



# **United Nations Environment Programme**

**Mid-Term Evaluation Report of the project  
*Strengthening the Implementation of the Biological  
Diversity Act and  
Rules with Focus on its Access and Benefit Sharing  
Provisions (India ABS Project)***

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## Acronyms

ABS	Access to genetic resources and benefit-sharing
ADDIS	Advanced DGEF Database Information System (UNEP)
BMC	Biodiversity Management Committee
CBD	Convention on Biological Diversity
CSR	Corporate social responsibility
DGEF	UNEP Division of GEF Coordination
GEB	Global environmental benefits
GEF	Global Environment Facility
GoI	Government of India
HQ	Headquarters
HYPR	Half Yearly Progress Report
ICNP-3	Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization
ILC	Indigenous and local communities
INR	Indian Rupees
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
M&E	Monitoring and evaluation
MEA	Multilateral environmental agreement
MoEF	Ministry of Environment and Forests and Climate Change
NBA	National Biodiversity Authority
NGO	Non-governmental organization
PBR	People's Biodiversity Register
PIF	Project Information Form
PIR	Project Implementation Review
PMU	Project Management Unit
PPG	Project Preparation Grant
PSC	Project Steering Committee
SBB	State Biodiversity Board
SCBD	CBD Secretariat
SPU	State Project Unit
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP-DELIC	UNEP Division of Environmental Law and Conventions
UNU-IAS	United Nations University-Institute of Advanced Studies
USD	United States dollars

## Project Identification Table

<b>Project Title:</b>	Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions		
<b>Executing Agency:</b>	Ministry of Environment and Forests (MoEF), through the National Biodiversity Authority (NBA)		
<b>Project partners:</b>	State Biodiversity Boards (SBB) of Andhra Pradesh, Gujarat, West Bengal, Himachal Pradesh and Sikkim Zoological Survey of India (ZSI) Botanical Survey of India (BSI) United Nations University-Institute of Advanced Studies (UNU-IAS)		
<b>Geographical scope:</b>	India		
<b>Participating Countries:</b>	India		
<b>GEF project ID:</b>	3801	<b>IMIS number:</b>	GFL-2328-2740-4C01
<b>Focal Area(s):</b>	Biodiversity	<b>GEF OP #:</b>	N/A
<b>GEF Strategic Priority/Objective:</b>	SP8/BD-4	<b>GEF approval date:</b>	March 2011
<b>UNEP approval date:</b>	7 June 2011	<b>Date of first disbursement:</b>	20 June 2011
<b>Actual start date:</b>	23 June 2011	<b>Planned duration:</b>	36 months
<b>Intended completion date:</b>	May 2014	<b>Actual completion date:</b>	31 December 2016 <sup>1</sup>
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	3,561,000 USD
<b>PPG GEF cost:</b>	50,000 USD	<b>PPG co-financing:</b>	75,000 USD
<b>Expected FSP Co-financing:</b>	6,278,000 USD	<b>Total Cost:</b>	9,839,000 USD
<b>Mid-term review/eval. (planned date)</b>	February 2015	<b>Terminal Evaluation (actual date):</b>	N/A
<b>Mid-term review/eval. (actual date):</b>	February 2015	<b>No. of revisions:</b>	1
<b>Date of last Steering Committee meeting:</b>	6 February 2015	<b>Date of last revision:</b>	2015
<b>Disbursement as of 11 February 2015:</b>	1,594,920 USD <sup>2</sup>	<b>Date of financial closure:</b>	N/A
<b>Date of Completion:</b>	N/A	<b>Actual expenditures reported as of 31 December 2014:</b>	1,061,193 USD <sup>3</sup>
<b>Total co-financing realized as of 30 September 2014:</b>	349,699 USD	<b>Actual expenditures entered in IMIS as of 1 May 2015:</b>	1,101,258.54 USD
<b>Leveraged financing:</b>	none		

<sup>1</sup> This is the technical completion date for the second project revision, which extended the duration of the project from 55 months to 61 months. The agreement between UNEP and the Ministry of Environment and Forests (MoEF), Government of India, remains in force until 31 December 2016 to allow for all terminal reporting.

<sup>2</sup> Disbursement as of 31 December 2014, the date for which expenditures are reported, was 1,095,000 USD.

<sup>3</sup> This figure is from UNEP's report of expenditures. MoEF reported expenditure of 1,061,120 USD as of 31 December 2014. The difference is overspending on the PPG grant, which is charged to the project.

## Executive Summary

### A. Introduction

i. The project “Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions” is a Global Environment Facility (GEF) full-sized project for India. The project was launched 23-24 August 2011 and was originally scheduled to complete in May 2014. UNEP granted two no-cost extensions; the second one extended project activities until 30 June 2016 and deferred project closure until 31 December 2016.

ii. The implementing agency of the project is the United Nations Environment Programme (UNEP) through its Division of GEF Coordination (DGEF). The Ministry of Environment and Forests (MoEF) is the project executing agency and has overall responsibility for achieving project results. MoEF designated the Chairperson of the National Biodiversity Authority (NBA) as the National Project Director. The NBA administers all aspects of biodiversity in India, including ABS, hosts the Project Management Unit (PMU), and is responsible for carrying out India ABS Project activities. The State Biodiversity Boards (SBB) of the five states participating in the project are hosting State Project Units (SPU), which are responsible for carrying out project activities at state level.

iii. The total budget is USD9,839,000: USD3,561,000 in cash from GEF and USD1,535,000 in cash co-financing from the Government of India (GoI); USD1,810,000 of in-kind contributions from GoI, and total of USD2,933,000 from project partners. Expenditures of GEF funds totaled USD1,061,120 as of 31 December 2014. The project has not leveraged funding from any source external to the project and has not issued any reports documenting in-kind co-financing.

### B. Findings and Conclusions

iv. The key questions for this evaluation concerned achievement of outputs, effectiveness, sustainability and replicability, and factors affecting project performance. The overall rating for this project based on the evaluation findings is moderately satisfactory.

v. The Project Implementation Review (PIR) for the GEF fiscal year 1 July 2013 to 30 June 2014 reported that the project had not yet achieved 100% completion of even one project deliverable.

vi. **Project relevance.** The project’s objectives are consistent with national issues and needs with respect to ABS and it is reaching stakeholders in the participating states who must be involved in implementing ABS. The overall rating on relevance is satisfactory.

vii. **Effectiveness.** The project has produced tools – including particularly the economic valuation methodologies, the ABS Guidance Manual, the BMC Toolkit and the LBF Guide – that all states, not only the project’s participating states, need to implement ABS and is making progress in getting those tools translated into the principal languages of the participating states. (Direct outcome 1). The three original participating states that were relatively better-resourced when the project began – Andhra Pradesh, Gujarat, and West Bengal – are more likely than Himachal Pradesh and Sikkim to become models for implementing ABS in other states. The BMCs the evaluation visited had been established in communities where development initiatives had been ongoing for several years prior to the creation of the BMC. The BMCs the evaluation visited could well be models for others, but the foundation for their success was laid well before the project began. It is not clear to what extent other BMCs created under the project could serve as models for others to learn from. (Direct outcome 2). The overall rating for achievement of direct outcomes is moderately satisfactory.

viii. The likelihood of the project’s outcomes leading to the expected impact and global environmental benefit will depend on the degree to which India achieves the intermediate states: functioning BMCs and benefits flowing to communities. After 37 months of project implementation, the project was close to having created its target numbers of BMCs in the original five participating

states, but it was not clear to what degree each of those BMCs was functioning effectively. Getting tangible benefits flowing to communities will require bringing into force a critical mass of ABS agreements. The project has produced most of the tools required to generate the information needed as a basis for an ABS agreement. The principal missing element is training BMCs in the skills they will need to negotiate ABS agreements. With the exception of Gujarat, participating states had only just begun the process of facilitating ABS agreements. The overall rating on likelihood of impact is moderately likely.

ix. The project document did not state a goal; the objective is to increase stakeholders' capacity to implement ABS. The project has carried out activities designed to do this, but project reporting has apparently over-stated the achievement status of five of the six activities specifically focused on building capacity. Assuming that within the extension period the project completes all activities as planned, it will have contributed to increasing capacity to implement ABS in slightly more than one-third of India's total of 29 states. The overall rating on Achievement of project goal and planned objectives is moderately satisfactory.

x. **Sustainability and replicability.** Multilateral and bilateral funding, with significant contributions from the national government, will be required to sustain the project's outcomes in the project states and scale them up to additional states. UNDP appears to be the only project partner that is in the process of developing a new ABS initiative project to take forward the work of its previous project and this project. The overall rating on financial sustainability is moderately unlikely.

xi. The influence of socio-political factors varies considerably from state to state and depends to a significant degree on the extent to which decision-makers understand ABS and the contribution it could make to sustainable development. At the national level, there is a move to amend the Biodiversity Act and Rules as well as other laws that govern the environment and biodiversity. The changes could have positive or negative impacts on the sustainability of the outcomes of the project. The overall rating on socio-political sustainability is moderately unlikely.

xii. The degree to which the NBA and SBBs internalize and institutionalize what they have gained from the project will determine the institutional sustainability of implementing ABS. The project has demonstrated how the NBA can work with SBBs and how SBBs can work with BMCs. The overall rating on institutional sustainability is moderately likely.

xiii. The project's outcomes have the potential to enhance conservation of biological resources but the project and the NBA should not ignore the potential for an emphasis on cash income to encourage communities to maximize income from biological resources unsustainably. The overall rating on environmental sustainability is moderately unlikely.

xiv. The project is creating opportunities for institutions and individuals at state level to bring about change. The project's default assumption is that because BMCs are statutory bodies under the Biodiversity Act, all states will create them appropriately, provide them with adequate support, and thus ensure the replicability of this project's outcomes. It is not clear that this assumption is completely justified, at least in the short- and medium-term. The overall rating on the project's catalytic role is satisfactory and the overall rating on replication is moderately likely.

xv. Factors affecting project performance. The NBA, one SBB, two project partners, and UNEP were involved in designing the project. At the state level there are concerns that the project did not adequately take into account the diversity of existing capacity and experience among the participating states and that there could have been more interaction between the PMU and participating states at the beginning of the project to ensure that all were interpreting the project's

expected outcomes the same way. There was also some lack of clarity as to the basis for allocating funds to activities and to participating states. The activities as designed should produce all intended outputs and outcomes, but the project design did not adequately factor in the wide variation in the capacities of the participating states to actually deliver the outputs in the time originally allotted. The overall rating on preparation and readiness is moderately unsatisfactory.

xvi. The PSC helps to guide the project and to resolve any problems but was unable to articulate a vision for the project other than that it was moving forward. The PMU and SBBs are responding effectively to each other. Two SBBs indicated some delays in responding to requests from BMCs. National project management could improve the project's effectiveness by: ensuring more frequent PMU communication with SBBs and counseling from the PMU concerning activities; more regular meetings with SBBs; and by creating and maintaining more links with related projects at the national level and in the participating states. State project management would be improved by: ensuring that all participating states had at least one full-time project staff person; building the capacity of SPU teams and TSGs; more timely decision-making; and more effective engagement of experts in activities to produce outputs within project timeframes. The overall rating on project implementation and management is moderately satisfactory.

xvii. All project partners and participating states felt that the project had adequately identified stakeholders. Stakeholder participation in project activities is increasing stakeholders' motivation to contribute to implementing ABS to a moderate degree; post-project follow-up will be required to maintain their interest. ABS stakeholder groups are participating in project events at least in part because ABS is a new issue for them and they want to learn more about it. All project partners are providing meaningful input into most aspects of project implementation. The overall rating on stakeholder participation and public awareness is moderately satisfactory.

xviii. National government institutions have assumed a great deal of responsibility for the project and are providing implementation support when the project requests it. The situation varies among the five original participating states, some of which had delayed or had not disbursed money to BMCs. Private sector participation varies considerably among the five original participating states; issues of how benefits under ABS agreements, especially any potential in-kind benefits, will be considered for corporate tax purposes in light of the CSR law remain to be resolved. The awareness, interest and commitment of non-governmental ABS stakeholders vary significantly. The overall rating on country ownership and driven-ness is moderately satisfactory.

xix. The Biodiversity Rules stipulate that one-third of the members of a BMC must be women and 18% must be members of legally-recognized castes and tribes. The Biodiversity Rules make no other reference to social inclusion. The PMU cited this regulatory requirement as the reason for women's participation. The project added an activity specifically focused on youth that was not included in the project document. Indigenous and local communities (ILC) have been participating in all or most project activities and are contributing to project outputs in most of the original participating states. The overall rating on gender and equity is satisfactory.

xx. Expenditures have been seriously delayed, the project has not been audited as UNEP requires, the single audit was late and audited expenditure low, the GoI's cash co-financing is low, and UNEP's and UNU-IAS's in-kind co-financing has not been reported. The overall rating on financial planning and management is unsatisfactory.

xxi. The original Task Manager maintained active engagement with the PMU team but experienced considerable difficulty in getting the executing agency to meet financial management and monitoring requirements. From the FY2012-2014 PIRs available for the evaluation, it appears



that the Task Manager simply concurred with the PMU's assessments of project progress. The PIRs do not document any concerns on the part of the Task Manager with project progress. The overall rating on UNEP supervision and backstopping is moderately satisfactory.

xxii. The project document proposed to adhere to all GEF and UNEP requirements for monitoring and evaluation (M&E). It included a costed M&E plan and a summary of reporting requirements and responsibilities. The costed M&E plan in the project document provided for all regular reporting to UNEP and GEF as well as for PSC meetings, regular technical monitoring missions by the PMU, annual audits, and mid-term and terminal evaluations. The overall rating on M&E design is moderately satisfactory.

xxiii. Budgeting and funding for M&E was within UNEP parameters but the budget was not consistent with the costed M&E plan either in the original project document or in the revised budget and costed M&E plan. The overall rating on budgeting and funding for M&E activities is moderately satisfactory.

xxiv. The PMU submitted a Half Yearly Progress Report for the period June-December 2012 and PIRs for UNEP GEF Fiscal Years 2012, 2013, and 2014. The M&E section of each PIR requires yes/no answers for a list of 11 questions, has seven questions that require narrative answers, and has a section that calls for information on experiences and lessons. In each PIR, the yes/no questions were answered and the FY2012 PIR included brief answers to three of the seven questions. Otherwise, the M&E section of the PIRs was left blank. The mid-term evaluation that was originally planned and budgeted for was not carried out. The overall rating on M&E plan implementation is moderately unsatisfactory. The overall rating on monitoring and evaluation is moderately satisfactory.

xxv. The project is much-delayed and there is a reasonable question whether it will be able to deliver all outcomes even within the extension period. Nevertheless, the project has made important contributions to creating the foundation for implementing ABS. The overall rating for the India ABS Project, based on the assessment findings is, therefore, moderately satisfactory.

### **C. Lessons**

xxvi. The fundamental lessons learned from the India ABS Project are:

- a. Do not over-reach. India is a large country with needs proportionate to its size. In a big country with big needs there is a temptation to try to meet them all. With six components, the project appears to have been designed to attempt to address the full spectrum of needs with respect to ABS. To try to 'do it all', the project designers created a complicated suite of activities, some of which overlapped and duplicated each other. Project implementation has made a valiant effort but has had only moderate success in dealing with the complexities. As a result, one month after its original termination date, the project did not report even one activity as 100% complete and several activities will only be conceptualized during the extension period. The project would have been able to serve its stakeholders better if it had been more clearly focused.
- b. Monitor and oversee critically. With a project whose design has over-reached, staff are put in a position in which they must simply keep moving forward, which is the way the PSC described its vision for the project. Even in such situations, project revisions provide an opportunity to critically review progress and prospects and make appropriate adjustments. This project did not take advantage of that opportunity.

## **D. Recommendations**

xxvii. Recommendation 1: Produce a written strategy for sustaining the project's outcomes with specific indications of commitments and limitations on the part of the NBA and all participating SBBs. Post-project, MoEF and the NBA will need to focus on how they will continue to support less well-resourced states.

xxviii. Recommendation 2: Focus on quality and potential for sustainability, rather than quantity, in the context of creating BMCs. The Guidelines for Operationalizing BMCs advise states to establish a "realistic number" of BMCs, according to each state's biodiversity-rich areas and social requirements. The PSC and some participating states appear to be pushing to create BMCs for all local government entities; it is not clear that this is fiscally feasible.

xxvix. Recommendation 3: De-emphasize cash and focus more on in-kind benefits. There is potential for an emphasis on cash income to encourage communities to maximize income from biological resources unsustainably.

xxx. Recommendation 4: Continue and increase investments in translation. Translating the tools the project has developed into local languages makes it much more likely that they will actually be used in the future, which may be the project's most important contribution to the sustainability of its own outcomes.

## **I. Introduction**

1. The project “Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions” is a Global Environment Facility (GEF) full-sized project for India. This report will refer to the project as the India ABS Project. The project began in June 2011, was formally launched in August 2011, and was scheduled to complete at the end of May 2014. The United Nations Environment Programme (UNEP) granted a first no-cost extension until December 2015 and a second one until 30 June 2016. The agreement between UNEP and the Ministry of Environment and Forests (MoEF), Government of India (GoI), remains in force until 31 December 2016 to allow for all terminal reporting and financial closure of the project.
2. UNEP is the implementing agency of the project, through its Division of GEF Coordination (DGEF). MoEF is the project executing agency and has overall responsibility for achieving project results. MoEF designated the Chairperson of the National Biodiversity Authority (NBA) as the National Project Director. The NBA administers all aspects of biodiversity in India, including ABS, hosts the Project Management Unit (PMU), and is responsible for carrying out India ABS Project activities.
3. India selected five states to participate in the project, based on important ecosystem types in each: Andhra Pradesh, Gujarat, West Bengal, Himachal Pradesh and Sikkim (see paragraphs 26-30). The State Biodiversity Boards (SBB) of these five implementing states are hosting State Project Units (SPU), which are responsible for carrying out project activities at state level.
4. The total budget is USD9,839,000 – USD3,561,000 in cash from GEF and USD1,535,000 in cash co-financing from the GoI. In-kind co-financing totals USD4,743,000: USD1,810,000 of in-kind contributions from GoI; and a total of USD2,933,000 from SBBs in the original five implementing states; UNDP; and project partners the Zoological Society of India (ZSI), the Botanical Survey of India (BSI), UNEP-Division of Environmental Law and Conventions (UNEP-DELCO) and United Nations University-Institute of Advanced Studies (UNU-IAS).
5. The project objective, as stated in the narrative section of the project document, is to increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS in India.

## **II. The Evaluation**

6. This mid-term evaluation of the India ABS Project is part of an evaluation of a portfolio of five GEF projects that UNEP implemented to assist countries in complying with their international obligations related to ABS. The evaluations of the other four projects are terminal evaluations. Because UNEP has extended the India ABS Project until June 2016, it would have been too early to carry out a terminal evaluation as originally planned. The UNEP Evaluation Office agreed, exceptionally, to include an evaluation of the India ABS Project in the UNEP/GEF ABS portfolio evaluation as a late mid-term evaluation, rather than a terminal evaluation.

### **1. Objectives**

7. According to the Terms of Reference (ToR) for the Portfolio Evaluation, the evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners. The evaluation is to identify lessons of operational relevance for future project formulation and implementation. The ToR for the Portfolio Evaluation do not specify any other objectives for the individual project evaluations. The ToR are attached as Annex 1.

## **2. Approach**

8. The ToR for the portfolio evaluation noted that the India ABS Project had not undergone a Mid-Term Evaluation and assumed that the evaluation of the India ABS Project would be a terminal evaluation, as were the evaluations of the other four projects in the UNEP/GEF ABS portfolio. Because the India ABS Project was extended and the evaluation became a mid-term, rather than a terminal, evaluation, the UNEP Evaluation Office specified that the evaluation criteria for the mid-term evaluation would be the same, but that the focus would be more on the learning side, and that recommendations should be for the remaining period of the project.
9. The evaluation followed UNEP's key evaluation principles, which require that evaluation findings and judgements be based on sound evidence and analysis, verified from different sources, and clearly documented. The ToR for the evaluation required that the findings be based on a desk review of project documents and related UNEP/GEF documentation; interviews with project management and stakeholders, representatives of other multilateral agencies and other relevant organizations; and a country visit. The evaluation schedule is attached as Annex 2.
10. The evaluation used a participatory approach to the extent possible and consulted key project stakeholders during the evaluation process. The evaluation used quantitative and qualitative methods to determine project achievements against the expected outputs and outcomes and against projected impacts. In attempting to attribute any outcomes and impacts to the project, the evaluation considered the difference between what happened because of the project and what would have happened without the project. The evaluation also addresses the questions of why things happened and how they are likely to evolve.
11. The evaluator and the Portfolio Evaluation Team Leader had a brief introductory discussion with the newly-appointed Chair of the NBA during the Third Meeting of the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ICNP-3), held in Pyeongchang, Republic of Korea, 24-28 February 2014.
12. The National Project Coordinators of a regional project in the UNEP/GEF ABS Portfolio – the South East Asia Regional ABS Project (ASEAN ABS Project) – requested that the terminal evaluation of that project use a questionnaire to make it as easy as possible for them to provide information for the evaluation. The evaluator for the ASEAN ABS Project, who is also the evaluator for the India ABS Project, developed a questionnaire based on the evaluation ToR and the ASEAN ABS project document. UNEP approved the questionnaire, which was field-tested in one ASEAN country. The questionnaire was adapted and translated into French and Spanish for the evaluations of the Africa and Latin America regional ABS projects. The evaluator adapted the questionnaire for the mid-term evaluation of the India ABS Project; it is attached as Annex 3. For information on persons interviewed for this evaluation, including those nine persons/entities that completed the questionnaire, see Annex 7.

## **3. Limitations**

- a. Representativeness
13. No state that participated in the India ABS project is representative of all, or any, of the others. The five implementing states were selected because they all are home to significant biodiversity and are experiencing biodiversity loss, but they are different geographically, ecologically, culturally and linguistically. Therefore, it was not possible to select a 'representative' state or states to visit for the evaluation. Because of the logistical challenges and expense that visits to Himachal Pradesh, Sikkim, and West Bengal would have involved, the UNEP Evaluation Office agreed with the PMU that the evaluation would visit two project states – Andhra Pradesh and Gujarat.
- b. Timing

14. The UNEP Evaluation Office learned in September 2014 that the India ABS Project had been extended to December 2015 and decided that the evaluation would have to be a late mid-term evaluation rather than a terminal evaluation (see paragraphs 6 and 8). The country visit was scheduled for early February 2015 so that the evaluation visit could coincide with a PSC meeting. This meant that the mid-term evaluation would take place 11 months before the end of the project. In October 2015 UNEP approved India's second request for a no-cost extension until June 2016 (see paragraph 64), which would allow the project more time to implement this evaluation's recommendations.

### **III. The Project**

#### **A. Context**

15. This section provides a brief overview of India's system for implementing ABS at the national level and in the five original implementing states at the time the project began.

##### **1. National**

16. India has been a Party to the Convention on Biological Diversity (CBD) since 1994. The country signed the Nagoya Protocol in May 2011 and became a Party when the Protocol entered into force on 12 October 2014. The NBA is the National Competent Authority for the Nagoya Protocol and the NBA Chairman/National Project Director is India's National Focal Point for the Protocol.
17. In 2002, the country adopted the national Biodiversity Act to provide for the conservation of biological diversity, sustainable use of its components, and equitable sharing of the benefits arising out of the use of biological resources. It is important to note that the scope of ABS in India's national law is much broader than the CBD. The Biodiversity Act defines ABS with respect to biological resources, while the CBD requires ABS for genetic resources only. The Biodiversity Act established the National Biodiversity Authority (NBA), empowered states to establish State Biodiversity Boards (SBBs), required local authorities to create Biodiversity Management Committees (BMCs) and Local Biodiversity Funds (LBFs), and created a National Biodiversity Fund.
18. The Biodiversity Act complemented laws supporting conservation and sustainable use that India had enacted over several decades, strengthened the country's environmental policy framework and legal regime, and reinforced a stable institutional structure for environmental protection and biodiversity conservation. Among the challenges facing India at the time the project was designed was the fact that the country had inadequate information on biological resources, their actual and potential economic value, and the potential for their use. This information gap, coupled with a general nation-wide lack of awareness and experience in administering ABS was, and continues to be, a constraint on decision-making to implement ABS. A lack of methods, guidelines and tools on how to deal specifically with access permits and negotiate benefit sharing agreements also contributed to constraints on realizing the potential for sustainable use of biological resources diversity in the country.
19. The National Biodiversity Authority (NBA), established in 2003 to implement the Biological Diversity Act, is an autonomous body that performs facilitative, regulatory and advisory functions for the GoI related to the conservation of biodiversity, sustainable use of biological resources, and fair and equitable sharing of benefits arising from the use of biological resources. From its headquarters in Chennai, Tamil Nadu, the NBA supports the establishment of SBBs and BMCs nation-wide and advises them once they are established. Any non-national or non-resident person who intends to access any biological resource and/or traditional knowledge found in India, for research or commercial use, must apply to the NBA for approval. Beginning in February 2014, the person serving as the NBA Chairman/National Project Director has been based in the MoEF in Delhi.

20. In 2004, the MoEF issued Biological Diversity Rules to implement the 2002 Biological Diversity Act. The Rules set out procedures for access to biological resources and associated traditional knowledge and establish criteria for equitable benefit sharing.
21. The Biodiversity Act requires local government bodies to constitute BMCs within their areas (Article 41(1)). The national Biological Diversity Rules state that the main function of BMCs is to prepare Peoples' Biodiversity Registers (PBRs), in consultation with local people. BMCs must maintain: the PBRs; information on local practitioners who use biological resources; and records of access to biological resources in their areas. PBRs, which must "contain comprehensive information on availability and knowledge of local biological resources, their medicinal or any other use or any other traditional knowledge associated with them" (Rule 22(6)), provide the basis for implementing ABS. Under the Biodiversity Act, BMCs advise SBBs and the NBA on ABS approvals.
22. The implementing states are creating BMCs at two different levels of local government. Gujarat and Himachal Pradesh establish BMCs at the *panchayat*, or village, level. Andhra Pradesh, Sikkim, and West Bengal establish BMCs at the *taluka* level. In India, a *taluka* is an administrative sub-division that groups villages for revenue purposes. At the time the project was designed, there were already more than 31,500 BMCs in 15 states.
23. In 2009, the NBA created an expert committee to develop guidelines on establishing BMCs and, in 2013, issued *Guidelines for Operationalization of Biodiversity Management Committees (BMCs)*. The Guidelines advise states to establish a "realistic number" of BMCs, according to each state's biodiversity-rich areas and social requirements. Roles and functions of BMCs, the amount and timing for release of start-up funds, indicative costs for preparing Peoples' Biodiversity Registers (PBRs), financial management, technical support, monitoring, and dispute resolution are among the principal issues the Guidelines address.

## 2. State

24. SBBs advise their state governments on issues related to the conservation and sustainable use of biological resources and ABS as the Biodiversity Act defines it. Indian citizens and companies must notify a SBB if they intend to access biological resources for any commercial purpose. After consulting with BMCs and/or local authorities, a SBB may prohibit or restrict any activity that "...is detrimental or contrary to the objectives of conservation and sustainable use of biodiversity or equitable sharing of benefits" (Article 24(2)).
25. When the project document was prepared, 24 of 28 states had established SBBs and 15 states had created more than 31,500 BMCs in total. At the time the project started, all five implementing states had established their SBBs and all except Himachal Pradesh had adopted state Biological Diversity Rules to implement the Biodiversity Act (see Table 2). The project document explains that the five original participating states were selected to represent different geographical areas of the country and different ecological zones.
26. **Andhra Pradesh** established its SBB in 2006 and adopted the Andhra Pradesh Biological Diversity Rules in 2009. Located on the south coast, Andhra Pradesh is one of the largest states in the country. It was selected to represent dry and semi-arid ecological zones. At the time the project document was written, Andhra Pradesh had established 15 (or 18)<sup>4</sup> BMCs and documented five People's Biodiversity Registers.
27. **Gujarat** established its SBB in 2006 and adopted the Gujarat Biological Diversity Rules in 2010. A western coastal state, Gujarat was selected to represent arid, desert ecological zones. The project document indicated that Gujarat had established 21 BMCs but had not prepared any PBRs.

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<sup>4</sup> The prodoc gives two different figures for Andhra Pradesh.

28. **Himachal Pradesh** established its SBB in 2008 and has prepared draft Biological Diversity Rules that had not been issued as of July 2015. Representing the forest ecosystems of the western Himalayas, Himachal Pradesh had established two BMCs at the time the project document was written and had not prepared any PBRs.
29. **Sikkim** established its SBB and adopted the Sikkim State Biological Diversity Rules in 2006. Sikkim represents the forest ecosystems of the northeastern Himalayas. At the time the project document was written, Sikkim had not yet established any BMCs.
30. **West Bengal** established its SBB in 2004 and adopted the West Bengal Biological Diversity Rules in 2005. This eastern coastal state represents the Indo-Gangetic plains and wetland ecosystems, including the Sundarbans. The project document recorded that West Bengal had established 21 BMCs and prepared 13 PBRs.

## B. Objectives and components

31. The project objective, as stated in the narrative section of the project document, is to increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS in India. Section 3.2 of the project document narrative states that the objective is “...to increase...capacities...through implementing ABS *provisions* in India” [emphasis added]. The project results framework/logframe states the objective somewhat differently: “...to increase...capacities...through implementing ABS *agreements* in India” [emphasis added]. The statement of the objective in the project document narrative is broader than the statement of the objective in the logframe.
32. The project has six components. Three components have one expected outcome and three components have two expected outcomes.

**Table 1. Project components and expected outcomes**

Component	Expected outcomes
1: Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands	Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act.
2: Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act	Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened.
3: Piloting agreements on ABS	Better and informed access to biodiversity resources under the provisions of the Act improved / enhanced with equitable benefit sharing provisions.
4: Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime	<ul style="list-style-type: none"> <li>▪ Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels;</li> <li>▪ Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa</li> </ul>
5: Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act	<ul style="list-style-type: none"> <li>▪ Improved understanding of NBA, SBBs and Biodiversity Management Committees (BMCs) of the ABS provisions under the Biological Diversity Act</li> </ul>

Component	Expected outcomes
	<ul style="list-style-type: none"> <li>▪ Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act.</li> </ul>
6: Increasing public awareness and education programs	<ul style="list-style-type: none"> <li>▪ The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS;</li> <li>▪ Public participation including from private sector, academic community, students, civil society organizations, women’s groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act.</li> </ul>

### C. Target areas/groups

33. The target areas of the project are the national level through the NBA, the original five implementing states – Andhra Pradesh, Gujarat, Himachal Pradesh, Sikkim, and West Bengal – and additional states that the project has incorporated since implementation began (see paragraphs 56-62 and Table 2).
34. The project document identified the following as ABS stakeholders in India: government sectors including environment and natural resources, agriculture, fisheries, earth sciences, rural development, health, science and technology, industry, commerce, planning, energy, and finance/customs and excise; the private sector; civil society generally and local communities and non-governmental organizations (NGOs) in particular; and academia. Representatives of these stakeholders were involved in designing the project through focus group discussions, including field visits to BMCs and other consultations, to design the activities under each of the components of the project and to compile comments on the draft proposal.

### D. Key milestones and dates in project design and implementation

35. The Project Information Form (PIF) was re-submitted to GEF on 13 March 2009; information on when it was originally submitted was not available. GEF approved the PIF on 28 April 2009 and approved the Project Preparation Grant (PPG) on 1 May 2009. In March 2011, GEF approved the project and, on 7 June 2011, UNEP approved it. UNEP made the first disbursement to MoEF on 20 June 2011.
36. The NBA launched the project with an inception meeting, 23-24 August 2011. State project launches took place over a period of more than one year (see Table 2).
37. The project has been revised once. The second PSC meeting, in December 2013, agreed to request from UNEP a no-cost extension of the project to 30 June 2015. On 31 July 2014, UNEP approved a project revision that extended the technical duration of the project until 31 December 2015, a 19-month extension. The amendment to the Project Cooperation Agreement between UNEP and MoEF, signed on 24 July 2014, specifies that the agreement remains in force until 30 June 2016, six months after the technical completion date of 31 December 2015, to allow the project to complete all terminal reporting.
38. Key milestones and dates in project design and implementation are set out in a table in Annex 4.

### E. Implementation arrangements

39. The project established a PSC chaired by the MoEF. Since 6 February 2014, the MoEF Chair of the PSC has concurrently served as the NBA Chairman/National Project Director. Other PSC



members include: the NBA Secretary, representatives of the SBBs of the five implementing states; the Directors of the Botanical Survey of India (BSI) and the Zoological Survey of India (ZSI) (see paragraphs 53 and 55, respectively); representatives of UNEP-GEF, UNEP-DELG (see paragraph 51), and UNDP (see paragraph 54); and designated MoEF officials, including the country's CBD and GEF Focal Points. The PSC has met four times: January 2013; December 2013; June 2014; and February 2015.

40. The NBA created the PMU whose core staff include: the national Project Manager; Finance Manager; Project Associate/economist; Computer Specialist; and Secretary. The PMU also brings in consultants with expertise in issues related to ABS, as required. The process of recruiting the national project manager was completed in August 2012, one year after the NBA launched the project. Non-availability of suitable candidates was reported as the reason for the delay.
41. The SBB of each implementing state created a SPU whose core staff include: the state project coordinator; scientific/technical assistant; finance assistant; and computer assistant. SBBs identify 'Technical Support Groups' (TSG) to assist BMCs in preparing their PBRs. TSGs may be NGOs, research institutions, and/or other qualified bodies.
42. As of February 2015, the project did not yet have formal agreements with project partners BSI, ZSI, and UNU-IAS. At the first PSC meeting, the BSI director noted that his institution has offices in three participating states – Andhra Pradesh, Sikkim and West Bengal – and offered BSI support, with the understanding that the project would keep BSI informed about project activities in those States. During the December 2013 PSC meeting, the NBA Chairman invited BSI and ZSI to make proposals for their involvement in the project, indicating whether that would require project funding. As of February 2015, ZSI had prepared a costed proposal for it to function as a long-term TSG for preparing PBRs and for validating information on fauna in PBRs prepared with the support of other TSGs.
43. UNU-IAS is the only project partner, other than UNEP, whose in-kind co-financing was reflected in the original project budget (see paragraph 45). During 2011-2013, UNU-IAS provided *ad hoc* input for the project, as required, beginning with the inception meeting. Because there has not been a formal agreement, UNU-IAS has not had a formal reporting line to the project, but has informally reported to the PMU. At the second PSC meeting in December 2013, UNU-IAS proposed a workplan for its input into each project component during the period December 2013-December 2014. Each proposed activity would have UNU-IAS in-kind support and would also require an allocation of project funds. One proposed activity was for a patent monitoring system that would require a substantial cash investment of project funds. The third PSC meeting, in June 2014, approved the UNU-IAS workplan, on the conditions that UNEP transfer funds directly from the project's GEF resources and that the NBA would manage all technical aspects of the workplan. At the PMU's request, UNU-IAS updated and re-submitted the workplan in February 2015. The fourth PSC meeting, in February 2015, decided that setting up a patent monitoring system required further coordination with other government bodies and that the NBA and UNU-IAS could proceed with the other activities in the proposed workplan. In April 2015, at the PMU's request, UNU-IAS re-submitted a revised workplan without the activity to develop a patent monitoring system. As of September 2015, an agreement with UNU-IAS was still in process.

## **F. Project financing**

44. The total budget is USD9,839,000 of which USD3,561,000 is a cash contribution from GEF.
45. The project document is inconsistent with respect to co-financing (see Annex 5):
  - Sections 1.1 and 7.2 of the project document gave the Gol's cash co-financing contribution as USD1,535,000 while the budget in Appendix 2 of the project document showed a total Gol cash co-financing contribution of USD2,438,000;

- Sections 1.1 and 7.2 of the project document showed UNDP as contributing US\$1,000,000 in cash co-financing; the project budget did not indicate any cash co-financing from UNDP;
  - Sections 1.1 and 7.2 of the project document gave the GoI's in-kind co-financing contribution as US\$1,810,000; the project budget showed the GoI's in-kind co-financing contribution as US\$3,190,000;
  - Section 7.2 and the project budget in Appendix 2 of the project document indicated that UNEP-DELC and UNU-IAS would contribute US\$400,000 and US\$250,000, respectively, of in-kind co-financing;
  - Section 7.2 of the project document specified that the SBBs, ZSI, and BSI would jointly contribute US\$1,283,000 of in-kind co-financing; the project budget did not reflect any in-kind co-financing other than from UNEP and UNU-IAS.
46. The original budget allocated GoI cash co-financing of US\$2,438,000 across most UNEP budget lines; GoI in-kind co-financing of US\$ 3,190,000 was allocated across all UNEP budget lines except for project personnel, administrative support, and travel. The original budget allocated co-financing from UNEP-DELC and UNU-IAS to budget lines for training and workshops.
47. The July 2014 project revision confirmed US\$1,535,000 in cash co-financing from GoI and re-allocated in-kind co-financing to a total of US\$4,743,000: US\$1,810,000 from GoI; and a total of US\$2,933,000 from SBBs in the original five implementing states; UNDP; and project partners the Zoological Society of India (ZSI), the Botanical Survey of India (BSI), UNEP-Division of Environmental Law and Conventions (UNEP-DELC) and United Nations University-Institute of Advanced Studies (UNU-IAS). The project revision gives only a lump sum for in-kind co-financing from project partners and does not provide a breakdown. The project has not produced a report on in-kind co-financing.
48. The project has not reported any leveraged funding. Two SBBs – Gujarat and Sikkim reported having raised funds from sources external to the project to supplement project funding, but did not specify the amounts or the sources.
49. The review of financial planning and management is in paragraphs 209-227.

## **G. Project partners**

50. The NBA project website includes GEF in a list of project partners. This section briefly describes each partner listed on the website, with the exception of GEF. Two of those partners, UNEP-DELC and UNU-IAS, are contributing in-kind co-financing (see paragraphs 45-46). Other partners are described in alphabetical order, following the descriptions of UNEP-DELC and UNU-IAS.
51. **UNEP Division of Environmental Law and Conventions (UNEP-DELC).** The foundation for DELC's strategy and work during the decade that commenced in 2010 is the Montevideo Programme for the Development and Periodic Review of Environmental Law. DELC's work focuses on three interconnected areas of international environmental law and governance, one of which is supporting the implementation of multilateral environmental agreements (MEA). At the national level, DELC assists countries to develop national approaches to implementing MEAs through a thematic, clustered approach as opposed to implementing on an ad hoc MEA-by-MEA basis. DELC provides policy advice and technical assistance and training to national focal points. A representative of UNEP-DELC sits on the PSC.
52. The **United Nations University-Institute of Advanced Studies (UNU-IAS)** carries out research, education and training in three thematic areas, one of which is natural capital and biodiversity. UNU-IAS is based in Tokyo, at the global headquarters of UNU. It is one of 13 institutes and programmes, located in 12 different countries, which together comprise UNU. UNU-IAS is the only project partner that is not a member of the PSC. Prior to the second PSC meeting, the NBA Chairman requested the PSC Chair to invite UNU-IAS to be a member of the PSC. At the second PSC meeting, the UNEP-GEF representative suggested that a representative of UNU-IAS be

invited to attend PSC meetings. The PSC Chair indicated that decisions on UNU-IAS participation in PSC meetings would be taken on a case-by-case basis, depending on whether the minutes of the previous PSC meeting indicated a need for UNU-IAS input in the subsequent one.

