GEF-6 REQUEST FOR ONE-STEP MEDIUM-SIZED PROJECT APPROVAL

TYPE OF TRUST FUND: GEF TRUST FUND

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PART I: PROJECT IDENTIFICATION

Project Title:	Support to Preparation of the Interim National Report on the Implementation of the Nagoya Protocol[1]		
Country(ies):	Antigua & Barbuda, Albania, Belarus, Benin, Bhutan, Bolivia (Plurinational State of), Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Comoros, Congo, Côte d'Ivoire, Cuba, Democratic Republic of the Congo, Djibouti, Dominican Republic, Egypt, Ethiopia, Fiji, Gabon, Gambia (the), Guatemala, Guinea, Guinea-Bissau, Guyana, India, Kazakhstan, Kenya, Kyrgyzstan, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Mali, Marshall Islands, Mauritania, Mauritius, Mexico, Micronesia (Federated States of), Mongolia, Mozambique, Myanmar, Namibia, Niger, Pakistan, Philippines, Republic of Moldova, Rwanda, Sao Tome & Principe, Samoa, Senegal, Seychelles, Sierra Leone, South Africa, Sudan, Swaziland, Tajikistan, Togo, Uganda, Vanuatu, Viet Nam, Zambia [65 Eligible Parties]	GEF Project ID:[2]	9866
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01562
Other Executing Partner(s):	National Executing Agencies	Re-Submission Date:	August 3, 2017
GEF Focal Area(s):	Biodiversity	Project Duration (Months)	12 months
Integrated Approach Pilot	IAP-Cities ☐ IAP-Commodities ☐ IAP-Food Security ☐		
Name of Parent Program:		Agency Fee ($)	135,850

A. FOCAL AREA STRATEGY FRAMEWORK AND PROGRAM[3]:

Focal Area Objectives/programs	Focal Area Outcomes	Trust Fund	(in $)	
			GEF Project Financing	Co-financing
BD-EA	Reports prepared to meet obligations of Article 29 of the Nagoya Protocol	GEFTF	1,430,000	1,111,321
	Total project costs		1,430,000	1,111,321

B. PROJECT FRAMEWORK

Project Objective: To Assist GEF-Eligible Parties to the Nagoya Protocol on Access and Benefit Sharing to prepare and make timely submission of their Interim National Reports on measures that each party has taken to implement the Protocol in line with Article 29

Project Components/ Programs	Financing Type[4]	Project Outcomes	Project Outputs	Trust Fund	(in $)	
					GEF Project Financing	Confirmed Co-financing
Development of the interim national reports	TA	National Competent Authorities and designated	65 Interim national reports on the measures	GEFTF	1,300,000	1,111,321

[1] In line with COP Decision XIII/21 para 38

[2] Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

[3] When completing Table A, refer to the excerpts on *GEF 6 Results Frameworks for GETF, LDCF and SCCF*.

[4] Financing type can be either investment or technical assistance.

		institutions collectively prepare, endorse and submit the Interim National Reports to the ABSCH	that each Party has taken to implement the Nagoya Protocol Multi-stakeholder process developed for National Reporting on ABS			
				Subtotal	1,300,000	1,111,321
				Project Management Cost (PMC)[5]	GEFTF	130,000	0
				Total GEF Project Financing		1,430,000	1,131,321

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: (N/A)

C. SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include confirmed co-financing letters for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount ($)
Recipient Government	National Executing Agencies	In-kind/Cash	1,111,321
Total Co-financing			1,111,321

D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES), FOCAL AREA AND PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in $)		
					GEF Project Financing (a)	Agency Fee a) (b)	Total (c)=a+b
UNEP	GEF TF	Global	Biodiversity		1,430,000	135,850	1,565,850
Total Grant Resources					1,430,000	135,850	1,565,850

a) Refer to the Fee Policy for GEF Partner Agencies.

E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS[6]

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	*Number of Countries: 65*
	Functional environmental information systems are established to support decision-making in at least 10 countries	*Number of Countries: 65*

F. DOES THE PROJECT INCLUDE A "NON-GRANT" INSTRUMENT?

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF Trust Fund) in Annex B.

[5] For GEF Project Financing up to $2 million, PMC could be up to10% of the subtotal; above $2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

[6] Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the *GEF-6 Programming Directions*, will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and/or SCCF.

N/A

G. PROJECT PREPARATION GRANT (PPG)[7]

Is Project Preparation Grant requested? Yes ☐ No ☒ If no, skip item G.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS*

GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in $)		
					PPG (a)	Agency Fee[8] (b)	Total c = a + b
Total PPG Amount							

PART II: PROJECT JUSTIFICATION

1. *Project Description.* Briefly describe: a) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; b) the baseline scenario or any associated baseline projects, c) the proposed alternative scenario, GEF focal area[9] strategies, with a brief description of expected outcomes and components of the project, d) incremental/ additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF/SCCF and co-financing; e) global environmental benefits (GEFTF), and adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

This project is consistent with the GEF 6 Biodiversity focal area strategy under the Focal Area Set Aside support to National Reporting obligations under the Nagoya Protocol on Access and Benefit Sharing. The requested enabling activity support could be provided for revising National Biodiversity Strategies and Action Plans (NBSAPs) in line with the CBD's new strategic plan adopted at COP-10 and the BS Strategy 2011 - 2020, national reporting guidance as provided under COP/MOP 1 **Decision NP-1/3** with support from the Focal Area Set Aside funds. It is also consistent and contributes to Aichi Biodiversity Target 16.

The proposal is made in line with COP Decision XIII/21 para 38 which "the Global Environment Facility to provide support to eligible Parties for interim national reports under the Nagoya Protocol".

In the context of Article 29 on monitoring and reporting, the **first meeting of the COP-MOP** adopted guidelines and a format for submission of an interim national report on the implementation of the Nagoya Protocol (decision NP-1/3).

Parties were requested to submit an Interim National Report (INR) on the implementation of their obligations under the Nagoya Protocol, in an official language of the United Nations, through the ABS Clearing-House twelve months prior to the third meeting of the COP-MOP. The submission of relevant information by non-Parties was also welcomed.

The Executive Secretary was requested to consolidate the information contained in the interim national reports and information published in the ABS Clearing-House for the consideration of the third meeting of the COP-MOP, as a contribution to the assessment and review of the effectiveness of the Protocol (Article 31).

The national reports will be useful tools for both Parties and non-Parties to assess the level of implementation of the Nagoya Protocol, as well as gaps and needs in terms of capacity, and will assist the COP-MOP in reviewing, on a regular basis, the implementation of the Nagoya Protocol and to make, within its mandate, the decisions necessary to promote its effective implementation in accordance with Article 26, paragraph 4.

Information submitted through the interim national report can also serve to share experiences, challenges and solutions among countries in relation to the implementation of the Nagoya Protocol. In this regard, the interim national report can be a valuable tool for building and developing capacity to implement the Protocol and for designing capacity-building activities more effectively. It will provide an opportunity to identify good practices and constraints in implementation of the Nagoya Protocol.

The main objective of this project is to assist GEF-Eligible Parties to the Nagoya Protocol on Access and Benefit Sharing to prepare and make timely submission of their Interim National Reports on measures that each Party has taken to implement the Protocol in line with Article 29.

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[7] PPG of up to $50,000 is reimbursable to the country upon approval of the MSP.

[8] PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

[9] For biodiversity projects, in addition to explaining the project's consistency with the biodiversity focal area strategy, objectives and programs, please also describe which Aichi Target(s) the project will directly contribute to achieving.

Parties were requested at COP/MOP 1 in line with its monitoring and reporting obligations under Article 29 of the Nagoya Protocol in **Decision NP-1/3**, to submit an interim national report on the implementation of their obligations under the Nagoya Protocol:

(a) In an official language of the United Nations;
(b) Through the Access and Benefit Sharing Clearing House (ABSCH);
(c)Twelve months prior to the third meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol.

The decision also welcomed submissions of relevant information by non-Parties to the Protocol.

At its first meeting, the COP-MOP considered and adopted a reporting format for the interim national report on implementation of the Nagoya Protocol. The reporting format outlines a schedule and the process for the preparation and synthesis of the reports for consideration at the third COP-MOP meeting (see Annex 1 under Decision NP-1/3 https://www.cbd.int/decision/np-mop/default.shtml?id=13403).

