United Nations Environment Programme

Terminal Evaluation Report of the project *Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean* (ABS LAC)

Mario Escobedo

Evaluation Office

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Acronyms

ABS	Access and Benefit Sharing	Acceso y distribución de beneficios
ACTO	Amazon Cooperation Treaty Organization	Organización del Tratado de Cooperación Amazónica
CAN	Andean Community	Comunidad Andina
CCAD	Central American Commission for Environment and Development	Comisión Centroamericana de Ambiente y Desarrollo
CBD	Convention on Biological Diversity	Convención sobre Diversidad Biológica
GEF	Global Environment Facility	Fondo para el Medio Ambiente Mundial
IUCN	International Union for Conservation of Nature	Unión Internacional para la Conservación de la Naturaleza
MTR	The Mid-term Review	Evaluación de medio término
ROtI	Review of Outcomes to Impacts	Revisión de resultados hacia impactos
SCBD	Secretariat Convention Biological Diversity	Secretariado de la Convención de Diversidad Biológica
SEDEFA	Ecuatorian Society for Environmental and Forest Law	Sociedad Ecuatoriana de Derecho Ambiental y Forestal
SPDA	Peruvian Society of Environmental Law	Sociedad Peruana de Derecho Ambiental
TK	Traditional Knowledge	Conocimiento Tradicional
UNEP	United Nations Environmental Program	Programa de Naciones Unidas para el Medio Ambiente
URJC	University Rey Juan Carlos	Universidad Rey Juan Carlos
TOC	Theory of Change	Teoría del Cambio
WIPO	World Intellectual Property Organization	Organización Mundial de la Propiedad Intelectual

Project identification table

Project Title:	LAC ABS: Strengthening the implementation of ABS regimes in Latin America and the Caribbean		
Executing Agency:	IUCN South America Regional Office (IUCN-SUR)		
Project partners:	UNEP-ROLAC, SCBD, SPDA, WIPO, IUCN-ORMA		
Geographical Scope:	Latin America and the Caribbean		
Participating Countries:	Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, Guyana, Panama, Peru		
GEF project ID:	3855	IMIS number:	GFL-2328-2740-4C08
Focal Area(s):	Biodiversity	GEF OP #:	BD-SP8
GEF Strategic Priority/Objective:	Environmental Governance	GEF approval date*	22 March 2011
UNEP approval date:	13 June 2011	Date of first disbursement*:	27 June 2011
Actual start date:	4 July 2011	Planned duration:	36 months
Intended completion date*:	May 2014	Actual or Expected completion date:	June 2014
Project Type:	MSP	GEF Allocation:	USD 850,000
PPG GEF cost	USD 4,000	PPG co-financing*:	USD 4,000
Expected MSP/FSP Co-financing:	USD 952,166	Total Cost*:	USD 1,802,166
Mid-term review/eval. (planned date):	June 2013	Terminal Evaluation (actual date):	September 2016
Mid-term review/eval. (actual date):	N/A	No. of revisions:	No
Date of last Steering Committee meeting:	23 May 2015	Date of last Revision:	N/A

Executive Summary

1. The Project "Strengthening the Implementation of Access to Genetic Resources and Benefit-sharing Regimes in Latin America and the Caribbean" has been evaluated in accordance with UNEP Evaluation Policy and Programme Manual. The evaluation includes the implementation process in in the eight Latin America and Caribbean countries which supported national and regional processes that seek to resolve issues of Access and Benefit Sharing and traditional knowledge in the framework of the Convention on Biological Diversity.

2. The evaluation responds to the twin objective of UNEP evaluations; on one hand, seeking for evidence of results for accountability purposes and on the other hand, identifying lessons and providing feedback and knowledge on the project's performance.

3. The evaluation objective has a strong focus on assessing the project's causal pathways from outputs to impacts, however the project's monitoring and evaluation system was oriented to evaluate performance of project implementation, mostly based in a set of output indicators. A theory of change was therefore reconstructed in order to assess the impact pathways and the likelihood of the project in having impact.

4. The evaluation found that significant regional advances in the ABS process have been made. During the life of project three of the eight participating countries ratified the Nagoya Protocol. This is relevant in order to continue the readiness process to build an ABS/TK (Access and Benefit Sharing/Traditional Knowledge) regime in those countries. The project was negotiated and designed on the pre-Nagoya framework. However, the global and national circumstances regarding the ratification of the Nagoya Protocol motivated countries to get the support from the project to support their ratification processes and also the adoption of the Protocol by a national law, which a step prior to the ratification. The project had proper alignment and coordination with national and regional policy guidelines and it was inserted effectively in the context of national circumstances.

5. The project implemented all of its planned outputs, which were satisfactory adopted by country beneficiaries. More than fifty relevant outputs were delivered by the project, including publications, legal analysis, regional and national activities, technical documents and exchange activities. The most relevant outputs for the beneficiaries have been the analysis of the ABS/TK frameworks as well as training and exchange activities in person and virtually. In addition, the documents and materials produced make a substantive contribution to the ABS/TK process in general in the participating countries.

6. In terms of project impact, it can be concluded that there are good chances of success, considering that the outputs were highly adopted by the countries and enforced by government institutions, which are committed to continue the process and promote the engagement of stakeholders.

7. The outcomes of this project, mainly focused on stakeholder capacity building, strengthening of national ABS/TK processes, experience sharing and dialogue promotion, have good chances of replication, considering they are based on the national circumstances, and the advancement of ABS/TK in each of the countries and the fact that

they are aligned with global ABS framework. In addition, the project implementation approach which was aimed at catalysing action at a national level has a high probability of replication. However, the sustainability of outcomes and impacts is highly dependent on the strength of the ABS/TK process in the countries. The project contributed to strengthening these processes, and therefore, sustainability of project results is likely. Strengthening of political conditions and institutions in terms of ABS implementation in the participating countries increases the likelihood of sustainability. However, a key limitation to sustainability could be the lack of funding for key activities that are required in order for the project to have impact.

8. It should be noted that a satisfactory level of efficiency was achieved with the project approach based on establishing a catalyst role in the national processes of ABS/TK and working with strategically important partners. The quick comparison of project achievements in the eight participating countries, project approach of working with many partners and the level of financing confirm that the efficiency of the project was satisfactory.

9. However, some factors and processes related to project preparation and implementation negatively affected the project's performance. In the preparation phase, one limitation was that the project's monitoring and evaluation system only included indicators at the output-level but not at the outcome level. This lack of indicators enabling monitoring of progress beyond outputs lead to problems related to project implementation, adaptive management and monitoring and evaluation.

10. Moreover, despite that the project aimed to actively involve a wide range of stakeholders in project implementation, in reality, the degree of progress on and understanding of the ABS/TK in the countries limited stakeholder participation primarily to the government ABS Focal Points. However, the success of the project can, to a large extent, be contributed to the empowerment, commitment and interest of the participating countries to advance in the ABS/TK process and building a solid national and international regime.

11. The project's executing agency highlighted good compliance of UNEP role during the project cycle but noted that more administrative support would have had been desired from the UNEP Task Manager. Furthermore, there were no communication at all among the project and the four other GEF-funded ABS projects included in this portfolio evaluation, beyond UNEP updating on the progress of these other projects in the SC meetings, limiting the opportunity to share lessons learned and success stories. This was requested to UNEP from the Coordination of the Project, but possibly delays in the implementation of the other projects, limited the opportunities of sharing lessons. Perhaps the CBD CoP13 could provide a good opportunity for this.

12. Finally, conclusions based on the evaluation findings and presented in this report have been used to identify lessons for operational improvement and recommendations to enhance project's performance.

1 INTRODUCTION

13. The Project "Strengthening the Implementation of Access to Genetic Resources and Benefit-sharing Regimes in Latin America and the Caribbean", hereafter referred to as the ABS-LAC Project, was a Global Environment Facility (GEF) medium-sized project designed in 2010 and implemented between July 2011 and June 2014. Its objective was to support national and regional processes to develop and/or comply with national policy and legal frameworks regarding Access and Benefit Sharing and traditional knowledge in the framework of the Convention on Biological Diversity (CBD) and focused on eight Latin America and Caribbean countries (Colombia, Costa Rica, Cuba, Ecuador, Guyana, Panamá, Peru and Dominican Republic). The main project stakeholders were the ABS national Focal Points from the participating countries and the members of national ABS platforms, which involved indigenous peoples, private sector, academia and other government agencies participating in the ABS preparation process in the countries.

1.1 The Evaluation

14. The evaluation of the ABS-LAC Project is conducted as part of a portfolio evaluation of five ABS - related projects implemented by UNEP and funded by the GEF[1]. The evaluation of the ABS-LAC Project shares the same objectives as the portfolio evaluation and the findings and lessons identified by the ABS-LAC evaluation will inform an evaluation synthesis report of the portfolio, together with the other ABS project evaluations conducted in parallel.

15. According to the evaluation terms of reference, the evaluation of the ABS-LAC project has two primary objectives: 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 IUCN-Sur as the project executing partner. In line with UNEP evaluation guidelines and the Terms of Reference for the evaluation, this final report presents the context of the ABS-LAC Project and a reconstructed Theory of Change of the Project. The evaluation contains a thorough analysis of the standard evaluation criteria; strategic relevance, achievement of outputs, effectiveness on attainment of project objectives and results including likelihood of impact, sustainability, replication and catalytic role, efficiency and factors affecting project performance. The evaluation was conducted between March and November 2015.

16. The evaluation approach included the following:

a. Participation in the third Regional Workshop of the IUCN-UNEP/GEF ABS LAC Project held in Bogotá from 20 to 22 May 2014. This meeting provided useful information and insights of the project, considering that national ABS Focal Points participated and provided their

[1] The projects include[1] *Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing, Supporting the development and implementation of access and benefit sharing policies in Africa, Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits*, *LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean* and Supporting ratification and implementation of the Nagoya Protocol on ABS through technology transfer and private sector engagement in India.

own views of the project. The reconstructed theory of change of the project was prepared with their inputs;

b. A desk review of project documents and other relevant context documentation; as well the findings of the mid-term evaluation that was undertaken.
c. Face-to-face and telephone interviews with key informers (including UNEP Task Manager, project management staff, project stakeholders, staff of the CBD Secretariat (SCBD), and representatives of other project partners). The interviews were based on questionnaires that contained specific questions for the different types of stakeholders (ABS national Focal Points; other government agencies, university, private sector representatives; and project implementers and partners such as the World Intellectual Property Organization (WIPO), the International Union for Conservation of Nature (IUCN) Global, University Rey Juan Carlos (URJC) and SCBD).
d. Visits to three participating countries (Panama, Colombia and Dominican Republic). The evaluation in the other countries was based on telephone interviews and email communications. Seven national ABS Focal Points were interviewed at least one time (see Annex 2 for list of people interviewed).

17. The evaluation used a participatory approach where the key stakeholders of the project were kept informed and consulted throughout the evaluation process. All ABS country Focal Points were informed about the evaluation process in the Regional Workshop of the IUCN-UNEP/GEF ABS LAC Project held in Bogotá.

18. The project document did not include a theory of change or an impact pathways analysis, and this tool was not a UNEP GEF project design requirement at the time of ABS LAC project design. The evaluation reconstructed the project's theory of change based on discussions at the regional workshop with the participation of LAC ABS Project national focal points, except Guyana. At this workshop, each country representative was asked to (i) identify those project outcomes that effectively covered their needs and demands, (ii) to identify those impacts reached with these outcomes, (ii) complete an analysis about intermediate steps, drivers and assumptions to close gaps between outcomes and impacts identified.

19. The most significant limitation to the evaluation was the lack of a monitoring and evaluation plan oriented to higher level results and impacts. The project also did not have an explicit theory of change which therefore needed to be reconstructed by the evaluator[2].

20. The evaluator encountered difficulties in contacting some national Focal Points. During country visits, he was able to interview stakeholders from several sectors (government, universities, NGO´s, people linked with private sector); but did not manage to reach out to indigenous peoples nor the private sector. According to the national focal points, the participation of these stakeholders in project implementation was in general limited, despite some indigenous people's representatives who participated in capacity building activities such as in Peru, as requested by project coordination. However, at the time of project implementation, national ABS/TK processes were incipient, situation that affected the ability to engage stakeholders from some sectors.

[2] An explicit theory of change was not a requirement at the time of designing the project.

1.2 The Project

1.2.1 Context

21. Access to genetic resources and recognition of traditional knowledge of peoples on these resources has been a subject of debate since the early 1980's. This debate arose because countries, especially megadiverse countries, wanted recognition of sovereignty over their genetic resources, and also to break with the ideas that these resources and traditional knowledge are part of the world heritage. Although there have been other agreements protecting intellectual property rights of advances in biotechnology and other innovative processes, the new debate implied a gradual process of appropriation of natural heritage.

22. The debate has been addressed in international dialogues such as the FAO International Undertaking on Plant Genetic Resources (1983) and The Convention on Biological Diversity (1993). The International Undertaking considered genetic resources and traditional knowledge as common heritage, and considered genetic resources and biodiversity components as freely available for all to access and use in fields such as research and conservation. However, the CBD has been seeking to resolve who owns biodiversity and its components, and it has articles defining access to genetic resources, including Prior Informed Consent (PIC), Mutually Agreed Terms (MAT) and Benefit Sharing. Finally, the debate has found a balance between the rights of countries over their genetic resources, intellectual property rights and the rights of indigenous peoples over their traditional knowledge.

23. The LAC Region comprises many megadiverse countries which are important centers of both biological and cultural diversity, as well as significant traditional knowledge. A remarkable feature of this region is its ecosystem representativeness, including tropical, sub-tropical, mountainous, coastal, coral and semi-arid ecosystems throughout Central and South America and the Caribbean.

24. 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 project preceded CBD guidance to the GEF on ABS and the Protocol's entry into force as such as obligatorily designed around building capacity for countries to accede. In fact, during the project design, participant countries were at very different stages of progress with CDB Article 15 and 8(j); some have ventured already into capturing ABS agreements and applying TK protection modalities, whilst others have yet to lay the foundations of their frameworks. However all of them required guidance on ABS according with national circumstances. The project was implemented between July 2011 and May 2014 by UNEP as the GEF implementing agency and IUCN South America as the project's executing agency, in close collaboration with the CBD Focal Points in eight countries. The World Intellectual Property Organization (WIPO) and the UNESCO Chair of Landscape and Environment (Cátedra de Territorio y Medio Ambiente) of the Rey Juan Carlos University of Spain were important project partners.