53. The **Botanical Survey of India (BSI)** was established in 1890 to explore the plant resources of the country and identify plant species with economic value. In 1954, after independence, the Government reorganized the BSI to focus on documenting plant resources nation-wide, compiling and distributing educational materials, and acting as the custodian of the country's collections of flora in well-planned herbaria. The BSI is based in Kolkata, West Bengal, and has regional offices in two other implementing states – Andhra Pradesh and Sikkim. The BSI is a member of the PSC.
54. The **United Nations Development Programme (UNDP)** has worked in India since 1951 and has collaborated with the MoEF on biodiversity and CBD-related issues in general for years. During 2009-2012, UNDP partnered with MoEF on the project “Strengthening Institutional Structures to Implement the Biological Diversity Act” in two states – Madhya Pradesh and Jharkhand.<sup>5</sup> Similar to the India ABS Project, the UNDP/GEF project aimed to build capacity in the NBA and in SBBs and BMCs in the two participating states. UNDP is a member of the PSC.
55. The **Zoological Survey of India (ZSI)** was established on 1 July 1916 to promote survey, exploration and research leading to the advancement of knowledge about the exceptionally rich life in what was, at that time, the British Indian Empire. Based in Kolkata, West Bengal, the ZSI today uses an integrated approach to purpose-oriented zoological research. Taxonomy continues to occupy a prominent role in its work. The current ZSI Director was involved in developing the proposal for the India ABS Project and ZSI is a member of the PSC.

## H. Changes in design during implementation

56. The most significant change to the project design since implementation began is the recommendation of the second PSC meeting, in December 2013, to expand the project to five additional states, subject to the availability of project resources. In June 2014, one month after the project's original completion date and one month before the project extension, the third PSC meeting approved extending the project to an additional five states and two Union Territories<sup>6</sup>. The five additional states are: Goa; Karnataka; Odisha; Telangana; and Tripura. The two Union Territories are the National Capital Territory of Delhi and the Andaman and Nicobar Islands. The five original implementing states were selected based on important ecosystem types in each. The minutes of the third PSC meeting indicate that Telangana was included as a new state because it was created from Andhra Pradesh, one of the original implementing states. The Andaman and Nicobar Islands were included to commemorate the fact that the theme for the 2014 International Day for Biological Diversity was island biodiversity, which coincided with the United Nations General Assembly designating 2014 as the UN International Year of Small Island Developing States. The PSC meeting minutes do not explain the basis for choosing the other additional states and the National Capital Territory of Delhi.
57. **Goa** established its SBB in 2004 and adopted the Goa Biological Diversity Rules in 2005. Located on the west coast, Goa is the smallest state in India. It borders Karnataka, another of the

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<sup>5</sup>UNDP in India. Strengthening Institutional Structures to Implement the Biological Diversity Act. [http://www.in.undp.org/content/india/en/home/operations/projects/environment\\_and\\_energy/strengthening\\_institutional\\_structures\\_to\\_implement\\_the\\_biological\\_diversity\\_act/](http://www.in.undp.org/content/india/en/home/operations/projects/environment_and_energy/strengthening_institutional_structures_to_implement_the_biological_diversity_act/). Accessed 5 May 2015.

<sup>6</sup> A Union Territory is an administrative unit of India; there are a total of seven. The National Capital Territory of Delhi is one of two Union Territories that has partial statehood and its own elected government, including a legislative assembly, executive council of ministers, Chief Minister, and Lt. Governor. The Andaman and Nicobar Islands are one of the five Union Territories that the Gol governs directly, through an appointed administrator.

additional project states. Goa establishes BMCs at the *panchayat* level. There are 190 *panchayats* in the state and 60 BMCs have been established since 2012.

58. **Karnataka** established its SBB in 2003 and adopted the Karnataka Biological Diversity Rules in 2005. Located in southwestern India, it is a coastal state that borders Andhra Pradesh and Goa. Karnataka establishes BMCs at the *taluka* level; there is potential for creating approximately 6,000 BMCs in the state. By January 2015, Karnataka had established its SPU. Prior to becoming a project participating state, Karnataka had established 4,300 BMCs and has established 20 under the project. Karnataka's goal is to establish BMCs at the *taluka* level first and then determine whether they need to be established at the *panchayat* level.
59. **Odisha** established its SBB in 2009 and adopted the Odisha Biological Diversity Rules in 2012. Located on the northeast coast, Odisha borders three other project states: Andhra Pradesh, Telangana, and West Bengal.
60. **Telangana** is India's 29<sup>th</sup> and newest state, created in 2014 from the northwest part of Andhra Pradesh. It established its SBB in 2014 and in the same year adopted the Andhra Pradesh Biological Diversity Rules to implement the Biological Diversity Act in the state. Telangana establishes BMCs at the *taluka* level. As of January 2015, there are 50 BMCs in Telangana, work has begun on two PBRs, and there are no ABS agreements yet but a great deal of potential for them.
61. **Tripura** established its SBB in 2008 and adopted the Tripura Biological Diversity Rules the same year. Located on the northeast coast, it is one of the smaller states in India, along with Sikkim and Goa.
62. **The Union Territories (National Capital Territory of Delhi and Andaman and Nicobar Islands)** do not have their own SBBs. In the Union Territories, the national Biodiversity Act and Biological Diversity Rules regulate ABS. The Andaman and Nicobar Islands are an archipelago in the southeastern Bay of Bengal.
63. The project revision document approved in July 2014 did not revise the project goal or objectives and did not indicate that the project was taking on five additional states and two Union Territories. The revision included workplans for January-June 2014 and July 2014-June 2015. The workplans made only one change to the activities set out in the project document, increasing the target for one activity.
64. During June-December 2014, the project recruited most staff for the SPUs in Goa, Karnataka and Tripura and developed budgets and workplans for all five additional implementing states. As of February 2015, project implementation had not yet begun in the two Union Territories. In order to allow the additional implementing states and Union Territories adequate time to achieve results, the February 2015 PSC meeting agreed to request UNEP to grant the project another no-cost extension, to 30 June 2016, which would extend the project period to 61 months. The PMU produced an Activity Plan for July 2015-June 2016, assuming that the extension would be granted. UNEP granted the extension at the PSC meeting in October 2015. Table 2 summarizes the situation in all 10 participating states and the two Union Territories in September 2015.

**Table 2. Project Participating States and Union Territories**

State/Union Territory	SBB created	Government Department hosting SBB	State BD Rules adopted	Project formally launched	Project activities initiated
Andhra Pradesh	2006	Forest Dept.	2009	11 Nov 2011	Oct 2011
Gujarat	2006	Forest Dept.	2010	7 Feb 2012	9 Aug 2011
Himachal Pradesh	2008	Forest Dept.		3 Jul 2012	8 Oct 2011

State/Union Territory	SBB created	Government Department hosting SBB	State BD Rules adopted	Project formally launched	Project activities initiated
Sikkim	2006	Forest Dept.	2006	8 Dec 2012	Oct 2011
West Bengal	2004	Forest Dept.	2005	1 Dec 2011	14 Jun 2011
Goa	2004	Science, Technology & Evt. Dept.	2005	25 Sep 2014	Sep 2014
Karnataka	2003	Forest Dept.	2005	25 Sep 2014	25 Sep 2014
Odisha	2009	Forest & Evt. Dept.	2012	25 Sep 2014	1 Jun 2015
Telangana	2014	Forest Dept.	2014 <sup>7</sup>	3 Mar 2015	3 Jun 2015
Tripura	2008	Forest Dept.	2008	25 Sep 2014	25 Sep 2015
Andaman & Nicobar Islands	NA	NA	NA	Yet to begin	Yet to begin
Delhi	NA	NA	NA	Yet to begin	Yet to begin

## I. Reconstructed Theory of Change

65. The India ABS Project was designed, approved, and being implemented before UNEP required use of the Theory of Change approach. Nevertheless, the project document included a diagram of an “impact pathway for enhanced well-being and conservation of biodiversity and benefit sharing”, but did not provide any explanation or discussion of the diagram. In its section on incremental cost reasoning, the project document stated, “[t]he project envisages significant impacts in terms of providing access to its biological resources and/or associated knowledge and sharing of benefits effectively and efficiently”. In the same section, the project document stated “[t]he project shall help the NBA to ensure fair and transparent benefit sharing with stakeholders”. In its section on sustainability, the project document stated that. “[s]ustainability of the project...will primarily depend on visible impact and benefits to the local communities”. Reading these statements together, it is possible to infer that the project document implied that if the NBA has the capacity to assure that benefits from using biological resources are shared with stakeholders, the results of the project will be sustainable. This evaluation was therefore partly a process of retro-fitting a Theory of Change onto the project. The retro-fitted Theory of Change uses elements from the project document to the extent possible. Annex 6 presents a diagram of the reconstructed Theory of Change.
66. GEF investments require delivery of global environmental benefits (GEB) in focal areas that correspond to the subject matter of the principal MEAs whose implementation GEF supports. In the case of ABS, the focal area is biodiversity and the corresponding GEB is the third objective of the CBD: fair and equitable sharing of the benefits arising from the utilization of genetic resources, including by appropriate access to genetic resources.<sup>8</sup> The other two CBD objectives are: the conservation of biological diversity; and the sustainable use of its components.
67. The impact pathway in the project document indicated that the project’s impact would be “enhanced benefit sharing & biodiversity conservation through better implementation of ABS provisions of BD Act”. This was consistent with the narrative section of the project document.
68. The project design identified nine project outcomes (see paragraph 32); the impact pathway diagram in the project document included variations on four of those outcomes.
69. The impact pathway diagram in the project document did not reflect medium-term outcomes. The reconstructed Theory of Change identifies three potential medium-term outcomes on the causal pathway that the project outcomes and direct outcomes may be expected to open up:

<sup>7</sup> Telangana adopted the Andhra Pradesh Biodiversity Rules, 2009.

<sup>8</sup> GEF. 2013. Global Environmental Benefits. <http://www.thegef.org/gef/GEB> Accessed 9 July 2014.

1. Implementation of the Biodiversity Act is enhanced at all levels;
  2. Tools for implementing ABS are available in local languages and are being used in developing ABS agreements and in decision-making; and
  3. SBBs and BMCs in participating states are models for implementing ABS in other states.
70. The impact pathway diagram in the project document did not reflect intermediate states and showed the project's objective as the impact. The reconstructed Theory of Change uses as intermediate states two conditions the project document identified as sufficient to assure the sustainability of the project's components:
1. BMCs are functioning effectively; and
  2. Benefits are flowing to communities.
71. The impact pathway diagram in the project document did not reflect drivers – the project document did not consider drivers at all. The logframe included as assumptions six statements that can be interpreted as drivers in the sense that UNEP uses the term for the purposes of evaluation (external factors over which the project has a certain level of control):
1. Concerned SBBs effectively undertake assessments as prescribed in the manuals (Component 1);
  2. The economic potential of biodiversity attracts prospective users (Component 3);
  3. The NBA establishes links with ABS focal agencies in other countries (Component 4);
  4. Effective communication is established between SBBs and BMCs (Component 5);
  5. The public and private sectors are willing to participate (Component 6); and
  6. Media involvement (Component 6).
72. Project reporting implies a seventh driver – “required number of functional BMCs available to interact with ABS project team” (see paragraph 87). A final, and very important driver is the project's implied intent to create, strengthen, and maintain effective working relationships among the NBA, SBBs, and BMCs.
73. The impact pathway diagram in the project document did not reflect assumptions. The logframe in the project document made one assumption at the level of the project objective – that adequate financial and technical support is available – and repeated it as an assumption for project components 1 and 2. The logframe includes one other assumption at the project component level: that training facilities are available at state level (Component 5). Respondents to the evaluation questionnaire articulated two other project-level assumptions:
1. Socio-political unrest does not affect project implementation; and
  2. There are no substantive amendments to the Biodiversity Act or Rules that change the foundation on which the project is based.
74. The reconstructed Theory of Change proposes four common drivers from project outcomes to medium-term outcomes to intermediate states to impact:
1. Institutions and communities generate revenue from ABS to sustain Biodiversity Funds;
  2. National, state and local governments actively implement ABS;
  3. All stakeholders continue to increase awareness and maintain commitment to ABS; and
  4. User industries understand and support the needs of communities that conserve biological resources.
75. The reconstructed Theory of Change proposes three common assumptions that could potentially affect the prospects that the project's outcomes will progress to direct outcomes to medium-term outcomes to intermediate states and to impact:

1. States provide adequate budgetary support for SBBs;
2. Amendments to the BD Act or Rules do not substantively change the basis for implementing ABS; and
3. Loss of project staff will not reduce SBBs' capacity to implement ABS.

#### **IV. Evaluation Findings**

76. The evaluation findings are based on: a brief introductory discussion on the sidelines of the ICNP-3 with the NBA Chair; interviews with PMU staff; a round table discussion with representatives of seven participating states on the sidelines of a related meeting in Chennai; interviews with representatives of the SBBs and/or SPU of the original five implementing states; field visits, and informal discussions with SPU staff and project partners during the field visits, in Andhra Pradesh and Gujarat; interviews with two non-state PSC members; and 9 responses to the questionnaire (see Annex 7).

##### **A. Strategic relevance**

77. The India ABS Project was one of five in a UNEP/GEF portfolio of projects supporting implementation of the CBD's provisions on ABS. All five projects in the ABS Portfolio had a common goal – to assist countries in implementing ABS. The projects were carried out at the global level, at the national level in India, and at the regional level in Africa, Latin America, and South East Asia. The India ABS Project and the regional projects were funded under the fourth replenishment of the GEF Trust Fund (GEF-4); the global project was funded under the fifth replenishment (GEF-5).<sup>9</sup>
78. The biodiversity focal area strategy and strategic programming for GEF-4 defined building capacity on ABS as a long-term objective and a strategic programme. The Ninth Conference of the Parties to the CBD, in 2008, called for strengthened efforts to build capacity for ABS and invited UNEP and other intergovernmental organizations to facilitate regional activities to do this. The India ABS Project responded to the GEF-4 strategy and the CBD call for action to implement it. The strategic programme in the GEF biodiversity strategy for GEF-4 (1 July 2006 to 30 June 2010) entitled "Building Capacity on Access and Benefit Sharing (ABS)" was carried over to GEF-5 (1 July 2010 to 30 June 2014).<sup>10</sup>
79. The project document explained that for India, protecting its biodiversity is a critical national priority because it is linked to the local livelihoods of millions of people in the country. India was an early signatory of the CBD and promulgated the Biodiversity Act and issued the Biodiversity Rules within 10 years of the CBD coming into force. The Biodiversity Act and Rules regulate ABS at the national, state and local levels (see paragraphs 17-21). The project document cited several national policies and plans that established building capacity to strengthen the implementation of the Biological Diversity Act as a national priority.
80. The majority of respondents who provided information for the evaluation in one or more ways (from now on, simply "respondents") rated ABS as a high national priority and indicated that they believe that the project's objectives are consistent with national issues and needs with respect to ABS.
81. The majority of respondents also expressed the opinion that the project's objectives, expected outcomes, and activities are highly relevant. They perceived the project's third outcome – 'better and informed access to biodiversity resources under the provisions of the Act improved/enhanced with equitable benefit sharing provisions' – as being the most relevant.

<sup>9</sup> Global Environment Facility (GEF). 2012. GEF Investments in Support of Access and Benefit Sharing (ABS). September. p. 8. <http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-ABS-9-6-2012.pdf>

<sup>10</sup> GEF maintains its strategic focus on ABS with GEF-6(1 July 2014-30 June 2018). Under its Biodiversity Focal Area Strategy, GEF-6 includes Program 8: Implementing the Nagoya Protocol on Access and Benefit Sharing.

82. The India ABS project was designed during 2009-2010. For the period 2010–2013, environmental governance was one of UNEP’s cross-cutting thematic priorities. One of the expected accomplishments under this priority was “[t]hat States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions”. At the time of project implementation, 2011-2014, the UNEP Medium-term Strategy did not explicitly mention ABS, but focused on supporting states to implement international environmental obligations more generally. The India ABS Project was designed to build capacity to implement the country’s Biodiversity Act, which implements the CBD.
83. The overall rating on relevance is satisfactory.

#### **B. Achievement of outputs**

84. The project document included a table of activities and key deliverables for each project component. The project document did not identify mid-term targets. The FY2012 PIR introduced mid-term targets, which the 2013 and 2014 PIRs subsequently modified.
85. Project reporting in the Project Implementation Reviews (PIRs) includes lists of events, publications, and other things the project did during each reporting period, but does not correlate those things with project components and activities. Each PIR includes a table on project implementation progress which indicates the status of each activity as a percentage of achievement. There is no cross-referencing between the lists of things the project did and the table that gives the status of each activity. Annex 8 attempts to rationalize the relationships among project components, outputs, and activities as they were set out in the project document and in the 2012-2014 PIRs. It includes the mid-term targets from the FY2012-FY2014 PIRs and the progress toward completing each activity as of the FY2014 PIR and, to the extent possible, correlates the lists of things the project has done with project activities and implementation status as reported in the PIRs. Annex 8 also reflects information from the reports of Project Steering Committee meetings and information gathered from other sources during the evaluation process.
86. The most recent report on project implementation available for the evaluation was the FY2014 PIR for the period 1 July 2013-30 June 2014. The project’s original completion date was May 2014. The FY2014 PIR therefore reported on the status of the project’s progress as of one month past its original completion date and one month before the project was formally extended. The project’s activity plans for January 2014-June 2016 correspond to the key deliverables as described in the project document and omit one activity that the project added shortly after it began.
87. Please refer to paragraphs 21-23 on the role of BMCs in implementing ABS. The text of the project document said that the project would support creating 40 BMCs in the five original implementing states, but did not specify whether each state was supposed to create the same number of BMCs. The PIRs for FY2012, FY2013, and FY2014 list “required number of functional BMCs available to interact with ABS project team” as a mid-term target of Component 1, but that component has no corresponding project output or activity supporting the creation of BMCs. The PMU explained that there is no activity supporting the creation of BMCs because the Biodiversity Act requires local governments to create them. What the PIRs refer to as a project target with respect to BMCs must therefore be understood to be a project driver – an external condition or factor that the project can influence, rather than an output the project can deliver. The project’s outputs do include training for BMCs (see paragraphs 122, 124-125) and supporting BMCs in preparing PBRs (see paragraph 104). Table 3 presents the information available on BMCs created prior to and during the project in the participating states and Union Territories.



**Table 3. Biodiversity Management Committees in Participating States and Union Territories**

State/Union Territory	Pre-Project BMCs <i>(source: project document unless otherwise indicated)</i>	Project target for BMCs <i>(source: PMU)</i>	BMCs created during the project, up to January 2015
<b>Original Participating States</b>			
Andhra Pradesh <sup>11</sup>	approximately 600 <i>(source: AP SBB)</i>	25	25 <i>(source: AP SBB)</i>
Gujarat	5	50	50 <i>(source: GSBB)</i>
Himachal Pradesh <sup>12</sup>	2	50	50 <i>(source: HP SBB)</i>
Sikkim	0	25	13 <i>(source: Sikkim SBB)</i>
West Bengal <sup>13</sup>	21	50	50 <i>(source: WB SBB)</i>
<b>Additional Participating States and Union Territories</b>			
Goa	5	20	6 <i>(source: PMU)</i>
Karnataka <sup>14</sup>	3,287	20	20 <i>(source: KSBB)</i>
Odisha	<i>Information not available (source: PMU)</i>	20	<i>Information not available (source: PMU)</i>
Telangana <sup>15</sup>	<i>State created in 2014</i>	35	50 <i>(source: AP SBB)</i>
Tripura	4	20	<i>Information not available (source: PMU)</i>
Andaman & Nicobar Islands	NA <i>(source: PMU)</i>	20	<i>Information not available (source: PMU)</i>
Delhi	NA <i>(source: PMU)</i>	NA	Information not available <i>(source: PMU)</i>

88. In 2013, the project published the *Biodiversity Management Committees Operational Tool Kit*, in English, and made it available on the project website. The Tool Kit includes the Guidelines for Operationalizing BMCs, which the NBA published separately in 2013. The Tool Kit was a joint effort of the India ABS Project and the UNDP project that also supported implementing the Biodiversity Act (see paragraph 54); the India ABS Project did not include an activity to produce the Tool Kit. The Gujarat SPU translated the Tool Kit into Gujarati and the SBB published it in 2013. Goa translated it into Konkani and Marathi, two languages spoken in the state. The Goan translations are available on the project website; the Gujarati translation is not available on the project website or on the Gujarat SBB website. Andhra Pradesh and Sikkim planned to publish

<sup>11</sup> Andhra Pradesh had created 65 BMCs under the project at the time Telangana was created in 2014. The reorganization left Andhra Pradesh with 15 BMCs and the state subsequently created 10 additional BMCs. As of September 2015, the State Biodiversity Board website listed 1,102 BMCs, a significant number of which were created during 2014-2015.

<sup>12</sup> The Himachal Pradesh SPU indicated that the state had 10 BMCs by the time the project started and had approximately 110 BMCs as of January 2015. The State Biodiversity Board website lists 14 BMCs but does not give a date for that information.

<sup>13</sup> The West Bengal State Biodiversity Board website lists 182 BMCs in the state, but does not give the date for that list. The website also has an interactive map showing the status of BMCs and PBRs by district.

<sup>14</sup> The Karnataka SBB website has a document titled "Total No. of BMCs formed at G.P Level till date", but the document is not dated. It indicates that Karnataka has formed a total of 4,385 BMCs at the *gram panachayat/village level* (see paragraph 55b).

<sup>15</sup> In the reorganization which created the new state of Telangana from Andhra Pradesh, Telangana acquired 50 BMCs.

local language translations in early 2015. As of January 2015, there was no report of plans for Himachal Pradesh and West Bengal to translate and publish the Tool Kit in local languages. On 9 December 2015, the West Bengal SBB reported that the translation into Bengali was complete and the document was in press.

89. The evaluator visited two BMCs – Pinakota in Visakhapatnam District in Andhra Pradesh and Navagam in Dediapada District in Gujarat. In Pinakota and Navagam, NGOs and academics had been working with the communities before the BMCs were created and had already supported them in establishing cooperation mechanisms that facilitated the formation and operation of the BMCs.
90. **Pinakota BMC** was created in early 2014.<sup>16</sup> The Kovel Foundation<sup>17</sup> has been working with the 22 hamlets that constitute Pinakota Village for several years on issues related to tradable bio-resources and continues the same work as the project's Technical Support Group (TSG) for the BMC. The Local Biodiversity Fund (LBF) has been established, the BMC has purchased basic office equipment and set up its bookkeeping and other operational mechanisms, and the BMC meets monthly. Each BMC member is assigned a number of hamlets within the village and is responsible for liaison with them. The BMC is using Kovel's model for distributing benefits; each family is receiving approximately INR 5,000 per year. Although the Guidelines for Operationalization of BMCs specify that BMCs may use their funds to procure services, the BMC requested the SBB to cover the costs of the villager who is responsible for operating the gate leading to the village and controlling who has access to village resources. The village not only provides resources to other users, but has also started adding value by drying selected resources and marketing them.
91. **Navagam BMC** was established on 25 September 2013. There are 35 villages in Dediapada District; 26 of them have BMCs whose PBRs are complete. For more than 10 years, professors from St. Xavier's College, also located in Dediapada District, have been studying medicinal plants in collaboration with traditional healers in the district. The academics initiated a development programme to support the traditional healers' families and partnered with Jeevanti, a foundation based in Gandhinagar, which brought in expertise in planning for participatory natural resource management as well as technical assistance. The Gujarat State Forest Development Corporation provides medicinal plants for cultivation. Navagam BMC is part of this well-developed programme that is leveraging funds and producing ayurvedic medicines, cosmetics, and other herbal products and marketing them within Gujarat. The BMC has purchased basic office equipment and set up its bookkeeping and other operational mechanisms. The BMC wants to establish a seed bank and a nursery of rare and important medicinal plants from the area, protect the forest their livelihood depends on, and extract menthol, among other activities. The prospect of funding through ABS has clearly been an incentive, but is not as significant for this BMC that is already part of an established development initiative.
92. The project's six components encompassed a total of 29 activities. As of 30 June 2014, one month beyond the original termination date, the project reported 60%-85% completion of 15 activities and 30%-50% completion of 14 activities in the project's five original participating states (see Annex 8).

Component 1: Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands

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<sup>16</sup> The Andhra Pradesh SBB website does not list Pinakota among the 1,102 BMCs in the state.

<sup>17</sup> The Kovel Foundation, established in 1994, is a trust created by collectives of non-timber forest produce collectors. Its goal is to support poor indigenous communities in maintaining sustainable livelihoods.

93. Component 1 has one output – developing standard economic valuation methods. Four activities contribute to achieving to that output (see Annex 8). As of 30 June 2014, one activity was reportedly 80% complete, one was 75%, one was 60%, and one was 50%.
94. **Activity 1.1: Develop standardized economic valuation methods for valuing biodiversity in forest, agriculture and wetland ecosystems with potential for ABS.** This activity was reported as 60% complete as of 30 June 2014. It involved substantial research and consultations with environmental economists and potential stakeholders. UNU-IAS has particularly contributed to this component. The project published *Economic Valuation of Bio-Resources for Access and Benefit Sharing*, which proposes six methodologies that correspond to categories of resources, rather than to ecosystems as the project document proposed. The project carried out valuation exercises on selected biological resources in all five original participating states. The project continues testing these methodologies and refining them based on the results of the testing. The Activity Plan for July 2015-June 2016 indicated that the PMU and SPUs are jointly responsible for this activity and projected that it would be completed by December 2015.
95. **Activity 1.2: Organize three national workshops and five state level workshops on understanding the valuation methodology and using the same in decision making.** This activity was reported as 80% complete as of 30 June 2014. The PMU has organized two national workshops and each of the five original participating states has organized at least one. This activity appears to overlap with Activity 5.2, which originally called for two national trainings on linking the potential value of economics with ABS agreements (see paragraph 123). The reported percentage of achievement is the same for Activity 1.2 and Activity 5.2. The Activity Plan for July 2015-June 2016 projected that workshops in the new states and Union Territories would be completed by December 2015.
96. **Activity 1.3: Develop methodology and guidance on using the economic valuation in deciding on ABS permits.** This activity was reported as 75% complete as of 30 June 2014. The project has published two background papers and a literature review, in addition to *Economic Valuation of Bio-Resources for Access and Benefit Sharing*, and developed a pull-up poster on economic valuation of biodiversity. All of these are available in English on the project website and on a CD. The publications are reportedly being translated into the languages of all participating states. The FY2012 and FY2013 PIRs reported that the project had produced fact sheets on economic valuation. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by December 2015.
97. **Activity 1.4: Develop a database covering the economic valuation information in finalizing ABS agreements.** This activity was reported as 50% complete as of 30 June 2014. The project document is ambiguous on whether there is to be a national database, or state databases, or both. The project is focusing on compiling information on tradable biological resources in each participating state. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by January 2016.

Component 2: Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act

98. Component 2 has two outputs: guidelines for implementing ABS; and PBRs. Five activities contribute to the first output and one activity contributes to the second. As of 30 June 2014, two activities under the first output were reported as 40% complete; the other three activities were reportedly 60%, 70%, and 85% complete. The activity related to PBRs was reported as 50% complete.
99. **Activity 2.1: Undertake gap analysis in the existing PIC, MAT, MTA and BS agreements.** This activity was reported as 70% complete as of 30 June 2014. The only project action reported in the FY2012-FY2014 PIRs that appears to be related to this activity is a panel discussion on gap analysis on policy issues and awareness for implementation of ABS provisions within the BD Act,

held in Kolkata, West Bengal, on 29 July 2013. Activity 4.1 is a similar gap analysis which is reportedly only 50% complete (see paragraph 114). The Activity Plan for July 2015-June 2016 indicated identical activities for Activities 2.1 and 4.1. Activity 2.1 was supposed to be carried out July-December 2015. Activity 4.1 was scheduled for July 2015-March 2016. Based on the information in project documentation, it appears that Activity 2.1 could not have been 70% complete as of 30 June 2014.

100. **Activity 2.2: Develop guidelines on PIC, MAT, MTAs and benefit sharing mechanisms at national, state and local levels.** This activity was reported as 85% complete as of 30 June 2014. Output 2.1 is for state-level guidelines only. Activity 2.2 specifies guidelines at national, state and local levels. As of January 2015, Andhra Pradesh and Himachal Pradesh reported having completed state guidelines. Gujarat reported that it would develop guidelines during the project extension period. No information was available on the status of developing state guidelines in Sikkim and West Bengal. This activity could be considered 85% complete only if Sikkim and West Bengal had completed guidelines by 30 June 2014, and the project did not report that this had been done. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by February 2016.
101. **Activity 2.3: Develop and deliver training on negotiation skills, benefit sharing agreements, IPR protection and TK documentation.** This activity was reported as 40% complete as of 30 June 2014. Activity 5.1 is also training on negotiation skills, which is reportedly 30% complete (see paragraph 122). The FY2012-FY2014 PIRs report only one related project activity: training on IPR and TK, held in West Bengal in May 2013. The Activity Plan for July 2015-June 2016 divided this activity into two parts – one focused on negotiation skills training and one focused on documenting TK. The Activity Plan indicated that Activity 2.3 would complete the negotiation skills training manual by December 2015 and that Activity 5.1 would carry out the training. Documenting TK is to be completed by November 2015.
102. **Activity 2.4: Develop regulatory framework on benefit sharing to implement the Act.** This activity was reported as 40% complete as of 30 June 2014. The FY2014 PIR reported that the PMU supported the NBA Secretariat in developing ABS guidelines, that the NBA approved the guidelines in January 2014, and that there was another version of the guidelines in April 2014. The Notification on Access and Benefit Sharing Guidelines was published in the Gazette of India on 21 November 2014. The only other indication of an activity related to the regulatory framework for benefit sharing was that the project commented on draft guidelines for the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and prepared the file for the NBA approval process. It is not clear what other actions the project expected to take, or will take, with respect to this activity. The Activity Plan for July 2015-June 2016 did not indicate any action for Activity 2.4 and stated that developing the regulatory framework would be done under Activity 5.4, which is orientation for sectoral ministries and, apparently, completely unrelated.
103. **Activity 2.5: Establish technical support team to help implement the provisions of the Act related to ABS.** This activity was reported as 60% complete as of 30 June 2014. As of January 2015, Andhra Pradesh, Gujarat, and West Bengal reported having constituted TSGs. Sikkim planned to do so in February 2015; no information was available on TSGs in Himachal Pradesh. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by August 2015.
104. **Activity 2.6: Develop PBRs in at least 10 BMCs.** This activity was reported as 50% complete as of 30 June 2014. The project document indicated that the project would prepare a total of 10 PBRs, two in each of the five original participating states. The project target for PBRs was changed to 26 for each of the five participating states: 1 model PBR and 25 PBRs. Neither the PIRs nor the PSC reports indicate when the project changed the target number of PBRs. The

project assigned a target of 10 PBRs to each of the additional participating states. Table 4 gives the status of PBRs in participating states.<sup>18</sup>

105. In 2009, the NBA issued guidelines for preparing PBRs. Each state began preparing PBRs differently, so in 2011/2012 UNDP supported the NBA in standardizing the format for PBRs. The project updated the PBR guidelines in 2013. The English version of the updated guidelines is available on the NBA website at the link “Model PBR”. On 9 December 2015, West Bengal reported having used a modified model PBR format for some time (it is assumed that this refers to the 2009 NBA guidelines) and that all BMCs in the state use that format, which is available in Bengali. Gujarat had translated the PBR guidelines as of January 2015; the translation is not available on the project website or on the Gujarat SBB website. Information on translation into local languages in Andhra Pradesh, Himachal Pradesh, and Sikkim was not available. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by January 2016.

106. A PBR should have comprehensive information on most, if not all, biological resources available in the jurisdiction of the BMC that prepares it. A BMC would need to compare its PBR with the database of tradable biological resources for the state in which it is located (see paragraph 97) in order to determine which of its biological resources have potential commercial value. The BMC Toolkit provides that funding to compensate TSGs for their work in preparing PBRs is to be given to BMCs, which are then supposed to pay the Technical Support Groups. At one of the BMCs the evaluation visited, the TSG noted that it was very difficult to get payment from the BMC for its work on the PBR. The project was reportedly working on a solution to the situation.

**Table 4. Status of PBRs in Participating States**

<b>State</b>	<b>Pre-Project PBRs</b> <i>(source: project document)</i>	<b>PBRs prepared under the India ABS Project</b> <i>According to SBBs as of January 2015</i>	<b>Total PBRs</b> <i>According to NBA website as of February 2015</i>
Andhra Pradesh	5	<ul style="list-style-type: none"> <li>▪ 1 model PBR completed</li> <li>▪ 8 PBRs completed</li> <li>▪ 25 PBRs in preparation</li> </ul>	28
Gujarat	2	<ul style="list-style-type: none"> <li>▪ 1 model PBR finalized</li> <li>▪ 23 draft PBRs</li> <li>▪ 25 PBRs to be prepared January-June 2015</li> </ul>	133
Himachal Pradesh	0	<ul style="list-style-type: none"> <li>▪ 1 model PBR completed</li> <li>▪ 3 draft PBRs</li> <li>▪ 25 PBRs to be prepared January-June 2015</li> </ul>	0
Sikkim	0	<ul style="list-style-type: none"> <li>▪ 1 draft model</li> <li>▪ 24 PBRs to be prepared March-May 2015</li> </ul>	0
West Bengal <sup>19</sup>	13	<ul style="list-style-type: none"> <li>▪ 1 model PBR being prepared</li> <li>▪ 25 PBRs being prepared/prepared</li> </ul>	76
Goa	0	N/A	0
Karnataka	89	N/A	468
Odisha	0	N/A	76
Telangana	0	N/A	9
Tripura <sup>20</sup>	0	N/A	126

<sup>18</sup> Note that SBBs are not relying on the project to support all PBRs, which is why five States have more PBRs than the project has supported.

<sup>19</sup> The West Bengal State Biodiversity Board website lists 48 PBRs completed and 32 ongoing, but does not give a date for that information.

<sup>20</sup> The Tripura SBB has posted 63 PBRs on its website.

### Component 3: Piloting agreements on ABS

107. Component 3 has three outputs: ABS agreements; best practice guidelines for benefit sharing; and biodiversity funds. One activity contributes to each of these outputs. As of 30 June 2014, the activities related to creating best practice guidelines and biodiversity funds were reported as 50% complete; the activity to prepare ABS agreements was reported as 30% complete. Component 3 has two other activities that are not related to an output: a manual on the Biodiversity Act and Rules; and sector-specific guidelines on ABS issues. As of 30 June 2014, the manual was reported as 80% complete and the sector-specific guidelines were reported as 30% complete.
108. **Activity 3.1: Develop guidance manual on BD Act and the Rules relevant to ABS in English and respective regional language.** This activity was reported as 80% complete as of 30 June 2014. The NBA published a Guidance Manual titled “ABS Mechanism under the Biological Diversity Act, 2002, India”. The publication has no date but the FY2013 PIR reported that it was 70% complete and the FY2014 PIR reported it as a publication, which means that it was published between 1 July 2013 and 30 June 2014. It is available in English on the project website. Goa translated the manual into Konkani and Marathi and both translations are available on the project website. Andhra Pradesh reported having published the Telugu translation of the manual as of January 2015 and Telangana State Biodiversity Board translated the manual into Telugu during February 2015. Sikkim reported having translated the manual by December 2014 and printing was scheduled for February 2015. Neither the Telugu/Andhra Pradesh/Telangana translation nor the Nepali/Sikkim translation is available on the project website or the respective SBB websites, although the Telangana SBB reported that it is. From the information available from the PMU and the SBBs, it is not clear why the project reported this activity as 80% completed. The Activity Plan for July 2015-June 2016 projected that this activity would be completed by December 2015.
109. **Activity 3.2: Develop sector-specific guidelines on ABS issues.** This activity was -- reported as 30% complete as of 30 June 2014. The FY2012-FY2014 PIRs report no identifiably related activity. The Activity Plan for July 2015-June 2016 indicated that conceptualizing this product would begin in July 2015 projected that this activity would be completed by January 2016.
110. **Activity 3.3: Develop implementation options for benefit sharing at different levels.** This activity was reported as 50% completed as of 30 June 2014. This activity is apparently supposed to produce the best practice guidelines on benefit sharing. The FY2014 PIR reported that the PMU team and the NBA legal team had had several rounds of discussions on strengthening benefit sharing mechanisms in the five original participating states. In July 2015, the PMU advised that national guidelines on benefit sharing, developed through a consultative process, had been adopted by all SBBs, which will adapt them to local situations on a case-by-case basis. The Activity Plan for July 2015-June 2016 indicated that this state-level adaptation would be completed by April 2016.
111. **Activity 3.4: Negotiate and finalize at least 25 ABS agreements.** This activity was reported as 30% complete as of 30 June 2014. Table 5 shows the status of ABS agreements in participating states.

**Table 5. Status of ABS Agreements in Participating States**

State	Pre-Project ABS Agreements <i>(source: project document)</i>	Applications for ABS Agreements	ABS Agreements Signed <i>According to SBBs as of January 2015</i>	ABS Agreements Signed under India ABS Project as of July 2015 <i>(source: PMU)</i>
Andhra Pradesh	2	10 as of January 2015 <i>(source: APSBB)</i> 2 as of July 2015 <i>(source: PMU)</i>	3	2

State	Pre-Project ABS Agreements <i>(source: project document)</i>	Applications for ABS Agreements	ABS Agreements Signed <i>According to SBBs as of January 2015</i>	ABS Agreements Signed under India ABS Project as of July 2015 <i>(source: PMU)</i>
Gujarat	5	37 as of January 2015 <i>(source: GSBB)</i> 70 as of July 2015 <i>(source: PMU)</i>	0	56
Himachal Pradesh	0	Negotiations in progress as of January 2015 <i>(source: HPSBB)</i>	0	0
Sikkim	0	0	0	0
West Bengal	0	24 negotiations in progress as of 9 December 2015 60 as of July 2015 <i>(source: PMU)</i>	0	4 as of 9 December 2015
Goa	0	0		0
Karnataka	3	0		0
Odisha	0	0		0
Telangana	0	2 as of July 2015 <i>(source: PMU)</i>		2
Tripura	2	0		0

**112. Activity 3.5: Establish at least 5 biodiversity funds along with options for using the funds.**

This activity was reported as 50% completed as of 30 June 2014. The NBA/PMU prepared a guide to Local Biodiversity Fund Operation and Maintenance and published it in 2014. It is available in English on the project website. Goa translated the guide into Konkani and Marathi in 2014; both translations are available on the project website. Andhra Pradesh reported having translated the guide by January 2015; the translation is not available on the project website or on the SBB website. Telangana State Biodiversity Board translated the guide into Telugu during February 2015. The SBB reported that the translation is available on the project website and the SBB website, but it could not be found on either website as of 29 December 2015. On 9 December 2015, West Bengal reported that the guide had been translated into Bengali and was in press. No information is available on translations of the guide by Gujarat, Himachal Pradesh, of Sikkim. According to the project document, five participating states – Gujarat, Sikkim, West Bengal, Karnataka, and Orissa – had established State Biodiversity Funds prior to the project, but none had established Local Biodiversity Funds (LBFs). That was in part because, until the project published the LBF guide in 2014, there was no guidance on how states should capitalize LBFs. Table 6 gives the status of LBFs in participating states. The Activity Plan for July 2015-June 2016 indicated that all LBFs for project-supported BMCs would be constituted by September 2015.