Countries should submit the report in an official language of the United Nations and should use the online version of the format at the following address: https://absch.cbd.int/en/register/NR/new, unless technically not feasible, while ensuring that the national information on the ABS Clearing-House is up-to-date. More information on how to submit the interim national report through the ABS Clearing-House is available in a step-by step guide available at: http://www.cbd.int/abs/doc/guides/NR.pdf. A stepwise guide on how to access information on the ABSCH can be found at https://www.cbd.int/abs/doc/guides/UserManagement.pdf

If it is not technically feasible, Parties may resort to offline submissions to the ABS Clearing-House. Offline submissions should use the form, as provided for download on the ABS Clearing-House in MS Word format:(en | fr | es | ru | ar | zh). The report should be sent via email to the Secretariat (secretariat@cbd.int), with a scanned copy of the last page signed by the ABS Clearing-House publishing authority.

The Interim National Report is to be submitted to the Secretariat, no later than **1st November 2017**, in an official language of the United Nations through the ABS-CH. Parties are encouraged to respond to all questions in the reporting form. Complete information is required for the establishment of baseline data for the subsequent assessment and review processes of the Protocol as required for Article 31 with guidance in decision NP-2/4 as well as elements to support the evaluation of the Strategic Framework on Capacity Building (See Decision NP-2/8)

In compiling the national reports, a three step approach is proposed as follows

i. Downloading of offline reporting template in any of the six UN languages to gather data and organize information.
ii. Preparation of national reports through a consultative process involving all relevant stakeholders as appropriate.
iii. Filling of the online form and submission by the ABS National Focal Points through the ABSCH (https://absch.cbd.int/search/nationalRecords?schema=absNationalReport).

UNEP will continue to use other project based coordination meetings and institutional meetings including the United Nations Environment Assembly to share experiences gained in preparation of the Interim National Reports in line with Party obligations on implementation of the Nagoya Protocol on Access and Benefit Sharing. Based on the lessons learned, UNEP will also contribute to the analysis to be undertaken under the First Assessment and Review of the Implementation of the Nagoya Protocol on Access and Benefit Sharing.

Once the reports have been uploaded to the Access and Benefit Sharing Clearing House (ABSCH), the results will be analysed by the Secretariat of the Convention on Biological Diversity as required by Article 31 on "Assessment and Review". The global assessment of the national reports will provide a simultaneous and comparable snapshot of how countries are implementing the Nagoya protocol. It will also provide and give guidance on potential areas for capacity building interventions which can be used to support the implementation of the **Strategic Framework for Capacity-building and Development to Support the Effective implementation of the Nagoya Protocol**. The guidance will also assist parties in developing decisions on implementation of the Nagoya Protocol including guidance to the Financial and Compliance Mechanism. This project is an intervention in alignment with the GEF's mandate to generate global benefits by paying for the incremental costs of planning and foundational enabling activities that countries implement to generate global biodiversity benefits. The contents of the Interim National Report will greatly assist the ABS Protocol and the countries plan for their ABS related actions, including but not limited to planning to develop policy, legal and administrative measures, and could even generate future projects as a result.

In order to assist the Parties to meet their obligation under the Protocol in a timely and effective manner, the GEF funding support provided through UNEP will assist the eligible Parties to prepare their Interim National Report to the Nagoya Protocol. The reporting requirement is guided by COP 13 decision XIII/21 para 38. Parties as per COP/MOP decision NP-1 are provided guidance on preparation of the report as follows

"When preparing the report, it is recommended that countries involve all relevant stakeholders in order to ensure a participatory and transparent approach to its development. In addition, countries are:

- Encouraged to include information in their interim national reports on difficulties and challenges related to implementation of the Protocol in line with decision NP 2/3, paragraph 4;
- Invited to pay particular attention to providing information on the implementation of the provisions of the Protocol related to traditional knowledge associated with genetic resources held by indigenous peoples and local communities, with the full and effective participation of indigenous peoples and local communities, when preparing and submitting their interim national reports, in line with decision NP-2/10, paragraph 3; and
- Invited to submit information on their experiences related to the mobilization of resources in support of the implementation of the Protocol, as well as on the status of funds mobilized in line with decision NP-1/7, paragraph 8.

Information submitted through the interim national report, as well as through the ABS Clearing-House, will be taken into account by the Executive Secretary in the preparation of documentation for consideration by the Compliance Committee, the second meeting of the Subsidiary Body on Implementation, and the third meeting of the COP-MOP.".

A step by step instructional guidance on how to prepare the Interim National Report has been provided on the ABS Clearing House for all parties by the Secretariat of the Convention on Biological Diversity (see https://www.cbd.int/abs/doc/guides/nr.pdf).

The approach utilized in preparation and submission of the second and third national reports to the Cartagena Protocol on Biosafety will provide key lessons learnt and best practices to guide the preparation of the Interim National Reports to the Nagoya Protocol on Access and Benefit Sharing.

The proposed Global Medium Sized Project will be used to group several eligible parties requesting for enabling activity support from the Focal Area Set Aside funds to assist the 62 GEF Eligible Parties to meet the obligations of article 29, these parties will be grouped on the basis of operational efficiency to enable UNEP provide rapid and efficient support to the Parties. The expected results, key deliverables and bench marks are captured in Appendices 4 – 6.

The main criteria for taking part in the project are
i. Being eligible as a Party to access GEF funding support;
ii. Submission of a letter of endorsement indicating interest in the proposed project concept.

A sample letter of endorsement is attached as Appendix 8.

2. Child Project? If this is a child project under a program, describe how the components contribute to the overall program impact.

N/A

3 Stakeholders. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes ☒ /no

☐) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:

The project will build on the experience that countries have already gained, to effectively secure the involvement of national authorities, non-governmental organizations, private sector and research institutions and Indigenous and local communities through the ongoing GEF projects on Access and Benefit Sharing. The project will be carried out through data collection, consultative workshops and interactive meetings at the national level. The various governmental departments serving as competent authorities will be consulted so as to establish the baseline information necessary in completing the National Report.

Possible stakeholders, depending on in country dynamics may include the following:

Potential Stakeholders	**Expected Roles**
Government Ministries/Departments and Agencies [eg. Environment, Science and Technology, Health, Agriculture, Finance, Trade]	Development and implementation of legal, administrative and policy and regulatory frameworks including monitoring and compliance with Protocol related matters
Academia [Universities and Research Institutions]	ABS research and training including laboratory analytical functions to support research and product development

	institutions
Civil Society Groups	Consumer related issues and public engagement
Standards Institutions	Development of standards to facilitate work of regulatory and development agencies
Indigenous Peoples and Local Communities	Provide information on traditional knowledge and existing practices on access and benefit sharing
Private Sector	Provide information on utilization of Biological resources including Mutual Agreement Terms, Benefit sharing mechanisms and best practices from other sectors

4. *Gender Equality and Women's Empowerment.* Are gender equality and women's empowerment taken into account (yes ☒ /no☐)? If yes, briefly describe how it will be mainstreamed into project implementation and monitoring, taken into account the differences, needs, roles and priorities of men and women.

Even though the proposed project is a normative task required to be executed by all Parties to the Nagoya Protocol, efforts will be put in place to ensure representation of women and men in the consultative process and also gender specific data will be collected and desegregated even though the reporting formats does not require as this will guide national design and implementation of gender specific tasks to support implementation of the Protocol especially in the execution of Article 21 of the Protocol on Awareness raising.

The gender considerations will also be mainstreamed in the reporting process guided by Decision NP-1/9 paras 4-5, the guidance provided by the SCBD, the Awareness strategy with priority activities onspecific guidance on evolving toolkits and actions for target groups. The information captured will also be useful as per Decision NP-2/9 which requires the Executive Secretary to provide an update on the status of implementation of the Awareness strategy to COP/MOP 3.

5. *Benefits.* Describe the socioeconomic benefits to be delivered by the project at the national and local levels. Do any of these benefits support the achievement of global environment benefits (GEF Trust Fund) and/or adaptation to climate change?

The format of the Interim National Report prompts parties to provide information on Special Considerations as required by Article 8 on Access and Benefit sharing under the Nagoya Protocol. In addition, Article 6 also captures measures to be put in place for Access to Genetic Resources. This outlines the roles of indigenous people and local communities and traditional knowledge as key issues that will ensure socio economic benefits to parties and will support the achievement of global environment benefits guided by the principle of sustainability utilization of genetic resources (Article 9) and mutual benefit to parties per Mutually Agreed Terms. This provides an opening for Parties to identify issues for consideration in the legal, administrative and policy measures to facilitate decision making on Access and Benefit Sharing in follow up or ongoing capacity building activities.

6. *Risks.* Indicate risks, including climate change, potential social and environmental future risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks:

Identified Risks	**Rating**	**Mitigation Measure**
Lack of political will on ABS related issues	High	Political interest will be sustained through development of consultative meetings which emphasis the national imperatives of meeting treaty obligations and the expected outputs to drive the national ABS agenda
Lack data and/or non -implementation of some obligations of the Protocol	Medium	Stakeholders will be carefully identified and encouraged to provide all the ABS related data for follow up analysis to capture those of relevance to the Nagoya protocol, emphasis will also be given to data generators that indicating where no data exists or exists is a compliance issue and must therefore be addressed
Inability to address all the questions in the format or limited access to the internet	Medium	Relevant parties will be provided technical advisory support in collaboration with the SCBD in interpreting the articles of the

		Protocol including guidance on compliance to reporting

The critical drivers to facilitate achievement of the expected outcome include the following:

i. The necessary political will is harnessed to support the preparation of the interim national report
ii. Stakeholders will show interest or have vested interest in ABS and would maintain their engagement with the issues;
iii. Increased capacity and improved understanding of ABS issues from the data captured during the preparation of the ABS Interim national report may lead to (a) adoption of appropriate national legal, administrative and policy measures and (b) effective engagement in the development implementation of ABS frameworks through ongoing or new capacity building interventions to support the implementation of the Protocol.

Should these drivers be misplaced, or their validity change over the course of the project, this could have an impact on how the objectives will be achieved. The purpose of the assistance is to help countries effectively meet the requirements of Article 29. **Reporting is an obligation under the Protocol and the countries must submit the reports so as to ensure compliance with the Protocol.**

7. Cost Effectiveness. Explain how cost-effectiveness is reflected in the project design:

In the absence of GEF funds: As already emphasized, reporting is a party obligation under Article 29 of the Protocol. Guided by the "no reservation" clause in article 34, it is mandatory for the reporting to be done. From the analysis of the previous national biosafety reports, If GEF funds are not provided, countries would "self-finance" the preparation of their National Reports. There is however no precedence since this is the first report of the Nagoya Prtocol. However past experience has shown from the analysis of the Biosafety National Reports (http://bch.cbd.int/protocol/cpb_natreports.shtml) that this method would be the least effective. The need for both financial and **technical assistance** is clearly highlighted in the analysis. The technical assistance function shall be handled by the Secretariat of the Convention on Biological Diversity[10]. As happened in the biosafety reporting cycle, the level of compliance were extremely low for the interim and first national report as these were prepared without GEF Support. Some parties did not submit their reports at all, while in other cases countries submtted very late rendering the data unuseable for the the Assessment and Review processes.

Without the GEF Funding support, some of the parties may not be able to generate the required data and stakeholder inputs and the resultant baseline data might not be representative and of good quality for the required follow up analysis as per article 31.

With GEF funding support: Financing this project through an expedited Medium Sized Project (MSP) is seen as the most cost effective approach as the GEF financing support coupled with UNEP's technical advisory support to the Parties will ensure that the Nagoya Protocol will receive more reports of a higher quality which will provide the needed data for analysis required in meeting the requirements of articles 29, 31 and also provide a relevant data for the First Assessment and Review of the Implementation of the Nagoya Protocol. The reports will also provide a reliable data for the implementation of the Nagoya Protocol in particular its decision-making processes and supportive mechanisms of the COP-MOP processes. Without a significant number of national reports, the SCBD as mandated will not be able to have a good baseline for the assessment and review process under article 31 which is needed by the Subsidiary Body on Implementation and will also help the COP/MOP3 provide adequate guidance in line with Article 31 for recommendations and an updated action for implementation of the Protocol at various levels.

Fully Incremental: Enabling Activity funding is full cost funding provided by the GEF, i.e. fully incremental, and is therefore exempted from mandatory co-financing. Still, this project will demonstrate the ability to leverage co-financing at country level through in kind contributions from the countries as reflected in Appendix 2.

8. Coordination. Outline the coordination with other relevant GEF-financed projects and other initiatives [not mentioned in 1]:

The UNEP GEF Projects on Access and Benefit Sharing were designed to assist countries to develop and implement their legal, policy and administrative measures and also build capacity for specific ABS issues so that they can comply with the Nagoya. Building on the success of these initiatives, countries that have developed and implemented such frameworks can now use these instruments as the information feedstock, data on the national nodes of the ABSCH and the Virtual Library of the ABSCH as a baseline to review and capture data required for the development of the Interim National Reports.

The project will build synergies and will also gain information and data as presented on the ABS-Clearing House from ongoing ABS initiatives under the several organisations including the UNEP-GEF ABS projects in Africa, the Caribbean and COMIFAC,

[10] See page 1 of the step by step guideline on preparation of the Interim National Report -https://www.cbd.int/abs/doc/guides/nr.pdf

International Development Organisation, IUCN, UNCTAD, the GIZ ABS initiative in Africa and Asia and the International Treaty on Plant Genetic Resources for Food and Agriculture among others and as listed on the ABSCH (https://absch.cbd.int/search/referenceRecords?schema=capacityBuildingInitiative)

The proposed project intervention is also related to preparation of National Biodiversity Reports and the National Biodiversity Strategy and Action Plans (NBSAPs) and the ongoing activities to mainstream Access and Benefit Sharing into the NBSAPs through the fundamental objective of conservation and sustainable use of biodiversity and also by the fact that the Nagoya Protocol is a subsidiary instrument to the Convention on Biological Diversity. The NBSAPs also give strategies and actions on all biodiversity related issues including ABS. The Interim National ABS Reporting therefore provides the needed data required in updating or revising the NBSAPs in areas related to the Access and Benefit Sharing as per the objective and scope of the Nagoya Protocol (see http://www.cbd.int/nbsap/).

9. Institutional Arrangement. Describe the institutional arrangement for project implementation:

A. INSTITUTIONAL ARRANGEMENT:

For project execution, the following entities will be involved;

(a) the Eligible parties

(b) UNEP's Ecosystems Division through its GEF Biodiversity Unit will provide liaison and coordination support function on Protocol related matters in collaboration with the SCBD.

(c) Secretariat of the Convention on Biological Diversity will provide technical assistance to parties on Convention related matters

Project Management Unit

UNEP's Ecosystems Division through its GEF Biodiversity Unit will be responsible for the implementation of the Project and take up the GEF supervisory role. The Unit The Unit will -

- Review project progress with respect to objectives, strategies and work-plans;
- Liaise with any other relevant bodies for the benefit of the project;
- Advise on how best to mobilize further resources; and
- Monitor and ensure the timely and adequate flow of funds.

Eligible Parties

Eligible parties are the parties that have ratified the Nagoya Protocol on Access and Benefit Sharing and are eligible to receive GEF support. As already emphasized all parties have an obligation under Article 29 of the Nagoya Protocol to submit their National Reports to the ABSCH highlighting progress made in implementation of the Protocol. Parties are to submit the reports in the required format and by the **1st November 2017.** Parties are to hold national consultative meetings with the relevant stakeholders so as to gather the necessary information for the report.

B. PROJECT IMPLEMENTATION ARRANGEMENT:

UNEP-GEF BIODIVERSITY UNIT

UNEP/GEF Biodiversity Unit in the Ecosystems Division will be responsible for the implementation of the project and will ensure that the Competent National Authorities (National Executing Agencies) implement the project in accordance with the objectives and activities outlined above. It will ensure consistency with GEF and UNEP policies and procedures, and will provide guidance on linkages with other related UNEP and GEF-funded activities as and when needed. UNEP has been closely involved in the implementation of the two Subsidiary Protocols on Access and Benefit Sharing and Biosafety. It supported the negotiation and entry into force of the two Protocols. UNEP provides secretarial support to three major biodiversity-related Multilateral Environmental Agreements: the CBD, CITES and CMS. UNEP has also provided support for capacity building activities related to the Convention on Biological Diversity. It has assisted more than 60 countries to prepare Biodiversity Country Studies and National Biodiversity Strategies and Action Plans. UNEP continues to assist countries to adopt environmental regulations and legislations. UNEP has been recognized for its neutrality in the face of a regulatory and development related issues (biotechnology /biosafety /ABS) and is regularly requested to provide direct technical assistance and facilitate multi-stakeholder involvement both in ABS and Biosafety. Over the past decade, UNEP has assisted more than 130 countries to develop National Biosafety Frameworks and to build national BCH capacity, as well as working with over 60 countries on national level implementation of these NBFs. The Unit is also assisting and developing a strong portfolio in Access and Benefit Sharing guided by the lessons learnt and best practices in leading the implementation of the GEF Biosafety Portfolio.

10. Knowledge Management. Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

The national reports will be uploaded in the ABS Clearing House, which is a hub for knowledge management, allowing all Parties access to the final reports. In addition, the Parties will have access to the analytical tool to be created, the report analyzer to assist in analysis of the reports. This will allow parties to review national reports and analyse trends article per article on global, regional or national levels. In addition, a composite analytical report will also be prepared by the SCBD and made available at the end of the reporting cycle citing trends and best practices to guide implementation of the Nagoya Protocol on Access and Benefit Sharing.

UNEP has an existing platform through the library of its project management database ANUBIS (A New UNEP Biosafety Information System) for the Biosafety and ABS projects and related initiatives to learn from each other, share experience and expertise and also tools and methodologies to support Decision making. ANUBIS also allows the projects to assess project outputs and reports in a user-friendly form. This forum will be used to share experiences on national efforts in implementing the Protocol in relation to findings from the interim national reports. Existing mechanisms and training will be offered for the project to assess and share information on the through the ABS Clearing House in line with obligations of Article 14 of the Nagoya Protocol on Access and Benefit Sharing.

11. Consistency with National Priorities. Is the project consistent with the National strategies and plans or reports and assessements under relevant conventions? (yes ☒ /no☐). If yes, which ones and how: NAPAs, NAPs, NBSAPs, ASGM NAPs, MIAs, NCs, TNAs, NCSA, NIPs, PRSPs, NPFE, BURs, etc.

All the 62 participating countries have ratified the Nagoya Protocol and are therefore obligated as per the "no reservation" provision in article 34 to implement every obligation under the Nagoya Protocol on Access and Benefit Sharing. The implementation of article 29 focuses on monitoring and reporting of measures put in place to facilitate the implementation of the Nagoya Protocol. In addition, the implementation of the obligations is guided by Decisions of the Conference of Parties Serving as the Meeting of the Parties (COP-MOP) and in that context this particular obligation relates to NP-1/3 at COP/MOP 1 and other related obligations on national reporting. The Interim National Access and Benefit Sharing Reporting process will also provide data to facilitate the first Assessment and review of the implementation of the Nagoya Protocol on Access and Benefit Sharing as required by article 34 of the Protocol.

These periodic assessments give data to facilitate development of action plans for implementation of the Protocol. The National ABS Reporting is of direct relevance to the development and implementation of the legal, administrative, policy and other measures as per the obligation of Article 5 and related articles. Measures so far undertaken by parties are captured under the ABS Clearing House. In addition, the ABS National Reports are of direct relevance to the review and update of the NBSAPs which provides an overarching policy direction to the implementation of the two Subsidiary Protocols to the Convention on Biological Diversity. The data obtained will also be useful in the ongoing efforts to review and mainstream ABS obligations into the National Biodiversity and Action Plans as per Decisions NP-1/6 para 12.

The beneficiary countries have also committed to Agenda 2030 and the Sustainable Development Goals, which include specific targets and indicators that are closely associated with access and benefit sharing objectives. These include Goal 2. End hunger, achieve food security and improved nutrition and promote sustainable agriculture, target 2.5 By 2020, maintain the genetic diversity of seeds, cultivated plants and farmed and domesticated animals and their related wild species, including through soundly managed and diversified seed and plant banks at the national, regional and international levels, and promote access to and fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge, as internationally agreed and Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss, target 15.6 Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed.

12. M & E Plan. Describe the budgeted monitoring and evaluation plan.

The project will follow United Nations Environment Programme (UNEP) and Global Environment Facility (GEF) minimum requirements for project monitoring, reporting, evaluation processes and procedures. Substantive and financial project reporting requirements are an integral part of the UNEP legal instrument, the Small Scale Funding Agreement (SSFA) that will be signed by the National Executing Agencies and UNEP. In addition, an Evaluation) process will include an end of Party Reporting t assessment by

the SCBD in line with Article 31 of the Nagoya Protocol on **"Assessment and Review"** as follows "*The Conference of the Parties serving as the meeting of the Parties to this Protocol shall undertake, four years after the entry into force of this Protocol and thereafter at intervals determined by the Conference of the Parties serving as the meeting of the Parties to this Protocol, an evaluation of the effectiveness of this Protocol*". The Interim National Reports prepared through the project is used as the main base line data for the assessment report to prepared for the next COP/MOP.

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. Record of Endorsement[11] of GEF Operational Focal Point (S) on Behalf of the Government(S): (Please attach the *Operational Focal Point endorsement letter(s)* with this template. For SGP, use this SGP OFP endorsement letter).

NAME	PARTY	POSITION	MINISTRY	DATE *(MM/dd/yyyy)*
1. Antoinette Macumi	Burundi	GEF OFP & Minister Advisor	MINISTRY OF WATER, ENVIRONMENT, LAND MANAGEMENT AND URBAN PLANNING	**03/15/2017**
2. Germain Kombo	Republic of Congo	The Director General Direction of Environment	MINISTRY OF ENVIRONMENT, FORESTRY ECONOMY AND SUSTAINBLE DEVELOPMENT	**03/15/2017**
3. Patricia Abreu Fernandez	Dominican Republic	GEF OFP & Deputy Minister of Cooperation and International Affairs	MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES	**03/15/2017**
4. Anyaa Vohiri	Liberia	GEF OFP Executive Director/CEO	ENVIRONMENTAL PROTECTION AGENCY	**03/16/2017**
5. Shamiso Najira	Malawi	GEF OFP	ENVIRONMENTAL AFFAIRS DEPARTMENT	**03/09/2017**
6. Mohamed Yahya Lafdal	Mauritania	GEF OFP	MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT	**03/09/2017**
7. Teofilus Nghitila	Namibia	GEF OFP	MINISTRY OF ENVIRONMENT AND TOURISM	**03/10/2017**
8. Syed Abu Ahmad Akif	Pakistan	Secretary & GEF OFP	MINISTRY OF CLIMATE CHANGE	**03/16/2017**
9. Atty. Analiza Rebuelta – The	Philippines	Under Secretary – Chief of Staff & GEF OFP	DEPARTMENT OF ENVIRONMENT & NATURAL RESOURCES	**03/10/2017**
10. Eng. Coletha U. Ruhamya	Rwanda	Director General	RWANDA ENVIRONMENT MANAGEMENT AUTHORITY	**03/14/2017**
11. Wills Agricole	Seychelles	GEF OFP	MINISTRY OF ENVIRONMENT, ENERGY AND CLIMATE CHANGE	**03/13/2017**
12. Hana Hamadalla Mohamed	Sudan	General Director of Environmental Affairs/GEF OFP	MINISTRY OF ENVIRONMENT, NATURAL RESOURCES AND PHYSICAL DEVELOPMENT	**03/15/2017**
13. Isaac G. Dladla	Swaziland	GEF OFP	SWAZILAND ENVIRONMENT AUTHORITY	**03/08/2017**
14. Khayrullo Ibodzoda	Tajikistan	GEF Political Focal Point/GEF OFP & Chairman, Committee of Environment Protection	NATIONAL BIODIVERSITY AND BIOSAFETY CENTER	**03/09/2017**

[11] For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

15. Abdouchakour Mohamed	Comoros	GEF Assistant OFP	**DIRECTION GENERAL, MINISTRY OF AGRICULTURE, FISHERIES, ENVIRONMENT, TERRITORIAL AND URBAN MANAGEMENT**	**03/15/2017**
16. Leonard Muamba Kanda	Democratic Republic of Congo	Secretary General & GEF OFP	**SECRETARIAT GENERAL OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT, MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT**	**03/15/2017**
17. Pellumb Abeshi	Albania	General Director of Environmental Policies & GEF OFP	**MINISTRY OF ENVIRONMENT**	**03/17/2017**
18. Louis Leandre Ebobola Tsibah	Gabon	GEF OFP/Director General of Environment and Protection of Nature	**GENERAL DIRECTION OF ENVIRONMENT AND PROTECTION OF NATURE**	**03/17/2017**
19. Sydney Alexander Samuels Milson	Guatemala	GEF OFP/Minister	**MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES**	**03/23/2017**
20. Rajani Ranjan Rashmi	India	Special Secretary & GEF OFP	**MINISTRY OF ENVIRONMENT, FOREST AND CLIMATE CHANGE**	**03/22/2017**
21. I. V. Malkina	Belarus	First Deputy Minister/GEF PFP & OFP	**MINISTRY OF NATURAL RESOURCES AND ENVIRONMENTAL PROTECTION**	**03/22/2017**
22. Pamoussa Ouedraogo	Burkina Faso	Technical Coordinator of Programs/GEF OFP	**MINISTRY OF ENVIRONMENT, GREEN ECONOMY AND CLIMATE CHANGE**	**04/06/2017**
23. Dini Abdallah Omar	Djibouti	Secretary General/GEF OFP	**MINISTRY OF HABITAT AND TOWN PLANNING & ENVIRONMENT**	**03/22/2017**
24. Abdykalyk Rustamov	Kyrgyz Republic	Director/GEF OFP	**THE STATE AGENCY OF ENVIRONMENTAL PROTECTION AND FORESTRY**	**03/24/2017**
25. Khampadith Khammouhheuang	Lao People's Democratic Republic	GEF OFP	**MINISTRY OF NATURAL RESOURCES AND ENVIRONMENT**	**03/21/2017**
26. Christine Edmee RALALAHARISOA	Madagascar	Director General of Environment/GEF OFP	**MINISTRY OF ENVIRONMENT, ECOLOGY AND FORESTS**	**03/17/2017**
27. Raul Delgado Aranda	Mexico	Deputy General Director	**MINISTRY OF FINANCE AND PUBLIC CREDIT**	**03/29/2017**
28. Seydou Yaye	Niger	GEF OFP	**MINISTRY OF PLANNING AND TERRITORIAL DEVELOPMENT**	**03/21/2017**
29. Mariline Diara	Senegal	GEF OFP	**MINISTRY OF ENVIRONMENT & SUSTAINABLE DEVELOPMENT**	**03/23/2017**
30. Folly Yao Djiwonu	Togo	GEF OFP	**MINISTRY OF ENVIRONMENT & FOREST RESOURCES**	**03/29/2017**

31. Do Nam Thang	Vietnam	Deputy Director General/ GEF OFP	**MINISTRY OF NATURAL RESOURCES & ENVIRONMENT**	**03/27/2017**
32. Nanchou Ngoko Justin	Cameroon	GEF OFP	**MINISTRY OF ENVIRONMENT, PROTECTION OF NATURE AND SUSTAINABLE DEVELOPMENT**	**04/07/2017**
33. Kemraj Pasram	Guyana	Ag. Executive Director/GEF OFP	**ENVIRONMENTAL PROTECTION AGENCY**	**04/05/2017**
34. Khulekani Mpofu	Botswana	Chief Natural Resources Officer/GEF OFP	**DEPARTMENT OF ENVIRONMENTAL AFFAIRS, MINISTRY OF ENVIRONMENT, NATURAL RESOURCES CONSERVATION AND TOURISM**	**04/11/2017**
35. Zaheer Fakir	South Africa	GEF OFP	**DEPARTMENT OF ENVIRONMENTAL AFFAIRS**	**04/11/2017**
36. Andrew Yatilman	Federated States of Micronesia	Director/GEF OFP	**OFFICE OF ENVIRONMENT & EMERGENCY RESPONSE**	**04/12/2017**
37. Delphin Aidji	Benin	Head of Department of Planning/GEF OFP	**MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT**	**04/14/2017**
38. Stanley M. Damane	Lesotho	Director of Environment/GEF OFP	**MINISTRY OF TOURISM, ENVIRONMENT & CULTURE**	**03/30/2017**
39. Patrick Ocailap	Uganda	Deputy Secretary to the Treasury/GEF OFP	**MINISTRY OF FINANCE, PLANNING AND ECONOMIC DEVELOPMENT**	**04/06/2017**
40. Thinley Namgyel	Bhutan	Secretary GNHC/GEF OFP	**GROSS NATIONAL HAPPINESS COMMISSION**	**04/14/2017**
41. Momodou Jama Sawareh	The Gambia	Ag. Executive Director & GEF OFP	**NATIONAL ENVIRONMENT AGENCY**	**04/19/2017**
42. Lourenco Monteiro de Jesus	Sao Tome & Principe	GEF OFP/Director of Statistics and Environmental Education	**DIRECTION GENERAL OF ENVIRONMENT, MINISTRY OF INFRASTRUCTURE, NATURAL RESOURCES AND ENVIRONMENT**	**04/17/2017**
43. Kone Bakayoko Alimata	Cote D'Ivoire	Permanent Secretary & GEF Operational Focal Point	**NATIONAL GEF COMMISSION, MINISTRY OF ECONOMY AND FINANCES**	**04/24/2017**
44. Charles T. Sunkuli	Kenya	Principal Secretary/GEF OFP	**MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES**	**03/23/2017**
45. Issa Fahiri Kone	Mali	GEF OFP	**AGENCY FOR ENVIRONMENT AND SUSTAINABLE DEVELOPMENT, MINISTRY OF ENVIRONMENT, AND SUSTAINABLE DEVELOPMENT**	**04/21/2017**
46. Abdul Bakarr Salim	Sierra Leone	Assistant Director/GEF OFP	**ENVIRONMENT PROTECTION AGENCY**	**04/20/2017**

47. Valeriu Munteanu	Moldova	Minister/GEF PFP	**MINISTRY OF ENVIRONMENT**	**05/04/2017**
48. Yeruult Bayart	Mongolia	GEF OFP	**MINISTRY OF ENVIRONMENT AND TOURISM OF MONGOLIA**	**03/15/2017**
49. Diann Black-Layne	Antigua and Barbuda	GEF OFP	**DEPARTMENT OF ENVIRONMENT, MINISTRY OF ENVIRONMENT AND HEALTH**	**05/15/2017**
50. Marilia Telma Antonio Manjate	Mozambique	GEF OFP	**NATIONAL DIRECTORATE OF ENVIRONMENT, MINISTRY OF LAND, ENVIRONMENT AND RURAL DEVELOPMENT**	**03/15/2017**
51. Kare Chawicha	Ethiopia	State Minister, Environment and Climate Change	**MINISTRY OF ENVIRONMENT, FOREST AND CLIMATE CHANGE**	**05/29/2017**
52. Ulu Bismarck Crawley	Samoa	GEF OFP & Chief Executive Officer	**MINISTRY OF NATURAL RESOURCES AND ENVIRONMENT**	**05/31/2017**
53. Joao Raimundo Lopes	Guinea-Bissau	GEF OFP	**MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT**	**05/31/2017**
54. Clarence Samuel	Marshall Islands	GEF OFP & Director	**OFFICE OF ENVIRONMENTAL PLANNING AND POLICY COORDINATION**	**06/01/2017**
55. Jesse Benjamin	Vanuatu	GEF OFP & Director General	**MINISTRY OF CLIMATE CHANGE AND ENVIRONMENT**	**05/31/2017**
56. Joshua Wycliffe	Fiji	GEF OFP & Permanent Secretary	**MINISTRY OF LOCAL GOVERNMENT, HOUSING AND ENVIRONMENT**	**05/31/2017**
57. Cynthia Viviana Silva Maturana	Bolivia	Vice Minister &National Focal Point, CBD	**MINISTRY OF ENVIRONMENT & WATER**	**04/25/2017**
58. Godwin F. Gondwe	Zambia	Director – Environment Management Department & GEF OFP	**MINISTRY OF WATER DEVELOPMENT, SANITATION AND ENVIRONMENTAL PROTECTION**	**06/02/2017**
59. Lonh Heal	Cambodia	GEF OFP	**MINISTRY OF ENVIRONMENT**	**06/02/2017**
60. Mona Kamal	Egypt	Chief Executive Officer	**EGYPTIAN ENVIRONMENTAL AFFAIRS AGENCY**	**03/30/2017**
61. Gani Sadibekov	Kazakhstan	Vice Minister & GEF OFP	**MINISTRY OF ENERGY OF THE REPUBLIC OF KAZAKHSTAN**	**06/14/2017**
62. Than Aye	Myanmar	Deputy Director General	**ENVIRONMENTAL CONSERVATION DEPARTMENT, MINISTRY OF NATURAL RESOURCES AND ENVIRONMENTAL CONSERVATION**	**06/28/2017**
63. Mr. Ahmadou Sebory Toure	Guinea	GEF OFP	**MINISTRY OF ENVIRONMENT, WATER AND FOREST**	**07/11/2017**
64. Mr. Enrique Moret	Cuba	GEF OFP	**MINISTRY OF SCIENCE**	**06/10/2017**

Hernandez			**TECHNOLOGY AND ENVIRONMENT**	
65. D. D. Manraj	Mauritius	Financial Secretary and GEF OFP	**MINISTRY OF FINANCE AND ECONOMIC DEVELOPMENT**	**08/02/2017**

B. GEF Agency(ies) Certification

This request has been prepared in accordance with GEF policies[12] and procedures and meets the GEF criteria for a medium-sized project approval under GEF-6.					
Agency Coordinator, Agency name	**Signature**	**DATE** *(MM/dd/yyyy)*	**Project Contact Person**	**Telephone**	**Email Address**
Kelly West, Senior Programme Manager & Global Environment Facility Coordinator Corporate Services Division UN Environment		August 3, 2017	Alex Owusu-Biney Task Manager	+254 207624066	Alex.Owusu-Biney@unep.org

C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION *(Applicable only to newly accredited GEF Project Agencies)*

For newly accredited GEF Project Agencies, please download and fill up the required **GEF Project Agency Certification of Ceiling Information Template** to be attached as an annex to this project template.

[12] GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

- **SEE APPENDIX 3**

ANNEX B: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used**)**

Provide a calendar of expected reflows to the GEF/LDCF/SCCF Trust Funds or to your Agency (and/or revolving fund that will be set up)

APPENDIX 3

RESULTS FRAMEWORK

Project Logical Framework and Objectively Verifiable Impact Indicators:
Project Title: Support to the Preparation of the Interim National ABS Reports

Objectives and Outcomes/Outputs	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Objective To assist GEF-Eligible Parties to the Nagoya Protocol on Access and Benefit Sharing to prepare and make timely submission of their Interim National Reports on measures that each Party has taken to implement the Protocol in line with Article 29	65 GEF Eligible Parties submit Interim National Reports to the Nagoya Protocol .	85% of the GEF eligible Parties have prepared interim reports by the 31st December 2017	• Stakeholders have a sustained interest in Access and Benefit Sharing • Political will exists to effectively complete and submit the national report in a timely manner
Component 1 : Development of the Interim National Reports			
Outcome 1: National Competent Authorities and designated institutions collectively prepare, endorse and submit the Interim National Reports to the ABSCH	65 GEF Eligible Parties hold discussion meetings on the process and report 65 GEF Eligible Parties create an inter institutional working group for the reporting and endorsement process	Documentation on stakeholder analysis; Workshop/seminars reports; National reporting documents Number of Interim National Reports uploaded on the ABSCH	Stakeholders have sustained interest in issues of Access and Benefit Sharing and related obligations to the Nagoya Protocol

APPENDIX 4

WORK PLAN AND TIME TABLE

	Months									
Activity	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8 - 12**	**GEF**	**Co-Financing (In-Kind)**
Development and Internalisation of Project										
Signing of legal instruments and disbursement of cash advances Countries										
Data collection by countries										
Stakeholder consultations and data verification										
Completion of the on-line form/ template										
Preparation of National Report/Expenditure Reports										
Preparation of Project Closure documents										

APPENDIX 5
KEY DELIVERABLES AND BENCHMARKS

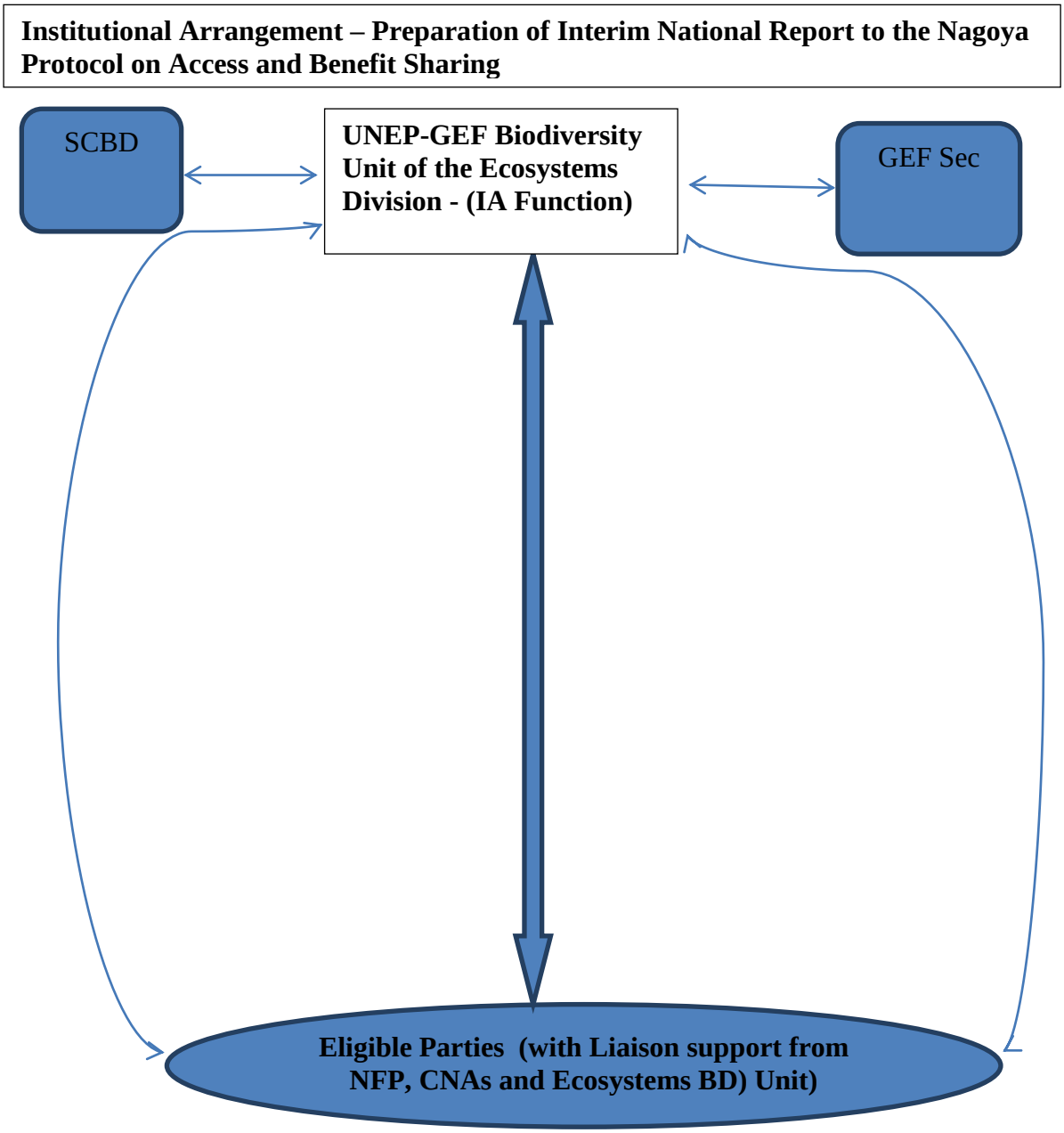
Component	Activities		Deliverables/Outcomes	Benchmarks
1. **Development of Interim National Reports**	1	Identification and review of existing Access and Benefit Sharing information	Interim national reports from each of the eligible Parties on the measures that each Party has taken to implement the Nagoya Protocol	Existing baseline data compiled with new data collected in-country. Assessment and or compliance reports for each country compiled on the ABSCH
	2	Data collection and analysis including field Research		
	3	Stakeholder consultations and meetings		
	4	Preparation and finalization of draft report		
	5	National consultation workshop		
	6	UNEP Review of Reports		
	7	National Focal Point Endorsement and upload to ABS-BCH		

APPENDIX 6
SUMMARY OF REPORTING REQUIREMENTS AND RESPONSIBILITIES

Reporting requirements	**Due date**	**Format appended to legal instrument as**	**Responsibility of:**
Individual Country Expenditure report accompanied by explanatory notes	At end of project duration	Annex	National Executing Agencies
Cash Advance request and details of anticipated disbursements	On counter signature of Small Scale Funding Agreement	Annex	National Executing Agencies
Progress report	October 2017	Annex	National Executing Agencies
Co-financing report	October 2017	Annex	National Executing Agencies
Final report	December 2017	Annex	National Executing Agencies
Final expenditure statement	January – June 2018 as applicable	Annex	National Executing Agencies
Final audited report for expenditures of project	June 2018	N/A	National Executing Agencies

APPENDIX 7

DECISION MAKING FLOW CHART AND ORGANIZATIONAL CHART



APPENDIX 8

- On a Letter head of Executing Agency –

SAMPLE LETTER of ENDORSEMENT

Date: _____

Ms. Brennan van Dyke
GEF Executive Coordinator
Corporate Services Division
UNEP
Nairobi, Kenya

Dear _____,

Re: Letter of endorsement for the Project – Support for Preparation of the Interim National Report to the Nagoya Protocol on Access and Benefit Sharing

[Country name] fully endorses the proposal for the GEF-funded Project "Support for Preparation of the Interim National Report on Access and Benefit Sharing", and wishes to express its interest in participating in this project.

[Country name] meets the eligibility criteria for this project, by being a Party to the Nagoya Protocol Nagoya Protocol on Access and Benefit Sharing and eligible for GEF funding support.

The Government of [country name] is also willing to contribute US$_____ as in kind/in cash co-financing to this project.

Signed by GEF Operational Focal Point

Copy to
National Focal Point – Nagoya Protocol on Access and Benefit Sharing

APPENDIX 9

List of Participating Parties - ***Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization***

No.	Country Name	Signed	Ratification		Party
1.	Albania		2013-01-29	acs	2014-10-12
2.	Antigua and Barbuda	2011-07-28	2016-12-12	rtf	2017-03-12
3.	Belarus		2014-06-26	acs	2014-10-12
4.	Benin	2011-10-28	2014-01-22	rtf	2014-10-12
5.	Bhutan	2011-09-20	2013-09-30	rtf	2014-10-12
6.	Bolivia (Plurinational State of)		2016-10-06	acs	2017-01-04
7.	Botswana		2013-02-21	acs	2014-10-12
8.	Burkina Faso	2011-09-20	2014-01-10	rtf	2014-10-12
9.	Burundi		2014-07-03	acs	2014-10-12
10.	Cambodia	2012-02-01	2015-01-19	rtf	2015-04-19
11.	Cameroon		2016-11-30	acs	2017-02-28
12.	Comoros		2013-05-28	acs	2014-10-12
13.	Congo	2011-09-23	2015-05-14	rtf	2015-08-12
14.	Côte d'Ivoire	2012-01-25	2013-09-24	rtf	2014-10-12
15.	Cuba		2015-09-17	acs	2015-12-16
16.	Democratic Republic of the Congo	2011-09-21	2015-02-04	rtf	2015-05-05
17.	Djibouti	2011-10-19	2015-10-01	rtf	2015-12-30
18.	Dominican Republic	2011-09-20	2014-11-13	rtf	2015-02-11
19.	Egypt	2012-01-25	2013-10-28	rtf	2014-10-12
20.	Ethiopia		2012-11-16	acs	2014-10-12
21.	Fiji		2012-10-24	acs	2014-10-12
22.	Gabon	2011-05-13	2011-11-11	acp	2014-10-12
23.	Gambia (the)		2014-07-03	acs	2014-10-12
24.	Guatemala	2011-05-11	2014-06-18	rtf	2014-10-12
25.	Guinea	2011-12-09	2014-10-07	rtf	2015-01-05
26.	Guinea-Bissau	2012-02-01	2013-09-24	acp	2014-10-12
27.	Guyana		2014-04-22	acs	2014-10-12
28.	India	2011-05-11	2012-10-09	rtf	2014-10-12
29.	Kazakhstan		2015-06-17	acs	2015-09-15
30.	Kenya	2012-02-01	2014-04-07	rtf	2014-10-12
31.	Kyrgyzstan		2015-06-15	acs	2015-09-13
32.	Lao People's Democratic Republic		2012-09-26	acs	2014-10-12

33.	Lesotho		2014-11-12	acs	2015-02-10
34.	Liberia		2015-08-17	acs	2015-11-15
35.	Madagascar	2011-09-22	2014-07-03	rtf	2014-10-12
36.	Malawi		2014-08-26	acs	2014-11-24
37.	Mali	2011-04-19	2016-08-31	rtf	2016-11-29
38.	Marshall Islands		2014-10-10	acs	2015-01-08
39.	Mauritania	2011-05-18	2015-08-18	rtf	2015-11-16
40.	Mauritius		2012-12-17	acs	2014-10-12
41.	Mexico	2011-02-24	2012-05-16	rtf	2014-10-12
42.	Micronesia (Federated States of)	2012-01-11	2013-01-30	rtf	2014-10-12
43.	Mongolia	2012-01-26	2013-05-21	rtf	2014-10-12
44.	Mozambique	2011-09-26	2014-07-07	rtf	2014-10-12
45.	Myanmar		2014-01-08	acs	2014-10-12
46.	Namibia		2014-05-15	acs	2014-10-12
47.	Niger	2011-09-26	2014-07-02	rtf	2014-10-12
48.	Pakistan		2015-11-23	acs	2016-02-21
49.	Philippines		2015-09-29	acs	2015-12-28
50.	Republic of Moldova	2012-01-25	2016-08-24	rtf	2016-11-21
51.	Rwanda	2011-02-28	2012-03-20	rtf	2014-10-12
52.	Samoa		2014-05-20	acs	2014-10-12
53.	Sao Tome and Principe		2017-01-10	acs	2017-04-10
54.	Senegal	2012-01-26	2016-03-03	rtf	2016-06-01
55.	Seychelles	2011-04-15	2012-04-20	rtf	2014-10-12
56.	Sierra Leone		2016-11-01	acs	2017-01-30
57.	South Africa	2011-05-11	2013-01-10	rtf	2014-10-12
58.	Sudan	2011-04-21	2014-07-07	rtf	2014-10-12
59.	Swaziland		2016-09-21	acs	2016-12-20
60.	Tajikistan	2011-09-20	2013-09-04	acs	2014-10-12
61.	Togo	2011-09-27	2016-02-10	rtf	2016-05-10
62.	Uganda		2014-06-25	acs	2014-10-12
63.	Vanuatu	2011-11-18	2014-07-01	rtf	2014-10-12
64.	Viet Nam		2014-04-23	acs	2014-10-12
65.	Zambia		2016-05-20	acs	2016-08-18

APPENDIX 10: Acronyms and Abbreviations

Access and Benefit Sharing	ABS
Access and Benefit Sharing Clearing-House	ABSCH
Central African Forest Commission	COMIFAC
Competent National Authority	CAN
Convention on Migratory Species	CMS
Convention on International Trade in Endangered Species of Wild Fauna and Flora	CITES
Convention on Biological Diversity	CBD
Conference of Parties	COP
Conference of the Parties Serving as the Meeting of the Parties to this Protocol	COP-MOP
Executing agency	EA
Evaluation Office	EO
Global Environment Facility	GEF
GEF Operational Focal Point	GEF OFP
GEF Political Focal Point	GEF PFP
Implementing agency	IA
Implementation	IMP
International Union for Conservation of Nature	IUCN
Medium Sized Project	MSP
Monitoring and Evaluation	M&E
Multilateral Environmental Agreement	MEA
National Focal Point	NFP
Nagoya Protocol	NP
National Biosafety Framework	NBF
Standard Operation Procedure	SOP
Task Manager	TM
United Nations Conference on Trade and Development	UNCTAD
United Nations Environment Programme	UNEP

APPENDIX 11: UNEP Environmental, Social and Economic Review Note (ESERN)

I. Project Overview

Identification	*Addis Project # 01562*
Project Title	Support to Preparation of the Interim National Report on the Implementation of the Nagoya Protocol
Managing Division	*Ecosystems Division*
Type/Location	*Global*
Region	*Africa/ Europe/ North America/ Asia Pacific/ Latin America Caribbean/ West Asia*
List Countries	Antigua & Barbuda, Albania, Belarus, Benin, Bhutan, Bolivia (Plurinational State of), Botswana, Burkina Faso, Burundi, Cambodia, Cameroon, Comoros, Congo, Côte d'Ivoire, Cuba, Democratic Republic of the Congo, Djibouti, Dominican Republic, Egypt, Ethiopia, Fiji, Gabon, Gambia (the), Guatemala, Guinea, Guinea-Bissau, Guyana, India, Kazakhstan, Kenya, Kyrgyzstan, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Mali, Marshall Islands, Mauritania, Mauritius, Mexico, Micronesia (Federated States of), Mongolia, Mozambique, Myanmar, Namibia, Niger, Pakistan, Philippines, Republic of Moldova, Rwanda, Sao Tome & Principe, Samoa, Senegal, Seychelles, Sierra Leone, South Africa, Sudan, Swaziland, Tajikistan, Togo, Uganda, Vanuatu, Viet Nam, Zambia [65 Eligible Parties]
Project Description	To Assist GEF-Eligible Parties to the Nagoya Protocol on Access and Benefit Sharing to prepare and make timely submission of their Interim National Reports on measures that each party has taken to implement the Protocol in line with Article 29
Estimated duration of project:	*2017-2018*
Estimated cost of the project :	*GEF Grant: 1,430,000* *Co-finance: 1,111,321*

II. Environmental Social and Economic Screening Determination

A. Summary of the Safeguard Risks Triggered

Safeguard Standard Triggered by the Project	Impact of Risk[13] (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M,
SS 1: Biodiversity, natural habitat and Sustainable Management of Living Resources	1	1	L
SS 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes	1	1	L
SS 3: Safety of Dams	1	1	L
SS 4: Involuntary resettlement	1	1	L
SS 5: Indigenous peoples	1	1	L
SS 6: Labor and working conditions	1	1	L
SS 7: Cultural Heritage	1	1	L
SS 8: Gender equity	1	1	L
SS 9: Economic Sustainability	1	1	L
Additional Safeguard questions for projects seeking GCF-funding (Section IV)			

B. ESE Screening Decision[14] (Refer to the UNEP ESES Framework (Chapter 2) and the UNEP's ESES Guidelines.)

Low risk X Moderate risk ☐ High risk ☐ Additional information requir ☐

C. Development of ESE Review Note and Screening Decision:

Prepared by: Name: Alex Owusu-Biney Date: 30 April 2017

Safeguard Advisor: Name: _____ Date: _____

Project Manager: Name: _____ Date: _____

D. Recommended further action from the Safeguard Advisor:

[13] Refer to UNEP Environment, Social and Economic Sustainability (ESES): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

[14] **Low risk**: Negative impacts negligible: no further study or impact management required.
Moderate risk: Potential negative impacts, but less significant; few if any impacts irreversible; impact amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a ESEMP. Straightforward application of good practice may be sufficient without additional study.
High risk: Potential for significant negative impacts, possibly irreversible, ESEA including a full impact assessment may be required, followed by an effective safeguard management plan.

III. ESES Principle and Safeguard checklist

(Section III and IV should be retained in UNEP)

Precautionary Approach
The project will take precautionary measures even if some cause and effect relationships are not fully established scientifically and there is risk of causing harm to the people or to the environment.
Human Rights Principle
The project will make an effort to include any potentially affected stakeholders, in particular vulnerable and marginalized groups; from the decision making process that may affect them.
The project will respond to any significant concerns or disputes raised during the stakeholder engagement process.
The project will make an effort to avoid inequitable or discriminatory negative impacts on the quality of and access to resources or basic services, on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups.[15]

Screening checklist	Y/N/ Maybe	Comment
Safeguard Standard 1: Biodiversity, natural habitat and Sustainable Management of Living Resources		
Will the proposed project support directly or indirectly any activities that significantly convert or degrade biodiversity and habitat including modified habitat, natural habitat and critical natural habitat?	N	Not anticipated, on the contrary the project will improve all habitats and ecosystems.
Will the proposed project likely convert or degrade habitats that are legally protected?	N	No negative impacts are expected to existing Protected Areas. The project seeks to improve decision-making on implementation of Nagoya Protocol on Access and Benefit Sharing and the Aichi Biodiversity Targets in countries.
Will the proposed project likely convert or degrade habitats that are officially proposed for protection? (e.g.; National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)	N	No negative impacts are anticipated.
Will the proposed project likely convert or degrade habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	No negative impacts are anticipated. On the contrary, the project activities are designed to enhance national decision-making processes for the implementation of Nagoya Protocol on Access and Benefit Sharing and the Aichi Biodiversity Targets.
Will the proposed project likely convert or degrade habitats that are recognized- including by authoritative sources and /or the national and	N	Not anticipated.

[15] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Screening checklist	Y/N/ Maybe	Comment
local government entity, as protected and conserved by traditional local communities?		
Will the proposed project approach possibly not be legally permitted or inconsistent with any officially recognized management plans for the area?	N	Not anticipated.
Will the proposed project activities result in soils deterioration and land degradation?	N	Not anticipated
Will the proposed project interventions cause any changes to the quality or quantity of water in rivers, ponds, lakes or other wetlands?	N	Not anticipated
Will the proposed project possibly introduce or utilize any invasive alien species of flora and fauna, whether accidental or intentional?	N	Not anticipated.
Safeguard Standard 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes		
Will the proposed project likely result in the significant release of pollutants to air, water or soil?	N	Not anticipated.
Will the proposed project likely consume or cause significant consumption of water, energy or other resources through its own footprint or through the boundary of influence of the activity?	N	Not anticipated.
Will the proposed project likely cause significant generation of Green House Gas (GHG) emissions during and/or after the project?	N	Not anticipated.
Will the proposed project likely generate wastes, including hazardous waste that cannot be reused, recycled or disposed in an environmentally sound and safe manner?	N	Not anticipated.
Will the proposed project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?	N	Not anticipated.
Will the proposed project involve the manufacturing, trade, release and/or use of hazardous materials subject to international action bans or phase-outs, such as DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants or the Montreal Protocol?	N	Not anticipated.
Will the proposed project require the procurement of chemical pesticides that is not a component of integrated pest management (IPM)[16] or integrated vector management (IVM)[17] approaches?	N	Not anticipated.
Will the proposed project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?	N	Not anticipated.

[16] "Integrated Pest Management (IPM) means the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/ipm/en/

[17] "IVM is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease." (http://www.who.int/neglected_diseases/vector_ecology/ivm_concept/en/)

Screening checklist	Y/N/ Maybe	Comment
Will the proposed project have difficulty in abiding to FAO's International Code of Conduct[18] in terms of handling, storage, application and disposal of pesticides?	N	Not anticipated.
Will the proposed project potentially expose the public to hazardous materials and substances and pose potentially serious risk to human health and the environment?	N	Not anticipated.
Safeguard Standard 3: Safety of Dams		
Will the proposed project involve constructing a new dam(s)?	N	Not anticipated.
Will the proposed project involve rehabilitating an existing dam(s)?	N	Not anticipated.
Will the proposed project activities involve dam safety operations?	N	Not anticipated.
Safeguard Standard 4: Involuntary resettlement		
Will the proposed project likely involve full or partial physical displacement or relocation of people?	N	Not anticipated.
Will the proposed project involve involuntary restrictions on land use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	Not anticipated
Will the proposed project likely cause restrictions on access to land or use of resources that are sources of livelihood?	Maybe	As a consequence of improved decision-making on implementation of Nagoya Protocol to sustainable use and benefit sharing of biodiversity resources and ecosystem services.
Will the proposed project likely cause or involve temporary/permanent loss of land?	N	Not anticipated.
Will the proposed project likely cause or involve economic displacements affecting their crops, businesses, income generation sources and assets?	N	Not anticipated
Will the proposed project likely cause or involve forced eviction?	N	Not anticipated.
Will the proposed project likely affect land tenure arrangements, including communal and/or customary/traditional land tenure patterns negatively?	N	Not anticipated
Safeguard Standard 5: Indigenous peoples[19]		
Will indigenous peoples be present in the proposed project area or area of influence?	N	Not anticipated.
Will the proposed project be located on lands and territories claimed by indigenous peoples?	N	Not anticipated.
Will the proposed project likely affect livelihoods of indigenous peoples negatively through affecting the rights, lands and territories claimed by them?	N	Not anticipated.
Will the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	Not anticipated.

[18] Find more information from http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/CODE_2014Sep_ENG.pdf
[19] Refer to the Toolkit for the application of the UNEP Indigenous Peoples Policy Guidance for further information.

Screening checklist	Y/N/ Maybe	Comment
Will the project negatively affect the development priorities of indigenous peoples defined by them?	N	Not anticipated.
Will the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	Not anticipated.
Will the project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	Not anticipated.
Safeguard Standard 6: Labor and working conditions		
Will the proposed project involve the use of forced labor and child labor?	N	Not anticipated.
Will the proposed project cause the increase of local or regional un-employment?	N	Not anticipated.
Safeguard Standard 7: Cultural Heritage		
Will the proposed project potentially have negative impact on objects with historical, cultural, artistic, traditional or religious values and archeological sites that are internationally recognized or legally protected?	N	Not anticipated.
Will the proposed project rely on or profit from tangible cultural heritage (e.g., tourism)?	N	Not anticipated.
Will the proposed project involve land clearing or excavation with the possibility of encountering previously undetected tangible cultural heritage?	N	Not anticipated.
Will the proposed project involve in land clearing or excavation?	N	Not anticipated.
Safeguard Standard 8: Gender equity		
Will the proposed project likely have inequitable negative impacts on gender equality and/or the situation of women and girls?	N	Not anticipated
Will the proposed project potentially discriminate against women or other groups based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits?	N	Not anticipated
Will the proposed project have impacts that could negatively affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	N	The National Report will review participation of stakeholders and may recommend policy actions on implementation of the Nagoya Protocol on Access and Benefit sharing including measures to support measures for equitable access and benefit sharing of genetic resources
Safeguard Standard 9: Economic Sustainability		
Will the proposed project likely bring immediate or short-term net gain to the local communities or countries at the risk of generating long-term economic burden (e.g., agriculture for food vs. biofuel; mangrove vs. commercial shrimp farm in terms of fishing, forest products and protection, etc.)?	Y	The project will generate policies that encourage employment of local population in conservation.
Will the proposed project likely bring unequal economic benefits to a limited subset of the target group?	N	Not anticipated

IV. Additional Safeguard Questions for Projects seeking GCF-funding

Community Health, Safety, and Security			
Will there be potential risks and negative impacts to the health and safety of the Affected Communities during the project life-cycle?			
Will the proposed project involve design, construction, operation and decommissioning of the structural elements such as new buildings or structures?			
Will the proposed project involve constructing new buildings or structures that will be accessed by public?			
Will the proposed project possibly cause direct or indirect health-related risks and impacts to the Affected Communities due to the diminution or degradation of natural resources, and ecosystem services?			
Will the proposed project activities potentially cause community exposure to health issues such as water-born, water-based, water-related, vector-borne diseases, and communicable diseases?			
In case of an emergency event, will the project team, including partners, have the capacity to respond together with relevant local and national authorities?			
Will the proposed project need to retain workers to provide security to safeguard its personnel and property?			
Labor and Supply Chain			
Will UNEP or the implementing/executing partner(s) involve suppliers of goods and services who may have high risk of significant safety issues related to their own workers?			