25. It is worth noting that in the case of the Andean region there was already a Regional Biodiversity Strategy (Andean Community, 2003) in place, which incorporates actions regarding ABS and TK. Furthermore, the Amazon Cooperation Treaty (of which Colombia, Ecuador, Peru and Guyana are members) represents a strength as a regional institutional platform that regulates relationships between its member states. All countries share a good portion of each other's resources and thus, regional approaches to developing ABS and TK frameworks make economic, political and environmental sense.

1.2.2 Situation in participant countries during project implementation

26. This section is based on the project Mid-term Review (MTR) (August 2013) and on evaluation interviews with the project executing agency and the ABS Focal Points of countries which participated in the Bogota workshops in May 2014. Most of the countries in Latin America and Caribbean are beginning the task of implementing an ABS regime, whether or not they were selected as one of the project's participant countries. Therefore, the project aims at strengthening capacities in a context where there is diversity in political environment, institutional capacities, socio-economic context and environmental law development.

27. The project included countries like Costa Rica, Peru and Panama, which show significant advances in developing ABS regimes and institutional structures; and at the other end of the spectrum, countries such as Guyana, which has only recently created its Environment Ministry.

28. Three of the eight participating countries have ratified the Nagoya Protocol: Panamá (2012), Peru (2014) and the Dominican Republic (2014). However, the remaining five countries which have not ratified the protocol are working on ABS implementation. (Based on https://www.cbd.int/abs/nagoya-protocol/signatories/ July 7th 2016).

29. The mid-term review (MTR) of the project completed in August 2013 identified the status and advances of ABS implementation including those promoted by this project. Costa Rica has moved forward in access to genetic resources and ABS implementation, even though it has not yet ratified the Protocol. The MTR reported that the country has advanced in developing institutions and has some experience in contract negotiation for bio-prospecting and scientific research having to date over 300 access contracts.

30. Colombia has made advances in the implementation of an ABS regime and traditional knowledge, having signed over 50 contracts, one of which has a commercial purpose. Additionally, Colombia has some legal and technical capacity for contract negotiations, even though its Senate has not ratified the Nagoya Protocol yet.

31. Colombia's neighbours, Peru and Panama, showed evidence of having increasingly institutionalized environmental matters and traditional knowledge. Panama has already ratified the Nagoya Protocol, being one of the few in the region preparing for further implementation according to its national plans. In Peru, the protocol was ratified by the Senate and the country is revising its legislation on ABS and Traditional Knowledge. It is the only country that has created national structures to fight and prevent bio-piracy.

32. Ecuador has had legislation on access to genetic resources and Traditional Knowledge since 1996 as part of the Andean Region, but implementation processes have been rather slow. It is still at an early stage, with no current access contracts in force, just permits for research, and some request for permits that remain unprocessed. Having recently passed by-laws to implement the Andean Decision 391 it is still awaiting Nagoya Protocol ratification by Congress, which, it is believed, will come with a decisive implementation plan. The Dominican Republic is at an early implementation stage as well, with young institutions and only recently passed legislation.

33. Finally we find Guyana just starting to regulate on the matter and recently creating institutions to deal with environmental matters, including the Environment Ministry itself, established in 2011. Although it does not yet have any regulations on ABS or access to genetic resources, just a research permits regime, it is willing to advance into implementation. Guyana recently has signed its accession to the Nagoya Protocol.

1.2.3 Objectives and Components

34. The goal of the project was defined as 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 (LAC)*. The overall objective of the project was *to strengthen the capacities of the eight 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*.

35. The specific objectives of the project were:

> Specific Objective 1: Strengthen the capacity of countries to develop, implement and apply the CBD provisions in relation to access to genetic resources and benefit sharing as well as to traditional knowledge associated to these resources.
>
> Specific Objective 2: Increase 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 ABS Regime (ABS Protocol).

1.2.4 Project components and expected results

36. Operationally, the ABS-LAC Project consisted of three technical components that focused on: (1) capacity building of stakeholders through knowledge transfer and knowledge management; (2) capacity building for integration and application of ABS and TK regimes and for negotiating contracts and agreements; and (3) capacity building for comprehensive cross-implementation of the various international treaties that relate to ABS and TK. Each component was to deliver a number of outputs and was expected to contribute to one or two project outcomes as presented in Table 1.

Table 1. Project components and outcomes

Component	Outcomes	Outputs
Component 1. Building capacity to deal with challenges and opportunities of ABS/TK and promote best practices.	Outcome 1.1: Stakeholders gain knowledge regarding national bioprospecting situation and potential, gaps in national ABS/TK regimes and common of regional needs.	1.1.1. Cases of bio-prospecting and bio-piracy (including use of community protocols) documented in a data base for the LAC region, as part of the project website. 1.1.2. 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. 1.1.3. Information documents and/or case studies addressing critical issues (potential synergies and conflicts) regarding international treaties on ABS, TK, trade and IPR (e.g. 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. (Coupled with 3.1) 1.1.4. National research institutions /think-tanks participate in project-funded studies and are recognized in the resulting publications. 1.1.5. 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).
	Outcome 1.2: Stakeholder interests and capacity to advocate for best practices in ASB are increased.	**1.2.1.** 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, 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. 1.2.2. 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&D. (Definitive topics are subject to confirmation). 1.2.3. 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&D sector, bio piracy, 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.
Component 2. Promoting ABS /TK regimes and agreements that effectively integrate legal, technical and social aspects	Outcome 2.1: Countries acquire increased capacity to draft, put in place and implement ABS/TK regulations, in a manner that is in line with the CDB.	2.1.1. 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. 2.1.2. Draft elements and regulations on ABS /TK are developed and circulated among national stakeholders 2.1.3. National ABS competent authorities clearly defined and personnel selected and identified to respond to demands in regards of ABS and TK (including from CBD Secretariat, national actors, indigenous representatives, etc.). 2.1.4. 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. 2.1.5. 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. 2.1.6. Virtual forums (national or sub-regional) for multi-stakeholder exchanges to understand stakeholder needs and demands, in particular those of ABS/TK government actors.
	Outcome 2.2: Stakeholders and right-holders are better able to negotiate, coordinate and monitor ABS agreement.	2.2.1. 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. 2.2.2. Measures to monitor ABS agreements cost-effectively and avoid bio piracy cases, identified and agreed to by a wide range of stakeholders from project countries, are posted on the project website 2.2.3. New or consolidated National Groups for the Prevention of Bio piracy arise in at least 2 project countries 2.2.4. Knowledge transfer from ILC female leaders (from non-project countries) with experience in mobilizing ABS/TK issues within their communities 2.2.5. Recommendations from Government and ILC representatives for strengthening the participation of ILCs in the negotiation of ABS/TK contracts, agreements, permits and positions.
Component 3. Consolidating countries capacities to partake in the ABS/TK arena and promote the sustainable use of biodiversity	Outcome 3.1: Countries are empowered to contribute constructively to adopt and/or responsibly implement international treaties relating to ABS/TK	3.1.1. 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. 3.1.2. 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 (part of 1.1) 3.1.3. Technical assistance provided to countries, on demand, regarding the relation between trade, IPR, ABS and TK 3.1.4. Positions of countries and the region are specifically reflected in international instruments, and preparatory exchanges strengthen country participation in international fora. 3.1.5. 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.

Source: Logical Framework of the project

1.2.5 Target areas/groups

37. The target area of the project was the Latin America and Caribbean Region, with a special focus on eight countries, namely: Costa Rica, Panamá, Colombia, Ecuador, Peru, Cuba, Dominican Republic and Guyana.

38. The main stakeholder groups which the Project planned to involve were:

a. National ABS authorities (regulatory and management competences);
b. National TK authorities (regulatory and management competences);
c. NGO´s (in situ and social research, advisors);
d. Indigenous representative organizations (providers and users of genetic resources);
e. Academic/research sectors (sometimes providers of genetic resources but especially users);
f. Private sector (companies) (especially users);
g. Public institutions with interests in ABS and TK (management and policy setting).

39. However, as explained further down in the evaluation, the National ABS authorities were the main beneficiaries of the project.

1.2.6 Key dates in project design and implementation

40. The main milestones in the cycle of project are indicated in Table 2 below.

Table 2. Key dates in project design and implementation

Request for CEO Endorsement / Approval	15 November 2010
GEF CEO approval letter	22 March 2011
Project starting date	4 July 2011
Project Mid Term Review	August 2013
Project completion date	June 2014
Final Project report	September 2014

Source: Project documents.

1.2.7 Implementation arrangements

41. The Project Steering Committee (PSC) was composed of representatives from IUCN SUR(as the project executing agency), also IUCN-ORMA (now IUCN-ORMACC), UNEP's Division of Environmental Law and Conventions (DELC) based at the Regional Office for Latin America and the Caribbean (ROLAC) and the UNEP Task Manager based in Washington D.C. (as the project implementing agency), and the CBD Secretariat. The PSC provided overall policy guidance to the project and in particular reviewed project progress with respect to objectives, strategies and work-plans.

42. UNEP acted as the GEF Implementing Agency, and IUCN as the project Executing Agency. IUCN executed the project through its regional office located in Quito, Ecuador (IUCN-SUR) which provided project management services including financial administration to ensure effective project operations and timely delivery of results. IUCN had a project

management team including the Head of Project coordination and the Project Manager who were responsible for project operations, in particular coordination, communication and networking tasks required for prompt and effective delivery of project components.

43. At the national level, the Executing Agency (IUCN) coordinated the project execution directly with designated national project Focal Points from each participating country. These Focal Points were national ABS and TK authorities, namely:

a. Colombia: Ministry of the Environment, Housing and Territorial Development;
b. Costa Rica: National Commission for the Management of Biodiversity – CONAGEBIO;
c. Cuba: Ministry of Science, Technology and Environment – CITMA;
d. Dominican Republic: Secretary of State for the Environment and Natural Resources;
e. Ecuador: Ministry of the Environment – MAE;
f. Guyana: Environmental Protection Agency – EPA;
g. Peru: Ministry of Environment – MINAM;

44. Coordination and execution of some specific activities (national or regional) were contracted out to specialist organizations, according to the requirements of expertise. These key partners were the Peruvian Society of Environmental Law (SPDA), the World Intellectual Property Organization (WIPO), and the Global Policy Unit from IUCN, the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University, Spain, the Latin American and Caribbean Women Indigenous Network for Biodiversity, the Ecuadorian Society for Environmental and Forest Law and Natural Justice.

1.2.8 Project financing

45. The total budget of the project was US$ 1,802,166 of which US$ 850,000 was GEF financing. Co-financing from participant countries was US$ 567,166 and from Regional Partners US$ 285,000 (See Table 3 below). Contributions from the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University are not included in this summary, because of the difficulty of disaggregating activities considered as in-kind contributions from those performed under consultancy services.

Table 3. Co-financing from countries and project partners (All contributions in-kind)

Co-financing Participant Countries	Amount US$
Costa Rica	74,625
Colombia	33,900
Cuba	220,000
Dominican Republic	42,255
Ecuador	50,000
Guyana	52,432
Panama	40,000
Peru	53,954

Co-financing Project Partners	Amount US$
IUCN	165,000
SPDA	35,000
UNEP	140,000
WIPO	45,000

Source: Compilation from Final Project Report, PIRS, Project Document.

1.2.9 Project partners

46. The UNESCO Chair of Landscape and Environment (Cátedra UNESCO de Territorio y Medio Ambiente) at the Rey Juan Carlos University (URJC) was a key partner to the project. It acted as a consultant, but provided a very strong support for national activities/knowledge cafes, i.e. the national/regional technical workshops. The UNESCO Chair supported six national activities (Dominican Republic, Costa Rica, Panama, Colombia, Ecuador and Peru) where they served as principal trainers on ABS issues (including training on contracts) and other themes (e.g. national legislation, scientific cooperation, traditional knowledge).

47. **Red de Mujeres Indígenas sobre Biodiversidad de América Latina y el Caribe** (RMIB-LAC) (Latin American and Caribbean Women Indigenous Network for Biodiversity). This network supported the Project on indigenous and ABS issues. This support included a partnership with SCBD and RMIB-LAC for preparation and implementation of a Regional Workshop on technical capacities on ABS (Paraguay 2012) and the presentation of the GEF ABS LAC Project in an event carried out in CBD COP 11. In addition, they were present in workshops held in Havana and Bogotá. The RMIB-LAC championed the discussions about indigenous peoples issues related with ABS/TK[3].

48. **Diversitas ABS Project**: a cooperation agreement with no budget was signed in June 2013 between IUCN–Sur and DIVERSITAS regarding the collaboration among LAC-ABS project and Diversitas ABS-project. The main purpose of the agreement was to avoid duplication of efforts and strengthen the bridges between National Authorities and the Scientific Community in the common countries of intervention for both projects.

49. **Ecuadorian Society for Environmental and Forest Law (SEDEFA)**: IUCN-Sur and SEDEFA signed a cooperation agreement with no budget in order to maintain the engagement initiated during the virtual forum (March 2013).

50. **Natural Justice**: is an organization that collaborated in preparing bio-cultural community protocol guidelines which garnered intense interest from the indigenous peoples and local communities attending the CBD workshop in Asunción (Paraguay). This material was translated into Spanish for the Latin American audience.

[3] ILCs: article written by the RMBI-LAC in the 4th Publication: http://www.portalces.org/biblioteca/distribucion-equitativa-de-costos-beneficios/documentos/access-genetic-resources-latin-1

51. **World Intellectual Property Organization (WIPO)**. They supported the Project for discussion about Intellectual Property issues on ABS/TK in the virtual forum and in Regional Activities (Bogotá 2014).

52. **Sociedad Peruana de Derecho Ambiental (SPDA)** Peruvian Society of Environmental Law. At the beginning of the Project, SPDA was proposed to attend legal ABS issues. However, due delays in the implementation and performance, the steering committee agreed to replace them by the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University.

1.2.10 Changes in design during implementation

53. No strategic changes were introduced in the project during its implementation. There was a change of partner and approach in relation to the assistance on legal ABS/TK frameworks (see paragraphs 34 and 40).

1.2.11 Reconstructed Theory of Change

54. The reconstructed Theory of Change (ToC) of the project shows the intended causal pathways from project outputs over outcomes to impact. It is based primarily on the project logical framework (logframe) and the narrative in the project document, but has been adjusted by the evaluator to improve on clarity, logic and completeness using information and insights gained from interviews and document review. Figure 1 below shows the reconstructed ToC of the project. The result statements from the original project logframe are in the coloured boxes. Result statements in white boxes have been drawn from the project document narrative and indicators in the project logframe.

55. The reconstructed ToC includes nine direct outcomes, resulting directly from the project outputs, three of which are derived from two project outcomes in the project logframe (project outcome 1.1, which has been split in two, and project outcome 2.1). Three direct outcomes have been clustered together under project outcome 1.2, as these all constitute different aspects of increased stakeholder interest and capacity to advocate best practices in ABS.

56. Three medium-term outcomes (MTOs) are expected to result from the direct outcomes, two of which are derived from the project logframe (the project goal and project outcome 3) and with MTO 2 expected to contribute to MTO 3. These are:

    MTO 1. The principles of conservation, sustainability, equity and justice of the CBD in regards to ABS and the protection of traditional knowledge are incorporated in the development and implementation of public policies, norms, programs and activities in the LAC Region (Project goal);

    MTO 2. Countries have institutional structures in place for responding to requirements by national actors and CBD Secretariat and fulfilling their reporting obligations; and

    MTO 3. Countries are empowered to contribute constructively, to adopt and/or responsibly implement international treaties relating to ABS/TK (Project outcome 3).

57. These MTOs in turn are expected to lead to three intermediate states (ISs), one of which equals the second project objective and also project outcome 2.2. IS 1 and 2 can be seen as different dimensions of project objective 1 and project outcome 2.1 (Countries implement ABS/TK regulations in line with the CBD). They would result from MTO 1 and 2 while IS 3 would result from MTO 3.

IS 1: Stakeholders and right-holders better negotiate, coordinate and monitor ABS contracts and agreements (Project objective 2, Project outcome 2.2).

IS 2: Countries adequately address cases of misappropriation or unauthorized use of genetic resources and TK (bio-piracy prevention).

IS 3: Regionally appropriate and effective international treaties relating to ABS/TK.

58. As a result of IS 1 and 2, it is expected that genetic resources and traditional knowledge associated to these resources are conserved and accessed, and their benefits are shared, in a manner that is sustainable, equitable and just in the LAC Region, which is the intended impact of the project. IS 3 does not directly contribute to the intended impact, but is expected to feed back into MTO 1, thus indirectly reinforcing IS 1 and IS 2, and, through these, the project's intended impact.

59. For changes to happen along the causal pathways, certain external conditions and factors also need to be in place. Drivers (green arrows in the diagram) are those factors over which the project has a certain level of control or influence. Assumptions (red arrows) are those factors over which the project has no control.

60. The external factors that influence the project's ability to move beyond immediate outcomes are related to promoting the formalization of governance structures to work specifically on the ABS process; and generating dialogue and participation, decision making, and consensus. The drivers the project should address in order to move beyond the immediate outcomes include that ABS stakeholder should increasingly participate in advancing ABS, agreements about ABS regime with stakeholders need to be in place, interaction in ABS, TK and related matters needs to occur between IGOs and the project countries, and that the CBD focal points promote ABS and defines ABS priorities. The assumptions that need to hold in order for the project to move beyond the immediate outcomes include that the ABS key criteria are harmonized for stakeholders, there is continued political will to work with ABS issues, and that ABS law and norms are approved and ABS institutional framework is ratified.

61. The external factors that influence the project's ability to reach impact include institutional stability and political support. A driver the project should address in order to reach impact is that the national / regional strategy to implement the Nagoya Protocol should be in place. The assumptions that need to hold in order for the project to reach impact include that the roles of ABS stakeholders are clearly defined and they maintain their participation, staff with ABS capacities remains in office, and that financial resources are available.

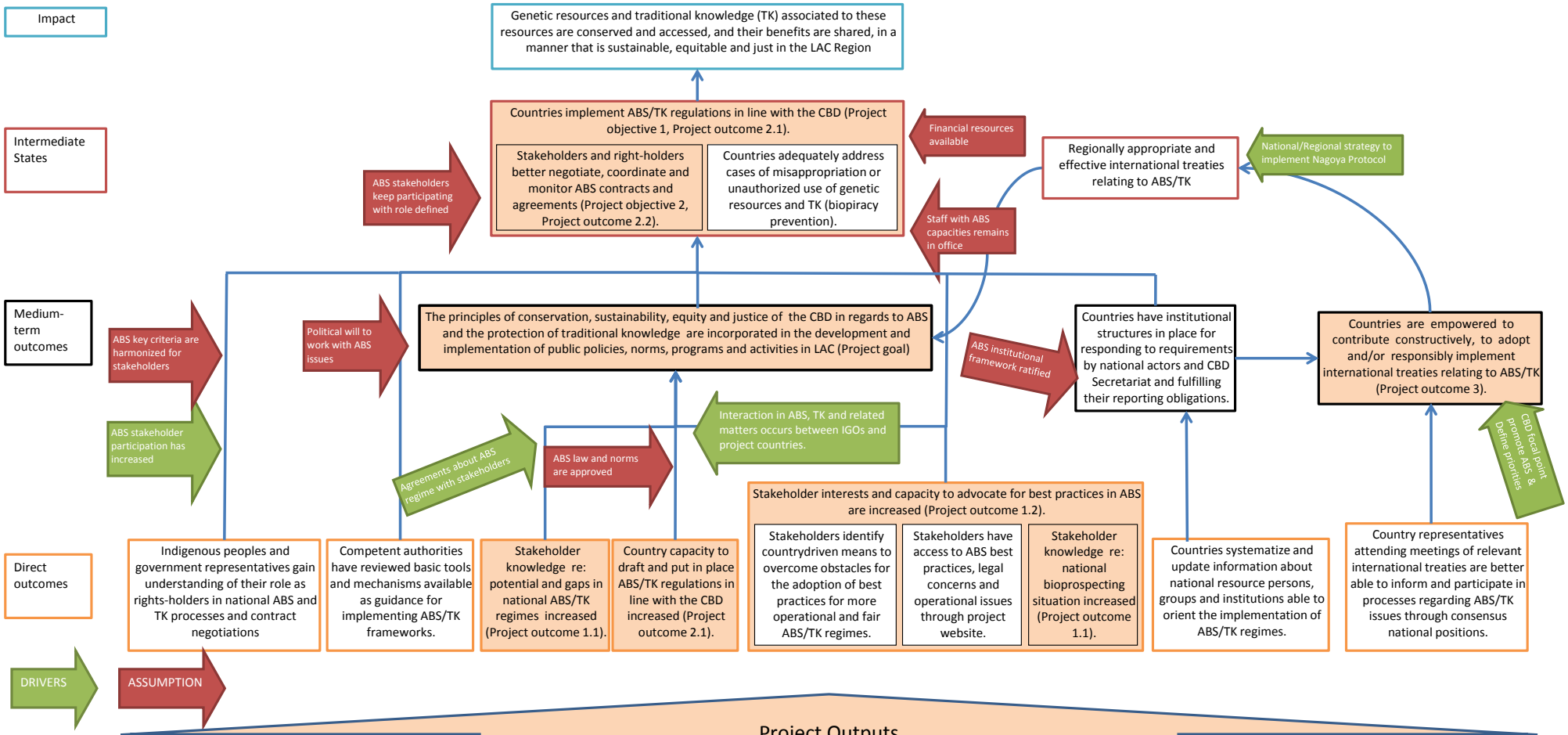

Figure 1. Reconstructed Theory of Change of the project

2 EVALUATION FINDINGS

2.1 Strategic Relevance

62. According to the examined documentary evidence and the perception of the national and regional stakeholders, the evaluation considered that the project had proper alignment and coordination with national and regional policy guidelines, was inserted effectively in the national circumstances of the participating countries and aimed, in a timely manner, at increasing existing capacities and promoting discussions with relevant stakeholders of sectors, mainly within national governments. However, the relevance of the project to country needs could have been strengthened by the adoption of a wider thematic coverage, addressing a wider range of key topics which would have been needed to raise the level of the ABS/TK discussions according to the existing circumstances of each of the participating countries such as international ABS negotiations, Prior and informed Consent; ABS Contracts, etc. In addition, the project stakeholders perceived that limited financial resources was the main constraint of the project to address a wider capacity building needs.

63. The consistency of the project's objectives and implementation strategies with UNEP's mandate and policies at the time of design and implementation was satisfactory given that the project was originally designed in 2006 and in its Annual Report for that year, UNEP explicitly included ABS under its activities on pro-poor payments for ecosystem services. 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 environmental obligations generally. In the LAC region, ABS was a key priority of the Forum of Ministers of Environment, and a working group was created to advance ABS issues in the region.

64. The GEF created a strategic objective and strategic program in the GEF biodiversity strategy for GEF-4 (2007-2010) entitled "Building Capacity on Access and Benefit Sharing (ABS)", which carried over to GEF-5. Taking into account that 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, as well as the fact that a significant proportion of project efforts and implementation strategies were focused on capacity building targeting key stakeholders of the ABS processes in the participating countries, the evaluation found a satisfactory level of consistency of project objectives and implementation strategies with the GEF Biodiversity focal area, strategic priorities and operational programme(s).

The rating for strategic relevance is satisfactory (S).

2.2 Achievement of Outputs

65. According to the progress reports, the project's mid-term review and comparison of planned and delivered outputs, the achievement of outputs is satisfactory. The project has

delivered a high number of outputs, broadly categorized as 4 publications (Case studies, technical documents); 4 legal analyses (UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University); 3 regional meetings; 24 national activities (technical discussion meetings or "Knowledge Cafe", workshops); 6 technical documents (short explanations regarding Nagoya Protocol); 8 documents focused on ABS analyses (2 national studies); regional involvement activities; 1 web-site that includes a virtual forum to facilitate the exchange of information and experiences in the region; and bi-national exchange visits (Colombia – Ecuador). A complete list of project outputs and a detailed comparative assessment in terms of quality and quantity of the delivered outputs against what was planned can be found in the Annex 1.

66. Each one of these outputs was aimed to contribute to the achievement of the planned outcomes under the three project components in which the project was divided. Evaluative evidence gathered through document review, supported by evaluation interviews allows the evaluation team to conclude that there have been significant achievements in terms of the planned outputs. The main achievements lay in the provision of information about the global and national processes of ABS/TK, and also in the capacity building with training workshops, knowledge café activities, country exchanges, technical assistance, virtual forums, etc. to advance in the path of building a national ABS/TK process, oriented to countries key issues such as the strengthening of legal frameworks by e.g. providing legal analyses and explanations of Nagoya Protocol articles, and the capacity to negotiate and formalize ABS/TK contracts e.g. research, commercialization, negotiation of contracts; defence of genetic resources with management and avoiding bio piracy; active participation of indigenous peoples on benefit sharing mechanisms, etc. However, the project has mainly focused on building capacities at the government level, even though the project attempted to involve a wider range of stakeholders. According with the Project Coordinator, the approach to implement the project, maintained as main audience the National Focal Points NFPs of the countries. It was a clear lack of funding to involve additional stakeholders but through alliances with the indigenous women for biodiversity (RMBI-LAC), DIVERSITAS and the University Rey Juan Carlos for academia and the Intellectual Property National Agencies (for the private sector) it was possible to engage with a wider range of stakeholders.

67. Despite that the project fulfilled all the provisions of its work plan, the project design had limitations in the scope and coverage of its national activities focused at capacity building. This is confirmed by the opinions of the ABS/TK Focal Points of the countries, whose work naturally aims to obtain the maximum national specific benefits of a project with a regional scope. The limitations of the project in this area related to project design. As discussed elsewhere in this report, the support provided to countries was based on an assumption of all countries having the same needs and the same state of advancement related to ABS. A better assessment of the state of the art of the countries on ABS/TK would have allowed a more effective design of activities for each of the countries. Despite this weakness in project design identified by stakeholders, which limited attention to some issues / countries; this condition, on the other hand, created an opportunity for cooperation and sharing of best practices and lessons learned among countries

68. The perceptions of the scope and coverage of the project outputs demonstrate the asymmetry in the state of the art of ABS/TK processes of the participating countries, and

explains the reason why the interests and demands become more country-specific. Because the timing of the project coincided with the time the participating countries were moving towards the ratification of the Nagoya Protocol, the project was launched at an opportune time to "create" a critical mass of momentum around the issue of ABS, and was successful in strengthening the countries through capacity building activities. In Colombia, the issue of access to genetic resources was already well regulated, but not so in terms of the benefit sharing mechanism.

69. The most relevant output of the project for the beneficiaries has been the analysis of the ABS/TK frameworks, as it allowed the countries to focus on the most appropriate actions to lead the ABS/TK process in alignment with the respective national frameworks and in consistency with the national conditions.

70. On the other hand, the exchange of experiences between the countries was an activity that allowed providing orientations and strengthening capacities of project's beneficiaries. For example, Costa Rica oriented Dominican Republic about regulation and negotiation of ABS contracts, based on previous experiences. In this regard, the project's participants consulted for the evaluation widely valued the virtual forum created by the project through its website, as well as valued participation in the bi-national exchange visits. The documents and materials produced by the project make a substantive contribution to the ABS/TK processes of the countries.

71. The planned scope of the outputs was focused on a wide diversity of stakeholders, although during the implementation the main beneficiaries and recipients were the governmental stakeholders at a technical level, which are the ones who attend technical matters within the ABS Focal Point. The outputs did not reach the level of political decision making in an appropriate way. Three activities reported the participation of decision makers; such as meeting with the Ambassadors of the Ministry of Foreign Affairs in Dominican Republic; in Ecuador, a presentation to the National Assembly of Legislator or the participation of Vice Ministry of Environment is a workshop in Colombia. These activities are not enough evidence of decision makers' participation in all 8 participant countries. The activities as reported in paragraph 66 reached only marginally the private sector, indigenous peoples groups or other stakeholders, such as the academia. This matter was confirmed in interviews. The evaluation found evidence of the involvement and commitment of technical teams of the authorities responsible for ABS/TK; however this evaluation found no evidence of the involvement of decision makers in activities that could guide political negotiation issues, management of bio piracy, Nagoya Protocol issues, etc.

72. It is clear that the ABS/TK subject is still at the level of international dialogue. The countries have started actions through their technical representation, including ratification processes, but it is evident, as in so many topics of the international environmental and natural resources dialogue, that it fails to take enough strength at political levels. The outputs of this project have opened up the path to inform and create capacities to these relevant stakeholders to advance and strengthen the national ABS/TK process.

73. Despite this being a regional project, the implementation is based on national demands and the regional approach is focused on sharing experiences, capacity building and sharing information. The logframe did not include regional outputs or outcomes and participant countries belong to two Latin America regions, which are organized in the Andean Community and the Central American Commission for Environment and Development (CCAD). In none of the cases there were activities to strengthen the ABS process through these instances, although the Andean Community has binding regulations on this issue. In fact, the Andean Community was indirectly beneficed by the project outputs, since it was reviewing its framework law on ABS at that moment during project implementation. In addition, people interviewed noted that at the time of project implementation, the Andean Community faced some internal situations that limited its participation and communication along the Project; and by CCAD it was not an active response to communications made by the project coordination.

The delivery of outputs is rated Satisfactory (S).

2.3 Effectiveness: Achievement of planned objectives and outcomes; likelihood of impacts

2.3.1 Achievement of direct outcomes

74. The achievement of planned objectives and outcomes could be evaluated as successful, especially in regards the project components on information and capacity building. The understanding of the ABS/TK process in legal, social, economic and environmental terms has improved in participating countries. This enhanced understanding is an outcome which must be achieved in order for the change process to progress to the next steps after the project (Evaluation of the criteria: Satisfactory). As confirmed below with the comparative table (Table 4 and Annex 1) the delivery of outcomes in accordance with the original project logical framework has been satisfactory. Furthermore, comparing the project's logical framework with the reconstructed theory of change, all direct outcomes have been achieved. The following table provides a detailed view of the level of achievement of project's nine direct outcomes, by country:

Table 4. Achievement of outcomes by country

	Direct Outcome	Colombia	Costa Rica	Cuba	Dom. Rep.	Ecuador	Guyana	Panama	Peru
1	Indigenous peoples and government representatives gain understanding of their role as rights-holders in national ABS and TK processes and contract negotiations								
2	Competent authorities have reviewed basic tools and mechanisms available as guidance for implementing ABS/TK frameworks.								
3	Stakeholder knowledge regarding potential and gaps in national ABS/TK regimes increased (Project outcome 1.1).								
4	Country capacity to draft and put in place ABS/TK regulations in line with the CBD increased (Project outcome 2.1).								

	Direct Outcome	Colombia	Costa Rica	Cuba	Dom. Rep.	Ecuador	Guyana	Panama	Peru
5	Stakeholders identify country driven means to overcome obstacles for the adoption of best practices for more operational and fair ABS/TK regimes								
6	Stakeholders have access to ABS best practices, legal concerns and operational issues through project website								
7	Stakeholder knowledge regarding national bioprospecting situation increased (Project outcome 1.1).								
8	Countries systematize and update information about national resource persons, groups and institutions able to orient the implementation of ABS/TK regimes								
9	Country representatives attending meetings of relevant international treaties are better able to inform and participate in processes regarding ABS/TK issues through consensus national positions								

High achievement	Medium achievement	Low achievement

Source. Assessment is based on evaluative evidence presented in this report.

75. Table 4, with comparative colours, enables observation of the level of achievement of each of the nine direct outcomes presented in the reconstructed ToC, specific to each country, assessing how countries benefited in different degrees from the project activities considering that their national circumstances at the start of the project were different. The project was most effective in achieving outcomes (2 and 4) related to the capacity building and support provided to ABS national authorities in order to provide them with tools, mechanisms and guidance to implement ABS/TK frameworks and regulations in line with the CBD. The second most successful outcomes are those related to improving the participation of stakeholders, identification of gaps in national capacities to implement ABS/TK regimes and development of knowledge to promote ABS; bioprospecting situation, access to ABS best practices, legal concerns, operational issues and management of information about national resource persons, groups and institutions to orient the implementation of ABS/TK regimes.

76. Two outcomes were not achieved to an adequate level. The first one was related to the participation of indigenous peoples groups in the project in order to gain understanding of their role as rights-holders in national ABS and TK processes and contract negotiations. The reason of this is that both in design and implementation phases, the project did not make enough efforts to promote and guarantee the participation of indigenous people representatives, although there is some evidence of indigenous participation in a workshop in Cuba. The second one of these outcomes was related to country representatives attending meetings of relevant international treaties to inform of and participate in processes regarding ABS/TK issues through consensus national positions; nevertheless some efforts were done promoting meetings with the NFPs during CBD COP11 and also a Side Event was carried out in that COP including the participation of the NFPs and their authorities. The reason of this is that the majority of participant countries had very incipient ABS/TK processes at the time of project implementation. Accordingly

the project efforts were mainly targeted to build basic capacities in national stakeholders, before they were ready to participate in international meetings.

2.3.2 Likelihood of impact

77. The analysis of the chain of results as per the reconstructed theory of change indicates that the project can have good probabilities of achieving the identified impacts. However, in order for the project to achieve its expected impact, there are a series of intermediate states, which must be reached in each country.

78. The analysis of the likelihood of the project reaching impact includes three steps:

a. Asses the internal logic of the project: Comparing the reconstructed ToC and the original logframe, all outcomes have been included into the analysis. The reconstructed ToC has employed different levels of outcomes; direct outcomes, medium-term outcomes and intermediate states. In some cases, the original outcome as defined in the logframe has been readjusted to the level of a medium term outcome or an intermediate state. For example, outcomes 1.2 and 2.2 have been readjusted as intermediate states, and outcome 3.1 has been readjusted as a medium-term outcome.
b. Verify drivers and assumptions: Referring to risk analysis, all drivers and assumptions have been adequately considered. This despite the fact that the comparison is done between risks and assumptions of a logical framework that is focused on outputs and activities, rather than higher level results. However, there is consistency in these elements analysed. Implementation of the project activities showed efforts to ensure that the drivers and assumptions were adequately addressed. In some cases efforts of the project to address the drivers were limited, for example in terms of increasing the participation of stakeholders. As mentioned above, there were not enough actions taken by the project to achieve a meaningful involvement of the private sector and indigenous peoples groups in the project. However, the project was able to influence drivers which addressed interactions in ABS/TK and related matters between governments and project countries. This driver opened up communication and sharing of experiences with countries. The project influenced assumptions related with promotion and adoption of Laws/norms related with ABS/TK, Nagoya Protocol and political will to address ABS issues in countries.
c. Record any early signs of progress on medium-term outcomes, intermediate states and impact: In the participating countries, advances were made in terms of reaching medium-term outcomes related to the institutional structures needed to be in place for responding to the requirements by national actors and CBD Secretariat and complying with the reporting obligations. These institutional structures, strengthened by the project during its implementation phase, are still in place and now formalized and form part of the organizational structure of national environmental authorities in the participant countries. In addition, the participating countries showed progress in terms of their capacity to constructively contribute to the adoption and implementation of the international treaties relating to ABS/TK. Another relevant sign of progress is the ratification of Nagoya Protocol by three of the participant countries.

79. Based on the assessment of these three steps, it can be concluded that the project is based on a good internal logic and most of the critical drivers and assumptions have been considered. In addition to the achievement of the immediate outcomes (above), there are

some early signs of progress on medium term outcomes and intermediate states. Therefore the project's contribution to impact is likely.

80. One important change that is starting to be noticed in stakeholder awareness and understanding is the change in perceptions in regards the national ABS/TK processes. Researchers and academics had previously perceived ABS/TK as a barrier to research and technical development processes. However, the project has generated information and dialogue to address the perceptions of this specific group of stakeholders. Furthermore, the involvement and participation of government agencies responsible for the records and accreditation of intellectual property in the project activities is also a very important step because it takes the discussion on ABS/TK processes beyond nature conservation into other equally important sectors, such as the economic planning offices, intellectual property and justice authorities.

81. There are limitations for assessing the achievement of higher level results due to the absence of progress indicators beyond the output level. The likelihood of behavioural changes will be higher in the extent that the project outputs and direct outcomes are useful to inform, link and engage the relevant sectors in the ABS/TK processes.

82. Considering the level of appropriation of the results of the project by local stakeholders, it would seem that the likelihood of achieving the desired impact in the medium- and long-term is most strongly affected by authorities involved in ABS/TK processes.

Evaluation of the criteria: Satisfactory (S)

2.4 Sustainability and Replication

83. 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 identifies and assesses the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. The analysed areas are: financial, socio-political, institutional frameworks and environmental factors.

2.4.1 Financial sustainability

84. In every participating county, the process of building an ABS/TK regime includes defining of a national agenda, within the defined framework for international dialogue. The majority of these national initiatives are subject to the financial allocation of government budgets and in this specific case, of the resources that can be assigned to the operative units of environmental authorities (ABS/TK Focal Point). This poses a financial risk for the sustainability of project outcomes.

85. The sustainability of project outcomes is highly dependent on the strength of the national ABS/TK process in each country. The catalytic role of the project to facilitate technical and financial activities of national projects still depends on international cooperation. The only two identified sources are international cooperation funding and the national resources that the ABS Focal Point can program to advance in the process. Under current circumstances, the financial sustainability of outcomes is conditioned by international

support and the limited budgets of offices that attend the ABS/TK subject. UNEP is doing some effort for sustainability of the national processes. UNEP informed in SC meetings about other GEF projects which have been financed in the LAC region. Regional project for Antigua and Barbuda, Barbados, Grenada, Guyana, Jamaica, St. Lucia, St. Kitts and Nevis, Trinidad and Tobago and National projects in Panamá, Peru and Guatemala and others in preparation to be launched very soon (e.g. Bahamas ABS). The financial basis to consolidate ABS is likely to broaden once there is progress and involvement of the relevant stakeholders who get benefits and who are committed to the process.

86. In this sense, there is little guarantee of financial sustainability of the ABS/TK process, at least with the intensity and celerity that is expected within the international dialogue framework. National or regional projects mentioned above looks as an evidence to promote sustainability of ABS processes in some countries such as Panamá, Guyana and Peru; however there is no evidence about identified and secured financial support for other national processes in subsequent to the completion of the Project in other participant countries

The evaluation of the criteria: Moderately Likely (ML)

2.4.2 Socio-political Sustainability

87. Progress made in the ABS/TK process in the participating countries supports the likelihood of socio-political sustainability. Governments have expressed their interest and commitment to establish an ABS/TK regime, and have shown this by taking ownership of the project activities. Governments, through the ABS/TK Focal Points, are the ones who have requested support on critical issues in terms of the ABS/TK process. An example is the advance in the analysis of the national legal frameworks to take actions in favour of national interests within the international dialogue framework, or the ratification of the Nagoya Protocol.

88. However, there are concerns regarding future sustainability until the critical stakeholders, such as indigenous peoples groups and communities that live in areas with genetic resources, academia and the private sector involved in research or commercial processes of genetic resources, take up their roles. These stakeholders were only marginally involved in the project's capacity building and awareness raising activities. In consequence, the low involvement of such stakeholders in the national ABS/TK processes could pose the risk that they become dissenting or even opposite to the processes, affecting the project's socio-political sustainability. The view of key informers (non-government) interviewed during the evaluation indicates that the project did not make enough efforts to involve the critical stakeholders such as the indigenous peoples groups and communities in awareness raising activities, and in consequence, such stakeholders are misinformed and opposition can be expected when they assume their role in the national processes.

The evaluation of the criteria: Moderately likely (ML)

2.4.3 Sustainability of the Institutional Framework

89. The participating countries have formal institutional structures that support the ABS/TK process. These structures are very likely to remain in place since they have been created and strengthened as part of the national agendas and defined in the context of international dialogue.

90. The Focal Point of the CBD in each country, within the environmental authority, is responsible for the monitoring the ABS/TK process. Countries are engaged in ratifying the Nagoya Protocol, hoping that it will consolidate an acceptable ABS regime for the stakeholders of the country.

91. Sustainability of the achievements of the project depends, to a large extent, on the degree of robustness that has been reached in terms of the institutional frameworks in each of the participating countries. The project was not the founder of the related governance and institutional framework structures and processes in the countries, but it has provided important and highly valued contributions to guide policies and legal frameworks. The project contributed to an exhaustive analysis of legal frameworks to generate recommendations which facilitate the ABS/TK process. This is one of the most recognized outputs by beneficiaries.

The evaluation of the criteria: Highly Likely (HL)

2.4.4 Environmental Sustainability

92. The project is focused to guarantee conservation, sustainability and equity in terms of biodiversity resources. Regulations, good practices, agreements and national and international negotiations are focused to guarantee this sustainability.

The evaluation of the criteria: Highly Likely (HL)

2.4.5 Catalytic Role and Replication

93. The project had an important catalytic role in terms of various national and regional aspects.

94. In relation to behavioural change of stakeholders, there is evidence of the stakeholders opening up and improving the relations between organizations and the relevant stakeholders. The ABS/TK process in each country is focused on the environmental authority and the related Focal Point. The project interventions, the produced and shared information, established communication, promoted participation of the government stakeholders, such as the national economic planning offices, the intellectual property authorities and the justice authorities, which previously were outside the ABS/TK national discussions and improved relations with other governmental stakeholders have opened up new opportunities. A remarkable example is the involvement of intellectual property National Authorities from Panama, Peru, Dominican Republic and Colombia in the national genetic resources processes (specifically patent registration). The involvement of these Government stakeholders provided key contributions to strengthen the overall process of

advancing ABS/TK. Specific actions, such as promoting the recognition of the country of origin of a genetic resource when applying for a patent, showed to be effective in motivating the participation of stakeholders from academy and the agriculture and private sectors.

95. Stakeholders who were consulted in the participating countries agreed that fostering communication networks and other mechanisms for exchange of information and experiences, as well as promoting the use of legal and technical tools, methodologies and case studies are concrete results of the Project. They resulted in a change in behaviour of the stakeholders involved in ABS/TK.

96. The project also served as a catalyst for institutional and political processes. The technical offices which lead the ABS/TK process at the national level were recognized, strengthened and empowered. In the ratification of the Nagoya Protocol by three countries and the progress in the discussion by other countries, the project actions played a significant catalytic role.

97. On one hand, the project design (logical framework) did not include specific activities to promote creating incentives to catalyse the ABS/TK process, and governments, on the other hand, are also still at the stage of gathering information and building capacity, and hence they have not considered creating incentives to promote changes. It is expected that the dynamics of an ABS/TK process which involves concrete participation of the public, private and community stakeholders related to generating agreements and/or scientific or commercial negotiations, will be an incentive for active participation in due course. Also, the project's actions contributed to designing, managing and implementing bilateral GEF initiatives in Panama, Ecuador, Costa Rica and Peru that had also been supported by the Government of Germany. This was contributed to the experiences and knowledge gained through the project implementation which allowed the countries to better design, manage and implement such initiatives.

98. Although in some cases, such as in Colombia and Panama, the project led to negotiations with the GEF on biodiversity projects related to genetic resources or ABS; such as a GEF project on amphibians and ABS was also prepared and approved in Ecuador after the Project; in general ABS/TK remains an issue with limited funding in the region. Even though the increased number of proposals for funding by GEF 6 related to ABS/TK cannot be fully attributed to the project intervention, according to key informers interviewed by the evaluation, the project played a significant catalytic role which influenced in this matter.

99. The project did serve as a catalyst to empower relevant stakeholders or groups as "champions" in the participant countries. Among the most important can be highlighted the offices related to the registration of patents and intellectual property (WIPO focal points), which have a different name in each country and depend on different ministries. In Panama, for example, it is the Department of Industrial Property, in the Dominican Republic the National Industry Property Office (ONAPI), both in the Ministry of Commerce and Industry. These offices have moved the discussion on ABS/TK to other areas related to competitiveness, intellectual property and patent registration, which are processes currently being institutionalized at the national level. In the case of Colombia, the

Intellectual Property Office internalized and included within its regular procedures the issue of access to genetic resources.

100. The replication of project outcomes is not strictly considered within the logical framework; however, the nature of the project and its regional focus has generated an interesting replication scheme. For example, the ABS case studies produced by the project allowed countries to share their experiences. Other countries used these inputs to advance in their ABS/TK process depending on their own national circumstances...

101. In addition, the project organized regional workshops and bilateral meetings to promote experience sharing between stakeholders. For example, the sharing of experiences from Costa Rica to the Dominican Republic about contract mechanisms, has allowed progress in this process. The project has also provided opportunities for stakeholders from Colombia and Ecuador for bilateral exchange of experiences, which resulted in the replication of successful experiences and lessons learned in both countries. This project activity was highly valued by government actors and other sectors in both countries.

102. There was no active exchange by the Project executing agency and key stakeholders with other GEF funded projects related to ABS/TK at the global level. However, according to UNEP, progress of other ABS projects in the UNEP GEF portfolio was reported by the Task Manager in every Steering Committee meeting. The minutes of the 4th Steering Committee include an agenda item on report on other ABS projects but no minutes on this discussion, the 3rd SC meeting included a brief mention of other ABS projects but did not have a separate agenda item on it. The 2nd SC meeting included the most extensive discussions on other ABS projects, including the ABS Global project also included in this portfolio evaluation. Despite the frequent update that was made about the portfolio by the SC, IUCN and ABS focal points, countries stated that the project design did not include any specific activity that would allow exchange of experiences and to know the progress in other regions as a bench mark for action in LAC. Project coordinator and other interviewed people recommend that UNEP could have an internal mechanism to replicate and promote the outputs generated by the projects. IUCN as executing agency promote the technical outputs such as handbooks, legal analysis, NP interpretations, etc., beyond the life of project (including the maintaining of the website and an Event in the IUCN World Conservation Congress 2016).

103. The project participants indicated that the developed processes, lessons learned and analysis and/or studies would be replicable in other countries that are going forward with their national ABS/TK process, especially since common problems of countries were discussed.

The rating for replication is Satisfactory (S)

2.5 Efficiency

104. Achievement of outputs and outcomes was satisfactory and the project's implementation approach, synergies with other institutions and conjoint efforts by the implementing agency and the countries that participated in the project provide evidences that the project made the best possible use of its available time and resources. Implementation

framework and nature of the outputs do not allow further measurement of efficiency. All participating countries highlighted the UNESCO Chair's contributions during the project, in particular in several National Activities providing technical assistance to support the ABS national process.

105. The ABS/TK Focal Points as main recipients and beneficiaries of the project outputs consider that implementation was efficient and was well-planned to the extent possible. But there is the perception that the regional scope and complexity of the project did not make it possible to fulfil all expectations of the target beneficiaries. However, the implementation of project activities and outputs through partners such as WIPO, and the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University, among others, was a key factor that allowed the benefits of the project to be promoted well beyond expectations.

106. Taking into account the amount of financial resources available against the achieved outputs, but the evaluation not having a detailed financial analysis of project costs per outputs, it is the evaluation's perception that resources seem to have been used efficiently and effectively. The project's GEF budget was $850,000 of which 66% was used for the delivery of project components, which amounts to $561,000 for the eight participating countries. This was a relatively small budget for the large number of countries. IUCN as the executing agency and its partners performed well on this project with a small budget Measures to optimize resource use in favour of achievement of results were focused on taking advantage of national and regional meetings to promote and communicate technical outputs, and to promote exchange of experiences as a basis to replicate actions in accordance with national circumstances.

107. Delays and setbacks that affected the efficiency of the project occurred in the first year, especially with the start of the coordination of activities. IUCN originally planned to hire a person to coordinate activities and relations with the eight countries. Finally, the IUCN decided to appoint a regional senior officer, and since this change there have been no further delays. This regional senior officer, who acted as project coordinator, came on board at the end of first year of implementation of the project.

108. The institutional support in the countries facilitated the implementation of the project; ABS/TK Focal Points of the countries were involved in decision-making to optimize regional coverage of the project.

The rating for efficiency is Satisfactory (S).

2.6 Factors and processes affecting project performance

2.6.1 Preparation and readiness

109. Project preparation was satisfactory (S), congruent with the circumstance of international dialogue and conditions of each one of the beneficiary countries that are part of a global portfolio. However, some factors limited project preparation, and the identification and further engagement of relevant stakeholders was limited to the governmental line of ABS/TK Focal Points.

110. Despite this limitation, this deficiency was overcome through the identification of national and regional partners who facilitated the engagement of additional stakeholders with the project. This was the case of the Peruvian Society for Environmental Law, the CBD, and the Latin American Network of Women for Biodiversity, and regional/global bodies like WIPO, IUCN, and UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University. This arrangement allowed relative effectiveness in achieving the project objectives, even though they were regarded as rather ambitious. Co-financing estimated at project preparation, was made available, however, taking into account that it was mostly in the shape of in-kind contributions, the reports of co-financing from the Countries were difficult to obtain and to analyse. Both the IUCN as the project implementing agency and its partners recognized the benefits of this collaborative approach, based on the partners' strong institutional capacities.

111. The time frame for project implementation is considered tight in relation to the ambitious goals at the regional and national levels. This is a design issue that could significantly affect project performance. The inclusion of implementing partners with high expertise on ABS/TK issues helped the project management to overcome this design weakness.

112. With regard to the project document, the project design did not take into account the different starting levels of the participating countries. Considering that there are differences in capacities and skills of these countries, this can be considered as an omission in the project design. However the regional approach is deemed to be an excellent measure to manage this risk. Exchange between countries was a good example of activities to support this regional approach.

113. In regards the project objectives, some outputs related to tools, studies and training materials are a key for long term sustainability. However, the project design did not identify clear ways and responsible partners to promote replication. Furthermore, the project design did not include of having national coordinators for the project. This condition might have had implications for the efficiency of the project implementation, as described ahead in section "2.6.2 Project implementation and management".

114. The project design lacks a detailed analysis of the gaps in capacities and skills that the project was expected to bridge in the countries. This condition was identified as a significant risk at the beginning of the project. As described above, the regional approach contributed to managing this risk, by promoting exchanges between countries.

115. With broad and ambitious objectives, the financial resources seem limited. The design document assumes a high probability of additional funds coming from governments and other sources. Lack of adequate funds or rather over optimistic project design for the funds which were available, looks like a high risk for implementation, sustainability and replication.

116. Regarding monitoring and evaluation, an important limitation was that the M&E system included indicators mostly at the outputs level but did not include outcome or higher-level result indicators. Indeed, most indicators and targets for the project outcomes in the logframe are actually project outputs and quantitative output targets. This circumstance complicates the evaluation of results beyond the output level. In addition, it has limited

the possibility of a more strategic monitoring and adaptive follow up, keeping in mind the long-term impacts.

117. The nature of the objectives and outcomes of the project, as well as the implementation approach did not include a consideration of potential social or environmental impacts. Therefore the project design did not consider the social and environmental safeguards as defined by the GEF. The project logical framework included an M&E system mainly based on output indicators, with a few outcome indicators. An M&E framework lacking adequate outcome indicators is considered a significant limitation for a terminal evaluation focused on the review of the pathways from outcomes to impacts.

Preparation and readiness of the project is rated Moderately Satisfactory (MS).

2.6.2 Project Implementation and Management

118. Implementation of the project was guided by the mechanisms defined in the project document, as is confirmed in the Project Implementation Reviews (PIRs), MTR report and Project Final Report. The management of the project did not require significant changes to the original project plan. The main methodological revision that the project steering committee accepted regarding the national activities was the inclusion of "Knowledge Cafes", a series of Multi-sectorial national encounters /dialogues, 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 research and development, bio piracy, shared genetic resources and TK, and other critical issues); Project beneficiaries from governmental agencies and academic institutions indicated that these activities significantly contributed to building an open dialogue about the main bottle-necks in the progress towards national ABS/TK frameworks. In addition, the activities gave access to the beneficiaries to learn from experiences of others and to get information from external experts in specific subjects, for example in regards building legal frameworks. This is an example of how experiences were exchanged between the countries. Each of the implemented activities allowed the countries to share lessons and experiences stemming from the project of the ABS/TK process.

119. In relation to the role and performance of the project steering committee, the SC provided strategic guidance to the project thanks to the complementary views of its members. Its most important role was focused on guiding the administration and communication of the project. Technical guidance was limited, especially because of the technical strength of the Implementing Agency and technical clarity of the proposal. It is documented that most recommendations by the steering committee were accepted by the management of the project.

120. The project had a set-up and implementation arrangements that allowed good communication between the project and its partners and beneficiaries. Even when the project design did not adequately consider national circumstances to define project activities, during the implementation phase, the project established a strong coordination relationship with national focal points which allowed taking into consideration the national circumstances of institutional structures and level of progress of ABS/TK processes. This allowed adequate implementation of activities, delivery of outputs and

achievement of outcomes. It also ensured that the project did not encounter operational, political and institutional problems affecting its implementation.

121. In two cases, the project had to adapt to changing situations. At the beginning, the project had problems of communication and agreement in Peru. However, following adaptive management actions by the government in terms of the position of the ABS/TK Focal Point, the performance improved dramatically to the point where Peru has been one of the most successful countries in terms of the project outputs. With the direction of Steering committee, there was also a change of partner and approach in relation to the assistance to legal ABS/TK frameworks. This support moved from an agreement with the Peruvian Society for Environmental Law to the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University (Spain), which resulted in excellent national and regional support – a benefit recognized by recipients.

122. The project implementing team received most feedback from the national Focal Points of the participant countries, as well as from key stakeholders who joined the process, coming from sectors such as academia and NGOs. Also, the mid-term review report provided some recommendations that were quickly addressed by the project. One of the most relevant recommendations was aimed at broadening the reach of the project outcomes through better communication with stakeholders and an expanded range of target beneficiaries by organizing a larger number of national activities, such as workshops or meetings and by inviting more stakeholders to participate in these activities.

123. The project was implemented under a collaborative relationship between the project partners and the governments of the participating countries; the exchange mechanism, as mentioned, was based on the dynamics of the national and regional activities. Unfortunately despite this project was among a number of projects designed to promote implementation of the arrangements for access and benefits sharing from genetic resources and traditional knowledge under the CBD framework, no exchange activities between regions took place, the ABS -LAC project did not have any feedback from projects implemented in other regions and the projects did not have any joint and coordinated follow-up. These could have generated more dialogue and discussion to feed and guide the international dialogue of ABS/TK i.e. exchanges in CDB COP 13, or through lessons learned and real experiences that countries are facing in the process of development and implementation of the ABS/TK process.

124. During project implementation it was identified that in addition to a regional coordinator, a national coordination counterpart was required to identify and organize national activities. This task was delegated to official ABS technical national focal points. The performance, commitment and dedication of the focal points is, to a large extent, responsible of the project success. However, as it is the case in most countries in the region, the technical ABS focal points are government officials dedicated to several institutional activities and not exclusively to the ABS/TK issues. This could limit the scope of the results, as well as reduce the project ability to undertake planned activities. Project implementation and management is rated Satisfactory (S).

2.6.3 Stakeholder participation and public awareness

125. As previously mentioned, due to the approach used to identify and engage stakeholders in the design and implementation of the project, most of the project activities were focused on the ABS/TK Focal Points of the governments of the participating countries. This is how the project was designed, and this approach worked well given the project's objective of strengthening institutional capacities.

126. Later, during the second half of the project, the project promoted the involvement of other relevant stakeholders. These stakeholders were mainly from the academic sector, government agencies related to intellectual property and to a lesser extent the private sector. These stakeholders were identified and invited by ABS/TK Focal Points in each participating country. The involvement of indigenous peoples and communities was very limited, and this was a notable weakness given the fundamental role of indigenous peoples and communities in relation to the private sector planning to use of resources.

127. The implementation strategy conceived by the ABS/TK project stressed the need to first strengthen the institutional capacities within the governments and then to invite other stakeholders to actively participate in the project.

128. Thus, two lines of action were identified to promote stakeholder participation. The first directly targeted the public officials responsible for monitoring the ABS/TK process. Here the main task was capacity building and ensuring that there was a commitment and sensitivity to the issue. The second one aimed to enhance awareness among other government sectors associated with ABS/TK such as the Intellectual Property Authority. A review of project reports could not find evidence of participation of stakeholder groups outside the Government in any public awareness-raising activity. However, the perception of some stakeholders was that participation and awareness raising among stakeholders was accomplished through workshops, training, studies and documents of analysis. Participation of stakeholders is important in terms of effective achievement of outcomes, especially in the context of government and academia. The decision making in regards project actions included the government stakeholders, who largely proposed the agenda of activities to achieve the outcomes.

129. In Colombia and Costa Rica, interviewees noted that the private sector had been insufficiently involved (especially the stakeholders in the field of pharmaceutics). Also they considered that the participation of the indigenous people, communities and academic sector was not strong enough.

The rating for stakeholder participation and public awareness is Moderately Unsatisfactory (MU).

2.6.4 Country ownership and driven-ness

130. The success of the project is to a large extent contributed to the empowerment, commitment and interest of the participating countries to advance in the ABS/TK process and building a solid national and international regime.

131. The approach the project used to ensure participation was the direct involvement of the Focal Points in the design of the project and the implementation of activities. Project management facilitated and made the leadership of each ABS/TK Focal Point visible, who in turn opened the door to other stakeholders.

132. This means that governments largely assumed the responsibility for the project and provided the necessary support and assistance for the achievement of outputs and outcomes. The country contributions to the project were given on time, considering they were in-kind, as proven by their active participation and commitment to the activities and outputs. Not all countries had the same supportive contributions. Panamá, Colombia, Dominican Republic and Peru were more participative and collaborative countries; Ecuador, Costa Rica and Cuba at an intermediate level. Guyana was less receptive and supportive to the project implementation.

133. The project contributed to bridging of some knowledge gaps that existed within the governments, especially in regards knowledge of the ABS/TK processes at a global level, the requirements of an adequate legal framework for ABS/TK and negotiating skills.

134. Each participating country has institutionalized its ABS/TK process and the progress forward depends on national circumstances. This is an advantage for the implementation of a regional project. Guyana is the country that has had the least participation in the project, due to a low level of interest and appropriation by the Government. In the regional institutional framework, there are two platforms which also contributed to the good performance of the regional activities: the regional framework of the Andean countries for ABS and the framework of the Central-American Commission on Environment and Development (CCAD).

135. It is stressed again that the participation of the private sector was weak, and the main promoters of ABS/TK to date are the governments of each country, starting with the environmental and/or natural resources authorities that address the use of and access to genetic resources.

The evaluation rated country ownership and driven-ness Satisfactory (S).

2.6.5 Financial Planning and Management

136. Project financial planning is considered satisfactory. Financial resources were made available in a timely manner to the project along its duration. Presentation of project financial reports was completed according to schedule. However, the last financial report of 2014 was submitted with a delay of 1.5 months due to updating of the internal system of IUCN.

137. The project's actual expenditure was in accordance to the planned. Overall financial performance of the project was highly satisfactory, 97% of the budget was spent, including cost of the GEF trust fund and co-finance contributions from the Executing Agency (IUCN), third party (governments and partners) and UNEP. From the original budget of US$ 1,802,166.00, the project spent US$ 1,749,735.82. Table 5, shows details about the overall budget.

Table 5. Budget implementation summary

	Original Budget US$	amount spent US$	Variation US$	spent %
Cost to the GEF Trust Fund:	850,000.00	829,474.82	(20,525.18)	98%
Cash contribution from the Executing Agency:				
In-kind contribution from the Executing Agency:	165,000.00	217,192.00	52,192.00	132%
Third party co-finance (cash):				
Third party co-finance (in-kind):	647,166.00	623,069.00	(24,097.00)	96%
UNEP-DELC co-finance (in-kind)	140,000.00	80,000.00	(60,000.00)	57%
Total cost of the project:	1,802,166.00	1,749,735.82	(52,430.18)	97%

Source: Compare among Original Project Budget and Completion Project Signed

138. The project management team explained the difficulty to estimate the value of in-kind contributions, considering that some items, such as costs for meetings rooms and staff time, have to be divided among other non-project activities. However, in-kind contributions were well estimated. After project completion revisions, US$ 20,525.18 was reimbursed as remain of GEF trust fund (according with Project Completion Revisions. The approved funding from the GEF was divided into five components (Table 6 based on Final Expenditure Report). However, the expenditure reports do not report project expenditure by outputs. The Annex 6 describes the expenses by each budget line associated with a group of outputs. The budget was spent as planned and there were not critical deviations which required hard adaptive decisions.

Table 6. Budget components

Components		Estimated amounts (US$)
Component 1	Building national capacities, information	367,116.94
Component 2	Promoting fair and equitable ABS/TK	123,106.37
Component 3	ABS/TK International Treaties	55,478.34
Project M&E	Project M&E	37,400.00*
Project Management	Project Management	246,380.81

*The source report include $7,400 value; however to be consistent with other signed source, M&E Project componente could include the amount of mid term and final evaluation (30,000)

Source: Own genaration, based onFinal Expenditure Report.

139. The investments by component showed that 44% of GEF budget was spent in activities for building capacities, at least 15% in promoting fair and equitable ABS/TK, and 7% in ABS/TK International Treaties. In addition, 30% of this budget was for project management, focused on coordination, technical and specialist support. Almost 5% was spent for project M&E.

140. Co-finance budget from UNEP covered the technical specialist and operational costs; IUCN co-finance was spent on project management, design of web page, virtual forums, knowledge cafes, equipment, office space and operational costs.

141. Co-finance from the participating countries was provided to support project implementation with technical specialist, administrative support, office space, equipment and communications. It should highlighted that the co- financing provided by Cuba was for the Regional Capacity Building Workshop on negotiating access contracts / agreements

and other benefit sharing tools and the support of Cuba, Dominican Republic and Panama was to organize Knowledge cafes.

142. Governments' and partners' co-funding resources were adequately documented with co-financing letters. Virtually all of the co-financing was in-kind contributions. Nevertheless, activities such as national workshops were cash co-funded by Cuba and the Dominican Republic. Reference to good project performance in financial management has been made by partners. No administrative irregularities have been reported that have negatively affected the project performance. For this reason, UNEP was not requested to take action.

143. Management followed and complied with the administrative regulations and practices of IUCN in terms of recruitment processes, consultant contracting, acquisitions, etc.). According to the minutes of the inception workshop and steering committee meetings, the UNEP task manager provided guidance to the Project Management team to implement the project. However the project management team received insufficient specific administrative guidance as how to meet GEF/UNEP administrative regulations. To guarantee transparency and clarity in funds execution, audits were conducted by IUCN.

144. Regarding the timing of disbursements, the project was delayed in the beginning, and this delayed budget implementation on first year. However, this situation was regularized and finally almost all of the budgeted funds were spent, as described above. Since the second year, no significant delays were evident in transfers and expenses. Finance reports were presented in time, quality of reporting was according with contract.

Financial Planning and Management is rated Satisfactory (S)

2.6.6 UNEP Supervision and Backstopping

145. UNEP's responsibilities in the project included project oversight and overall supervision, ensuring that the project meets UNEP and GEF policies and procedures. UNEP was to review the quality of project outputs, provide feedback to the project partners and establish a peer review procedures ensuring quality of the scientific and technical outputs and publications. The executing agency, through the established project management team, was to oversee the execution of the project and to provide technical back-stopping to the project.

146. Project reports including PIRs, half-yearly progress reports and the final report were prepared and delivered on time by project management and by the UNEP Task Manager. The reports were adequately reviewed by UNEP Task Manager. Quality of PIRs is adequate, considering that those documents were based on and prepared according with project performance, which followed the project log frame. The evaluation did not find any reference to rejected reports or request for amendments to such reports, assuming that the report approval process was successful. The project Steering Committee Meetings, coordinated by UNEP and the Executing Agency, were held regularly, and the UNEP Task Manager conducted three supervision missions.

147. Whilst the quality of reporting and fiduciary aspects of project implementation were adequate and UNEP seems to have adequately played its role in the project

implementation, the project management team highlighted good compliance of UNEP's role during the project cycle. They noted two items which could have had better attendance from UNEP Task Manager. One was the guidance about GEF requirements for the project management, which could support how to broaden the reach of project outcomes and enhancing sustainability. Second, is a timing administrative delay; on May 2015 the official closing letter of the project was still not issued, which had been requested on November 2014, issue that did not have consequences for IUCN however this is part of the internal procedures requested by IUCN as international organization.

UNEP Supervision and Backstopping is rated Moderately Satisfactory (MS)

2.6.7 Monitoring and Evaluation

M&E Design & budget

148. The logical framework is considered as a fundamental instrument for implementing, monitoring and evaluating projects. In this project, indicators included in the logframe were focused on the achievement of outputs. This is considered as a shortcoming in the design of the project's M&E framework since it limits the ability of project management to make adjustments and make decisions regarding the achievement of project's expected outcomes. The M&E design was also an obstacle for a final evaluation focused on assessing project's progress from outcomes to impact.

149. However, the selected indicators were adequate to track delivery of outputs, with clearly defined measurement methods, achievable targets, and with clear established timing.

150. The project management team was responsible of monitoring of the project implementation. The monitoring frequency was defined specifically for each indicator in the M&E framework (frequencies of 6, 12, 16 and 36 months depending on the indicator). The M&E Work plan execution was reported every six months and annually in the Project Implementation Review.

151. With regard to M&E budget, the total costs for M&E were estimated at **US$ 104,158** which was expected to be covered from **US$ 51,000** GEF funds and **US$ 53,158** co-funding. The following table details the breakdown of the M&E budget:

Table7. Budget for Monitoring and Evaluation

M&E Activities	Responsible party	Timeframe	M&E cost
Regional inception workshop (to be carried out back-to-back with first regional encounter)	1° EA 2° UNEP (DGEF)	First 3 months	US 11,000
Inception Report	1° EA	30 days after meeting	US$ 0
Mid-term independent external evaluation	1° UNEP (DGEF) 2° Steering Committee 3° EA	At project mid-point	US$ 21,000
Steering Committee meetings (virtual)	1° EA 2° UNEP (DGEF)	At least twice a year	US$ 22,700
Yearly Project Implementation Review (PIR) and feedback processes	1° EA 2° UNEP (DGEF) 3° Steering Committee	July every calendar year	US$ 13,458

M&E Activities	Responsible party	Timeframe	M&E cost
Financial audits	1° EA 2° UNEP (DGEF)	End of each calendar year - or fixed EA cycle	US$ 15,000
Terminal independent external evaluation	1° UNEP (DGEF /EOU) 2° Steering Committee 3° EA	At end of project implementation	US$ 21,000
Project Final Reports, including inventory	1° EA 2° UNEP (DGEF)	Within 3 months of project completion date	US$ 0
		TOTAL	**US$ 104,158**

152. The large proportion of Project's total budget allocated for M&E activities is noticeable. However, no references were found in the financial reports regarding progress in the expenditure of this budget.

M&E Implementation

153. The project management team indicated that the data collection methodology was complicated due to the broad nature of the defined outputs, such as "positions of countries" or "technical assistance" the project delivered but which were difficult for the management team to measure since they lacked specificity. In some cases, data sources were the outputs themselves.

154. In some cases, it was difficult for the project management to establish baseline values for some indicators, especially those related with specific national circumstances, given that, as mentioned before, the assessment of national circumstances made at the beginning of the project, was not very thorough or up-to-date.

155. Limitations of indicators to assess outcomes and higher-level results of the project were identified, and in reconstructing the theory of change, it was clear that there was a lack of monitoring data regarding these changes beyond project outputs. At the qualitative level some progress could be shown, for example in improving legislation, policy changes, or the momentum that was provided to national ABS/TK initiatives.

156. Project monitoring was oriented to track project performance. Accordingly, it showed to be an effective instrument to identify deviations and to propose corrective actions in a timely manner. Monitoring information was generated in time, as well as were audits, PIRs, half yearly progress reports, financial reports and the mid-term review. Being an M&E system oriented to the performance of project (operative), it was an adequate instrument to establish deviations and to propose corrective actions in a timely manner. For example, at some point, the monitoring results showed that there were troubles in engaging strategic national stakeholders through the intervention of focal points. Therefore, it was decided to incorporate partner organizations to contribute to the engagement of such stakeholders. As another example, the monitoring results showed a low number of participants in some of the national activities (workshops, knowledge cafes, etc.). Based on this result it was decided to make an effort to identify additional

stakeholders and to increment the number of invitations submitted to potential participants.

157. As stated before, the project M&E system was not designed to assess outcomes to impacts. It is a weakness from the planning process, and it was not corrected during the implementation, correspondingly affecting the ability to evaluate achievement of higher level results and the likelihood of impact.

158. The beneficiaries were not involved in any of the monitoring activities.

Use of GEF Tracking tools

159. The evaluation was unable to find any documentary evidence that the project used the GEF tracking tools as part of its M&E efforts. The monitoring instrument used by the project was provided by UNEP, and implemented by Project Management Team. Some corrections were made to the instrument's template. This situation highlights the insufficient level of coordination between the project management team and the UNEP team, reported above under "UNEP Supervision and Backstopping".

2.6.8 Equity Focus

160. The project does not have any concrete evaluation evidence for equity. The nature of the project was not focused on identifying inequities or specific vulnerabilities of women, children, and indigenous peoples.

161. Positive actions related to the subject were incorporated, for example through the participation of the Latin American Network for Indigenous Women's for Biodiversity and its contribution to the production of materials and execution of activities. For example, the input of Yolanda Terán, who worked on an article about the role of indigenous women in the ABS/TK, and how they contribute to improve learning, is of interest.

162. The project supported a group of indigenous women to participate in the CBD workshop for ABS/TK, in Asuncion Paraguay, in 2012. Also, in the second and third meeting of the project in Cuba and Bogota there was participation of indigenous women.

2.6.9 South-South Cooperation

163. The nature of the project can be defined as a model of south-south cooperation. The project was strongly based on exchange between countries. The eight participating countries had the possibility to showcase positive and negative experiences learned in the ABS/TK process. Also, IUCN as the project's executing agency, has contributed to south-south cooperation with knowledge and facilitation of dialogue between countries. The project approach did not allow for cooperation with other regions of the world, i.e. Asia and Africa.

3 CONCLUSIONS, LESSONS LEARNED AND RECOMMENDATIONS

3.1 Conclusions

164. The ABS-LAC Project implemented regional and national activities focused on eight countries. During the life of the project, Panama, Peru and Dominican Republic ratified the Nagoya Protocol. In addition, eight countries, made advances in strengthening their legal framework on ABS/TK.

165. The Project produced at least 16 technical documents on ABS/TK and the Nagoya Protocol in order to support the national processes. More than 24 national activities enhanced the capacities of national ABS stakeholders. According to the opinion of informers interviewed by the evaluation, the quality of these deliverables was adequate and they were valuable and supportive for the incipient ABS/TK national processes.

166. The implementation of this project demonstrated that a regional project, covering multiple countries, with heterogeneous capabilities and national circumstances, requires in addition to a regional coordinator, to also consider and include "national coordinators". These national coordinators are needed to design, plan, organize and follow up on the national activities and relations with national actors, beyond what is feasible to delegate to the "institutional focal points". This is particularly important considering that in most countries, delegates such as technical ABS focal points, are government officials dedicated to several institutional activities not exclusively to the ABS/TK issues; however the participation of such national coordinators would require additional funding.

167. The project did not have a systematic and consistent assessment of country specificities to design activities to be better in line with national circumstances of each country. Instead, the project had a "standard package" of interventions and activities aimed at several countries with different national circumstances.

168. While the participation of national stakeholders in the project was extensive in most participating countries, some sectors such as academic, private and community / indigenous stakeholders could have had a more significant participation, given the role they should play in the national and regional dialogue around the issue of ABS/TK.

169. The involvement in the project of the implementing partners with a high level of expertise in issues important to ABS/TK, such as the UNESCO Chair of Landscape and Environment at the Rey Juan Carlos University, WIPO, IUCN, among others, increased the effectiveness of the project both at the regional and national levels beyond what was expected. Particularly considering the budget and time-frame of the project and its ambitious goals.

170. The project achieved significant successes in increasing awareness on the issue of ABS/TK in the participating countries. An indicator of this success is that some countries significantly increased the number of proposals and projects approved for funding by GEF 6 related to ABS/TK. Even when this cannot be fully attributed to the project intervention, according to key informers interviewed by the evaluation, the project played a significant catalytic role which influenced in this matter.

171. The monitoring and evaluation system was focused on monitoring compliance in carrying out planned activities and delivery of products (outputs). The system was not designed to monitor results (outcomes) much less impact in the medium and long term. The project did not undertake significant efforts in ensuring the sustainability of their impact after completion; and these circumstances limited and complicated the ability to make a final assessment for project effectiveness and impact.

172. Issues related to ABS/TK have been attended by the environmental authority related to genetic resources. Engagement of government institutions related to intellectual property and patents in the process allowed a qualitative leap in the promotion and adoption of the ABS/TK by the relevant actors, especially the private sector. Countries have experience in the legal and institutional framework that supports the issue of patents. This condition has given support and has contributed to national ABS/TK processes.

173. The project did not implement direct activities with the formal regional bodies related to ABS/TK, i.e. Andean Community and CCAD, which could have increased the regional coverage of the outcomes and contributed to wider impact at the regional level.

174. The project was efficient in the achievement of outputs and outcomes within the available budget. Besides, it is relatively easy to identify and quantify the strong in-kind contributions from the participating countries. However, countries consider that the greatest contribution of this small project is its catalytic role that has boosted the national ABS/TK processes of eight countries in Latin America.

Table 7. Rating of the Evaluation Criteria

Evaluation Criteria	Rating
A. Strategic Relevance	Satisfactory (S)
B. Achievement of Outputs	Satisfactory (S)
C. Effectiveness: Achievement of planned objectives and outcomes; probability of impacts	Satisfactory (S)
1. Achievement of direct outcomes	Satisfactory (S)
2. Likelihood of impact	Satisfactory (S)
D. Sustainability and Replication	Likely (L)
1. Financial sustainability:	Moderately Likely (ML)
2. Socio-political Sustainability:	Likely (L)
3. Sustainability of the Institutional Framework:	Highly Likely (HL)
4. Environmental Sustainability:	Highly Likely (HL)
5. The Catalytic Role and Replication of the Project:	Satisfactory (S)
E. The Efficiency of the Project	Satisfactory (S)
F. Factors and processes that affected the Project performance.	Satisfactory (S)
1. Preparation of the Project	Satisfactory (S)
2. Project Implementation and Management	Satisfactory (S)
3. Stakeholders participation and public awareness	Satisfactory (S)
4. Country ownership and driven-ness	Satisfactory (S)
5. Financial Planning and Management	Moderately Satisfactory (MS)

6. UNEP Supervision and Backstopping	Moderately Satisfactory (MS)
7. Monitoring and Evaluation	Moderately Unsatisfactory (MU)
8. OVERALL RATING	Satisfactory (S)

General ratings: HS = Highly Satisfactory; S = Satisfactory; MS = Moderately Satisfactory; MU = Moderately Unsatisfactory; U = Unsatisfactory; HU = Highly Unsatisfactory.

Ratings for sustainability sub-criteria: HL = Highly Likely; L = Likely; ML = Moderately Likely; MU = Moderately Unlikely; U = Unlikely; HU = Highly Unlikely.

3.2 Lessons Learned

175. 1) The design and implementation of the project did not consider, to an adequate extent, the specific national circumstances and progress on ABS/TK (Access and Benefit Sharing/Traditional Knowledge) but applied a general, non-country-specific approach to its national and regional activities. This resulted in an asymmetrical participation by countries and led to varied performance in the different countries. It is therefore important that country-specific circumstances are considered in more detail when designing projects with a regional focus.

176. 2) Despite the project had a regional focus, the project did not define and include a precise definition of responsibilities, engagement of, and working through regional bodies or implementation of activities at the regional level beyond sharing of experiences. Due to financial limitations, this limited the achievement of outputs, outcomes and impacts. Design and implementation of regional projects should include more than country-level activities. A regional approach requires regional-level activities in order to obtain outcomes and impact at the regional level. In the case of ABS/TK (Access and Benefit Sharing/Traditional Knowledge) in Latin America and the Caribbean, a regional approach could have been strengthened by implementing activities to strengthen the ABS process through the Andean Community and the Central American Commission for Environment and Development.

177. 3) Due to the technical nature of its activities, the project was implemented targeting beneficiaries that were not empowered in terms of decision making authority or resource management. This limited the project achievements. Projects should make effort to promote the participation of decision makers to provide political support to project activities and its pathways to long term impacts.

178. 4) The governments' environmental authorities, responsible of promoting the access and benefit sharing schemes in the participant countries, showed a lack of leadership necessary to involve key stakeholders in the national processes. The involvement of other government agencies related to patent registration, intellectual property, bio prospection, etc., showed to be successful in engaging a wider range of stakeholders, particularly those from private and academic sectors. However, this approach showed to be yet limited for promoting the participation of indigenous peoples and communities. Projects should make efforts to actively engage with a wider range of stakeholders beyond the environmental

authorities, and to include in the project steering committee more than one government authority.

179. 5) The project's monitoring and evaluation system was designed to measure the achievement of outputs. This made it difficult to assess the achievement of higher level results and likelihood of impact of this regional project which aimed to strengthen the capacities of countries to develop and comply with national policy and legal frameworks regarding access to genetic resources, benefit sharing and the protection of traditional knowledge. Monitoring and evaluating a project only in terms of delivery of outputs provides a limited view of its contributions to outcomes and impact. In order to be able to monitor and evaluate the project's success in achieving higher level results, a project's monitoring and evaluation framework should include clear outcome level indicators.

180. 6) An ex post reconstruction of the theory of change of the project and the analysis of intermediate states leading to strategic impacts is a useful tool for evaluating the likelihood of impact, but it has limited value for adaptive management at the evaluation stage. The ToC should be thought through at the project design phase, with participation and feedback from the project stakeholders. This would enable the project to identify risks and attend drivers and assumptions the best way.

181. 7) Implementation of the project on access and benefit sharing and traditional knowledge through a regional executing agency with high technical capacity and institutional agenda related to the project was beneficial in optimising the achievement of results. An executing agency with the right technical capabilities and position in the project countries is able to establish alliances with other specialised agencies to perform specific activities. In such cases, the contribution of the executing agency goes beyond the direct cost of services. Regional projects, particularly with high expectations of achievement and limited resources, could greatly benefit from engaging an executing agency with the optimal position in the project countries.

182. 8) Global initiatives such as the implementation of the arrangements for access and benefit sharing from genetic resources and traditional knowledge under the CBD framework have required the design and implementation of mechanisms to support countries to build capacity and achieve the objectives set by the international dialogue. For example, a global portfolio of projects to advance access and benefit sharing and traditional knowledge was developed. However, if these projects do not have a joint and coordinated follow-up, the likelihood of sustained contribution towards the advancement of access and benefit sharing and traditional knowledge is significantly reduced. In the case of Latin America the ABS-LAC project did not have any feedback from other regions. Projects attempting to advance the same issue should not work in isolation but they should adopt a more coordinated approach to implementation and follow-up.

In the implementation of projects, it is important to attend and try to align the administrative requirements of both, executing and implementing agencies, to avoid contradictions or non-fulfilment in the internal performance of the agencies. That is, IUCN require an official closing letter from UNEP, once the project has finished and accomplished all the agreement content.

ANNEXES

Annex 1 Comparative planned and delivered outputs

The Project Outputs are:

Publications:

Six Case Studies in Latin America and the Caribbean: Access to Genetic Resources and Benefit Sharing

Access to Genetic Resources in Latin America and the Caribbean: Research, Commercialization and Indigenous Worldwide

Access to Genetic Resources in Latin America and the Caribbean: Implementation of the Nagoya Protocol at a National Level

Access to Genetic Resources in Latin America and the Caribbean: support tools for implementation. Analysis

Legal Analysis from UNESCO Cathedra[4]

Compilación de Códigos de Conducta y Mejores Prácticas sobre ADB

Instrumentos y Procesos Internacionales relacionados con el Protocolo de Nagoya

Elementos críticos hacia la implementación nacional del Protocolo de Nagoya. Aprendizaje desde América Latina y el Caribe

Estudio sobre opciones de implementación de los puntos de verificación y el sistema de vigilancia de utilización y cumplimiento de los recursos genéticos conforme al Protocolo de Nagoya

Other Project Results

Lista de Expertos en ADB/ Roster of Experts on ABS

Tercer Taller Regional de Cierre del Proyecto UICN PNUMA GEF ABS LAC

Taller de Negociación de Contratos de ABS, La Habana, 2013

El Foro Virtual sobre la Implementación del Protocolo de Nagoya

El Foro Virtual sobre la Implementación del Protocolo de Nagoya - Segundo Semestre

Informe Campaña Redes Sociales UICN PNUMA GEF ABS LAC

Evento Paralelo en la 3ra Reunión Comité Inter-Gubernamental del Protocolo de Nagoya – Febrero 25 del 2014

A short explanation to some articles of the Nagoya Protocol (NP)

Article 6 of the Nagoya Protocol

Article 12 of the Nagoya Protocol

Article 13 of the Nagoya Protocol

Article 15-17 of the Nagoya Protocol

Article 18 of the Nagoya Protocol

Article 19-20 of the Nagoya Protocol

Analysis about ABS issues in LAC Region. (Prepared by Jorge Cabrera, Consultant)

El Protocolo de Nagoya: Opciones de Política para su Implementación en América Latina

La Relación del Protocolo de Nagoya con el Tratado Internacional de Recursos Fitogenéticos para la Alimentación y la Agricultura: Opciones y Recomendaciones de Política para una Implementación Sinérgica a Nivel Nacional

Analysis about ABS issues in LAC Region (prepared by SPDA):

Reflexiones sobre el rol del derecho consuetudinario indígena en la protección de los conocimientos tradicionales a propósito del Protocolo de Nagoya

El Flujo y Monitoreo de Recursos Genéticos en el Marco del Protocolo de Nagoya

[4] Academia: Legal Analysis (Rey Juan Carlos University) http://www.portalces.org/biblioteca/distribucion-equitativa-de-costos-beneficios/documentos/compilacion-de-codigos-de

Los registros de conocimientos tradicionales de los pueblos indígenas: algunos alcances para su desarrollo en un contexto de protección
El Régimen de Acceso a los Recursos Genéticos y su Aplicación a los Centros de Conservación Ex Situ
¿Cómo prevenir y enfrentar la biopiratería? Una aproximación desde América Latina y el Caribe.
Preguntas Frecuentes sobre Biopiratería

National Activities:
Colombia:
2013: FORO "Distribución de beneficios y su relación con los investigadores y centros de investigación en diversidad biológica"
Costa Rica:
2012: Contribución de la Biodiversidad a la equidad y el crecimiento sostenible en el país en cuanto a ABS
2013: Jornada sobre el régimen de acceso en Costa Rica
Cuba:
2012: Café del Conocimiento
2013: Taller de Negociación de Contratos de Acceso a Recursos Genéticos y Conocimientos Tradicionales Asociados y Distribución Justa y Equitativa de los Beneficios que se Deriven de su utilización (ADB)
2013: Reunión sobre ABS en el IV Congreso sobre Manejo de Ecosistemas y Biodiversidad de la IX Convención Internacional de Medio Ambiente de Cuba
Ecuador:
2011: Conocimientos Tradicionales
2012: Generación de Compromisos para cumplir con el Régimen de Autorizaciones de Acceso a Recursos Genéticos
2013: Taller relativo a los Conocimientos Tradicionales, Expresiones Culturales Tradicionales y Recursos Genéticos
2013: El Foro Internacional "Los Conocimientos Tradicionales, Recursos Genéticos asociados y Biocomercio como Herramientas para el Desarrollo Sostenible, Justo y Equitativo en Búsqueda del Buen Vivir (SUMAK – KAWSAY)"
Guyana:
2012: Knowledge Café of Guyana related to Genetic Resources and Benefit Sharing
Panamá:
2012: Acceso a Recursos Genéticos y Distribución de Beneficios
2013: Panamá en la vanguardia de la puesta en valor del a biodiversidad y lucha contra la biopiratería
Perú:
2012: Biopiratería: Definiciones, Técnicas y Legales. Causas y Consecuencias.
2013: Capacitación sobre Acceso a Recursos Genéticos y Participación en los Beneficios.
2013: Taller Intercultural sobre el Sistema de Acceso a Recursos Genéticos y Distribución de Beneficios.
2014: Taller Nacional "Análisis Jurídico e Institucional relacionado al Acceso y Participación de los Beneficios".
Dominican Republic:
2012: Memoria del Café del Conocimiento
2013: Taller Nacional de Creación de Capacidades en Negociaciones sobre Acceso y Distribución de Beneficios
2013: Taller Nacional sobre la Defensa de los Recursos Genéticos (Bio-piratería) en República Dominicana
2014: VIII Congreso de Biodiversidad Caribeña

Documents about Traditional Knowledge and ABS:
Acceso a recursos genéticos y distribución de beneficios: participación de la Red de Mujeres Indígenas sobre Biodiversidad para América Latina y el Caribe (RMIB-LAC).
Programa de Trabajo sobre el Artículo 8J y Disposiciones Conexas
Los Conocimientos Tradicionales y los Derechos de las Comunidades Indígenas y Locales

Annex 2. Table of Comparison of planned output against the delivered outputs

Comp	Outcome	Outputs	Delivered
Component 1. Building capacity to deal with challenges and opportunities of ABS/TK and promote best practices.	Outcome 1.1: Stakeholders gain knowledge regarding national bioprospecting situation and potential, gaps in national ABS/TK regimes and common of regional needs.	1.1.6. Cases of bio-prospecting and bio-piracy (including use of community protocols) documented in a data base for the LAC region, as part of the project website.	100% delivered. i. Study cases compiled in website. "Six Case Studies in Latin America and the Caribbean: Access to Genetic Resources and Benefit Sharing" ii. Como prevenir y enfrentar la biopiratería? Una aproximación desde América Latina y El Caribe iii. Preguntas frecuentes sobre biopiratería iv. Access to Genetic Resources in Latin America and the Caribbean: Research, Commercialization and Indigenous Worldwide.
		1.1.7. 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.	Relevant bioprospecting and bio piracy cases were shared among project countries and disseminated by the countries themselves. v. The same 6 case studies (i)
		1.1.8. Information documents and/or case studies addressing critical issues (potential synergies and conflicts) regarding international treaties on ABS, TK, trade and IPR (e.g. 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. (Coupled with 3.1)	vi. SPDA has promoted exchange of experiences among Peru, Ecuador, and Colombia (SPDA produced other document for Andean Community). Besides the Peruvian National Commission on Bio piracy supported the process of sharing experiences. vii. SPDA, Peruvian National Commission on Bio piracy, participated.
		1.1.9. National research institutions /think-tanks participate in project-funded studies and are recognized in the resulting publications.	viii. 3 regional workshops (nov2011; Mar2013; May2014) were able to include a larger participation with support of other partners.
		1.1.10. 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).	

	Outcome 1.2: Stakeholder interests and capacity to advocate for best practices in ASB are increased.	**1.2.4.**	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, 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.	ix.	100% completed. Website on-line along the Project (still on line in the IUCN Sur CES Portal) – this website is hosted by IUCN Sur.
		1.2.5.	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&D. (Definitive topics are subject to confirmation).	x.	100% completed. Case Studies were produced. A Publication was also printed and distributed (i); other Case study: "Compilación de Códigos de Conducta y Mejores Prácticas sobre ADB".
		1.2.6.	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&D sector, bio piracy, 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.	xi.	Knowledge cafes, national workshops were held to promote multisectorial dialogues.
Component 2. Promoting ABS /TK regimes and agreements that effectively integrate legal, technical and social aspects	Outcome 2.1: Countries acquire increased capacity to draft, put in place and implement ABS/TK regulations, in a manner that is in line with the CDB	2.1.7.	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.	xii.	Legal frameworks studies for the implementation of the Nagoya Protocol were done in countries. Technical assistance were provide by the Project (Unesco Cathedra). Several project countries lack or have incomplete ABS legal frameworks. Output were very useful in national processes.
		2.1.8.	Draft elements and regulations on ABS /TK are developed and circulated among national stakeholders	xiii.	Publication: Access to Genetic Resources in Latin America and the Caribbean: Implementation of the Nagoya Protocol at a National Level. Besides
		2.1.9.	National ABS competent authorities clearly defined and personnel selected and identified to respond to demands in regards of ABS and TK (including from CBD Secretariat, national actors, indigenous representatives, etc.).	xiv.	The information of authorities exist, on contact at national level and a better integration among national institutions was possible. The Regional Workshops of La Havana and Bogotá were very helpful.
		2.1.10.	Regional and national experts in ABS/TK (from multiple sectors including the private sector) are	xv.	A list of experts is available in the website project. There was updated during the life of project. The SCBD indicated that this was not priority for the project, but it was important for National Authorities to track this

			identified, and nominated to national rosters and in some cases to the CBD's roster of experts.		national ABS experts.
		2.1.11.	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.	xvi.	The IUCN Guidelines on ABS were distributed to the project participant countries. In addition, WIPO tools on TK and ABS were distributed and presented in the Bogotá Workshop. Guide on Bio-Cultural Protocols (from Natural Justice) were translated in to Spanish and distributed to Local Communities and Indigenous People. The info is in Website. UNESCO Cathedra also provide technical advice to the countries on ABS Nagoya Protocol issues.
		2.1.12.	Virtual forums (national or sub-regional) for multi-stakeholder exchanges to understand stakeholder needs and demands, in particular those of ABS/TK government actors.	xvii.	Virtual forums were done about Nagoya Protocol issues. Analysis of some key NP
	Outcome 2.2: Stakeholders and right-holders are better able to negotiate, coordinate and monitor ABS agreement.	2.2.6.	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.	xviii.	Training workshop on ABS Agreement was carried out in march2013 in Havana. In addition, ILC delegates from six countries were supported to participate in the CDB Training for Trainers workshop on ABSD for IP´s and Local Communities in Asuncion (Aug 2012) and in coordination with the NFPs was also possible for the ILCs/CBD Workshop (Cochabamba Dec 2013)
		2.2.7.	Measures to monitor ABS agreements cost-effectively and avoid bio piracy cases, identified and agreed to by a wide range of stakeholders from project countries, are posted on the project website	xix.	In La Havana workshop, SPDA presented to the countries control mechanisms for bio-piracy (March 2013). In a virtual forum have discussion about bio piracy issues.
		2.2.8.	New or consolidated National Groups for the Prevention of Bio piracy arise in at least 2 project countries	xx.	National Groups of Ecuador and Colombia (supported by SPDA) the Peruvian national commission on Bio-Piracy also supported national processes in Ecuador and Dominican Republic.
		2.2.9.	Knowledge transfer from ILC female leaders (from non-project countries) with experience in mobilizing ABS/TK issues within their communities	xxi.	This output was coordinated between IUCN-SUR and the CBD for the ILCs Capacity building workshop on ABS- Asuncion (Aug 2012). The Havana Workshop were ILCs were invited and presented their achievements on this matter. Three national activities were done about this output. (Peru, Panamá and Ecuador)
		2.2.10.	Recommendations from Government and ILC representatives for strengthening the participation of ILCs in the negotiation of ABS/TK contracts, agreements, permits and positions.	xxii.	The recommendations were gotten from workshops.

Component 3. Consolidating countries capacities to partake in the ABS/TK arena and promote the sustainable use of biodiversity	Outcome 3.1: Countries are empowered to contribute constructively to adopt and/or responsibly implement international treaties relating to ABS/TK	3.1.6.	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.	xxiii.	Several activities about this output were joint planned and implemented with stakeholders in Project Participant Countries. . Two Workshops with country representatives was carried out by WIPO. Besides, workshops with the SCBD (Indigenous Peoples) and CAN –Andean Community) on ABS and Decision 391. (During second year of the project). An International Side Event was also carried out in CBD COP11, where ILCs also presented their views and training tools. The project also improve the ling with the NFPs and ILCs in the CBD workshop in this matter in Bolivia (December 2013).
		3.1.7.	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 (part of 1.1)	xxiv.	One analysis on FAO treaty (Cabrera/Nemoga) was produced (El Protocolo de Nagoya: Opciones de Política para su Implementación en América Latina La Relación del Protocolo de Nagoya con el Tratado Internacional de Recursos Fitogenéticos para la Alimentación y la Agricultura: Opciones y Recomendaciones de Política para una Implementación Sinérgica a Nivel Nacional. In addition the legal frameworks analysis (UNESCO Cathedra) has also considering this inter-relationship in its preparations. SPDA also prepare a paper on this patter.
		3.1.8.	Technical assistance provided to countries, on demand, regarding the relation between trade, IPR, ABS and TK	xxv.	Countries had technical assistance on demand. With SPDA, UNESCO Cathedra, IUCN. Virtual Forums were one successful tool to provide tech assistance.
		3.1.9.	Positions of countries and the region are specifically reflected in international instruments, and preparatory exchanges strengthen country participation in international fora.	xxvi.	Countries such as Panamá, Guyana, Peru and Dominican Republic have already ratified the Nagoya Protocol. Other are advancing such as Ecuador and Costa Rica. Technical support was provide to Ecuador in order to present the ratification of Nagoya Protocol.
		3.1.10.	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.	xxvii.	Two brochures for the project were produced and widely distributed at international level.

Annex 3. List of people interviewed for the evaluation

	Name	***Surname***	***Country***	***Institution***	***Functional Title***
1	Wilson	Rojas	Ecuador	Environmental Ministry	Focal Point ABS/TK
2	Emma	Rivas	Perú	Environmental Ministry	Focal Point ABS/TK
3	Beatriz	Acevedo	Colombia	Ministry of Environment and Sustainable Development	Focal Point ABS/TK
4	Darío	Luque	Panamá	Environmental Ministry	Focal Point ABS/TK
5	Marta Liliana	Jiménez	Costa Rica	Ministry of Environment and Energy	Focal Point ABS/TK
6	Maribel	Alvarez Mora	Costa Rica	Ministry of Environment and Energy	Focal Point ABS/TK
7	Marina	Hernández	Dominican Republic	Environmental Ministry	Focal Point ABS/TK
8	Diana	Fernández	Guyana	Environmental Protection Agency	Focal Point ABS/TK
9	Maira	Fernández Sequeira	Cuba	Ministry of Science, Technology and Environment	Focal Point ABS/TK
10	Leonardo	Uribe	Panamá	Ministry of Commerce and Industry	Intellectual Property Director
11	Luis	Cubilla	Panamá	Panamá National University	Professor/Researcher
12	Darío	Cadavid	Panamá	UNDP, Panamá	Project Coordinator
13	Antony	Vega	Panamá	Environmental Ministry	Technical officer
14	Carlos Augusto	Ospina	Colombia	Ministry of Environment and Sustainable Development	Forest, Biodiversity and Ecosystem Services Direction
15	Jessika Carvajal	Carvajal	Colombia	Ministry of Environment and Sustainable Development	External Affairs Office
16	Ana Karina	Quintero	Colombia	Ministry of Environment and Sustainable Development	Green and Sustainable business office
17	Rodrigo	Moreno	Colombia	Humboldt Institute	Policy and Legislation Program
18	Oscar	Lizarazo	Colombia	Colombia National University	Policy and Legislation about Biodiversity, ABS and TK Group. -PLEBIO-
19	Andrea	Bonnet	Colombia	External Affairs Ministry (former)	genetic resources expert

20	Begoña	Venero	Switzerland	World Intellectual Property Organization-WIPO-	
21	Alejandro	Lago Candeiro	Spain	University Rey Juan Carlos	Cathedra UNESCO
22	Sonia	Peña Moreno	Switzerland	International Union for Conservation of Nature	Global Policy Unit
23	Arturo	Mora	Ecuador	International Union for Conservation of Nature	ABS Project Coordinator
24	Tea	García	Costa Rica	International Union for Conservation of Nature	Program Coordinator
25	Jorge	Cabrera	Costa Rica	Costa Rica University/INBIO	Professor/Researcher
26	Kristin	McLaughlin	EEUU	UNEP/RONA	Liaison Officer & Task Manager
27	Aracely	Pazmino	Ecuador	International Union for Conservation of Nature	Senior Officer
28	Beatriz	Gomez	España	SCBD	Program Officer

Annex 4. List of documents consulted for the evaluation (bibliography)

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Annex 5. Evaluation schedule

	2014								2015												2016				
Activities	***m***	***j***	***j***	***a***	***s***	***o***	***n***	***d***	***j***	***f***	***m***	***a***	***m***	***j***	***j***	***a***	***s***	***o***	***n***	***d***	***j***	***f***	***m***	***a***	***m***
Desk review.																									
Workshop in Colombia																									
Inception Report																									
Country Visits Colombia, Panamá and Dominican																									
Virtual interview. September-middle October																									
First draft of final evaluation.																									
Draft review.																									
Final report																									

Annex 6. Final Expenditure Report

UNEP LINES	BUDGET LINES	Total Project Budget	Cummulative expenditure to-date	Cummulative unspent balance to-date
1101	Project Management/ Coordination (with cofinancing)	85,000.00	85,005.85	(5.85)
1102	Technical Specialists	23,400.00	22,864.02	535.98
1201	(Local) Technical Manager	138,600.00	138,510.94	89.06
1202	(International) Legal assistance in developing draft elements and regulations on ABS - for 2.1.1	15,000.00	15,000.00	-
1203	(International) Technical assistance on demand regarding the relation between trade, IPR, ABS and TK - for 3.1.2	13,000.00	9,460.00	3,540.00
2201	Research, analysis and systematization of relevant data and information - for 1.1.1 (case studies)	24,000.00	14,172.97	9,827.03
2202	Research, analysis and systematization of relevant data and information - for 1.1.2 (markets)	7,000.00	7,002.50	(2.50)
2203	Elaboration of 6 technical documents - for 1.1.2	24,000.00	22,645.92	1,354.08
2204	Design and construction of website (+ maintenance) - for 1.2.1	8,500.00	8,654.74	(154.74)
2205	Elaboration of 4 case studies - for 1.2.2	20,000.00	20,000.00	-
2206	Technical legal assistance on ABS /TK related issues upon demand (online coaching) - for 1.2.2	15,000.00	15,000.00	-
2207	Comprehensive analysis /Compendium of relevant tools and mechanism - for 2.1.4	5,000.00	5,000.00	-
2208	Production of documents (at least 2) on challenges and opportunities for ABS and TK regimes of relevant international treaties - for 3.1.2	10,000.00	10,071.73	(71.73)
3201	1 regional capacity building workshop on negotiating access contracts / agreements and other benefit sharing tools - for 2.2.1	50,000.00	49,631.10	368.90
3202	Linked to workshop above: component on IPRs and bio piracy - for 2.2.2	20,000.00	22,823.82	(2,823.82)
3203	Linked to workshop above: component on role of indigenous peoples - for 2.2.3	20,000.00	19,937.16	62.84
3301	3 regional workshops (+ inception + end of project) - for 1.1.1 and 1.1.2	163,000.00	162,137.42	862.58
3302	9 to 18 knowledge-cafes (multi-stakeholder and/or peer-to-peer exchanges) - for 1.2.2	70,000.00	73,244.37	(3,244.37)
3303	Virtual forums (national or sub regional) for multi-sectorial exchanges - for 2.1.2 to 2.1.4	12,000.00	10,714.29	1,285.71
5201	Production and distribution (dissemination) of markets publication - for 1.1.2	20,000.00	15,108.62	4,891.38
5202	Design and production of publication on critical issues - for 1.1.2	12,000.00	11,933.96	66.04
5203	Design and production of case study publications - for 1.2.2	8,000.00	7,700.00	300.00
5204	Translation of relevant docs (e.g. exec summaries, markets publication) - for 1.1.2, 1.2.1 and 2.1.4	10,000.00	9,516.44	483.56
5205	Informative materials produced and printed for distribution at international events, including CBD COPs - for 3.1.3	39,000.00	35,946.61	3,053.39
5580	Financial audits	**7,500.00**	7,400.00	100.00
5581	Mid-term evaluation (UNEP)	**10,000.00**	-	10,000.00
5582	Final evaluation (UNEP)	20,000.00	-	20,000.00
	TOTAL COSTS	**850,000.00**	**799,482.46**	**50,517.54**

Annex 7. Quality Assessment of the Evaluation Report

Evaluation Title:

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

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 Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. ***Quality of the Executive Summary****: 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: Executive summary briefly presents main findings, but does not present ratings or summary of lessons. Final report: Same	4	4
B. ***Project context and project description****: 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: The report presents a satisfactory description of the project context. Final report: Same	5	5
C. ***Strategic relevance****: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?*	Draft report: The report presents conclusions on the project's relevance but the evidence and analysis on which the conclusions are based could have been presented in a clearer manner. Final report: Same.	4	4
D. ***Achievement of outputs****: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?*	Draft report: The report should present more evidence to support conclusions. Final report: The assessment on the achievement of outputs is satisfactory.	4	5

E.	***Presentation of Theory of Change**: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?*	Draft report: The ToC should clearly identify the different result levels and describe the causal pathways, including drivers and assumptions. Final report: The ToC could better describe the causal pathways.	3	4
F.	***Effectiveness - Attainment of project objectives and results**: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?*	Draft report: The assessment of the achievement of outcomes lacks detail, the evaluation does not apply the Roti method. Final report: The assessment has improved considerably, but could still more clearly present evidence.	3	4
G.	***Sustainability and replication**: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?*	Draft report: Assessment should be strengthened with more evidence. Final report: Assessment of sustainability is satisfactory.	4	5
H.	***Efficiency**: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?*	Draft report: Conclusions should be substantiated by evidence in a clearer manner. Final report: More evidence has been presented, but the evidence base could still be clearer.	3	4
I.	***Factors affecting project performance**: 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: The assessment provides a good overview of the different factors, but all required factors should be discussed and the evidence should be described in a clearer manner. