negotiate access and benefit sharing;
  - users of genetic resources who are responsible for sharing the benefits derived from the genetic resources from the providers. They can be a diverse group including botanical gardens and industry researchers such as pharmaceutical and agricultural research institutes;
  - national focal points to provide users a clear and transparent process that details who to contact and what the requirements and processes are in provider countries to gain access;
  - competent National Authorities (CNAs) who are established by governments and are responsible for granting access to users of their genetic resources and representing providers on a local or national level.

## **2.3 Problems that the Global ABS Project Sought to Address**

20. The specific problem that Global ABS seeks to address is the lack of a functioning national legal policy, and institutional framework that will enable the equitable sharing of benefits from the use of genetic resources and traditional knowledge (TK) between the state (national and state governments), commercial interests, and the owners and custodians of these resources (who can be ILCs). This issue is compounded by the lack of trust between users and providers of genetic resources that prevents unleashing the potential genetic resources as a source of innovation, biodiversity conservation, market development, and poverty alleviation.

## **2.4 Development Objective of Global ABS Project**

21. This Project is in direct response to the decision at the “Second meeting of the Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ICNP-2)” held in Delhi, July 2012, where the Conference of the Parties “reiterates its invitation to the Global Environment Facility to provide financial support to Parties to assist with the early ratification of the Nagoya Protocol and its implementation”. A synthesis of the elements for capacity building for the implementation of the Nagoya Protocol can be found in the “Overview of measures to build or develop capacity to effectively implement the Protocol based on the needs and priorities of Parties and indigenous and local communities”. This PRF is contained in Appendix E.

## **2.5 Description of the Project’s Theory of Change**

22. No Theory of Change (ToC) was completed for this Project. As such, a ToC is provided in Annex F.

## 2.6 Expected Results

23. The expected results of the Global ABS Project are as follows:

- Outcome 1.1. National ABS legal/political frameworks developed and/or strengthened with the participation of all stakeholders including indigenous peoples and local communities (ILCs);
- Outcome 1.2. Capacities of national and state competent authorities and related agencies to develop, implement and enforce national ABS domestic legislation, administrative or policy measures for ABS - including a Clearing House Mechanism (CHM) – capacities improved as measured by the UNDP ABS Capacity Development Scorecard (scores for all 24 participating countries included in the Project Results Framework, Section 3);
- Outcome 1.3. ABS political profile increased at a sectoral level within government by linking the national ABS framework with national policies on scientific and technological innovation, research and development;
- Outcome 2.1. Existing and emerging initiatives and opportunities for bio discovery projects identified and strengthened with improved research capabilities to add value to their own genetic resources and TK associated with genetic resources;
- Outcome 2.2. Stakeholders (government officials, population of researchers, local communities, and relevant industry) targeted by the campaign are aware of the National law, CBD and NP provisions related to ABS and TK (percentage of stakeholders for all 24 participating countries included in the project results framework, Section 3); and
- Outcome 3.1(a). Capacities of local ILCs to negotiate ABS agreements improved by X% as measured by the ABS tracking tool (baselines and targets for countries that have chosen to work on this outcome will be established during project implementation);
- Outcome 3.1(b). Indigenous peoples and local communities engaged in the legal, policy and decision-making processes;
- Outcome 3.2. ABS bio-cultural community protocols and TK registers adopted by local communities;
- Outcome 4.1. Community of practice on ABS serves as a knowledge-sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at regional and global levels.

## 2.7 Total Resources for Global ABS Project

24. The total resources allocated to this Project at time of ProDoc signature is provided in Table 1.

**Table 1: Total Resources for Global ABS Project**

Component	GEF Resources	Co-Financing Resources
Component 1	\$4,663,409	\$6,728,545
Component 2	\$4,046,343	\$5,442,319
Component 3	\$2,571,820	\$3,798,166
Component 4	\$147,000	\$147,000
Project Management (including M&E)	\$571,428	\$804,545
<b>Total</b>	<b>\$12,000,000</b>	<b>\$16,920,575</b>

## 2.8 Main Stakeholders

25. The main stakeholders on the Global ABS project were the 24 governments involved in country level project activities. They are listed in Table 2.

**Table 2: Main Stakeholders on Global ABS Project**

Country	Lead Agency
Albania	Ministry of Environment
Belarus	Ministry of Natural Resources and Environmental Protection
Botswana	Department of Environmental Affairs
Colombia	Ministry of Environment and Sustainable Development (MADS)
Comoros	National Focal Points and the Ministry of Environment
Dominican Republic	(MAE), Biodiversity Directorate, Genetic Resources Department
Ecuador	Ministry of Environment (MAE), Directorate of Biodiversity, Genetic Resources Unit
Egypt	Nature Conservation Sector (NCS), Egyptian Environmental Affairs Agency (EEAA)
Ethiopia	Institute for Biodiversity Conservation (IBC)
Honduras	Ministry of the Environment, Biodiversity Directorate
India	National Biodiversity Authority (NBA)
Jordan	Nature Protection Directorate, Ministry of Environment
Kazakhstan	Ministry of Agriculture
Kenya	National Environment Management Authority (NEMA)
Mongolia	Ministry of Environment, Green Development, and Tourism (MEGDT)
Myanmar	National Focal Points Environment Conservation Division (ECD), Natural Resources Conservation Division
Panama	Ministry of Environment, Biodiversity Directorate, Genetic Resources Unit
Rwanda	Rwanda Environmental Management Authority (REMA)
Samoa	Ministry of Natural Resources and Environment (MNRE)
Seychelles	Ministry of Environment, Energy and Climate Change (MEECC)
South Africa	Department of Environmental Affairs (DEA)
Sudan	Higher Council for Environment and Natural Resources (HCENR)
Tajikistan	National Biodiversity and Biosafety Center (NBBC)
Uruguay	Ministry of Environment, Housing, and Land Planning; National Environmental Directorate (DINAMA); Biodiversity Division

## 2.9 Key Partners involved with the Global ABS Project

26. Key partners for this Project was UNV whose program was to contribute to the implementation of specific activities of Components 1, 2 and 3 in 5 countries in the LAC region that focus on promoting ILC participation, policymaking, capacity building and awareness raising activities related to ABS, the Nagoya protocol and the genetic resources and TK in benefit sharing from their utilization. Furthermore, UNV was to act as a responsible party in the development of a “Community of Practice” (CoP) on ABS, the mapping of experts and technical needs on ABS and the promotion of South-South cooperation between Project participating countries in Component 4.

## 2.10 Context of other ongoing and previous evaluations

27. There are no other ongoing and previous evaluations. This includes the fact that no MTR was scheduled for the ABS project.

### 3. FINDINGS

#### 3.1 Project Design and Formulation

28. The Global ABS ProDoc commences with a description of the global biodiversity significance of each of the 24 countries followed by an analysis of each country's legal and institutional issues in the context of biodiversity, and baseline investments to protect their genetic resources. This provides an adequate analysis of the baseline situations for each of the 24 countries. This baseline analysis is followed up by a listing of other GEF and non-GEF ABS related initiatives which provides some of the background for the ABS initiatives being undertaken for each country.
29. This provides sufficient background to the description of the activities, outputs and outcomes sought by the Project to meet its intended objectives. The ProDoc elaborates further on the importance of monitoring project indicators and impacts, and managing risks with mitigation strategies. It then wraps up the dissertation on the Project design by analysing its cost efficiencies, effectiveness, sustainability, replication and upscaling of results, and stakeholder involvement plan. The stakeholder involvement plan was extensive given that there are different stakeholders for each of the 24 countries involved. After a section on incremental reasoning and global, regional, national and local benefits, an extensive Project Results Framework (PRF) has been put together with targets for each of the 24 countries forecast for the end of project, along with estimated costs for each of the activities, management arrangements and project assurances, monitoring and evaluation (M&E), and legal issues to close out the ProDoc. Overall, this is a reasonably simple project with the objective of improving capacity to implement the Nagoya protocol for 24 countries.

##### 3.1.1 Analysis of Project Results Framework for Global ABS Project

30. The Global ABS PRF has set its targets for each of the 24 countries for the indicator. Most of the indicators are SMART and targets achievable. Moreover, the country targets will have been divided into regions, making it easier to track progress as per region. In Component 4, there are targets against SMART indicators that provide indications of progress in the capacity building of ABS amongst the 24 countries.
31. There are only two minor issues with the indicators:
  - The Component 2 indicator “change in knowledge, attitudes, and practices (KAP) of specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS with respect to national ABS frameworks, the CBD, and Nagoya Protocol” needed the PCU to organize a baseline survey. Most of the COs did not perform the baseline survey with many countries complaining of a lack of funds and personnel to carry out this survey;
  - The Component 3 indicator “capacities of local ILCs per country to negotiate ABS agreements as measured” also needed PCU support for baseline surveys. However, there were complexities and challenges in gathering baseline and target information of ILCs as mentioned in Para 100.

##### 3.1.2 Assumptions and Risks

32. Assumptions under the Global ABS PRF include items such as:
  - political will to update with installation at the national level;

- staff apply their knowledge and abilities in a satisfactory manner;
- stability and human resources within the institution that benefits from the capacity development activities;
- willingness of staff to participate in training activities;
- will amongst his users and providers of genetic resources to pursue bio discovery projects;
- political will for the protection of traditional knowledge within the national ABS framework.

These assumptions as well as others appear to be reasonable under the circumstances.

33. There are 7 risks listed in the ProDoc as mentioned just after the Project strategy. Again, these risks are mostly related to government risks especially in terms of a lack of its political support, lengthy legislative processes, turnover at the ministerial level and changes in priority, and failure to bring together the government together with the private sector and ILCs. For each one of these 4 risks, there are mitigation actions by the Project to counter these risks. There are another 2 risks that affect enforcement including activities proposed that may affect environmentally sensitive areas and illegal utilization and commercialization of biological resources on lands claimed by ILCs. Again, the Project was to have activities to mitigate these risks. Overall, the 7 risks mentioned in the ProDoc are a reasonable number of risks to monitor.

### 3.1.3 Lessons from Other Relevant Projects Incorporated into Global ABS Project Design

34. Other countries such as Botswana, Rwanda and Uruguay are just starting their ABS programs. However, certain countries have baseline investments in ABS related matters. These have been used to guide the activities in the Global ABS Project design. Countries such as Colombia and India have made sizable investments in ABS issues that have informed the current programs and have avoided repeating course material.
35. This Project was supposed to coordinate with the projects funded by the ABS Capacity Development Initiative in the Pacific, Africa, Asia, and LAC and other non-GEF funded initiatives as well as summarized on-going GEF projects funded using STAR and NPIF financial resources in GEF-4 and GEF-5. These projects are listed on Table 2 in the ABS ProDoc (pgs 35-42). Some of the projects mentioned in the ProDoc that will incorporate lessons learned on these projects included:
  - **UNEP-GEF 4 Regional (Cameroon, Kenya, Madagascar, Mozambique, Senegal, South Africa)** on “Supporting the Development and Implementation of ABS Policies in Africa” (Project ID 2820) that was to incorporate lessons learned from the implementation of the regional project in Africa, particularly with regard to increasing awareness and exchange of information among relevant stakeholder groups about ABS and the Nagoya Protocol and improved national ABS regulations;
  - **UNEP-GEF 4 India “Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its ABS Provisions” (Project ID 3801)** is to increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act (2002) and the Rules (2004) in order to achieve biodiversity conservation through implementing ABS agreements in India. The Global ABS project was to incorporate lessons learned from the implementation of the national ABS project in India in the following areas: a) assessing and quantifying the economic value of biological diversity present at the local, state, and national levels using appropriate methodologies to determine benefit-sharing; b) developing a database on biological resources to assess ABS potential at the state level; c) developing tools,

methodologies, guidelines, and frameworks on PIC and MAT, among other ABS issues; and d) developing benefit-sharing ABS agreements;

- Ongoing work by the **ABS Capacity Development Initiative**. This project was funded by several European governments and international organizations, and managed by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH. This multi-donor initiative was designed to support relevant stakeholders on the African continent and in the ACP countries (African, Caribbean, and Pacific Group of States) in developing and implementing national ABS regulations, in particular to ratify and implement the Nagoya Protocol on ABS. The Global ABS project would have built on the initiative's experience in developing capacity-building tools and guidelines related to ABS. Interaction with the broad network of experts involved with the initiative would have been sought as part of the activities for the mapping of ABS experts to provide support for participating countries within the framework of the ABS CoP and South-South Cooperation mechanisms.

### 3.1.4 Planned Stakeholder Participation

36. The Global ABS ProDoc details in very specific terms, the stakeholders to be involved on the Project (in the ProDoc on Table 3 from pages 55 to 70). For each country, there are stakeholders identified from the lead ministries, research and academic institutions, government bodies responsible for ABS, ILC representatives, and the private sector amongst other stakeholders. The list also includes the roles of these stakeholders by defining which components they are participating in. The list is very comprehensive and most of these stakeholders have carried through with the activities of the Global ABS Project.

### 3.1.5 Linkages between the Global ABS Project and other interventions in the sector

37. The Global ABS Project was supposed to be linked with baseline investments in ABS in participating countries. These are listed on pgs 25-32 of the Global ABS ProDoc. Given that there are varying baseline investments being made in each of the countries, the starting point for each package of technical assistance declared by each country varied considerably. Some of these countries are listed in as follows:
  - **Botswana:** Existing and planned investments for programs and baseline activities for the 2016-2019 period in Botswana were estimated to be \$462,941 USD. This government investment (with the Department of Environmental Affairs, Ministry of Environment, Wildlife and Tourism) was to be directed to strengthening the legal and institutional frameworks for the implementation of the Nagoya Protocol and specific ABS activities with the participation of multiple stakeholders (e.g., various government agencies, ILCs, researchers, and the private sector);
  - **Colombia:** Existing and planned investments for programs and baseline activities for the 2015-2019 period in Colombia were estimated to be \$6,518,338 USD. These investments include a study to develop guidelines on benefit sharing (to be codified in an official resolution or decree) with a total budget of \$29,000 USD, which was to be provided through the Green and Sustainable Business Office of the MADS. A second initiative, "Expedición Bio" (Bio Expedition), was to be carried out by Colciencias and other national institutions (including the MADS). This program was to include four main areas of work, one of which includes bioprospecting, aimed at the promotion of genetic resources' commercial uses. This is a comprehensive initiative from the government that will run from 2014 to 2025, and which seeks to establish the country in the area of the global bioeconomy. The total budget for the Bio Expedition initiative is estimated at



US\$120 million USD, US\$30 million of which was to be dedicated to the biodiscovery component. Fund allocated for the 2016-2019 period under the biodiscovery component were estimated to be \$3 million USD, and was to be used to strengthen national capacities and establish partnerships and identify opportunities for biodiscovery. GEF-funded projects that are part of the baseline was to include development and production of natural dyes in the Chocó Region of Colombia for food, cosmetics and personal care industries under the provision of the Nagoya Protocol (GEF ID 5160) with a total budget of US\$3,017,193;

- **Samoa:** Existing and planned investments for programs and baseline activities for the 2016-2019 period in Samoa were estimated to be \$450,000 USD. This government investment (Ministry of Finance) was to support the strengthening of the national legal and institutional frameworks for the implementation of the Nagoya Protocol, biodiscovery initiatives, and the participation of ILCs in implementing the Nagoya Protocol;
- **Sudan:** Existing and planned investments for programs and baseline activities for the 2015-2018 period in the Sudan were estimated to be US\$726,000. Most of these investments were direct government investments with a small amount (US\$26,000) coming from UNESCO. The lead institution for the expenditure of these investments was the Medicinal and Aromatic Plants Research Institute with US\$620,000. There were also investments for a total of US\$80,000, which is related to the legal modification of sectoral regulations, training in legal aspects of ABS, developing legal instruments, and generating policies related to ABS practices and TK that are either underway or will be during the course of this project (plant genetic resources and wildlife conservation).

### 3.1.6 Gender responsiveness of Project design

38. The Global ABS Project was designed as a GEF-5 project and did not have to undergo the rigorous gender considerations as in GEF-6 or GEF-7 projects. Notwithstanding, gender responsiveness to the Global ABS design was viewed in the following manner:

- Under risk matrix, gender concerns have been integrated in the Project design. With 24 participating countries, the Project was to ensure that the Global ABS regime helps to improve gender equality and women's empowerment. Project activities would have integrated a gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources;
- Specific attention was to be focused on ensuring the active participation of women, particularly in drafting the ABS framework, providing PIC and MAT and ensuring the benefit sharing terms of equitable;
- At the local level, the Project was to strengthen women's capacity, as they are the gatekeepers of TK and the primary providers, collectors and managers of natural and genetic resources;
- Through the development of BCPs as well as the implementation of social and economic development activities, the Project was to ensure that women have an equal participation on its activities;
- The strong participatory role envisaged for the ethnic minority women on the Project was also contribute to ensuring social security.

In conclusion, the Global ABS Project is not responsive to the rigorous considerations of gender on its design.

### 3.1.7 Social and Environmental Safeguards

39. Social and environmental safeguards were done for the Global ABS Project. Considering the capacity building nature of this Project, there were no concerning features on the procedure. The SESP is contained in Annex 11 in the ProDoc.

## 3.2 Project Implementation

40. The following is a compilation of significant events during implementation of the Global ABS Project in chronological order:

- PIF Approved: March 2014 (GEF 5);
- Preparatory phase: 2015 with regional validation workshop in October 2015;
- GEF Endorsement (ProDoc): August 2016;
- Inception workshops in Panama for Latin America and the Caribbean: 7 February 2017;
- Inception workshop in Istanbul for the rest of the countries: 27- 28 April 2017;
- Cancellation of the Project in Egypt: 9 February 2019;
- Initial end date of the Project: 23 August 2019;
- End date of the Project (1<sup>st</sup> no-cost extension): 23 December 2020;
- Final end date of the Project (2<sup>nd</sup> no-cost extension COVID): 23 June 2021.

41. Without much change, the Global ABS Project was implemented according to the management arrangements as elaborated below and on pg 100 of the ProDoc.

### 3.2.1 Adaptive Management

42. Adaptive management is discussed in UNDP evaluations to gauge performance of project personnel to adapt to changing regulatory and environmental conditions and unexpected situations encountered during the course of implementation, both common occurrences that afflict the majority of UNDP projects. Without adaptive management, donor investments into UNDP projects would not be effective in achieving their intended outcomes, outputs and targets. Much of the early adaptive management by Global ABS staff came in the form of various management measures that adapted to the use and allocation of the US\$350,000 given to each country.
43. During the preparatory phase, each of the countries covered under the Project determined their priorities and indicated the activities that needed to be conducted under each of the 3 components of the Project<sup>7</sup>, as it appears in Annex 2 of the ProDoc (pages 117- 190). Most of the countries proposed activities under all the components with Colombia and India prioritized under Component 2 and not including any activity under Component 3 (capacity building of indigenous peoples and local communities).
44. The national allocation of the GEF funds under the Global ABS Project is the same for each country (USD 350,000). The Resident Representatives of each of the 23 countries under the Project received each year (or each time there has been a budget revision of the Project) a Letter of Agreement (LoA) from the project manager to utilize the funds necessary to implement the planned activities for that year. The main adaptive management activity of the Global ABS Project was support for the countries

<sup>7</sup> Component 4 came in place at a late stage during the validation workshops of the preparatory phase as a global component

in their revision and update of their Annual Work Plans (AWPs) and corresponding budgets. As will be seen later in this report, all countries had their special baseline conditions on which their ABS work was based upon (see Tables 5 to 9).

45. The Project was also under Direct Implementation Modality (DIM), implemented by UNDP Istanbul Regional Hub in partnership with United Nations Volunteers (UNV) as a responsible party. As the responsibility of the national implementation of the Project lies with UNDP Country Offices, which has the flexibility to implement the Project according to the national circumstances. Some UNDP COs have implemented the Project following the DIM while others have signed responsible party agreements with national institutions (e.g. Ministries of Environment, research institutions) to conduct full or partial implementation. The Global ABS team was supporting, in most of the cases, those processes that led to the identification of partners and signature of the different responsible party agreements.
46. The support provided by the Global ABS team to the countries has varied from country to country, based on requests made by each country. In general terms, one could say that countries with more experience on ABS implementation have been more independent in the national implementation of the Project (Colombia, India, Kenya, South Africa), while countries that started for the first time to develop and implement ABS at the national level relied much more on direct support of the Global ABS team.
47. During the follow up and support of the implementation provided to the different countries, adaptive management was applied by the Global ABS team to identify opportunities to maximize the impact of activities to be conducted at the national level such as:
  - strong partnerships with a team that takes a multidisciplinary approach. This was necessary to effectively implement ABS protocols especially those that involve access to genetic resources and fair and equitable sharing of the benefits derived from their use at the national level ;
  - promoting the combination of similar consultancy services in neighboring countries into one procurement process conducted at IRH. This would have mobilized higher level experts through a more comprehensive and attractive terms of reference, conducting similar activities at the same time in different countries by the same team under similar ABS rules and procedures, and adjusting the costs of the consultancies at the national level;
  - development of 4 consultancies in Africa (3 for the legal developments and traditional knowledge covering 5 countries and 1 for the economic valorization of genetic resources covering 5 countries). In these sessions, positive synergies were generated by the Project;
  - each time that a country requested a specialized training in other regions (such as ABS contract negotiations), the training was open to the participation of colleagues from neighboring countries, promoting the development of similar capacities in neighboring countries and an open exchange of views and experiences at the regional level. From a financial perspective, the cost of the activity was covered by the host country with the participants from other countries would cover their own costs of participation (travel and stay) from their national budget under the Project or from other sources; normally, the activities were open to all the countries in the region and not only to the countries under the Global ABS Project.
48. Through these regional activities and collaborations, the Project was generating a sense of community amongst different groups of ABS stakeholders. With the establishment of the website of

the Project<sup>8</sup> in 2018 and the virtual platform of the Global ABS Community<sup>9</sup> in February 2019, the Project was able to adaptively manage participation on-line with these events and trainings. These sessions have been recorded and are available as additional materials to any member of the community at any time. To access the materials and recordings of the activities organized by or covered under the Global ABS Community (a complete list of the online activities in Annex J), it has been necessary to register as a member. This “Community of Practice” currently (under Component 4) has 690 registered members.

49. In some countries, appropriate recruitment for the Regional Technical Advisor (RTA) and Project Coordinator positions was lacking. There were some complaints in Mongolia concerning the role of the ABS RTA from the Philippines; this person who was to be responsible for setup of the Mongolian project, did not appear to have sufficient time for preparation of the project and advising the national team on implementation issues. For the Project Coordinator position to properly administer project activities, there would be personnel on a low-level salary who would always seek for better opportunities to improve their salary. A person at a higher salary level would at least have some commitment to the Project. In South Africa, COVID-19 made this problem even worse with low level staff coordinating the Project. In Mongolia, the Project Coordinator was only part time. In the Dominican Republic, having one specialist on the Project for both technical and administrative matters, delayed some processes.
50. In conclusion, UNDP’s efforts to adaptively manage this Project were sincere and *satisfactory* in consideration of the successful outcomes from the Global ABS Project.

### 3.2.1 Actual Stakeholder Participation Partnership Arrangements

51. At the beginning of the Project, the stakeholders were engaged on the Project through preliminary consultations between UNDP and the participating country on the nature of technical assistance to be provided by the Project. Once agreement was made, a Letter of Agreement (LoA) was signed between UNDP and the participating country, that basically outlines the roles and responsibilities of each of the signatories to the LoA. The participating countries in the Global ABS Project all have different capacities to implement the Nagoya protocol ranging from those countries that have existing ABS legislation with gaps to those who are starting the ABS legislation. Most technical teams implementing the Project were found to be highly motivated on the topic (that deals with development, environment, and social justice) that only facilitated their selection. The rationale and involvement of specific participating countries in partnership arrangements can be found in Paras 43 to 48.
52. Initial activities of the Project were the Component 1 training about 12,874 stakeholders in 23 countries to develop and strengthen the capacities of national and state competent authorities and related agencies to develop, implement, and enforce national ABS domestic legislation, administrative or policy measures for ABS through national and regional trainings and workshops. These sessions were carried out, the early ones being Albania, Belarus, Egypt, Jordan, Colombia, Panama, Botswana, South Africa, Kazakhstan, and Tajikistan where the scores show some capacity gains, but the target has not been reached for any of them. In Panama, for example, the Project conducted a training workshop for lawyers of the Ministry of Environment (MIAMBIENTE), including

<sup>8</sup> <https://abs-sustainabledevelopment.net>

<sup>9</sup> <https://communityabs-sustainabledevelopment.net>

Regional Offices, and the Water Resources Authority (ARAP). At the national level, most of the national ABS legal frameworks have been developed including TK measures, and institutional capacity at the national level was strengthened to implement those ABS national systems. Two of the early completed ABS legal framework that was adopted was the Dominican Republic in January 2018 and the ABS provisional measure in Uruguay in November 2017. This has been good for the engagement of key stakeholders: the government ministries, related agencies, CSOs, NGOs and selected consultants.

53. In building trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts, an outcome desired under Component 2, the Project worked with 22 countries to facilitate commercial ABS agreements between users and providers of genetic resources. The success of this initiative has been the signing of 10 commercial agreement (see Para 88 and Table 7, first performance indicator). With these agreements needing to comply with national ABS laws, this process was supported by a partnership between the Union for Ethical Biotrade (UEBT) and the Project to identify users and providers of genetic resources interested in developing ABS agreements under national laws or policies. Of the 13 countries that had opportunities to sign ABS agreements between users and providers of genetic resources, many of the users and provider stakeholders were encouraged by the national government commitment to national ABS legislation. For example, in the Dominican Republic, the commercial ABS agreement was signed between this country and MEDOLIFE to use the scorpion venom for developing a medicine against cancer.
54. In strengthening the capacity of ILCs to contribute to the implementation of the Nagoya Protocol under Outcome 3, the Project has been engaging and supporting communities, especially those with TK, with the development of Biocultural Protocols (BCPs) or TK registries in 18 countries. The process of engagement of these communities considers the unique culture and work-related patterns of local communities which vary from country to country. Currently, there are 14 countries that have met their Project targets for the number of BCPs or TK registries per country adopted by local communities which is a moderately satisfactory indicator of stakeholder engagement at the ILC (providers) and private sector and research bodies (users).
55. Under the outcome of “implementing a Community of Practice and South-South Cooperation Framework on ABS”, under Component 4 (being implemented by UNV with the support of Project staff), a Community of Practice website was established on 15 February 2019 (<https://community.abs-sustainabledevelopment.net/>) in assessing knowledge gaps and requests from countries regarding information and capacity needs. The process to develop the community of practice started with a baseline on ABS priorities and technical support from the field through a survey which targeted 24 countries on the Project. The Project initiated the development of the Community of Practice through activities directly organized under the Project at the different levels (global, regional, national and subnational) as well as through the support or co-organization of other activities with different organizations (such as Equator Initiative, CBD, IDLO, ITPGRFA, Bioversity, GIZ). Key activities facilitated by the Community of Practice included:
  - two online awareness raising campaigns on ABS;
  - a global campaign to celebrate the International Day of Women and Girls in Science which showcased women supported by the project that investigate the properties of genetic resources for the development of products;
  - a global campaign to underscore ABS and traditional knowledge during the 18th Session of the UN Permanent Forum on Indigenous Issues; and

- knowledge management products shared by the Global ABS Project team to facilitate the coordination of on-site and on-line activities implemented under the Community of Practice.
56. In addition, the Community of Practice platform implemented an e-learning platform with the support of experts and regional partners such as IDLO, the CBD and UNCTAD to provide learning opportunities on ABS, amongst other activities. The Community of Practice has also identified 675 organizations that use genetic resources for commercial and non-commercial purposes, a resource that can be used to identify which organizations have signed ABS agreements with which countries for research or commercial purposes. Stakeholder engagement consisting of Project beneficiaries have participated in the multiple webinars on topics that are available on the Community of Practice website. This not only engages the stakeholders to learn about other achievements in the ABS world, it also encourages them to engage with regional and global experts, PCU team members and other countries to reach out for dialogue with others to improve their ABS environment.
57. In addition, the approach of the Project through the Global ABS team has been to partner and support as much as possible existing trainings activities, instead of duplicating or competing with other organizations. Key partner organizations for the Project have been the Secretariat of the Convention on Biological Diversity (SCBD) and Bioversity International. This mutual support has produced important synergies that prolong and extend the impact of the trainings and activities that have been carried out. The following are examples of the face-to-face trainings supported or co-organized by the Project with other organizations:
- Workshop on practical experiences to implement the Nagoya Protocol and the ITPGRFA in mutually supportive ways at the national level (Roma, 21-23 November 2017) jointly organized by Bioversity International and the UNDP-GEF Global ABS Project (fully funded by Bioversity International) with 15 participants from Egypt, Jordan, Kazakhstan, Lebanon, Myanmar, Rwanda, Seychelles, Sudan and Uganda;
  - International trainings organized by the Secretariat of the Convention on Biological Diversity and International Development Law Organization in “establishing legal frameworks to implement the Nagoya Protocol”. These legal trainings were supported by the Global ABS Project with facilitators and experts as well as participants from the countries of the Project. The regional face-to-face workshops consisted of a total of 118 participants from 70 countries. An additional 22 candidates completed the e-learning modules in place of the face-to-face workshops:
    - Central Africa (French): Douala, Cameroon, 9-13 April, with the support of the Central African Forests Commission (COMIFAC), UNDP and GIZ;
    - Asia (English): Da Nang, Viet Nam, 28 May-1 June, with the support of the Government of Viet Nam and UNDP;
    - Latin America (Spanish): Santiago, Chile, 18-22 June with the support of the Economic Commission for Latin America and the Caribbean (ECLAC) and UNDP;
    - Pacific islands (English): Nadi, Fiji, 23-27 July, with the support of the Secretariat of the Pacific Regional Environment Programme (SPREP) and UNDP;
    - Eastern Europe and Central Asia (Russian and English): Minsk, 10-14 September, with the support of the Government of Belarus and UNDP;
    - West Africa (French): Dakar, 17-21 September, with the support of the ABS Capacity Development Initiative and UNDP.
  - Regional Training Workshops related to national arrangements on traditional knowledge for achieving Aichi Biodiversity Target 18 and contributing to Aichi Biodiversity Target 16 of the

Strategic Plan for Biodiversity 2011-2020. These training workshops were organized by the Secretariat of the CBD and supported by the UNDP-GEF Global ABS Project with facilitators and experts as well as participants from the countries of the project:

- Latin America and the Caribbean (2 to 6 April 2018 - Tepoztlan, Mexico);
- Asia (20 - 24 August 2018 – Kandy, Sri Lanka);
- Africa (8 - 12 October 2018 – Marrakech, Morocco);
- Regional Workshop of the Network of the Indigenous Women on Biodiversity in Latin America (27-28 July 2019, Panama).

58. Overall efforts by the Global ABS team to forge effective partnership arrangements with participating countries have been **highly satisfactory**. This includes partnership arrangements with entities with direct responsibility for reaching their targets and intended outcomes of the Project and opening the door to greater and potentially more successful partnerships with the users and providers of genetic materials to improve their implementation of the Nagoya Protocol.

### 3.2.2 Project Finance

59. The total budget for the Global ABS Project was US\$12.0 million that was to be disbursed over a 58-month duration, managed by the PCU under the direction of a Project Steering Committee. Table 3 depicts disbursement levels up to 30 April 2021, 2 months prior to the terminal date of the Global ABS Project of 23 June 2021, revealing the following:

- There were no major deviations of actual expenditures from the ProDoc budget. The largest budgeted component was Component 1;
- The savings from the cancelled Egyptian part of the project were spread out amongst the participating countries;
- Disbursement rates were not according to the ProDoc. Owing to the late start of the Project, disbursement rates were small during 2016 and 2017, and at the planned disbursement rates. The remaining disbursements were expended during 2019 and during the extension of the Project in 2020 and 2021.

60. The Project has also demonstrated that appropriate financial controls are in place, notably through:

- Combined Delivery Reports (CDRs) and Project Budget Balance Report which shows the expenditure and commitments in the current year up to date (both as generated by Atlas);
- manual monitoring of Project expenditures against budget lines to attain an in-depth understanding of the financial progress and the pending commitments.

61. Project co-financing was estimated to be more than US\$16.095 million, 95% of the expected co-financing of US\$ 16.921 million. Co-financing summary and details can be found on Tables 4 and 5 respectively. The TE team notes the following on the level of co-financing provided on this Project:

- The majority of co-financing (US\$ 13.257 million) was realized from governments. This included in-kind contributions from almost every country;
- A small but substantial portion of the in-kind contribution is from UNDP of US\$ 1.379 million and UNV at US\$407,438;

**Table 3: GEF Project Budget and Expenditures for Global ABS Project (in USD as of 30 April 2021)**

NAMA Outcomes	Budget (from Inception Report)	2016 <sup>22</sup>	2017	2018	2019	2020	2021 <sup>23</sup>	Total Disbursed	Total to be expended in May-June 2021	Total remaining
OUTCOME 1: Strengthened legal, policy and institutional capacity to develop national ABS frameworks	4,663,409	75	554,872	1,758,940	1,495,159	687,230	82,981	4,579,257	167,000	(82,848)
OUTCOME 2: Trust built between users and providers of genetic resources to facilitate the identification of bio-discovery efforts	4,046,343		423,161	1,309,607	1,414,117	613,253	118,712	3,878,849	157,000	10,494
OUTCOME 3: Strengthened capacity of ILCs to contribute to the implementation of the Nagoya Protocol	2,571,820		304,061	656,294	896,136	469,053	142,203	2,467,748	157,262	(53,190)
OUTCOME 4: Community of Practice and South-South Cooperation Framework on ABS	147,000			107,274	(13,089)	54,815		149,000		(2,000)
Project Management	571,428	327	106,437	110,130	132,911	55,214	6,843	411,864	32,020	127,544
<b>Total (Actual)</b>	<b>12,000,00</b>	<b>402</b>	<b>1,388,532</b>	<b>3,942,246</b>	<b>3,925,234</b>	<b>1,879,564</b>	<b>350,739</b>	<b>11,486,718</b>	<b>513,282</b>	<b>0</b>
Total (Cumulative Actual)		402	1,388,935	5,331,180	9,256,414	11,135,979	11,486,718			
Annual Planned Disbursement (from ProDoc) <sup>24</sup>	12,000,000	1,348,286	4,074,441	3,908,915	2,668,358					
<b>% Expended of Planned Disbursement</b>		<b>0%</b>	<b>34%</b>	<b>101%</b>	<b>147%</b>					

<sup>22</sup> Commencing 23 August 2016<sup>23</sup> Up to 30 April 2021<sup>24</sup> Year 1 in ProDoc was prorated to the September-December 2015 when the Project was being implemented.



Table 4: Co-Financing for Global ABS Project (as of 31 May 2021)

Co-financing (type/source)	UNDP own financing (million USD)		Government (million USD)		Partner Agency (million USD)		Private Sector (million USD)		Total (million USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants					1.076	0.620 <sup>13</sup>	0.000		1.076	0.620
Loans/Concessions									0.000	0
• In-kind support	0.160	1.379	15.259	11.617	0.425			0.564	15.844	13.571
• Other				1.640					0.000	1.640
<b>Totals</b>	<b>0.160</b>	<b>1.379</b>	<b>15.259</b>	<b>13.257</b>	<b>1.501</b>	<b>0.620</b>	<b>0.000</b>	<b>0.564</b>	<b>16.920</b>	<b>16.095</b>

Table 5: Co-Financing Details

Country	Loan			Grant			In-kind				Other			Public investment			Total			
	UNDP	Gov't	Donor	UNDP	Gov't	Donor	UNDP	Gov't	Partner Agency/Donor	NGOs	UNDP	Gov't	Donor	UNDP	Gov't	Donor	UNDP	Gov't	Donor	NGOs
UNV									407,438.20								-	-	407,438.20	
Dominican Republic						99,000.00	45,720.00	286,459.61									45,720.00	286,459.61	99,000.00	-
Ecuador						65,680.00		396,320.00									-	396,320.00	65,680.00	-
Honduras							81,393.82	674,930.85									81,393.82	674,930.85	-	-
Panama							49,077.00	448,500.00									49,077.00	448,500.00	-	-
Uruguay						22,500.00		250,250.00							8,000.00		-	258,250.00	22,500.00	-
Jordan							57,095.10	1,108,191.36		330,000.00							57,095.10	1,108,191.36	-	330,000.00
Sudan						25,000.00		305,000.00							370,000.00		-	675,000.00	25,000.00	-
Tajikistan							10,000.00	300,000.00		50,000.00							10,000.00	300,000.00	-	50,000.00
Kazakhstan							50,000.00	815,500.00		184,500.00							50,000.00	815,500.00	-	184,500.00
Rwanda							130,000.00	375,000.00									130,000.00	375,000.00	-	-
Comoros							15,000.00	48,000.00									15,000.00	48,000.00	-	-
Seychelles																	-	-	-	-
India							90,000.00	610,000.00									90,000.00	610,000.00	-	-
Mongolia								196,000.00									-	196,000.00	-	-
Kenya							84,633.00	33,505.00									84,633.00	33,505.00	-	-
Myanmar								365,000.00									-	365,000.00	-	-
Samoa							54,750.00	710,904.89									54,750.00	710,904.89	-	-
Ethiopia							423,801.00	193,200.00									423,801.00	193,200.00	-	-
Botswana																	-	-	-	-
Colombia							71,520.00	259,374.30							180,946.00		71,520.00	440,320.30	-	-
Albania								405,000.00									-	405,000.00	-	-
Belarus								68,547.05							1,080,768.00		-	1,149,315.05	-	-
South Africa						1,140,511.00											-	-	1,140,511.00	-
Egypt							-	-	-								-	-	-	-
<b>TOTAL</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,352,691.00</b>	<b>1,162,989.92</b>	<b>7,849,683.06</b>	<b>407,438.20</b>	<b>564,500.00</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>1,639,714.00</b>	<b>-</b>	<b>1,162,989.92</b>	<b>9,489,397.06</b>	<b>1,760,129.20</b>	<b>564,500.00</b>

<sup>13</sup> Part of this is from UNV at US\$0.407 million, and the remainder consisting of grants from Dominican Republic (US\$99,000), Ecuador (US\$65,680), Uruguay (US\$22,500), Sudan (US\$25,000) and South Africa (US\$1,140,514).

- A large grant to South Africa, Jordan, Comoros totalling more than US\$1.0 million in each of the countries;
  - Due to the 95% of co-financing obtained, level of co-financing appears to be satisfactory.
62. Overall, the cost effectiveness of the Global ABS Project has been **satisfactory** in consideration of the excellent results achieved in the capacity building of the stakeholders involved.

### 3.2.3 M&E Design at Entry and Implementation

63. The ProDoc does provide for an M&E design on pages 105-108 in the ProDoc. The design is presented in a fairly generic manner, similar to other M&E designs from other GEF projects, and with preparations for a detailed M&E plan left to the implementation phase of the Project. Moreover, in terms of budgeting for M&E activities, US\$154,930 was the total M&E budget (as broken down on page 108 of the ProDoc). There is the issue of no discussion in the M&E design concerning baseline surveys for the following indicators:

- “change in knowledge, attitudes, and practices (KAP) of specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS with respect to national ABS frameworks, the CBD, and Nagoya Protocol” in Component 2; and
- “capacities of local ILCs per country to negotiate ABS agreements” in Component 3 (also discussed in Para 31).

Reportedly, there was an issue of not having sufficient funds in the budget to conduct the baseline surveys for these indicators for all the participating countries. These baseline surveys would have to have been completed around the Inception Phase or the beginning of technical assistance to each country, which would have been difficult to monitor for the PCU. As such, *the M&E design is rated as **moderately satisfactory**.*

64. In terms of M&E plan implementation, the PIRs or monitoring reports are reasonably complete. However, there were some gaps in reporting and the issue to no baseline in the KAP indicators (for example, Albania, Jordan and Kenya in Component 2, and Kenya in Component 3), and difficult comments to comprehend (for example, Kazakhstan in Component 2). While there is evidence that M&E activities were adequately implemented prior to 2017 when the Global ABS PCU had a number of officers involved with M&E activities, there appears to be little to no follow-up on baseline KAP surveys. This is further discussed in Paras 94 and 103.
65. As a result, there was no baseline to measure the changes in KAP for these 2 components. This presented a problem in that monitoring improvements in capacities of these groups could not scientifically be measured. In fact, the baselines and targets for the indicator “capacities of local ILCs per country to negotiate ABS agreements” were not easy to determine, leading to why this was not done in the preparatory or inception phases. By late 2019, the Project had produced a guidance document based on the experience at the regional level in Latin America with a common methodology that could be applied to all the countries. Notwithstanding, several ILCs forged ahead increasing their general capacity to understand and negotiate ABS agreements. One wonders if another mechanism for measuring KAP would be a general observation of KAP amongst stakeholders, especially where specific group numbers being surveyed (e.g. researchers, government

technicians) are sufficiently low to make generalizations about their changes in KAP. Regardless, implementation of the M&E plan was **satisfactory**.

66. As such, *M&E plan implementation is rated as **satisfactory***. Ratings according to the GEF Monitoring and Evaluation system<sup>14</sup> are as follows:

- *M&E design at entry – 4;*
- *M&E plan implementation – 5;*
- *Overall quality of M&E – 5.*

### 3.2.4 Performance of Implementing and Executing Agencies

67. The performance of UNDP (the Implementing Agency) can be characterized as follows:

- During the early stages of Global ABS, UNDPs involvement with the Project was strong. UNDP's involvement was mainly to facilitate adaptive management in the provision of management arrangements that follow global UNDP POPP guidelines;
- UNDP's role on the Project to partner and support training organizations that have produced important synergies that prolong and extend the impact of the trainings and activities that have been carried out
- UNDP's role becoming more prominent with the Community of Practice;
- Overall performance of UNDP on the Global ABS Project can be assessed as being **satisfactory**.

## 3.3 Project Results and Impacts

68. This section provides an overview of the overall results of the Global ABS Project and an assessment of the relevance, effectiveness and efficiency, country ownership, mainstreaming, sustainability, and impact of the Global ABS Project. For Tables 6, 7, 8, 9 and 10, the "status of target achieved" is color-coded according to the following color-coding scheme:

Green: Completed, indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by Project closure
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<sup>14</sup> 6 = HS or Highly Satisfactory: There were no shortcomings;

5 = S or Satisfactory: There were minor shortcomings,

4 = MS or Moderately Satisfactory: There were moderate shortcomings;

3 = MU or Moderately Unsatisfactory: There were significant shortcomings;

2 = U or Unsatisfactory: There were major shortcomings;

1 = HU or Highly Unsatisfactory

U/A = Unable to assess

N/A = Not applicable.

Table 6: Project-level achievements against Global ABS Objectives

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
<b>Project objective: To assist countries in the development and strengthening of their national ABS frameworks, human resources and administrative capabilities to implement the Nagoya Protocol.</b>	Number of national ABS law/regulation/ policy proposals developed and/or strengthened with the participation of key stakeholders including indigenous peoples and ILCs.	Albania: Some legal ABS measures in place	Albania: ABS policy and legislation adopted	Albania: The legal framework for ABS was finalized and approved by Parliament during 2021. The Law No. 41/2020 "For some changes and amendments to the Law No.9587, date 20.7.2006, "For the protection of the biodiversity", was approved in the Parliament on 23 April 2020, which includes the legal ABS framework.		6
		Belarus: some legal acts to regulate the access to genetic resources in place, but they do not include all the issues relevant to the Nagoya Protocol	Belarus: Improved ABS rules adopted to fully implement the Nagoya Protocol	Belarus: The Law "On Genetic Resources Management" of the Republic of Belarus was approved by the President of the Republic of Belarus in accordance of the Decree of the President of the Republic of Belarus of January 4, 2021 No. 2.	See Para 70	6
		Botswana: No ABS-related law/ regulation in place	Botswana: Draft of a national ABS law and corresponding regulations	Botswana: Drafting instructions for the Attorney General in the form of a Cabinet Memorandum, were prepared by the legal ABS team for the report on Policy and Legal framework and submitted to the Department of Environmental Affairs (DEA). The Policy and Institutional Gap Analysis report was considered finalized by the ABS technical reference group (TRG). Once the Cabinet Memo is approved, the Attorney General will then be invited to facilitate the drafting of the ABS legislation. Also, the TRG has developed an informal working draft of the ABS Act, which could be used as a laymen's draft aid (31 March 2020).		5
		Colombia: No baseline set	Colombia: No targets set.	Colombia: Despite the country had not included any activities under this target, several developments took place. 1. Preparation of an economic proposal for the distribution of monetary and non-monetary benefits derived from access to genetic resources and their derived products, and another to support the development of a proposal for voluntary norms (codes of conduct, standards, best practices and / or guidelines), in accordance with Article No. 20 of the Nagoya Protocol. Development of the document 'Technical concepts that promote the implementation of the regime of access to genetic resources and their derivative products' in which nine technical concepts associated with nine requests for access to genetic resources and their analysis in relation to the Nagoya Protocol are presented.  A web platform to strengthen the follow-up and monitoring of contracts for access to genetic resources is being developed. This application aims to focus on the management, monitoring and follow-up of contracts for access to genetic resources, from the request to the end of the contract, as well as the issuance of reports and queries that allow to measure the management in real time. significant progress has been made in the implementation of the web platform developed as a product of the Global ABS Project. Currently		

<sup>15</sup> Ibid 14

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
				the process of migrating the tool to the Minambiente system is in the stage of domain change and verification of the application in this new domain, as well as the debugging of the database and the transfer of the thematic administration to the coordinator of the Genetic Resources Group. In this way, it is increasingly close to the implementation of a tool that will streamline and make the process more efficient for both users and Minambiente, while not only promoting the use of resources, but also fostering innovation for its responsible and sustainable use in different sectors of the local economy in each of the regions of the country. The Handbook for access to Genetic Resources and their By-Products in Colombia was translated and launched in English.		
		Comoros: No ABS-related law/ regulation in place	Comoros: draft of a national ABS law and corresponding regulations	Comoros: On 21st May 2020, Comorian Members of Parliament adopted unanimously the law that implements the ABS legislation according to Presidential Decree No. 20-081/PR. .		6
		Dominican Republic: some ABS provisions are included in the existing regulation for biodiversity research	Dominican Republic: Draft of a national ABS law and corresponding regulations	Dominican Republic: National ABS Policy developed and adopted by Resolution No. 0002/2018 of the Ministry of Environment and Natural Resources (issued on 15 January 2018). There is also "Regulations on Access to Genetic Resources, Associated Traditional Knowledge and Fair Distribution" adopted by Resolution No. 0002/2018 of the Ministry of Environment and Natural Resources, issued on January 15, 2018.		5
		Ecuador: ABS comprehensive legal framework in place	Ecuador: Guidelines for implementation of the existing ABS legal framework integrating the different relevant legal provisions in force in the country	Ecuador: Several proposals as regulations.	See Para 70	5
		Ethiopia: Pre-Nagoya protocol measures on ABS in place	Ethiopia: Updated and harmonized ABS legislation submitted for approval	Ethiopia: updated/ harmonized ABS legislation submitted for approval Council of Ministers & Parliament through a Submission Letter from Environment, Forest and Climate Change Commission (EFDR) as of 31 January 2020, EOP in Ethiopia		6
		Egypt: Programme cancelled				
		Honduras: No ABS-related law or regulation in place	Honduras: Draft of a national ABS law and corresponding regulations	Honduras: draft of a national ABS law and corresponding regulations (National ABS Regulation and a Technical Administrative Manual of Roles and Functions) were submitted to Ministry of Environment (MiAmbiente) in 2019. After a long standing before the legal advisor of DiBio / MiAmbiente, in May 2021 the Ministry of Environment approved the ABS Regulation through Ministerial Agreement 706-2021.  In the context of the dialogue maintained with the National Direction of Intellectual Property to become a national checkpoint of the Nagoya Protocol, a proposal to amend the Law on Intellectual Property Rights was prepared and submitted for the consideration of the National Director.		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
				The project has supported the process of updating and developing the National Policy on Biodiversity and the National Policy on Coastal Marine Spaces, integrating elements of ABS into it.		
		India: legal framework in place	India: engagement with the research community to strengthen their participation in the ABS regulatory system initiated.	<p>India: The ABS project in India focused on enhancing the capacities of academic and research institutions in the public and private sector accessing biological resources and/or associated knowledge to better understand the legal provisions and guidelines related to ABS. For this, UNDP along with the National Biodiversity Authority (NBA) was working with government research institutions, such as the Indian Council of Agricultural Research (ICAR) and the Indian Council of Forestry Research and Education (ICFRE), to build capacities of its scientists on the ABS mechanism. The project has helped fulfil a major gap area of building capacities of nearly 200 scientists/ research managers in 40 public research institutions accessing bio-genetic resources in their research. Basic and Advanced level Trainings were imparted to these scientists, among whom 40 have been trained as Master Trainers for conducted further trainings as per the needs of the government institutions and to help scale up the work of NBA.</p> <p>National Law School of India University (NLSIU), Bengaluru, was identified and contracted to implement the activities in the project. Regional workshops on Biodiversity Law and ABS were held at 16 States viz., Assam, Madhya Pradesh, Jammu &amp; Kashmir, Telangana, Maharashtra, Rajasthan, Bihar, Andhra Pradesh, Kerala, Odisha, Punjab, Chhattisgarh, Goa, Jharkhand, Tamil Nadu and Gujarat. These regional workshops were participated in by a total of 1947 Legal Professionals drawn from the Law Schools spread across 16 States. 29 Master Trainers for the Advance Workshop on National and International Legal Framework for the conservation of biodiversity were trained. Moot court on Biodiversity Law was organized at the NLSIU wherein more than 70 participants from 25 Law schools across the country participated. (Annex 1 India).</p> <p>The ABS handbook for researchers has been developed and it is being finalized at NBA.</p>		5
		Jordan: amendment of the Environment Protection Law in process	Jordan: amendment of Environmental Protection Act and ABS bylaws approved	Jordan: The Environment protection Act has been amended and the ABS bylaw endorsed by the Ministry of Environment, and has received final endorsement from Cabinet (16 May 2021).		6
		Kazakhstan: No ABS-related law/ regulation in place	Kazakhstan: ABS national policy and legal framework developed and submitted for adoption	Kazakhstan: A road map for legal works was developed and approved. 3 meetings of the task force group were conducted and the content of the Conservation of Plant's Societies was updated.		5
		Kenya: Pre- Nagoya protocol measures on ABS in place	Kenya: Effective ABS laws updated through consultative process and submitted for approval	Kenya: A draft ABS Bill for Kenya to complement the legal gap analysis was finalized. The Draft ABS Bill provides a legal framework to govern the ABS issues in Kenya, specifically recommending a means of coordinating the various Ministries and agencies with a role in ABS matters in Kenya		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
		Mongolia: No ABS-related law/regulation in place	Mongolia: ABS national policy and legal framework developed and submitted for adoption	Mongolia: Approval of the Genetic Resources Law by Parliament supported by 14 draft law amendments, 5 regulations and 6 model contracts.	See Para 71	5
		Myanmar: No ABS-related law/regulation in place	Myanmar: ABS national policy and legal framework developed and submitted for adoption	Myanmar: Draft policy was provided and a legal gap analysis was completed. The project has advanced considerably the ABS agenda in Myanmar in several ways including through: 1. providing a draft policy within the Policy Framework document; 2. supplying a roadmap to move forward in rolling out an ABS program under such a policy; 3. completing a legal analysis to illustrate the gaps in the current laws, and to indicate a path forward from a legal perspective by providing options. There has, as yet, been no formal strategy (or ABS law) put in place by Environmental Conservation Department (ECD) for an ABS program, in large part because Myanmar did not have any notable baseline activities in place for managing genetic resources until the project raised the awareness about the need and process.		5
		Panama: specific ABS legal framework in place	Panama: Draft of revised ABS legal framework	Panama: The new ABS regulation was adopted by Decree 19 on 26th March 2019: <a href="https://www.gacetaoficial.gob.pa/pdfTemp/28741_A/GacetaNo_28741a_20190327.pdf">https://www.gacetaoficial.gob.pa/pdfTemp/28741_A/GacetaNo_28741a_20190327.pdf</a> .		6
		Rwanda: No baseline set.	Rwanda: No targets set.	Rwanda: Review of the national Law on Biodiversity and the national Law of wildlife to include ABS principles (Annex 1 Rwanda). Development of the ABS draft ministerial order (ready for validation) and the draft ABS guidelines (ready for validation) in partnership with the UNEP-GEF-COMIFAC project. It also revised and approved the national TK policy instruments.		
		Samoa: No ABS-related law/regulation in place	Samoa: ABS national policy and legal framework developed and submitted for adoption	Samoa: An standalone ABS national policy and legal framework was developed and launched for adoption by the Ministry of Natural Resources and Environment (MNRE) as of 2019.		6
		Seychelles: No ABS-related law/regulation in place	Seychelles: draft of a national ABS law and corresponding regulations	Seychelles: The ABS Policy was approved by the Cabinet of Ministers in December 2018 with instructions for the development of the ABS Bill. The draft ABS Bill was developed and validated on 20th July 2019. This document was sent to AGs office in September 2019. The Bill is still pending with the AG because of priority laws being dealt with and inadequate capacity to tackle all the laws because of the volume of work.		6
		South Africa: Pre-Nagoya protocol plans	South Africa: draft amendment to the ABS Provisions in the National Environmental Management: Biodiversity Act (No. 10 of 2004)	South Africa: National Environmental Management: Biodiversity Act Bill included in the 2021 Cabinet Schedule for approval for public participations.		5
		Sudan: legal amendment to introduce ABS in progress; some draft	Sudan: ABS policy/legislation adopted and sectoral laws reviewed to	Sudan: ABS national Law drafted in line with the Nagoya Protocol and submitted for approval to the competent authorities with the participation of key stakeholders (final adoption delayed due to the current political		6

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
		sectoral rules in process	properly reflect ABS provisions	transition in Sudan). Additionally, three bylaws were developed in line with draft ABS National Law.		
		Tajikistan: No ABS-related law/regulation in place	Tajikistan: the draft Law "On access and benefit-sharing" has been prepared and was considered by an inter-ministerial working group in 2018 and 2019 (17-18 May 2019). The senior legal IC, together with the ABS team, elaborated recommendations for the further improvement of the ABS law. Based on such recommendations, the national legal consultant provided a revised draft ABS law. In the second half of 2019, two inter-ministerial and inter-departmental workshops will be held to further discuss and validate the final draft. The target is on track.	Tajikistan: The draft "Law on Access to, and Benefit Sharing from Genetic Resources" was developed and submitted to the Parliament of the country after a review and consultations with representatives of relevant ministries and agencies, scientific institutions and CSOs, as well as communities. The draft Law consists of 8 chapters and 33 articles, and has been prepared		5
		Uruguay: No ABS-related law/regulation in place	Uruguay: draft of a national ABS law and corresponding regulations	Uruguay: National ABS law and corresponding regulations adopted. Ministerial Resolution Nº 291/2020 of February, 20, 2020 ( <a href="http://www.impo.com.uy/bases/resoluciones-mvotma/SN20200220002-2020">http://www.impo.com.uy/bases/resoluciones-mvotma/SN20200220002-2020</a> ). The Ministry of Environment has signed an agreement in February 2020 with the National Directorate of Intellectual Property to design this department as a checkpoint of the Nagoya Protocol at the national level.	See Para 71	6
	Increase by X% in the capacities of national and state competent authorities and related agencies to develop, implement, and enforce national ABS domestic legislation, administrative or policy measures for	Albania: 42.42%	Albania: 52.42%	Albania: 82.6%. Based on 47 people trained.		6
		Belarus: 30.30%	Belarus: 50.30%	Belarus: More than 75%		6
		Botswana: 18.67%	Botswana: 50%	Botswana: 58% (as of 31 March 2020)		5
		Colombia: 74.24%	Colombia: 94.24%	Colombia: 89% estimated level		5
		Comoros: 13.64%	Comoros: 50%	Comoros: 75% based on Capacity Scorecard and 300 people trained.		6
		Dominican Republic: 28.79%	Dominican Republic: 58.79%	Dominican Republic: 81,15% based on training of 76 staff and technicians (39 women and 37 men) who have been trained related to the development, implementation and monitoring of compliance with national ABS legislation,		6
		Ecuador: 45.45%	Ecuador: 65.45%	Ecuador: 78%	See Para 70	3
		Ethiopia: 65.15%	Ethiopia: 90%	Ethiopia: 86%. Researchers from universities, research institutes and relevant industries changed the knowledge, attitudes and practice on the issue of the National ABS law, CBD and Nagoya Protocol related to ABS and Community Knowledge		4



Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
	ABS - including a CHM, as measured by the UNDP ABS Capacity Development Scorecard	Egypt: Programme cancelled				
		Honduras: 28.79%	Honduras: 58.79%	Honduras: 66.66%. Augmented by MiAmbiente, the ICF, the Directorate of Intellectual Property and the SAG, all legal specialists with knowledge and skills in ABS matters. Furthermore, MiAmbiente has the CHM platform in which the progress of Honduras in matters of ABS, biodiversity and related issues is disseminated.		5
		India: 53.05 %	India: 58.05 %	India: 81%		6
		Jordan: 22.73 %	Jordan: 42.73%	Jordan: 60.86%		6
		Kazakhstan: 35.0%	Kazakhstan: 50 to 75%	Kazakhstan: 45% (158 people (93 men, 65 women)).	See Para 73	6
		Kenya: 49.97%	Kenya: 70%	Kenya: 69% estimated level.		4
		Mongolia: 30.0%	Mongolia: 45 to 65%	Mongolia: 40%		5
		Myanmar: 20.0%	Myanmar: 35 to 55%	Myanmar: 60%		6
		Panama: 40.91%	Panama: 70.91%	Panama: 59.42%. The main reason for not reaching the project objective is due to many changes in personnel within the competent national authority, which impacts on the direction of progress of the issue at the institutional level.		4
		Rwanda: 68.18%	Rwanda: 50%	Rwanda: 89%		6
		Samoa: 35.0%	Samoa: 50 to 75%	Samoa: 80%		5
		Seychelles: 45.45%	Seychelles: 80%	Seychelles: 62%		5
		South Africa: 75.76%	South Africa: 85%	South Africa: 91%		5
		Sudan: 24.24 %	Sudan: 44.24 %	Sudan: 65.22%		6
		Tajikistan: 15.0%	Tajikistan: 30 to 50%	Tajikistan: 78.8%		6
		Uruguay: 12.12%	Uruguay: 12.12	Uruguay: 52%		6
	Number of ABS partnerships established with project support for the development of products for commercial purposes	Albania: zero (0)	Albania: at least one partnership established	Albania: The agreement with the Albanian Genebank is established and will enhance the national database for local or autochthonous PGR and will be produced a report describing the evaluation results concerning the selected plant genetic resource with high economic potential for bioprospecting.		5
		Belarus: zero (0)	Belarus: at least one partnership established	Belarus: In 2020, an Agreement between the company "SEPPIC" (France) and the Institute of Genetics and Cytology of the National Academy of Sciences of Belarus was signed to conduct research for developments on the genetic and biochemical composition. <a href="#">Seven transfers of genetic resources to the users of foreign countries realized (USA, New Zealand, Russia (2 transfers), Canada (2 transfers) and Lithuania, but none of them have produced commercial benefits for the time being. (Annex 4 Belarus). Their Internationally Recognized Certificates of Compliance (IRC's) are available at: <a href="https://absch.cbd.int/search/nationalRecords?schema=absPermit">https://absch.cbd.int/search/nationalRecords?schema=absPermit</a>.</a>	See Para 74	6
		Botswana: zero (0)	Botswana: negotiations for one partnership in progress	Botswana: New requests for accessing genetic resources were received by the ABS focal point, creating potential for establishing ABS partnerships. Draft ABS agreements for such partnerships are under development following training in contract drafting.		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
		Colombia Zero (0)	Colombia: at least one partnership established	Colombia: Two biodiscovery partnerships: the Institute for Amazonian Research (Instituto SINCHI), established for the development of pigments for their use by the cosmetic industry, and the José Benito Vives de Andréis-INVEMAR Institute for Marine and Coastal Research	See Para 75	6
		Comoros: zero (0)	Comoros: negotiations for one partnership in progress	Comoros: Partnership established with NUVISAN from France (pharmaceutical and cosmetic company) on the acquisition of knowledge on certain indigenous aromatic and medicinal plants present in the Comoros. Negotiations in progress for partnership with the National Museum of Natural History of France.		6
		Dominican Republic zero (0)	Dominican Republic: at least one partnerships established	Dominican Republic: Two Grant Agreements established with two NGOs: Dominican Environmental Consortium recognition of valued products and by-products of traditional use of the Pimenta Ozua, Pimenta racemosa ozua variety; and Nature and Development Foundation based on developing nutraceuticals products based on Melocactus lemairei..		6
		Ecuador: No baseline set.	Ecuador: No targets set.			
		Egypt: Programme cancelled				
		Ethiopia: zero (0)	Ethiopia: One partnerships established	Ethiopia: 6 ABS partnerships have been made or established.	See Para 76	6
		Honduras: zero (0)	Honduras: At least one partnership established	Honduras: An agreement was signed with the National University of Honduras for the chemical analysis and genetic differentiation of varieties of Sapindus sponaria from different regions of the country, with a phytochemical study and an analysis of the biological and chemical activities for health uses (genetic and taxonomic profile and identification of chemical compounds and activity to treat leishmaniasis). The second part of the research could not be conducted due to the restrictions and closure of the University during the pandemic.		4
		India: zero (0)	India: At least one partnership established	India: One partnership established between the Indian Institute of Oilseeds Research (IIOR) and the National Biodiversity Authority at the national level, and State Biodiversity Boards at the state level,		5
		Jordan: zero (0)	Jordan: At least one partnership established	Jordan: Partnerships with the Royal Botanic Garden (RBG) and the National Agriculture Research Center (NARC) have been established. The RBG pilot mapped TK which is important for the country and might further support biodiscovery value chains. NARC drafted a crop wild relatives' strategy and a Comprehensive literature review of information exist on traditional knowledge in Jordan and suggested a survey design and methodologies for further documenting TK.		5
		Kazakhstan: zero (0)	Kazakhstan: At least one biodiscovery partnership established	Kazakhstan: 2 partnerships established between: (a) Institute of botany and Phyto-introduction and Konju National University (Republic of Korea), and (b) a local community and the LLC "Zerde" for cultivation and processing of medicinal herbs, including in the context of biodiscovery.		6
		Kenya: zero (0)	Kenya: one partnership established	Kenya: Facilitation of the Mondia Whytei Partnership between Kakamega County and French Company Mane Fils. The signing of the PIC was		4

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
				successfully undertaken, as well as training of local communities on entrepreneurship and organizational skills. The Community around Kakamega Forest have been facilitated to register a local Community Based Organization -the Kakamega Natural Forest catchment Conservation organization (KANFCCO) and efforts are underway to train them as the expected execution of the Mutually Agreed Terms are signed. Covid 19 has delayed the movement on the MAT, which is now in draft form. There are another 4 commercial agreements in place related to Covid 19, alloe, France - bio-controls, soda lakes micro-organisms agreements, under field trials; Snake Bites and venoms - IAVI and LSDM. Nationally, 149 ABS permits and currently 177 for Research.		
		Mongolia: zero (0)	Mongolia: At least two partnership established	Mongolia: 3 partnerships established.	See Para 77	5
		Myanmar: zero (0)	Myanmar: At least one partnership established	Myanmar: One partnership has been established. KSH Cosmetics has formed a research partnership with the Department of Science and Innovation, Chemical Technology Research Centre for testing of a Myanmar tree product (thanakha).		6
		Panama: zero (0)	Panama: At least one partnership established	Panama: One partnership executed with the University of Panama, Faculty of Medicine and Pharmacy for the development of antivenoms against scorpions' bites. A report on Lessons Learned from Scorpion Venom Research was published with ISBN. National Strategy for the promotion of bioprospecting activities developed.		5
		Rwanda: zero (0)	Rwanda: negotiations for one partnership in progress	Rwanda: 4 partnership have been developed, one with University of Rwanda (UR) and currently an assessment report on the capacity needs of the University of Rwanda laboratories to analyze genetic resources and advise on their value chain development for Rwanda is being developed.		6
		Samoa: zero (0)	Samoa: at least one partnership established	Samoa: A partnership has been established with the National University of Samoa		5
		Seychelles: zero (0)	Seychelles: negotiation in progress	Seychelles: Seychelles is negotiating a partnership agreement with Biolie, a French based company on research and development on the potential use of the coco de mer kernels for the cosmetic industry. Given method being used by the company, Seychelles is at the same time exploring opportunities for using other key genetic resources. A scoping report of emerging partnerships between users and providers of GR was approved in December 2019. Also a strategy for the valorization of the Seychelles Genetic Resources and associated Traditional Knowledge was adopted.		5
		South Africa: zero (0)	South Africa: one partnership established	South Africa: Partnership with the University of Pretoria to conduct a feasibility study for draft recommendations for the establishment of a National Natural Compound Library in South Africa. The Project is supporting the development of BioProducts Advancement Network South Africa (BioPANZA) that is designed to coordinate a network which blends partnerships to optimize development and enhance growth in the South African bio trade and bio prospecting sector. This will remove hinderances to		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>15</sup>
				development of this sector, mainly enterprise development, commercialization, and co-ordination gaps.		
		Sudan: zero (0)	Sudan: at least one partnership established	Sudan: One partnership established and another one under development. The consultancy “Valorization of Genetic Resources and Associated Traditional Knowledge” has been finalized.		6
		Tajikistan: zero (0)	Tajikistan: at least one partnership established	Tajikistan: Three (3) agreements have been concluded between different subsidiary research institutions under the Academy of Sciences of the Republic of Tajikistan and the Public Organization “Genetic Resources” for collection, research, and storage of genetic resources with purpose of further commercialization.		6
		Uruguay: zero (0)	Uruguay: at least two partnerships established	Uruguay: 2 partnerships have been executed with the University of the Republic (UDELAR) (Use of Eugenia uniflora in cancer treatment) and Faculty of Chemistry (Bioprospection of native flora with antioxidant properties). Strategy for the valorization of genetic resources and associated traditional knowledge has been submitted.		5
Overall Rating – Project-Level Targets						5.4

### 3.3.1 Progress towards objective

69. With the overall objective of this Project being to assist the countries in implementing the Nagoya protocol through the development and strengthening of their national ABS frameworks, human resources and administrative capabilities, a summary of achievements of the Global ABS Project at the objective level is provided with evaluation ratings on Table 6.
70. With respect to targets set by the countries of the “number of national ABS laws, regulations, and policy proposals developed that were strengthened the participation of key stakeholders”, 21 out of 21 countries had met their targets. For example, in Belarus, the Project resulted in the concept preparation of the Law “On Genetic Resources Management” of the Republic of Belarus, which was included in the 2021 Draft Legislation Plan using assistance legislation from other countries who are members of the “Community of Practice”. This was approved in accordance with the Decree of the President of the Republic of Belarus of January 4, 2021 No. 2. In Ecuador, the Project work resulted in several regulations and proposals as follows: (i) Regulation to the Environmental Organic Code (COA), Executive Decree 752 and published through Official Registry 507, on June 12, 2019; (ii) Regulation for the Operation of Genome Banks in Ecuador; (iii) Technical Standard on “Technical criteria and protocols for the conservation of biodiversity, as a requirement for research permits or access to genetic resources”; (iv) 5 BCPs as instruments to ensure the protection of ancestral knowledge and knowledge of indigenous peoples and nationalities; and (v) Didactic guide for the construction of the Community Protocols in 3 languages (Spanish, Shuar and Kickwa).
71. In Mongolia, the national team, in addition to producing one Genetic Resources draft law with 14 law amendments, 5 regulations and 6 model contracts, agreements on access onto Database, PIC, and MTA, also conducted a socio-economic study and a survey of monetary and non-monetary value of genetic resources utilization, knowledge, attitude and practice (KAP) to support the approval of the Genetic Resources Law by the Parliament. In Uruguay, activities leading to the adoption of National ABS law and corresponding regulations, were the Ministerial Resolution Nº 291/2020 of February, 20, 2020<sup>28</sup> that substitutes the provisional ABS system adopted by Ministerial Resolution Nº 1844/017 in December 2017. Article 216 of Law No. 19.670 was approved in October 30, 2018, which changes the wording of Article 22 of Law No. 17,283 of November 28, 2000. The new wording of the Article 22 includes provisions of the Nagoya Protocol, therefore, enabling the regulation of ABS through a Decree<sup>29</sup>.
72. For the indicator of "increase by X percent in the capabilities of national and state competent authorities to develop and enforce a national ABS domestic legislation or policy measures from ABS", 17 out of 23 countries met their targets. For example, in Ecuador that did not meet its targets, low numbers were caused by a lack of political priority at the highest level<sup>30</sup>, frequent rotation of authorities at the medium and high levels, and the pandemic that adversely impacted the time for preparing research permits and access contracts. Similar reasons were cited in Panama's bid to meet its target for this indicator. This leads one to believe that capacity of personnel of decisionmakers at the highest levels is not sufficient.

<sup>28</sup> <http://www.impo.com.uy/bases/resoluciones-mvotma/SN20200220002-2020>

<sup>29</sup> <https://www.impo.com.uy/diariooficial/2020/02/20/documentos.pdf>

<sup>30</sup> One example of this was the non-approval of the ABS Regulation that delayed approval with the Presidency since December 2018, creating uncertainty among researchers, and representatives of key public institutions.

73. Due to regular rotation at some ministries and committee levels (especially in the LAC region), the Project faced difficulties in delays in the delivery of technical assistance, and in keeping the institutional memory and hence, provided all the key strategic documents to the attention of the newly appointed GEF Focal Point and responsible ministry. For example, in Kazakhstan, the Institute of Ecology and Sustainable Development experienced constant changes in the leadership of the Committee for Environmental Protection. Subsequent reshufflings of mid-level government officials including within the National Biodiversity and Biosafety Centre, adversely affected their operational capacities since new leadership did not have the corporate memory in policy enforcement work as part of the Nagoya Protocol implementation. More time was required for them to internalize the work carried to date and further prioritize areas of intervention, which had the impact of delaying the overall process of advancing ABS agenda. Continuous and longer-term engagement of government stakeholders, especially for higher-level decision-makers, is required to ensure further sustainability of technical support and capacity building efforts. The efforts should be made to ensure that online courses on ABS are available, and webinars and discussion forum is established for all countries.
74. For the indicator "number of ABS partnerships established project support for the development of products for commercial purposes", *22 out of 22 countries met their targets*. In Belarus, an Agreement between the company "SEPPIC" (France) and the Institute of Genetics and Cytology of the National Academy of Sciences of Belarus was signed to conduct research for developments on the genetic and biochemical composition, including by use of biotechnology of the wild-growing common bilberry (*Vaccinium myrtillus*) obtained from the Republic of Belarus by the company "SEPPIC" (France) in 2015.
75. In Colombia, a partnership was established with Instituto SINCHI for the development of pigments from the diversity of microorganisms of two regions, in particular for their use by the cosmetic industry. the Sinchi Institute has been building (and fine-tuning) a methodological path to use its research as input for the implementation process of the Nagoya protocol. This methodological path includes all the steps of the process, starting with the selection of the site, followed by the request for mandatory certifications (that is, presence of ethnic groups in the selected territory) and the signing of the contract with the Ministry of the Environment to access genetic resources.
76. In Ethiopia, a 10-year ABS agreement was signed between EBI (provider) and Docomo oils PLC. a USA based company (user). The company is establishing an industry in Ethiopia for processing, herbal compounds, extraction of essential oil formulation and the manufacture of other related herbal and cosmetics products. The result of this effort was creating job opportunities to 857 unemployed youth of the local community. Other agreements included an Ethiopian local company called Ecopia plc. accessing *Bidens macropetra* to produce cosmetics, another Ethiopian local company called Philips Electronics Plc. plc. accessing *Moringa stenopetala* to produce healthcare related products, and a foreign company, G-7 Trading & Industry PLC, accessing *Aloe debrana*.
77. In Mongolia, a partnership has been established with the General Experimental Biology Institute to ensure sustainability and resilience in green landscapes and to develop ABS product from milk and dairy products from camel and goat. A partnership has also been established with an NGO, who has initiated plantation of Siberian Harmag (*Nitrara Sibirica* Pall) and collaboration on plantation of Siberian Harmag (*Nitrara Sibirica* Pall), leading to a partnership established with the Mongolian Berry

Association to improve sustainable utilization of berry fruits, growing in Mongolia. Clustering of *Nitraria Sibirica* research and development work will be expanded through a proposed GEF-7 project.

78. Overall, the work by the Project to assist countries in the development and strengthening of their national ABS frameworks, human resources and administrative capabilities to implement the Nagoya Protocol, is rated as **satisfactory**.

### **3.3.2 Progress towards Outcome 1: Strengthened legal, policy and institutional capacity to develop national ABS frameworks**

79. To achieve Outcome 1, Project resources would be used to lead to 3 sub-outcomes:

- National ABS legal/political frameworks developed and/or strengthened with the participation of all stakeholders including indigenous peoples and local communities (ILCs);
- Capacities of national and state competent authorities and related agencies to develop, implement and enforce national ABS domestic legislation, administrative or policy measures for ABS (that includes a Clearing House Mechanism (CHM)), are improved (as measured by the UNDP ABS Capacity Development Scorecard); and
- ABS political profile increased at a sectoral level within government by linking the national ABS framework with national policies on scientific and technological innovation, research and development.

A summary of actual achievements of Outcome 1 with evaluation ratings are provided on Table 7.

80. For the indicator “number of national policy measures adopted to protect TK, innovations and practices and customary uses of biological and genetic resources”, 16 out of 18 countries had met their targets. In Belarus, the Project made substantial efforts through proposals and amendments to national legislation to harmonize it with the Nagoya Protocol. These were submitted to the Ministry of Natural Resources and Environmental Protection who made the decision on the development of the concept of the Law “On Genetic Resources Management”. This was included in the 2021 Draft Legislation Plan that was eventually approved by the President of the Republic of Belarus as the Decree of the President of the Republic of Belarus of January 4, 2021, No. 2.
81. In Ecuador, the Project contributed an expert in the taxonomic identification of 100 medicinal plants, with the purpose that these are deposited in a confidential and restricted way through the tools called “Voluntary Deposit of Traditional Knowledge”, which aims to prevent illegal access to traditional knowledge in conjunction with the National Service of Intellectual Rights – Senadi. In addition, representatives of communes, communities, people and indigenous and local nationalities were trained in the use of the “Voluntary Deposits” tool, that resulted in 220 “deposited volunteers” of traditional knowledge associated with biological resources, cultural expressions, worldview and indigenous spirituality, benefiting 5 indigenous nationalities, Huaorani, Siona, Tsáchila, Shuar and Cofán as well as 6 communities in the Andean region and the Amazon.

Table 7: Outcome 1 achievements against targets

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
<b>Outcome 1: Strengthened legal, policy and institutional capacity to develop national ABS frameworks</b>	Number of national policy measures adopted for protecting TK, innovations and practices, and customary uses of biological and genetic resources.	Albania: zero (0)	Albania: Draft assessment of TK associated with genetic resources with options on how to protect TK	Albania: Several reports on these issues were finalized including: (i) the National gender policies and commitments related to the CBD and Nagoya Protocol, the involvement of gender related targets and indicators to determine how and when women and gender equality considerations are recognized and integrated and to propose a gender-responsive; (ii) some recommendations provided to try to emphasize the importance of understanding how men's and women's roles and gender relations change and may complement each other when coping with genetic resources, traditional knowledge, ABS on value chains; and (iii) a report entitled "Roadmap to Establish a Geo-referenced Monitoring System of the Local Animal Breeds in Albania."		6
		Belarus: zero (0)	Belarus: Draft assessment of TK associated with genetic resources with options on how to protect TK*	Belarus: The Law "On Genetic Resources Management" was approved by the President of the Republic of Belarus in accordance with the Decree of the President of the Republic of Belarus of January 4, 2021, No. 2.	See Para 80	6
		Botswana: zero (0)	Botswana: National TK policy instrument submitted for approval or adoption	Botswana: A guiding document on establishing a "Sui generis system for the protection of Traditional Knowledge in Botswana" was developed and submitted for public use.		5
		Colombia: No baseline noted	Colombia: No targets set.			
		Comoros: zero (0)	Comoros: national TK policy instrument submitted for approval or adoption	Comoros: Approved TK guidelines now available.		6
		Dominican Republic: zero (0)	Dominican Republic: proposal for the legal protection of TK within the ABS framework	Dominican Republic: Policy measure not adopted. There is a survey of information on traditional knowledge associated with the use of biological/genetic resources. This document emphasizes that both the ABS Policy and the ABS Reglamento provide for general policy measures and the protection of traditional knowledge associated with genetic resources.		4
		Ecuador: zero (0)	Ecuador: Draft of regulations for the Code of Social Knowledge Economy and Innovation (COES) TK component	Ecuador: 8 national policy measures taken to protect traditional knowledge	See Para 81	6
		Ethiopia: TK well captured in the existing legal framework	Ethiopia: National TK policy instrument submitted for approval or adoption	Ethiopia: National TK policy instrument submitted for approval or adoption through a letter from Environment, Forest and Climate Change Commission (EFDR).		5
		Egypt: Programme cancelled				
		Honduras: No baseline set.	Honduras: No targets set.	Two policies have been formulated in which strategic elements of ABS have been integrated		

<sup>31</sup> Ibid 14



Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
		India: No baseline set.	India: No targets set. N/A			
		Jordan: zero (0)	Jordan: Draft of an institutional framework for protecting TK	Jordan: A code of conduct for research on TK and genetic resources was prepared by IUCN for adoption as an Annex to the ABS bylaw. The final draft ABS bylaw also includes provisions to protect the rights of local communities to their traditional knowledge and genetic resources.		5
		Kazakhstan: zero (0)	Kazakhstan: National TK guidelines developed	Kazakhstan: 2 guidelines developed: Relevant TK-related articles of proposed draft amendments to the Law on Conservation of Plant's Societies, and a concept document to support the development of TK-related protection measures within the draft law.		5
		Kenya: zero (0)	Kenya: Revised national TK policy instruments submitted for approval or adoption	Kenya: A Task force on the TK was established and the first ever national consultation forum on TK carried out. A roadmap to protecting TK innovations was to be realized through the Task Force develop regulations on how to operationalize traditional knowledge and Cultural Expressions .		4
		Mongolia: zero (0)	Mongolia: National TK guidelines developed	Mongolia: National TK guideline was developed and included in the Manual for Competent National Authority. The legal package is also having regulation on identification of Holder of the traditional knowledge.		5
		Myanmar: zero (0)	Myanmar: National TK guidelines developed	Myanmar: TK Guidelines have been developed.		5
		Rwanda: zero (0)	Rwanda: Revised national TK policy instruments submitted for approval or adoption	Rwanda: Revised and approved the national TK policy instruments ( <a href="https://www.rw.undp.org/content/rwanda/en/home/library/environment_energy/guidline-and-toolkit-for-access-and-benefit-sharing-of-tradition.html">https://www.rw.undp.org/content/rwanda/en/home/library/environment_energy/guidline-and-toolkit-for-access-and-benefit-sharing-of-tradition.html</a> )		6
		Samoa: zero (0)	Samoa: National TK guidelines developed	Samoa: Developed a guideline on access and use of Traditional Knowledge associated with Genetic Resources.		5
		Seychelles: zero (0)	Seychelles: national TK policy instrument submitted for approval or adoption	Seychelles: The Traditional Knowledge Access, innovation and Practice Guidelines for Seychelles were approved on 20th July 2018.		5
		South Africa: No baseline set.	South Africa: No targets set. N/A			
		Sudan: zero (0)	Sudan: Draft assessment of genetic resources including needs and options for protecting TK.	Sudan: Guidelines on inventory of TK developed were developed. TK guidelines were finalized and endorsed. TK-related aspects are under consideration as part of the overall legislative framework on ABS.		6
		Tajikistan: zero (0)	Tajikistan: National TK guidelines developed	Tajikistan: The mapping of traditional knowledge on the use of genetic resources was conducted and publication was prepared.		5
		Uruguay: No baseline set	Uruguay: No targets set. N/A			
		Albania: national biodiversity CHM in place	Albania: ABS procedures and information uploaded into the existing CHM	Albania: The national biodiversity CHM is continuously updated and cross linked with the ABS Clearing House of the NP.		5
		Belarus: national biodiversity CHM in place	Belarus: ABS procedures and information uploaded into the existing CHM	Belarus: The new platform of the national ABS CH was developed and operational: <a href="http://abs.igc.by/en/">http://abs.igc.by/en/</a>		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
	Number of countries with a national ABS CHM, an improved web page with relevant ABS information, or a national biodiversity CHM with ABS-related information.	Botswana: 0	Botswana: ABS CHM established	Botswana: Biodiversity CHM webpage is online. <a href="http://www.eis.gov.bw/">http://www.eis.gov.bw/</a>		5
		Colombia: No baseline set.	Colombia: No targets set.			
		Comoros: 0	Comoros: ABS CHM established	Comoros: Not yet achieved. Procedures and information are to be uploaded as soon as they are finalized and formally adopted. ( <a href="http://km.chm-cbd.net/">http://km.chm-cbd.net/</a> )		4
		Dominican Republic: 0	Dominican Republic: fully functional ABS-related web page	Dominican Republic: The Ministry of the Environment includes the CHM website on "Information Exchange Mechanism of the Convention on Biological Diversity", which includes the part corresponding to ABS-CH ( <a href="https://ambiente.gob.do/acceso-a-recursos-geneticos/">https://ambiente.gob.do/acceso-a-recursos-geneticos/</a> ).		5
		Ecuador: national biodiversity CHM in place	Ecuador: ABS procedures and information uploaded into the existing CHM	Ecuador: 1 Improved website through the inclusion of the 1st Module for research permits and access to genetic resources administered by MAAE. It has been structured in its entirety and currently has an interface with the Biodiversity Information System (SUIA). The interface contains the existing ABS - CH procedures, tools, and record information.		5
		Egypt: Programme cancelled				
		Ethiopia: ABS CHM in place but needs strengthening	Ethiopia: Existing ABS CHM strengthened	Ethiopia: The current national ABS CHM with an improved web page with relevant ABS information facilitates access to information for national and international users of genetic resources and support compliance under national law and the Nagoya Protocol		5
		Honduras: National biodiversity CHM in place	Honduras: ABS procedures and information uploaded into the existing CHM	Honduras: MiAmbiente has a national biodiversity CHM with information related to ABS.		5
		India: No baseline set.	India: No targets set. N/A			
		Jordan: National biodiversity CHM in place	Jordan: ABS procedures and information and procedures uploaded into the existing CHM	Jordan: Relevant project reports and other ABS documents have been uploaded to the national CHM website. Coordination work is ongoing regarding the synchronization with information on the global ABS clearing house of the NP: <a href="http://jo.chm-cbd.net/implementation/protocols/the-nagoya-protocol-on-access-and-benefit-sharing">http://jo.chm-cbd.net/implementation/protocols/the-nagoya-protocol-on-access-and-benefit-sharing</a>		5
		Kazakhstan: zero (0)	Kazakhstan: National ABS CHM established	Kazakhstan: A national ABS CHM with TK, innovations and practices, and customary uses of biological and genetic resources mainstreamed into the new draft of the ecological code, a draft plant's conservation society.		5
		Kenya: ABS CHM in place but needs strengthening	Kenya: Existing ABS CHM strengthened	Kenya: A robust updated ABS CHM ( <a href="http://meas.nema.go.ke/cbdchm">http://meas.nema.go.ke/cbdchm</a> ).		5
		Mongolia: zero (0)	Mongolia: National ABS CHM established	Mongolia: Nation Clearing House mechanism was designed and handed over to the Information and Database Centre of the Ministry of Environment and Tourism.		5
		Myanmar: zero (0)	Myanmar: ABS CHM established	Myanmar: 90% completed with coded draft CHM provided to the Environmental Conservation Department (ECD) for review..		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
		Panama: 0	Panama: fully functional ABS-related web page	Panama: The new national ABS regulation is already placed on the website of the Ministry of Environment, which includes the national procedures and information on ABS.		5
		Rwanda: national biodiversity CHM in place	Rwanda: ABS CHM established and linked to the biodiversity CHM	Rwanda: ABS CHM established and linked to the biodiversity CHM ( <a href="http://www.rema.gov.rw/abs/">http://www.rema.gov.rw/abs/</a> )		5
		Samoa: zero (0)	Samoa: ABS CHM established	Samoa: Developed the National Traditional Knowledge associated with Genetic Resources (TKAGR) & ABS Clearing house mechanism (database)		5
		Seychelles: national biodiversity CHM in place	Seychelles: ABS procedures and information uploaded into the existing CHM	Seychelles: An online portal has been developed in collaboration with the CBD Secretariat and tested by the Ministry of Environment with technical support from Kenya ( <a href="http://seychellesbiodiversitychm.sc/">http://seychellesbiodiversitychm.sc/</a> )		5
		South Africa: DEA website with no ABS-related information	South Africa: fully functional ABS-related web page (DEA)	South Africa: The ABS related webpage is in operation ( <a href="https://www.environment.gov.za/projectsprogrammes/bioprospectingaccess_benefitssharing_babs_clearinghouse">https://www.environment.gov.za/projectsprogrammes/bioprospectingaccess_benefitssharing_babs_clearinghouse</a> ).		5
		Sudan: national biodiversity CHM in place.	Sudan: ABS procedures and information uploaded into the existing CHM	Sudan: An improved web page with relevant ABS information, or a national biodiversity CHM with ABS-related information is available ( <a href="http://sd.chm-cbd.net">http://sd.chm-cbd.net</a> ).		5
		Tajikistan: national biodiversity CHM in place	Tajikistan: ABS CHM established and linked to the biodiversity CHM	Tajikistan: The national portal of the Clearing-House Mechanism for ABS with online permit system is established and available.		5
		Uruguay: 0	Uruguay: fully functional ABS-related web page	Uruguay: fully functional webpage at the website of the Ministry of Environment since March 2019 with the active support of UNV ( <a href="http://www.mvotma.gub.uy/index.php/ambiente/conservacion-de-ecosistemas-y-biodiversidad/biodiversidad/recursos-geneticos">http://www.mvotma.gub.uy/index.php/ambiente/conservacion-de-ecosistemas-y-biodiversidad/biodiversidad/recursos-geneticos</a> ), including the online permit.		5
	Number of key stakeholders per country trained through the project regarding ABS rules and procedures (granting of permits, assessment of access applications, core principles of PIC and MAT	Albania: zero (0)	Albania: twenty (20)	Albania: 79 persons including 47 people from different institutions in 5 regions (20 of them were women and 27 were men).		6
		Belarus: zero (0)	Belarus: twenty (20)	Belarus: 490 persons (324 women, 66,1%; 166 men, 33,9%). This includes ABS rules and procedures and negotiating ABS agreements, detail on the assessment procedure for access applications, granting of permits, the core principles of PIC and MAT and their application, and the rights and roles of ILC's in Belarus.		6
		Botswana: zero (0)	Botswana: forty (40)	Botswana: 1,276 persons (619 females and 657 males).		4
		Colombia: zero (0)	Colombia: twenty-five (25)	Colombia: 201 stakeholders (117 women and 84 men), including indigenous peoples and local communities,		6
		Comoros: zero (0)	Comoros: forty (40)	Comoros: Training of 217 participants (women made roughly 45%) on the development of ABS contracts		5
		Dominican Republic: zero (0)	Dominican Republic: sixty (60)	Dominican Republic: 369 stakeholders (197 female and 172 male) have been trained in different awareness raising and workshops on the Nagoya Protocol and the national legislation on ABS. Approximately 150 of them were researchers and representatives from research institutions and private sector that participated in the activities.		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
	and their application, and rights and roles of ILCs, among others); and negotiate ABS agreements	Ecuador: zero (0)	Ecuador: sixty (60)	Ecuador: 1,824 stakeholders (910 women and 914 men) were trained in ABS standards and procedures, among which were: authorities and technicians from the institutions allied to the project (MAE, SENESCYT, SENADI, INABIO and research institutes of universities and individuals) as well as young people, leaders and women leaders of towns and Ecuadorian nationalities	See Para 83	6
		Ethiopia: zero (0)	Ethiopia: sixty (60)	Ethiopia: 545 participants were trained during various workshops including one specialized workshop on ABS contracts (such as ABS policy, bill, regulations, PIC/MAT, IPR, bankruptcy, simulation of ABS negotiations, analysis of national case studies)		6
		Egypt: Programme cancelled				
		Honduras: zero (0)	Honduras: Eighty-five (85)	Honduras: 491 stakeholders have been trained through different trainings, workshops and public awareness activities.	See Para 84	6
		India: zero (0)	India: fifty (50)	India: A total of 1947 legal professionals drawn from the Law Schools from 16 States of India were trained in Biological Diversity Act and ABS. This included 29 Master Trainers for the Advance Workshop on National and International Legal Framework.		6
		Jordan: zero (0)	Jordan: twenty (20)	Jordan: 333 stakeholders trained (Male:178 – Female:155) using 10 workshops.		6
		Kazakhstan: zero (0)	Kazakhstan: One hundred (100)	Kazakhstan: 158 stakeholders (93 men, 65 women) have been trained.		6
		Kenya: zero (0)	Kenya: Sixty (60)	Kenya: About 250 participants were trained on various aspect of ABS. .		6
		Mongolia: zero (0)	Mongolia: One hundred (100)	Mongolia: 732 stakeholders (486 female) including local stakeholders, (community members, herder, local government officials) were actively involved in training on ABS rules, procedures and negotiating ABS agreements.	See Para 85	6
		Myanmar: zero (0)	Myanmar: one hundred (100)	Myanmar: 1,063 participants were trained including 544 women (51%) from all sectors; Government staff, University staff, Researchers, Communities, Private Sectors.		6
		Panama: zero (0)	Panama: seventy-five (75)	Panama: 678 stakeholders (327 women and 351 men) were trained in the various training workshops on ABS, national regulation and the Nagoya Protocol, throughout the duration of the project.		6
		Rwanda: zero (0)	Rwanda: forty (40)	Rwanda: 40 staff trained		5
		Samoa: zero (0)	Samoa: one hundred (100)	Samoa: 187 stakeholders have been trained since the beginning of the project from various government ministries, private sector, non-government organization and the local communities.		6
		Seychelles: zero (0)	Seychelles: forty (40)	Seychelles: 48 number of people trained in contract management and communication on ABS.		5
		South Africa: zero (0)	South Africa: sixty (60)	South Africa: 192 stakeholders trained with 60 trained through a specific 5-day training on Contract Law targeting industry, government and community stakeholders.		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>31</sup>
		Sudan: zero (0)	Sudan: twenty (20)	Sudan: More than 150 from technical and legal advisors were trained on granting of permits, assessment of access applications, core principles of PIC and MAT and their application, and rights and roles of ILCs, among others); and negotiate ABS agreements		6
		Tajikistan: zero (0)	Tajikistan: one hundred (100)	Tajikistan: Capacities of competent authorities (1,302 people took part, of whom 881 were men (68 %) and 421 were women (32%)) were strengthened through trainings.		6
		Uruguay: zero (0)	Uruguay: eighty-five (85)	Uruguay: 203 stakeholders were trained during the project.		6
Overall Rating – Component 1 Level Targets						5.3

82. For the indicator "number of countries with a national ABS CHM, and improved webpage with relevant ABS information, or a national biodiversity CHM with ABS related information", 20 out of 21 countries achieved their national targets. For most countries, the CHM website was a necessary step forward in strengthening the ABS framework.
83. For the indicator "number of key stakeholders per country trained through the project regarding ABS rules and procedures and negotiate ABS agreements", 22 out of 23 countries met their targets. An important effort has been made with these countries to train 12,874 stakeholders, clearly overriding the initial target of 1,360. For Ecuador, 1,800 stakeholders, mainly indigenous peoples and in particular women, have been trained and empowered on ABS, the Nagoya Protocol, mechanisms for the protection of traditional knowledge, including intellectual property rights and the Sustainable Development Goals (SDGs) and Agenda 2030.
84. In Honduras, in addition to the 491 stakeholders that have been trained, there were 7 sessions conducted by a group of volunteers formed under the programme "Training of Trainers", where 315 children, university students, private companies and local communities in Honduras were informed about ABS and the Nagoya Protocol in the context of the SDGs. Furthermore, there was a 2-day dialogue in November 2019 with 42 representatives of the 9 indigenous groups of Honduras, where these groups requested a stronger involvement of intellectual property department in developing appropriate tools for the protection of the traditional knowledge held by indigenous peoples and local communities in Honduras.
85. In Mongolia, included in the 700 people (486 female) whose capacity was strengthened, the capacities of 49 national government officials improved since the start of the project. In addition, 130 researchers and scientists from agriculture, pharmaceutical and biotechnology sectors had their capacities improved in ABS legislative procedures. Local communities (community members, herder, local government officials) were also actively involved capacity building on ABS rules, procedures and negotiating ABS agreements though the number of persons from local communities is estimated at around 500.
86. In summary, this Component assisted national and state competent authorities and related agencies in 23 countries to develop and strengthen their national ABS legal and political frameworks capacities, and to improve their capacity to develop, implement and enforce national ABS legislation, administration or policy measures for ABS. This, however, has not resulted in the raising of ABS political profiles of all participating governments at the sectoral level. Larger countries (generally by area and population) have increased their ABS political profile due to the opportunities to link national ABS frameworks with national policies on scientific and technological innovation, research and development. Smaller countries generally do not have the same opportunities to raise this ABS political profile. Overall, the work by the Project to strengthen legal, policy and institutional capacity to develop ABS frameworks, is rated as **satisfactory**.

### **3.3.3 Component 2: Building trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts**

87. To achieve Outcome 2, Project resources would be used to lead to 2 sub-outcomes:

- Existing and emerging initiatives and opportunities for bio discovery projects identified and strengthened with improved research capabilities to add value to their own genetic resources and TK associated with genetic resources;
- Stakeholders (government officials, population of researchers, local communities, and relevant industry) targeted by the campaign are aware of the National law, CBD and NP provisions related to ABS and TK (percentage of stakeholders for all 24 participating countries included in the project results framework, Section 3)..

A summary of actual achievements of Outcome 2 with evaluation ratings are provided on Table 8.

88. For the indicator “number of commercial agreements between users and providers of genetic resources”, 10 out of 22 countries met their targets, signing 38 ABS commercial agreements (Colombia, 18; Dominican Republic, 3; Ethiopia, 6; Kenya, 5; Myanmar, 1; Panama, 1; Seychelles, 1; South Africa, 2; Sudan, 1). The case of India is special because it has granted more than 200 commercial permits during the Project. Notwithstanding that there were improvements in terms of trust between users and providers of genetic materials, for many of the countries that did not meet their targets, one of the main reasons is due to the fact that there are few opportunities for commercial agreements in these countries. Other reasons include the pandemic and slow government administrative procedures.
89. In Mongolia, the pharmaceutical sector was the most advanced in terms of taking into account the principles of ethical use of materials. The sector has already incorporated the need for ABS procedure and required registration of the genetic materials derived from biological resources in medical product research. However, commercial agreements have been delayed due to delays in the legal approval. For South Africa, prior to concluding the commercial ABS agreements with Cape Natural Tea Products (for the utilization of Rooibos), the ABS team coordinated the Ministerial event for signing and launching of industry-wide benefit sharing agreement on rooibos traditional knowledge. Following this event, Internationally Recognized Certificates of Compliance (IRCC) and permits were issued. Permits were also issued for another 5 potential business transactions.
90. For the indicator "ethical codes of conduct for guidelines for country for research on PK and genetic resources", 13 out of 17 countries met their target.
91. For the indicator "proportion of users and providers aware of the National Law and CBD and NP provisions related to ABS and TK", 22 out of 23 countries met their national targets.
92. For the indicator “change in knowledge, attitudes and practices (KAP) of specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS with respect to national ABS frameworks the CBD and Nagoya protocol”, it has generally been observed that there have been some improvements in KAP. However, the measure of progress has been undermined by the Project having technical difficulties in assessing the baseline and targets for country (as mentioned in Para 64). Some countries attempted to undertake KAP surveys while others did not report on KAP surveys but did made general observations on the changes in knowledge, attitudes and practices with no baseline references. Generally, feedback from these indicators cannot be taken seriously in counting progress towards the outcome of “strengthened trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts”.

Table 8: Outcome 2 achievements against targets

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
Outcome 2: Strengthened trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts	Number of commercial agreements between users and providers of genetic resources.	Albania: zero (0)	Albania: at least one (1) agreement in progress	Albania: None reported		3
		Belarus: zero (0)	Belarus: at least one (1) agreement in progress	Belarus: No commercial agreements have been being brokered between the users and providers of genetic resources. The potentiality of Belarus as the provider of genetic resources for commercialization is under investigation.		4
		Botswana: zero (0)	Botswana: at least one (1) agreement in progress	Botswana: One in progress under ABS NFP on a request for an access permit concerning natural product drug discovery exploiting extremophilic microorganisms from the Kalahari Desert. However, issuance of the permit has stalled due to uncertainty and lack of an ABS legal framework.		4
		Colombia: three (3)	Colombia: one (1) more agreement concluded	Colombia: 18 signed contracts for access to genetic resources and their derivatives for commercial purposes.		6
		Comoros: zero (0)	Comoros: at least one (1) agreement in progress	Comoros: 1 contract signed between the Comoros and the company NUVISAN from France (pharmaceutical and cosmetic company)		5
		Dominican Republic: two (2)	Dominican Republic: one (1) more agreement concluded	Dominican Republic: Two Access and Benefit-sharing contracts: (i) first ABS contract was signed with a U.S. company, Medolife, where poison produced by a native scorpion is used to produce therapeutic cancer treatment drugs; and (ii) second ABS contract was signed between the Autonomous University of Santo Domingo (UASD) and the Ministry of Environment and Natural Resources for research into "Phytochemical studies of species of the family Asteraceae 1010-10219", a process of obtaining a patent		6
		Ecuador: No baseline set	Ecuador: No target set.	Ecuador: Notwithstanding that this indicator was not included for Ecuador, it is important to report of the agreement between Alma College (USA) jointly with INABIO (National Institute of Biodiversity), with permits from MAAE (Ministry of the Environment and Water). This also involves the Indigenous community of San Jose de Payamino. Alma College has developed a couple of samples of cosmetic (nail polish) and personal hygiene (shampoo) products derived from the plants analyzed in the first phase, with commercial potential. There have been contacts with UNDP-GEF-GCF PROAmazonia Project to continue supporting the community in the commercial development of these products.		
		Egypt: Programme cancelled				

<sup>32</sup> Ibid 14



Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
		Ethiopia: one (1)	Ethiopia: at least one (1) additional agreement concluded	Ethiopia: 6 ABS commercial agreements, partnerships have been made or established.		6
		Honduras: zero (0)	Honduras: one (1) agreement concluded	Honduras: No ABS agreements at this time.		3
		India: zero (0)	India: at least one (1) agreement in progress	India: The first ABS agreement for obtaining snake venom from Tamil Nadu was signed between iSERA Biological Pvt. Ltd and Tamil Nadu Biodiversity Board in Jan 2020. ISERA Biological is involved in the manufacturing of hyper-immune plasma against Indian snake venom used in snake venom anti-sera.		5
		Jordan: zero (0)	Jordan: at least one (1) agreement concluded	Jordan: No ABS agreements at this time.		3
		Kazakhstan: zero (0)	Kazakhstan: one (1) agreement in progress	Kazakhstan: No progress due to the pandemic.		3
		Kenya: two (2)	Kenya: at least one (1) additional agreement concluded	Kenya: 5 commercial agreements in place. Facilitation of the Mondia Whytei Partnership between Kakamega County and French Company Mane Fils. The signing of the PIC was successfully undertaken, as well as training of local communities on entrepreneurship and organizational skills. The Community around Kakamega Forest have been facilitated to register a local Community Based Organization -the Kakamega Natural Forest catchment Conservation organization (KANFCCO) and efforts are underway to train them as the expected execution of the Mutually Agreed Terms are signed. Covid 19 has delayed the movement on the MAT, which is now in draft form.  There are another 4 commercial agreements in place related to Covid 19 , alloe, France - bio-controls, soda lakes micro-organisms agreements, - under field trials ; Snake Bites and venoms - IAVI and LSDM. Nationally – 149 ABS permits and currently 177 for Research.		4
		Mongolia: zero (0)	Mongolia: one (1) agreement in progress	Mongolia: Commercial agreements have not been made during the project implementation due to the delay in legal approval.	See Para 89	3
		Myanmar: zero (0)	Myanmar: one (1) agreement in progress	Myanmar: Three international requests were processed. There is one research agreement between KSH Cosmetics and a government lab.		5
		Panama: one (1)	Panama: one (1) more agreement in progress	Panama: An ABS agreement was negotiated. However, after the signing, a change of government occurred, which the new authorities of the Ministry of Environment are reviewing all the documentation to endorse everything that has been done..		5
		Rwanda: zero (0)	Rwanda: at least one (1) agreement in progress	Rwanda: One (1) agreement in progress.		4
		Samoa: zero (0)	Samoa: one (1) agreement in progress	Developed and signed a Memorandum of Understanding between the Ministry and the Scientific Research Organization of Samoa on		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
				their research to determine the bio-activities in the selected medicinal plants of Samoa		
		Seychelles: one (1)	Seychelles: at least one (1) agreement in progress	Seychelles: One partnership agreement is being finalized between Blolie, a French-based company and the Seychelles to undertake further research on the commercialisation of products found in the Coco de mer kernels. Technical and Commercial Details for drafting the MAT was produced in December 2019.		5
		South Africa: three (3)	South Africa: at least one (1) additional agreement concluded	South Africa: 2 commercial ABS agreements have been concluded with Cape Natural Tea Products for the utilization of Rooibos and with Puris Natural Aroma Chemicals to use Buchu leaves and transform and sell essential oils.	See Para 89	6
		Sudan: zero (0)	Sudan: at least one (1) agreement concluded	Sudan: One partnership established and another one in process.		5
		Tajikistan: zero (0)	Tajikistan: at least two (2) agreements negotiated	Tajikistan: model business plans were prepared for the utilization of genetic resources of medicinal plants (e.g. Hypericum perforatum L, Almond, Cumin, Geraneum, etc.). The preparation of model contractual agreements for the commercial use of GRs in the cosmetic and pharmaceutical industries, as well as for the bio-discovery of genetic resources with a view to their commercialization is underway.		4
		Uruguay: zero (0)	Uruguay: at least two (2) agreements concluded	Uruguay: 2 partnerships have been executed with the University of the Republic (UDELAR) (Use of Eugenia uniflora in cancer treatment) and Faculty of Chemistry (Bioprospection of native flora with antioxidant properties). Strategy for the valorization of genetic resources and associated traditional knowledge has been submitted, but they have not been reported as commercial agreements.		4
	Ethical codes of conduct or guidelines per country for research on TK and genetic resources	Albania: No baseline	Albania: No targets set. N/A			
		Belarus: No baseline set.	Belarus: No targets set. N/A			
		Botswana: zero (0)	Botswana: at least one (1) code or guideline developed	Botswana: A code of conduct on Researching Traditional Knowledge Associated with Genetic Resources was developed.		5
		Colombia: No baseline	Colombia: No targets set.	Colombia: A proposal for voluntary norms (codes of conduct, standards, best practices and / or guidelines), in accordance with Article No. 20 of the Nagoya Protocol, has been developed.		5
		Comoros: zero (0)	Comoros: at least one (1) code or guideline developed	Comoros: Guide to TK developed		5
		Dominican Republic: No baseline	Dominican Republic: No targets set			

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
		Ecuador: No baseline set.	Ecuador: No targets set. N/A			
		Ethiopia: Some codes or guidelines in place	Ethiopia: At least one (1) code or guideline developed	Ethiopia: One ethical code of conduct developed		5
		Egypt: Programme cancelled				
		Honduras: zero (0)	Honduras: Code of conduct/good practices guidelines for the academic research sector	Honduras: A code of conduct and Best Practices Guidelines have been developed and approved by the Ministry of Environment.		5
		India: zero (0)	India: Guidelines to access genetic resources and TK for researchers	India: Guidelines to access genetic resources and TK for researchers were developed and submitted to the National Biodiversity Authority (NBA) with the Handbook on ABS and the Ethical Code of Conduct. NBA is preparing an updated package of their ABS system that will include these products (to be released and presented on 22 May 2021).		4
		Jordan: zero (0)	Jordan: Guidelines for research on TK and genetic resources	Jordan: A Code of conduct for research on TK and genetic resources has been developed and published.		5
		Kazakhstan zero (0)	Kazakhstan: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors	Kazakhstan: One ethical code has been endorsed by the chairman of the Committee of Forestry and Wildlife, with parts for the different sectors: agriculture, pharmaceutical and biotechnology.		3
		Kenya: some codes or guidelines in place	Kenya: standards for code of best practices on TK developed	Kenya: National Guidelines on Access, Utilization and Benefit Sharing of Traditional Knowledge Associated with Genetic Resources were drafted		3
		Mongolia: zero (0)	Mongolia: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors	Mongolia: 3 codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors. Model ethical codes of conducts for all sectors developed and recommended to include into existing codes of conduct.		5
		Myanmar: zero (0)	Myanmar: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors	Myanmar: Three (3) codes of conduct were developed: agriculture, pharmaceutical, and biotechnology sectors.		5
		Panama		Panama- This was not the objective of the national component, but a draft ABS Code of Conduct and an ABS Good Practice Manual were		

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
				developed, reviewed by the Legal Advisory Office of the Ministry of Environment.		
		Rwanda: zero (0)	Rwanda: at least one (1) code or guideline developed	Rwanda: One guideline developed: Guideline and Toolkit for Access and Benefit Sharing of Traditional Knowledge Associated with Genetic Resources in Rwanda		5
		-Samoa: zero (0)	Samoa: three (3) codes or guidelines developed	Samoa: 3 ethical codes of conducts were drafted.		5
		Seychelles: zero (0)	Seychelles: best practices/code of conduct for research on TK and genetic resources developed	Seychelles: Guidelines for access and benefit sharing of genetic resources and associated traditional knowledge in Seychelles validated on 5 December 2019.		5
		South Africa: some codes or guidelines in place	South Africa: guidelines and codes of conduct to promote sustainable harvesting developed	South Africa: A roundtable discussion on codes of conduct for research on TK and genetic or biological resources took place on February 2020.		3
		Sudan: zero (0)	Sudan: guidelines for research on TK and genetic resources	Sudan: Guidelines on inventory of TK were developed, which can be used as a Code of Conduct for researchers and users.		5
		Tajikistan: zero (0)	Tajikistan: three (3) codes or guidelines developed for different sectors	Tajikistan: Three (3) codes or guidelines developed for different sectors.		5
		Uruguay: No baseline set.	Uruguay: No targets set. N/A.			
	Proportion (%) of users and providers (government officials, population of researchers, local communities, and relevant industry) aware of the National law and CBD and NP provisions related to ABS and TK.	Albania: 0%	Albania: 25%	Albania: 43%		6
		Belarus: 0%	Belarus: 25%	Belarus: >60%		6
		Botswana: very low	Botswana: 40 to 50%	Botswana: 50%.		5
		Colombia: very low	Colombia: 40 to 50%	Colombia: ~100%		6
		Comoros: very low	Comoros: 20 to 40%	Comoros: 60%		6
		Dominican Republic: very low	Dominican Republic: 40 to 50%	Dominican Republic: 50% based on 369 officials and technicians/professionals from state, education and research and independent institutions, out of which 197 were women and 172 men		5
		Ecuador: very low	Ecuador: 40 to 50%	Ecuador: 50% (1,800 people) trained in ABS standards and procedures, among which were: authorities and technicians from the institutions allied to the project (MAE, SENESCYT, SENADI, INABIO and research institutes of universities and individuals) as well as young people, leaders and women leaders of towns and indigenous nationalities of Ecuador.		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
		Ethiopia: high	Ethiopia: 40 to 60%	Ethiopia: 66% of the researchers from universities, research institutes and relevant Industries have changed with the knowledge, attitudes and practice on the issue of the National ABS law, CBD and Nagoya Protocol related to ABS and Community Knowledge.		5
		Egypt; Programme cancelled				
		Honduras: very low	Honduras: 40 to 50%	Honduras: 44%		5
		India: 0%	India: 25%	India: 57%		6
		Jordan: 0%	Jordan: 25%	Jordan: 25%		5
		Kazakhstan: 10-15%	Kazakhstan: $\geq$ 35%	Kazakhstan: 88 % of the target's users are aware of the ABS regulatory procedure and have a stable connection with other countries		6
		Kenya: moderate	Kenya: 40 to 60%	Kenya: 50%. Ministry of Culture responsible for TK and CE and other Key players brough on board. Capacity building of ministry staff and Task force and County Government on access to TK associated with Genetic resources. Over 24 counties sensitized and now systems being put in place.		4
		Mongolia: 10-15%	Mongolia: $\geq$ 35%	Mongolia: 50%. Proportion of professional staffs trained on the national laws and CBD, NP provisions is 50% compared to the total number of government officials that are pertinent to the execution of the ABS procedures in Mongolia.		5
		Myanmar: 10-15%	Myanmar: $\geq$ 35%	Myanmar: >35%. Though there is no law yet, 1,063 were trained on the NP, ABS and TK.		5
		Panama: very low	Panama: 40 to 50%	Panama: 75%		6
		Rwanda: very low	Rwanda: 40 to 50%	Rwanda: 55%		5
		Samoa: 10-15%	Samoa: $\geq$ 35%	Samoa: 40%.		5
		Seychelles: low	Seychelles: 40 to 50 %	Seychelles: 45%		5
		South Africa: high	South Africa: 40 to 60%	South Africa: 60%		5
		Sudan: 0%	Sudan: 25%	Sudan: 50% representing large number of government officials, population of researchers, scientists, local communities, and private sector, NGOs, aware of the National law and CBD and NP provisions related to ABS and TK.		6
		Tajikistan: 10-15%	Tajikistan: $\geq$ 35%	Tajikistan: 38%		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
		Uruguay: very low	Uruguay: 40 to 50%	Uruguay: 45%		5
	Change in knowledge, attitudes, and practices (KAP) of specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS with respect to national ABS frameworks, the CBD, and Nagoya Protocol	Sixteen countries*: X (Baseline and targets will be determined during project inception phase) *Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Tajikistan, Uruguay	Sixteen countries*: Increase in KAP of specific groups related to ABS *Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Tajikistan, Uruguay	The project had technical difficulties to assess the baselines and targets per country for this indicator from the beginning of the implementation process. Nonetheless, a methodological guide was developed for the design and application of KAP on ABS in the Latin American and the Caribbean region ( <a href="https://community.abs-sustainabledevelopment.net/wp-content/uploads/2020/07/Gu%C3%ADa-Metodol%C3%B3gica-de-Encuestas-CAP-KAP22072020ALC_organized.pdf">https://community.abs-sustainabledevelopment.net/wp-content/uploads/2020/07/Gu%C3%ADa-Metodol%C3%B3gica-de-Encuestas-CAP-KAP22072020ALC_organized.pdf</a> ).		
				Botswana: Indicator not really monitored. Two new ABS Business cases developed to spread knowledge, attitudes and practices.		4
				Comoros: A great change in the knowledge, attitudes and practices (KAP) of researchers, relevant institutions, local communities, private sectors or those who can benefit from ABS, has been observed.		5
				Dominican Republic: Indicator not really monitored. KAP Survey Implementation Results Report prepared and available in the Community of Practice.		4
				Ecuador: 105 surveys from 9 provinces of the country. The final product was submitted before end of 2018.		4
				Ethiopia: 66% of the researchers from universities, research institutes and relevant Industries change with the knowledge, attitudes and practice on the issues of the National ABS law, CBD and Nagoya Protocol related to ABS and Community Knowledge. Target was 10% above Inception Phase		5
				Kazakhstan: KAP was finalized on 11 February 2020 during the last task force group meeting.		4
				Kenya: The KAP methodology was applied during the workshop with Intellectual Property Managers from research institutions and universities in the last quarter of 2019.		4
				Mongolia: KAP assessment was conducted in 2018, thus it was difficult to conduct the assessment just after one year of the project. This baseline assessment will serve as baseline for the development of the next GEF ABS project proposal.	See Para 94	4
				Myanmar: No law has been adopted yet, but there has been strong engagement through awareness-raising campaigns, workshops and trainings. No KAP survey was done but the survey was designed and the GEF tracking tool indicated strong progress among all participating Departments.		4
				Panama: The original target was 100 surveys and 120 KAP surveys were achieved during the process (60 women and 60 men). The KAP survey activity for Panama was completed in the last quarter of		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>32</sup>
				2018, under the facilitation of UN Volunteer National Office for KAP surveys. The surveys were applied to 120 national key actors. Within this activity, focus group meetings were held in December 2018. An outstanding result of the surveys was that most of the institutions and key actors have knowledge of the Nagoya Protocol and of the national regulation, although the pilot exercise of surveys was not statistically representative, it is considered that it will guide the design of the activities of communication and awareness on ABS issues.		
				Rwanda: 44%. However, there was no baseline for the survey.		4
				Samoa: A significant change in knowledge and understanding of the local communities towards the protection of TKAGR has been identified when implementing the project. This is a possible outcome of an increase in knowledge of the importance of TK in the local.		5
				Seychelles: 47%. Communication Plan was to increase awareness in ABS in Seychelles adopted in November 2019. Information materials on ABS were designed and developed.		4
				South Africa: This indicator was removed from the AWP during the inception phase.		
				Sudan: Obvious increase and improvement in KAP specially of researchers, scientists, and the local community become aware on their rights of sharing benefits and using of their genetic resources and TK.		5
				Tajikistan: Over 45% of researchers and local communities are aware of ABS regulatory issues. Based on the KAP assessment results and to further raise awareness of stakeholders, an animated film on genetic resources and associated traditional knowledge, the Nagoya Protocol and the principles of ABS has been prepared in Tajik and Russian languages.		4
				Uruguay: In 2019, KAP surveys were applied to specific groups such as researchers; government technicians and organized civil society. The national team also prepared a survey form for the industrial sector, but found it difficult to establish contacts with industries that use genetic resources. The KAP survey was positive as it provided interesting information on knowledge, attitudes and practices in the 3 specific groups surveyed. In conclusion, there were no obvious impacts on KAP by specific groups that use genetic resources or benefits from ABS. This is evidenced by the low number of formal requests for access with Competent National Authority in Uruguay.		5
Overall Rating – Component 2 Level Targets						4.8

93. For example, in Mongolia, a KAP assessment was conducted in 2018 after just one year on the Project, making it difficult to conduct an assessment. Nevertheless, training programme were developed to improve KAP surveys of target groups. This included 9 different modules covering all required concepts and ABS measures, with engaging illustrations and presentations that were coherent and stated clearly. According to KAP survey results for Mongolia, some strategic stakeholders not only had no conception about Nagoya Protocol, they had some speculation and negative attitude due to their concern about possible additional tax issues and barriers, all before the relevant legal framework was in place. All this leads to a conclusion that effective communication is required to conduct a useful KAP survey, all requiring a considerable amount of time, effort, and funds. For the KAP survey to yield useful results, and to achieve improvements in the strategic communication of the ABS project, indicators should be SMART.
94. In conclusion, the results of Outcome 2 in raising of trust between users and providers can be rated **satisfactory** due to:
- 13 out of 22 countries succeeded in identifying and strengthening opportunities for bio discovery projects that add value to their own TK associated with genetic resources;
  - the general observations that government officials, population of researchers, local communities, and relevant industry are aware of the National law, CBD and NP provisions related to ABS and TK. This is to the extent that there is trust between local communities (providers) and relevant industry (users) and activity in almost every country of taking advantage of emerging initiatives and opportunities for bio discovery projects.

### **3.3.4 Component 3: Strengthening the capacity of ILCs to contribute to the implementation of the Nagoya Protocol**

95. To achieve Outcome 3, Project resources would be used to lead to 3 sub-outcomes:
- Capacities of local ILCs to negotiate ABS agreements improved by X% as measured by the ABS tracking tool (baselines and targets for countries that have chosen to work on this outcome will be established during project implementation);
  - Indigenous peoples and local communities engaged in the legal, policy and decision-making processes;
  - Bio-cultural protocols and TK registers adopted by local communities.

A summary of actual achievements of Outcome 3 with evaluation ratings are provided on Table 9.

96. For the indicator "number of ABS BCPs and TK registries per country adopted by local communities", 13 out of 18 countries met their national targets. Three countries, Comoros, Honduras and Kenya, have indicated that they will not be able to develop BCPs as originally planned due to the COVID-19 pandemic, national lockdowns and other restrictive measures to travel and organize meetings in the country. The Project strongly advised compliance with strict national and local measures in that regard and to apply a strict precautionary approach to not expose indigenous peoples and local communities to any risk coming from a Project activity. Communication and training materials specifically prepared to indigenous peoples and local communities were developed to substitute the development of BCPs.



Table 9: Outcome 3 achievements against targets

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>33</sup>
Outcome 3: Strengthened ILC capacity to contribute to the implementation of the Nagoya Protocol	Number of ABS BCPs and/or TK registries per country adopted by local communities	Albania: No baseline set.	Albania: No targets set. N/A. .			
		Belarus: No baseline set	Belarus: No targets set. N/A. .			
		Botswana: 0	Botswana: Process for the conclusion of at least one (1) BCP underway	Botswana: The Shakawe and Lerala community groups have been capacitated on what constitutes a BCP and gathered relevant information through a participatory rural appraisal (PRA) process. Following community consultations, two BCPs were developed and designed, pending final approval to production.		5
		Colombia: No baseline set.	Colombia: No targets set.			
		Comoros: 0	Comoros: At least one (1) BCP developed	Comoros: The process has been initiated but issues have come up for the International Consultant and the activity could not be carried out due to the COVID 19 situation in early 2020. This activity was replaced by other activities such as the development of Communication Tools which will allow the Global ABS team to sensitize these communities	See Para 97	3
		Dominican Republic: zero (0)	Dominican Republic: one (1) BCP developed	Dominican Republic: First BCP developed that was the Mano Amiga Herbal Group, Health and Life (MASAVI) and the community of Juan de Herrera (San Juan province, located in the south of the country) for access to traditional knowledge associated with the use of biological/genetic resources		5
		Ecuador: zero (0) (but some activities underway)	Ecuador: At least two (2) BCPs developed	Ecuador: 5 Biocultural Community Protocols and a methodological guide for its elaboration in two ancestral languages (Shuar, Kickwa), of 5 communities of Ecuador. In one instance, a more emphatic human rights approach was taken to address the clauses of associated traditional knowledge.	See Para 98	6
		Egypt: No baseline set.	Egypt: No targets set			
		Ethiopia: 0	Ethiopia: At least one (1) BCP developed	Ethiopia: 1 BCP has been developed for the Zegie Community in Amhara Regional State		5
		Honduras: one (1) (not officially recognized)	Honduras: one (1) BCP developed	Honduras: The situation with the declaration of COVID-19 pandemic in early March has impeded to the completion of BCPs and the corresponding capacity building activities at the community level. These activities are to be substituted specific awareness raising and communication materials for indigenous peoples and also in their native languages.	See Para 97	3
		India: No baseline set	India: No targets set. N/A			

<sup>33</sup> Ibid 14

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>33</sup>
		Jordan: zero (0)	Jordan: one (1) BCP developed	Jordan: A BCP for the Wadi Rum and Al Dissi local communities was drafted and submitted to the Ministry of Environment.		5
		Kazakhstan: zero (0)	Kazakhstan: at least two (2) BCPs developed	Kazakhstan: 2 BCPs were documented and demonstrated (Project Shubat and Hunting eagles).		5
		Kenya: BCPs in place	Kenya: at least one (1) more BCP developed	Kenya: First National stakeholder holder workshop on GR and aTK was held to discuss legal framework, policy guidelines and institutional arrangements in respect to TK associated with GR (this included biocultural protocols considering the country's cultural landscape and significance of the interventions).	See Para 97	3
		Mongolia: zero (0)	Mongolia: at least two (2) BCPs developed	Mongolia: 2 communities were introduced to the BCP concept and local administrators got general understanding about the ABS legislation concept. Drafted 2 BCPs for two piloting soums. Draft BCPs for Hodon bag of Renchinkhumbé soum of Khuvsgul aimag, Belj bag of Dadal soum of Khentii aimag.		5
		Myanmar: zero (0)	Myanmar: at least two (2) BCPs developed	Myanmar: 2 BCPs were developed. 1 during this PIR period in the community of Pone Tat Village. The other one was previously developed in the Community of Bone Baw Villagers.		5
		Panama: zero (0) (but some activities underway) :	Panama: one (1) BCP developed	Panama: A BCP was prepared for the Emberá-Ipeti Community, approved by the Local Congress of the indigenous community, and by the authorities of the General Congress of the Alto Bayano Indigenous Region. It was edited and printed and it is pending to be uploaded at the ABS-CH.		5
		Rwanda: 0	Rwanda: process for the conclusion of at least one (1) BCP underway	Rwanda: Bio-cultural Protocol developed and approved.		5
		Samoa: zero (0)	Samoa: at least two (2) BCPs developed	Samoa: Developed and launched two Biocultural Community Protocols for Aopo and Faleaseela		5
		Seychelles:	Seychelles: process for the conclusion of at least one (1) BCP underway	Seychelles: A biocultural community protocol has been developed.		5
		South Africa BCPs in place	South Africa: at least one (1) more BCP developed	South Africa: 1 Bio-Cultural Community Protocol for Six Traditional Authorities in Vhembe District (Manenzhe, Tshikundamalema, Makuya, Mutele, Thengwe and Rammabuda Traditional Authorities (Chiefdoms)) was developed. Due to COVID 19 and lockdown restrictions, the BCP could not be finalized.  The draft BCP report (Annex South Africa) and draft biodiversity assessment report were sent to DEFF for review and inputs, and DEFF inputs were provided. The draft BCP and draft biodiversity assessment report were sent to communities for inputs and validation. The contract had to be extended and some activities suspended due to the country lockdown caused by Covid-19 pandemic.	See Para 99	3

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>33</sup>
		Sudan		Sudan: Although it was not included in the project document for Sudan, a team of national specialists from different disciplines formed to help the local communities to develop their community protocols. 4 community protocols developed, including BCPs for Pastoralists, Herbalists (practitioners using herbal and medicinal plants), Gum Arabic Producer's Associations and Forest community. (Level at 31 March 2020, end of the project in Sudan)	Originally not included under targets	
		Tajikistan: zero (0)	Tajikistan: at least two (2) BCPs developed	Tajikistan: The project developed two (2) biocultural community protocols (for Mulberry and Marco Polo sheep, also known as Argali), which reflect on the role of women and youth, with the main focus on the preservation of traditional knowledge related to the use of genetic resources		5
		Uruguay: zero (0)	Uruguay: at least one (1) BCP developed	Uruguay: Uruguay has indicated it will develop their own BCP based on their initial stage in identifying whether associated TK is generated and managed at the community level. Currently, Uruguay does not have indigenous people with traditional lifestyles but have identified family farmers and rural workers as the holders of associated traditional knowledge to develop strategies within their communities to protect biodiversity and do intergenerational transfer of these knowledges.	See Para 99	3
	Capacities of local ILCs per country to negotiate ABS agreements as measured by the UNDP ILC/ABS Capacity Development Scorecard	Twenty-two countries*: X% (Baseline and targets will be determined during project inception phase) *Albania, Belarus, Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Honduras, Jordan, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Sudan, Tajikistan, Uruguay.	Twenty-two countries*: Baseline + X% *Albania, Belarus, Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Honduras, Jordan, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Sudan, Tajikistan, Uruguay. <b>Targets were not determined during Project inception phase, and indicator is difficult to understand.</b>	Albania: 82.6%. This was augmented by the recruitment of a national expert for the BCP responsible for, inter alia, strengthening the capacity of local communities to contribute to the implementation of the environmental legislative and policy framework, including ABS.		5
				Belarus: 76.8%. This includes 10 administrative officers of state enterprises (maintaining the local breeds of cattle, pigs and horses and involved in ABS-related procedures) and 6 holders of traditional knowledge associated with genetic resources identified as traditional knowledge holders, and agreements signed to record their knowledge. Dom Travnika (House of Herbalist, the folk medicine museum) has been identified as a centre performing important activities on the preservation and safeguarding of traditional knowledge.		5
				Botswana: 58%. This includes a total of 223 people trained at the community level of which 167 were females and 56 were males.		5
				Comoros: 78%. Training was to include activities that require meeting local communities. Due to the current pandemic making this plan impossible, communication tools are being developed to raise awareness among all stakeholders.		5
				Dominican Republic: Nine awareness-raising and training activities carried out in four local communities (San Cristóbal, Juan de Herrera, Neyba and Jiminillo), bringing about 267 people (131		5

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>33</sup>
		Rwanda, Samoa, Seychelles, South Africa, Sudan, Tajikistan, Uruguay		women and 136 men) from grass-based community organizations, and local authorities. .		
				Ecuador: No baseline was established, since the capacities of indigenous peoples and local communities (PICL) to negotiate first require a national ABS Regime, which includes a public policy for the distribution of ABS benefits. So the project focused on the construction of the ABS Regime, part of which included design of BCPs. To this end, 4 Modules and 4 Methodological Guides were completed as an element for strengthening BCPs within the Nagoya Traditional Knowledge and Protocol Training of Trainers Program..	See Para 101	5
				Ethiopia: A training on the importance of genetic resources and TK associated with genetic resources, and related access and benefit sharing issues, was provided for 65 persons (10 Female) in the Communities of Zegie. No baseline data was provided.		5
				Honduras: Unfortunately, the situation with the COVID-19 pandemic in early March 2020 has impeded the completion of BCPs and the corresponding capacity building activities at the community level. These activities will be substituted by the elaboration of specific awareness raising and communication materials for indigenous peoples, not only in Spanish but also in their languages.		4
				Jordan: No baseline data, and hence no determination as to whether or not the indicator was successful. More than 80 local community representatives were involved in the drafting of the ABS bylaw and awareness sessions throughout the project cycle.		3
				Kazakhstan: 104 additional local communities' members were trained or consulted on ABS issues in East Kazakhstan regions over the PIR period. <b>However, no baseline survey was done.</b>		4
				Kenya: An awareness raising and capacity building mission was conducted in Marsabit and Kwale County to promote BCP registry for local communities around their indigenous knowledge, including the Kaya Forests undertaken in January 2020.		4
				Mongolia: 197 local citizens were involved in discussions on ABS procedures and need for negotiation on contractual agreements to utilize local genetic resources, associated traditional knowledge. <b>No baseline survey done.</b>		3
				Myanmar: The project focused its work in 2 communities (Pone Tat Village and Bone Baw Villagers), where the project managed to communicate the basics of access to genetic resources and associated traditional knowledge held by the communities. <b>No baseline survey done.</b>		4
				Panama: No specific goal was defined. Indigenous key actors were invited to participate in the workshops and training events held, but participation was limited due to the pandemic. <b>Different trainings</b>		4

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>33</sup>
				took place in the community of Embera-Ipeti for the development of their BCP. A workshop was organized at the Guna community of Madugandi to share experiences on BCPs.		
				Rwanda: Stakeholders trained on the use of the BCP. <b>No baseline survey done.</b>		2
				Samoa: There is a significant increase in the capacity of the local communities particularly to two villages communities with concerns over how they have been working together to develop their Bio cultural Community Protocols		5
				Seychelles: 30% but no baseline survey done.		5
				South Africa: DEFF provided a presentation on ABS legislation and implementation during training and awareness raising workshop with the Traditional Healers Organization on 25 July 2019. DEFF provided a presentation on ABS legislation and implementation during training and awareness raising workshop with university students and communities 07 August 2019.		4
				Sudan: 33%. Capacities of local ILCs in 4 state developed (where 4 community developed). (Level at 31 March 2020, end of the project in Sudan.		4
				Tajikistan: 15%		4
				Uruguay: Awareness raising and empowerment workshops were conducted with members of three organizations of civil society, namely: the National Networks of Native and Landrace Seeds, the Agroecology Network of Uruguay and the National Commission of Rural Development.		4
Overall Rating – Component 3-Level Targets						4.4

97. Six Biocultural Community Protocols (BCPs) from Ecuador and Panama have been uploaded by the respective communities to the ABS Clearing House. In Ecuador, a more emphatic human rights approach was taken to address BCPs and the clauses of associated traditional knowledge, since a certain difficulty was observed in understanding that the State does not have sovereign rights over them, as well as establishing its regulation with the effective participation of its primary stakeholder. Having empowered the indigenous community of Ipeti, its leaders and technicians during the process of preparing the BCP, allows them and themselves to promote its use. A guide to develop BCPs has been developed in Ecuador and it has been also uploaded to the ABS-CH.
98. In South Africa, Natural Justice was selected to support the development of the BCPs in selected communities: Manenzhe, Tshikundamalema, Makuya, Mutele, Thengwe and Rammbuda Traditional Authorities (Chiefsdoms). However, the BCPs were only in the form of an indicative plan that was submitted to the Department of Environment, Forestry and Fisheries (DEFF) and Natural Justice. The draft BCP and draft biodiversity assessment report were sent to communities for inputs and validation. The contract had to be extended and some activities suspended due to the country lockdown caused by Covid-19 pandemic.
99. Uruguay has not been able to identify and assess the local communities that hold the knowledge on genetic resources. Hence, this country did not develop a BCP. However, Uruguay does not have indigenous people or local communities with traditional lifestyles. Despite this fact, a research project developed under the Global ABS Project demonstrated that family farmers and rural workers are the holders of associated traditional knowledge, together developing strategies within their communities to protect biodiversity and do intergenerational transfer of these knowledges. With this in mind, they have collaborated with 3 organizations that represent rural communities and discussed the possibility of developing a BCP. The final decision was not to develop any BCP as the country needed some previous knowledge as a foundation to proceed.
100. For the indicator “capacities of local ILC's per country to negotiate ABS agreements”, the Project has not been able to measure this indicator due to the lack of estimates on the baseline and targets. This is due to the complexities and challenges that development actions have in general in indigenous peoples and local communities; in the context of the Project, there was limited scope and tools available as well as budget. Despite the Project having attempted to estimate capacity gains with the UNDP Capacity Development Scorecard, it has invested resources to improve the capacity of selected communities for the negotiation of ABS agreements. For example, in Ecuador, the Project supported the indigenous community from San Jose de Payamino for the negotiation of a research agreement with the US-based Alma College. In this context, the indigenous community granted the first “Free Prior Informed Consent” within the Project that was granted in Ecuador on 30 June 2019, which is a milestone for the Project.
101. The Project has made the general observation that capacity has improved in local ILCs for each country has improved to negotiate ABS agreements. However, this observation has been made without being able to estimate the baseline and targets for this indicator because it still needs to identify the indicators of the Capacity Development Scorecard that are relevant to measure capacity gains of ILCs to negotiate ABS agreements. In the absence of any reliable tools to measure gains in capacity, the Project had initiated a collaboration with other organizations (GEF Small Grant Programme, Equator Initiative) that work directly with ILCs to develop a specific tool and

methodology to measure the impact of these investments, with the full collaboration and involvement of ILCs. The tool and methodology have not yet been fully developed.

102. In conclusion, the results of Outcome 3 can be rated **satisfactory** with the following rationale:

- The substantial number of BCPs completed (13 out of 18 intended BCPs);
- The observation that capacities of local ILCs to negotiate ABS agreements has improved as a general observation, and not by ABS tracking tool;
- Almost all of ILCs engaged in the legal, policy and decision-making processes and adopting ABS bio-cultural community protocols and TK registers; and
- The lack of a developed tool for measuring capacity gains.

### 3.3.5 Component 4: Implementing a Community of Practice and South-South Cooperation Framework on ABS

103. To achieve Outcome 4, Project resources would be used to lead to the outcome of “community of practice on ABS serves as a knowledge-sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at regional and global levels”. A summary of actual achievements of Outcome 4 with evaluation ratings are provided on Table 10.

104. After the achievement of the target of “CoP on ABS implemented and operating at regional and global level by project mid-point”, the Project through its responsible party, UNV, invested in a number of follow-up activities including:

- the Global ABS Community received update introducing two new services to the platform:
  - The Global ABS Legal Clinics:  
<https://community.abs-sustainabledevelopment.net/services/global-abs-legal-clinics/>
  - The Global ABS Business Facility:  
<https://community.abs-sustainabledevelopment.net/services/global-abs-business-facility/>
- a private group interaction interface developed to support the organization of small teams working on specific and private issues related to the national implementation of the Nagoya Protocol: <https://community.abs-sustainabledevelopment.net/groups/>;
- strengthening Project capacities to support online activities related to the Project including webinar capacity increased to 1,000 participants using GoToWebinar and Zoom, and webinar recordings now hosted on a licensed Vimeo account;
- conducting a Community of Practice workshop on the impact of ABS volunteerism organized for the Latin American and the Caribbean region to share experiences and best practices on the ABS thematic. The activity had the participation of ABS practitioners (i.e. ABS focal points, UNV officers, indigenous and local community leaders and members from partnering UN organizations from seven countries in the LAC region).

Table 10: Outcome 4 achievements against targets

Project Strategy	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating <sup>34</sup>
<b>Outcome 4: A community of practice on ABS serves as a knowledge-sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at regional and global levels</b>	CoP on ABS implemented and operating at regional and global level by project mid-point	None	Yes	The target is achieved. Community of Practice on ABS implemented and operational at the national, regional, and global levels since February 15th, 2019. The platform is hosted in at: <a href="https://community.abs-sustainabledevelopment.net/">https://community.abs-sustainabledevelopment.net/</a> .	See Para 104	5
	Number of experts on ABS mapped and incorporated into a regional and global database by project mid-point	Zero	50	Target is achieved with 63 national and international experts on ABS identified through the realization of the ABS CoP survey targeted at 24 project countries	See Para 105	6
	Number of technical assistance requirements on ABS fulfilled at regional and global level by project end	0	15	46 technical assistance requirements provided to strengthen capacities related to the national implementation of the Nagoya Protocol on ABS. This included 10 face to face regional community of practice workshops; 8 technical assistances to countries of the Project (not including the technical support missions conducted to the 93 different countries; 8 missions and activities to support 7 countries outside the project; 20 activities to support other organizations and initiatives outside the Project.	See Para 106	6
	Number of knowledge products on specific ABS topics developed at the regional and global levels by project end	0	20	37 Knowledge products i.e. webinars, toolkits, reports, presentations, live streaming, developed and published related to the implementation of Access and Benefit Sharing and the Nagoya Protocol	See Para 107	6
<b>Overall Rating – Component 4-Level Targets</b>						<b>5.75</b>

<sup>34</sup> Ibid 14



105. With regard to the indicator “number of experts on ABS mapped and incorporated into a regional and global database by project mid-point”, the target was achieved by identifying 63 experts, and creating an ABS stakeholder map that contains information regarding organizations and individuals that use genetic resources, academia, bioprospecting initiative and a roster of experts. The map is completed and the information has been validated and uploaded to the platform (<https://community.abs-sustainabledevelopment.net/experts/>). In addition, guidelines and templates for mapping key information were developed such as experts, synergies among countries, knowledge products, organizations that use genetic resources, bioprospecting initiatives. There was also the identification of 675 organizations that use genetic resources for commercial and non-commercial purposes and included into a database.

106. With regard to the indicator “number of technical assistance requirements on ABS fulfilled at regional and global level by project end”, 46 were achieved including the following at the regional and global levels:

- [“National ABS labels and certification schemes”](#). Bilateral exchange of experiences between Costa Rica and India, supporting India in the finalization of its ABS certification scheme (24 May 2021).
- [Global ABS Project Final Workshop: Achievements, Challenges, and Opportunities. Making ABS Work for All](#) (10, 11 and 20 May 2021)
- Closure event of the Global ABS Project in Honduras and Tribute to Marle Aguilar (27 April 2021).
- [Training on Negotiation of Access and Benefit Sharing agreements in Honduras](#) (9-12 February 2021).
- [Closure event of the Global ABS Project in Dominican Republic](#), 30 July 2020.
- [World Biodiversity Week in Ecuador](#), online sessions (May 2020).
- [Closure event of the Global ABS Project in Panama](#) (10 March 2020).
- “Training Workshop on Monitoring Access and Benefit Sharing in India at the National Biodiversity Authority (NBA)”, Chennai (India) (19-21 January 2020) organized by the Indo-German Partnership on ABS, supported by the UNDP-GEF Global ABS Project; and training “Implementation of Access and Benefit Sharing Regulations in Agriculture Research: Awareness cum Sensitization Workshop”, ICAR-NAARM, 22-23 January 2020.

Many of these activities are listed in the Community of Practice website (<https://community.abs-sustainabledevelopment.net/>)

107. For the indicator “number of knowledge products on specific ABS topics and the regional and global levels by project end”, the Project target has been achieved with 41 knowledge products including webinars, toolkits, reports, presentations, live streaming, developed and published related to the implementation of Access and Benefit Sharing and the Nagoya Protocol. Specifics includes:

- 2 books (“Access to genetic resources and benefit sharing. Theory to Practice under the Nagoya Protocol”, June 2021; and “ABS is genetic resources for sustainable development”, November 2018); 1 toolkit (Mainstreaming Gender into ABS Value Chains);
- 1 report (Design of a pilot project to test blockchain technology and smart contracts on ABS);
- 1 methodological guidance (Methodological guidance for the design and implementation of Knowledge, Attitudes and Practices (KAP) surveys on ABS, July 2020);

- 1 online course (4 online modules “Training on Traditional Knowledge and the Nagoya Protocol”, November 2020);
- 1 online module (Gender and biodiversity, February 2020);
- 1 systematization of an international symposium (Systematization of the I International Symposium on the Conservation of Amphibians in Ecuador and sustainable use of their genetic resources, February 2020);
- 1 Guide for the construction of Biocultural Community Protocols in Ecuador (January 2021);
- 1 Guide of medicinal plants in the Kichwa Community in Ecuador (Medicina de Payamino: Una guía de plantas medicinales de la comunidad Kichwa) (June 2020);
- 6 Photo essays showcasing the stories of the project in different countries, as well as the added value of volunteerism in the implementation of Access and Benefit Sharing in Latin America and the Caribbean;
- 1 Global ABS Conference (The ABS we ALL need, 7 sessions, November 2020);
- 1 Webinar series (Custodians of Biodiversity, 4 sessions, August 2020);
- 14 technical webinars;
- 2 online awareness raising campaigns (Global Campaign to celebrate the International Day of Women and Girls in Science; and Global campaign to celebrate the 18th Session of the UN Permanent Forum on Indigenous Issues);
- 3 side events at COP 14 of the CBD (Sharm El-Sheik, Egypt, November 2018)..

108. Moreover, there have been recent regional activities to generate Community of Practice:

- Global ABS Conference: “The ABS that we ALL need” (October-November 2020);
- Webinar Series “ Custodians of Biodiversity ”, ABS week of Indigenous Peoples (August 2020);
- Closure event of the Global ABS Project in Dominican Republic (July 2020);
- Webinar on the support of traditional knowledge of Indigenous Peoples and local communities in the fight against COVID 19 in Ecuador (June 2020);
- Webinar on the Value of Volunteerism for ABS (May 2020);
- World Biodiversity Week in Ecuador, online sessions (May 2020)
- Webinar on the central aspects of ABS and Nagoya Protocol: Their central role on research, scientific innovation and development (Uruguay, April 2020);
- Webinars on the Global ABS Community in English, French, Spanish, Russian and Arabic (March 2020);
- Webinar on IT tool for Monitoring Access and Benefit Sharing in India (February 2020);
- Webinar on Private Sector Experiences on ABS : Challenges and Recommendations (December 2019); and
- Webinar on Developing Biocultural Community Protocols in South Africa and Botswana (November 2019).

109. In conclusion, the results of Outcome 4 can be rated **satisfactory** with the rationale that most targets have been achieved by UNV and that the Community of Practice has had positive reviews from its users. The actions of this Component mobilize opportunities in spreading the knowledge of ABS by the numerous knowledge products, raising a very positive profile of UNDP in fostering partnerships amongst many stakeholders.

### 3.3.6 Relevance

110. The Global ABS Project is **relevant** to the development priorities of all governments of participating Global ABS countries, all of whom were signatories to the CBD. This relevance is related to the high rate of adoption, demand and government ownership of the processes to assist the participating country in successfully implementing the Nagoya Protocol. Moreover, the Global ABS Project in all countries contributes to SDGs including:

- No. 5 - Gender Equality: among 29 people hired for project implementation, there are 26 women and 3 men. In the vast majority holders of traditional knowledge are women, whose rights both the project and the Nagoya Protocol as a whole are recognized to protect.
- No. 8 - Decent work and economic growth: As a result of the project, holders of genetic resources and traditional knowledge related to them will be able to receive benefits.
- No. 15 - Life on Land: the main project goal – development of the National Legal System for Access to Genetic Resources and Benefit-sharing, which will contribute to the conservation of biological diversity and improvement of ecosystem services.

111. Moreover, the Global ABS Project is relevant to each participating country's baseline situation. For example:

- In Belarus, most of the planned investments by the government are related to the research institutions that base their work on researching genetic resources;
- In Ecuador, most of the efforts are with the Ecuadorian Intellectual Property Institute (IEPI) program on TK with the goal to promote and protect TK and genetic resources associated with the ILCs, including activities for capacity-building and for the development of biocultural community protocols (BCPs);
- In Jordan, most of the government's efforts are being allocated to the building of institutional and technical capacities to develop and enforce national biodiversity policies and strategies and to inform and influence policy-level decision-makers regarding the investments (with potential impacts on natural resources so that ecosystems and their services are adequately and continuously taken into full account), creation of a national platform for plant genetic resources information and knowledge sharing and exchange for research and development for target groups and stakeholders in Jordan; and on the collection and preservation of seeds of all the native plant species of Jordan;
- In Mongolia, Samoa, South Africa, Sudan and Uruguay, government's efforts are directed to strengthening the legal and institutional frameworks for the implementation of the Nagoya Protocol, promotion of biodiscovery initiatives, and promoting the participation of ILCs in implementing the Nagoya Protocol.

### 3.3.7 Effectiveness

112. The effectiveness of the Global ABS Project has been **highly satisfactory**, in consideration of the highly successful technical assistance provided, and most of the participating countries meeting their targets in the PRF. The dedicated nature of national stakeholders has been the strength of successful technical assistance in all of the countries interviewed. There has also been high demand for Global ABS technical assistance based on comments from the organizers regarding the consolidation of countries in a particular Global ABS technical assistance activity. This has resulted in the high profile

achieved by the Global ABS Project amongst more than 20 national governments and numerous international development organizations.

113. Moreover, in a small sampling of participating Global ABS countries<sup>35</sup>, the evaluation found that Global ABS national implementation teams consisted of government personnel, CSO and NGO personnel and selected specialized consultants. Many of these countries already had baseline projects from which they could integrate with their understanding of the technical assistance (baseline projects are contained in the ProDoc on pgs 28-32). All these persons had developed excellent relationships with each other, who all valued the technical assistance provided by the Global ABS Project. The goodwill generated by these countries has been impressive, strongly influenced by the Global ABS Project's global and regional workshops, and webinars. All persons interviewed by the Evaluator had glowing reviews about the Global ABS process and approach to technical assistance.

### 3.3.8 Efficiency

114. The efficiency of the Global ABS Project has been rated as **satisfactory** in consideration of the cost effectiveness of the technical assistance financed by the GEF funds, followed by co-financing from the governments of the various participating countries. The usage of funds allocated to each government were determined by the host government, and their priorities. The fact that most of the funds allocated were used to meet the targets also contributes to the overall efficiency for which GEF funds were utilized.

### 3.3.9 Mainstreaming

115. For most countries, the Global ABS Project successfully mainstreamed *access and benefits sharing* through its technical assistance and Community of Practice programme. Most notable of Global ABS activities to mainstream access and benefits sharing was the preparation and promulgation of access and benefits sharing-related legislation, establishing partnerships for the development of products for commercial purposes, adoption of policy measures to protect TK and innovations and practices, customary uses of biological and genetic resources, the setup of national ABS-CMH website, and capacity building of stakeholders who can negotiate ABS agreements. These steps of the Global ABS Project technical assistance proved to be useful for national teams in mainstreaming access and benefits sharing; this essentially forced all those involved in the access and benefit sharing to approach access and benefits sharing in a completely different manner. The resulting outcomes with policy changes and new administrative procedures for access and benefits sharing in several countries are strong indicators of the increased mainstreaming of access and benefits sharing.

### 3.3.10 Overall Project Outcome

116. The intended overall Project outcome has been in the Nagoya Protocol being implemented in most participating countries. Some of the countries interviewed had the following outcomes :
- in Belarus, all the legislation is in place and the country stands ready to implement the Nagoya protocol including putting together ABS agreements ;

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<sup>35</sup> This includes Belarus, Ecuador, Jordan, Mongolia, Samoa, South Africa, Sudan and Uruguay.

- in Ecuador, the country is better at implementing the Nagoya protocol due to strengthening of the legislation, the strengthening of capacities of indigenous peoples and government personnel to manage all ABS-related affairs, and practice at putting together ABS agreements;
- in Jordan, the recent passing of the National ABS Law and strengthened local capacities will lead to proper Nagoya Protocol implementation;
- In Mongolia, stakeholders will be in a position to implement the Nagoya protocol once national ABS legislation has been passed (expected June 2021);
- in Samoa, stakeholders are able to implement the Nagoya protocol with enabling ABS legislation and enforcement rules. However, experience will be required to put together agreements between providers and users of genetic resources;
- in South Africa, strengthened ABS legislation and other policy measures related to TK protections, and experience in putting together 2 commercial ABS agreements, should allow stakeholders to properly implement the Nagoya protocol;
- in Sudan, an ABS national law and other guidelines to protect the inventory of TK, and experience in putting together on ABS partnership, has improved the Sudanese stakeholders ability to implement the Nagoya protocol;
- in Uruguay, with National ABS law and corresponding regulations adopted (Ministerial Resolution Nº 291/2020 of February, 20, 2020) and experience in putting together ABS agreements, facilitates implementation of the Nagoya protocol by Uruguay's stakeholders.

Based on the assessments of these countries and those reported in Tables 5 to 9, there is the appearance that most countries are able to or will shortly be able to implement the Nagoya Protocol.

### 3.3.11 Sustainability of Project Outcomes

117. In assessing sustainability of the Global ABS Project, the evaluators asked “how likely will the Project outcomes be sustained beyond Project termination?” Sustainability of Global ABS’s outcomes was evaluated in the dimensions of financial resources, socio-political risks, institutional framework and governance, and environmental factors, using a simple ranking scheme:

- 4 = *Likely (L)*: negligible risks to sustainability;
- 3 = *Moderately Likely (ML)*: moderate risks to sustainability;
- 2 = *Moderately Unlikely (MU)*: significant risks to sustainability; and
- 1 = *Unlikely (U)*: severe risks to sustainability; and
- U/A = *unable to assess*.

Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions. Details of sustainability ratings for Global ABS Project are provided on Table 11.

118. The overall Global ABS Project sustainability rating is moderately likely (ML). This is primarily due to:

- the absence of confirmed funding for the Community of Practice after the end of the Project. The funding would have to come from a donor;
- the absence of confirmed funding to help build enforcement capacities of some of the ABS teams;
- finding dedicated personnel to assist with the enforcement of the Nagoya protocol; and

Table 11: Assessment of Sustainability of Outcomes

Actual Outcomes (as of May 2019)	Assessment of Sustainability	Dimensions of Sustainability
<b>Actual Outcome 1:</b> Most countries had developed or strengthened their national ABS legal and political frameworks that in many cases included indigenous peoples and local communities. Moreover, the capacities of national authorities and their related agencies are strengthened to develop administrative or policy measures for ABS. However, many countries do not consider themselves ready to enforce national ABS domestic legislation though they are poised to do so when another capacity building project for ABS is implemented.	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> Funding is not confirmed for capacity building to enforce the Nagoya protocol. However, enforcement capacity building should not be seen as a barrier to its implementation;</li> <li>• <u>Socio-Political Risks:</u> Finding personnel for enforcement of the Nagoya protocol will take time;</li> <li>• <u>Institutional Framework and Governance:</u> No risk;</li> <li>• <u>Environmental Factors:</u> No risk.</li> </ul>	3
		3
		4
		4
		<b>Overall Rating</b> 3
<b>Actual Outcome 2:</b> A significant proportion of existing and emerging initiatives and opportunities for bio-discovery projects have not resulted in commercial agreements between users and providers of genetic resources. Nevertheless, there has been changes in knowledge, attitudes, and practices of all stakeholders who appear to be more aware of the national ABS laws, CBD and Nagoya protocol provisions related to ABS and traditional knowledge.	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> Moderate risk since several stakeholders in countries with few biodiscovery opportunities do not have identified financial resources for putting together commercial agreements between users and providers of genetic resources;</li> <li>• <u>Socio-Political Risks:</u> Low risk since there is plenty of investment into forging commercial agreements between users and providers of genetic resources and preparing guidelines for ethical codes on TK and genetic resources;</li> <li>• <u>Institutional Framework and Governance:</u> Moderate risk due to unclear administrative procedures in preparing commercial agreements between users and providers of genetic resources;</li> <li>• <u>Environmental Factors:</u> No risk.</li> </ul>	3
		4
		3
		4
		<b>Overall Rating</b> 3
<b>Actual Outcome 3:</b> A majority of communities have adopted ABS BCPs and TK registries with the engagement of indigenous peoples and local communities in the legal, policy and decision-making processes. Though it was not properly monitored, there is the appearance that the capacities of local ILC's to negotiate	<ul style="list-style-type: none"> <li>• <u>Financial Resources:</u> Low risk since several governments have personnel who have come forward or have expressed interest assisting the BCP process;</li> <li>• <u>Socio-Political Risks:</u> Low risk since ILC's view BCPs as beneficial to their communities;</li> <li>• <u>Institutional Framework and Governance:</u> Low risk since most of the delays in the number of ABS BCPs have been due to the inability of staff to get together during the COVID-19 pandemic;</li> <li>• <u>Environmental Factors:</u> No risk.</li> </ul>	4
		4
		4
		4
		<b>Overall Rating</b> 4

Table 11: Assessment of Sustainability of Outcomes

Actual Outcomes (as of May 2019)	Assessment of Sustainability	Dimensions of Sustainability
ABS agreements has dramatically improved with most of the countries.		
<b>Actual Outcome 4:</b> The Community of Practice on ABS has served very well to the ABS practitioners in the participating countries, as a knowledge sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at the regional and global levels.	<ul style="list-style-type: none"> <li>• <u>Financial Resources</u>: No funds yet confirmed to carry on the CoP beyond the end of the Global ABS Project;</li> <li>• <u>Socio-Political Risks</u>: Low risk. All users of the CoP have said it is highly beneficial to their learning of the Nagoya protocol and the ABS frameworks;</li> <li>• <u>Institutional Framework and Governance</u>: Low risk;</li> <li>• <u>Environmental Factors</u>: No risk.</li> </ul>	2
		4
		4
		4
	<b><u>Overall Rating</u></b>	<b>2</b>
	<b><u>Overall Rating of Project Sustainability:</u></b>	<b>2</b>

- unclear administrative procedures in some countries in preparing commercial agreements between users and providers of genetic resources.

### **3.3.12 Country Ownership**

119. The applicability of Global ABS approaches to government-backed legislation and legal and policy frameworks has created strong government ownership and drivenness to apply the Global ABS methodology to government and community planning processes. With the Global ABS Project involving ministries of environment as well as other line ministries in each of the national teams, these teams were active in providing feedback on Global ABS methodologies that facilitated constant improvement of the methodologies. This also improved local capacities for comprehension of all ABS issues, solutions and actions to be taken.

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

120. Gender equality and women's empowerment has been well managed by the project, however, in different ways. This includes:

- In Belarus, most staff of the one of the implementing partners, the Institute of Genetics and Cytology, are women affecting the gender composition of the project. Out of 29 employees hired for the project, 26 were women and 3 were men. A similar trend is observed in the entire field of biological sciences and holders of traditional knowledge;
- In Ecuador, a module on "Gender and biodiversity management" was developed as a working tool to support all the people involved in the conservation of biodiversity and the incorporation of the gender approach in the activities of the ABS projects. In addition, activities focused on raising awareness and strengthening knowledge on gender equality and its relationship with biodiversity conservation. An estimated 720 women leaders of indigenous peoples and local communities were sensitized and empowered on the mechanisms for the protection of traditional knowledge, intellectual property rights and the Nagoya Protocol between 2018 and 2020;
- In Jordan, a bylaw draft was prepared for gender balance in representation during the consultation and awareness sessions. In addition, all workshops conducted considered gender representations (47% of participants were females), and that the Dissi women cooperative was found to be a major player in the bioprospecting sector which would also benefit in future engagements with local communities in the discussing of contracts and decision making. The Project has also established a gender task force at the Ministry of Environment, and conducted many training sessions on gender mainstreaming in multiple environmental aspects;
- In Mongolia, gender consideration were in the Project concept in the form of a KAP survey conducted in 2018 and included some of the recommendations to consider the gender perspectives in capacity building activities at the local level. The BCP process considered equal participation of female and male groups. The ABS regime helped to improve gender equality and women's empowerment. Project activities integrated a gender focus and data in their design and monitoring processes to ensure that women are empowered to participate fully and also benefit from the use of genetic resources;
- In Samoa, the gender was confined to gender of participants at each consultation, noting that more than 50% of participants at the consultations were women;



- In South Africa, there was a conscious effort to achieve gender equality and empower all women and girls. As a result, the Project has encouraged more women and youth to participate in ABS related activities and provided opportunities for female-owned enterprises. In addition, the draft BCPs explicitly covered gender mainstreaming issues at every stage of its development;
- In Sudan, gender considerations were taken throughout the Project implementation even though the Project implementation team did not conduct a gender assessment. Both women and men were equally involved in Project activities and in the membership of the national ABS team and Project technical committees. In addition, there was specific attention that focused on ensuring the active participation of women, particularly in drafting the ABS legal framework;
- In Uruguay, there is Law No. 18.104 (15 March 2007) establishing equal rights between men and women was enacted in Uruguay (<http://www.impo.com.uy/bases/leyes/18104-2007>). Article 3 of this law entrusts the National Women's Institute of the Ministry of Social Development (InMujeres/MIDES). To this end, all ministries have taken actions that focus on gender equality, even having established gender equality as a state policy. As a result, there is a growing process of organization and women's empowerment in decision-making positions of CSOs. On the ABS Global Project, particular attention was paid to gender equitable participation, which included 48% of the participants were women.

### **3.3.14 Cross cutting issues**

121. The main cross-cutting issues of the Global ABS Project is gender disaggregation. This is mentioned in Section 3.3.13.

### **3.3.15 GEF Additionality**

122. The issue of GEF additionality is quite clear on this Global ABS Project. Without the Project, there would be no activity regarding national ABS legislation, no capacity building amongst all stakeholders concerned with implementing the Nagoya protocol, and no efforts of technical assistance to establish ABS partnerships. Hence, GEF additionality consists of these elements. Adding to this, the Community of Practice is another form of GEF additionality.

### **3.3.16 Catalytic/Replication Effect**

123. The implementing teams in the participating countries appear to have been catalyzed by the subject matter, the ABS framework and activities. In almost all instances, the government people as well as the scientific community, research teams and CSOs were dedicated to ensuring that this Project catalyzes activities towards implementing the Nagoya protocol.

124. The aspect of replication can be found in the success stories and piloting of more ABS initiatives as promoted by the Community of Practice<sup>24</sup>. This created high demand for entry into the Global ABS Project, for which several countries did not enter due to limitations of their own fiscal resources. However, the Global ABS PCU put together technical assistance events by inviting neighboring countries not participating on the Global ABS Project wherever convenient and provided travel costs were reasonable (e.g. contracts, national legislation, etc.). This is another means for other countries to enter the Project into the possible Phase II of the Global ABS Project.

<sup>24</sup> <https://community.abs-sustainabledevelopment.net/themes/>

### 3.3.17 Progress to impact

125. There is still much progress to be made before the Global APS Project is able to properly implement inventory a protocol. A sample of some of the issues of certain participating countries follows:

- In Belarus, while there are sufficient ABS enforcement capacities, the ABS institutions still need to fill in some gaps in terms of quality, coverage and availability of the personnel;
- in Jordan, ABS legislation has been promulgated, leaving the country to form ABS enforcement teams;
- in Mongolia, national ABS legislation still needs to be promulgated before any impact from the project can be seen;
- in Samoa, despite ABS enforcement teams having sufficient personnel, the institutions need to provide information in terms of quality, coverage and availability;
- in South Africa, despite ABS enforcement teams having sufficient personnel, the institutions need to provide information in terms of quality, coverage and availability;
- In Sudan, there appears to be sufficient personnel to enforce ABS laws and regulations;
- In Uruguay, there is a need to improve staffing of an enforcement body for ABS.

126. The overall impact of the Global ABS Project to other priorities within UNDP country and regional programmes can be expressed as follow:

- In terms of poverty alleviation, the Global ABS Project is impacting access and benefits sharing provisions of the CBD by ensuring physical access to genetic resources is facilitated and that monetary benefits obtained from their use are shared equitably with the providers;
- In terms of governance, the Project is using ABS as a means of facilitating governance in a manner that includes peaceful, just and inclusive societies;
- In terms of strengthening resilience to the impacts of climate change, the Project assisting is countries in accessing and sharing benefits derived from genetic resources. For many of these countries, ABS policy initiatives or reforms could help them to make better use of genetic diversity for climate change adaptation in the future;
- In terms of reducing risk and vulnerability, the Project endeavors to encourage access and benefit sharing while reducing exposure to disaster vulnerabilities by using nature-based solutions to increase adaptive capacity and build resilience;
- In terms of clean energy, the Project uses ABS to encourage clean and affordable energy development; and
- In terms of gender equality, empowering women and supporting human rights, the Project has made great strides in consideration of the participation of women in BCPs, ABS agreements and ABS legislation. The Project's initiatives to assist ICLs with BCPs acknowledges, recognizes and protects biodiversity and traditional knowledge as an entry point to science developments for the wellbeing of humans. This is a human rights issue.

127. Scale-up of a subsequent Phase II of the Project to realize impacts could include all countries requesting services including services requested from the Community of Practice. The design of the current Global ABS Project (Phase I) was a summation of various national projects in 3 components with a 4<sup>th</sup> component added to the Project as the Community of Practice, a common platform to share practices on a regional level. A possible Global ABS Phase II could include countries that have their own substantial projects dealing with ABS, and can be more global with the ease of increasing membership of countries.

## 4. MAIN FINDINGS, CONCLUSIONS, RECOMMENDATIONS AND LESSONS

### 4.1 Main Findings

128. The Global ABS Project has delivered on its intentions of building capacity. This includes delivery of outcomes including:

- Most countries having developed or strengthened national ABS legal and political frameworks with the participation of local communities and ILCs (Paras 70-71);
- Capacities of most national and state authorities and related agencies are sufficient to develop, implement and enforce national ABS legislation, administration or policy measures for ABS including a Clearing House Mechanism. For instances where national legislation has not been strengthened, capacity of the decision-makers to understand the Nagoya Protocol is not sufficient (Para 73);
- A significant proportion of existing and emerging initiatives and opportunities for biodiversity projects have not resulted in commercial agreements between users and providers of genetic resources notwithstanding that trust has generally been strengthened between providers and users of genetic materials. This was due to few opportunities that existed in those countries for such opportunities (Paras 89-91);
- In some instances, there was inappropriate recruitment for the Project Coordinator position. Care needs to be exercised when hiring the Project Coordinator's position (Para 49);
- Time spent by one Regional Technical Advisor on the Project could have been more evenly distributed (Para 49);
- There have been positive changes in knowledge, attitudes, and practices of all stakeholders who appear to be more aware of the national ABS laws, CBD and Nagoya protocol provisions related to ABS and traditional knowledge (including researchers, local communities, relevant industries and ILCs). However, this observation is made without any baseline surveys having been conducted to quantify the improvement KAP (Paras 94 and 102);
- The ABS Community of Practice has served ABS practitioners very well in participating countries, as a knowledge sharing platform for operationalizing a South-South cooperation framework for bilateral and multilateral collaboration between countries at the regional and global levels (Paras 106-110).

### 4.2 Conclusions

129. There have generally been positive changes as a result of implementing the Global ABS Project. This has included strengthened legal, policy and institutional capacity to develop national ABS frameworks, strengthened trust between users and providers of genetic resources, strengthened ILC capacity to contribute to the implementation of the Nagoya Protocol, and the presence of an operationalized knowledge-sharing platform to implement a South-South cooperation framework that includes bilateral and multilateral collaboration between countries at regional and global levels.

130. To improve the operations and achievement of capacity building (possibly heading into a Phase II of the Project), there are some improvements that could be incorporated into future capacity building programs including:

- capacity building activities for higher level personnel who are decision makers. This will facilitate decisions being made at a higher level for ABS progress;
- careful consideration of the staffing of the regional technical advisor and project coordinator positions at the country level. This will ensure optimal use of the RTA to setup the project at the country level, and the Project coordinator to properly administer activities;
- additional management to ensure baseline monitoring for KAP.

### 4.3 Recommendations

131. The recommendations made in this Evaluation are made in the spirit of improving ongoing future delivery of Global ABS projects, and on the basis of the lessons learned during implementation of the Global ABS Project.

132. *Recommendation 1 (to Global ABS Team and UNDP): A Phase II of the Global ABS would be designed as follows: (i) A portion of the project funds would be dedicated to traditional type capacity building services similar to Phase I for countries where there is little capacity for implementing Nagoya Protocol, and (ii) The remaining project funds would be dedicated to consultancies generated by requests from the Community of Practice for assistance.* This would be a means of continuing the satisfactory work being done to build capacities for countries that need significant assistance in ABS. For the countries that have graduated from Phase I, specialized and specific requests from members within the Community of Practice can be accommodated (see Recommendation 4, Para 135).

133. *Recommendation 2 (to Global ABS Team and UNDP): In a Phase II Project, continue to work with teams that are enabled to form strong partnerships and take a multidisciplinary approach to implement effectively access to genetic resources and fair and equitable sharing of the benefits derived from their use at the national level.* This could be strengthened by conducting more workshops in the indigenous communities especially with ABS pilot projects. Strong participation would be sought amongst of women and girls, further building trust between ILCs and users of genetic material (Para 47).

134. *Recommendation 3 (to Global ABS Team and UNDP): Carefully assess and assign personnel for coordinating roles of ABS Project.* Owing to the importance of the position, the best use of funds could be addressed by carefully assessing personnel for coordinating roles. For example, hiring higher level personnel to administer the project instead of lower-level personnel can be beneficial from the perspective of knowledge, experience and commitment to the assignment. If the recruitment choices were all weak, recruitment of a team of separate coordinator and a technical specialist should be considered (Para 140).

135. *Recommendation 4 (to Global ABS Team and UNDP): Scale-up capacity building activities on ABS mechanisms for competent authorities, stakeholders, local communities, and decision-makers by responding to Community of Practice requests for additional assistance on ABS.* After the establishment of the ABS legal framework in Phase I, it will be necessary to develop a strategy to mainstream it and promote ABS practical cases to show the reality in monetary and non-monetary benefits. There can also be gender equity and empowerment by future projects that could focus on technical and financial support for the economic empowerment of women through the enhancement of genetic resources. This will also encourage opportunities to use biodiversity as a

source of innovation in research and development applied to genetic resources, both terrestrial and marine.

136. *Recommendation 5 (to Global ABS Team and UNDP): Integrate aspects related to ABS into district level local development planning across the country.* This pertains only to those countries where district-level implementation of the Project (such as Tajikistan) has proven the need to nurture and empower women-champions in the implementation of ABS agenda, by designing multiple interventions that are preferably longer term, and to ensure sustainability of the project results.

#### 4.4 Lessons learned

137. *Lesson #1: Several common reasons for delays of technical assistance include rotation of higher-level authorities, various municipal and national elections, and pandemics.* This can be resolved by monitoring plans, meetings and coordinated follow-up (UNDP, Project and the government ministry) to mitigate the effects of the electoral processes and the Covid-19 Pandemic, restructuring of priorities in the work plan (Para 73).
138. *Lesson #2: National stakeholders should be forced into the analysis and preparation of all ABS-related documents, increasing national ownership of the products and the process, which helps achieve the long-term objective.* The experience of different countries in the writing of legal regulation of access to genetic resources and associated traditional knowledge is useful in developing ownership of such legislation. Such was the case especially on the Law on “On Genetic Resources Management” of the Republic of Belarus (Para 70).
139. *Lesson #3: For effective implementation of access to genetic resources and fair and equitable sharing of the benefits derived from their use at the national level, it is necessary to have a team that is enabled to form strong partnerships and takes a multi-disciplinary approach.* For example, in South Africa, this deals with building of trust between government and potential providers of genetic materials. Having empowered the indigenous community of Ipeti, its leaders and technicians during the process of preparing the BCPs allowed themselves to promote its use. Updating of the ABS decree required a process of participation, consultation and decision-making that always must ensure multidisciplinary representativeness and inclusiveness during all phases of it (Para 47). In Ecuador, a more emphatic human rights approach was taken to address the clauses of associated traditional knowledge, since a certain difficulty was observed in understanding that the State does not have sovereign rights over them, as well as establishing its regulation with the effective participation of its holder (Para 97). Remote countries with small populations represent a higher risk of being unable to staff critical positions that promote and manage ABS. Such countries would include the Seychelles and Samoa, both of which have a high interest in ABS and biodiversity but would require highly skilled staff full-time to manage, conserve and promote ABS and biodiversity in their countries. For both countries, populations are not large enough to fully staff highly qualified professionals such as veterinarians, plant specialists, pathologists and agricultural specialists who for example, would be able to provide oversight on the inflow of potentially invasive species entering their countries in cargo containers and air flights. It is very helpful and beneficial in these small countries if the same individuals are trained and involved throughout an extended process such as TK and BCP development. Training sessions can have beneficial secondary effects of building relationships and trust between participants; this is especially important in internationally commercial projects.

140. Lesson #4: Care needs to be taken when recruiting for the national Project coordinator position. This position is important and should be a competent person instead of lower-level personnel. Personnel on the low-level salary would always look for better opportunities to improve their salary. A person at a higher salary level would at least have knowledge, experience and some commitment to the Project (Para 49).
141. Lesson #5: DIM modality seems to be a most suitable implementation arrangement for countries as implementing partners. This stems from the implementing partner not having to deal with its own allocations being integrated with their national system, which can also be slower in terms of implementation. Having the UNDP manage this in some countries is preferable (Para 45).
142. Lesson #6: Community of Practice has been instrumental in spreading the knowledge of ABS from numerous knowledge products. The CoP on ABS was an opportunity to learn about other national legislation, communicating with government and convincing other stakeholders (notably the scientific community). The Global ABS Project with its support enabled across various countries is able to participate in national and international training and progress events to strengthen an ABS Community of Practice among countries (Para 108).
143. Lesson #7: The Global ABS Project had a multiplier effect through the Global ABS Community (of Practice) and at regional and global levels where it is easy to escalate activities. Notwithstanding, financial management of the project was challenging since the financial capacities of UNDP CO vary enormously. Administratively, ending of the sub-projects at the national level with the national team was also challenging in that ensuring that all countries receive support until the end of the sub-project through the Global ABS Community or bilateral requests.

## APPENDIX A - MISSION TERMS OF REFERENCE FOR GLOBAL ABS PROJECT TERMINAL EVALUATION

### BASIC CONTRACT INFORMATION

**Location:** Home Based (no travel envisaged)

**Application Deadline:** 30<sup>th</sup> November 2020

**Type of Contract:** IC

**Assignment Type:** Terminal Evaluation for UNDP GEF Global ABS Project

**Languages Required:** English – Knowledge of any other UN Language will be an asset

**Starting Date:** 25<sup>th</sup> January 2021 – 30<sup>th</sup> June 2021

**Duration of Initial Contract:** 5 months

**Expected Duration of Assignment:** 30 working days

### BACKGROUND

#### **1. Introduction**

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the *full sized* project titled UNDP GEF Global ABS Project: “Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol (*PIMS 5381*) implemented through the *United Nations Development Programme*. The project started on the 24<sup>th</sup> of August 2016 and is in its 5<sup>th</sup> year of implementation. The TE process must follow the guidance outlined in the document ‘[Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects](#)’).

#### **2. Project Description**

The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS), an agreement under the Convention on Biological Diversity, was adopted on 29 October 2010 in Nagoya (Japan) and entered into force on 12 October 2014, it provides a transparent legal framework for the effective implementation of the 3rd objective of the Convention on Biological Diversity (CBD). The Protocol applies to genetic resources that are covered by the CBD and to the benefits arising from their utilization, it also covers associated Traditional Knowledge (TK) associated with Genetic Resources (GR) held by indigenous and local communities. Contracting parties to the Nagoya Protocol need to fulfil core obligations to take measures in relation to access to genetic resources, benefit-sharing and compliance.

##### **1.1. Introduction:**

The UNDP-GEF Project “Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol” (Global ABS Project) was initially a 3-year project (extended to 5) that specifically aims at assisting 24 countries in the development and strengthening of their national ABS frameworks, human resources, and administrative capabilities to implement the Nagoya Protocol. The project seeks to achieve this through its 4 components namely:

- Component 1: Strengthening the legal, policy and institutional capacity to develop national ABS frameworks;
- Component 2: Building trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts; and
- Component 3: Strengthening the capacity of indigenous and local communities to contribute to the implementation of the Nagoya Protocol.
- Component 4: Implementing a Community of Practice and South-South Cooperation Framework on ABS.

The project is a part of UNDP Istanbul Regional Hub (IRH) portfolio. The Project overall management is located in UNDP Panama Regional Hub while the Financial part is handled in Istanbul.

### 1.2. Context:

The implementation of the basic measures of the Nagoya Protocol in the participating countries will unleash a wide range of monetary and non-monetary benefits for providers of genetic resources. Some of these benefits should be reinvested in the conservation and sustainable use the biological resources from where the genetic resources were obtain. This will fulfill the three objectives of the Convention on Biological Diversity.

## 3. TE Purpose

The TE report will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.

As stated in the Project Document (PRODOC), an independent Terminal Evaluation (TE) should take place three months prior to the final Project Steering Committee (PSC) meeting and should be undertaken in accordance with UNDP and GEF guidance. This final evaluation should focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The TE will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terminal Evaluation will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The TE will also provide recommendations for follow-up activities and requires a management response, which is to be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC). The GEF ABS Tracking Tool will also be completed during the TE.

The evaluator will review all relevant sources of information, such as the project document, project reports – including board meeting minutes, project budget revisions, progress reports, regional and country project related products, and any other materials that the evaluator considers useful for this evidence-based assessment. All these documents will be provided.

The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported GEF-financed Projects](#). An overall approach and method for conducting project terminal evaluations of UNDP-supported projects can be found in the [UNDP Evaluation Guidelines](#).



Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#).

## **DUTIES AND RESPONSIBILITIES**

### **4. TE Approach & Methodology**

The TE report must provide evidence-based information that is credible, reliable and useful.

The evaluator will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP) the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The evaluator will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed by the time the evaluator is recruited.

The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisor, direct beneficiaries and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc.

The specific design and methodology for the TE should emerge from consultations between the evaluator and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The evaluator must use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the evaluator.

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

### **5. Detailed Scope of the TE**

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see ToR Annex A). The scope of the evaluation will cover all activities undertaken in the framework of the project and will be done through a desk review and Skype/ phone interviews with no anticipated travel to the project countries. While the evaluation will cover all activities undertaken under the project, it will involve an in-depth assessment of country activities of a selected sample of countries (8-10). The exact list of countries will be specified by UNDP at the beginning of the contract. The evaluator will compare expected

outcomes of the project to actual achieved outcomes, assess the development results to determine their contribution to the attainment of the project objectives. They will also attempt to evaluate the efficiency of project management, including the delivery of outcomes and activities in terms of quality, quantity, timeliness and cost efficiency as well as features related to the process involved in achieving those outputs and the impacts of the project. The evaluation will also address the underlying causes and issues that contributed to targets not adequately achieved. The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the Guidance for TEs of UNDP-supported GEF-financed Projects [http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

The evaluation in the assessment of the Project's outcomes will at a minimum cover the following criteria: **relevance, effectiveness, efficiency, sustainability and impact.**

- **Relevance:** Relevance looks at the relationship between the needs and problems identified and the objectives of the intervention. The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.
- **Effectiveness:** The extent to which the development intervention's objectives were achieved. The evaluation should form an opinion on the progress made to date and the role of UNDP's CIRDA Project delivering the observed changes. If the objectives have not been achieved, an assessment should be made of the extent to which progress has fallen short of the target and what factors have influenced why something hasn't been successful or why it has not yet been achieved.
- **Efficiency:** A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted into results.
- **Sustainability:** The continuation of benefits after the project ends. The probability of continued long-term benefits, assessing i) sustainability of financial resources, ii) socio-political sustainability, iii) sustainability of institutional framework and governance, iv) environmental sustainability, and v) a final rating of overall sustainability
- **Impact:** The evaluator will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include mainstreaming. The evaluation will assess 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.

The evaluation should also assess the key financial aspects of the project. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, if applicable and available, should be taken into consideration. The evaluator(s) will receive assistance from the UNDP Istanbul Regional Hub and Project Team to obtain financial data.

An important aspect of this evaluation will be the activities, achievements, challenges and lessons learned performed under Component 4, *Implementing a Community of Practice and South-South Cooperation Framework on ABS*, for which the evaluation should liaise with both UNV and the Project team.

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in ToR Annex C. The asterisk "(\*)" indicates criteria for which a rating is required.

#### Findings

##### i. Project Design/Formulation

- National priorities and country driven ness

- Theory of Change
  - Gender equality and women's empowerment
  - Social and Environmental Standards (Safeguards)
  - 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
  - Management arrangements
- ii. 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 of M&E (\*)
  - Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
  - Risk Management, including Social and Environmental Standards (Safeguards)
- iii. Project Results
- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
  - Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*)
  - Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*)
  - Country ownership
  - Gender equality and women's empowerment
  - Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
  - GEF Additionality
  - Catalytic Role / Replication Effect
  - Progress to impact

#### Main Findings, Conclusions, Recommendations and Lessons Learned

- The evaluator will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses and results of the project, respond to key evaluation questions and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.

- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the evaluator should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown in the ToR Annex.

### PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator will receive assistance from the UNDP IRH and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

Sources of co-financing	Name of co-financier	Type	Type of Investment Mobilized	Amount (in USD)
Select one: GEF Agency/ Donor Agency / Recipient Country Gov't / Private Sector / Civil Society		Select one: Grant/ Loan/ Equity Investment/ Public Investment/ Guarantee/ In-Kind/ Other	Select one: Investment mobilized/ Recurrent expenditure	

Organization/ Beneficiaries / Other				
<b>TOTAL</b>				

## 6. Expected Outputs and Deliverables

The TE *consultant* shall prepare and submit:

#	Deliverable	Description	Timing	Responsibilities
1	TE Inception Report	Evaluator clarifies objectives, methodology and timing of the TE	No later than 2 weeks before the TE mission: <i>(by January 31, 2021)</i>	Evaluator submits Inception Report to Commissioning Unit and project management
	Presentation	Initial Findings	<i>(by March 15, 2021)</i>	Evaluator presents to Commissioning Unit and project management
2	Draft TE Report	Full draft report <i>(using guidelines on report content in ToR Annex C)</i> with annexes	<i>: (June 20th, 2021)</i>	Evaluator submits to Commissioning Unit; reviewed by RTA, Project Coordinating Unit, GEF OFF
3	Final TE Report* + Audit Trail	Revised final report and TE Audit trail in which the TE details how all received comments have (and have not) been addressed in the final TE report <i>(See template in ToR Annex H)</i>	Within 1 week of receiving comments on draft report: <i>(June 30th, 2021)</i>	Evaluator submits both documents to the Commissioning Unit

\*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>25</sup>

## 7. TE Arrangements

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Istanbul Regional Hub. The Project Team will be responsible for liaising with the evaluator to provide all relevant documents, set up stakeholder interviews, and arrange field visits, if applicable. All deliverables will be reviewed by the Project Manager, GEF Regional Technical Advisor and ultimately approved by the Chief of the Country Office Solutions & Reg. Programme Coordination Team.

<sup>25</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

## 8. Duration of the Work

The total duration of the TE will be approximately **30 working days** over a time period of **(20 weeks)** starting on **(January 1, 2021)**. The tentative TE timeframe is as follows:

Timeframe	Activity
December 10, 2020	Application closes
December 15, 2020	Selection of evaluator
January 1, 2021	Preparation period for evaluator (handover of documentation)
January 15, 2021 2 days	Document review and preparation of TE Inception Report
January 31, 2021 4 days	Finalization and Validation of TE Inception Report; latest start of TE mission (virtual)
February 28, 2021- 8 days	Virtual stakeholder meetings, interviews, field visits, etc.
March 15, 2021 – 8 days	Virtual wrap-up meeting & presentation of initial findings
April 10, 2021 5 days	Preparation of draft TE report and circulation for comments
April 30, 2021	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
May 10, 2021	Preparation and Issuance of Management Response
May 15, 2021	Expected date of full TE completion

Options for site visits should be provided in the TE Inception Report.

## 9. Duty Station

*Home Based – All work including meetings should be performed virtually.* No Travel is expected for this consultancy.

## **REQUIRED SKILLS AND EXPERIENCE**

### 10.Required Qualifications

*Important: The evaluator cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.*

Education:

- Master's degree in Biodiversity, Environmental Sciences, environmental law or policy, multi-lateral environmental agreements, or other closely related field, PHD will be considered an asset – ABS and Nagoya Protocol proven knowledge will be highly considered - (Max. 10 points).

Experience:

- Technical knowledge that can be proven by a minimum 10 years' work experience in a field related to Environmental law or policy, multi-lateral environmental agreements, etc. (Max. 15 points);
- Knowledge of UNDP and GEF programming and procedures, an asset (Max. 15 points);
- Previous experience with results-based monitoring and evaluation methodologies (Max. 10 points);

- Demonstrated evaluation experience through two writing samples of past evaluations of similarly funded projects (Max 10 points);
- Working knowledge of the Nagoya Protocol and ABS is a plus (5 points)
- Experience with evaluations of global or regional projects is a strong asset (max 5 points)
- Demonstrated understanding of issues related to gender and Climate; experience in gender responsive evaluation and analysis (X points)

Languages:

- Fluency in English, both oral and written is required (Max. 4 points);
- Working knowledge of French, Spanish or Arabic is a plus (1 point).

## **11.Evaluator Ethics**

The evaluator will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

## APPENDIX B - MISSION ITINERARY (FOR MARCH-MAY 2021)

#	Activity	Stakeholder involved	Place
<b>4 February 2021 (Thursday)</b>			
1	Call with Global ABS team	UNDP Global Team	Virtual via Zoom meeting
<b>29 March 2021 (Monday)</b>			
2	Call with Global ABS team	UNDP Global Team	Virtual via Zoom meeting
<b>20 April 2021 (Tuesday)</b>			
3	Call with Global ABS team	UNDP Global Team	Virtual via Zoom meeting
<b>30 April 2021 (Friday)</b>			
4	E-mail with Belarusian ABS team	UNDP Belarus and Belarusian ABS implementation team	Virtual via Zoom meeting
<b>4 May 2021 (Tuesday)</b>			
5	Call with South African ABS team	UNDP South Africa and South African ABS implementation team	Virtual via Zoom meeting
<b>5 May 2021 (Wednesday)</b>			
6	Call with Samoan ABS team	UNDP Samoa and Samoan ABS implementation team	Virtual via Zoom meeting
7	Call with Ecuador ABS team	UNDP Ecuador and Ecuadorian ABS implementation team	Virtual via Zoom meeting
<b>11 May 2021 (Tuesday)</b>			
8	E-mail with Uruguayan ABS team	UNDP Uruguay and Uruguayan ABS implementation team	Virtual via Zoom meeting
<b>18 May 2021 (Tuesday)</b>			
9	Call with Jordanian ABS team	UNDP Jordan and Jordanian ABS implementation team	Virtual via Zoom meeting
<b>20 May 2021 (Thursday)</b>			
10	Call with Global ABS team	UNDP Global Team	Virtual via Zoom meeting
<b>24 May 2021 ((Monday)</b>			
11	Call with Global ABS team	UNDP Global Team	Virtual via Zoom meeting
<b>31 May 2021 (Monday)</b>			
12	Call with Jordanian ABS team	UNDP Jordan and Jordanian ABS implementation team	Virtual via Zoom meeting

Total number of meetings conducted: 12



## APPENDIX C - LIST OF PERSONS INTERVIEWED

This is a listing of persons contacted in the ABS Global Team, Samoa, Mongolia, Jordan, Belarus, South Africa, Sudan, Ecuador and Uruguay (unless otherwise noted) during the Terminal Evaluation Period only. The Evaluator regrets any omissions to this list.

1. Mr. Alejandro Lago, Project Manager, Global ABS Project;
2. Mr. Jose Antonio Reyes, Project Associate, Global ABS Project;
3. Ms. Petra Valastinova, Programme and Operations Associate, UNDP Istanbul Regional Hub;
4. Mr. Hanan Mutwaki, UNDP Sudan;
5. Mr. Igar Tchoulba, UNDP Belarus;
6. Dr. Elena Makeyeva, Head of the ABS National Coordination Centre, Institute of Genetics and Cytology, NASB, Belarus;
7. Mr. Flavio Scasso, Programme Analyst, UNDP Uruguay;
8. Mr. Mohammed Abumughli, National Project Officer, UNDP Jordan;
9. 5 members of Jordanian ABS implementation team including Belal Qtishat, Mustafa Al-Shudiefat, Khalid Abulaila and Dr. Maher Tadros;
10. Ms. Monica Andrade, UNDP Ecuador;
11. 5 members of Ecuadorian ABS implementation team
12. Ms. Janice Golding, UNDP South Africa;
13. Ms Lactitia Tshitwamulomoni, National ABS Focal Point and Dept of Forestry, Fisheries and Environment, South Africa;
14. Mr. Jeffrey Leung Wai, UNDP Samoa;
15. 2 members of Samoan ABS implementation team.

## APPENDIX D - LIST OF DOCUMENTS REVIEWED

1. UNDP-GEF Project Document for “Strengthening human resources, legal frameworks, and institutional capacities to implement the Nagoya Protocol”;
2. UNDP-GEF Report of the Inception Workshop for Africa, Asia/Pacific and Central/Eastern Europe and Arab States, April 27-28, 2017;
3. UNDP-GEF Report of the Inception Workshop for Latin America and Caribbean, February 7, 2017;
4. Project AWP for 2018 and 2019;
5. PIRs for 2018, 2019 and 2020
6. Annual Progress Reports for 2017, 2018, 2019 and 2020;
7. Project Steering Committee meeting minutes for 2017, 2018, 2019 and 2020;
8. Project extension requests for 2019 and 2020;
9. Albania: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
10. Belarus: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
11. Botswana: GEF ABS Tracking tool, Final Report;
12. Colombia: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
13. Comoros: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
14. Dominican Republic: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
15. Ecuador: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
16. Ethiopia: GEF ABS Tracking tool, Final Report;
17. Honduras: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
18. India: GEF ABS Tracking tool, Final Report;
19. Jordan: GEF ABS Tracking tool, Final Report;
20. Kazakhstan: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
21. Kenya: GEF ABS Tracking tool, Lessons Learned Report;
22. Mongolia: GEF ABS Tracking tool, Final Report;
23. Myanmar: GEF ABS Tracking tool, Final Report;
24. Panama: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
25. Rwanda: GEF ABS Tracking tool, Final Report;
26. Samoa: GEF ABS Tracking tool, Final Report;
27. Seychelles: Final Report;
28. South Africa: GEF ABS Tracking tool, Final Report;
29. Sudan: GEF ABS Tracking tool, Final Report, Final draft report on “Mainstreaming ABS in value chains to increase the local socio-economical impacts => a pragmatic approach through pilot cases”;
30. Tajikistan: GEF ABS Tracking tool, Final Report, Lessons Learned Report;
31. Uruguay: GEF ABS Tracking tool, Final Report.

## APPENDIX E - PROJECT RESULTS FRAMEWORK FOR GLOBAL ABS PROJECT

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<b>Project Objective:</b> To assist countries in the development and strengthening of their national ABS frameworks, human resources and administrative capabilities to implement the Nagoya Protocol.	Number of national ABS law/regulation/policy proposals developed and/or strengthened with the participation of key stakeholders including indigenous peoples and ILCs.	<ul style="list-style-type: none"> <li>Albania: some legal ABS measures in place</li> <li>Belarus: some legal acts to regulate the access to genetic resources in place, but they do not include all the issues relevant to the Nagoya Protocol</li> <li>Egypt: draft ABS legislation pre-dating the Nagoya Protocol</li> <li>India: legal framework in place</li> <li>Jordan: amendment of the Environment Protection Law in process</li> <li>Sudan: legal amendment to introduce ABS in progress; some draft sectoral rules in process</li> </ul>	<ul style="list-style-type: none"> <li>Albania: ABS policy and legislation adopted</li> <li>Belarus: improved ABS rules adopted to fully implement the Nagoya Protocol</li> <li>Egypt: ABS legislation and ABS bylaw adopted</li> <li>India: strengthened participation of research community in the ABS regulatory system</li> <li>Jordan: amendment of Environmental Protection Act and ABS bylaws approved</li> <li>Sudan: ABS policy/ legislation adopted and sectoral laws reviewed to properly reflect ABS provisions</li> </ul>	<ul style="list-style-type: none"> <li>Official Gazette and bulletins per country</li> <li>National ABS law/regulation/policy draft proposals</li> <li>Project reports</li> <li>Reports submitted to ABS CHM;</li> <li>National reports on implementation of the Nagoya</li> </ul>	<ul style="list-style-type: none"> <li>There is political will to develop/update ABS-related legislation at the national level</li> <li>One or more institution is officially designated and capacitated to fulfill the functions and responsibility of a national competent authority</li> <li>Speedy processes for adoption and promulgation of texts</li> </ul>
		<ul style="list-style-type: none"> <li>Dominican Republic: some ABS provisions are included in the existing regulation for biodiversity research</li> <li>Ecuador: ABS comprehensive legal framework in place</li> <li>Honduras: No ABS-related law/ regulation in place</li> <li>Panama: specific ABS legal framework in place</li> <li>Uruguay: No ABS-related law/ regulation in place</li> </ul>	<ul style="list-style-type: none"> <li>Dominican Republic: draft of a national ABS law and corresponding regulations</li> <li>Ecuador: guidelines for the implementation of the existing ABS legal framework integrating the different relevant legal provisions in force in the country</li> <li>Honduras: draft of a national ABS law and corresponding regulations</li> <li>Panama: draft of revised ABS legal framework</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			<ul style="list-style-type: none"> <li>Uruguay: draft of a national ABS law and corresponding regulations</li> </ul>		
		<ul style="list-style-type: none"> <li>Botswana: No ABS-related law/ regulation in place</li> <li>Comoros: No ABS-related law/ regulation in place</li> <li>Ethiopia: Pre- Nagoya protocol measures on ABS in place</li> <li>Kenya: Pre- Nagoya protocol measures on ABS in place</li> <li>Seychelles: No ABS-related law/ regulation in place</li> <li>South Africa: Pre- Nagoya protocol measures on ABS in place</li> </ul>	<ul style="list-style-type: none"> <li>Botswana: draft of a national ABS law and corresponding regulations</li> <li>Comoros: draft of a national ABS law and corresponding regulations</li> <li>Ethiopia: updated/ harmonized ABS legislation submitted for approval</li> <li>Kenya: effective ABS laws updated through consultative process and submitted for approval</li> <li>Seychelles: draft of a national ABS law and corresponding regulations</li> <li>South Africa: draft amendment to the ABS Provisions in the National Environmental Management: Biodiversity Act (No. 10 of 2004)</li> </ul>		
		<ul style="list-style-type: none"> <li>Kazakhstan: No ABS-related law/ regulation in place</li> <li>Mongolia: No ABS-related law/ regulation in place</li> <li>Myanmar: No ABS-related law/ regulation in place</li> <li>Samoa: No ABS-related law/ regulation in place</li> <li>Tajikistan: No ABS-related law/ regulation in place</li> </ul>	<ul style="list-style-type: none"> <li>Kazakhstan: ABS national policy and legal framework developed and submitted for adoption</li> <li>Mongolia: ABS national policy and legal framework developed and submitted for adoption</li> <li>Myanmar: ABS national policy and legal framework developed and submitted for adoption</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			<ul style="list-style-type: none"> <li>– Samoa: ABS national policy and legal framework developed and submitted for adoption</li> <li>– Tajikistan: ABS national policy and legal framework developed and submitted for adoption</li> </ul>		
	Increase by X% in the capacities of national and state competent authorities and related agencies to develop, implement, and enforce national ABS domestic legislation, administrative or policy measures for ABS - including a CHM, as measured by the UNDP ABS Capacity Development Scorecard	<ul style="list-style-type: none"> <li>– Albania: 42.42%</li> <li>– Belarus: 30.30%</li> <li>– Egypt: 16.67 %</li> <li>– India: 53.05 %</li> <li>– Jordan: 22.73 %</li> <li>– Sudan: 24.24 %</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: 52.42%</li> <li>– Belarus: 50.30%</li> <li>– Egypt: 36.67 %</li> <li>– India: 58.05 %</li> <li>– Jordan: 42.73%</li> <li>– Sudan: 44.24 %</li> </ul>	<ul style="list-style-type: none"> <li>– Updated UNDP ABS Capacity Development Scorecard</li> <li>– Government records / official bulletins</li> <li>– ABS and CHM related reports</li> <li>– National reports on implementation of the Nagoya Protocol</li> </ul>	<ul style="list-style-type: none"> <li>– Staff apply their new knowledge and abilities in a satisfactory manner</li> <li>– There is stability in the human resources within the institution that benefits from the capacity development activities</li> <li>– Willingness from staff to participate in the training activities</li> </ul>
		<ul style="list-style-type: none"> <li>– Colombia: 74.24%</li> <li>– Dominican Republic: 28.79%</li> <li>– Ecuador: 45.45%</li> <li>– Honduras: 28.79%</li> <li>– Panama: 40.91%</li> <li>– Uruguay: 12.12%</li> </ul>	<ul style="list-style-type: none"> <li>– Colombia: 94.24%</li> <li>– Dominican Republic: 58.79%</li> <li>– Ecuador: 65.45%</li> <li>– Honduras: 58.79%</li> <li>– Panama: 70.91%</li> <li>– Uruguay: 12.12%</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: 18.67%</li> <li>– Comoros: 13.64%</li> <li>– Ethiopia: 65.15%</li> <li>– Kenya: 49.97%</li> <li>– Rwanda: 68.18%</li> <li>– Seychelles: 45.45%</li> <li>– South Africa: 75.76%</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: 50%</li> <li>– Comoros: 50%</li> <li>– Ethiopia: 90%</li> <li>– Kenya: 70%</li> <li>– Rwanda: 50%</li> <li>– Seychelles: 80%</li> <li>– South Africa: 85%</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: 35.0%</li> <li>– Mongolia: 30.0%</li> <li>– Myanmar: 20.0%</li> <li>– Samoa: 35.0%</li> <li>– Tajikistan: 15.0 %</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: 50 to 75%</li> <li>– Mongolia: 45 to 65%</li> <li>– Myanmar: 35 to 55%</li> <li>– Samoa: 50 to 75%</li> <li>– Tajikistan: 30 to 50%</li> </ul>		
	Number of ABS partnerships established with project support for	<ul style="list-style-type: none"> <li>– Albania: zero (0)</li> <li>– Belarus: zero (0)</li> <li>– Egypt: zero (0)</li> <li>– India: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: at least one partnership established</li> <li>– Belarus: at least one partnership established</li> </ul>	<ul style="list-style-type: none"> <li>– Scientific publications</li> <li>– Research reports</li> <li>– Patents</li> </ul>	<ul style="list-style-type: none"> <li>– Effective cooperation between users and providers of genetic resources</li> </ul>

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	the development of products for commercial purposes	<ul style="list-style-type: none"> <li>– Jordan: zero (0)</li> <li>– Sudan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Egypt: at least one partnership established</li> <li>– India: at least one partnership established</li> <li>– Jordan: at least one partnership established</li> <li>– Sudan: at least one partnership established</li> </ul>		<ul style="list-style-type: none"> <li>– Commercial feasibility of the products selected</li> </ul>
		<ul style="list-style-type: none"> <li>– Colombia: zero (0)</li> <li>– Dominican Republic: zero (0)</li> <li>– Honduras: zero (0)</li> <li>– Panama: zero (0)</li> <li>– Uruguay: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Colombia: at least one partnership established</li> <li>– Dominican Republic: at least one partnerships established</li> <li>– Honduras: at least one partnership established</li> <li>– Panama: at least one partnership established</li> <li>– Uruguay: at least two partnerships established</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: zero (0)</li> <li>– Comoros: zero (0)</li> <li>– Ethiopia: zero (0)</li> <li>– Kenya: zero (0)</li> <li>– Rwanda: zero (0)</li> <li>– Seychelles: zero (0)</li> <li>– South Africa: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: negotiations for one partnership in progress</li> <li>– Comoros: negotiations for one partnership in progress</li> <li>– Ethiopia: one partnerships established</li> <li>– Kenya: one partnership established</li> <li>– Rwanda: negotiations for one partnership in progress</li> <li>– Seychelles: negotiation in progress</li> <li>– South Africa: one partnership established</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: at least one biodiscovery partnership established</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		<ul style="list-style-type: none"> <li>– Samoa: zero (0)</li> <li>– Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Mongolia: at least two partnership established</li> <li>– Myanmar: at least one partnership established</li> <li>– Samoa: at least one partnership established</li> <li>– Tajikistan: at least one partnership established</li> </ul>		
<b>Component 1:</b> Strengthening the legal, policy and institutional capacity to develop national ABS frameworks	Number of national policy measures adopted for protecting TK, innovations and practices, and customary uses of biological and genetic resources	<ul style="list-style-type: none"> <li>– Albania: zero (0)</li> <li>– Belarus: zero (0)</li> <li>– Egypt: zero (0)</li> <li>– Jordan: zero (0)</li> <li>– Sudan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: draft assessment of TK associated with genetic resources with options on how to protect TK*</li> <li>– Belarus: draft assessment of TK associated with genetic resources with options on how to protect TK*</li> <li>– Egypt: draft of an institutional framework for protecting TK</li> <li>– Jordan: draft of an institutional framework for protecting TK</li> <li>– Sudan: draft assessment of genetic resources including needs and options for protecting TK* (*Targets to be confirmed during project inception phase)</li> </ul>	<ul style="list-style-type: none"> <li>– Official Gazette per country</li> <li>– National draft proposals for protecting TK/ABS</li> <li>– National CHM web portals</li> </ul>	<ul style="list-style-type: none"> <li>– There is political will for the protection of TK within the national ABS framework and from the ILCs to participate</li> </ul>
		<ul style="list-style-type: none"> <li>– Dominican Republic: zero (0)</li> <li>– Ecuador: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Dominican Republic: proposal for the legal protection of TK within the ABS framework</li> <li>– Ecuador: Draft of regulations for the Code of Social Knowledge Economy and Innovation (COES) TK component</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		<ul style="list-style-type: none"> <li>– Botswana: zero (0)</li> <li>– Comoros: zero (0)</li> <li>– Ethiopia: TK well captured in the existing legal framework</li> <li>– Kenya: zero (0)</li> <li>– Rwanda: zero (0)</li> <li>– Seychelles: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: national TK policy instrument submitted for approval or adoption</li> <li>– Comoros: national TK policy instrument submitted for approval or adoption</li> <li>– Ethiopia: national TK policy instrument submitted for approval or adoption</li> <li>– Kenya: revised national TK policy instruments submitted for approval or adoption</li> <li>– Rwanda: revised national TK policy instruments submitted for approval or adoption</li> <li>– Seychelles: national TK policy instrument submitted for approval or adoption</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> <li>– Samoa: zero (0)</li> <li>– Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: National TK guidelines developed</li> <li>– Mongolia: National TK guidelines developed</li> <li>– Myanmar: National TK guidelines developed</li> <li>– Samoa: National TK guidelines developed</li> <li>– Tajikistan: National TK guidelines developed</li> </ul>		
	Number of countries with a <u>national</u> ABS CHM, an improved web page with relevant ABS information, or a	<ul style="list-style-type: none"> <li>– Albania: national biodiversity CHM in place</li> <li>– Belarus: national biodiversity CHM in place</li> <li>– Egypt: national biodiversity CHM in place</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: ABS procedures and information uploaded into the existing CHM</li> <li>– Belarus: ABS procedures and information uploaded into the existing CHM</li> </ul>		



	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	<u>national</u> biodiversity CHM with ABS-related information.	<ul style="list-style-type: none"> <li>– Jordan: national biodiversity CHM in place</li> <li>– Sudan: national biodiversity CHM in place</li> </ul>	<ul style="list-style-type: none"> <li>– Egypt: ABS procedures and information uploaded into the existing CHM</li> <li>– Jordan: ABS procedures and information and procedures uploaded into the existing CHM</li> <li>– Sudan: ABS procedures and information uploaded into the existing CHM</li> </ul>		
		<ul style="list-style-type: none"> <li>– Dominican Republic: 0</li> <li>– Ecuador: national biodiversity CHM in place</li> <li>– Honduras: national biodiversity CHM in place</li> <li>– Panama: 0</li> <li>– Uruguay: 0</li> </ul>	<ul style="list-style-type: none"> <li>– Dominican Republic: fully functional ABS-related web page</li> <li>– Ecuador: ABS procedures and information uploaded into the existing CHM</li> <li>– Honduras: ABS procedures and information uploaded into the existing CHM</li> <li>– Panama: fully functional ABS-related web page</li> <li>– Uruguay: fully functional ABS-related web page</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: 0</li> <li>– Comoros: 0</li> <li>– Ethiopia: ABS CHM in place but needs strengthening</li> <li>– Kenya: ABS CHM in place but needs strengthening</li> <li>– Rwanda: national biodiversity CHM in place</li> <li>– Seychelles: national biodiversity CHM in place</li> <li>– South Africa: DEA website with no ABS-related information</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: ABS CHM established</li> <li>– Comoros: ABS CHM established</li> <li>– Ethiopia: existing ABS CHM strengthened</li> <li>– Kenya: existing ABS CHM strengthened</li> <li>– Rwanda: ABS CHM established and linked to the biodiversity CHM</li> <li>– Seychelles: ABS procedures and information uploaded into the existing CHM</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			<ul style="list-style-type: none"> <li>– South Africa: fully functional ABS-related web page (DEA)</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> <li>– Samoa: zero (0)</li> <li>– Tajikistan: national biodiversity CHM in place</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: National ABS CHM established</li> <li>– Mongolia: National ABS CHM established</li> <li>– Myanmar: ABS CHM established</li> <li>– Samoa: ABS CHM established</li> <li>– Tajikistan: ABS CHM established and linked to the biodiversity CHM</li> </ul>		
	Number of key stakeholders per country trained through the project regarding ABS rules and procedures (granting of permits, assessment of access applications, core principles of PIC and MAT and their application, and rights and roles of ILCs, among others); and negotiate ABS agreements	<ul style="list-style-type: none"> <li>– Albania: zero (0)</li> <li>– Belarus: zero (0)</li> <li>– Egypt: zero (0)</li> <li>– India: zero (0)</li> <li>– Jordan: zero (0)</li> <li>– Sudan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: twenty (20)</li> <li>– Belarus: twenty (20)</li> <li>– Egypt: twenty (20)</li> <li>– India: fifty (50)</li> <li>– Jordan: twenty (20)</li> <li>– Sudan: twenty (20)</li> </ul>	<ul style="list-style-type: none"> <li>– Data bases &amp; documents with records of the training events</li> <li>– Project evaluation reports: PIR/APR, mid-term and final evaluations</li> </ul>	<ul style="list-style-type: none"> <li>– Staff apply their new knowledge and abilities in a satisfactory manner</li> <li>– There is stability in the human resources within the institution that benefits from the capacity development activities</li> </ul>
		<ul style="list-style-type: none"> <li>– Colombia: zero (0)</li> <li>– Dominican Republic: zero (0)</li> <li>– Ecuador: zero (0)</li> <li>– Honduras: zero (0)</li> <li>– Panama: zero (0)</li> <li>– Uruguay: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Colombia: twenty-five (25)</li> <li>– Dominican Republic: sixty (60)</li> <li>– Ecuador: sixty (60)</li> <li>– Honduras: eighty-five (85)</li> <li>– Panama: seventy-five (75)</li> <li>– Uruguay: eighty-five (85)</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: zero (0)</li> <li>– Comoros: zero (0)</li> <li>– Ethiopia: zero (0)</li> <li>– Kenya: zero (0)</li> <li>– Rwanda: zero (0)</li> <li>– Seychelles: zero (0)</li> <li>– South Africa: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: forty (40)</li> <li>– Comoros: forty (40)</li> <li>– Ethiopia: sixty (60)</li> <li>– Kenya: sixty (60)</li> <li>– Rwanda: forty (40)</li> <li>– Seychelles: forty (40)</li> <li>– South Africa: sixty (60)</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: one hundred (100)</li> <li>– Mongolia: one hundred (100)</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		<ul style="list-style-type: none"> <li>– Samoa: zero (0)</li> <li>– Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Myanmar: one hundred (100)</li> <li>– Samoa: one hundred (100)</li> <li>– Tajikistan: one hundred (100)</li> </ul>		
<b>Outputs:</b> <ul style="list-style-type: none"> <li>• National ABS law/regulation/policy proposals drafted and submitted for approval to competent authorities</li> <li>• Improved capacities of National Competent Authorities and related agencies on processing access applications, developing model contractual clauses under mutually agreed terms, including the negotiation and tracking of ABS agreements and biodiscovery projects to ensure compliance.</li> <li>• Supportive institutional framework for sui generis systems for protecting TK, innovations and practices and customary uses of biological and genetic resources</li> <li>• Mechanisms institutionalized to facilitate: a) a CHM for countries that have a national ABS framework and are willing to advertise such framework and other ABS information in the CHM; b) Understanding at the ministerial level of the importance of genetic resources as a source of innovation in the national economy and the need to support research and development for the valuation of biodiversity; c) Dialogue and collaboration between policy makers and stakeholders (including research institutions, private sector, and ILCs) to ensure certainty and clarity for users and providers of genetic resources; and d) access to information and support compliance under the national law and the Nagoya Protocol</li> </ul>					
<b>Component 2:</b> Building trust between users and providers of genetic resources to facilitate the identification of bio-discovery efforts	Number of commercial agreements between users and providers of genetic resources	<ul style="list-style-type: none"> <li>– Albania: zero (0)</li> <li>– Belarus: zero (0)</li> <li>– Egypt: zero (0)</li> <li>– India: TBD*</li> <li>– Jordan: zero (0)</li> <li>– Sudan: zero (0) (*Baseline to be confirmed during project inception phase)</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: at least one (1) agreement in progress*</li> <li>– Belarus: at least one (1) agreement in progress</li> <li>– Egypt: at least one (1) agreement concluded</li> <li>– India: at least one (1) agreement in progress*</li> <li>– Jordan: at least one (1) agreement concluded</li> <li>– Sudan: at least one (1) agreement concluded</li> <li>(*Target to be confirmed during project inception phase)</li> </ul>	<ul style="list-style-type: none"> <li>– Signed agreements</li> <li>Official reports and web pages of the National Competent Authorities</li> </ul>	<ul style="list-style-type: none"> <li>– Will among between users and providers of genetic resources to pursue bio-discovery projects</li> </ul>
		<ul style="list-style-type: none"> <li>– Colombia: three (3)</li> <li>– Dominican Republic: two (2)</li> <li>– Honduras: zero (0)</li> <li>– Panama: one (1)</li> <li>– Uruguay: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Colombia: one (1) more agreement concluded</li> <li>– Dominican Republic: one (1) more agreement concluded</li> <li>– Honduras: one (1) agreement concluded</li> <li>– Panama: one (1) more agreement in progress</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			– Uruguay: at least two (2) agreements concluded		
		<ul style="list-style-type: none"> <li>– Botswana: zero (0)</li> <li>– Comoros: zero (0)</li> <li>– Ethiopia: one (1)</li> <li>– Kenya: two (2)</li> <li>– Rwanda: zero (0)</li> <li>– Seychelles: one (1)</li> <li>– South Africa: three (3)</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: at least one (1) agreement in progress*</li> <li>– Comoros: at least one (1) agreement in progress*</li> <li>– Ethiopia: at least one (1) additional agreement concluded</li> <li>– Kenya: at least one (1) additional agreement concluded</li> <li>– Rwanda: at least one (1) agreement in progress*</li> <li>– Seychelles: at least one (1) agreement in progress</li> <li>– South Africa: at least one (1) additional agreement concluded</li> </ul> (*Target to be confirmed during project inception phase)		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> <li>– Samoa: zero (0)</li> <li>– Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: one (1) agreement in progress</li> <li>– Mongolia: one (1) agreement in progress</li> <li>– Myanmar: one (1) agreement in progress</li> <li>– Samoa: one (1) agreement in progress</li> <li>– Tajikistan: at least two (2) agreements negotiated</li> </ul>		
	Ethical codes of conduct or guidelines per country for research on TK and genetic resources	<ul style="list-style-type: none"> <li>– Egypt: zero (0)</li> <li>– India: zero (0)</li> <li>– Jordan: zero (0)</li> <li>– Sudan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Egypt: guidelines for research on TK and genetic resources</li> <li>– India: guidelines to access genetic resources and TK for researchers</li> </ul>	<ul style="list-style-type: none"> <li>– Signed code of conduct declarations</li> <li>– Published guidelines</li> </ul>	<ul style="list-style-type: none"> <li>– There is political will for the protection of TK within the national ABS framework</li> </ul>

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			<ul style="list-style-type: none"> <li>– Jordan: guidelines for research on TK and genetic resources</li> <li>– Sudan: guidelines for research on TK and genetic resources</li> </ul>		
		<ul style="list-style-type: none"> <li>– Honduras: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Honduras: code of conduct/good practices guidelines for the academic research sector</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: zero (0)</li> <li>– Comoros: zero (0)</li> <li>– Ethiopia: some codes or guidelines in place</li> <li>– Kenya: some codes or guidelines in place</li> <li>– Rwanda: zero (0)</li> <li>– Seychelles: zero (0)</li> <li>– South Africa: some codes or guidelines in place</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: at least one (1) code or guideline developed</li> <li>– Comoros: at least one (1) code or guideline developed</li> <li>– Ethiopia: at least one (1) code or guideline developed</li> <li>– Kenya: standards for code of best practices on TK developed</li> <li>– Rwanda: at least one (1) code or guideline developed</li> <li>– Seychelles: best practices/code of conduct for research on TK and genetic resources developed</li> <li>– South Africa: guidelines and codes of conduct to promote sustainable harvesting developed</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: zero (0)</li> <li>– Mongolia: zero (0)</li> <li>– Myanmar: zero (0)</li> <li>– Samoa: zero (0)</li> <li>– Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors</li> <li>– Mongolia: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
			<ul style="list-style-type: none"> <li>– Myanmar: three (3) codes of conduct developed: agriculture, pharmaceutical, and biotechnology sectors</li> <li>– Samoa: three (3) codes or guidelines developed</li> <li>– Tajikistan: three (3) codes or guidelines developed for different sectors</li> </ul>		
	Proportion (%) of users and providers (government officials, population of researchers, local communities, and relevant industry) aware of the National law and CBD and NP provisions related to ABS and TK.	<ul style="list-style-type: none"> <li>– Albania: 0%</li> <li>– Belarus: 0%</li> <li>– Egypt: 0%</li> <li>– India: 0%</li> <li>– Jordan: 0%</li> <li>– Sudan: 0%</li> </ul>	<ul style="list-style-type: none"> <li>– Albania: 25%</li> <li>– Belarus: 25%</li> <li>– Egypt: 25%</li> <li>– India: 25%</li> <li>– Jordan: 25%</li> <li>– Sudan: 25%</li> </ul>	<ul style="list-style-type: none"> <li>– Awareness survey results</li> <li>– Project evaluation reports: PIR/APR, mid-term and final evaluations</li> </ul>	<ul style="list-style-type: none"> <li>– Sampling effort are optimal</li> <li>– Willingness of stakeholders to engage in project activity</li> </ul>
		<ul style="list-style-type: none"> <li>– Colombia: very low</li> <li>– Dominican Republic: very low</li> <li>– Ecuador: very low</li> <li>– Honduras: very low</li> <li>– Panama: very low</li> <li>– Uruguay: very low</li> </ul>	<ul style="list-style-type: none"> <li>– Colombia: 40 to 50%</li> <li>– Dominican Republic: 40 to 50%</li> <li>– Ecuador: 40 to 50%</li> <li>– Honduras: 40 to 50%</li> <li>– Panama: 40 to 50%</li> <li>– Uruguay: 40 to 50%</li> </ul>		
		<ul style="list-style-type: none"> <li>– Botswana: very low</li> <li>– Comoros: very low</li> <li>– Ethiopia: high</li> <li>– Kenya: moderate</li> <li>– Rwanda: very low</li> <li>– Seychelles: low</li> <li>– South Africa: high</li> </ul>	<ul style="list-style-type: none"> <li>– Botswana: 40 to 50%</li> <li>– Comoros: 20 to 40%</li> <li>– Ethiopia: 40 to 60%</li> <li>– Kenya: 40 to 60%</li> <li>– Rwanda: 40 to 50%</li> <li>– Seychelles: 40 to 50%</li> <li>– South Africa: 40 to 60%</li> </ul>		
		<ul style="list-style-type: none"> <li>– Kazakhstan: 10-15%</li> <li>– Mongolia: 10-15%</li> <li>– Myanmar: 10-15%</li> <li>– Samoa: 10-15%</li> <li>– Tajikistan: 10-15%</li> </ul>	<ul style="list-style-type: none"> <li>– Kazakhstan: ≥ 35%</li> <li>– Mongolia: ≥ 35%</li> <li>– Myanmar: ≥ 35%</li> <li>– Samoa: ≥ 35%</li> <li>– Tajikistan: ≥ 35%</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	Change in knowledge, attitudes, and practices (KAP) of specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS with respect to national ABS frameworks, the CBD, and Nagoya Protocol.	<ul style="list-style-type: none"> <li>Sixteen countries*: X (Baseline and targets will be determined during project inception phase)</li> <li>*Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Tajikistan, Uruguay</li> </ul>	<p>Sixteen countries*: Increase in KAP of specific groups related to ABS</p> <p>*Botswana, Comoros, Dominican Republic, Ecuador, Ethiopia, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Tajikistan, Uruguay</p>	<ul style="list-style-type: none"> <li>Knowledge, attitudes, and practices survey results</li> <li>Project evaluation reports: PIR/APR, mid-term and final evaluations</li> </ul>	
<b>Outputs:</b> <ul style="list-style-type: none"> <li>Existing and emerging partnerships for bio-discovery between users and providers of genetic resources to generate ‘success stories’ and practical lessons, as well as reinforce trust.</li> <li>Information and experience exchange on the interaction between ABS rules and biodiversity-based research and development activities in various sectors, including best practices, training programmes and modules on biodiscovery, research procedures, intellectual property and business models of key industries (pharmaceutical, botanical, biotechnological, agricultural, the food/beverage biotechnology, and cosmetics sector) developed and made available to relevant stakeholders including ILCs.</li> <li>Ethical codes of conduct or guidelines for research on TK and genetic resources.</li> <li>Campaign to raise awareness on the ABS national frameworks, CBD and Nagoya Protocol targeting policymakers, researchers, ILCs, and relevant industry.</li> <li>KAP assessment surveys targeting specific groups (e.g., researchers, local communities, and relevant industry) that may use or benefit from ABS transactions are carried out to assess enhanced awareness about national ABS frameworks, the CBD and Nagoya Protocol.</li> </ul>					
<b>Component 3:</b> Strengthening the capacity of ILCs to contribute to the implementation of the Nagoya Protocol	Number of ABS BCPs and/or TK registries per country adopted by local communities	<ul style="list-style-type: none"> <li>Egypt: zero (0)</li> <li>Jordan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>Egypt: one (1) BCP developed</li> <li>Jordan: one (1) BCP developed</li> </ul>	<ul style="list-style-type: none"> <li>Published of agreed-upon BCPs</li> <li>Online TK databases</li> <li>ILC-based registries</li> </ul>	<ul style="list-style-type: none"> <li>Effective cooperation between interest groups (national government, relevant industry, ILC organizations, researchers, etc.) for the participation of ILCs in</li> </ul>
		<ul style="list-style-type: none"> <li>Dominican Republic: zero (0)</li> <li>Ecuador: zero (0) (but some activities underway)</li> </ul>	<ul style="list-style-type: none"> <li>Dominican Republic: one (1) BCP developed</li> <li>Ecuador: at least two (2) BCPs developed</li> </ul>		

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
		<ul style="list-style-type: none"> <li>Honduras: one (1) (not officially recognized)</li> <li>Panama: zero (0) (but some activities underway)</li> <li>Uruguay: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>Honduras: one (1) BCP developed</li> <li>Panama: one (1) BCP developed</li> <li>Uruguay: at least one (1) BCP developed</li> </ul>		the implementation of the Nagoya Protocol
		<ul style="list-style-type: none"> <li>Botswana: 0</li> <li>Comoros: 0</li> <li>Ethiopia: 0</li> <li>Kenya: BCPs in place</li> <li>Rwanda: 0</li> <li>Seychelles: 0</li> <li>South Africa: BCPs in place</li> </ul>	<ul style="list-style-type: none"> <li>Botswana: process for the conclusion of at least one (1) BCP underway</li> <li>Comoros: at least one (1) BCP developed</li> <li>Ethiopia: at least one (1) BCP developed</li> <li>Kenya: at least one (1) more BCP developed</li> <li>Rwanda: process for the conclusion of at least one (1) BCP underway</li> <li>Seychelles: process for the conclusion of at least one (1) BCP underway</li> <li>South Africa: at least one (1) more BCP developed</li> </ul>		
		<ul style="list-style-type: none"> <li>Kazakhstan: zero (0)</li> <li>Mongolia: zero (0)</li> <li>Myanmar: zero (0)</li> <li>Samoa: zero (0)</li> <li>Tajikistan: zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>Kazakhstan: at least two (2) BCPs developed</li> <li>Mongolia: at least two (2) BCPs developed</li> <li>Myanmar: at least two (2) BCPs developed</li> <li>Samoa: at least two (2) BCPs developed</li> <li>Tajikistan: at least two (2) BCPs developed</li> </ul>		

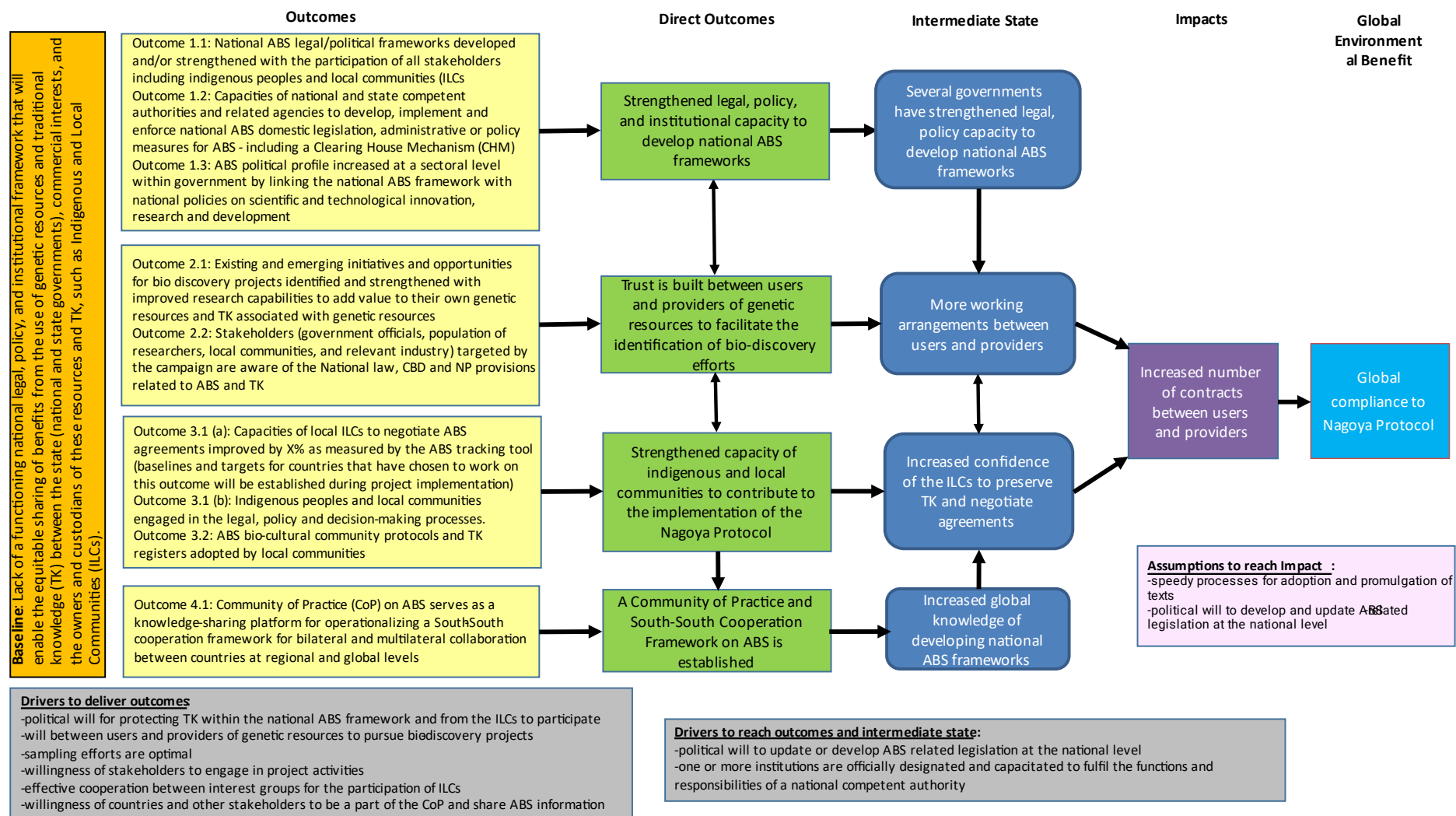


	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	Capacities of local ILCs per country to negotiate ABS agreements as measured by the UNDP ILC/ABS Capacity Development Scorecard	<ul style="list-style-type: none"> <li>– Twenty-two countries*: X% (Baseline and targets will be determined during project inception phase)</li> <li>*Albania, Belarus, Botswana, Comoros, Dominican Republic, Ecuador, Egypt, Ethiopia, Honduras, Jordan, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Sudan, Tajikistan, Uruguay</li> </ul>	<ul style="list-style-type: none"> <li>– Twenty-two countries*: Baseline + X%</li> <li>*Albania, Belarus, Botswana, Comoros, Dominican Republic, Ecuador, Egypt, Ethiopia, Honduras, Jordan, Kazakhstan, Kenya, Mongolia, Myanmar, Panama, Rwanda, Samoa, Seychelles, South Africa, Sudan, Tajikistan, Uruguay</li> </ul>	<ul style="list-style-type: none"> <li>– Updated ILC/ABS Capacity Development Scorecard</li> </ul>	
<b>Outputs:</b> <ul style="list-style-type: none"> <li>• BCPs, model contractual clauses constitute the basis for clarifying PIC and MAT requirements between users and providers of TK and biological resources.</li> <li>• Campaign increases ILCs' awareness on the importance of genetic resources and TK associated with genetic resources, and related access and benefit-sharing issues, including the need to participate in the national ABS policymaking process.</li> </ul>					
<b>Component 4.</b> Implementing a Community of Practice and South-South Cooperation Framework on ABS <sup>38</sup>	CoP on ABS implemented and operating at regional and global level by project mid-point	<ul style="list-style-type: none"> <li>– No</li> </ul>	<ul style="list-style-type: none"> <li>– Yes</li> </ul>	<ul style="list-style-type: none"> <li>– ABS CoP website</li> <li>– Project and country ABS-related reports</li> </ul>	<ul style="list-style-type: none"> <li>– Willingness of countries and other project stakeholders to be part of the CoP and share ABS information</li> </ul>
	Number of experts on ABS mapped and incorporated into a regional and global database by project mid-point	<ul style="list-style-type: none"> <li>– Zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Fifty (50)</li> </ul>	<ul style="list-style-type: none"> <li>– Database/expert roster</li> <li>– Project reports</li> </ul>	
	Number of technical assistance requirements on ABS fulfilled at regional and global level by project end	<ul style="list-style-type: none"> <li>– Zero (0)</li> </ul>	<ul style="list-style-type: none"> <li>– Fifteen (15)</li> </ul>	<ul style="list-style-type: none"> <li>– Official country requirements for technical support</li> <li>– Mission and project reports</li> </ul>	

<sup>38</sup> To be accomplished by UNDP with UNV's support as a Responsible Party.

	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
	Number of knowledge products on specific ABS topics developed at the regional and global levels by project end	– Zero (0)	– Twenty (20)	<ul style="list-style-type: none"> <li>– ABS CoP website</li> <li>– Project reports</li> </ul>	
<b>Outputs:</b> <ul style="list-style-type: none"> <li>• CoP on ABS at the regional and global levels serves as a collaboration and information tool to support the implementation of ABS mechanisms under the Nagoya Protocol.</li> <li>• ABS roster of experts provides technical assistance and advisory services to governments and other stakeholders on environmental law, biotechnology, economics, benefits-sharing, among other ABS-related topics.</li> <li>• Systematized experiences, best practices, lessons learned, and knowledge products on ABS support countries' ABS-related activities.</li> <li>• Website serves as a virtual knowledge platform for the ABS CoP and for the dissemination of information about the project.</li> </ul>					

## APPENDIX F – THEORY OF CHANGE



## APPENDIX G – RESPONSES TO COMMENTS RECEIVED ON DRAFT TE REPORT

To the comments received on the 14 July 2021 for the Terminal Evaluation of the Global ABS Project

The following comments were provided in track changes to the draft Terminal Evaluation report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
Alejandro Lago	1	Exec. Summary, Project Results, 1 <sup>st</sup> Para	It would be important to note, before the presentation of intended and actual outcomes to indicate that the project was cancelled in Egypt in February 2019 due to the lack of initiation of the project at the national level. Once this point is introduced, it would be appropriate to make reference to 23 countries.	Agreed. Edits provided.
Alejandro Lago	2	Exec. Summary, Table A, Actual Outcome 1.3	Not sure if there is a clear correlation between the size of the country and the increase of ABS political profile.	Text was removed from the report.
Alejandro Lago	3	Exec. Summary, Table A, Actual Outcome 2.1	All the countries (22) have supported different biodiscovery projects (33 out of 24 initially expected) but also have developed (7) strategies to promote bioprospecting activities in their countries for the active valorization of their genetic resources and associated traditional knowledge.  If we are referring to commercial agreements, then the number is much lower, as only 10 out of 22 countries have signed 38 ABS commercial agreements (Colombia, 18; Dominican Republic, 3; Ethiopia, 6; Kenya, 5; Myanmar, 1; Panama, 1; Seychelles, 1; South Africa, 2; Sudan, 1). The case of India is special because it has granted more than 200 commercial permits during the project.	We are referring to commercial agreement. As such, edits have been made to reflect the number of countries that have commercial agreement, changed from 13 to 10 out of 22 countries.
Alejandro Lago	4	Exec. Summary, Table A, Actual Outcome 3.2	14, according to our records	Agreed. Edits provided.
Alejandro Lago	5	Exec. Summary, Summary of Conclusions, Recommendations and Lessons, Lesson #4	With regards to "Lesson #4: Care needs to be taken when recruiting for the Project Coordinator position", I believe this refers to the national level.	Agreed. Edits provided.
Alejandro Lago	6	Para 5, 2 <sup>nd</sup> bullet	it should read "has only supported 14 countries of 18 in the development of biocultural community protocols (BCPs)".	Agreed. Edits provided.

<b>Author</b>	<b>#</b>	<b>Para #/ Comment location</b>	<b>Comment/Feedback on draft TE report</b>	<b>TE response and actions taken</b>
Alejandro Lago	7	Para 22	<i>There is an inconsistency here between Annex and Appendix, but also Appendix F makes reference to "Responses to comments ..."</i>	<i>Agreed. Edits provided with a Theory of Change diagram inserted into Appendix F.</i>
Alejandro Lago	8	Para 49	<i>This is the first notice that we have in this regard. It is strange that colleagues in Mongolia did not raise this issue in any of the different Quarterly reports or direct contacts with me as the manager of the project. The only reason I can find to justify this comment is that the RTA from the Philippines was incorporated with an important delay into the team (August 2017) due to some UNDP internal challenges in issuing his contract, which could have negatively impacted them in the initiation and the setup of the project in the country.</i>	<i>This is unfortunate. However, the comment will be retained in the report without edits.</i>
Alejandro Lago	9	Para 52	<i>12,874 is the total figure of stakeholders that were trained during the project. The initial target was 1,360.</i>	<i>Agreed. Edits provided.</i>
Alejandro Lago	10	Para 53	<i>10 out 22 countries have signed 38 ABS commercial agreements (Colombia, 18; Dominican Republic, 3; Ethiopia, 6; Kenya, 5; Myanmar, 1; Panama, 1; Seychelles, 1; South Africa, 2; Sudan, 1). The case of India is special because it has granted more than 200 commercial permits during the project.</i>	<i>Agreed. Edits provided.</i>
Alejandro Lago	11	Para 54	<i>In accordance to our records there are 14 countries. The final result is that 28 BCPs have been developed in 15 countries. Sudan, originally not included under this target has developed 4 Biocultural Community Protocols. 4 countries have encountered some difficulties that have impeded them to support the development of BCPs as originally planned. Uruguay has not developed any BCP due to the need to conduct further work at the national level to better identify and define local communities. Comoros, Honduras and Kenya have not been able to develop any BCPs due to the pandemic of Covid-19, because national lockdowns and health related measures that were put in place to contain the expansion of the virus, impeded the organization of physical meetings and the direct interaction with the communities.</i>	<i>Agreed. Edits provided.</i>
Alejandro Lago	12	Para 61	<i>The expected cofinancing included in the ProDoc was US\$ 16.921 million (28.921 million is the total budget, including direct GEF funding of 12 million). The final co-financing mobilized has been 16.095 million (we have added Seychelles, Botswana and Comoros,</i>	

<b>Author</b>	<b>#</b>	<b>Para #/ Comment location</b>	<b>Comment/Feedback on draft TE report</b>	<b>TE response and actions taken</b>
			<i>that were initially missing), the co-financing is at 95% of the initial estimation committed in the ProDoc.</i>	
<i>Petra Valastinova</i>	<i>13</i>	<i>Table 3</i>	<i>The commitments for the period until the end of the project have increased with an aim to fully utilize the project funding for the preparation of the 2<sup>nd</sup> phase</i>	<i>Agreed. Edits provided.</i>
<i>Alejandro Lago</i>	<i>14</i>	<i>Para 65</i>	<i>Each country had applied different lines in the implementation of KAP assessments, therefore at this late stage what the project produce was a guidance document based on the experience at the regional level in Latin America.</i>	<i>Agreed. Edits provided.</i>
<i>Alejandro Lago</i>	<i>15</i>	<i>Para 72</i>	<i>This needs to be updated with the final figures provided above. The target has been achieved in 17 countries. Most of the countries have clearly exceeded their original percentage of increase, in some cases they have doubled them (Albania, Belarus, Dominican Republic, Jordan, Sudan). Only 6 countries have not reached their initial target of increase institutional capacity, 4 of them with a very small difference, inferior to 5% (Colombia, Ethiopia, Kazakhstan and Mongolia), and 2 countries with bigger gap to their targets (Panama, 11.5%; and Seychelles, 18%).</i>	<i>Agreed. Edits provided.</i>
<i>Alejandro Lago</i>	<i>16</i>	<i>Para 72</i>	<i>We have frequently met with high level authorities and in some countries specific activities to raise awareness on ABS were conducted. However, in some countries we have met with up to 4 different General Directors for Biodiversity. In Ecuador we met with 3 different ministers within the same government. Political instability has been a key and difficult feature to handle during the entire project in all the regions. This is well described in paragraph 73.</i>	<i>No edits made to this comment.</i>
<i>Alejandro Lago</i>	<i>17</i>	<i>Para 74</i>	<i>We believe all the countries (22 out of 22) managed to establish and promote partnerships although Honduras was not able to fully complete it due to the impact of COVID-19 pandemic.</i>	<i>Agreed. Edits provided.</i>
<i>Alejandro Lago</i>	<i>18</i>	<i>Para 83</i>	<i>We would appreciate the revision of the number of stakeholders trained per country in accordance with the latest figures provided in the final report of the project. An important effort has been made with the countries to curate and establish the exact number of stakeholders trained (12,874) during the project at the national level which clearly overrides the initial target (1,360). This is a big impact of the project that should be highlighted.</i>	<i>Agreed. Edits provided.</i>

<b>Author</b>	<b>#</b>	<b>Para #/ Comment location</b>	<b>Comment/Feedback on draft TE report</b>	<b>TE response and actions taken</b>
Alejandro Lago	19	Para 88	10 out 22 countries have signed 38 ABS commercial agreements (Colombia, 18; Dominican Republic, 3; Ethiopia, 6; Kenya, 5; Myanmar, 1; Panama, 1; Seychelles, 1; South Africa, 2; Sudan, 1). The case of India is special because it has granted more than 200 commercial permits during the project.	Agreed. Edits provided.
Alejandro Lago	20	Para 94	I think all the countries have identified and strengthened opportunities for biodiscovery project that add value to their own genetic resources, although only 10 have managed to sign commercial agreements.	13 countries is acknowledged. Edits provided.
Alejandro Lago	21	Para 96	14 out of 18. In addition to Comoros, Honduras and Kenya that could not conduct their activities on BCPs due to the pandemic, Uruguay decided that it was premature to conduct BCPs due to the lack of indigenous peoples and indefinición of local communities. Nevertheless, in the case of Uruguay, several studies were conducted to identify traditional knowledge and their holders.	Agreed. Edits provided.
Alejandro Lago	22	Para 101	In response to whether or not the Project had initiated a collaboration with other organizations that work directly with ILCs to develop a specific tool and methodology to measure the impact of these investments, the Project responded that the collaboration with those organizations + Natural Justice have been established and different activities to specifically support IPLCs have taken place, but the specific tool that was mentioned in the paragraph has not been developed.	Agreed. Edits provided.
Alejandro Lago	23	Table 9, 3 <sup>rd</sup> row	The project has provided 46 (original target 15) technical assistances to requirements on ABS (10 face to face regional community of practice workshops; 8 technical assistances to countries of the project, not including the technical support missions conducted to the different countries (93); 8 missions and activities to support 7 countries outside the project; 20 activities to support other organizations and initiatives outside the project).	Agreed. Edits provided.
Alejandro Lago	24	Table 9, 4 <sup>th</sup> row	The project has generated 41 (original target 20) Knowledge products	Agreed. Edits provided.
Alejandro Lago	25	Para 105	In response to whether the target for identifying experts and creating an ABS stakeholder map (that contains information regarding organizations and individuals that use genetic resources,	Agreed. Edits provided.

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
			<i>academia, bioprospecting initiative and a roster of experts), the Project responded that yes, the link works and contains all that information.</i>	
Alejandro Lago	26	Para 107	<p>The project has generated 41 Knowledge products (original target 20):</p> <ul style="list-style-type: none"> <li>• 2 books (“Access to genetic resources and benefit sharing. Theory to Practice under the Nagoya Protocol”, June 2021; and “ABS is genetic resources for sustainable development”, November 2018); 1 toolkit (Mainstreaming Gender into ABS Value Chains);</li> <li>• 1 report (Design of a pilot project to test blockchain technology and smart contracts on ABS);</li> <li>• 1 methodological guidance (Methodological guidance for the design and implementation of Knowledge, Attitudes and Practices (KAP) surveys on ABS, July 2020);</li> <li>• 1 online course (4 online modules “Training on Traditional Knowledge and the Nagoya Protocol”, November 2020);</li> <li>• 1 online module (Gender and biodiversity, February 2020);</li> <li>• 1 systematization of an international symposium (Systematization of the I International Symposium on the Conservation of Amphibians in Ecuador and sustainable use of their genetic resources, February 2020);</li> <li>• 1 Guide for the construction of Biocultural Community Protocols in Ecuador (January 2021);</li> <li>• 1 Guide of medicinal plants in the Kichwa Community in Ecuador (Medicina de Payamino: Una guía de plantas medicinales de la comunidad Kichwa) (June 2020);</li> <li>• 6 Photo essays showcasing the stories of the project in different countries, as well as the added value of volunteerism in the implementation of Access and Benefit Sharing in Latin America and the Caribbean;</li> <li>• 1 Global ABS Conference (The ABS we ALL need, 7 sessions, November 2020);</li> <li>• 1 Webinar series (Custodians of Biodiversity, 4 sessions, August 2020);</li> </ul>	



Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
			<ul style="list-style-type: none"> <li>• 14 technical webinars;</li> <li>• 2 online awareness raising campaigns (Global Campaign to celebrate the International Day of Women and Girls in Science; and Global campaign to celebrate the 18th Session of the UN Permanent Forum on Indigenous Issues);</li> <li>• 3 side events at COP 14 of the CBD (Sharm El-Sheik, Egypt, November 2018).</li> </ul>	
Alejandro Lago	27	Para 128	<i>I understand this finding comes from an specific comment made by one country (Mongolia). The uneven distribution of time and efforts of the RTA or regional specialists to their countries in my opinion was a good and fair characteristic of the different situation of the countries under the project. I made a mission to Colombia and 10 to Honduras during the implementation of the project. I was equally available to both countries, but I dedicated more time and efforts with the one that was less independent and needed more support to settle the topic in the country. The comment from Mongolia sounds a bit strange to me as the RTA was fully available and actively providing support to them.</i>	<i>Edits were made to reflect that this complaint was for one country, and not a general complaint about the RTAs.</i>
Alejandro Lago	28	Para 136	<i>I have doubts that one comment coming from one specific country, independently of whether it is well founded or not, can serve for a horizontal recommendation</i>	<i>Edits have been provided by removal of the recommendation.</i>
Santiago Carrizosa	29	Para 31, 1 <sup>st</sup> bullet	<i>Please re-consider your statement. Please note that a partnership for the development of products for commercial purposes does not guarantee that there is going to be a commercial ABS agreement between users and providers of genetic resources. The project may have facilitated a partnership for the development of a product but this partnership may still need to develop and sign a commercial ABS agreement. Furthermore, a key stakeholder for the signing of the ABS commercial agreement is the government. And the government is usually not a party in the ABS partnership established for the development of products. This is why these two indicators were proposed for the project.</i>	<i>Agree with the comment. Text was deleted.</i>

## APPENDIX H - LIST OF ONLINE ACTIVITIES COVERED UNDER THE GLOBAL ABS COMMUNITY

### 2021

Organization, live streaming and communications of the following online events:

- [Webinar for the presentation of the pilot project to test blockchain technology and smart contracts on ABS](#) (24 June 2021).
- [Book Launch “Access to genetic resources and Benefit Sharing. Theory to Practice under the Nagoya Protocol”](#) (23 June 2021).
- [“National ABS labels and certification schemes”](#). Bilateral exchange of experiences between Costa Rica and India, supporting India in the finalization of its ABS certification scheme (24 May 2021).
- [Global ABS Project Final Workshop: Achievements, Challenges, and Opportunities. Making ABS Work for All](#) (10, 11 and 20 May 2021)
- [Webinar “Exchange of experiences on Biocultural Community Protocols in Ecuador and Mexico”](#) (Spanish) (5 May 2021).
- Closure event of the Global ABS Project in Honduras and Tribute to Marle Aguilar (27 April 2021).
- [Training on Negotiation of Access and Benefit Sharing agreements in Honduras](#) (9-12 February 2021).

### 3 Knowledge products:

- [Book “Access to genetic resources and Benefit Sharing. Theory to Practice under the Nagoya Protocol” \(June 2021\).](#)
- [Report on the design of a pilot project to test blockchain technology and smart contracts on ABS \(June 2021\).](#)
- [Guía Pedagógica para la construcción de los Protocolos Comunitarios en el Ecuador \(January 2021\)](#)

### Other collaborations:

1. Panelists in the virtual meeting for the cosmetic industry “Take action to build a business ecosystem ethical and sustainable” organized by Beauty Cluster and Provital (16 June 2021).
2. Collaboration with the Harvard Radcliffe Institute in the organization of the “South-to-South Collaboration for Therapeutics Innovation Biodiversity and Novel Therapeutics Accelerator Workshop” with the suggestion of panelists from countries and organizations involved in the project and with a presentation of the Global ABS Project (13-14 May 2021).
3. Panelists at the webinar on “Reflection on the co-chairs panel: Discussion on potential criteria for assessing DSI policy options” organized by the ABS Initiative (24 March 2021).
4. Panelist in the webinar [An End to Biopiracy? A Journalist’s Guide to Biodiversity Access and Benefit-Sharing](#), organized by Earth Journalism Network and dedicated to journalists that report on biodiversity (24 February 2021).

### 2020

Organization, live streaming and communications of the following online events:

- [“Global ABS Conference 2020: The ABS we ALL need”](#). Organization, in partnership with the Secretariat of the Convention on Biological Diversity, and in collaboration with the Governments of Japan and Jordan of this Conference that consisted in 7 sessions, from 29 October to 25 November 2020, to celebrate the 10th anniversary of the adoption of the Nagoya Protocol and prepare for the negotiations of the post-2020 Global Biodiversity Framework (in three languages: English, Spanish and French with 2 sessions with interpretation to Arabic and Russian).
- [“Custodians of Biodiversity”](#). On the occasion of the International Day of the World’s Indigenous Peoples, which is observed by the United Nations each August 9th, the UNDP-GEF Global ABS Project, in partnership with the Secretariat of the Convention on Biological Diversity, the Equator Initiative, the International Indigenous Forum on Biodiversity (IIFB), the Indigenous Women for Biodiversity Network of Latin America and the Small Grants Programme (SGP), hosted the Webinar Series “Custodians of Biodiversity”, 4 sessions from August 4th to August 7th 2020.

- [Closure event of the Global ABS Project in Dominican Republic](#), July 30, 2020.
- [Webinar on the support of traditional knowledge of Indigenous Peoples and local communities in the fight against COVID-19 in Ecuador](#). June 12, 2020.
- [Webinar on the Value of Volunteerism for ABS](#) (27 May 2020).
- [World Biodiversity Week in Ecuador](#), online sessions (May 2020).
- [Webinar on the central aspects of ABS and Nagoya Protocol: Their central role on research, scientific innovation and development](#) (Uruguay, 28 April 2020).
- [Webinars on the Global ABS Community in English](#), French, Spanish, Russian and Arabic (17, 18, 19 and 25 March 2020).
- [Closure of the project in Panama](#) (10 March 2020).
- [Webinar on IT tool for Monitoring Access and Benefit Sharing in India](#) (12 February 2020).

#### 5 Knowledge products:

- Online modules “Training of Trainers on Traditional Knowledge of Indigenous Peoples and Local Communities” (November 2020).
- [Methodological guidance for the design and implementation of Knowledge, Attitudes and Practices \(KAP\) surveys on ABS](#) (July 2020)
- [Mainstreaming Gender into ABS Value Chains Toolkit](#) (June 2020)
- [Systematization of the I International Symposium on the Conservation of Amphibians in Ecuador and sustainable use of their genetic resources](#) (Spanish) (February 2020)
- [Module on Gender and Biodiversity](#) (Spanish) (Ecuador, February 2020).

#### 6 Photo essays to spread the key developments of the project in the different countries:

- [“How to Grow Plants in the Desert of Jordan. A cooperative of women in the village of Al-Disi is leading the shift to safeguard local biodiversity and traditional knowledge in the Wadi Rum Valley.”](#) (10 November 2020)
- [“The Legacy of the Darkhads. The development of a Biocultural Community Protocol helped to raise awareness amongst community members of their valuable local biodiversity and associated traditional knowledge \(Mongolia\)”](#). (30 October 2020).
- [“Lyudmila, the Healer of Sanyuki. Traditional knowledge is much more than folklore. When protected, it sets the path to ensure the fair sustainable use of nature \(Belarus\).”](#) (English and Russian, 27 October 2020).
- [“Ozúa, el Tesoro Verde de la Cordillera Dominicana. Los pobladores de la provincia de Santiago Rodríguez recuperan una especie nativa que promete ser la llave del desarrollo de su bioeconomía.”](#) (Dominican Republic)” (Spanish, 1 October 2020).
- [“Los Emberá Ipetí, al Rescate de su Identidad. Este es el recorrido de una comunidad indígena, a orillas del lago Bayano, para preservar su biodiversidad y sus conocimientos tradicionales \(Panama\).”](#) (Spanish, 29 septiembre).
- [“Volunteering for Access and Benefit Sharing. Stories of a UNDP-UNV partnership towards the sustainable use of biodiversity in Latin America”](#) (English and Spanish, 15 May 2020).

#### 2019

Community of Practice on ABS implemented and operational at the national, regional and global levels since February 15th, 2019. The platform is hosted in the following url: <https://community.abs-sustainabledevelopment.net/>.

2 online awareness raising campaigns organized and implemented through the global cooperation framework of the Global ABS Community:

- [Global Campaign to celebrate the International Day of Women and Girls in Science;](#)
- [Global campaign to celebrate the 18th Session of the UN Permanent Forum on Indigenous Issues.](#)

Different technical assistances were conducted to fulfill ABS requirements at regional and global level:

- SCBD: 1 Global training on monitoring genetic resources under the Nagoya Protocol (Bonn, October 2019)
- BIOVERSITY: 1 regional training in Latin America for CGIAR centers (4 July 2019)

2 missions to support other national ABS projects:

- UNEP-GEF ABS National Project in Peru, presentation, facilitation of a regional seminar of the Andean Community and legal support in the revision of the draft ABS regulation (3-6 June 2019)
- IADB-GEF ABS National Project in Brazil, presentation during workshop (18-19 September 2019)

Organization of 5 regional activities and community of practice workshops:

- [Community of Practice workshop for the CIS region and other countries on the Nagoya Protocol on ABS](#) (Istanbul, 9-12 April 2019 (live streaming in Russian);
- [Regional workshop on Negotiation of ABS Contracts for Latin America and the Caribbean](#) (Punta Cana, Dominican Republic, 1-3 May 2019) (also live streaming)
- [II PanAfrican ABS Workshop “Doing sustainable business in Africa: tools and innovations for the valorization of genetic resources to unlock the potential of Africa’s bio-economy and accelerate the achievement of the sustainable development goals”](#) (Seychelles, 8-11 July 2019)

Organization and live streaming of 7 webinars on:

- [“Blockchain as an innovative tool to improve the implementation of the Nagoya Protocol and ABS”](#) (15 February 2019)
- [“Mainstreaming gender into ABS under the Nagoya Protocol”](#) (13 March 2019)
- [UNDP-GEF Global ABS Project Knowledge Café](#) (Panama, 1 May 2019)
- [“BioTrade and ABS”](#) (2 July 2019)
- [“Webinar on ABS & Digital Sequence Information \(DSI\)”](#) (25 Sept 2019)
- [“Volunteering for the SDGs: UNV’s support to the implementation of the UNDP-GEF Global ABS Project”](#) (UNV HQ, 1 Oct 2019)
- [“Biocultural Community Protocols in Latin America”](#) (29 Oct 2019)
- [Biocultural Community Protocols in Botswana and South Africa](#) (21 November 2019)

Co-organization with the government of Ecuador and live streaming of the side event [“Mechanisms for the protection of traditional knowledge associated to genetic resources in the context of the Nagoya Protocol”](#) at the 18th Session of the Permanent Forum on Indigenous Issues (UNPFII) (New York, 23 April 2019)

## 2018

Organization and live streaming of 3 side events at COP 14 of the CBD (Sharm El-Sheik, Egypt):

- [Presentation of the publication “ABS is genetic resources for sustainable development”](#) (17 November 2018)
- [Challenges and Opportunities for Research and Private Sector Investment under the Nagoya Protocol](#) (19 November 2018)
- [Mainstreaming Gender into ABS: A strategy to boost business performance and competitiveness](#) (21 November 2018)

11 technical assistances were conducted to fulfill ABS requirements at regional and global level:

- Support to UNDP-GEF ABS national project in Cook Islands (February – March 2018)
- Regional workshop on monitoring of genetic resources in Panama (June 2018)
- International trainings organized by the SCBD and IDLO (“Establishing legal frameworks to implement the Nagoya Protocol”). These legal trainings were supported by the UNDP-GEF Global ABS Project with facilitators and experts as well as participants from the countries of the project. The regional face-to-face workshops were as follows (A total of 118 participants from 70 countries joined the face-to-face workshops. An additional 22 candidates completed the e-learning modules and participated in the online welcome session but were unable to attend the face-to-face workshops):
  - a. Central Africa (French): Douala, Cameroon, 9-13 April 2018, with the support of the Central African Forests Commission (COMIFAC), UNDP and GIZ;
  - b. Asia (English): Da Nang, Viet Nam, 28 May-1 June 2018, with the support of the Government of Viet Nam and UNDP;
  - c. Latin America (Spanish): Santiago, Chile, 18-22 June 2018 with the support of the Economic Commission for Latin America and the Caribbean (ECLAC) and UNDP;

- d. Pacific islands (English): Nadi, Fiji, 23-27 July 2018, with the support of the Secretariat of the Pacific Regional Environment Programme (SPREP) and UNDP;
  - e. Eastern Europe and Central Asia (Russian and English): Minsk, 10-14 September 2018, with the support of the Government of Belarus and UNDP;
  - f. West Africa (French): Dakar, 17-21 September 2018, with the support of the ABS Capacity Development Initiative and UNDP.
- Regional Training Workshops related to national arrangements on traditional knowledge for achieving Aichi Biodiversity Target 18 and contributing to Aichi Biodiversity Target 16 of the Strategic Plan for Biodiversity 2011-2020 organized by the Secretariat of the CBD and supported by the UNDP-GEF Global ABS Project with facilitators and experts as well as participants from the countries of the project:
  - a. Latin America and the Caribbean (2 to 6 April 2018 - Tepoztlan, Mexico);
  - b. Asia (20 - 24 August 2018 – Kandy, Sri Lanka);
  - c. Africa (8 - 12 October 2018 – Marrakech, Morocco).
- 4 experience exchanges were conducted to promote the implementation of the Nagoya Protocol on ABS:
  - Facilitation of an exchange mission from Morocco (UNDP-GEF ABS national project) to South Africa (Global ABS)
  - Exchange of experiences on Biocultural Community Protocols and KAP procedures in Latin America (Panama, 16-18 May 2018)
  - [Pan African ABS Workshop in Rwanda](#) covering all key ABS topics ahead of COP14 in Egypt which benefited 9 country delegations from Africa with more than 60 participants
  - Community of Practice Workshop in Asia (22-25 October 2018), with 40 participants from 11 countries, organized by UNDP Bangkok Regional Hub and funded by the Ministry of Environment of the Republic of Korea.

## 2017

- Support to UNDP-GEF ABS National Project in Argentina with trainings and country mission (December 2017)
- Co-organization of a training for 9 countries with Bioversity and the International Treaty on Plant Genetic Resources for Food and Agriculture (Rome, Nov 2017)
- Support to BLUEandGREEN project in the Innovation Mentoring Event “Boosting scientific excellence and innovation capacity in biorefineries based on marine resources” (Matosinhos, 17 November 2017).
- Regional training on negotiation of ABS contracts for Latin America and the Caribbean (Panama, 31 July- 3 August 2017) with 32 participants from 8 countries.
- Inception Workshop for 18 countries of the Global ABS Project (27- 28 April 2017, Istanbul)
- Inception Workshop for Latin American and the Caribbean of the Global ABS Project (7 February 2017, Panama)

## APPENDIX I - EVALUATION CONSULTANT AGREEMENT FORM

### Evaluators:

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.

### Evaluation Consultant Agreement Form<sup>39</sup>

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

Name of Consultant: Roland Wong

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at Surrey, BC, Canada on 8 August 2021



<sup>39</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)