**Table 6. Status of Local Biodiversity Funds in Participating States**

State	LBFs as of January 2015 <i>According to SBBs as of January 2015</i>	LBFs as of July 2015 <i>(source: PMU)</i>
Andhra Pradesh	25	25
Gujarat <sup>21</sup>	25	50
Himachal Pradesh	19	19
Sikkim	0	0
West Bengal	37	42
Goa	0	0

<sup>21</sup> Gujarat SBB respondents stated that, as of February 2015, approximately 200 LBFs had been created in the state.

State	LBFs as of January 2015 <i>According to SBBs as of January 2015</i>	LBFs as of July 2015 <i>(source: PMU)</i>
Karnataka	0	0
Odisha	0	0
Telangana	35	35
Tripura	0	0

Component 4: Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime

113. Component 4 has two outputs: policy links at inter-ministerial and inter-sectoral levels; and India's experience shared at regional and international levels. Two activities contribute to each output. As of 30 June 2014, one activity related to the output on policy links was reported as 60% complete and the other was reported as 35% complete. One activity related to experience sharing was reported as 60% complete and the other was reported as 50% complete. Component 4 has one activity that is not linked to an output – gap analyses of policy and regulatory issues. As of 30 June 2014, that activity was reported as 50% complete.

114. **Activity 4.1: Undertake gap analyses of policy and regulatory issues and awareness for implementation of ABS provisions within the BD Act.** This activity was reported as 50% complete as of 30 June 2014. This activity is being carried out at state level and is not linked to an output. West Bengal convened a "Panel Discussion on Gap Analysis on Policy Issues and Awareness for Implementation of ABS Provisions within the BD Act" on 29 July, 2013. The Sikkim SBB reported holding a consultation with legislators in November 2014 and that it would create a legal advisory group by March 2015. See the discussion of Activity 2.1 in paragraph 99.

115. **Activity 4.2: Facilitate at least 2 dialogues at inter-ministerial level on effective realization of ABS provisions within the BD Act.** This activity was reported as 60% complete as of 30 June 2014. The FY2014 PIR reported a Traditional Knowledge (TK) and ABS National Dialogue, held in Andhra Pradesh, 29-30 November 2013, but the list of participants indicates that it was not an inter-ministerial dialogue. That was the only identifiable potentially relevant activity reported during 2012-2014. The Activity Plan for July 2015-June 2016 indicated that preparations for two national dialogues would begin in July 2015 and that the dialogues would be held in September and November 2015. It is not clear how this activity could be reported as 60% complete in June 2014.

116. **Activity 4.3: Establish an inter-sectoral task force to provide guidance on sectoral contributions and implications on ABS issues.** This activity was reported as 35% complete as of 30 June 2014. The FY2012-FY2014 PIRs did not report any identifiably relevant activity. It is not clear how this activity could be reported as 35% complete. The Activity Plan for July 2015-June 2016 appears to indicate that task forces will be established in each participating state. The Activity Plan indicated that preparations would begin in July 2015 and that the task force(s) would be established by October 2015.

117. **Activity 4.4: Develop a process documentation manual on ABS systems for use by countries in the region and globally.** This activity was reported as 50% complete as of 30 June 2014. The FY2012-FY2014 PIRs reported two apparently related activities:

- Fact sheets on process documentation, which are available on the project website; and
- Process documentation across project components at the state level in selected BMCs in Andhra Pradesh, in June 2014.

118. The Activity Plan for July 2015-June 2016 indicated that the process of conceptualizing the manual would begin in July 2015 and would be complete by April 2016. It is not clear how this activity could be reported as 50% complete as of June 2014.



119. **Activity 4.5: Share experiences and information with other countries at regional and international fora.** This activity was reported as 60% complete as of 30 June 2014. This activity was not included in the project document. It was included in the FY2012 PIR, which means it was added shortly after the project began. The FY2012-FY2014 PIRs report the following:
- ICNP-2, 2-6.07.12, New Delhi, India
  - SAARC Capacity building workshop on ABS and TK and National legislation, Mamallapuram, Tamil Nadu, India, 29-31.08.12
  - ASEAN-India Capacity Building Workshop on Nagoya Protocol on Access and Benefit Sharing and Traditional Knowledge, New Delhi, 4-5.09.12
  - CBD CoP-11 side event, 9.10.12, Hyderabad, India; project staff also participated in other CoP-11 events
  - Capacity building workshop for African nationals on Nagoya Protocol on ABS, TK and Supplementary Protocol on Liability and Redress of Biosafety, Bengaluru, India, 11-13.02.13
  - Regional Science Congresses – Manipur State, 30-31.12.13; Andaman and Nicobar Islands, 23-24 January 2014; Andhra Pradesh, March 2014.
120. Activity 4.5 was not included in the project's activity plans for January-June 2014, July 2014-June 2015, and July 2015-June 2016. The Activity Plan for July 2015-June 2016 did indicate that Activity 4.4 would include sharing India's experience with the National Focal Points for the Nagoya Protocol in other countries, during the period December 2015-February 2016.

Component 5: Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act

121. Component 5 has four outputs: negotiation skills; a financing mechanism for implementing the Biodiversity Act<sup>22</sup>; orientation for enforcement officials; and an on-line curriculum on ABS. The on-line curriculum was not included as an output in the project document; it was included in the FY2012 PIR. Six activities contribute to these outputs. One activity on negotiation skills was reported as 30% complete as of 30 June 2014. Two activities on the financing mechanism were reported as 80% complete and one was reported as 50% complete. One activity on the orientation was reported as 70% complete and one activity on the on-line curriculum was reported as 30% complete.
122. **Activity 5.1: Organize five trainings on negotiation skills. This activity was reported as 30% complete as of 30 June 2014.** The PIR 2014 reported that there was a preliminary draft negotiation manual. See the discussion on Activity 2.3 (paragraph 101).
123. **Activity 5.2: Organize two national level trainings on linking the potential value of economics with ABS agreements.** This activity was reported as 80% complete as of 30 June 2014. See the discussion on Activity 1.2 (paragraph 95).
124. **Activity 5.3: Organize at least 2 training programmes on ABS issues for BMCs.** This activity was reported as 80% complete as of 30 June 2014. The project document called for at least one training program for BMCs on ABS issues. In the FY2013 PIR, the target number of training programmes was increased to two. By 2014, all of the original five participating states had held at least one training programme for BMCs. Sikkim had held two and was planning a third and West Bengal had held nine. On 9 December 2015, the West Bengal SBB reported that it was in the process of engaging a third party entity to continue this training. The Activity Plan for July 2015-June 2016 indicated that training programmes for BMCs would continue through February 2016.

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<sup>22</sup> The PMU explained that ABS is considered to be an innovative financing mechanism for implementing the Biodiversity Act.

125. **Activity 5.6: Five workshops on ABS provisions for private sector, media, IPR professionals and staff of NBA, SBBs and BMCs.** This activity was reported to be 50% complete as of 30 June 2014. Like Activities 5.2 and 5.3, Activity 5.6 appears to be related to building capacity for using ABS as a mechanism for financing implementation of the Biodiversity Act. By 2013, all of the original five participating states had held workshops, which would appear to mean that this activity was 100% achieved. There is no indication in the FY2014 PIR why this activity is reported as only 50% complete. The Activity Plan for July 2015-June 2016 indicated that a national workshop would be held in September 2015 and that this activity would be complete for all participating states by February 2016.
126. **Activity 5.4: Organize two orientation workshops for the Ministry of Commerce, Ministry of Agriculture, Ministry of Trade and Industries, Ministry of Science and Technology, Patent office, Custom officials, PPV&FRA, Ministry of Tribal Affairs.** This activity was reported as 70% complete as of 30 June 2014. The project document called for one orientation workshop. The PIRs 2012-2014 did not report any identifiably relevant activity at national level. Gujarat, Sikkim and West Bengal reported state-level orientations. The Activity Plan for July 2015-June 2016 indicated that these orientations would be planned beginning in July 2015 and would be complete by November 2015. It is not clear how this activity could be reported as 70% complete as of June 2014.
127. **Activity 5.5: Develop online curriculum on ABS issues.** This activity was reported as 30% complete as of 30 June 2014. See the discussion on the agreement with UNU-IAS (paragraph 52). UNU-IAS has made preliminary arrangements for this activity, which is the only basis on which this activity could have been reported as 30% complete since, as of 15 September 2015, there was no agreement for the activity to begin.
128. The report of the second PSC meeting stated that a village botanist course had started the process of preparing PBRs by engaging local youth in each participating state and training them to work with TSGs. This was a new activity which was not included in the project document. The FY2013 PIR added a mid-term target for village botanist courses. The Foundation for Revitalization of Local Health Traditions (FRLHT), which is based in Bangalore, developed and delivered the training course, with scientific and technical assistance from the BSI and the ZSI. As of January 2015, all of the five original participating states reported that the village botanist course had been given at least once. Training manuals are available on the project website in English (for Gujarat, Sikkim, and West Bengal), and in Bengali, Gujarati, Hindi (for Himachal Pradesh), and Nepali (for Sikkim). Neither the FY2013 PIR nor the FY2014 PIR reported any of these activities.

#### Component 6: Increasing public awareness and education programs

129. Component 6 has three outputs: state-level platforms for private sector partnerships; public awareness and participation programmes; and local language awareness materials. Two of the outputs had no activity associated with them and the third output was not included in the project document, but was added after the project started.
130. The project document did not include an activity related to state-level platforms for private sector partnerships and the FY2012-FY2014 PIRs did not report any identifiably relevant activity. The project document did also not include an activity related to public awareness and participation programmes. It included two activities related to developing materials, but no activity for conducting programmes. Likewise, the project document did not include an output related to local language awareness materials but listed two activities that involved developing such materials. The FY2012 PIR added an output on local language materials. Lastly, the project document included an activity for which there was no output – exchange visits.
131. **Activity 6.1: Develop local language material comprising tools, methods, guidelines and frameworks developed under this project; and Activity 6.2: Develop communication outreach**

**material in respective local languages.** Activities 6.1 and 6.2 are functionally identical. Both were reported as 70% complete as of 30 June 2014.

132. The NBA website has dedicated web pages for the project. The Andhra Pradesh, Gujarat, and Telangana SBBs, as of September 2015, have posted some local language materials on their own websites. In January 2015, the Karnataka SBB reported that it had translated into Kannada all materials the PMU had produced and was in the process of printing them. The Karnataka SBB website has a link titled “BMC manual”, but it is not clear whether the document in Kannada at that link is the BMC Toolkit the project published. Table 7 shows the reported status of local language materials. The Activity Plan for July 2015-June 2016 indicated that these activities to produce materials in local languages would be completed by October 2015. The Activity Plan also indicated that the project would contract an external producer to create one 5-minute film on each participating state.

**Table 7. Status of Local Language Materials**

<b>Product</b>	<b>PMU</b> <i>In English</i>	<b>Andhra Pradesh/ Telangana</b> <i>Telugu translation</i>	<b>Gujarat</b> <i>Gujarati translation</i>	<b>Himachal Pradesh</b> <i>Hindi translation</i>	<b>Sikkim</b> <i>Nepali translation</i>	<b>West Bengal</b> <i>Bengali translation</i>	<b>Goa</b> <i>Konkani and Marathi translations</i>
Project brochure	✓	✓	✓			✓	
9 fact sheets	✓	✓	✓		✓ Not available online	✓	✓
7 pullup posters	✓		✓			✓ Not available online	
Booklet on ABS terminology	✓	✓	✓			In press as of 9 December 2015	✓
BMC Tool Kit	✓		✓ Not available online			In press as of 9 December 2015	✓
Economic valuation methodologies <sup>23</sup>	✓						
Economic valuation background papers and literature review	✓						
Guidance Manual on ABS Mechanism	✓	✓ Not available online					✓
LBF guide	✓	✓ Not available	✓			In press as of 9 December	✓

<sup>23</sup>*Economic Valuation of Bio-Resources for Access and Benefit Sharing*, two background papers, and the literature review are reportedly being translated into all participating state languages (see paragraph 96).

Product	PMU <i>In English</i>	Andhra Pradesh/ Telangana <i>Telugu translation</i>	Gujarat <i>Gujarati translation</i>	Himachal Pradesh <i>Hindi translation</i>	Sikkim <i>Nepali translation</i>	West Bengal <i>Bengali translation</i>	Goa <i>Konkani and Marathi translations</i>
		online				2015	
Village botanist course training manual			✓ Gujarati & English	✓	✓ Nepali & English	✓ Bengali & English	
1 newsletter	✓						
<i>The Land Where the Sticker Tree Grows</i> <sup>24</sup> and CD "The Big City Park"	✓ CD content not available online						
Reports on project events	✓						

(✓ means that translation is done and the product is available online, unless otherwise noted)

133. **Activity 6.3: Organize exchange visits of selected BMCs and SBBs to improve the exchange of information and sharing of experience.** This activity was reported as 70% complete as of 30 June 2014. The FY2012-FY2014 PIRs did not report any identifiably relevant activity. In January 2015, Sikkim reported that exchange visits for BMC members to two other SBBs were planned for May-June 2015. The Activity Plan for July 2015-June 2016 indicated that selection of BMCs with the best practices would begin in July 2015 and that exchange visits would be carried out in September 2015. On the basis of project reports of past activity and activity plans for the future, it is not clear how this activity could be reported as 70% complete as of June 2014.

#### Additional project support outside the project components

134. In addition to the activities carried out under the six project components, the project engaged in additional activities to support implementing ABS, including:

- Participating in several national science and biodiversity congresses during 2012-2013 to introduce information related to ABS;
- Reviewing and commenting on drafts of State Biodiversity Rules for participating states as well as for states not participating in the project;
- Providing comments on technical and legal issues arising in court cases involving ABS and other biodiversity-related questions;
- Formulating an action plan for implementing the Nagoya Protocol; and
- Conducting training and inter-active sessions for SPU and NBA staff on technical and administrative issues.

#### Conclusions on project outputs

135. Timeliness is a major issue for the India ABS Project. As of 30 June 2014, one month after the project's original completion date, the project did not report any activity as 100% complete. As reported in the FY2014 PIR, the status of activities under Component 1 ranged from 50%-80% complete, which appears to correspond with other information in the report. For at least half of the activities under Components 2-6, the completion status appears to be over-stated, assuming that other information in the FY2012-FY2014 PIRs is accurate. There are reasons why the project has experienced delays, some of which should have been known and taken into account at the

<sup>24</sup>A story about the conflict between biodiversity and urbanization.

time the project document was prepared. In both Himachal Pradesh and Sikkim, SBB staff have responsibilities to other state government entities as well; in Sikkim, no staff person works full-time for the SBB. Another SBB noted that it had taken time to address SBB-related loopholes in the Biodiversity Act so that SBBs could fully function. Other situations were unforeseeable at the time the project was designed. It took one year to find a National Project Coordinator. In early 2014, the NBA Chair resigned. His replacement is based in New Delhi, which means administrative delays for the PMU in the NBA in Chennai. The project's default explanation for delays is "government bureaucracy". It is clear that bureaucracy has accounted for at least part of the delays in several cases, but blaming all delays on bureaucracy is too convenient; it provides an excuse for not identifying underlying issues and dealing with them appropriately.

136. The quality of project outputs is reasonably good overall and many of them are unquestionably very useful. The BMC Toolkit and LBF Guide in particular provide guidance that all SBBs, not only the ones participating in the project, have needed for years. The ABS Guidance Manual provides an overview, process diagrams, and layperson's explanation of the impact of the provisions of Biodiversity Act and Rules, which makes them more accessible to communities as well as the private sector. The economic valuation methodologies, which are still being tested and may continue to be revised and adapted even after the project finishes, are crucial for benefit sharing as India implements it under the Biodiversity Act; the project is making a significant contribution by initiating this work. Making these and other materials available in local languages is essential for all ABS stakeholders.
137. The overall rating on achievement of outputs is moderately unsatisfactory. The rating on timeliness is unsatisfactory and the rating on the quality and usefulness of the project's outputs to date is satisfactory.

### **C. Effectiveness: Attainment of project objectives and results**

#### **1. Achievement of project direct outcomes**

138. **Outcome 1: Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act.** The project has produced economic valuation methodologies that all states, not only the project's participating states, need to implement ABS. As participating states, and other states, use the methodologies, there is reason to foresee that the outcome will be an enhanced understanding of economic values of biological diversity and how to apply it.
139. **Outcome 2: Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened.** This outcome is already being realized. As of July 2015, three participating states had already approved a total of more than 50 ABS agreements. It may be assumed that the participating SBBs that approved these agreements used the tools, methodologies and guidelines the project has developed in their decision-making processes and that they will continue to do so, and there is reason to foresee that other states will follow suit.
140. **Outcome 3: Better and informed access to biodiversity resources under the provisions of the Act improved/ enhanced with equitable benefit sharing provisions.** This outcome is already being realized. As of July 2015, three participating states had already approved a total of more than 50 ABS agreements. The texts of the agreements were not available for the evaluation, but it is reasonable to assume that they incorporated the project's guidance on benefit-sharing and there is reason to foresee that other states will follow suit.
141. **Outcome 4: Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels.** As noted for Outcomes 2 and 3, ABS agreements are already

being implemented on the basis of support from the project and there is reason to foresee that all participating states will at least enter into ABS agreements during the project period.

142. **Outcome 5: Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa.** This outcome is already being realized. The project has already convened events to share India's experience with ABS and learn from the experience of other South Asian countries, the countries that participated in the UNEP-GEF ASEAN ABS Project, and selected African countries.
143. **Outcome 6: Improved understanding of NBA, SBBs and Biodiversity Management Committees (BMCs) of the ABS provisions under the Biological Diversity Act.** The project has produced an ABS Guidance Manual, which explains how ABS is supposed to operate in practice under the Biological Diversity Act. Participating states are translating it into their local languages. When this manual is generally available in several national languages, there is reason to foresee that the outcome will be improved understanding of ABS provisions of the Biological Diversity Act at national level and at state and local levels, in at least the participating states.
144. **Outcome 7: Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act.** The project has produced tools – including particularly the economic valuation methodologies, the ABS Guidance Manual, the BMC Toolkit and the LBF Guide – that all states, not only the project's participating states, need to implement ABS. The BMCs the evaluation visited had been established in communities where development initiatives had been ongoing for several years prior to the creation of the BMC. The BMCs the evaluation visited could well be models for others, but the foundation for their success was laid well before the project began. It is not clear to what extent other BMCs created under the project could serve as models for others to learn from.
145. **Outcome 8: The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS.** Please see Outcome 7 – the substance of Outcome 8 is essentially identical.
146. **Outcome 9: Public participation including from private sector, academic community, students, civil society organizations, women's groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act.** This outcome is already being realized. The project has fostered the participation of private sector, academic, and civil society representatives and produced guidelines for the continuing participation of community members through BMCs.
147. The overall rating on progress toward attaining outcomes is satisfactory.

## **2. Likelihood of impact**

148. The project document stated that the project's impact would be enhanced benefit sharing and biodiversity conservation through better implementation of the ABS provisions of the Biodiversity Act. Achieving this impact will require bringing into force a critical mass of ABS agreements that deliver tangible benefits to communities. Communities that invest their time in creating BMCs and making them function, and in preparing PBRs, do so at least partly in expectation of benefits from eventual ABS agreements. As of 30 June 2014, the project had produced most of the tools required to generate the information needed as a basis for an ABS agreement. The principal missing element was training BMCs in the skills they will need to negotiate ABS agreements (see paragraphs 101 and 122). With the exception of Gujarat, participating states had only just begun the process of facilitating ABS agreements. Part of the reason for this delay was that it took a reasonably foreseeable amount of time to develop the economic valuations that are the basis for ABS agreements.

149. The project document did not articulate a strategy for achieving the project's expected impact. The likelihood of the project's outcomes leading to the expected impact and global environmental benefit will depend on the degree to which India achieves the intermediate states: functioning BMCs and benefits flowing to communities. By 30 June 2014, after 37 months of project implementation, the project was close to having created its target numbers of BMCs in the original five participating states (see paragraph 87 and Table 3), but it was not clear to what degree each of those BMCs was functioning effectively.

### **2.1. What would be happening anyway, without the India ABS Project?**

150. At the time the project document was prepared, 15 of the 28 states India had at the time, had already established BMCs and/or prepared PBRs and the NBA had entered into 80 ABS agreements. Without the project, these states and the NBA would have proceeded at the paces dictated by their own priorities and procedures and other states would likely have begun their own processes. The SBBs in the five original participating states reported that the project allowed them to focus on ABS. In Andhra Pradesh, Gujarat and West Bengal, the project accelerated the process of creating BMCs and preparing PBRs. In Himachal Pradesh and Sikkim, the project started those processes.

### **2.2. What is happening because of the India ABS Project?**

151. The project document noted that ABS was the only one of the three objectives of the Biodiversity Act that the NBA and SBBs had not yet begun to fully address. The project is providing the NBA an important opportunity to consolidate and project its institutional mandate with respect to ABS, to work with SBBs, and to collaborate with SBBs in engaging with communities to form BMCs, develop PBRs, carry out valuation of biological resources, and enter into ABS agreements. The project has also inspired communities to take their own initiatives. According to the respective SBBs, three communities in Gujarat and one in Himachal Pradesh created BMCs on their own initiative and prepared their own PBRs.

152. The project added five states and two Union Territories to the original five participating states. This total of 10 project states is slightly more than one-third of India's total of 29 states. Assuming that, by the end of the extension, the project will have facilitated ABS agreements in all 10 participating states, the overall prospects that the project will achieve the long-term impact proposed in the project document are moderately likely.

### **3. Achievement of project goal and planned objectives**

153. The project document stated an objective but did not state a goal. The project's objective is to increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS in India. The project has carried out activities designed to increase the capacity of selected stakeholders in the five original participating states and has begun similar activities in the five additional states and two Union Territories. As of 30 June 2014, one month after the project's original completion date, project reporting had apparently over-stated the achievement status of five of the six activities specifically focused on building capacity (see paragraphs 121-128). Assuming that within the extension period the project completes all activities as planned, it will have contributed to increasing capacity to implement ABS in slightly more than one-third of India's total of 29 states.

154. The overall rating on achievement of the project's objective as stated in the project document is moderately satisfactory.

### **D. Sustainability and replication**

155. There was no consensus among the SBBs in the five original participating states on which project outcome would be most important to sustain but, on average, the SBB respondents indicated that strengthening the capacity of BMCs, SBBs and the NBA to effectively implement ABS was the priority. The UNDP respondent rated this outcome as the highest priority. The PMU

indicated that sustaining the project outcome of strengthening decision-making on ABS issues at all levels of government, based on appropriate tools, methodologies, frameworks and guidelines, should be the priority.

156. The project document stated that “[a]s long as the BMCs are functioning effectively and the communities are deriving benefits from the best practices developed with ABS provisions, the sustainability of project components is mostly assured.” The PMU reiterated the expectation that, because BMCs are statutory bodies mandated by law, they will sustain the project’s outcomes once they are functioning effectively. This is possible in the long term, but it is not clear how the sustainability of BMCs will be assured in the short- to medium-term.

## **1. Financial**

157. The project document did not fully address the issue of funding, from any source, to sustain project outcomes. The project document stated that establishment and effective operation of Biodiversity Funds at national, state and local levels would have significant impact on community livelihoods and on the conservation and sustainable use of biodiversity in general, but did not provide any detail on how Biodiversity Funds at any level of government could be expected to ensure the sustainability of project outcomes. As of July 2015, Andhra Pradesh, Gujarat and Himachal Pradesh had created LBFs for all BMCs established under the project in those states; West Bengal still needed to ensure LBFs for 8 BMCs created under the project. Sikkim had established 13 BMCs but no LBFs. See Table 3, paragraph 112 and Table 6.

158. Participating states are ensuring that the BMCs established under the project receive start-up funding and funding for preparing their PBRs, as specified in the BMC Toolkit. The Tool Kit indicates that the NBA provides the BMC start-up funding and that it is the responsibility of state governments/SBBs to fund the preparation of PBRs. The BMC Tool Kit specifies total start-up funding that ranges from INR60,000-INR100,000 depending on whether the BMC is established at village, block, or *taluka* level. The Himachal Pradesh SBB noted that from 2010-2012, the SBB had funded the first 10 BMCs created in the state at the level of INR50,000 per year. From 2012, there had been no state funding for BMCs in Himachal Pradesh until the NBA, through the SBB, in 2014 provided INR10,000 to each of the state’s 110 BMCs. The NBA also provided INR10,000 in start-up funding for BMCs in West Bengal. The INR10,000 the NBA is providing is a fraction of total BMC start-up funding; it is the amount the Tool Kit specifies for opening a BMC’s bank account. The extent to which states are also supporting BMCs created outside the project is beyond the scope of this evaluation, but it is important for the credibility of project outcomes that funding be equitably distributed among all BMCs.

159. Participating states are also ensuring that LBFs are created as the Biodiversity Act requires, but there is no information available on how the LBFs are capitalized; the NBA and SBB websites do not provide information on LBFs. The Biodiversity Act requires states to create LBFs but does not require them to make grants or loans to LBFs. The Biodiversity Act empowers BMCs to fund LBFs by collecting fees from any person for accessing or collecting any kind of biological resources for commercial purposes within their areas. The Pinakota BMC is doing this but the fees are apparently insufficient to cover the costs of the villager who controls access and collects the fees; the BMC asked the SBB to cover those costs (see paragraph 90).

160. The SBB respondents in Andhra Pradesh, Gujarat and Himachal Pradesh indicated that sustaining the project’s outcomes will depend completely or primarily on external financial support. Only the SBB respondent in West Bengal expected that follow-up work would be primarily nationally funded. The PMU noted that multilateral and bilateral funding, with significant contributions from the national government, will be required to sustain the project’s outcomes in the project states and scale them up to additional states. The UNDP respondent indicated that UNDP is in the process of developing a new ABS project to take forward the work of its previous project and the India ABS Project.



161. The overall rating on financial sustainability, as foreseen in the project document, is moderately unlikely.

## **2. Socio-political**

162. The influence of socio-political factors, including legislative interest and the existence of statutory bodies that are similar to and could potentially compete with BMCs, varies considerably from state to state. There is a move to amend the Biodiversity Act and Rules as well as other laws that govern the environment and biodiversity. The changes could have positive or negative impacts on the sustainability of the outcomes of the project.

163. With the exception of Himachal Pradesh, the governments of all participating states have adopted state Rules to implement the Biodiversity Act (see paragraph 64 and Table 2), which may be taken as a positive indication of political will. The Andhra Pradesh SBB builds social and political support at the local level by recruiting traditional healers and other local people to serve as District Biodiversity Coordinators. The West Bengal SBB has conducted capacity-building programmes in collaboration with the State Institute of Panchayat and Rural Development. In Gujarat and Himachal Pradesh, the project has inspired local governments to take their own initiatives (see paragraph 152). The Sikkim SBB respondents noted that the state government is committed to environmental conservation generally, which will support implementing ABS as well. The Gujarat State government has accepted that the SBB must have recurrent funding, although it is not clear that the funding level will be adequate. The Gujarat SBB has taken steps to build social and political support. It created a group of “friends of the Board”, volunteers who support the SBB in various ways. The Gujarat SBB has also created three awards to recognize excellent work in the field of biodiversity conservation. Although these initiatives are not ABS-specific, they serve to build awareness of biodiversity conservation in general.

164. At the national level, the MoEF budget was reduced for the 2015-2016 fiscal year. The degree to which this may have impacted the NBA is not clear, but fluctuations in funding to support biodiversity conservation in general and ABS implementation in particular could have a negative impact on the sustainability of the outcomes of this project (see paragraphs 156-161). State budget support is crucial for SBBs. Bureaucratic delays the project has experienced may indicate that ABS is not a political and/or administrative priority. If this is the case and continues, it would have a negative impact on the sustainability of project outcomes. At the local government level, two states noted social-political issues that have negatively impacted the project. In Gujarat, local political issues delayed the creation of a BMC in one village; the issues were eventually resolved and the BMC established. The Himachal Pradesh SBB representative stated that the SBB is struggling to reconcile obligations under different laws and how to structure the relationships of BMCs with other similar bodies, in part because local governments are asking why they are required to fund BMCs. At the state government level, the Sikkim, Goa, and Telangana SBB representatives reported a need to sensitize legislators about ABS. The Goa SBB representative reported a lack of political interest within the state government and a reluctance to deal with ABS issues. The Sikkim SBB representatives noted that the concept of ‘biodiversity’ is not generally understood in the state and that there still needs to be a great deal of basic awareness-building done in order to be able to engage potential stakeholders on ABS.

165. The overall rating on socio-political sustainability is moderately unlikely, unless budgets allow building awareness about ABS to continue, and even assuming that any changes in laws do not create adverse impacts.

## **3. Institutional framework**

166. Overall, SBB respondents felt that institutions and governance at national level are slightly more important for sustaining project outcomes than those at state level. The PMU, UNDP and UNU-IAS indicated the opposite – that institutions and governance at state level are slightly more important for sustaining project outcomes than those at national level. The degree to

which the NBA and SBBs internalize and institutionalize what they have gained from the project will determine the institutional sustainability of implementing ABS.

167. Although the project document did not express it as an objective or an outcome, the project's underlying intent was to foster, drive and support working relationships among the NBA, SBBs and BMCs (see paragraph 72). The project has mostly achieved that with the five original participating states, although the Sikkim SBB respondents noted that Sikkim needed even more interaction and technical support than the NBA/PMU has been able to give under the project. What is needed at both national and state levels is more attention to building the inter-sectoral cooperation that is needed to implement ABS effectively.
168. Overall, SBB respondents indicated that SBBs and BMCs understand ABS better as a result of the project, and that overall implementation – and decision-making and benefit sharing in particular – has improved but still requires considerable further work. The West Bengal SBB respondent stated that because the project has empowered the SBB and BMCs, sustainability will depend primarily on state institutions, but that West Bengal does not have sufficient human resources to monitor BMCs and keep them informed and motivated during their formative years. The Gujarat SBB respondent also noted that BMCs need more support. The SBB respondents in Sikkim, which as of January 2015 had created only half of its target number of BMCs, indicated that there is still much more work to be done to create adequate awareness of ABS among state and local government officials.
169. The project has demonstrated how the NBA can work with SBBs and how SBBs can work with BMCs. Assuming that the NBA and SBBs in particular internalize what they have experienced under the project and apply it, the overall rating on institutional sustainability is moderately likely.

#### **4. Environmental**

170. In its section on “Environmental and social safeguards”, the project document stated that the project would enhance conservation of biological resources and have minimal negative impacts. The Sikkim SBB representatives noted, however, that ABS could, in that state, become an incentive for unsustainable use because of the focus on providing cash income for communities through LBFs and BMCs. The overall project as implemented to date is emphasizing cash support and benefits. This is understandable in so far as the project needed to support the establishment of BMCs and the preparation of PBRs, all of which require cash infusions at the local level.
171. The impact and global environmental benefit of this project are that ABS contributes to the conservation of biodiversity and the sustainable use of its components (see paragraphs 65-66). An analysis of the degree to which conservation and sustainable use of biological resources has evolved in each participating state during the project period is beyond the scope of this evaluation. Information on biodiversity in individual states is available from some of the SBB websites, including Andhra Pradesh, Gujarat, Karnataka, Sikkim, Telangana, Tripura, and West Bengal.
172. The overall rating on environmental sustainability is moderately likely, but the project and the NBA should not ignore the potential for an emphasis on cash income to encourage communities to maximize income from biological resources unsustainably.

#### **5. Catalytic role and replication**

173. The West Bengal SBB respondents stated that the project had “done wonders” and had put the SBB on the right track with respect to ABS. SBB respondents in each of the other four original participating states noted that the project had provided the impetus for their institutions to focus attention on implementing ABS (see paragraph 151).

174. SBB respondents from Andhra Pradesh, Gujarat, Himachal Pradesh, and West Bengal felt that the project is making possible the work of at least one individual/institution that is the primary driver for the project achieving its outcomes or without whom the project would not achieve all of its outcomes. The Sikkim respondents were slightly less positive, but still felt that the project is making possible the work of at least one individual/institution that has considerable influence on the project achieving its outcomes; the PMU and UNDP respondents had the same opinion as the Sikkim respondents. Nevertheless, the UNDP respondent felt that the project could be more proactive in finding champions to support implementing ABS within government systems at all levels. The SBB responses were overall more positive than those from the PMU, UNU-IAS and UNDP on the degree to which the project is promoting implementation of the Biodiversity Act and contributing to mainstreaming ABS in state institutions. In particular, SBB respondents felt more strongly than the PMU and UNDP respondents that the project is creating opportunities for institutions and individuals at state level to bring about change.
175. UNDP was the only project partner that indicated it is planning for another initiative to follow up on the outcomes of this project (see paragraph 161). From the perspective of the Sikkim SBB respondents, this project has little influence on prospects for follow-on funding. The project's default assumption is that because BMCs are statutory bodies under the Biodiversity Act, all states will create them appropriately, provide them with adequate support, and thus ensure the replicability of this project's outcomes. It is not clear that this assumption is completely justified, at least in the short- and medium-term (see paragraph 157).
176. The overall rating on the project's catalytic role is satisfactory and on replicability is moderately unlikely.

## **E. Efficiency**

177. The India ABS Project built on the initial steps that some of the participating states' SBBs had already taken to begin implementing the ABS provisions of the Biodiversity Act. It also built on and collaborated with the 2008-2011/2012 UNDP/GEF project that supported MoEF in strengthening institutional structures to implement the Biological Diversity Act in two states which are not participating in the India ABS Project.
178. At both national and state levels, government institutions have extended the support necessary to implement project activities. The Chairman/Secretary of the NBA and SBB Chairmen and Member Secretaries in the states spend a significant amount of time contributing to the project, in their executive capacities by chairing meetings and exercising oversight, and in their representational capacities by participating in project events. The project uses existing infrastructure, where available and, everywhere the skill sets are available, existing human resources. The project also follows procurement procedures that aim to assure that it receives the maximum possible value for use of project funds.
179. Timeliness is also a dimension of efficiency. Timeliness of outputs, as discussed in section IV.B, is a serious issue for this project. "No-cost" extensions have a management cost for UNEP because the GEF Implementing Agency fee remains the same regardless of the duration of the project. More importantly, because of delays in output delivery, the potential benefits of the project for the communities are deferred.
180. The overall rating on efficiency is moderately satisfactory.

## **F. Factors affecting performance**

### **1. Preparation and readiness**

181. The NBA as an institution was involved in designing the project, which was planned to build on the UNDP project that supported MoEF in building capacity to implement the Biodiversity Act. UNU-IAS also participated in project design. The current Director of the Zoological Society of India reported having been personally involved in designing the project. Andhra Pradesh and

West Bengal SBBs reported having participated in designing the project. The original UNEP/DGEF Task Manager played a major and active role in designing the project.

182. The PMU felt that the project document was realistic, but at the state level there were concerns that it did not adequately take into account the diversity of existing capacity and experience among the participating states and that there could have been more interaction between the PMU and participating states at the beginning of the project to ensure that all were interpreting the project's expected outcomes the same way. There was also some lack of clarity as to the basis for allocating funds to activities and to participating states.
183. When GoI designed the project it conducted field visits and involved potential stakeholders through focus group discussions and other consultations and created and applied criteria for selecting states to participate. The greatest strengths of the project design were: its relevance to UNEP, GEF, and national priorities and interests; its governance and supervision arrangements; and its provisions for evaluation. The project document satisfactorily provided for the administrative aspects of project design – efficiency, management execution and partnership arrangements, financial planning/budgeting, and monitoring.
184. Weaknesses in project design were:
- Intended results and causality – The prodoc included a simple diagram of an impact pathway but did not elaborate on it in the text. The prodoc's description of the project intervention logic mistook assumptions for results and assumed that all outcomes will follow naturally once there is sufficient capacity. The prodoc did not mention drivers at all.
  - Sustainability/replication and catalytic effects – The prodoc did not mention financial risks and did not address the issue of funding, from any source, to sustain project outcomes. The prodoc stated that sustainability would depend on local institutions and their ability to generate funding through ABS, but did not offer a suggestion on how this could be done or indicate that the project would explore those issues.
  - The prodoc mistook assumptions for results and assumed that all outcomes would follow naturally once there was sufficient capacity. The prodoc did not identify potentially negative project outcomes. This may have been because project designers did not foresee any, but the prodoc did not explain that.
185. Although the project document did note the disparity of needs and levels of experience among the participating states, the time frame the project document established was unrealistic with respect to the number of project components, activities and outputs planned. This was reflected in the fact that: as of March 2014, two months before the project's original completion date, the project had expended only 22.3% of GEF funding (see paragraph 225); as of July 2014 had received a 19-month budget-neutral extension; and as of February 2015 had resolved to request a further six-month extension, which UNEP approved in October 2015. The activities as designed should produce all intended outputs and outcomes, but the project design did not adequately factor in the wide variation in the capacities of the participating states to actually deliver the outputs in the time originally allotted.
186. At both national and state levels, arrangements for project management took time to put in place. It was a full year before the PMU had a full-time coordinator and some of the SBBs experienced delays in finding all required staff.
187. The SBBs of all participating states, the PMU, UNU-IAS, and UNDP all felt that the project had adequately identified stakeholders. The evaluation visits to Andhra Pradesh and Gujarat confirmed that, for those states at least.
188. The overall rating on preparation and readiness is moderately unsatisfactory.

## **2. Project implementation and management**

189. There is a Project Steering Committee (PSC) for the overall project, but not at the state level in any participating state. UNU-IAS is the only project partner that is not represented on the PSC (see paragraph 52). SBB respondents and the PMU perceived that the PSC effectively helped to guide the project and to resolve any problems the project encountered. The PMU had prepared well for the PSC meeting during the evaluation visit and the meeting dealt with the agenda efficiently. The PSC was unable to articulate a vision for the project other than that it was moving forward.
190. Overall, SBBs perceived the PMU to be responsive to their requests and *vice versa* – the PMU noted that SBBs responded fully and within a reasonable time to its guidance and recommendations. The SBBs in Gujarat and Sikkim indicated that they experienced some delays in responding to requests from BMCs. National project management could improve the project's effectiveness by: ensuring more frequent PMU communication with SBBs and counselling from the PMU concerning activities; more regular meetings with SBBs; and by creating and maintaining more links with related projects at the national level and in the participating states. State project management would be improved by: ensuring that all participating states had at least one full-time project staff person; building the capacity of SPU teams and TSGs; more timely decision-making; and more effective engagement of experts in activities to produce outputs within project timeframes.
191. SBB respondents reported being unaware that the India ABS Project had interactions with any of the other projects in the UNEP/GEF ABS portfolio. SBB representatives did not participate in the ASEAN-India Capacity Building Workshop on ABS and TK in 2012.
192. The overall rating on project implementation and management is moderately satisfactory.

## **3. Stakeholder participation and public awareness**

193. Overall, SBBs reported that ABS stakeholder groups are sending at least one representative to participate in project events, noting that stakeholders are participating partly because ABS is a new issue for them and they want to learn more about it. During the evaluation visit to Gujarat, the participants in a stakeholders' meeting included BMC representatives, NGOs, academics, and private sector representatives, as well as government officials from state and local levels.
194. Andhra Pradesh, Gujarat, and Sikkim SBB respondents perceive that the project's public awareness activities have increased public understanding of ABS to a moderate degree. The Sikkim respondents noted that stakeholders are interested but that the SBB does not yet have sufficient Sikkim-specific guidelines on ABS for them to refer to and use. According to respondents from the same three SBBs, stakeholder participation in project activities is increasing stakeholders' motivation to contribute to implementing ABS to a moderate degree; post-project follow-up will be required to maintain their interest. Even though the Biodiversity Act has been in force for more than a decade, most stakeholders are only slowly beginning to understand the significance of ABS. West Bengal SBB respondents report that public understanding of ABS and motivation to implement it has increased to a high degree thanks to the project; the Himachal Pradesh SBB respondents perceived a very high degree of understanding and motivation.
195. One underlying purpose of the project was to encourage and facilitate the NBA and SBBs working together (see paragraph 168). According to the PMU and all but one SBB, this purpose is being achieved – all project partners are providing meaningful input into most aspects of project implementation. The Sikkim SBB respondents reported, however, that collaboration has been minimal, due at least in part to the fact that Sikkim is somewhat isolated from the rest of the country.

196. The overall rating on stakeholder participation and public awareness is moderately satisfactory.

#### **4. Country ownership and driven-ness**

197. According to the PMU, national government institutions have assumed a great deal of responsibility for the project and are providing implementation support when the project requests it.

198. The situation varied among the five original participating states, some of which had delayed or had not disbursed money to BMCs.

199. In Andhra Pradesh, Gujarat and West Bengal, there has been a high degree of private sector participation in project activities. Several private sector representatives, all of whose companies work in the ayurvedic field, attended the stakeholders' meeting during the evaluation visit to Gujarat. They said that they are still struggling to understand the impacts of the ABS provisions of the Biodiversity Act on their industry, in spite of the information that the SBB has provided. They noted that complying with all aspects of ABS requires them to deal with multiple government agencies, not only the SBB, and urged that all regulating agencies collaborate to create a 'one-window' procedure for ABS. In Himachal Pradesh and Sikkim, private sector participation is moderate or minimal; the Sikkim SBB respondents noted a lack of response from the private sector.

200. In 2014, India became the first country to legislate corporate social responsibility (CSR). National law mandates that all companies, including foreign firms, with a minimum net worth of INR 500 crore/equivalent to approximately USD77 million, turnover of double the minimum net worth requirement, and net profit of at least INR 5 crore/approximately USD0.77 million, spend at least 2% of their profit on CSR. The private sector is interested in finding out how benefits under ABS agreements, especially any potential in-kind benefits, will be considered for tax purposes in light of the CSR law. Those issues remain to be resolved.

201. The non-governmental institutions working as TSGs with the two BMCs the evaluation visited are aware of ABS, interested in its potential to contribute to sustainable rural livelihoods, and are committed to supporting it. The Nehru Foundation/Centre for Environmental Education in Gujarat and other institutions that the project has engaged as TSGs to assist BMCs in preparing PBRs are similarly aware of ABS and committed to contributing to implementing it. The PMU and the Andhra Pradesh respondents perceived that non-governmental ABS stakeholders have sufficient awareness, interest and commitment to contribute effectively to implementing ABS. Other SBB respondents and UNDP disagreed, noting that there is still a generalized lack of awareness about ABS at all levels and that significant work remains to be done to build awareness and foster commitment.

202. The overall rating on country ownership and driven-ness is moderately satisfactory.

#### **5. Gender and equity**

203. The Biodiversity Rules stipulate that one-third of the members of a BMC must be women and 18% must be members of legally-recognized castes and tribes. The Biodiversity Rules make no other reference to social inclusion. The PMU cited this regulatory requirement as the reason for women's participation. Women are members of the two BMCs the evaluation visited and women are the chairs of at least three BMCs in Gujarat.

204. The project document stated that all capacity building activities would involve strong gender components, within the local context of community-sanctioned gender roles. The Himachal Pradesh, Andhra Pradesh and Sikkim SBB respondents reported the greatest participation by women in project activities. The Gujarat and West Bengal SBB respondents reported that women are participating in project activities, but not contributing to project outputs. West Bengal, Sikkim, and Gujarat SBB respondents noted that few project outputs provide specifically

for including women in implementing the ABS provisions of the Biodiversity Act. As the reason for this, Sikkim respondents cited the fact that the only statutory requirement for women’s participation is membership in BMCs. Andhra Pradesh SBB respondents differed, observing that women preserve seeds and collect biological resources and therefore most project outputs provide for including them, even if only indirectly.

205. According to the project document, the project was to provide multiple livelihood opportunities for marginalized people, including youth, but the project document did not elaborate on how the project would do that. In 2013, the project added a mid-term target for an activity specifically focused on youth that was not included in the project document – village botanist training (see paragraph 128). Andhra Pradesh respondents noted that youth have been actively participating in the project’s village-level meetings in that state.
206. Andhra Pradesh, Gujarat and Sikkim SBB respondents reported that representatives of indigenous and local communities (ILC) have been participating in all or most project activities and are contributing to project outputs. Sikkim noted that most of the state’s inhabitants belong to ILCs. Himachal Pradesh and West Bengal SBB respondents reported that ILCs have been participating in all project activities but have not contributed to project outputs.
207. The overall rating on gender and equity is satisfactory.

**6. Financial planning and management**

208. The review of project financing is in paragraphs 44-49.
209. The project document included a budget on the basis of project components and UNEP budget lines, indicating the allocation of each budget line to each project component, and a breakdown of co-financing by source and UNEP budget line. UNEP’s standard financial reporting forms do not allow for reporting against the budget by project component, only against UNEP budget lines.
210. The project revision of 31 July 2014 re-allocated the total GEF budget by year, as indicated in Table 8:

**Table 8. Budget re-allocation**

Year	Re-allocated budget for GEF funding
2011	0
2012	277,676
2013	817,398.65
2014	1,346,945.55
2015	1,118,979.80
Total	3,561,000

211. Project expenditures in 2011 were negligible; the revised budget reflected total actual expenditures for 2011 and 2012 as the budget for 2012 only. The total re-allocated budget for the project’s GEF funding for 2011-2014 is USD2,442,021. Total reported expenditures for 2011-2014 were USD1,061,120, or 43.5% of the GEF funding, after 43 months of implementation. The duration of the technical phase of the project, as extended to December 2015, is 55 months. This means that when the project had completed 78% of its total extended duration, the project had expended 43.5% of available GEF funding.
212. The July 2014 project revision also re-allocated the GEF budget by project component, as indicated in Table 9:

**Table 9. GEF Budget Re-allocated by Project Component**

Component	Budget (USD)	Revised budget (USD) <sup>25</sup>
1: Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands	496,000	596,157
2: Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act	505,000	726,510
3: Piloting agreements on ABS	488,900	545,451
4: Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime	530,000	463,927
5: Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act	510,000	384,306
6: Increasing public awareness and education programs	460,000	350,834
Sub-total	2,989,900	3,067,185
<b>Project Management</b>	356,100	301,407
<b>M&amp;E</b>	215,000	192,410
<b>Total</b>	<b>3,561,000</b>	<b>3,561,000</b>

213. The budget re-allocation increased funding for Components 1-3, which focus on economic valuation and ABS agreements, and decreased funding for Components 4-6, which focus on capacity building. The budget re-allocation also decreased funding for M&E.

214. UNEP has disbursed funds to MoEF three times, as indicated in Table 10:

**Table 10. UNEP Disbursements to MoEF**

Date	Disbursement (USD)
20 June 2011	295,000
11 December 2012	800,000
11 February 2015	499,920
<b>Total</b>	<b>1,594,920</b>

215. Implementing states reported that, as of 31 December 2014, the PMU had disbursed funds and the states had expended them as indicated in Table 11<sup>26</sup>:

**Table 11. PMU Disbursements to States**

State	Disbursement (USD)	Expenditure (USD)
Andhra Pradesh	145,403	116,664
Gujarat	165,976	106,061
Himachal Pradesh	81,456	29,692
Sikkim	50,656	29,292
West Bengal	152,035	123,817
Goa	Information not available	Information not available
Karnataka	110,777	44,865
Odisha	Information not available	Information not available
Telangana	Information not available	Information not available

<sup>25</sup> Figures for individual budget lines are rounded up.

<sup>26</sup> The implementing states presented their figures in INR. For the purposes of this table, the exchange rate used was USD1=INR63.19, as of 31 December 2014.

<http://www.xe.com/currencytables/?from=INR&date=2014-12-31>



State	Disbursement (USD)	Expenditure (USD)
Tripura	Information not available	Information not available
Partial total	706,303	450,391

216. The total amount that UNEP had disbursed to the project by 31 December 2014 was USD1,095,000. Based on the information available, the project had transferred to the states at least 64.5% of the funds disbursed to the project as of 31 December 2014.

217. Agenda Notes for the February 2015 PSC meeting included a table that provides the only available breakdown of GoI cash co-financing by project component. The original budget and the July 2014 project revision document do not provide such a breakdown. UNEP's standard financial reporting forms do not allow for reporting by project budget line or project component, which makes it impossible to verify the figures in Table 12.

**Table 12. GoI Cash Co-financing by Project Component**

Project Component		2014 Revised Budget - GoI Cash Co-financing (USD)
1	Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands	205,448
2	Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act	278,179
3	Piloting agreements on ABS	116,980
4	Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime	270,351
5	Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act	145,269
6	Increasing public awareness and education programs	190,237
Sub-total		1,206,464
7	Project management	279,030
8	M&E	49,507
Total		1,535,000

218. In the original budget, GoI cash co-financing was USD2,438,000. There is no documented explanation for the USD902,999 difference.

219. Financial reporting to the February 2015 PSC, at the individual SPU level and at the overall project level, was presented in terms of expenditure as a percentage of funds received, rather than as a percentage of the budget. This focus on performance in terms of funds received, rather than performance against budget, may at least partially explain why budget performance has lagged.

220. The PMU has regularly submitted to UNEP Quarterly Expenditure Reports, beginning with the third quarter of 2011 through the fourth quarter of 2014. The PMU submitted Consolidated Cash Contribution Expenditure Statements for 2011, 2012, 2013, and 1 January-30 September 2014. The Quarterly Expenditure Reports and Consolidated Cash Contribution Expenditure Statements are based on UNEP budget lines and do not provide a breakdown of expenditure by project component.

221. Annex 5 summarizes project costs and co-financing. Table 1 of Annex 5 provides a statement of total expenditure as of 31 December 2014. Project financial reporting does not provide a

breakdown of expenditure by project component as indicated in the budget in the project document. The project has not reported any leveraged financing from sources external to the project (see paragraph 48).

222. As of 30 September 2014, four months after the project's original completion date, the Gol's cash co-financing contribution totalled USD349,699 (see Annex 5, Table 2) or 14.3% of its budgeted cash co-financing commitment. The project has not produced any reports on in-kind co-financing. The April 2015 version of UNU-IAS's proposed workplan (see paragraph 43) documented that the institution had, as of February 2015, provided support to the project valued at USD194,920 out of a total of USD250,000 in-kind co-financing reflected in the project budget. This is 78% of UNU-IAS's commitment to in-kind co-financing. No report on UNEP's in-kind co-financing is available.

223. For externally executed projects, UNEP requires a biannual audited financial report, which the implementing agency is responsible for preparing.<sup>27</sup> The project has been audited once, in 2014. Because the audit was delayed, UNEP suspended cash disbursements until the audit report was submitted and UNEP had reviewed and accepted it (see paragraph 215). The Gol Office of the Principal Director of Audit, Scientific Departments, conducted audits for Gol fiscal years 1 June 2011-31 March 2012, 1 April 2012-31 March 2013, and 1 April 2013-31 March 2014. All three audit reports are dated 30 October 2014 and are expressed in Indian Rupees (INR). On 18 November 2014, the PMU submitted to UNEP a reconciliation showing the audited amounts converted to USD:

FY2011-2012, INR5,277,000 /USD118,420.04;  
FY 2012-2013, INR10,729,000 /USD229,519.33; and  
FY 2013-2014, INR24,240,000 /USD445,404.40.

224. Total audited expenditure as of 31 March 2014, after 33 months of implementation, was USD793,343.77. This was 22.3% of the GEF financing for the project and 8.1% of the total cost of the project.

225. The PMU has submitted Quarterly Expenditure Reports and Consolidated Cash Contribution Expenditure Statements regularly. However, expenditures have been seriously delayed, the project has not been audited as UNEP requires, the single audit was late and audited expenditure low, the Gol's cash co-financing is low, and UNEP's and UNU-IAS's in-kind co-financing has not been reported.

226. The overall rating on financial planning and management is unsatisfactory.

## **7. UNEP supervision and backstopping**

227. The UNEP/DGEF Task Manager, based in UNEP Headquarters in Nairobi, has exercised general oversight of the project. All project funds flowed through UNEP HQ and UNEP administration in Nairobi handled administration of the overall project, including contracts and payments.

228. The original Task Manger maintained active engagement with the PMU team, providing guidance on administrative and substantive issues and participating in project events. The original Task Manager personally participated in the project's inception workshop in 2011 and in all PSC meetings.

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<sup>27</sup>United Nations Environment Programme. 2005. *UNEP project manual: formulation, approval, monitoring and evaluation*. p. 52.

[http://www.unep.org/pcmu/project\\_manual/Manual\\_chapters/monitoring\\_reporting.pdf](http://www.unep.org/pcmu/project_manual/Manual_chapters/monitoring_reporting.pdf)

229. The Task Manager experienced considerable difficulty in getting the executing agency to meet financial management and monitoring requirements. From the FY2012-2014 PIRs available for the evaluation, it appears that the Task Manager simply concurred with the PMU's assessments of project progress. The PIRs do not document any concerns on the part of the Task Manager with project progress.

230. The overall rating on UNEP supervision and backstopping is moderately satisfactory.

## **8. Monitoring and evaluation**

### **a. M&E Design**

231. The project document proposed to adhere to all GEF and UNEP requirements for M&E. It included a costed M&E plan and a summary of reporting requirements and responsibilities.

232. The results framework, which was Appendix 4 in the project document, identified assumptions and included indicators at the level of the project objective and outcomes. The project results framework did not reflect a Theory of Change, which was not required at the time the project was designed and approved. The project document included a diagram of an impact pathway, but did not include any narrative explanation of what the diagram represented (see paragraph 65).

233. The costed M&E plan in the project document provided for all regular reporting to UNEP and GEF as well as for PSC meetings, regular technical monitoring missions by the PMU, annual audits, and mid-term and terminal evaluations.

234. The rating on M&E design is satisfactory.

### **b. Budgeting and funding for M&E activities**

235. The budget in the project document allocated a total of USD245,000 for M&E: USD215,000 from GEF funds and USD30,000 from GoI in-kind co-financing. The costed M&E plan annexed to the project document indicated that M&E would cost a total of USD531,000 – USD215,000 from GEF funds and USD316,000 from NBA funds. There is no indication of NBA co-financing in the project budget and no other mention of an in-kind contribution from NBA anywhere else in the project document.

236. According to the project budget, GEF funds are to be used for the following: field surveys and project staff travel; the inception meeting and PSC meetings; audit; a mid-term evaluation and a terminal evaluation. The original costed M&E plan provided for the same activities and covered project reporting as well. The total indicative cost for reporting, according to the M&E plan, was USD16,000, all of which was to be assumed by NBA. The costed M&E plan was revised when the budget was revised. The revised M&E plan covered the same activities as the original M&E plan and reduced the indicative cost to GEF to USD192,410 and the indicative cost to NBA to USD214,472, for a total M&E cost of USD406,882. The revised budget allocated USD162,096 of GEF funds for M&E. There is no documented explanation for the USD30,314 difference between the revised costed M&E plan and the revised budget.

237. The estimated total cost of M&E in the revised project budget corresponded to 2.5% of the total project costs. UNEP's 2008 *Evaluation Manual* recommended that for projects with a total budget greater than USD4,000,000, indicative evaluation costs should be \$140,000, and less than 3.5% of the total project budget. The percentage of the total India ABS Project cost that was allocated for M&E is in line with UNEP's recommendation.

238. The rating on budgeting and funding for M&E is moderately satisfactory.

### **c. M&E Plan Implementation**

239. The PMU submitted a Half Yearly Progress Report for the period June-December 2012 and PIRs for UNEP GEF Fiscal Years 2012, 2013, and 2014. The M&E section of each PIR requires yes/no answers for a list of 11 questions, has seven questions that require narrative answers,

and has a section that calls for information on experiences and lessons. In each PIR, the yes/no questions were answered and the FY2012 PIR included brief answers to three of the seven questions. Otherwise, the M&E section of the PIRs was left blank.

240. The mid-term evaluation that was originally planned and budgeted for was not carried out. It was only when the UNEP EO attempted to schedule the project's terminal evaluation that it was discovered that the project had been extended, and what was expected to be a terminal evaluation was converted into a late mid-term evaluation (see paragraph 14).
241. The rating for M&E plan implementation is moderately unsatisfactory.
242. In summary, the rating for M&E design is satisfactory. Budgeting and funding for M&E was within UNEP parameters but the budget was not consistent with the costed M&E plan either in the original project document or in the revised budget and costed M&E plan and is therefore moderately satisfactory. M&E implementation was moderately unsatisfactory. The overall rating for monitoring and evaluation is moderately satisfactory.

## **V. Conclusions, Lessons Learned, and Recommendations**

### **A. Conclusions**

243. These conclusions are drawn from the project's results in the five original participating states.
244. The project has been most successful in generating the tools that all states in the country, not only the project states, need to begin implementing ABS (Component 2). Translating these tools into local languages makes it much more likely that they will actually be used in the future. The project has also provided impetus for the NBA to coordinate and collaborate with SBBs and for SBBs and the NBA to concentrate on empowering BMCs and assist them in preparing PBRs.
245. The project has had varying degrees of success in the original five participating states in creating awareness of ABS and commitment to implement it among all ABS stakeholders (Components 5 and 6).
246. The project document acknowledged differences in the capacities of participating states, but the project has not been as effective as it could have been in factoring those differences into carrying out project activities. Similarly, the project also does not appear to have adequately taken into account the degree to which the project components were inter-dependent and the degree to which that inter-dependence would affect implementation. To a greater extent than the other three original participating states, Sikkim and Himachal Pradesh needed to invest more effort on building understanding of ABS (Components 5 and 6) before they could effectively begin to tackle project activities under Components 2 and 3. ABS agreements (Component 3) depend at least in part on the economic valuation of biological resources (Component 1). It took time to determine which methodologies the project should promote and more time to use them to value selected biological resources in each state. The results of those processes, which are crucial for ABS agreements, were not available for all participating states by the project's original completion date.
247. The most significant challenge the project faces is completing, within 16 months (by June 2016) from the evaluation visit in February 2015, the outputs that it had not been able to deliver in more than three years.
248. The project is much-delayed and there is a reasonable question whether it will be able to deliver all outcomes even within the extension period. Nevertheless, the project has made important contributions to creating the foundation for implementing ABS. The overall rating for the India ABS Project, based on the assessment findings is, therefore, moderately satisfactory.

**Table 13. Overall ratings table**

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<b>A. Strategic relevance</b>	The project's objectives are consistent with national issues and needs with respect to ABS and it is reaching stakeholders in the participating states who must be involved in implementing ABS.	<b>S</b>
<b>B. Achievement of outputs</b>	The Project Implementation Review (PIR) for the GEF fiscal year 1 July 2013 to 30 June 2014 reported that the project had not yet achieved 100% completion of even one project deliverable.	<b>MU</b>
<b>C. Effectiveness: Attainment of project objectives and results</b>		<b>S</b>

Criterion	Summary Assessment	Rating
1. Achievement of project outcomes	<p>The project has produced economic valuation methodologies that all states, not only the project's participating states, need to implement ABS. As participating states, and other states, use the methodologies, understanding of economic values of biological diversity, and how to apply it, will be enhanced.</p> <p>As of July 2015, three participating states had already approved a total of more than 50 ABS agreements. It may be assumed that the participating SBBs that approved these agreements used the tools, methodologies and guidelines the project has developed in their decision-making processes and that they will continue to do so, and there is reason to foresee that other states will follow suit. The texts of the agreements were not available for the evaluation, but it is reasonable to assume that they incorporated the project's guidance on benefit-sharing and there is reason to foresee that other states will follow suit.</p> <p>It is also very likely that all participating states will at least enter into ABS agreements during the project period.</p> <p>The project has already convened events to share India's experience with ABS and learn from the experience of other South Asian countries, the countries that participated in the UNEP-GEF ASEAN ABS Project, and selected African countries, which have likely boosted understanding of national implementation provisions of ABS mechanisms at international level and vice versa.</p> <p>The project has produced an ABS Guidance Manual, which explains how ABS is supposed to operate in practice under the Biological Diversity Act. Participating states are translating it into their local languages. When this manual is generally available in several national languages, it will likely contribute to improved understanding of ABS provisions of the Biological Diversity Act at national level and at state and local levels, in at least the participating states.</p> <p>The project has produced tools – including particularly the economic valuation methodologies, the ABS Guidance Manual, the BMC Toolkit and the LBF Guide – that all states, not only the project's participating states, need to implement ABS. The BMCs the evaluation visited had been established in communities where development initiatives had been ongoing for several years prior to the creation of the BMC. The BMCs the evaluation visited could well be models for others, but the foundation for their success was laid well before the project began. It is not clear to what extent other BMCs created under the project could serve as models for others to learn from.</p> <p>Finally, the project has fostered the participation of private sector, academic, and civil society representatives and produced guidelines for the continuing participation of community members through BMCs.</p>	S

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
2. Likelihood of impact	The likelihood of the project's outcomes leading to the expected impact and global environmental benefit will depend on the degree to which India achieves the intermediate states: functioning BMCs and benefits flowing to communities. After 37 months of project implementation, the project was close to having created its target numbers of BMCs in the original five participating states, but it was not clear to what degree each of those BMCs was functioning effectively. Getting tangible benefits flowing to communities will require bringing into force a critical mass of ABS agreements. The project has produced most of the tools required to generate the information needed as a basis for an ABS agreement. The principal missing element is training BMCs in the skills they will need to negotiate ABS agreements. With the exception of Gujarat, participating states had only just begun the process of facilitating ABS agreements.	<b>ML</b>
3. Achievement of project goal and planned objectives	The project document did not state a goal; the objective is to increase stakeholders' capacity to implement ABS. The project has carried out activities designed to do this, but project reporting has apparently overstated the achievement status of five of the six activities specifically focused on building capacity. Assuming that within the extension period the project completes all activities as planned, it will have contributed to increasing capacity to implement ABS in slightly more than one-third of India's total of 29 states.	<b>MS</b>
<b>D. Sustainability and replication</b>		<b>MU</b>
1. Financial	Multilateral and bilateral funding, with significant contributions from the national government, will be required to sustain the project's outcomes in the project states and scale them up to additional states. UNDP appears to be the only project partner that is in the process of developing a new ABS initiative project to take forward the work of its previous project and this project.	<b>MU</b>
2. Socio-political	The influence of socio-political factors varies considerably from state to state and depends to a significant degree on the extent to which decision-makers understand ABS and the contribution it could make to sustainable development. At the national level, there is a move to amend the Biodiversity Act and Rules as well as other laws that govern the environment and biodiversity. The changes could have positive or negative impacts on the sustainability of the outcomes of the project.	<b>MU</b>
3. Institutional framework	The degree to which the NBA and SBBs internalize and institutionalize what they have gained from the project will determine the institutional sustainability of implementing ABS. The project has demonstrated how the NBA can work with SBBs and how SBBs can work with BMCs.	<b>ML</b>
4. Environmental	The project's outcomes have the potential to enhance conservation of biological resources but the project and the NBA should not ignore the potential for an emphasis on cash income to encourage communities to maximize income from biological resources unsustainably.	<b>ML</b>
5. Catalytic role and replication	The project is creating opportunities for institutions and individuals at state level to bring about change. The	<b>S</b>

Criterion	Summary Assessment	Rating
	project's default assumption is that because BMCs are statutory bodies under the Biodiversity Act, all states will create them appropriately, provide them with adequate support, and thus ensure the replicability of this project's outcomes. It is not clear that this assumption is completely justified, at least in the short- and medium-term.	
<b>E. Efficiency</b>	The project built on the initial steps that some of the participating states' SBBs had already taken to begin implementing ABS and also built on and collaborated with the 2008-2011/2012 UNDP/GEF project that supported strengthening institutional structures to implement the Biological Diversity Act. At both national and state levels, government institutions have extended the support necessary to implement project activities. The project uses existing infrastructure, where available and, everywhere the skill sets are available, existing human resources. The project also follows procurement procedures that aim to assure that it receives the maximum possible value for use of project funds. Timeliness is also a dimension of efficiency and timeliness of outputs is a serious issue for this project.	<b>MS</b>
<b>F. Factors affecting project performance</b>		
1. Preparation and readiness	The NBA, one SBB, two project partners, and UNEP were involved in designing the project. At the state level there are concerns that the project did not adequately take into account the diversity of existing capacity and experience among the participating states and that there could have been more interaction between the PMU and participating states at the beginning of the project to ensure that all were interpreting the project's expected outcomes the same way. There was also some lack of clarity as to the basis for allocating funds to activities and to participating states. The activities as designed should produce all intended outputs and outcomes, but the project design did not adequately factor in the wide variation in the capacities of the participating states to actually deliver the outputs in the time originally allotted.	<b>MU</b>
2. Project implementation and management	The PSC helps to guide the project and to resolve any problems but was unable to articulate a vision for the project other than that it was moving forward. The PMU and SBBs are responding effectively to each other. Two SBBs indicated some delays in responding to requests from BMCs. National project management could improve the project's effectiveness by: ensuring more frequent PMU communication with SBBs and counseling from the PMU concerning activities; more regular meetings with SBBs; and by creating and maintaining more links with related projects at the national level and in the participating states. State project management would be improved by: ensuring that all participating states had at least one full-time project staff person; building the capacity of SPU teams and TSGs; more timely decision-making; and more effective engagement of experts in activities to produce outputs within project timeframes.	<b>MS</b>
3. Stakeholder participation	All project partners and participating states felt that the project had adequately identified stakeholders.	<b>MS</b>



<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
and public awareness	Stakeholder participation in project activities is increasing stakeholders' motivation to contribute to implementing ABS to a moderate degree; post-project follow-up will be required to maintain their interest. ABS stakeholder groups are participating in project events at least in part because ABS is a new issue for them and they want to learn more about it. All project partners are providing meaningful input into most aspects of project implementation.	
4. Country ownership and driven-ness	National government institutions have assumed a great deal of responsibility for the project and are providing implementation support when the project requests it. The situation varies among the five original participating states, some of which had delayed or had not disbursed money to BMCs. Private sector participation varies considerably among the five original participating states; issues of how benefits under ABS agreements, especially any potential in-kind benefits, will be considered for corporate tax purposes in light of the CSR law remain to be resolved. The awareness, interest and commitment of non-governmental ABS stakeholders vary significantly.	<b>MS</b>
5. Gender and equity	The Biodiversity Rules stipulate that one-third of the members of a BMC must be women and 18% must be members of legally-recognized castes and tribes. The Biodiversity Rules make no other reference to social inclusion. The PMU cited this regulatory requirement as the reason for women's participation. The project added an activity specifically focused on youth that was not included in the project document. Indigenous and local communities (ILC) have been participating in all or most project activities and are contributing to project outputs in most of the original participating states.	<b>S</b>
6. Financial planning and management	Expenditures have been seriously delayed, the project has not been audited as UNEP requires, the single audit was late and audited expenditure low, the Gol's cash co-financing is low, and UNEP's and UNU-IAS's in-kind co-financing has not been reported.	<b>U</b>
7. UNEP supervision and backstopping	The original Task Manger maintained active engagement with the PMU team but experienced considerable difficulty in getting the executing agency to meet financial management and monitoring requirements. From the FY2012-2014 PIRs available for the evaluation, it appears that the Task Manager simply concurred with the PMU's assessments of project progress. The PIRs do not document any concerns on the part of the Task Manager with project progress.	<b>MS</b>
8. Monitoring and evaluation		<b>MS</b>
a. M&E Design	The project document proposed to adhere to all GEF and UNEP requirements for M&E. It included a costed M&E plan and a summary of reporting requirements and responsibilities. The costed M&E plan in the project document provided for all regular reporting to UNEP and GEF as well as for PSC meetings, regular technical monitoring missions by the PMU, annual audits, and mid-term and terminal evaluations.	<b>S</b>
b. Budgeting and funding	Budgeting and funding for M&E was within UNEP parameters but the budget was not consistent with the	<b>MS</b>

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
for M&E activities	costed M&E plan either in the original project document or in the revised budget and costed M&E plan	
c. M&E plan implementation	The PMU submitted a Half Yearly Progress Report for the period June-December 2012 and PIRs for UNEP GEF Fiscal Years 2012, 2013, and 2014. The M&E section of each PIR requires yes/no answers for a list of 11 questions, has seven questions that require narrative answers, and has a section that calls for information on experiences and lessons. In each PIR, the yes/no questions were answered and the FY2012 PIR included brief answers to three of the seven questions. Otherwise, the M&E section of the PIRs was left blank. The mid-term evaluation that was originally planned and budgeted for was not carried out.	<b>MU</b>
<b>Overall project rating</b>	The project is much-delayed and there is a reasonable question whether it will be able to deliver all outcomes even within the extension period. Nevertheless, the project has significantly contributed to creating the foundation for implementing ABS. The overall rating for the India ABS Project, based on the assessment findings is, therefore, moderately satisfactory.	<b>MS</b>

<b>General Ratings</b>	<b>Ratings for sustainability sub-criteria</b>
HS = Highly Satisfactory	L = Highly Likely: There are no risks affecting this dimension of sustainability
S = Satisfactory	ML = Moderately Likely: There are moderate risks that affect this dimension of sustainability
MS = Moderately Satisfactory	MU = Moderately Unlikely: There are significant risks that affect this dimension of sustainability
MU = Moderately Unsatisfactory	U = Unlikely: There are severe risks that affect this dimension of sustainability
U = Unsatisfactory	
HU = Highly Unsatisfactory	

## B. Lessons Learned

249. The fundamental lessons learned from the India ABS Project are:

250. **Do not over-reach.** India is a large country with needs proportionate to its size. In a big country with big needs there is a temptation to try to meet them all. With six components, the project appears to have been designed to attempt to address the full spectrum of needs with respect to ABS. To try to 'do it all', the project designers created a complicated suite of activities, some of which overlapped and duplicated each other. Project implementation has made a valiant effort but has had only moderate success in dealing with the complexities (see, particularly, paragraph 222). As a result, one month after its original termination date, the project did not report even one activity as 100% complete and several activities will only be conceptualized during the extension period. The project would have been able to serve its stakeholders better if it had been more clearly focused.

251. **Monitor and oversee critically.** With a project whose design has over-reached, staff are put in a position in which they must simply keep moving forward, which is the way the PSC described its vision for the project. Even in such situations, project revisions provide an opportunity to critically review progress and prospects and make appropriate adjustments. This project did not take advantage of that opportunity.

## C. Recommendations

252. The following recommendations are made in the context of the sustainability of the project's results (see paragraph 139). These recommendations are addressed to MoEF, including the NBA, as the project executing agency, for the remainder of the project and to UNEP as the responsible GEF agency for consideration in designing future projects.

253. Recommendation 1: Produce a written strategy for sustaining the project's outputs and outcomes with specific indications of commitments and limitations on the part of the NBA and all participating SBBs. Post-project, MoEF and the NBA will need to focus on how they will continue to support less well-resourced states.

254. Recommendation 2: Focus on quality and potential for sustainability, rather than quantity, in the context of creating BMCs. The Guidelines for Operationalizing BMCs advise states to establish a "realistic number" of BMCs, according to each state's biodiversity-rich areas and social requirements. The PSC and some participating states appear to be pushing to create BMCs for all local government entities; it is not clear that this is fiscally feasible.

255. Recommendation 3: De-emphasize cash and focus more on in-kind benefits. There is a risk that an emphasis on cash income will encourage communities to maximize income from biological resources in an unsustainable way.

256. Recommendation 4: Continue and increase investments in translation. Translating the tools the project has developed into local languages makes it much more likely that they will actually be used in the future, which may be the project's most important contribution to the sustainability of its own outcomes.

## Annexes

### Annex 1 Portfolio Evaluation Terms of Reference

## TERMS OF REFERENCE

### *ABS – Portfolio Evaluation: Final Evaluation of five UNEP/GEF projects on “Access and Benefit Sharing”*

#### I. PROJECT BACKGROUND AND OVERVIEW

This is the Terms of Reference for an Evaluation of UNEP/GEF Access and Benefit Sharing portfolio. It will draw its findings on Final Evaluations of five UNEP/GEF projects on Access and Benefit Sharing (ABS), as defined under the Convention on Biological Diversity. The projects include “*Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing*” (ABS Global); “*Supporting the development and implementation of access and benefit sharing policies in Africa*” (ABS Africa); “*Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits*” (ABS Asean), “*LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean*” (ABS LAC) and “*Supporting ratification and implementation of the Nagoya Protocol on ABS through technology transfer and private sector engagement in India* (ABS India).

##### i. Rationale of the portfolio projects<sup>28</sup>

1. Access and Benefit Sharing (ABS) is one of the three main objectives of the Convention on Biological Diversity (CBD), signed in the 1992 Rio Earth Summit and it sets out obligations to the parties related to access to genetic resources and to the fair and equitable sharing of the benefits arising out of their utilisation. As defined by the Convention, it refers to the way in which genetic resources are accessed and how the benefits from their use are shared between the people or countries using them (users) and the people or countries that provide them (providers). Accessing and using genetic resources bears significant potential benefits, since they provide information to better understand the natural world and they can be used to develop products and services, such as medicines, cosmetics and agricultural techniques. These valuable resources make up complex ecosystems which, however, can be threatened or endangered and therefore the way in which genetic resources are accessed, shared and used can create incentives for conservation and sustainable use of different ecosystems. Moreover, the current understanding and knowledge of the genetic resources is based on traditional knowledge of indigenous and local communities. Therefore it is paramount to value the traditional knowledge and to value it appropriately to avoid risking the communities together with their resources.

2. The Convention identifies providers of the genetic resources as States that have sovereign rights over the natural resources under their jurisdiction. However, national legislation may entitle others, such as Indigenous and Local Communities (ILCs) as providers and thereby to negotiate on the terms of ABS. The Convention defines users as diverse groups, such as researchers for pharmaceutical, agriculture and cosmetic industries, botanical gardens and research institutes, seeking genetic resources for wide ranging purposes from basic research to development of new products. The Convention defines the potential benefits deriving from the use of genetic resources to be either monetary, such as sharing of royalties when the resource is used to create commercial products, or non-monetary, such as development of research and knowledge. The users of genetic resources are responsible for sharing the benefits with the providers. Therefore, understanding the ABS – frameworks of CBD and the Bonn Guidelines can assist governments to establish their national frameworks in a way which ensures that access and benefit-sharing is

<sup>28</sup> Sources: Convention on Biological Diversity: Introduction to access and benefit-sharing (<https://www.cbd.int/abs/infokit/revised/web/all-files-en.pdf>); UNEP/GEF project documents for the evaluated projects.

equitable and fair. In practice, the provider grants a Prior Informed Consent (PIC), i.e. a permission from a national authority to the user prior to accessing genetic resources, and negotiations are held to develop Mutually Agreed Terms (MAT), i.e. agreement on the conditions of access and use of the resources, and the benefits to be shared, to ensure fair and equitable sharing of genetic resources and associated benefits.

3. The CBD COP6 (2002) adopted the *Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization*, as voluntary guidelines to assist the governments with the implementation of the CBD ABS-framework. More precisely, the Guidelines were aimed to assist countries as providers in setting up legislative, administrative and policy measures for ABS, e.g. recommending the elements of PIC – procedures, as well as to assist providers and users in the negotiation of MATs. Moreover, in COP-6, discussions were initiated to negotiate an international regime to promote fair and equitable ABS and the following COPs discussed, agreed on and set in motion a process to establish a *Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization*, finally adopted in the COP-10 (2010) in Nagoya.

4. After the Bonn Guidelines were adopted, it was, however, recognized that some countries were constrained in fully utilizing the guidelines due to capacity constraints, and therefore unable to effectively participate in the negotiations of the international ABS regime. The five UNEP/GEF projects under evaluation now responded to the need for building capacity of countries for access and benefit sharing to enable the Parties of the CBD to elaborate, negotiate and implement the Convention.

**(i) Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing (ABS Global)**

5. According to the Second National Reports to the CBD, 81 countries out of the 93 attached high or medium level priorities to access and benefit sharing, in the Third National Reports, high or medium level priorities have been awarded by 98 of the 129 countries. Moreover, a study on 109 National Biodiversity Strategies and Action Plans (NBSAPs) showed that more than 50 % included ABS measures and / or objectives. However, the countries identified several capacity barriers and capacity building needs regarding ABS, and assessed that in general there is poor understanding of the critical issues related to access and benefit sharing, there are inadequate capacities of institutional frameworks relevant for the regulation of access and benefit sharing, there is lack of adequate skills on the valuation of biological / genetic resources, and lack of general awareness on ABS issues.

6. The ABS Global – project was designed as a global technical assistance project to address the identified capacity barriers and to contribute to the achievement of the third objective of the CBD. The project specifically arose from a request from countries participating in COP 10 to be assisted in the ratification process. Through targeted awareness raising and capacity building activities, the project aimed to help developing countries include improved ABS measures and plans in national priorities. The project was implemented from April 2011 to January 2014.

**(ii) Supporting the development and implementation of access and benefit sharing policies in Africa (ABS Africa)**

7. Africa contains five globally significant hotspots and numerous unique environments, home to only partially documented plethora of indigenous species. The ABS Africa - project was developed against the backdrop that Africa hosts a substantial proportion of the world's genetic diversity but that loss of biodiversity, and consequently the genetic resources, is a major concern. Moreover, for centuries Africa has contributed significantly to the world's reserve of genetic resources, but instead of the local communities, the benefits from these have mainly flowed to states, enterprises, institutions or individuals outside the region. Considering the threats to biodiversity and the fact that Africa still hosts a vast potential of undiscovered genetic resources, there is a need to ensure that benefits of sustainably utilizing genetic resources are recognized and that the benefits are equitably shared. If properly managed, the biological wealth can contribute to poverty alleviation and food security, fostering industrial innovation and developing new medicines. However, it was recognized that whilst reasonable capacity exists in the relevant core sciences, there is lack of capacity in the legal and policy aspects of genetic resources use and conservation. This combined with adverse economic conditions, most African countries lack the human and organizational resources to

conduct research and implement policies to combat threats of environmental degradation and loss of biodiversity, especially of indigenous food crops and other useful plants, animal species and microorganisms.

8. The ABS Africa - project was implemented from August 2010 to December 2012 to build capacities to meaningfully participate in access and benefit sharing processes. The project engaged with different actors, from governments to local communities in six African countries; Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa.

**(iii) *Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits (ABS Asean)***

9. The Southeast Asian region is rich in biological resources and hosts an exceptionally rich diversity of cultivated plant species and domesticated animals. Throughout the region crop cultivation is largely dependent on traditional cultivars, old varieties and landraces and the region is rich in local, unimproved varieties of regionally and globally food crops. The regions many indigenous and traditional communities constitute important repositories of biodiversity-related knowledge. However, the region is increasingly environmentally vulnerable as the forest, mountain, inland water and marine and coastal ecosystems are threatened by land conversion and degradation, pollution, deforestation and overuse of resources.

10. The ABS Asean project was developed as a regional response to the identified capacity building needs in regards to ABS in the ASEAN member countries. The countries share many biological, economic, legal, cultural and linguistic similarities and ties, implying sensibility of a regional approach to ABS capacity building. However, the project baseline study found that implementation of existing environmental legislation has left room for improvement, provisions related to ABS were fragmented and overall the ABS measures were limited. There was thus a need to establish effective ABS strategies to secure conservation and sustainable use of biodiversity, to ensure that traditional knowledge on biodiversity is respected and preserved, to support the development of biotechnology in the region, and to ensure equitable sharing of benefits from genetic resources. The project aimed to address this by assisting the Southeast Asian countries to implement the Bonn Guidelines and to build capacity of the countries to effectively participate in the negotiations of the international ABS regime.

11. The ABS Asean project was implemented from November 2010 to October 2012 in ten Southeast Asian countries (Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam, together with Timor Leste). The project aimed to respond to three key priority needs identified by the participating countries, namely (i) Develop the regional ABS network by building on the Agreement; (ii) Develop national capacities to ensure access and benefit sharing; and (iii) Develop a targeted public awareness and educational programme to increase awareness in marginalised and key non-governmental stakeholder and assist them to participate more effectively in the development and implementation of an ABS Policy.

**(iv) *LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean (ABS LAC)***

12. The LAC ABS- project is being implemented from June 2011 to May 2014 in nine Latin American and Caribbean countries; Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Guyana, Panama and Peru, from which all are important centres of biological and cultural diversity, and four countries are members of the Group of Megadiverse Countries. The countries are also increasingly recognizing the opportunities catalysed by an effective ABS framework, and gradually linking this area of work to protection of Traditional Knowledge (TK) and other social issues. Since the countries share a portion of each other's resources, regional approaches to developing ABS are economically, politically and environmentally sound.

13. The project aimed to ensure that the principles of conservation, sustainability, equity and justice of the CBD in regards to access and benefit sharing and the protection of traditional knowledge are incorporated in the development and implementation of public policies, norms, programs and activities in Latin America and the Caribbean. The overall objective of the project was to strengthen the capacities of the nine countries to develop and / or comply with national policy and legal frameworks regarding access to genetic resources, benefit sharing and the

protection of traditional knowledge. The Project consisted of three technical components that focused on (i) capacity building of stakeholders through knowledge transfer and knowledge management, (ii) capacity building for integration and application of ABS and TK regimes and for negotiating contracts and agreements, and (iii) capacity building for comprehensive cross-implementation of the various international treaties that relate to ABS and TK.

**(v) “Strengthening the implementation of the Biological Diversity Act and Rules with focus on its Access and Benefit Sharing Provisions (ABS India)”**

14. India is one of the mega biodiversity rich countries of the world, home to four of the 34 global biodiversity hotspots and 45,968 species of flora and 91,364 species of fauna. This vast biodiversity is of immense economic, ecological, social and cultural value and it has tremendous value for posterity. However, similar to many other countries in the world, India is facing human pressure on the natural resources in the form of habitat destruction, monoculture and intensive agriculture, climate change, invasive alien species and poaching of wildlife. In the context of ABS, degradation of bio-resources also leads to the loss of traditional knowledge associated with it. Recognizing ABS potential and developing ABS agreements would help better use of country’s biodiversity potential, and contribute to biodiversity conservation and sustainable use. As many other countries, however, also India is faced with gaps in the existing mechanisms in implementing the ABS provisions in terms of lack of awareness, lack of regional capacity and man power and gaps in legal mechanisms and their implementation.

15. The project was implemented from March 2011 to February 2014 to build the capacity of stakeholders at national, state and local levels in developing suitable mechanisms for effective implementation of ABS provisions towards achieving access and equitable sharing of benefits arising out of the utilization of bio-resources from mountain, forests, arid/semi-arid, wetland, coastal and marine and agrobiodiversity and wetland ecosystems in India. The project aimed to facilitate valuation of bio-resources that can be commercially utilized, help India to conserve biodiversity in selected ecosystems, support documentation of the Peoples Biodiversity Registers (PBRs), valuation of biodiversity and help in establishing biodiversity heritage sites.

## **1. Project objectives and components**

16. These five projects contributing to the ABS Portfolio Evaluation were developed to aim towards the same goal; to assist countries in the implementation of the third objective of the CBD – the Access and Benefit Sharing. Below are listed the specific goals for each of the projects, more detailed results frameworks are presented in Annex 8 of the ToRs.

**(i) *Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing (ABS Global)***

17. Targeting the participation of at least 50 countries, the objective of the ABS Global project was “to assist GEF-eligible Parties to prepare for ratification and the early entry into force of the Protocol through targeted awareness raising and capacity building” and expected outcomes stated as (i) Enhanced Understanding by key stakeholders of the provisions in the Protocol and the implications for government and other stakeholders; (2.1) Enhanced political, legislative and policy readiness for the accelerated ratification of the Protocol; (2.2) Enhanced national stakeholder readiness for the accelerated ratification of the protocol; (2.3) Enhanced political momentum and negotiation capacity in addressing issues of common concerns in accelerating the ratification process for the Protocol.

**(ii) *Supporting the development and implementation of access and benefit sharing policies in Africa (ABS Africa)***

18. The ABS Africa project was designed to support the development, implementation and revision of ABS frameworks in Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. The project aimed to build awareness for ABS among all relevant agencies and stakeholders in each country, by involving them from the onset, fostering cross-sectoral dialogue and by developing targeted communication, education and public awareness materials. The specific project objective was stated as “Development, implementation and review of ABS frameworks

in six African countries” and the project had four expected outcomes: (1) Development of national ABS policies and regulations; (2) Implementation of national ABS policies and regulations; (3) Revision of existing national ABS policies and regulations; and (4) Regional and sub-regional cooperation and capacity-development.

**(iii) Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits (ABS Asean)**

19. The overall goal of the ABS Asean project was “to assist Southeast Asian countries to implement the Bonn Guidelines in a harmonized manner, in accordance with the Action Plan on Capacity-building for Access to Genetic Resources and Benefit-sharing adopted by the COP, taking into consideration the draft ASEAN ABS Framework Agreement, and to build capacity for Southeast Asian countries to be able to effectively participate in the negotiation of the international ABS regime”. The Project had three specific objectives: (i) Strengthen the capacity of Southeast Asian countries to better able to implement the CBD provisions on access and benefit sharing; (ii) Increase understanding of access and benefit sharing issues among stakeholders and the general public and strengthen national capacity to participate effectively in global discussions on ABS to strengthen national policies and promote equitable benefit sharing; and (iii) Improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods.

**(iv) LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean (ABS LAC)**

20. The ABS LAC project was developed with a goal of ensuring that the principles of conservation, sustainability, equity and justice of the CBD in regards to access and benefit sharing and the protection of traditional knowledge are incorporated in the development and implementation of public policies, norms, programs and activities in Latin America and the Caribbean. The project objectives were (1) To strengthen the capacity of countries to develop, implement and apply the CBD provisions related to access to genetic resources and benefit sharing as well as to traditional knowledge associated to these resources; and (2) To increment the understanding and the negotiation skills of countries regarding ABS agreements / contracts, in a way that will contribute to align bioprospecting projects and national ABS decisions with the CBD, while also benefit progress under the CBD’s International Regime (ABS Protocol).

**(v) Strengthening the implementation of the Biological Diversity Act and Rules with focus on its Access and Benefit Sharing Provisions (ABS India)**

21. The main objective of the ABS India project was “to increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS agreements in India”. The project consisted of 6 components; (i) Identification of biodiversity with potential for ABS and their valuation in selected ecosystems; (ii) Development of methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act; (iii) Piloting agreements on ABS; (iv) Implementation of policy and regulatory frameworks relating to ABS provisions at national level and thereby contribute to international ABS policy issues; (v) Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act; and (vi) Increasing public awareness and education programmes.

## 2. Executing Arrangements

22. The GEF **Implementing Agency** for the five ABS projects was the United Nations Environment Programme (UNEP). In this capacity, UNEP had overall responsibility for the implementation of the projects, project oversight, and co-ordination with other GEF projects.

23. The Lead Executing Agency of the **ABS Global** project was the Secretariat of the CBD (SCBD) working in collaboration with UNEP Regional Offices. Consultations were held with UNEP DELC to establish the legality of the SCBD becoming the LEA for a GEF project. The SCBD charged no project management costs from the project, but draw on its core resources for administrative and project management funds, to avoid the perception of conflict of interest.



24. The Lead Executing Agency (LEA) of the **ABS Africa project** was the DeutscheGesellschaftfürTechnischeZusammenarbeit GmbH (GTZ). The Project Manager at GTZ was responsible for overall supervision of all aspects of the project, for providing overall supervision for project staff at GTZ as well as other staff appointed by GTZ. The Project Coordinator at GTZ was responsible for the overall coordination and management of all aspects of the project, for all substantive, managerial and financial reports from the project and was to liaise closely with the National Project Coordinators. The GTZ was responsible for executing the regional component. For execution of the national components, the LEA established financing agreements with six National Executing Agencies that appointed National Project Coordinators (NPC). The NPCs were responsible for management and implementation of the respective national components of the project, for managerial and financial reports to the LEA in accordance to the financing agreement between the NEA and LEA.

25. The Lead Executing Agency for the **ABS Asean project** was the ASEAN Centre for Biodiversity (ACB), in collaboration with the UNU Institute of Advanced Studies and ASEAN Secretariat. National Focal Points and National Project Committees were selected in each country. The Project Steering Committee, established to provide overall policy guidance to the project consisted of the ACB, UNEP, SCBD, a member of ASEAN Senior Officials on the Environment (ASOEN), a nominated national project focal point and a bilateral funder.

26. The Lead Executing Agency for the **ABS LAC project** was IUCN. The IUCN established a project management team and appointed a Head of Project Coordination to oversee project execution and to provide technical back-stopping. A regional Project Steering Committee was established to provide overall oversight of the project. A Technical Manager was appointed to work directly with IUCN, under the supervision of the Head of Project Coordination, to support the project team. National Focal Points representing ABS and TK authorities were selected in each country.

27. The Lead Executing Agency for the **ABS India project** was the National Biodiversity Authority (NBA) in collaboration with the Ministry of Environment and Forests, Government of India.

### 3. Project Cost and Financing

28. The combined total budget for these five ABS projects was a bit over US \$ 17 million, with a GEF contribution of approximately US \$ 7 million. The total budgets and funding sources are presented in Table 1 below. The **ABS Global** project had an overall budget of US \$ 2,104,150 from which US \$ 944,750 was from the GEF and US \$ 1,159,400 from co-financing. The overall budget of the **ABS Africa** project was US \$ 2,179,350 including GEF fund and co-financing from the participating country governments. The country allocations to the project were, however, very unequal and budgets for national-level activities in some participating countries would have been too small to achieve significant results. Therefore, the allocated funds were redistributed to make national budgets more equitable, enabled mainly through a generous agreement of the National Executing Agency in South Africa.

29. The overall budget of the **ABS Asean** project was US \$ 1,500,000, of which US \$ 750,000 from the GEF and US \$ 750,000 from co-financing from Asean Member States, ACB, Asean Secretariat and UNUIAS. The overall budget of the **ABS LAC** project was US \$ 1,757,166, of which US \$ 850,000 are provided by GEF and US \$ 907,166 by the Executing Agency, project countries (in-kind) and technical partners. Finally, the overall budget of the **ABS India** project was US \$ 9,839,000, of which US \$ 3,561,000 from GEF and US \$ 6,278,000 from co-financing from the Government of India.

Table 1. Total budgets and funding sources of the five UNEP/GEF ABS projects

	<b>ABS Global</b>	<b>ABS Africa</b>	<b>ABS Asean</b>	<b>ABS LAC</b>	<b>ABS India</b>
<i>Cost to the GEF Trust Fund</i>	944,750	1,177,300	750,000	850,000	3,561,000
Co-Financing					
<i>Cash</i>	SCBD : 350,000	BUWAL: 151,302	<ul style="list-style-type: none"> <li>• Indonesia: 100,000;</li> <li>• Malaysia: 200,000;</li> </ul>	WIPO: ?	<ul style="list-style-type: none"> <li>• Gov. of India: 1,535,000;</li> <li>• UNDP: 1,000,000</li> </ul>

	<b>ABS Global</b>	<b>ABS Africa</b>	<b>ABS Asean</b>	<b>ABS LAC</b>	<b>ABS India</b>
<i>In-Kind</i>	SCBD : 809,400	<ul style="list-style-type: none"> <li>• Project Govs (6 countries): 414,150;</li> <li>• UNU-IAS: 81,800;</li> <li>• ABS Initiative: 316,100; SCBD: 40,000</li> </ul>	<ul style="list-style-type: none"> <li>• Philippines; 150,000</li> <li>• UNU-IAS: 100,000;</li> <li>• ACB: 200,000</li> </ul>	<ul style="list-style-type: none"> <li>• Project countries: 567,166;</li> <li>• PDA: 35,000;</li> <li>• IUCN-South:165,000;</li> <li>• UNEP (DELIC/ROLAC): 140,000</li> </ul>	<ul style="list-style-type: none"> <li>• Gol: 1,810,000;</li> <li>• Project partners: 1,933,000</li> </ul>
<i>Co-financing total</i>	1,159,400	1,003,352	750,000	907,166	6,278,000
<b>Total</b>	<b>2,104,150</b>	<b>2,180,652</b>	<b>1,500,000</b>	<b>1,757,166</b>	<b>9,839,000</b>

#### 4. Progress and Implementation

30. The **ABS Global** project did not undergo a Mid-term Review. The Project PIR 2013 rated the overall implementation progress as Satisfactory (?). According to the PIR, “the project has contributed to the implementation of the third objective of the CBD by providing support through capacity building and awareness raising activities to governments to assist them in meeting their obligations under the Nagoya Protocol. The project has also contributed in enhancing the awareness and understanding among stakeholder groups, including indigenous and local communities and the scientific community”.

31. The **ABS Africa** project did not undergo a Mid-Term Review, but according to the project PIR 2012, the project was well underway in terms of executing the planned activities in most countries, albeit initial delays in signing agreements caused delaying commencement of activities in other countries. The project was granted a no-cost extension to enable completion. In terms of meeting the project objectives, progress has been made in almost all countries, but with different rates of progress due to the initial delays. The PIR rated the overall project progress as Satisfactory.

32. The **ABS Asean** project underwent a Mid-Term Review (MTR) in late 2012, which found that the project had been reasonable effective in building capacity of the participating countries on ABS and in promoting regional learning, but was still in its infancy in terms of achieving the fourth outcome on common understanding and regional harmonisation of ABS issues. However, the Review is positive in terms of sustainability prospects, partly due to the high country commitment in implementing ABS. The project experienced some delays at its early days, and the review concluded that this might have negative implications especially in regards to the delivery of the fourth outcome. The latest PIR (June 2012-July 2013) rated the progress towards meeting project objectives as Moderately Satisfactory with an overview of “*Project has achieved a lot on the regional deliverables and outcomes, as well as established a good basis for national programs. However, several national outputs remain delayed in several of the AMS project countries (not only those with delayed contract), and as such outcomes are only partly met. That is comparable with the last reporting year and as such the rating cannot be increased given the project moves into the last months of implementation*”. Due to initial delays, the project was granted a no-cost extension to allow completion of planned activities.

33. The **ABS LAC** project underwent a Mid-Term Review in early 2013, which found that the project was relevant and timely response to the increasing needs in LAC countries regarding ABS and rated the overall effectiveness of the project as satisfactory. The project has been successful in increasing understanding of and improving negotiation skills for ABS contracts, but the review noted that additional effort and financial support may be needed. It was noted that the project’s limited budget is a challenge to implementing a regional project and therefore the project mainly focused on creating conditions for national authorities to develop and increase their understanding on ABS. The MTR noted some shortcomings in terms of active stakeholder involvement and country ownership, which may have negative implications on project’s sustainability if not strengthened. The PIR 2013 rated the project’s overall progress towards meeting its objectives as Satisfactory.

The **ABS India** project did not undergo a Mid-Term Review but according to the project PIR 2013, the project activities are progressing as planned. The project has held workshops and discussion meetings with a wide range of stakeholders, collected the base line information, reviewed existing ABS agreements and undertaken a gap analysis, and developed a wide range of ABS information material.

## II. TERMS OF REFERENCE FOR THE EVALUATION

### 1. Objective and Scope of the Evaluation

34. In line with the UNEP Evaluation Policy<sup>29</sup>, the UNEP Evaluation Manual<sup>30</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>31</sup>, the Portfolio Evaluation of the five UNEP/GEF Access and Benefit Sharing projects is undertaken six months after or prior to the completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

### 2. Overall Approach and Methods

35. The ABS Portfolio evaluation draws findings from five UNEP/GEF projects on Access and Benefit Sharing (i) *“Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing”* (ABS Global); (ii) *“Supporting the development and implementation of access and benefit sharing policies in Africa”* (ABS Africa); (iii) *“Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits”* (ABS Asean), (iv) *“LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean”* (ABS LAC) and (v) *“Supporting ratification and implementation of the Nagoya Protocol on ABS through technology transfer and private sector engagement in India (ABS India) will be conducted by a team of independent consultants under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi), and the UNEP Task Managers at UNEP/DEPI.*

36. The evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. The consultant team will deliver concise evaluation reports for each of the five individual projects following the evaluation approach and methods described in this Terms of Reference. In addition, the consultant team will prepare the main portfolio evaluation report, bringing the findings of the five evaluations together, identifying commonalities and differences in project designs and their implementation, and most importantly, drawing lessons to be applied in future ABS – projects by UNEP, GEF and their partners.

37. The findings of the evaluation will be based on the following:

- (a) A **desk review** of project documents and others including, but not limited to:
- Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes;
  - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
  - Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Group meeting minutes; annual Project Implementation Reviews, GEF Tracking Tools, project Mid-Term Reviews and relevant correspondence;

<sup>29</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>30</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>31</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)

- Documentation related to project outputs;
- (b) Interviews with:
- UNEP Task Managers (Nairobi, Washington, Bangkok) and Fund Management Officers (Nairobi, Moscow);
  - Respective project management and execution support;
  - Respective project stakeholders, including relevant government agencies, NGOs, academia and local communities;
  - Relevant staff of GEF Secretariat; and
  - Representatives of other multilateral agencies and other relevant organisations.
- (c) **Country visits.** The five ABS projects were implemented in six African countries; Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa; ten Southeast Asian countries (Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam, together with Timor Leste); nine Latin American and Caribbean countries; Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Guyana, Panama and Peru; and in India. One of the projects was a global initiative. The countries to be visited will be determined in consultation with the Project Teams, the UNEP Evaluation Office and the Evaluation Team, however, including all projects and taking into consideration budgetary and logistical restrictions.

### 3. Key Evaluation principles

38. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

39. The evaluation will assess the five projects, and further the entire portfolio, with respect to **a minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The evaluation should also assess cross-cutting issues, especially (5) gender mainstreaming and integration of social and environmental safeguards at design and during implementation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

40. **Ratings.** All evaluation criteria will be rated on a six-point scale for the individual projects. The evaluation team, in consultation with the Evaluation Office, will determine the feasibility of providing portfolio-level ratings. Complementarity of the project with the UNEP strategies and programmes and cross-cutting issues are not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

41. In attempting to attribute any outcomes and impacts to the projects and the entire portfolio, the evaluators should consider the difference between *what has happened with and what would have happened without the projects*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and

trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluators to make informed judgements about project performance.

42. Particular attention in this Portfolio Evaluation should be given to learning from the experience. Therefore, the “*Why?*” question should be at front of the consultants’ minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “*why things happened*” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “*where things stand*” today.

## **4. Evaluation criteria**

### **B. Strategic relevance**

43. The evaluation will assess, in retrospect, whether the portfolio objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the GEF Biodiversity focal area, strategic priorities and operational programme(s).

44. It will also assess whether the five projects were relevant in regards to broader ABS-related national/regional and global needs, whether the project objectives were realistic, given the time and budget allocated to the projects, and assess the baseline situation and the institutional context in which the projects were to operate.

### **C. Achievement of Outputs**

45. The evaluation will assess the projects’ success in producing the programmed results, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the projects in achieving their different outputs, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention. The Portfolio Evaluation will provide an overall assessment of achievement of outputs at the project level, giving a particular focus on outputs deemed as “key outputs” in contributing to the Portfolio level – objectives.

### **D. Effectiveness: Attainment of Objectives and Planned Results**

46. The evaluation will assess the extent to which the projects’ objectives were effectively achieved or are expected to be achieved.

47. The Project Evaluations will reconstruct a Theory of Change (ToC) for each of the projects based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions) identifying how the project is contributing to broader ABS objectives. The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The Portfolio Evaluation will present a ToC, following the guidance above, but focusing on the portfolio level; depicting causal pathways from the portfolio projects towards the portfolio objectives. It will assist in examining complementarities among the five projects and assessing whether a causal logic exists at the portfolio level.

48. The assessment of effectiveness at both, project and portfolio level, will be structured in three sub-sections:

- (a) Evaluation of the **achievement of direct outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs.
- (b) Assessment of the **likelihood of impact** using a *Review of Outcomes to Impacts* (ROtI) approach as summarized in Annex 6 of the TORs. Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the projects' direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the projects' own results statements as presented in the original logframes<sup>and</sup> any later versions of the logframe. This sub-section will refer back where applicable to sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the projects, adding other relevant indicators as appropriate. Briefly explain what factors affected the projects' success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

### E. Sustainability and replication

49. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the projects while others will include contextual circumstances or developments that are not under control of the projects but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToCs will assist in the evaluation of sustainability both at the project and portfolio level.

50. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of projects results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the projects results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the projects?
- (b) *Financial resources*. To what extent are the continuation of projects results and the eventual impact of the projects dependent on continued financial support? What is the likelihood that adequate financial resources<sup>32</sup> will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the projects? Are there any financial risks that may jeopardize sustenance of projects results and onward progress towards impact?
- (c) *Institutional framework*. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining projects results and to lead those to impact on human behaviour and environmental resources?
- (d) *Environmental sustainability*. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

<sup>32</sup> Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

51. **Catalytic role and replication.** The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by these projects, namely to what extent the projects have:

- (a) *Catalysed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at local, national and regional level;
- (b) Provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;
- (c) Contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- (d) Contributed to *policy changes* (on paper and in implementation of policy);
- (e) Contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- (f) Created opportunities for particular individuals or institutions ("*champions*") to catalyse change (without which the project would not have achieved all of its results).

52. *Replication*, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the projects to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of experiences and lessons from the projects?

## F. Efficiency

53. The evaluation will assess the cost-effectiveness and timeliness of execution of the projects. It will describe any cost- or time-saving measures put in place in attempting to bring the projects as far as possible in achieving their results within the programmed budgets and (extended) time. It will also analyse how delays, if any, have affected execution, costs and effectiveness of the projects. Wherever possible, costs and time over results ratios of the projects will be compared with that of other similar interventions. The evaluation will give special attention to efforts by the project teams to increase project efficiency all within the context of project execution, by, for example making use of/building upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects, such as the other projects within this portfolio.

## G. Factors and processes affecting project performance

54. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders<sup>33</sup> adequately identified? Were the objectives and components of the five projects clear, practicable and feasible within their timeframes? Were the capacities of executing agencies properly considered when the projects were designed? Were the project documents clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to implementation of the projects? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other

<sup>33</sup> Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the projects were designed<sup>34</sup>? The evaluation should also specifically assess the complementarity of the portfolio projects; were projects designed jointly or in separation, were complementarities and synergies identified, and what was the relation of the ABS – Global project vis-à-vis the regional/ national projects.

55. **Project implementation and management.** This includes an analysis of implementation approaches used by the projects, their management frameworks, their adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project designs, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the implementation mechanisms outlined in the project documents have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Evaluate the effectiveness and efficiency of project management of each of the projects and how well the management was able to adapt to changes during the life of the projects.
- (c) Assess the role and performance of the units and committees established and the execution arrangements of the projects at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations in each of the five projects.
- (e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the projects, and how the project partners tried to overcome these problems. How did the relationship between the project management team and the local executing agencies develop?
- (f) Assess the level of exchange between the portfolio projects during their implementation; was there cross-fertilization? Was there a mechanism in place to share experiences, challenges and best practices?
- (g) For the projects that underwent a Mid-term Review, assess the extent to which MTR recommendations were followed in a timely manner.
- (h) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

56. **Stakeholder participation and public awareness.** The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The TOC analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and outcomes to impact. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) The approach(es) used to identify and engage stakeholders in the design and implementation of the projects. What were the strengths and weaknesses of these approaches with respect to the projects' objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the projects?
- (b) The degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the projects; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
- (c) How the results of the projects (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including in decision making.

<sup>34</sup> <http://www.thegef.org/gef/node/4562>



57. **Country ownership and driven-ness.** The evaluation will assess the performance of government agencies involved in the projects, as relevant:

- (a) In how far have the Governments assumed responsibility for the projects and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the projects and the timeliness of provision of counter-part funding to project activities?
- (b) To what extent have the political and institutional frameworks been conducive to project performance?
- (c) To what extent has the participation of the private sector, local communities and non-governmental organisations been encouraged in the projects?
- (d) How responsive were the government partners to project coordination and guidance, and to UNEP supervision?

58. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the lifetimes of the projects. The assessments will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the projects and their partners;
- (b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced performance of the projects;
- (c) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the projects overall, and to support projects activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 3).
- (d) Describe the resources the projects have leveraged since inception and indicate how these resources are contributing to the ultimate objectives of the projects. Leveraged resources are additional resources—beyond those committed to the project at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

59. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by the Executing Agencies or UNEP to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

60. **UNEP supervision and backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The emphasis given to outcome monitoring (results-based project management);
- (c) The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (d) The quality of documentation of project supervision activities; and
- (e) Financial, administrative and other fiduciary aspects of project implementation supervision.

61. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management

based on the assumptions and risks identified in the project documents. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design*. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
- Quality of the project logframes (original and possible updates) as a planning and monitoring instruments; analyse, compare and verify correspondence between the original logframes in the Project Documents, possible revised logframes and the logframes used in Project Implementation Review reports to report progress towards achieving project objectives;
  - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives of each of the projects? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
  - Adequacy of baseline information: To what extent have baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
  - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were users of the projects involved in monitoring?
  - Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
  - Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- (b) *M&E Plan Implementation*. The evaluation will verify that:
- The M&E system was operational and facilitated timely tracking of results and progress towards objectives of the projects throughout the project implementation periods;
  - Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
  - The information provided by the M&E system was used during the implementation of the projects to improve project performance and to adapt to changing needs.
- (c) *Use of GEF Tracking Tools*. These are portfolio monitoring tools intended to roll up indicators from the individual project level to the GEF portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool<sup>35</sup> to meet its unique needs; the relevant tracking tool for the ABS Projects is the *Biodiversity Tracking Tool*. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tools for these projects, and whether the information provided is accurate.

<sup>35</sup> [http://www.thegef.org/gef/tracking\\_tools](http://www.thegef.org/gef/tracking_tools)

## H. Complementarities with UNEP strategies and programmes

62. UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

- (a) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011 / 2012-2013.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ToC/ROtI analysis, the evaluation should comment on whether the projects make a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)<sup>36</sup> would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.
- (b) *Alignment with the Bali Strategic Plan (BSP)*<sup>37</sup>. The outcomes and achievements of the projects should be briefly discussed in relation to the objectives of the UNEP BSP.
- (c) *Gender.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (d) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the projects that could be considered as examples of South-South Cooperation.

## 5. The Consultants' Team

63. The evaluation team will consist of a team leader and one to two supporting consultants, who will work in close collaboration. The Consultant Team will produce Project Evaluation Reports for the five projects, under the overall coordination of the team leader. The assigned Responsible Evaluator for each project, will coordinate data collection and analysis, and the preparation of the evaluation report of her/his respective project, with contributions from the other team members, as relevant. The distribution of duties will be done in collaboration with the consultant team and the evaluation office. The Team Leader will be responsible of delivering the main Portfolio Evaluation Report, which collates findings from the individual Project Evaluation Reports. Each consultant will ensure together that all evaluation criteria are adequately covered.

64. Each consultant should have experience in project evaluation, be familiar with CBD and its ABS – frameworks, bioprospecting and incorporation of ABS considerations into national planning. The consultants should have a master's degree or higher in environmental sciences or environmental economics or equivalent, and be fluent in both written and spoken English. The consultant responsible for evaluating the ABS-LAC project should be also fluent in Spanish, and able to translate the Project Evaluation Report into Spanish as deemed necessary.

65. By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

<sup>36</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

<sup>37</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

## 6. Evaluation Deliverables and Review Procedures

66. The evaluation team will prepare an **inception report** for the ABS Portfolio Evaluation (see Annex 1(a) of ToRs for Inception Report outline) containing a thorough review of the context of the portfolio and the respective projects, review of project design quality, a draft reconstructed Theory of Change of the ABS portfolio and the individual projects, the evaluation framework and a tentative evaluation schedule.

67. The review of design quality of the projects will cover the following aspects (see Annex 9 for the detailed project design assessment matrix):

- Strategic relevance of the project;
- Preparation and readiness (see paragraph 25);
- Financial planning (see paragraph 30);
- M&E design (see paragraph 33(a));
- Complementarities with UNEP strategies and programmes (see paragraph 34);
- Sustainability considerations and measures planned to promote replication and up scaling (see paragraph 23).

68. The detailed project design assessment matrix will be completed for each of the five projects, and presented in the annex of the inception report, accompanied by a brief overview of the design strengths and weaknesses. The main part of the inception report will present synthesised findings from these project-specific assessments.

69. The ToC will define which direct outcomes, drivers and assumptions of the portfolio and individual projects need to be assessed and measured to allow adequate data collection for the evaluation of effectiveness, likelihood of impact and sustainability. It is, therefore, vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done. The main part of the inception report will present a portfolio-level ToC, with detailed assessment on how the individual projects contribute to the broader, portfolio-level goals and identifying common assumptions, impact drivers and intermediate outcomes. The project-specific ToCs will be presented in an annex, accompanied with a narrative.

70. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The framework will be specifically tailored to the project-level evaluations, but can include additional questions for the portfolio-level evaluation as deemed necessary. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.

71. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed. In addition, the inception report will present a suggested distribution of duties for the consultant team.

72. The inception report will be submitted for review and approval by the Evaluation Office before the evaluation team travels to the selected countries.

73. **The project evaluation reports** should be brief (no longer than 20-25 pages – excluding the executive summary and annexes), to the point and written in plain English. The reports will follow the annotated Table of Contents outlined in Annex 1(b). The reports will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. Each report should be presented in a way that makes the information accessible and comprehensible and easily extractable for the main evaluation report. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

74. **The main portfolio evaluation report** should be concise, explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The main report will follow the annotated Table of Contents outlined in Annex 1(c) and draw from the findings presented in the project evaluation reports, presenting balanced findings and consequent conclusions. The main evaluation report will identify portfolio-level lessons to advise future initiatives, building on the lessons identified in the Project Evaluation Reports. The Portfolio evaluation

report may also present portfolio-level recommendations, as deemed relevant. The individual project evaluation reports will be annexed to the main evaluation report. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetition in the report, the authors will use numbered paragraphs and make cross-references where possible.

75. **Presentation of the key findings.** The Team Leader will prepare a brief presentation of the key findings, lessons and recommendations of the Portfolio Evaluation, which s(he) will present in the 12<sup>th</sup> meeting of the Conference of the Parties to the CBD, and the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol on Access and Benefit-sharing to be held in the Republic of Korea 6-17 October 2014.

76. **Review of the Project Evaluation reports.** The evaluation team will submit the project evaluation reports as they are drafted, but latest by xxx to the UNEP Evaluation Office and revise the drafts following the comments and suggestions made by the EO. The EO will assess adequacy and quality of information provided in the project evaluation reports, to support drafting of the main portfolio evaluation report. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the respective UNEP Task Managers, who may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that the Task Managers provide feedback on the proposed recommendations and lessons.

77. **Review of the Portfolio Evaluation Report.** The evaluation team will submit the zero draft portfolio evaluation report by xxx, after approval of the project evaluation reports, to the UNEP EO and revise the drafts following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the respective UNEP Task Managers, who will ensure that the report does not contain any blatant factual errors. The UNEP Task Managers will then forward the first draft report to the other project stakeholders for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft reports.

78. The evaluation team will submit the final draft portfolio report no later than xxx, after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

79. **Submission of the final Portfolio Evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office, who will share the reports with the Director, UNEP/GEF Coordination Office and the UNEP/DEPI Task Managers. The Evaluation Office will also transmit the final report to the GEF Evaluation Office.

80. The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou). Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

81. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.

82. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluation consultants and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings are the final ratings that will be submitted to the GEF Office of Evaluation.

## 7. Logistical arrangement

83. This ABS Portfolio Evaluation will be undertaken by a team of independent evaluation consultants contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize field visits, and any other logistical matters related to the assignment. The Project Management Units, in coordination with UNEP Task Managers will, where possible, provide logistical support (introductions, meetings, transport etc.) for the country visits, allowing the consultants to conduct the evaluation as efficiently and independently as possible.

## 8. Schedule of the evaluation

84. Each consultant will be hired under an individual Special Service Agreement (SSA). There are two options for contract and payment: lump-sum or "fee only".

85. **Lump-sum:** The contract covers both fees and expenses such as travel, per diem (DSA) and incidental expenses which are estimated in advance. The consultants will receive an initial payment covering estimated expenses upon signature of the contract.

86. **Fee only:** The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

87. The payment schedule for each consultant will be linked to the acceptance of the key evaluation deliverables by the Evaluation Office:

- Final inception report: 20 per cent of agreed total fee
- First draft main evaluation report: 40 per cent of agreed total fee
- Final main evaluation report: 40 per cent of agreed total fee

88. In case the consultants are not able to provide the deliverables in accordance with these ToRs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

89. If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the respective consultant's fee by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

## Annex 1. Annotated Table of Contents of the main evaluation deliverables

### A. INCEPTION REPORT

Section	Notes	Data Sources	Max. number of pages
<b>1.Introduction</b>	Brief introduction to the projects and the evaluation.		1
<b>2. ABS and portfolio background</b>	Clarify the history and rationale of ABS, summarise context and rationale of the projects and their complementarity as a portfolio.	Background information on context	3
<b>3.Review of project design</b>	Summary of project design strengths and weaknesses. Complete the template for assessment of the quality of project design (Annex 7 of the Evaluation Terms of Reference) for each project and present main findings, supported by specific examples in the main part of the Inception Report.	Project documents and revisions, MTE/MTR when available.	2 + completed matrixes in annex of the inception report
<b>4.Reconstructed Theory of Change</b>	The Inception Report should present a Theory of Change for each individual project based on project documentation (annexed). They should be presented with one or more diagrams and explained with a narrative, including a detailed clarification on how the individual projects are contributing to the broader ABS objectives. The Inception Report should also present a generalized portfolio-level ToC (main part of the report), including a narrative, showing how the individual projects contribute to higher ABS objectives, and identifying common drivers and assumptions.	Project document narratives, logical frameworks and budget tables. Other project related documents.	2 pages of narrative + diagram(s)
<b>5.Evaluation framework</b>	The evaluation framework will contain: <ul style="list-style-type: none"> <li>Detailed evaluation questions (including new questions raised by review of project design and ToC analysis) and indicators</li> <li>Data Sources</li> </ul> It will be presented as a matrix, showing questions, indicators and data sources.	Review of all project documents.	5
<b>6. Evaluation schedule</b>	<ul style="list-style-type: none"> <li>Revised timeline for the overall evaluation (dates of travel and key evaluation milestones)</li> <li>Tentative programme for the country visit</li> </ul>	Discussion with project team on logistics.	2
<b>7. Distribution of responsibilities among within the evaluation team</b>	Distribution of roles and responsibilities among evaluation consultants (may be expanded in Annex)		1
<b>6. Annexes</b>	A- Completed matrices of the overall quality of project designs		

Section	Notes	Data Sources	Max. number of pages
	B-Project-specific ToCs C- List of individuals and documents consulted for the inception report D- List of documents and individuals to be consulted during the main evaluation phase		

## B. PROJECT EVALUATION REPORTS

<b>Project Identification Table</b>	See the project’s latest PIR
<b>Executive Summary</b>	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here, as well as the most important lessons and recommendations.
<b>I. Introduction</b>	A very brief introduction of the evaluation and the project (e.g. main objectives, region, implementation dates).
<b>II. The Evaluation</b>	Objectives, approach and limitations of the evaluation
<b>III. The Project</b>	
A. Context	Overview of the broader institutional and country context, in relation to the project’s objectives, including changes during project implementation.
B. Objectives and components	
C. Target areas/groups	
D. Key milestones/key dates in project design and implementation	
E. Implementation arrangements	
F. Project financing	Estimated costs and funding sources
G. Project partners	
H. Changes in design during implementation	
I. Reconstructed Theory of Change	
<b>IV. Evaluation Findings</b>	
A. Strategic relevance	This chapter is organized according to the evaluation criteria presented in section II.4 of the TORs and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report.
B. Achievement of outputs	
C. Effectiveness: Attainment of project objectives and results <ul style="list-style-type: none"> <li>i. Direct outcomes from reconstructed project-level ToC</li> <li>ii. Likelihood of impact using RoTI and based on reconstructed project-level ToC</li> <li>iii. Achievement of project goal and planned objectives</li> </ul>	
D. Sustainability and replication	
E. Efficiency	
F. Factors affecting performance	
G. Complementarity with UNEP	



strategies and programmes	
<b>V. Conclusions and Recommendations</b>	
A. Conclusions	This section should summarize the main conclusions of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Avoid presenting an “executive summary”-style conclusions section. Conclusions should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the conclusions of the evaluation. In fact, no lessons should appear which are not based upon an explicit finding of the evaluation. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyse the pros and cons of each option.  Each recommendation should first briefly summarize the finding it is based upon with cross-reference to the section in the main report where the finding is elaborated in more detail. The recommendation is then stated after this summary of the finding.
<b>Annexes</b>	These may include additional material deemed relevant by the evaluator but must include: <ol style="list-style-type: none"> <li>1. Evaluation schedule</li> <li>2. Bibliography</li> <li>3. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs)</li> </ol>

### C. MAIN PORTFOLIO EVALUATION REPORT

<b>Executive Summary</b>	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here, as well as the most important lessons and recommendations. Maximum 4 pages.
<b>I. Introduction</b>	A very brief introduction, stating the purpose and objectives of the evaluation, mentioning the contributing projects and their common objectives with a very brief description (e.g. region where implemented)

	for each project.
<b>II. The Evaluation</b>	Objectives, approach and limitations of the evaluation
<b>III. The ABS Portfolio</b>	
A. Context	Overview of ABS, the portfolio projects and their relation to the overall portfolio objectives.
B. Objectives and components	Overview of broader ABS objectives, and objectives and components of the individual projects
C. Target areas/groups	
D. Key milestones/key dates in project design and implementation	
E. Implementation arrangements	
F. Project financing	Estimated costs and funding sources
G. Project partners	
H. Changes in design during implementation	
I. Reconstructed Theory of Change of the portfolio	
<b>IV. Evaluation Findings</b>	
A. Strategic relevance	<p>This chapter is organized according to the evaluation criteria presented in section II.4 of the TORs and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report.</p> <p>This chapter draws findings from the project evaluation reports, presenting them in a concise and balanced way, supported with examples.</p>
B. Achievement of outputs	
C. Effectiveness: Attainment of project objectives and results <ul style="list-style-type: none"> <li>i. Direct outcomes from reconstructed Portfolio ToC</li> <li>ii. Likelihood of impact using RoTI and based on reconstructed Portfolio ToC</li> <li>iii. Achievement of project goal and planned objectives</li> </ul>	
D. Sustainability and replication	
E. Efficiency	
F. Factors affecting performance	
G. Complementarity with UNEP strategies and programmes	
<b>V. Conclusions and Recommendations</b>	
A. Conclusions	<p>This section should summarize the main conclusions of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Avoid presenting an “executive summary”-style conclusions section. Conclusions should be cross-referenced to the main text of the report (using the paragraph numbering). If purposeful, the conclusions may include an overall, portfolio-level ratings table (see Annex 2).</p>
B. Lessons Learned	<p>Lessons learned should be anchored in the conclusions of the evaluation. In fact, no lessons should appear which are not based upon an explicit finding of the evaluation. Lessons learned are rooted in real portfolio experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made</p>

	<p>which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.</p>
C. Recommendations	<p>As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing. Recommendations are actionable proposals on how to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyse the pros and cons of each option.</p> <p>Each recommendation should first briefly summarize the finding it is based upon with cross-reference to the section in the main report where the finding is elaborated in more detail. The recommendation is then stated after this summary of the finding.</p> <p>Recommendations in the main evaluation report should focus on portfolio-level issues. Whereas project-specific recommendations are presented in the respective project evaluation reports.</p>
<b>Annexes</b>	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> <li>1. Response to stakeholder comments received but not (fully) accepted by the evaluators</li> <li>2. Evaluation TORs (without annexes)</li> <li>3. Evaluation program, containing the names of locations visited and the names (or functions) and <u>contacts (Email)</u> of people met</li> <li>4. Bibliography</li> <li>5. Project evaluation reports</li> <li>6. Brief CVs of the consultants</li> </ol>

### **Important note on report formatting**

Reports should be submitted in Microsoft Word .doc or .docx format. Use of Styles (Headings etc.), page numbering and numbered paragraphs is compulsory from the very first draft report submitted.

Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou).

## Annex 2. Evaluation Ratings

The evaluation will provide individual ratings for the evaluation criteria described in section II.4 of these TORs.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report.

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<b>A. Strategic relevance</b>		HS → HU
<b>B. Achievement of outputs</b>		HS → HU
<b>C. Effectiveness: Attainment of project objectives and results</b>		HS → HU
1. Achievement of direct outcomes		HS → HU
2. Likelihood of impact		HS → HU
3. Achievement of project goal and planned objectives		HS → HU
<b>D. Sustainability and replication</b>		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
5. Catalytic role and replication		HS → HU
<b>E. Efficiency</b>		HS → HU
<b>F. Factors affecting project performance</b>		
1. Preparation and readiness		HS → HU
2. Project implementation and management		HS → HU
3. Stakeholders participation and public awareness		HS → HU
4. Country ownership and driven-ness		HS → HU
5. Financial planning and management		HS → HU
6. UNEP supervision and backstopping		HS → HU
7. Monitoring and evaluation		HS → HU
a. M&E Design		HS → HU
b. Budgeting and funding for M&E activities		HS → HU
c. M&E plan Implementation		HS → HU
<b>Overall project rating</b>		HS → HU

**Rating for effectiveness: Attainment of project objectives and results.** An aggregated rating will be provided for the achievement of direct outcomes as determined in the reconstructed Theory of Change of the project, the likelihood of impact and the achievement of the formal project goal and objectives. This aggregated rating is not a simple average of the separate ratings given to the evaluation sub-criteria, but an overall judgement of project effectiveness by the consultants.

**Ratings on sustainability:** According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will be the lowest rating on the separate dimensions.

**Ratings of monitoring and evaluation:** The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E

design). M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

### Annex 3. Project costs and co-financing tables

#### Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

#### Co-financing

Co-financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
<b>Totals</b>									

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

## Annex 4. Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

Substantive report quality criteria	UNEP EO Comments	Draft Report Rating	Final Report Rating
<b>A. Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report:  Final report:		
<b>B. Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report:  Final report:		
<b>C.Presentation Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report:  Final report:		
<b>D.Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report:  Final report:		
<b>E.Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report:  Final report:		
<b>F. Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Draft report:  Final report:		
<b>G. Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report:  Final report:		
<b>H.Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report:  Final report:		

<b>I. Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	<b>Draft report:</b>  <b>Final report:</b>		
<b>Other report quality criteria</b>			
<b>J. Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	<b>Draft report:</b>  <b>Final report:</b>		
<b>K. Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	<b>Draft report:</b>  <b>Final report:</b>		
<b>L. Quality of writing:</b> Was the report well written? (clear English language and grammar)	<b>Draft report:</b>  <b>Final report:</b>		
<b>M. Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	<b>Draft report:</b>  <b>Final report:</b>		
<b>OVERALL REPORT QUALITY RATING</b>		0.00	0.00

A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.



**Annex 5. Documentation list for the evaluation to be provided by the UNEP Task Manager**

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Project revision and extension documentation
- Updated implementation plan for the recommendations of the Mid-Term Evaluation
- Project Terminal Report (draft if final version not available)
- GEF Tracking Tool for the relevant focal area

## Annex 6. Introduction to Theory of Change / Impact pathways, the ROTI Method and the ROTI Results Score sheet

Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project’s outputs. However, the possibilities for evaluation of the project’s outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results through rigorous review of project progress along the pathways from outcome to impact. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as ‘Theories of Change’, Impact ‘Pathways’, ‘Results Chains’, ‘Intervention logic’, and ‘Causal Pathways’ (to name only some!).

### Theory of Change (ToC) / impact pathways

Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

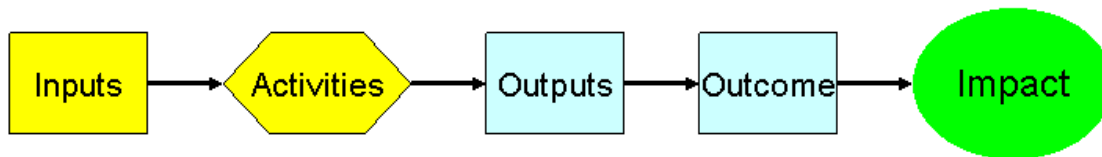


Figure 1. A generic results chain, which can also be termed an ‘Impact Pathway’ or Theory of Change.

The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

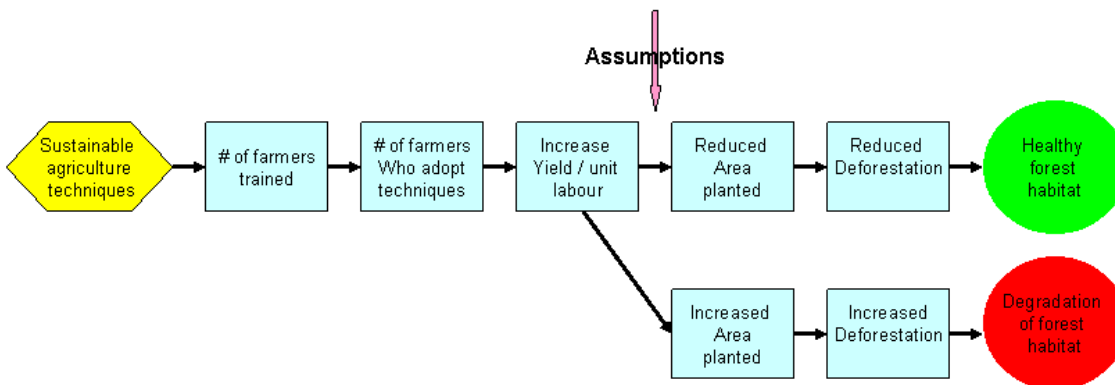


Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.

The GEF Evaluation Office has recently developed an approach to assess the **likelihood of impact** that builds on the concepts of Theory of Change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)<sup>38</sup> and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways: reconstruction of the project's Theory of Change

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The second stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method<sup>39</sup>. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such processes are often complex: they might involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrues long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**drivers**' that underpin the processes involved in the transformation of outputs to outcomes to impacts via **intermediate states** (see Figure 3). **Project outcomes** are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's direct outcomes and the intended impact. They are necessary changes expected to occur as a result of the project outcomes that are expected, in turn, to result into impact. There may be more than one intermediate state between the immediate project outcome and the eventual impact.

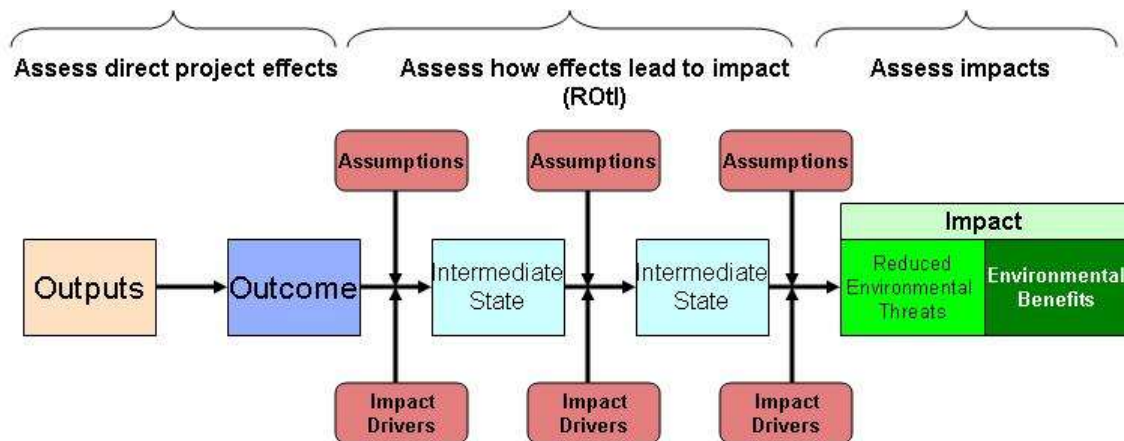
**Drivers** are defined as the significant, external factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant external factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The drivers and assumptions are considered when assessing the likelihood of impact, sustainability and replication potential of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key drivers and assumptions been identified for each 'step' in the impact pathway.

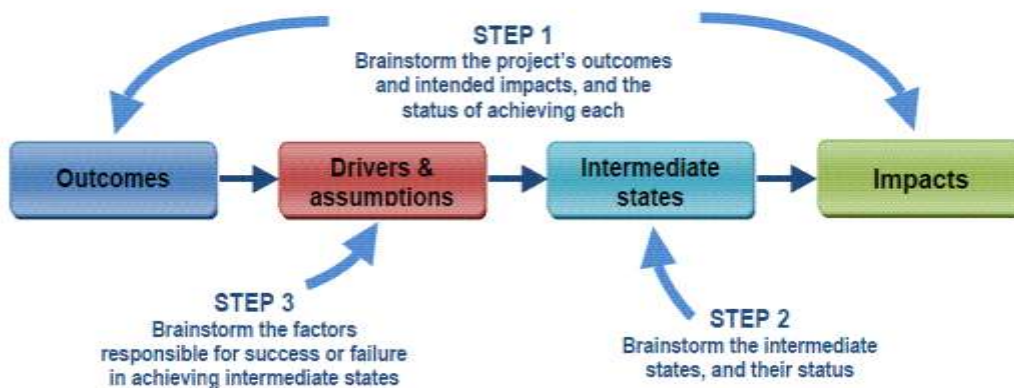
<sup>38</sup> GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. [http://www.gefweb.org/uploadedFiles/Evaluation\\_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf](http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf)

<sup>39</sup> Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.



**Figure 3. A schematic ‘impact pathway’ showing intermediate states, assumptions and impact drivers<sup>40</sup> (adapted from GEF EO 2009)**

In ideal circumstances, the Theory of Change of the project is reconstructed by means of a group exercise, involving key project stakeholders. The evaluators then facilitate a collective discussion to develop a visual model of the impact pathways using cards and arrows taped on a wall. The component elements (outputs, outcomes, intermediate states, drivers, assumptions, intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.



**Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)**

In practice, there is seldom an opportunity for the evaluator to organise such a group exercise during the inception phase of the evaluation. The reconstruction of the project’s Theory of Change can then be done in two stages. The evaluator first does a desk-based identification of the project’s impact pathways, specifying the drivers and assumptions, during the inception phase of the evaluation, and then, during the main evaluation phase, (s)he discusses this understanding of the project logic during group discussions or the individual interviews with key project stakeholders.

Once the Theory of Change for the project is reconstructed, the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The Review of Outcomes towards Impact (ROtI) method requires ratings for outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. According to the GEF guidance on

<sup>40</sup>The GEF frequently uses the term “impact drivers” to indicate drivers needed for outcomes to lead to impact. However, in UNEP it is preferred to use the more general term “drivers” because such external factors might also affect change processes occurring between outputs and outcomes.

the method; “The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be “penalized” for not achieving impacts in the lifetime of the project: the system recognizes projects’ forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks.” For example, a project receiving an “AA” rating appears likely to deliver impacts, while for a project receiving a “DD” this would be very unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

**Table 1. Rating scale for outcomes and progress towards ‘intermediate states’**

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a ‘+’ notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

**Table 2. Shows how the ratings for ‘achievement of outcomes’ and ‘progress towards intermediate states translate to ratings for the ‘Overall likelihood of impact achievement’ on a six point scale.**

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, projects that achieve documented changes in environmental status during the project’s lifetime receive a positive impact rating, indicated by a “+”.The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the ‘results metrics’ for a project, opportunities where aggregation of project results might be possible can more readily be identified.

<b>Results rating of project entitled:</b>	
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		Rating(D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediate states		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	<b>Rating justification:</b>		<b>Rating justification:</b>		<b>Rating justification:</b>		

### Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

**Outcomes**, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

#### Examples

***Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved.*** People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

***Outcomes achieved but are dead ends; no forward linkages to intermediate states in the future.*** People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

***Outcomes plus implicit linkages forward.*** Outcomes achieved and have *implicit forward linkages* to intermediate states and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediate states is probably the most common case when outcomes have been achieved. (Score - B)

***Outcomes plus explicit linkages forward.*** Outcomes have *definite and explicit forward linkages* to intermediate states and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

#### Intermediate states:

The **intermediate states** indicate achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

***“Outcomes” scored C or D.*** If the outcomes above scored C or D, there is no need to continue forward to score intermediate states given that achievement of such is then not possible.

***In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends.*** Although outcomes achieved have *implicit forward linkages* to intermediate states and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate states and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

***The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist.*** In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediate state achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

***Barriers and assumptions are successfully addressed.*** Intermediate state(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

***Scaling up and out over time is possible.*** Measurable intermediate state impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

**Impact:** Actual changes in environmental status

“Intermediate states” scored B to A.

Measurable impacts achieved at a globally significant level within the project life-span. . (Score = ‘+’)

**Annex 7. Template for the assessment of the Quality of Project Design – UNEP Evaluation Office  
September 2011**

Relevance	Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives? How about UNDP?		
Does the project form a coherent part of a UNEP-approved programme framework? How about UNDP?		
Is there complementarity with other UNEP / UNDP projects, planned and on-going, including those implemented under the GEF?		
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	
	ii) The UNEP / UNDP mandate and policies at the time of design and implementation?	
	iii) The relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	
	iv) Stakeholder priorities and needs?	
<b>Overall rating for Relevance</b>		
<b>Intended Results and Causality</b>		
Are the objectives realistic?		
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?		
Are the activities designed within the project likely to produce their intended results?		
Are activities appropriate to produce outputs?		
Are activities appropriate to drive change along the intended causal pathway(s)?		
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?		
<b>Overall rating for Intended Results and causality</b>		
<b>Efficiency</b>		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?		
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?		
<b>Overall rating for Efficiency</b>		
<b>Sustainability / Replication and Catalytic effects</b>		
Does the project design present a strategy / approach to sustaining outcomes / benefits?		
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient		



activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?		
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?		
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?		
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?		
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?		
Does the project design foresee adequate measures to catalyse behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) Technologies and approaches show-cased by the demonstration projects;	
	ii) Strategic programmes and plans developed	
	iii) Assessment, monitoring and management systems established at a national and sub-regional level	
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]		
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?		
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyse change (without which the project would not achieve all of its results)?		
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?		
<b>Overall rating for Sustainability/ Replication and Catalytic effects</b>		
<b>Risk identification and Social Safeguards</b>		
Are critical risks appropriately addressed?		
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?		
Are potentially negative environmental, economic and social impacts of projects identified?		
<b>Overall rating for Risk identification and Social Safeguards</b>		
<b>Governance and Supervision Arrangements</b>		
Is the project governance model comprehensive, clear and appropriate?		
Are roles and responsibilities clearly defined?		
Are supervision / oversight arrangements clear and appropriate?		

<b>Overall rating for Governance and Supervision Arrangements</b>		
<b>Management, Execution and Partnership Arrangements</b>		
Have the capacities of partners been adequately assessed?		
Are the execution arrangements clear?		
Are the roles and responsibilities of internal and external partners properly specified?		
<b>Overall rating for Management, Execution and Partnership Arrangements</b>		
<b>Financial Planning / budgeting</b>		
Are there any obvious deficiencies in the budgets / financial planning?		
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?		
Are the financial and administrative arrangements including flows of funds clearly described?		
<b>Overall rating for Financial Planning / budgeting</b>		
<b>Monitoring</b>		
Does the logical framework: <ul style="list-style-type: none"> <li>• Capture the key elements of the Theory of Change for the project?</li> <li>• Have 'SMART' indicators for outcomes and objectives?</li> <li>• Have appropriate 'means of verification'?</li> <li>• Identify assumptions in an adequate manner?</li> </ul>		
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?		
Is there baseline information in relation to key performance indicators?		
Has the method for the baseline data collection been explained?		
Has the desired level of achievement (targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?		
Has the time frame for monitoring activities been specified?		
Are the organisational arrangements for project level progress monitoring clearly specified?		
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?		
Overall, is the approach to monitoring progress and performance within the project adequate?		
<b>Overall rating for Monitoring</b>		
<b>Evaluation</b>		
Is there an adequate plan for evaluation?		
Has the time frame for evaluation activities been specified?		
Is there an explicit budget provision for mid-term review and terminal evaluation?		
Is the budget sufficient?		
<b>Overall rating for Evaluation</b>		

## Annex 8. Project objectives, outcomes and outputs

**Table 1. ABS Global**

Objective	Components	Component Outcomes	Expected Outputs
To assist GEF-eligible Parties to prepare for ratification and the early entry into force of the Protocol through targeted awareness raising and capacity building	1. Development of Capacity Building Tools	1. Enhancing understanding of the provisions in the protocol and the implications for Governments and other stakeholders	<ul style="list-style-type: none"> <li>Capacity building training modules and awareness-raising and outreach materials on ABS, making use of existing materials.</li> <li>Development of a new online Portal on the Nagoya Protocol on ABS.</li> </ul>
	2. Building Readiness of key Constituencies	2.1 Enhanced political, legislative and policy readiness for the accelerated ratification of the Protocol	<ul style="list-style-type: none"> <li>Key political, legislative and policy partners and stakeholders trained through targeted workshops.</li> <li>A number of project countries ratify the protocol or embark on the ratification process.</li> </ul>
		2.2 Enhanced national stakeholder readiness for the accelerated ratification of the Protocol	<ul style="list-style-type: none"> <li>Capacity building workshops for the 50 participating countries' ABS focal points and relevant implementers.</li> </ul>
		2.3 Enhanced political momentum and increased capacity in addressing issues of common concerns in accelerating the ratification process for the Protocol	<ul style="list-style-type: none"> <li>National Focal Points trained to assist key players at the national level with a view to expedite the entry into force of the Protocol.</li> </ul>

Source: Project document

**Table 2. ABS Africa**

Objective	Components	Component Outcomes	Expected Outputs
Development, implementation and review of ABS frameworks in six African countries	1. Development of national ABS policies and regulations	Where they did not exist, national ABS policies and regulations are developed	<ul style="list-style-type: none"> <li>ABS outreach strategies and programmes to enhance stakeholder awareness and to engage them on ABS issues.</li> <li>Review of existing national policy basis and institutional capacity for ABS.</li> <li>Training of key government officials.</li> <li>Development of capacities of local and indigenous community representatives to participate in the development of ABS measures.</li> <li>Consultative multi-stakeholder workshops to input to creation of national ABS policy.</li> <li>National ABS policies and regulations</li> <li>Administrative / institutional settings.</li> <li>Participatory mechanisms.</li> </ul>
	2. Implementation of national ABS policies and regulations	Existing national ABS policies and regulations are being	<ul style="list-style-type: none"> <li>Identifying existing expertise and developing a strategy to address major gaps and capacity needs for implementation.</li> </ul>

Objective	Components	Component Outcomes	Expected Outputs
		implemented	<ul style="list-style-type: none"> <li>National –level technical toolkits and manuals to meet identified needs.</li> <li>Technical training workshops for key govt officials, NGOs and private sector.</li> <li>Development of capacities of local and indigenous communities to participate in the implementation of ABS measures.</li> <li>National information sharing mechanisms and /or link to a potential international ABS CHM.</li> <li>ABS outreach strategies and programmes to enhance stakeholder and broader public awareness of ABS issues.</li> </ul>
	3. Revision of existing national ABS policies and regulations	Existing national ABS policies and regulations in need of revision are revised and amended	<ul style="list-style-type: none"> <li>Participatory review of existing national ABS policy, regulations and institutional capacity.</li> <li>Participatory process to amend existing policies and regulations.</li> </ul>
	4. Regional and sub-regional cooperation and capacity development	Lessons learned from the 6 national ABS processes are integrated into sub-regional and regional capacity building processes of the Multidonor ABS Capacity Development Initiative for Africa; and the national processes benefit from on-going sub-regional and regional activities of the Initiative	<ul style="list-style-type: none"> <li>Training of trainers for development and implementation of national-level activities.</li> <li>Participation of national ABS counterparts in the activities of the ABS initiative.</li> <li>Sub-regional CEPA ABS material and tools.</li> <li>Involvement of sub-regional organisations (COMIFAC, SADC, ECOWAS, EAC) in ABS discussions.</li> <li>Pilot business initiatives for promoting bio-prospecting ventures and community based benefit sharing arrangements.</li> <li>Training workshops for French, English and Portuguese speaking countries to share lessons learned.</li> <li>Synthesis and dissemination of nat. lessons learned to regional and sub-regional levels.</li> </ul>

Source: Project document

**Table 3. ABS ASEAN**

Objective	Components	Component Outcomes	Expected Outputs
Development and implementation of ABS frameworks in the ASEAN member countries including Timor Leste	1. Developing national ABS frameworks	Each country with a roadmap for developing and implementing its national ABS regime	<ul style="list-style-type: none"> <li>Review of current status in each country.</li> <li>Increased understanding of role of ABS in biodiversity conservation and sustainable livelihoods.</li> <li>Increased understanding of commonalities and specificities of each national situation, with a commitment to harmonization of national regimes to the extent possible.</li> </ul>
	2. Strengthening stakeholder capacity	Relevant stakeholders in each country effectively participating in development and implementation of national ABS regime	<ul style="list-style-type: none"> <li>Relevant stakeholders in each country:                             <ul style="list-style-type: none"> <li>o identified;</li> <li>o provided with capacity building;</li> <li>o have access to information;</li> <li>o able to express their views on ABS matters;</li> <li>o collaborative stakeholder networks in place.</li> </ul> </li> </ul>
	3. Regional cooperation and	Regional ABS community of	<ul style="list-style-type: none"> <li>National ABS managers in contact with regional peers, following developments in</li> </ul>

Objective	Components	Component Outcomes	Expected Outputs
	learning	practice consolidated	other countries, region-wide information and learning facility established. <ul style="list-style-type: none"> <li>• ASEAN Framework Agreement on ABS signed by all countries.</li> </ul>
	4. Participation in international rule setting	Country negotiators have full understanding of issues and preferred options acquired through collaborative review and discussion	<ul style="list-style-type: none"> <li>• Training sessions and preparatory meetings held.</li> <li>• Countries have developed common positions as appropriate.</li> <li>• Regional voice effectively heard in ABS negotiations.</li> </ul>

Source: Project document

**Table 4. ABS LAC**

Objective	Components	Component Outcomes	Component Outputs
Strengthen the capacity of countries to develop, implement and apply the CBD provisions related to access to genetic resources and benefit sharing as well as to traditional knowledge associated to these resources.  To increment the understanding and the negotiation skills of countries regarding ABS agreements /contracts, in a way that will contribute to align	1. Building capacity to deal with challenges and opportunities of ABS /TK, and promote best practices	Stakeholders gain knowledge regarding national bioprospecting situation and potential, gaps in national ABS/TK regimes and common of regional needs	<ul style="list-style-type: none"> <li>• Cases of bioprospecting and biopiracy (including use of community protocols) documented in a data base for the LAC region, as part of the project website.</li> <li>• A publication regarding trends and situation of markets and demand for genetic resources and derived products (biotechnology, natural products, pharmaceuticals, cosmetics, etc.) in the region and worldwide, elaborated and disseminated among key actors.</li> <li>• <i>Coupled with 3.1.</i> Information documents and/or case studies addressing critical issues (potential synergies and conflicts) regarding international treaties on ABS, TK, trade and IPR (eg. new technologies, biodiversity registers, shared genetic resources and traditional knowledge, intellectual property, WTO's TRIPS agreement or bi-lateral Trade Agreements, UPOV, FAO's International Treaty, and upcoming international regimes for ABS (CBD) and TK (WIPO), etc.) are discussed among actors and made available in electronic format.</li> <li>• National research institutions /think-tanks participate in project-funded studies and are recognized in the resulting publications.</li> <li>• Multi-country workshops to exchange views and experiences on topics of regional interest (e.g. the context of Free Trade Agreements and their provisions affecting biodiversity, challenges and opportunities from bioprospecting, etc.) are organized, implemented and documented. The first will include a project inception workshop where the responsiveness to national needs of the project's proposed targets and activities is to be reviewed and confirmed, and inputs obtained for the project's stakeholder participation plan (profiling).</li> </ul>
		1.2 Stakeholder interest and capacity to advocate for best practices in ABS are increased.	<ul style="list-style-type: none"> <li>• Interactive use of project website. Contents of information will be in English and Spanish and will cover: Existing information and tools for ABS/TK practitioners compiled, screened and systematized (e.g. tool kits, codes of conduct, model contracts,</li> </ul>

Objective	Components	Component Outcomes	Component Outputs
<p>bioprospecting projects and national ABS decisions with the CBD, while also benefit progress under the CBD's International ABS Regime</p>			<p>traditional knowledge protocols, regional roster of experts (by sector), relevant literature, FAQ and rapid-response mechanism (pilot), bioprospecting case studies data base, and project reports (workshops and studies) and calendar.</p> <ul style="list-style-type: none"> <li>• Case studies on ABS/TK best practices, focusing on: TK registers; approaches to Intellectual Property Rights (IPR); applying Prior Informed Consent (PIC) procedures (for genetic resources with and without TK); achieving Mutual Agreement of Terms (MAT) in contract negotiations; sample collection protocols; requirements on R&amp;D.</li> <li>• Multi-sectorial national encounters / dialogues, called “knowledge cafés”, are implemented and documented to learn from case studies and discuss best practices, and to exchange views and experiences on topics of national interest (e.g. the role of the R&amp;D sector, biopiracy, shared genetic resources and TK, and other critical issues). Will include encounters for sensitization of the academic /scientific sector. Results will include suggested solutions to overcome obstacles in terms of information, procedures, logistical and conceptual issues for making ABS/TK regimes effective and fair.</li> </ul>
	<p>2. Promoting ABS /TK regimes and agreements that effectively integrate legal, technical and social aspects</p>	<p>2.1 Countries acquire increased capacity to draft, put in place and implement ABS /TK regulations, in a manner in line with the CBD</p>	<ul style="list-style-type: none"> <li>• Technical assistance to project countries on the practical challenges of implementing ABS/TK frameworks and legal assistance with regulations, by means of virtual conferences for direct coaching.</li> <li>• Draft elements and regulations on ABS /TK are developed and circulated among national stakeholders.</li> <li>• National ABS competent authorities clearly defined and personnel selected and identified to respond to demands in regards of ABS and TK.</li> <li>• Regional and national experts in ABS/TK (from multiple sectors including the private sector) are identified, and nominated to national rosters and in some cases to the CBD’s roster of experts.</li> <li>• Compendium for the systematization, socialization and promotion of pre-existing tools: guidelines made available for applying ABS regimes, case studies on ABS and TK also available for national authorities.</li> <li>• Virtual forums (national or sub-regional) for multi-stakeholder exchanges to understand stakeholder needs and demands, in particular those of ABS/TK government actors.</li> </ul>
		<p>2.2 Stakeholders and rights-holders are better able to negotiate, coordinate and monitor ABS agreements</p>	<ul style="list-style-type: none"> <li>• National officials, ILC representatives, and other actors are trained in negotiating fair and equitable access contracts (and other mechanisms) and bioprospecting projects, according to principles of MAT, PIC, benefit sharing, etc. and national / international ABS frameworks, and in dealing with intellectual property rights and TK protection, considering commercial and non-commercial cases.</li> <li>• Measures to monitor ABS agreements cost-effectively and avoid biopiracy cases, identified and agreed to by a wide range of stakeholders from</li> </ul>

Objective	Components	Component Outcomes	Component Outputs
			<p>project countries, are posted on the project website.</p> <ul style="list-style-type: none"> <li>• New or consolidated National Groups for the Prevention of Biopiracy arise in at least 2 project countries.</li> <li>• Knowledge transfer from ILC female leaders (from non-project countries) with experience in mobilizing ABS/TK issues within their communities.</li> <li>• Recommendations from Government and ILC representatives for strengthening the participation of ILCs in the negotiation of ABS/TK contracts, agreements, permits and positions.</li> </ul>
	<p>3. Consolidating countries' capacity to partake in the international ABS /TK arena and promote the sustainable use of biodiversity</p>	<p>3. Countries are empowered to contribute constructively to, adopt and/or responsibly implement international treaties relating to ABS /TK</p>	<ul style="list-style-type: none"> <li>• Multi-stakeholder and peer-to-peer dialogues (workshops, seminars, virtual forums, etc.) at the national and regional level, promoting interaction between inter-governmental organizations and countries so that region-driven interests are considered in IGO's agendas.</li> <li>• Studies and publications to clarify potential synergies and conflicts between international frameworks for ABS and TK, and the implications of trade and IPR agreements (FAO, UPOV, CBD, WIPO, WTO, etc.) on national ABS and TK frameworks.</li> <li>• Technical assistance provided to countries, on demand, regarding the relation between trade, IPR, ABS and TK.</li> <li>• Positions of countries and the region are specifically reflected in international instruments, and preparatory exchanges strengthen country participation in international fora.</li> <li>• Informative materials produced and printed for distribution at international events to disseminate progress in ABS and TK in project countries, including presentation of the project on side events at relevant meetings of the CBD.</li> </ul>

Source: Project document

**Table 5. ABS India**

Objective	Components	Component Outcomes	Component Outputs
The project aims to increase the Institutional, individual and systemic capacities of stake-holders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS agreements in India	1. Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands	Enhanced understanding of economic values of biological diversity for improved policy making and implementation of conservation, sustainable use and determining the ABS provisions under the Act enhanced.	<ul style="list-style-type: none"> <li>• Economic value of biological diversity present at village/district, state and national levels assessed and quantified using standard valuation methodologies in at least 5 states and 40 Biodiversity Management Committees.</li> <li>• Decisions on provision of access and benefit sharing based on the economic valuation and methods.</li> </ul>
	2. Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act.	Decision making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened	<ul style="list-style-type: none"> <li>• Tools, methodologies, guidelines, frameworks inter alia, on PIC, MAT, Material Transfer Agreements, Benefit Sharing agreements and the related developed to strengthen implementation of Biological Diversity Act for ABS provisions.</li> <li>• National, state, local level databases on biodiversity with ABS potential established.</li> </ul>
	3. Piloting agreements on ABS	Better and informed access to genetic resources under the provisions of the Act possible with equitable benefit sharing options	<ul style="list-style-type: none"> <li>• At least 5 international ABS agreements and 20 national agreements prepared and access provided as per the Act provisions.</li> </ul>
	4. Implementation of policy and regulatory frameworks relating to ABS provisions at national level and thereby contribute to international ABS policy issues	Enhanced implementation of ABS provisions of the Biological Diversity Act at national, provincial (State) and local levels; Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa	<ul style="list-style-type: none"> <li>• Links to on-going policy and regulatory frameworks on conservation, sustainable use and ABS issues identified at inter-sectoral and inter-ministerial levels through creation of expert and working groups.</li> <li>• Sharing of experiences and information on implementation options for India at regional and international for an enhanced, including in regional preparatory processes.</li> <li>• Establishment and strengthening of Biodiversity Funds at national, state and local levels supported in at least 5 states.</li> </ul>
	5. Capacity building for strengthening implementation of ABS provisions of the Biological	Improved understanding of ABS provisions under the Biological Diversity Act for	<ul style="list-style-type: none"> <li>• Strengthening State Biodiversity Boards and Biodiversity Management Committees to identify and develop innovative financing mechanisms for implementation of the Act through training programmes on issues such as dealing with ABS</li> </ul>



Objective	Components	Component Outcomes	Component Outputs
	Diversity Act	implementation of by National Biodiversity Authority	applications, legal and policy issues, information management and IPR issues imparted at national and state levels in at least 5 states.
	6. Increasing public awareness and education programmes	The National Biodiversity Authority, State Biodiversity Boards and Biodiversity Management Committees mandated under the National Biodiversity Act strengthened through awareness programmes on issues related to ABS; Public participation, including from private sector, academic community, students, Civil Society Organisations, Women's' groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act.	<ul style="list-style-type: none"> <li>• Public awareness and participation programmes developed at national level and in at least 5 states with focus on ABS.</li> <li>• State level platforms on private sector partnerships established in at least 3 states to enhance ABS component of the Act.</li> <li>• Local language awareness material including films, best practice and support programmes through the Biodiversity Fund developed and used in at least 10 states in order to facilitate better ABS implementation.</li> </ul>

Source: Project PIF

**Annex 2 Milestones for the India ABS Project Mid-Term Evaluation**

<b>Milestone</b>	<b>Date</b>
Initial brief interview with Chair, NBA/National Project Director during the ICNP-3, Pyeongchang, South Korea	24-28 February 2014
Development of the evaluation questionnaire	January 2015
Visit to NBA, Andhra Pradesh SBB and project site, Gujarat SBB and project site, PSC meeting	2-11 February 2015
Last questionnaire submitted	13 April 2015
Data compilation including analysis of responses to questionnaires and follow-up consultations	April-August 2015

## Annex 3 Evaluation Questionnaire

### UNEP/GEF Project: Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions (India ABS Project)

#### Mid-term Evaluation Questionnaire

Name:
Institution/Organization:
Role in the project:

**The project objective was:**

Increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS in India.

**The project's expected outcomes were:**

Component	Expected outcome
1: Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands	Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act.
2: Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the Biological Diversity Act	Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened.
3: Piloting agreements on ABS	Better and informed access to biodiversity resources under the provisions of the Act improved / enhanced with equitable benefit sharing provisions.
4: Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime	<ul style="list-style-type: none"> <li>▪ Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels;</li> <li>▪ Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa</li> </ul>
5: Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act	<ul style="list-style-type: none"> <li>▪ Improved understanding of NBA, SBBs and BMCs of the ABS provisions under the Biological Diversity Act</li> <li>▪ Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act.</li> </ul>
6: Increasing public awareness and education programs	<ul style="list-style-type: none"> <li>▪ The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS;</li> <li>▪ Public participation including from private sector, academic community, students, civil society organizations, women's groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act.</li> </ul>

<b>QUESTIONS ARE GROUPED IN SECTIONS TO MAKE FILLING IN THE QUESTIONNAIRE EASIER</b>	
<b>General</b>	
<b>Relevance</b>	
<b>Achievement of outputs</b>	
<b>Sustainability and replication</b>	
<b>Project's role in promoting ABS frameworks and action</b>	
<b>Efficiency – cost effectiveness and timeliness</b>	
<b>Factors affecting performance</b>	
Preparedness and readiness	
Project implementation and management	
Stakeholder participation and public awareness	
Country ownership	
Gender and equity	

Please give a rating or ranking for each question. Where indicated, please fill in your additional response in the grey shaded area provided.

## GENERAL

1. **What is your overall opinion of the content of the project – the objectives, the expected outcomes, and the activities?**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

2. **What is your overall opinion of how the project is being implemented by the Project Management Unit?**

1. Extremely well	
2. Very well	
3. Well	
4. Moderately well	
5. Moderately not well	
6. Not well at all	
Why did you choose this rating?	

3. **What is your overall opinion of how the project is being executed by the State Project Units?**

1. Extremely well	
2. Very well	
3. Well	
4. Moderately well	
5. Moderately not well	
6. Not well at all	
Why did you choose this rating?	

4. **Which of the project outcomes is most important to you/your institution/organization?(Please rank the most useful outcome with the number '1', the next most useful with the number '2', the next most useful with the number '3', and the least useful with the number '9'.)**

1. Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act	
2. Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened	
3. Better and informed access to biodiversity resources under the provisions of the Act improved/enhanced with equitable benefit sharing provisions	
4. Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels	
5. Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa	
6. Improved understanding of NBA, SBBs and BMCs of the ABS provisions under the Biological Diversity Act	
7. Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act	
8. The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS	
9. Public participation including from private sector, academic community, students, civil society organizations, women's groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act	
Why did you choose this ranking?	

## RELEVANCE

5. **What is the relative priority of access to genetic resources and benefit-sharing (ABS) for national biodiversity conservation and research/bioprospecting/commodity development/community rights and welfare in India?(choose one from the list below)**

1. High priority	
2. Priority	
3. Medium priority	
4. Low priority	
5. Very low priority	
6. Not a priority	
Why did you choose this rating?	

6. **Are the project objectives consistent with national issues and needs with respect to ABS?**

a. If yes, how did the project contribute to responding to those issues and needs?	Yes	
b. If no, what was the inconsistency?	No	

7. **To what extent are the project outcomes relevant for the NBA/your state/your community/your institution or organization? (for each project outcome, choose one)**

- i. **Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Biological Diversity Act**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

- ii. **Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

- iii. **Better and informed access to biodiversity resources under the provisions of the Biological Diversity Act improved/enhanced with equitable benefit sharing provisions**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**Question 7, continued: To what extent were the project outcomes relevant for the NBA/your state/your community/your institution or organization? (for each project outcome, choose one)**

**iv. Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**v. Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**vi. Improved understanding of NBA, SBBs and BMCs of the ABS provisions under the Biological Diversity Act**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**vii. Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**viii. The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**Question 7, continued: To what extent were the project outcomes relevant for the NBA/your state/your**

community/your institution or organization? (for each project outcome, choose one)

- ix. **Public participation including from private sector, academic community, students, civil society organizations, women’s groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Biological Diversity Act**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

## ACHIEVEMENT OF OUTPUTS

8. **The evaluation requires assessing the quantity, quality, timeliness and usefulness of each deliverable. Please rate each of the project’s key deliverables (choose one response in each case):**

### Component 1.

#### Deliverable 1. Standard economic valuation methodology

##### a) For me/my institution/organization, this deliverable is:

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

##### b) Is progress with this deliverable acceptable?

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

##### c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	



**Question 8, continued: please rate Deliverable 1 of Component 1, Standard economic valuation methodology**

**d) If this deliverable has been completed, this output is (if this deliverable has not been completed, do not answer this question):**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution use this output in the future?	

**Component 1, continued**

**Deliverable 2. Guidance on using economic valuation methodology**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**Question 8, continued: please rate Deliverable 2 of Component 1, Guidance on using economic valuation methodology.**

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Component 1, continued**

**Deliverable 3. Database on economic evaluation for ABS**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**Question 8, continued: please rate Deliverable 3 of Component 1, Database on economic evaluation for ABS**

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Component 2.**

**Deliverable 1. Tools & guidelines for implementing ABS provisions of the Biological Diversity Act**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 2, continued**

**Deliverable 2. Peoples' Biodiversity Registers**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 3**

**Deliverable 1. 25 ABS agreements prepared and implemented**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)  
Component 3, continued**

**Deliverable 2. Best practice guidelines on benefit sharing prepared and used**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 3, continued**

**Deliverable 3. At least 5 Biodiversity Funds established**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 3, continued**

**Deliverable 4. At least 5 Biodiversity Funds strengthened**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	



**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 4**

**Deliverable 1. Inter-ministerial & inter-sectoral expert and working groups created**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 4, continued**

**Deliverable 2. India's experience shared at regional & international levels**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)  
Component 5**

**Deliverable 1. ABS orientation program for forest, customs, excise and other enforcement officials conducted**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)  
Component 5, continued**

**Deliverable 2. Training on ABS applications, legal and policy issues, information management, and IPR issues at national level and in at least 5 states**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 6**

**Deliverable 1. Local language awareness materials developed**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

**Question 8, continued: Please rate each of the project's key deliverables (choose one response in each case)**  
**Component 6, continued**

**Deliverable 2. Public/private partnerships on ABS established in at least 5 states**

**a) For me/my institution/organization, this deliverable is:**

1. Highly relevant	
2. Relevant	
3. Moderately Relevant	
4. Moderately not relevant	
5. Not relevant	
6. Completely irrelevant	
Why did you choose this rating?	

**b) Is progress with this deliverable acceptable?**

1. Completed on schedule according to the work plan	
2. Completed with minimal delay	
3. Completed with significant delay	
4. Proceeding on schedule according to the work plan	
5. Proceeding with minimal delay	
6. Proceeding with significant delay	
Why did you choose this rating?	

**c) If this deliverable has been completed, the quality is: (if this deliverable has not been completed, do not answer this question)**

1. Very high quality	
2. High quality	
3. Good quality	
4. Moderate quality	
5. Poor quality	
6. Of such poor quality that it could not be used	
Why did you choose this rating?	

**d) If this deliverable has been completed, this output is: (if this deliverable has not been completed, do not answer this question)**

1. Extremely useful	
2. Very useful	
3. Useful	
4. Somewhat useful	
5. Of little use	
6. Not useful at all	
a. Why did you choose this rating?	
b. How did you/your institution/organization use this output?	
c. How will you/your institution/organization use this output in the future?	

## SUSTAINABILITY AND REPLICATION

9. Which of the project outcomes should be sustained?(Please rank the outcome that is most important to sustain with the number '1', the next most important with the number '2', the next most important with the number '3', and the least important with the number '9'.)

1. Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act		
2. Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened		
3. Better and informed access to biodiversity resources under the provisions of the Act improved/enhanced with equitable benefit sharing provisions		
4. Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels		
5. Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa		
6. Improved understanding of NBA, SBBs and BMCs of the ABS provisions under the Biological Diversity Act		
7. Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological Diversity Act		
8. The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS		
9. Public participation including from private sector, academic community, students, civil society organizations, women's groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act		
a. Why did you choose this ranking?		
b. How will you/your institution/organization influence the sustainability of the outcome that you ranked No. 1?		
c. Please list factors that will promote the sustainability of the outcome that you ranked No. 1.		
d. Please list factors that will be risks for the sustainability of the outcome that you ranked No. 1.		
e. Will institutional changes be required to sustain the outcome you ranked No. 1? If so, what are they?	Yes	No

10. Does the country or your state/community/institution/organization have any concrete plans for projects or other activities to follow up on the outcomes of this project when the project is completed?

a. If yes, please give specific information about the plans for follow-up work.	Yes	
b. If no, why not?	No	

### 11. Socio-political sustainability

- a) Are there national political factors that will positively support the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

- b) Are there national political factors that will negatively affect the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

- c) Do national government authorities responsible for ABS have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of this project?

	Yes	
If no, why not and what would be needed to encourage them?	No	

#### Question 11, continued

- d) Are there state political factors that will positively support the sustainability of the outcomes of this

project?

If yes, what are they?	Yes	
	No	

e) Are there state political factors that will negatively affect the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

f) Do state government authorities responsible for ABS have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of this project?

	Yes	
If no, why not and what would be needed to encourage them?	No	

g) Do other ABS stakeholders have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of this project?

	Yes	
If no, why not and what would be needed to encourage them?	No	

## 12. Financial sustainability

a) To what extent does the sustainability of the outcomes of this project depend on continued financial support from UNEP/GEF and/or other international sources? Financial support may come from a combination of sources, including government and the private sector. (choose one)

1. Completely – there will be no follow-up work without external financial support	
2. Significantly – follow-up work must be primarily funded through external financial support	
3. Substantially – follow-up work will require considerable external financial support	
4. Moderately – follow-up work will be primarily nationally funded	
5. Minimal external financial support required	
6. No external financial support required	
Why did you choose this rating?	

b) Are there national financial factors that could positively promote the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

c) Are there national financial factors or risks that could negatively affect the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

d) Are there state financial factors that could positively promote the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

e) Are there state financial factors or risks that could negatively affect the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	



### 13. Institutional Sustainability

a) To what extent does the sustainability of the outcomes of this project depend on national institutions and governance? (choose one)

1. Completely – sustainability depends entirely on national institutions and governance	
2. Significantly – sustainability depends primarily on national institutions and governance	
3. Substantially – sustainability depends considerably on national institutions and governance	
4. Moderately – sustainability depends only partly on national institutions and governance	
5. Minimally – national institutions and governance will have little influence on sustainability	
6. National institutions and governance will play no role in sustaining the outcomes of this project	
Why did you choose this rating?	

b) Are national institutions and governance strong enough to follow up on the outcomes of this project?

	Yes	
If no, what are the weaknesses and what should be done to overcome them?	No	

c) To what extent does the sustainability of the outcomes of this project depend on state institutions and governance? (choose one)

7. Completely – sustainability depends entirely on national institutions and governance	
8. Significantly – sustainability depends primarily on national institutions and governance	
9. Substantially – sustainability depends considerably on national institutions and governance	
10. Moderately – sustainability depends only partly on national institutions and governance	
11. Minimally – national institutions and governance will have little influence on sustainability	
12. National institutions and governance will play no role in sustaining the outcomes of this project	
Why did you choose this rating?	

d) Are state institutions and governance strong enough to follow up on the outcomes of this project?

	Yes	
If no, what are the weaknesses and what should be done to overcome them?	No	

## PROJECT'S ROLE IN PROMOTING IMPLEMENTATION OF THE BIOLOGICAL DIVERSITY ACT

14. To what extent is this project enabling or promoting the implementation of the Biological Diversity Act? (choose one)

1. Completely – implementing the BD Act depends entirely on this project	
2. Significantly – implementing the BD Act depends primarily on this project	
3. Substantially – implementing the BD Act depends considerably on this project	
4. Moderately – implementing the BD Act depends only partly on this project	
5. Minimally – this project has little influence on implementing the BD Act	
6. Not at all – this project has no influence on implementing the BD Act	
Why did you choose this rating?	

**15. To what extent is this project providing social, political, or financial incentives to implement the BD Act? (choose one)**

1. Completely – social, political and financial incentives this project provides are entirely the drivers for implementing the BD Act	
2. Significantly – social, political and financial incentives this project provides are primarily the drivers for implementing the BD Act	
3. Substantially – social, political and financial incentives this project provides are important drivers for implementing the BD Act	
4. Moderately – social, political or financial incentives this project provides partly contribute to implementing the BD Act	
5. Minimally – social, political or financial incentives this project provides have little influence on implementing the BD Act	
6. Not at all – social, political or financial incentives this project provides have no influence on implementing the BD Act	
Why did you choose this rating?	

**16. To what extent is this project contributing to mainstreaming ABS in national institutions? (choose one)**

1. Completely – this project is entirely responsible for mainstreaming ABS in national institutions	
2. Significantly – this project is primarily responsible for mainstreaming ABS in national institutions	
3. Substantially – this project has considerable influence on mainstreaming ABS in national institutions	
4. Moderately – this project has some influence on mainstreaming ABS in national institutions	
5. Minimally – this project has little influence on mainstreaming ABS in national institutions	
6. Not at all – this project has no influence on mainstreaming ABS in national institutions	
Why did you choose this rating?	

**17. To what extent is this project contributing to mainstreaming ABS in state institutions? (choose one)**

7. Completely – this project is entirely responsible for mainstreaming ABS in state institutions	
8. Significantly – this project is primarily responsible for mainstreaming ABS in state institutions	
9. Substantially – this project has considerable influence on mainstreaming ABS in state institutions	
10. Moderately – this project has some influence on mainstreaming ABS in state institutions	
11. Minimally – this project has little influence on mainstreaming ABS in state institutions	
12. Not at all – this project has no influence on mainstreaming ABS in state institutions	
Why did you choose this rating?	

**18. To what extent is this project enabling or encouraging follow-on funding from GEF, government or other donors? (choose one)**

1. Completely – all follow-on funding to date is a direct response to this project	
2. Significantly – there will be follow-on funding and that is primarily a response to this project	
3. Substantially – there will be follow-on funding and this project has considerable influence on the donor/donors	
4. Moderately – there are prospects for follow-on funding that are partly a response to this project	
5. Minimally – there are prospects follow-on funding but this project has little influence on them	
6. Not at all – there are no prospects for follow-on funding at this point	
Why did you choose this rating?	

**19. To what extent is this project creating opportunities for individuals or institutions to bring about change, without which this project will not achieve all of its outcomes? (choose one)**

1. Completely – this project is making possible the work of at least one individual/institution without whom this project will not achieve all of its outcomes		
2. Significantly – this project is making possible the work of at least one individual/institution that is the primary driver for this project to achieve its outcomes		
3. Substantially – this project is making possible the work of at least one individual/institution that has considerable influence on this project achieving its outcomes		
4. Moderately – this project is making possible the work of at least one individual/institution that has some influence on this project achieving its outcomes		
5. Minimally – this project is creating a few opportunities for individuals/institutions that have a minor influence on this project achieving its outcomes		
6. Not at all – this project is not creating opportunities for individuals/institutions		
Why did you choose this rating?		

**EFFICIENCY – COST EFFECTIVENESS AND TIMELINESS**

**20. Is this project making use of or building on other national and/or state initiatives?**

a. If yes, what are the other initiatives?	Yes	
b. Please provide details on how this project and the other initiatives complement each other, financially or in other ways.		
	No	

**21. Is this project using any cost-saving measures at the national level?**

If yes, please describe them.	Yes	
	No	

**22. Is this project using any cost-saving measures at the state level?**

If yes, please describe them.	Yes	
	No	

**23. Is this project experiencing any delays at the national level?**

If yes, please explain each delay and what the project is doing to resolve each delay.	Yes	
	No	

**24. Is this project experiencing any delays at the state level?**

If yes, please explain each delay and what the project is doing to resolve each delay.	Yes	
	No	

## FACTORS AFFECTING PERFORMANCE

### Preparedness and readiness

25. Were you, or was your institution/organization, involved in the design of the project?

If yes, what did you or your institution/organisation contribute to the project design?	Yes	
	No	

26. Is the project document clear and realistic?

	Yes	
If no, what are the problems?	No	

27. Has the project adequately identified project stakeholders?

	Yes	
If no, which stakeholders were not identified?	No	

28. Are the objective and the components of the project clear, practical and feasible with the financial resources and the time available?

	Yes	
If no, what are the problems?	No	

29. Were the arrangements for project management adequate when the project started?

	Yes	
If no, what were the problems?	No	

30. Are the roles and responsibilities of all project partners clearly specified and understood?

	Yes	
If no, what are the problems?	No	

### Project implementation and management

31. Project Steering Committee

a) Is the Project Steering Committee making decisions or recommendations that effectively help to guide the project?

	Yes	
If no, what do you expect the Project Steering Committee to do that it is not doing?	No	

b) Does the Project Steering Committee help to resolve any problems the project encounters?

	Yes	
If no, what do you expect the Project Steering Committee to do that it is not doing?	No	

c) Which issues have been brought to the Steering Committee and how were they dealt with?(Please indicate all the issues that you know of and add rows if needed.)

Issue 1.		
Issue 2.		

32. Project Technical Committee

a) Is the Project Technical Committee making recommendations that effectively help to guide the project?

	Yes	
If no, what do you expect the Project Technical Committee to do that it is not doing?	No	

**Question 32, continued**

**b) Does the Project Technical Committee help to resolve any problems the project encounters?**

	Yes	
If no, what do you expect the Project Technical Committee to do that it is not doing?	No	

**c) Which issues have been brought to the Technical Committee and how were they dealt with?(Please indicate all the issues that you know of and add rows if needed.)**

Issue 1.
Issue 2.

**33. PMU**

**a) How is the PMU responding to Project Steering Committee decisions/recommendations?**

1. Within a reasonable time and the responses address all issues	
2. Within a reasonable time but the responses do not address all issues	
3. With some delay but the responses address all issues	
4. With some delay but the responses do not address all issues	
5. With significant delay but the responses address all issues	
6. With significant delay and the responses do not address all issues	
Why did you choose this rating?	

**b) How does the PMU respond to requests from SPUs?**

1. Within a reasonable time and the responses address all issues	
2. Within a reasonable time but the responses do not address all issues	
3. With some delay but the responses address all issues	
4. With some delay and the responses do not address all issues	
5. With significant delay but the responses address all issues	
6. With significant delay and the responses do not address all issues	
Why did you choose this rating?	

**c) How does the PMU adapt project management to changes during the project?**

1. Within a reasonable time and any adaptations address all issues	
2. Within a reasonable time but the adaptations do not address all issues	
3. With some delay but the adaptations address all issues	
4. With some delay and the adaptations do not address all issues	
5. With significant delay but the adaptations address all issues	
6. With significant delay and the adaptations do not address all issues	
Why did you choose this rating?	

**34. SPU**

**a) How is the SPU/are the SPUs responding to the PMU's guidance/recommendations?**

1. Within a reasonable time and the responses address all issues	
2. Within a reasonable time but the responses do not address all issues	
3. With some delay but the responses address all issues	
4. With some delay but the responses do not address all issues	
5. With significant delay but the responses address all issues	
6. With significant delay and the responses do not address all issues	
Why did you choose this rating?	

**Question 34, SPU, continued**

**b) How does the SPU/do the SPUs respond to requests from BMCs?**

1. Within a reasonable time and the responses address all issues	
2. Within a reasonable time but the responses do not address all issues	
3. With some delay but the responses address all issues	
4. With some delay and the responses do not address all issues	
5. With significant delay but the responses address all issues	
6. With significant delay and the responses do not address all issues	
Why did you choose this rating?	

**c) How does the SPU/do the SPUs adapt project management to changes during the project?**

1. Within a reasonable time and any adaptations address all issues	
2. Within a reasonable time but the adaptations do not address all issues	
3. With some delay but the adaptations address all issues	
4. With some delay and the adaptations do not address all issues	
5. With significant delay but the adaptations address all issues	
6. With significant delay and the adaptations do not address all issues	
Why did you choose this rating?	

**35. How could project management at the national level be more effective?**

--

**a) What would you do differently?**

--

**36. How could project management at the state level be more effective?**

--

**a) What would you do differently?**

--

**37. Are you aware of any interaction with any of the other GEF ABS projects:**

**a) Global?**

If yes, what was the interaction and how did it benefit: You/your institution/organization?	Yes	
The state project?		
The national project overall?		
	No	

**b) Latin America and the Caribbean?**

If yes, what was the interaction and how did it benefit: You/your institution/organization?	Yes	
The state project?		
The national project overall?		
	No	

**c) Africa?**

If yes, what was the interaction and how did it benefit: You/your institution/organization?	Yes	
The state project?		
The national project overall?		
	No	

**38. Question 37, continued, Are you aware of any interaction with any of the other GEF ABS projects:  
d) ASEAN?**

If yes, what was the interaction and how did it benefit: You/your institution/organization?	Yes	
The state project?		
The national project overall?		
	No	

**Stakeholder participation and public awareness**

**39. Are there any potential ABS stakeholders who should participate in national consultations/workshops but are not participating?**

If yes, who are they and why don't they participate?	Yes	
	No	

**40. How are stakeholders participating in national consultations/workshops?**

1. Each stakeholder group the project identified is sending at least one representative to each national consultation/workshop	
2. Most stakeholder groups the project identified are at least one representative to each national consultation/workshop	
3. Many stakeholder groups the project identified are sending at least one representative to each national consultation/workshop	
4. Some stakeholder groups the project identified are sending at least one representative to each national consultation/workshop	
5. Few stakeholder groups the project identified are sending at least one representative to each national consultation/workshop	
6. No stakeholder group the project identified is sending a representative to national consultations/workshops	
Why did you choose this rating?	

**41. How are stakeholders participating in state consultations/workshops?**

1. Each stakeholder group the project identified is sending at least one representative to each state consultation/workshop	
2. Most stakeholder groups the project identified are sending at least one representative to each state consultation/workshop	
3. Many stakeholder groups the project identified are sending at least one representative to each state consultation/workshop	
4. Some stakeholder groups the project identified are sending at least one representative to each state consultation/workshop	
5. Few stakeholder groups the project identified are sending at least one representative to each state consultation/workshop	
6. No stakeholder group the project identified is sending a representative to each state consultation/workshop	
Why did you choose this rating?	

**42. To what degree are public awareness activities increasing public understanding of ABS and related issues?**

1. To a very high degree	
2. To a high degree	
3. To a moderate degree	
4. To a minimal degree	
5. Not at all	
6. Not in any way that the project was designed to measure	
Why did you choose this rating?	
What is your evidence for this choice?	

**43. To what degree is stakeholder participation in project activities increasing stakeholders' motivation to implement the ABS provisions of the BD Act?**

1. To a very high degree	
2. To a high degree	
3. To a moderate degree	
4. To a minimal degree	
5. Not at all	
6. Stakeholders' motivation will increase if there are follow-up initiatives after the project is completed	
Why did you choose this rating?	

**44. To what degree is it likely that the outcomes of the project will promote future stakeholder participation in implementing the ABS provisions of the BD Act?**

1. To a very high degree	
2. To a high degree	
3. To a moderate degree	
4. To a minimal degree	
5. It is unlikely that the outcomes of the project will promote future stakeholder participation	
6. Not at all	
Why did you choose this rating?	

**45. To what degree are the PMU, SPUs, BMCs, UNU-IAS, and other project partners collaborating during the project?**

1. To a very high degree – all project partners are providing meaningful input into all aspects of project implementation	
2. To a high degree – all project partners are providing meaningful input into most aspects of project implementation	
3. To a moderately high degree – all project partners are providing meaningful input into many aspects of project implementation	
4. To a moderate degree – all project partners are providing meaningful input into some aspects of project implementation	
5. To a minimal degree – all project partners are providing meaningful input into a few aspects of project implementation	
6. To a very low degree – all project partners are providing meaningful input into very few aspects of project implementation	
Why did you choose this rating?	

**Country ownership and the extent to which the project was country-driven**

**46. To what degree are national research institutions participating in the national project?**

1. To a very high degree – representatives of national research institutions are participating in all consultations and workshops and contributing to project outputs	
2. To a high degree – representatives of national research institutions have participated in at least one consultation or workshop and are contributing to project outputs	
3. To a moderate degree – representatives of national research institutions are participating in all consultations and workshops but not contributing to project outputs	
4. To a minimal degree – representatives of national research institutions have participated in at least one consultation or workshop but are not contributing to project outputs	
5. Not at all – representatives of national research institutions are not participating in any project activities or contributing to project outputs	
6. Representatives of national research institutions are not invited to participate in project activities	
Why did you choose this rating?	
If you chose 6, why are representatives of national research institutions not invited to participate in project activities?	



**47. To what degree are national government institutions assuming responsibility for the project and providing adequate support for project implementation?**

1. To a very high degree – national government institutions have assumed full responsibility for the project and are providing all implementation support required	
2. To a high degree – national government institutions have assumed a great deal of responsibility for the project and are providing all implementation support required	
3. To a moderately high degree – national government institutions have assumed a great deal of responsibility for the project and are providing implementation support when the project requests it	
4. To a moderate degree – national government institutions have assumed some responsibility for the project and are providing some implementation support when the project requests it	
5. To a minimal degree – national government institutions have assumed little responsibility for the project and are not providing the implementation support that the project requests	
6. Not at all – national government institutions have assumed no responsibility for the project and are not providing the implementation support that the project requests	
Why did you choose this rating?	

**48. How are government project partners responding to project coordination and guidance from the PMU and UNEP?**

1. Within a reasonable time and the responses address all issues	
2. Within a reasonable time but the responses do not address all issues	
3. With some delay but the responses address all issues	
4. With some delay and the responses do not address all issues	
5. With significant delay but the responses address all issues	
6. With significant delay and the responses do not address all issues	
Why did you choose this rating?	

**49. To what degree is the private sector participating in the project at the national level?**

1. To a very high degree – private sector representatives are participating in all consultations and workshops and contributing to project outputs	
2. To a high degree – private sector representatives have participated in at least one consultation or workshop and are contributing to project outputs	
3. To a moderate degree – private sector representatives are participating in all consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – private sector representatives have participated in at least one consultation or workshop but are not contributing to project outputs	
5. Not at all – private sector representatives are not participating in any project activities or contributing to project outputs	
6. The private sector is not invited to participate in project activities	
Why did you choose this rating?	
If you chose 6, why is the private sector not invited to participate in national project activities?	

**50. To what degree is the private sector participating in state projects?**

1. To a very high degree – private sector representatives are participating in all state consultations and workshops and are contributing to state project outputs	
2. To a high degree – private sector representatives have participated in at least one state consultation or workshop and are contributing to state project outputs	
3. To a moderate degree – private sector representatives are participating in all state consultations and workshops but are not contributing to state project outputs	
4. To a minimal degree – private sector representatives have participated in at least one state consultation or workshop but are not contributing to state project outputs	
5. Not at all – private sector representatives are not participating in any state project activities or contributing to state project outputs	
6. The private sector is not invited to participate in state project activities	
Why did you choose this rating?	
If you chose 6, why is the private sector not considered in developing national project outputs?	

**51. To what degree are project deliverables providing for including the private sector in implementing the ABS provisions of the Biological Diversity Act?**

1. To a very high degree – all project deliverables provide for including the private sector in implementing the ABS provisions in the BD Act	
2. To a high degree – most project outputs provide for including the private sector in implementing the ABS provisions in the BD Act	
3. To a moderate degree – some project outputs provide for including the private sector in implementing the ABS provisions in the BD Act	
4. To a minimal degree – few project outputs provide for including the private sector in implementing the ABS provisions in the BD Act	
5. Not at all – project outputs do not provide for including the private sector in implementing the ABS provisions in the BD Act	
6. The private sector is not considered in preparing project outputs	
Why did you choose this rating?	
If you chose 6, why is the private sector not considered in developing project outputs?	

**52. To what degree are NGOs participating in the project at the national level?**

1. To a very high degree – NGOs are participating in all consultations and workshops and contributing to project outputs	
2. To a high degree – NGOs have participated in at least one consultation or workshop and are contributing to project outputs	
3. To a moderate degree – NGOs are participating in all consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – NGOs have participated in at least one consultation or workshop but are not contributing to project outputs	
5. Not at all – NGOs are not participating in any project activities or contributing to project outputs	
6. NGOs are not invited to participate in project activities	
Why did you choose this rating?	
If you chose 6, why are NGOs not invited to participate in project activities?	

**53. To what degree are NGOs participating in state projects?**

1. To a very high degree – NGOs are participating in all state consultations and workshops and contributing to project outputs	
2. To a high degree – NGOs have participated in at least one state consultation or workshop and have contributed to project outputs	
3. To a moderate degree – NGOs are participating in all state consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – NGOs have participated in at least one state consultation or workshop but are not contributing to project outputs	
5. Not at all – NGOs are not participating in any state project activities or contributing to project outputs	
6. NGOs are not invited to participate in state project activities	
Why did you choose this rating?	
If you chose 6, why are NGOs not invited to participate in state project activities?	

**54. To what degree are project deliverables providing for including NGOs in implementing the ABS provisions of the BD Act?**

1. To a very high degree – all project outputs provide for including NGOs in implementing the ABS provisions of the BD Act	
2. To a high degree – most project outputs provide for including NGOs in implementing the ABS provisions of the BD Act	
3. To a moderate degree – some project outputs provide for including NGOs in implementing the ABS provisions of the BD Act	
4. To a minimal degree – few project outputs provide for including NGOs in implementing the ABS provisions of the BD Act	
5. Not at all – project outputs do not provide for including NGOs in implementing the ABS provisions of the BD Act	
6. NGOs are not being considered in developing project deliverables	
Why did you choose this rating?	
If you chose 6, why are NGOs not considered in developing national project outputs?	

**Gender and equity**

**55. To what degree are women participating in the project at national level?**

1. To a very high degree – women are participating in all national consultations and workshops and contributing to project outputs	
2. To a high degree – women have participated in at least one national consultation or workshop and are contributing to project outputs	
3. To a moderate degree – women are participating in all national consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – women have participated in at least one national consultation or workshop but are not contributing to project outputs	
5. Not at all – women are not participating in national project activities or contributing to project outputs	
6. No women are invited to participate in national project activities	
Why did you choose this rating?	
If you chose 6, why are women not invited to participate in national project activities?	

**56. To what degree are women participating in state projects?**

1. To a very high degree – women are participating in all state consultations and workshops and contributing to project outputs	
2. To a high degree – women have participated in at least one state consultation or workshop and are contributing to project outputs	
3. To a moderate degree – women are participating in all state consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – women have participated in at least one state consultation or workshop but are not contributing to project outputs	
5. Not at all – women are not participating in any state project activities or contributing to project outputs	
6. No women are invited to participate in state project activities	
Why did you choose this rating?	
If you chose 6, why are women not invited to participate in state project activities?	

**57. To what degree are project deliverables providing for including women in implementing the ABS provisions of the BD Act?**

1. To a very high degree – all project outputs provide for including women in implementing the ABS provisions of the BD Act	
2. To a high degree – most project outputs provide for including women in implementing the ABS provisions of the BD Act	
3. To a moderate degree – some project outputs provide for including women in implementing the ABS provisions of the BD Act	
4. To a minimal degree – few project outputs provide for including women in implementing the ABS provisions of the BD Act	
5. Not at all – project outputs do not provide for including women in implementing the ABS provisions of the BD Act	
6. Women are not considered in developing project outputs	
Why did you choose this rating?	
If you chose 6, why are women not considered in developing project outputs?	

**58. To what degree are youth participating in the project at national level?**

1. To a very high degree – youth are participating in all consultations and workshops and contributing to project outputs	
2. To a high degree – youth have participated in at least one national consultation or workshop and have contributed to project outputs	
3. To a moderate degree – youth are participating in all national consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – youth have participated in at least one national consultation or workshop but are not contributing to project outputs	
5. Not at all – youth are not participating in any national project activities or contributing to project outputs	
6. No youth are invited to participate in project activities	
Why did you choose this rating?	
If you chose 6, why are youth not invited to participate in project activities at the national level?	

**59. To what degree are youth participating in state projects?**

1. To a very high degree – youth are participating in all state consultations and workshops and contributing to state project outputs	
2. To a high degree – youth have participated in at least one state consultation or workshop and contributed to state project outputs	
3. To a moderate degree – youth are participating in all state consultations and workshops but are not contributing to state project outputs	
4. To a minimal degree – youth participated in at least one state consultation or workshop but are not contributing to state project outputs	
5. Not at all – youth did not participate in any state project activities or contribute to state project outputs	
6. No youth are invited to participate in state project activities	
Why did you choose this rating?	
If you chose 6, why are youth not invited to participate in state project activities?	

**60. To what degree do project deliverables provide for including youth in implementing the ABS provisions of the BD Act?**

1. To a very high degree – all project outputs provide for including youth in implementing the ABS provisions of the BD Act	
2. To a high degree – most project outputs provide for including youth in implementing the ABS provisions of the BD Act	
3. To a moderate degree – some project outputs provide for including youth in implementing the ABS provisions of the BD Act	
4. To a minimal degree – few project outputs provide for including youth in implementing the ABS provisions of the BD Act	
5. Not at all – project outputs do not provide for including youth in implementing the ABS provisions of the BD Act	
6. Youth are not considered in developing project outputs	
Why did you choose this rating?	
If you chose 6, why are youth not considered in developing project outputs?	

**61. To what degree are indigenous and local communities (ILCs) participating in the project at national level?**

1. To a very high degree – ILC representatives are participating in all consultations and workshops and contributing to project outputs	
2. To a high degree – ILC representatives have participated in at least one consultation or workshop and contributed to project outputs	
3. To a moderate degree – ILC representatives are participating in all consultations and workshops but are not contributing to project outputs	
4. To a minimal degree – ILC representatives have participated in at least one consultation or workshop but are not contributing to project outputs	
5. Not at all – ILC representatives are not participating in any project activities or contributing to project outputs	
6. ILCs are not invited to participate in project activities	
Why did you choose this rating?	
If you chose 6, why are ILCs not invited to participate in national project activities?	

**62. To what degree are ILCs participating in state projects?**

1. To a very high degree – ILC representatives are participating in all state consultations and workshops and contributing to state project outputs	
2. To a high degree – ILC representatives have participated in at least one state consultation or workshop and contributed to state project outputs	
3. To a moderate degree – ILC representatives are participating in all state consultations and workshops but are not contributing to state project outputs	
4. To a minimal degree – ILC representatives have participated in at least one state consultation or workshop but are not contributing to state project outputs	
5. Not at all – ILC representatives are not participating in any state project activities or contributing to state project outputs	
6. ILCs are not invited to participate in state project activities	
Why did you choose this rating?	
If you chose 6, why are ILCs not invited to participate in state project activities?	

**63. To what degree are project deliverables providing for including ILCs in implementing the ABS provisions of the BD Act?**

1. To a very high degree – all project outputs provide for including ILCs in implementing the ABS provisions of the BD Act	
2. To a high degree – most project outputs provide for including ILCs in implementing the ABS provisions of the BD Act	
3. To a moderate degree – some project outputs provide for including ILCs in implementing the ABS provisions of the BD Act	
4. To a minimal degree – few project outputs provide for including ILCs in implementing the ABS provisions of the BD Act	
5. Not at all – project outputs do not provide for including ILCs in implementing the ABS provisions of the BD Act	
6. ILCs are not considered in developing project outputs	
Why did you choose this rating?	
If you chose 6, why are ILCs not considered in developing project outputs?	

#### Annex 4 Key Milestones and Dates in Project Design and Implementation

Milestone	Date
PIF resubmitted	13 March 2009
PIF approved	28 April 2009
GEF approved the Project Preparation Grant (PPG)	1 May 2009 <sup>41</sup>
GEF approved the project	March 2011
UNEP approved the project	7 June 2011
Project start	23 June 2011
Overall project launch	23-24 August 2011
Andhra Pradesh state project launch	11 November 2011
West Bengal state project launch	1 December 2011
Gujarat state project launch	7 February 2012
Himachal Pradesh state project launch	3 July 2012
Sikkim state project launch	8 December 2012
1 <sup>st</sup> revision, no-cost extension to 31 December 2015 <sup>42</sup>	31 July 2014
Request for 2 <sup>nd</sup> revision, no-cost extension to 30 June 2016	24 March 2015

<sup>41</sup> UNEP. Advanced DGEF Database Information System (ADDIS).

<http://addis.unep.org/projectdatabases/00493/?searchterm=india%203801>. The date of approval of the PPG is the only date available on the UNEP ADDIS web page for the India ABS Project. All other submission and approval dates are “unspecified”.

<sup>42</sup>The no-cost extension of the technical completion date of the project until 31 December 2015 allows the PMU and implementing states to complete project terminal reporting by 30 June 2016.

## Annex 5 Project Costs and Co-financing

**Table 1. Project Costs**

Component/sub-component	Estimated cost at design (USD)	Estimated cost at 2014 project revision (USD)	Actual Cost (USD)	Expenditure ratio (actual/planned) (USD)
Component 1	496,000	596,157	1,061,120 <sup>43</sup>	1,061,120/2,442,021 <sup>44</sup>
Component 2	505,000	726,510		
Component 3	488,900	545,451		
Component 4	530,000	463,927		
Component 5	510,000	384,306		
Component 6	460,000	350,834		
Project management	356,100	301,407		
Evaluation, audits, M&E	215,000	192,410		

**Table 2. Co-financing**

Co-financing (Type/Source)	IA own Financing (USD)		Government (USD)		Other* (USD)		Total (USD)		Total Disbursed (USD)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
<b>Grants</b>	0	0	0	0	0	0	0	0	0
–									
–									
<b>In-kind support</b>									
– NBA	214,472 <sup>45</sup>						214,472		
– Gol cash			2,438,000				2,438,000	349,699 <sup>46</sup>	349,699
– Gol in-kind			3,190,000				3,190,000		
– UNEP-DELC in-kind					400,000		400,000		
– UNU-IAS in-kind					250,000		250,000		
<b>Totals</b>	214,472		5,628,000		650,000		6,492,472 <sup>47</sup>	349,699	349,699

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

<sup>43</sup> This figure is the total expenditure that the NBA reported as of 31 December 2014. Project financial reporting does not provide a breakdown of expenditures by project component.

<sup>44</sup> The project duration is 55 months, after the 19-month no-cost extension from May 2014 to December 2015. The total re-allocated budget for GEF funding for 2011-2014 is USD2,442,021. Total expenditures as of 31 December 2014 were 43.5% of budget, after 43 months of implementation, when the project had run 78% of its extended duration.

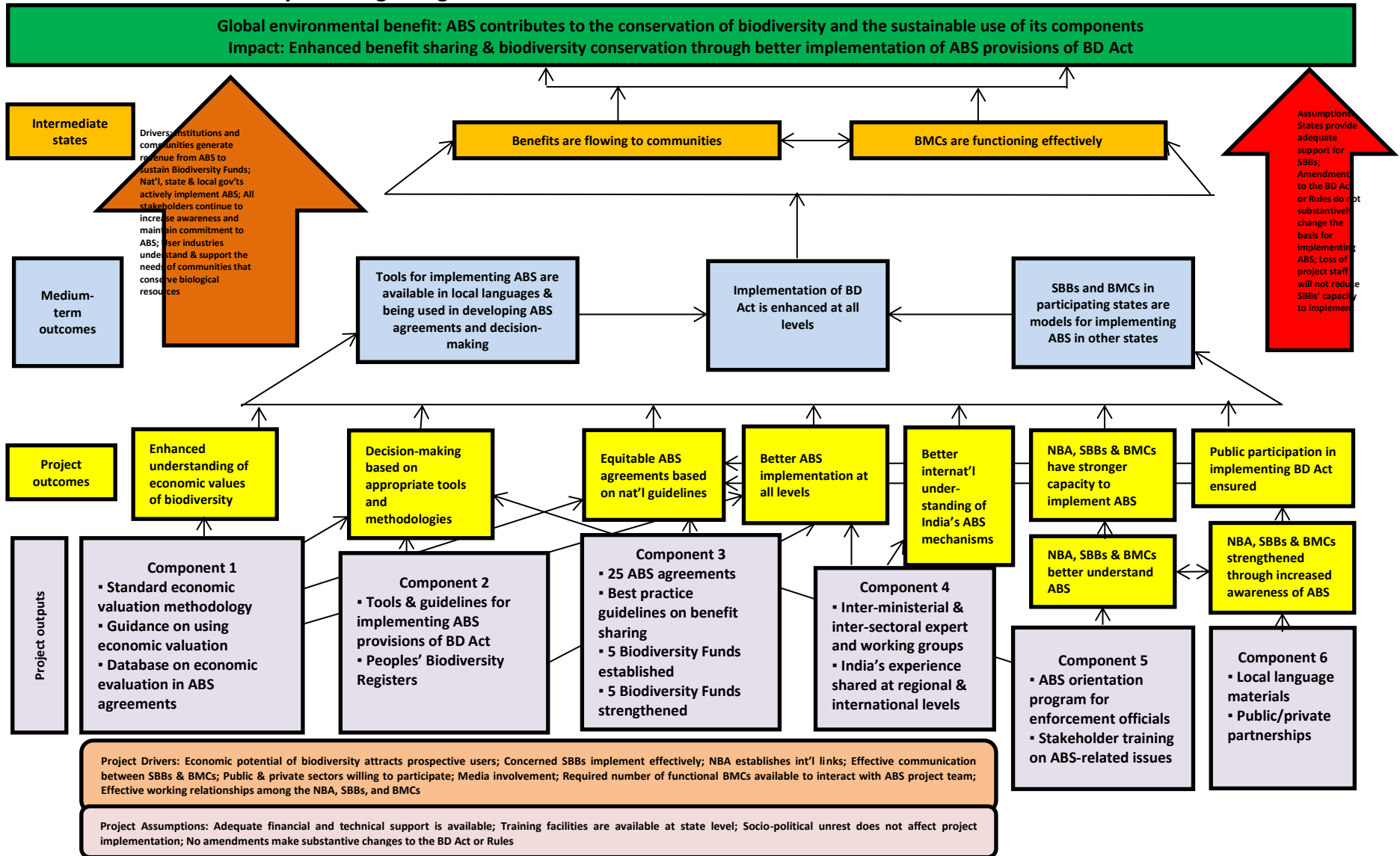
<sup>45</sup> This figure comes from the revised costed M&E plan (see paragraph 236). It is not included in the project budget for co-financing.

<sup>46</sup> As of 30 September 2014.

<sup>47</sup> The project budget shows a total of USD6,278,00 of cash and in-kind co-financing. This figure includes the USD214,472 from NBA that is indicated in the revised costed M&E plan, but not in the project budget.



# Annex 6 Reconstructed Theory of Change Diagram



## Annex 7 Persons Consulted

State/ Institution	Individual	Interview	Field Visit/ Group Discussions with Stakeholders	Questionnaire
MoEF/NBA	Mr. Hem Pande, Additional Secretary MoEF and Chair NBA	X		
	Mr. T. Rabikumar, Secretary NBA	X		
PMU				X <sup>48</sup>
	Dr. Ishwar C. Poojar, Project Manager	X		
	Dr. Prakash Nellyat, Project Associate (Economics & Valuation)	X		
	Mr. B. Andrews, Project Consultant	X		
Andhra Pradesh			X	
SBB	Mr. M. Chandra Mohan Reddy, Member Secretary, State Biodiversity Board			
SPU	Mr. G. Sailu, State Project Coordinator			X
Kovel Foundation	Mr. V. Krishna Rao, CEO	X		
Gujarat			X	X <sup>49</sup>
SBB	Dr. A. J. Khan, Chair, State Biodiversity Board	X		
Forest Dept.	Mr. B. K. Sinha, Chief Conservator of Forests	X		
SPU	Dr. Aeshita Mukherjee-Wilske, State Project Coordinator	X		
St. Xavier's College	Dr. Lancelot d'Cruz, Dean of Juniors & Seniors (Science)	X		
Himachal Pradesh				X <sup>50</sup>
SBB	Dr. Hemant K. Gupta, Joint Member Secretary, State Council for Science, Technology & Environment	X		
SPU	Mr. Murari Lal Thakur, State Project Coordinator	X		
Sikkim				
SBB	Mr. Y. P. Gurung, Member Secretary			X <sup>51</sup>

<sup>48</sup> On behalf of the PMU.

<sup>49</sup> On behalf of the SPU.

<sup>50</sup> On behalf of the SBB.

<sup>51</sup> Jointly, with Ms. Usha Lachungpa, on behalf of the SBB and SPU.

State/ Institution	Individual	Interview	Field Visit/ Group Discussions with Stakeholders	Questionnaire
SPU	Ms. Usha Lachungpa, State Project Coordinator	X		X
West Bengal SBB	Dr. Jose T. Mathew, Member Secretary, State Biodiversity Board	X		X
SPU	Dr. Rupam Mandal, State Project Coordinator	X		
Chennai roundtable participants			X	
Goa SBB	Representative			
Karnataka SBB	R. K. Singh, Member Secretary, State Biodiversity Board			
Telangana SBB	Dr. C. Suvarna, Member Secretary, State Biodiversity Board			
ZSI	Dr. K. Venkataraman, Director	X		
UNEP	Dr. Mohamed Sessay, Project Task Manager	X		
UNDP	Dr. Ruchi Pant, Program Analyst (Biodiversity and Natural Resource Management)	X		X
UNU-IAS	Dr. Suneetha M Subramanian, Adjunct Senior Research Fellow, principal UNU-IAS resource person for the India ABS Project	X		X

## Annex 8 Mid-Term Status

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
<p><b>Objective</b> To increase the institutional, individual and systemic capacities of stakeholders to effectively implement the Biological Diversity Act to achieve biodiversity conservation through implementing ABS in India</p>		Draft economic valuation methods and tools for the select ecosystems with identified bio-resources would be developed through participatory processes	Draft Economic valuation methods for the proposed 3 ecosystems developed through participatory processes		See Component 1, Activity 1.1
		The required number of functional BMCs available to interact with team of ABS project	The required number of functional BMCs available to interact with team of ABS project		<p>The project set targets for states to create BMCs, but does not support creating them because that is the states' obligation under the Biodiversity Act. Therefore, there is no project activity or output that corresponds directly to this target.</p> <p>Several project activities contribute to building the capacity of BMCs to implement ABS.</p> <p>One project output for which there is no corresponding activity and which contributes to this target is the BMC Operational Tool Kit in English, which the NBA/PMU prepared and published in 2013. Available on the project website.</p> <p>Translation into state languages:</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: translation published by January 2015; <i>not available on project website</i></li> <li>▪ Gujarat: translation printed in 2013; <i>not</i></li> </ul>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
				<p><i>available on project website</i></p> <ul style="list-style-type: none"> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: translation, December 2014; vetting, January 2015; printing, February 2015; <i>not available on project website</i></li> <li>▪ West Bengal: reported in press as of 9 December 2015</li> <li>▪ Goa: 2013, two languages, available on the project website</li> </ul>	
	A team with required skills and knowledgebase would be available for developing the ABS agreements with local communities involving biodiversity management committees	A team with required skills and knowledge base would be available for developing the ABS agreements with local communities involving biodiversity management committees		It is assumed that this refers to a team that includes skilled members at national, state and local levels. Several activities and outputs contribute to this target.	
<b>Component 1</b>					
Identification of biodiversity with potential for ABS and their valuation in select ecosystems such as forests, agriculture and wetlands					
<p><b>Outcome</b></p> <p>Enhanced understanding of economic values of biological diversity for improved policy making and for implementation of sustainable use and conservation of biological diversity through ABS provisions under the Act.</p>	To carry out valuation exercises in collaboration with SBBs in 5 project implementing states			<p>The 2012 target was in fact an activity which had been completed or was nearing completion in the five original participating states by January 2015:</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: completed by January 2015</li> <li>▪ Gujarat: completed by January 2015</li> <li>▪ Himachal Pradesh: completed by January</li> </ul>	

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					2015 <ul style="list-style-type: none"> <li>▪ Sikkim: August-December 2014</li> <li>▪ West Bengal: nearing completion as of January 2015</li> </ul>
			To assist NBA technical team in processing the ABS applications and help in equitable sharing of benefits		There is no Activity or Output related to this target.
			Field survey will be conducted by selecting industries using the bioresources in the project implementing states. Value chain analysis will be carried out with the companies using the bioresources to understand the value addition of bio-resources at different stages		It is not clear whether this 2013-2014 target is related to the 2012 target “to carry out valuation exercises in collaboration with SBBs in 5 project implementing states”.  It is possible that this target was actually a sub-activity of Activity 1.1. The 2014 PIR reported a May 2014 field visit to West Bengal to test economic valuation methodology using the value chain analysis method.
<b>Key Deliverable</b> Standard economic valuation methods developed for forests,	<b>Output</b> Standard economic valuation methods developed for forests,		To develop draft economic valuation methods for the selected ecosystems		

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
agriculture and wetland ecosystems	agriculture and wetland ecosystems in 5 project states				
<b>Activity 1.1:</b> Develop standardized economic valuation methods for valuing biodiversity in forest, agriculture and wetland ecosystems with potential for ABS				60	<i>Economic Valuation of Bio-Resources for Access and Benefit Sharing</i> published and launched on 24.10.13. Available on project website: <a href="http://nbaindia.org/unep-gef/pub1/brief.pdf">http://nbaindia.org/unep-gef/pub1/brief.pdf</a> .
<b>Activity 1.2:</b> Organize three national workshops and five state level workshops on understanding the valuation methodology and using the same in decision making		Proposed for a 'National workshop on Economic Valuation' and to sensitize the State Biodiversity Board officials about the significance of valuation on ABS perspectives.	To organise state and national level capacity building workshops for the benefit of the stakeholders	80	It is not clear whether this activity is the same as, or overlaps with, Activity 5.2. The percentage of achievement is the same for Activity 1.2 and Activity 5.2.  National workshops: 13.07.13, 09-10.12.13 State workshops: ▪ Andhra Pradesh: 22-23.08.13 and 3other state workshops held as of January 2015 ▪ Gujarat 24-25.09.13 ▪ Himachal Pradesh 10-11.09.13 ▪ Sikkim 23-24.04.14 ▪ West Bengal 06.08.13, 26-27.11.13
<b>Activity 1.3:</b> Develop methodology and guidance on using the economic valuation in deciding on ABS permits		Developing factsheets and manuscripts on ecosystem valuation (tools/ methodologies) for three ecosystems	Methodology for economic valuation will be developed  To develop awareness materials linking economic valuation and ABS	75	As of the 2014 PIR, the project had produced: ▪ A CD containing information on economic valuation methodologies and approaches ▪ A pull-up poster on "Economic Valuation of Biodiversity", available in English on the project website ▪ In 2013 the project produced three papers, all available in English on the project website: ▪ "Biodiversity Economics from Access

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					<p>and Benefit Sharing Perspective”</p> <ul style="list-style-type: none"> <li>▪ “Valuation of Bio-resources for Operationalizing Access and Benefit Sharing Mechanism: Search for Methodology:</li> <li>▪ “Bio-resources Valuation through Selected Literature: A Review”</li> </ul> <p>The 2012 and 2013 PIRs reported that the project had produced fact sheets on economic valuation, which are not available on the project website.</p>
<p><b>Activity 1.4:</b> Develop a database covering the economic valuation information in finalizing ABS agreements</p>		<p>Preparation of an “inventory of commercially utilizable bio-resources” for the project states with the support of State Biodiversity Board. This comprehensive database consists information such as (a)Various bio-resources collecting by different organization/individuals for commercial purposes, volume of extraction, current market price of</p>	<p>To develop database on economically potential bio-resources.</p>	<p>50</p>	<p>The project document indicated the database as a key deliverable for Component 1. The 2012-2014 PIRs list the database as an Output of Component 2, rather than Component 1, but there is no activity in Component 2 that would lead to developing a database. See Output 2.2, below.</p> <p>The 2013-2014 target is listed in the PIRs as a mid-term target for Component 6.</p> <p>It is not clear if the project is supposed to develop a national database, or only state-level databases.</p> <p>Status of state databases:</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 11 tradable bio-resources identified; economic valuation and TK documentation to be completed by April 2015</li> </ul>



Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
		different products/raw materials, traders, companies/ industries using within the state and outside, export details of bio-products, etc.			for all 13 districts ▪ Gujarat: survey completed by January 2015 ▪ Himachal Pradesh: draft prepared as of January 2015 ▪ Sikkim: 9 tradable bio-resources identified August 2014; draft economic valuation and traditional knowledge assessment prepared December 2014; documentation of tradable bio-resources to continue February-April 2015 ▪ West Bengal: draft almost complete as of January 2015
<b>Key deliverable</b> Valuation methods applied in decision making	<b>Output</b> Use of standard economic valuation methods to inform development of ABS agreements that capture appropriate benefit sharing principles				This is an indicator, rather than a key deliverable or output.
<b>Component 2</b> Development of tools, methodologies, guidelines, frameworks for implementing ABS provisions of the BD Act					
<b>Outcome</b> Decision-making on ABS issues at national, state and local levels based on use of appropriate tools, methodologies, frameworks and guidelines strengthened		To carryout survey on the good practices carried out in other countries			The 2012 target is in fact an activity. The 2012, 2013 and 2014 PIRs do not report that the project has carried out such an activity.
			To develop easily understandable tool kit on ABS		It is not clear whether this target is related to Output 2.1.
			Preparation of IPR tool kit		It is not clear whether this target is related to Activity 2.3.

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					UNU-IAS proposed an activity related to IPR, but that proposal was not accepted.
			To develop online ABS application process to facilitate quicker processing of application within the time period		There is no Output or Activity related to this target. The 2013 PIR referred to a facilitation desk and guidelines for applications.  The 2 <sup>nd</sup> PCS meeting report (December 2013) reported that the PMU had developed an off-line ABS application process for the NBA and the 2014 PIR reported that it was being tested.  The project website states that “A free-flow of application processing system is in place at NBA for processing the ABS related applications.”
			Prepare ABS legal manual		The 2013 and 2014 PIRs list this as a mid-term target for Component 2, but report on it as Activity 3.1 under Component 3.
<b>Key Deliverable</b> Tools, methods, guidelines and frameworks developed for implementation of ABS provisions of the BD Act	<b>Output</b> Guidelines on PIC, MAT and Material Transfer Agreement (MTA) and benefit sharing agreements for implementing the ABS provisions, reviewed and frameworks based on the revision are developed in 5 project states.		To develop framework on check points to aid an effective implementation		

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
Activity 2.1: Undertake gap analysis in the existing PIC, MAT, MTA and BS agreements			70	The only project activity reported in the PIRs 2012-2014 that appears to be related to this activity is a panel discussion on gap analysis on policy issues and awareness for implementation of ABS provisions within the BD Act held in Kolkata, West Bengal, on 29 July 2013. See Activity 4.1.	
Activity 2.2: Develop guidelines on PIC, MAT, MTAs and benefit sharing mechanisms at national, state and local levels			85	Output 2.1 is for state-level guidelines only. Activity 2.2 focuses on guidelines at national, state and local levels.  State guidelines: <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: Methodology for processing &amp; clearing ABS applications and signing ABS agreements (PIC, MAT &amp; MTA) developed as of January 2015</li> <li>▪ Gujarat: to be done during the project extension</li> <li>▪ Himachal Pradesh: state-specific guidelines prepared as of January 2015</li> <li>▪ Sikkim: <i>not reported</i></li> <li>▪ West Bengal: <i>not reported</i></li> </ul>	
Activity 2.3: Develop and deliver training on negotiation skills, benefit sharing agreements, IPR protection and TK documentation			40	Activity 5.1 is training on negotiation skills. It is not clear whether there is an overlap between Activity 2.3 and Activity 5.1.  The 2012-2014 PIRs report only one related activity or event: <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: <i>not reported</i></li> <li>▪ Gujarat: <i>not reported</i></li> </ul>	

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					<ul style="list-style-type: none"> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: <i>not reported</i></li> <li>▪ West Bengal: training on IPR and TK, May 2013</li> </ul>
	<b>Output</b> Database on economic potential of bio-resources established.				<p>The project document identified the database as a Key Deliverable of Component 1.</p> <p>The FY 2013 PIR lists this as a mid-term target for Component 6, but lists the database as an Output of Component 2.</p> <p>There is no activity in Component 2 that would develop a database. It appears that this should be the output for Component 1, Activity 1.4.</p>
<b>Key Deliverable</b> Regulatory framework on benefit sharing to implement the Act developed					<p>The PIRs do not identify this as a project output, only as an activity.</p>
Activity 2.4: Develop regulatory framework on benefit sharing to implement the Act				40	<p>The 2014 PIR reported that the PMU supported the NBA Secretariat in developing “ABS guidelines”, that the NBA approved the guidelines in January 2014, and that there was another version of the guidelines in April 2014. The Notification on Access and Benefit Sharing Guidelines was published in the Gazette of India on 21 November 2014.</p> <p>The only other indication of an activity related to the regulatory framework for benefit sharing was that the project commented on draft</p>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					guidelines for the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and prepared the file for the NBA approval process.
Activity 2.5: Establish technical support team to help implement the provisions of the Act related to ABS				60	<ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 13 TSGs constituted by January 2015 to prepare PBRs in 25 BMCs</li> <li>▪ Gujarat: 4 TSGs created to establish 18 BMCs and prepare 22 PBRs</li> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: scheduled for February 2015</li> <li>▪ West Bengal: 11 TSGs constituted as of January 2015</li> </ul>
<b>Key Deliverable</b> PBRs developed	<b>Output</b> Peoples' Biodiversity Registers (PBRs) prepared in the 10 BMCs in 5 project states.				
Activity 2.6: Develop PBRs in at least 10 BMCs			Development of five model PBR is planned and being implemented in all project states	50	<p>The 2013 and 2014 PIRs list this as a mid-term target for Component 5, but PBRs are an Output of Component 2.</p> <p>The project document indicated that the project would prepare a total of 10 PBRs, two in each of the five original participating states. The project target for PBRs was changed to 26 for each of the five participating states: 1 model PBR and 25 PBRs. Neither the PIRs nor the PSC reports indicate when the project changed the target number of PBRs. The project assigned a target of 10 PBRs to each of the additional participating</p>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
				<p>states.</p> <p>NBA/PMU developed guidelines for preparing PBRs, in English Translation into state languages:</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: <i>not reported</i></li> <li>▪ Gujarat: translated as of January 2015</li> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: <i>not reported</i></li> <li>▪ West Bengal: modified prior guideline already in use pre-project</li> </ul> <p>Status of preparing PBRs:</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 1 model PBR and 8 additional PBRs completed, 25 additional PBRs being prepared as of January 2015</li> <li>▪ Gujarat: 1 model PBR finalized between July 2014 and January 2015; a total of 23 draft PBRs prepared as of January 2015; additional 25 PBRs to be prepared January-June 2015</li> <li>▪ Himachal Pradesh: 1 model PBR and 3 draft PBRs prepared as of January 2015;additional 25 PBRs to be prepared January-June 2015</li> <li>▪ Sikkim: 1 model PBR, December 2014; vetting model PBR, January 2015; prepare 24 PBRs March-May 2015</li> <li>▪ West Bengal: 1model PBR and 25 PBRs being prepared as of January 2015</li> </ul>	
<b>Component 3</b> Piloting agreements on ABS					

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
<b>Outcome</b> Better and informed access to biodiversity resources under the provisions of the Act improved/enhanced with equitable benefit sharing provisions		Model Piloting agreements would be made available for the practice in various ecosystems	Model Piloting agreements would be made available for the selected ecosystems from different regions		
			Team with skills & knowledge to develop ABS agreement with BMCs		The FY 2013 PIR lists this as a mid-term target for Component 1, but ABS agreements are project Component 3.
Activity 3.1: Develop guidance manual on BD Act and the Rules relevant to ABS in English and respective regional language			Prepare ABS legal manual	80	<p>The 2013 and 2014 PIRs list this as a mid-term target for Component 2, but report on it as Activity 3.1 under Component 3. Neither the project document nor the PIRs identify this as a key deliverable or output.</p> <p>The NBA published a Guidance Manual titled “ABS Mechanism under the Biological Diversity Act, 2002, India”. The publication has no date. The 2013 PIR reported that it was 70% complete and the 2014 PIR reported it as a publication, which means that it was published between 1 July 2013 and 30 June 2014. It is available in English on the project website.</p> <p>Translation into state languages:  <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: translation published by January 2015; <i>not available on the project website</i></li> </ul> </p>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
				<ul style="list-style-type: none"> <li>▪ Gujarat: <i>not reported</i></li> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: translation, December 2014; printing scheduled for February 2015; <i>not available on the project website</i></li> <li>▪ West Bengal: <i>not reported</i></li> <li>▪ Goa: two languages, available on the project website</li> </ul>	
Activity 3.2: Develop sector-specific guidelines on ABS issues			30	The 2012-2014 PIRs report no identifiably related activity.	
<b>Key Deliverable/Output</b> 25 Agreements on ABS prepared and implemented.		Model pilot agreements available			
Activity 3.4: Negotiate and finalize at least 25 ABS agreements			30	<ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 3 signed as of January 2015 (source: AP SBB); 2 signed as of January 2015 (source: PMU)</li> <li>▪ Gujarat: 37 applications received, 0 signed as of January 2015; 56 signed as of July 2015 (source: GSBB)</li> <li>▪ Himachal Pradesh: 0 signed as of January 2015</li> <li>▪ Sikkim: 0 signed as of January 2015</li> <li>▪ West Bengal: 0 signed as of January 2015 (source: WBSBB); 1 signed as of January 2015 (source: PMU)</li> </ul>	
<b>Key Deliverable/Output</b> Best practice guidelines on equitable benefit sharing prepared and used				There is no activity that would produce this Output.	
Activity 3.3: Develop implementation options for benefit sharing at different levels			50	The 2014 PIR reported that the PMU team and the NBA legal team had had several rounds of	



Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					discussions on strengthening benefit sharing mechanisms in the five original participating states.
<b>Key Deliverable/Output</b> At least 5 Biodiversity funds established and another 5 strengthened at local, state and national level					
Activity 3.5: Establish at least 5 biodiversity funds along with options for using the funds			50	<ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 25 local biodiversity funds (LBF) established by January 2015</li> <li>▪ Gujarat: 25 LBFs established as of January 2015; 25 additional LBFs to be created January-June 2015 (source: GSBB); 33 LPFs as of January 2015 (source: PMU)</li> <li>▪ Himachal Pradesh: 19 established as of January 2015</li> <li>▪ Sikkim: 0 established as of January 2015; scheduled for February 2015</li> <li>▪ West Bengal: 40 created as of January 2015 (source: WBSBB); 37 LBFs as of January 2015 (source: PMU)</li> </ul> <p>NBA/PMU prepared a guide to Local Biodiversity Fund Operation and Maintenance, in English, and published it in 2014.</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: translated by January 2015</li> <li>▪ Gujarat: <i>not reported</i></li> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: <i>not reported</i></li> <li>▪ West Bengal: <i>not reported</i></li> <li>▪ Goa: translated in 2 languages as of 2014; available on project website</li> </ul>	

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
<b>Component 4</b> Implementation of policy and regulatory framework(s) relating to ABS provisions at local, state and national level and thereby contribute to international ABS regime					
<b>Outcomes</b> <ul style="list-style-type: none"> <li>▪ Enhanced implementation of ABS provisions of the Biological Diversity Act at local, state and national levels;</li> <li>▪ Better understanding of national implementation provisions of ABS mechanisms at international level and vice versa</li> </ul>		Better understanding of the legal provisions of BD Act which would help them understand and implement the BD Act	Better understanding of the legal provisions of BD Act by various ministries, departments and research organisations, regulating authorities etc. using the bioresources. This would help them understand and implement the ABS provisions of the BD Act.		
			Mainstream biodiversity in various programmes and plans of the ministries and departments		
Activity 4.1: Undertake gap analyses of policy and regulatory issues and awareness for implementation of ABS provisions within the BD Act				50	The 2014 PIR reported one related activity, a panel discussion on gap analysis on policy issues and awareness for implementation of ABS provisions within the BD Act, held in Kolkata, West Bengal, on 29 July 2013. See Activity 2.1.

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					The Sikkim SBB reported a consultation with legislators in November 2014 and that it would create a legal advisory group by March 2015.
<b>Key Deliverable/Output</b> Links established/enhanced to ongoing policy and regulatory frameworks on conservation sustainable use and ABS issues at inter-ministerial and inter-sectoral levels through creation of expert and working groups					
Activity 4.2: Facilitate at least 2 dialogues at interministerial level on effective realization of ABS provisions within the BD Act				60	The 2014 PIR reported a Traditional Knowledge (TK) and ABS National Dialogue, held in Hyderabad, 29-30 November 2013. There was no indication whether the dialogue was inter-ministerial. That was the only identifiably relevant activity reported during 2012-2014.
Activity 4.3: Establish an intersectoral task force to provide guidance on sectoral contributions and implications on ABS issues				35	The 2012-2014 PIRs did not report any identifiably relevant activity.
<b>Key Deliverable/Output</b> Enhanced sharing of experiences and information on implementation options for India at regional and international fora, including regional preparatory processes					
Activity 4.4: Develop a process documentation manual on ABS systems for use by countries in the region and globally		To develop the implementation process of the ABS mechanism		50	The 2012-2014 PIRs reported two apparently related activities: <ul style="list-style-type: none"> <li>▪ Fact sheets on process documentation; <i>these are not available on the project website</i></li> <li>▪ Process documentation across project components at the state level in selected</li> </ul>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					BMCs in Andhra Pradesh in June 2014.
	Activity 4.5: Share experiences and information with other countries at regional and international fora			60	<p>The project document did not include an activity on sharing experience regionally and internationally. This activity was included in the 2012 PIR, which means it was added shortly after the project began.</p> <p>The project's activity plans for January-June 2014, July 2014-June 2015, and July 2015-June 2016 do not include Activity 4.5.</p> <p>The 2012-2014 PIRs report the following:</p> <ul style="list-style-type: none"> <li>▪ ICNP-2, 2-6.07.12, New Delhi, India</li> <li>▪ SAARC Capacity building workshop on ABS and TK and National legislation, Mamallapuram, India, 29-31.08.12</li> <li>▪ ASEAN-India Capacity Building Workshop on Nagoya Protocol on Access and Benefit Sharing and Traditional Knowledge, New Delhi, 4-5.09.12. Report: <a href="http://nbaindia.org/uploaded/pdf/ASEAN_Minutes_17.09.2012.pdf">http://nbaindia.org/uploaded/pdf/ASEAN_Minutes_17.09.2012.pdf</a></li> <li>▪ CBD CoP-11 side event, 9.10.12, Hyderabad, India; project staff participated in other CoP-11 events</li> <li>▪ Capacity building workshop for African nationals on Nagoya Protocol on ABS, TK and Supplementary Protocol on Liability and Redress of Biosafety, Bengaluru, India, 11-13.02.13</li> </ul>
<b>Component 5</b>					

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
Capacity building for strengthening implementation of ABS provisions of the Biological Diversity Act					
<b>Outcomes</b> <ul style="list-style-type: none"> <li>▪ Improved understanding of NBA, SBBs and Biodiversity Management Committees (BMCs) of the ABS provisions under the Biological Diversity Act</li> <li>▪ Strengthened capacity of local, state and national levels (e.g. NBA, SBBs and BMCs) to implement effectively ABS provisions under the Biological</li> </ul>		Series of publications and capacity building programmes would be organised for the project team and subsequently to the various stakeholders	Series of capacity building programmes were held for the benefit of the State Project Unit and the Biodiversity Management Committees		
			A village botanist course for the village youth is held in three states and rest being implemented		<p>Neither the project document nor the PIRs included this as an activity, but the PIRs include it as a target.</p> <p>The report of the second PSC meeting indicates that courses to train village botanists initiated the processes of preparing PBRs by engaging local youth in each participating state to work with technical support groups to prepare PBRs.</p> <p>The Foundation for Revitalization of Local Health Traditions (FRLHT), which is based in Bangalore, developed and delivered the training course, with scientific and technical assistance from the Botanical Survey of India and the Zoological Survey of India.</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 25 trained by January 2015</li> <li>▪ Gujarat: February and April 2014. Training manual for Gujarat in English and Gujarati</li> </ul>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					<p>available on the project website.</p> <ul style="list-style-type: none"> <li>▪ Himachal Pradesh: 26-28.11.14. Training manual for HP in Hindi available on the project website.</li> <li>▪ Sikkim: June, July, August, September 2014. Training manual for Sikkim in English and Nepali available on the project website.</li> <li>▪ West Bengal: 23-20-09.13, 16-20.11.13, February 2014. Training manual for WB in English and Bengali available on the project website.</li> </ul>
<b>Key Deliverable/Output</b> Enhanced negotiation skills on ABS issues					
Activity 5.1: Organize five trainings on negotiation skills				30	<p>The PIR 2014 reported that there was a preliminary draft negotiation manual.</p> <p>Activity 2.3 is training on several different skills, including negotiation skills. It is not clear whether there is an overlap between Activity 2.3 and Activity 5.1.</p>
<b>Key Deliverable/Output</b> Innovative financing mechanism for the implementation of Act through training programmes on issues such as dealing with ABS applications, legal and policy issues, information management and IPR issues, imparted at national and state levels in at least 5 states					<p>ABS is considered to be an innovative financing mechanism for implementing the Biodiversity Act.</p> <ul style="list-style-type: none"> <li>▪ Andhra Pradesh: 120 by January 2015</li> <li>▪ Gujarat: 20 capacity-building workshops by January 2015</li> <li>▪ Himachal Pradesh: 32 capacity building/public awareness events as of January 2015</li> <li>▪ Sikkim: <i>not reported</i></li> </ul>

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
					<ul style="list-style-type: none"> <li>▪ West Bengal: 28 at district level; 6 at state level</li> </ul>
Activity 5.2: Organize two national level trainings on linking the potential value of economics with ABS agreements				80	It is not clear whether this activity is the same as, or overlaps with, Activity 1.2. The percentage of achievement is the same for Activity 5.2 and Activity 1.2.
Activity 5.3: Organize at least one training program for BMCs on ABS issues	Activity 5.3: Organize at least 2 training programmes on ABS issues for BMCs		Series of capacity building programmes were held for the benefit of the State Project Unit and the Biodiversity Management Committees	80	<p>The project document called for at least 1 training program for BMCs on ABS issues. The FY 2013 PIR describes this activity as 2 training programs.</p> <ul style="list-style-type: none"> <li>▪ PMU: Consultative meeting on strengthening BMCs, July 2013</li> <li>▪ Andhra Pradesh: December 2012, September 2013</li> <li>▪ Gujarat: 29 May 2014</li> <li>▪ Himachal Pradesh: 24.08.13, 26-28.11.14</li> <li>▪ Sikkim: December 2012, December 2014; planned for April 2015</li> <li>▪ West Bengal: 9 programmes for 29 BMCs in 13 districts prior to July 2014</li> </ul>
Activity 5.6: Five workshops on ABS provisions for private sector, media, IPR professionals and staff of NBA, SBBs and BMCs				50	<ul style="list-style-type: none"> <li>▪ Andhra Pradesh: December 2012, June 2013</li> <li>▪ Gujarat: March 2013</li> <li>▪ Himachal Pradesh: April 2013</li> <li>▪ Sikkim: December 2012</li> <li>▪ West Bengal: January 2013, May 2013</li> </ul>
<b>Key Deliverable/Output</b> Orientation program on ABS for forest, customs and excise and other enforcement officials conducted					
Activity 5.4: Organize one orientation workshop for	Activity 5.4: Organise two orientation workshops for			70	There is no indication whether this orientation is supposed to be at national level or state level.

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
Min. of Commerce, Min of Agri., Min. of Trade and Ind., Min. of Sci. & Tech., Patent Office, Customs officials, PVPFRA, Min. of Tribal Affairs	the Ministry of Commerce, Ministry of Agriculture, Ministry of Trade and Industries, Ministry of Science and Technology, Patent office, Custom officials, PPV&FRA, Ministry of Tribal Affairs				The PIRs 2012-2014 did not report any identifiably relevant activity at national level.  ▪ Andhra Pradesh: <i>not reported</i> ▪ Gujarat: March-June 2014 ▪ Himachal Pradesh: <i>not reported</i> ▪ Sikkim: training for foresters, January 2015; orientation for state ministries, May 2015 ▪ West Bengal: dialogue with industries and Chambers of Commerce, March 2014
	<b>Output 5.4:</b> Curriculum on ABS issues				The project document included a curriculum on ABS issues as an activity, but not as a key deliverable.
Activity 5.5: Develop online curriculum on ABS issues				30	Agreement with UNU-IAS pending as of 15.09.15. PSC approved on 13.06.14; PMU requested, and UNU-IAS submitted, a revised costed proposal in February 2015 and again in April 2015.
<b>Component 6</b> Increasing public awareness and education programs					
<b>Outcomes</b> ▪ The NBA, SBBs and BMCs mandated under the Biological Diversity Act strengthened through awareness programs on issues related to ABS; ▪ Public participation including from private sector, academic community, students, civil society organizations, women's groups and others are ensured to facilitate better and effective implementation of the benefit sharing provisions of the Act.		A fairly well informed stakeholder group is available to address the ABS related issues and also push for the ABS agreements in the selected ecosystems			
<b>Key Deliverable</b>	<b>Output</b>				There is no activity related to this Key



Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
Public and private sector partnerships established on ABS of the Biodiversity Act	State level platforms on private sector partnership established in at least 3 states to enhance ABS components of the BD Act				Deliverable/Output.  The PIRs 2012-2014 did not report any identifiably relevant activity.
<b>Key Deliverable</b> Public awareness and participation in ABS	<b>Output</b> Public awareness and participation programmes developed in at least 5 states with focus on ABS		Sensitization and awareness workshop at BMC level		There is no activity related to this Key Deliverable/Output. Activities 6.1 and 6.2 call for developing materials, but not for conducting programmes.  <ul style="list-style-type: none"> <li>▪ National consultation on communicating for ABS, Gujarat, 19-20.09.13</li> <li>▪ Andhra Pradesh:120 capacity building programmes and 120 awareness programmes by January 2015</li> <li>▪ Gujarat: 1-day awareness camp for BMCs, 20 capacity building workshops as of January 2015</li> <li>▪ Himachal Pradesh: 32 workshops, training programmes and interactive meetings organized as of January 2015</li> <li>▪ Sikkim: awareness programme for 12 BMCs planned for February-March 2015</li> <li>▪ West Bengal: 1 live radio programme aired; audio visual programme being developed for broadcast as of January 2015; a total of approximately 100 programmes delivered</li> </ul>
	<b>Output</b> Local language awareness material including films, best practices and support		To bring out more awareness related materials		The project document did not include local language materials as a Key Deliverable.

Objective/ Components/ Outcomes/ Key Deliverables/ Activities <i>according to project document</i>	Objective/ Components/ Outcomes/ Outputs/ Activities <i>according to PIRs</i>	Mid-term targets 2012PIR	Mid-term targets 2013 & 2014PIRs	Achievement (%) as of 30.06.14 2014 PIR <i>(activities only)</i>	Mid-term status
	programmes through the biodiversity fund developed and used in at least 5 states in order to facilitate better ABS implementation				
Activity 6.1: Develop local language material comprising tools, methods, guidelines and frameworks developed under this project				70	<ul style="list-style-type: none"> <li>▪ PMU: project brochure; 6 fact sheets; brochure on ABS mechanism; 7 pullups/standees on ABS procedures; ABS terminology booklet; Story of ABS; project web pages on NBA website; CD resource kit on economic valuation – in English</li> <li>▪ Andhra Pradesh: fact sheets; project brochure; ABS terminology booklet in Telugu – the translations of the fact sheets and brochure are available on the project web page</li> <li>▪ Gujarat: fact sheets; brochure on ABS mechanism, 7 pullups/standees on ABS procedures; ABS terminology booklet in Gujarati – all available on project website</li> <li>▪ Himachal Pradesh: <i>not reported</i></li> <li>▪ Sikkim: fact sheets in Nepali, <i>not available on project website</i></li> <li>▪ West Bengal: Fact sheets in Bengali, available on project website; PPTs on economic valuation in Bengali, <i>not available on project website</i></li> </ul>
Activity 6.2: Develop communication outreach material in respective local languages				70	See Activity 6.1. It appears that Activities 6.1 and 6.2 are functionally identical.
Activity 6.3: Organize exchange visits of selected BMCs and SBBs to improve the exchange of information and				70	Sikkim planned exchange visits for BMC members to two other SBBs during May-June

<b>Objective/ Components/ Outcomes/ Key Deliverables/ Activities</b> <i>according to project document</i>	<b>Objective/ Components/ Outcomes/ Outputs/ Activities</b> <i>according to PIRs</i>	<b>Mid-term targets 2012PIR</b>	<b>Mid-term targets 2013 &amp; 2014PIRs</b>	<b>Achievement (%) as of 30.06.14 2014 PIR</b> <i>(activities only)</i>	<b>Mid-term status</b>
sharing of experience				2015.  The PIRs 2012-2014 did not report any identifiably relevant activity, but the 2014 PIR reports that this activity is 70% complete.	

## Annex 9 Documents Reviewed or Consulted

### Evaluation ToR

- UNEP. 2013. *Terms of Reference*. ABS – Portfolio Evaluation: Final Evaluation of five UNEP/GEF projects on “Access and Benefit Sharing”

### Project Document and Reports

- Project Document. 2011. Strengthening the implementation of the Biological Diversity Act and Rules with focus on its Access and Benefit Sharing Provisions
- UNEP GEF PIRFY12 ABS India Final
- UNEP GEF PIR FY 2013
- UNEP GEF PIR Fiscal Year 14
- Project Revision Document 2014
- Half Yearly Progress Report July-December 2012
- Budget April 2011-December 2016
- Budget Re-allocations April 2011-December 2016
- Cash Advance Requests 2014 (2)
- Consolidated Financial Report January-December 2013
- Consolidated Financial Report January-September 2014
- FY11-12 Financial Report with budget balances
- FY12-13 Financial Report with budget balances
- FY13-14 Financial Report with budget balances
- Consolidated Cash Contribution Expenditure Statement of UNEP-GEF and Executing Agency July-December 2011
- Consolidated Cash Contribution Expenditure Statement of UNEP-GEF and Executing Agency January-December 2012
- Consolidated Cash Contribution Expenditure Statement of UNEP-GEF and Executing Agency January-December 2013
- Consolidated Cash Contribution Expenditure Statement of UNEP-GEF and Executing Agency January-September 2014
- Quarterly Expenditure Statements (5)
- Audit Certificate 31.10.14
- Audit Certificate transmittal letter 05.11.14
- Audit Certificate Reconciliation 18.11.14
- Inventory of Non-expendable Equipment Purchased, March 2011-June 2014
- Project Steering Committee Meeting Reports (4)
- Workshop Report: ASEAN-India Capacity Building Workshop on Access and Benefit Sharing and Traditional Knowledge, 04-05 September 2012
- Traditional Knowledge and Access and Benefit Sharing: A National Dialogue, 29-30 November, 2013
- National Consultation on Communicating for Access Benefit Sharing (ABS), 19-20 November 2013

### Project Publications

- Project Factsheet
- Project Brochure
- Pull-up Posters (7)
- ABS Terminology
- Guidance Manual
- BMC Toolkit
- Valuation for ABS

- Valuation Methodology
- Valuation Literature
- Economic Valuation of Bio-Resources for Access and Benefit Sharing
- Story of Biodiversity
- Local Biodiversity Fund Operation and Maintenance
- E-Newsletter

**GEF and UNEP Manuals and other Documents**

- Global Environment Facility (GEF). 2012. GEF Investments in Support of Access and Benefit Sharing (ABS). Washington, D.C.: GEF
- GEF Evaluation Office. 2009. *The ROTI Handbook: Towards Enhancing the Impacts of Environmental Projects*. Methodological Paper #2. Washington, D.C.: GEF
- GEF. 2008. *Guidelines for GEF Agencies in Conducting Terminal Evaluations*. Evaluation Document No. 3. Washington, D.C.: GEF
- UNEP. *Programme Performance Report 2012-2013*. UNEP/EA.1/INF/6
- UNEP. 2009. *Evaluation Policy*. September. Nairobi: UNEP
- UNEP. 2008. *Evaluation Manual*. March. Nairobi: UNEP
- UNEP. 2007. *Medium-term Strategy 2010–2013*. UNEP/GCSS.X/8
- UNEP Governing Council. 2005. *Bali Strategic Plan for Technology Support and Capacity-building*. UNEP/GC.23/6/Add.1

## Annex 10. UNEP Evaluation Quality Assessment

Evaluation Title:

Mid-Term Evaluation of the project “Strengthening the Implementation of the Biological Diversity Act and Rules with Focus on its Access and Benefit Sharing Provisions (India ABS Project)”

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP EO Comments	Draft Report Rating	Final Report Rating
<b>Substantive report quality criteria</b>			
A. <b>Quality of the Executive Summary:</b> does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: yes, good executive summary Final report: 99% identical	5	5
B. <b>Project context and project description:</b> Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Very well done Final report: Unchanged	6	6
C. <b>Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: Good assessment – need to integrate alignment with UNEP policies and programmes here Final report: Done	5	5
D. <b>Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Excellent section, thorough and well written Final report: Unchanged	6	6

<p>E. <b>Presentation of Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?</p>	<p>Draft report: Mostly OK. Newly introduced “direct outcomes” not needed, as formal project outcomes are OK for this results level. Some drivers seem rather assumptions (project has no control). Final report: Fixed</p>	4	5
<p>F. <b>Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?</p>	<p>Draft report: Based on newly invented direct outcomes: too superficial Final report: Based on original project outcomes – better detailed assessment</p>	3	5
<p>G. <b>Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?</p>	<p>Draft report: Strong section Final report: Unchanged</p>	6	6
<p>H. <b>Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?</p>	<p>Draft report: Doesn’t address timeliness which was an important issue in the project Final report: Short paragraph added on delays – reasons for delays are explained elsewhere in the report.</p>	4	5
<p>I. <b>Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&amp;E system and its use for project management?</p>	<p>Draft report: Good assessments Final report: Largely unchanged, some numbers fixed following stakeholder comments</p>	5	5
<p>J. <b>Quality of the conclusions.</b> Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?</p>	<p>Draft report: Short and sweet – ratings table provides good justifications for ratings except for effectiveness (see point F above) Final report: Unchanged – EO adjusted the effectiveness summary</p>	5	5
<p>K. <b>Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations (‘who?’ ‘what?’ ‘where?’ ‘when?’). Can they be implemented?</p>	<p>Draft report: Good recommendations but need better targeting Final report: All recommendations seem to be addressed to government and UNEP at the same time</p>	4	4

L. <b>Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Two pertinent lessons Final report: Unchanged	5	5
<b>Report structure quality criteria</b>			
M. <b>Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Yes Final report: Yes	5	5
N. <b>Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: Yes, but survey design should be explained. Final report: Done in annex 7	4	5
O. <b>Quality of writing:</b> Was the report well written? (clear English language and grammar)	Draft report: Very good Final report: Very good	6	6
P. <b>Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: OK Final report: Same	5	5
<b>OVERALL REPORT QUALITY RATING</b>		4.9	5.2

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP EO Comments		Rating
<b>Evaluation process quality criteria</b>			
Q. <b>Preparation:</b> Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Budget was approved. Inception report was prepared on time.		6
R. <b>Timeliness:</b> Was a TE initiated within the period of six months before or after project completion? Was a MTE initiated within a six month period prior to the project's mid-point? Were all deadlines	MTE was initiated on time but took longer than necessary. The zero draft report was delivered quite late.		4



set in the ToR respected?			
S. <b>Project's support:</b> Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Responsiveness of global and national executing partners was overall acceptable.		5
T. <b>Recommendations:</b> Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Yes		6
U. <b>Quality assurance:</b> Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	The report was NOT peer reviewed. A quality assessment of the draft and final report was completed.		3
V. <b>Transparency:</b> Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Draft TORs were not shared with evaluation stakeholders. The draft evaluation report was sent directly to EO. Comments were only received from the UNEP Task Manager and several comments were received from India, but NOT from the project team (!) nor from the Task Manager who is new to the project. Comments were all corrections of factual errors.		5
W. <b>Participatory approach:</b> Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Yes		5
X. <b>Independence:</b> Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes		6
<b>OVERALL PROCESS RATING</b>			5

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.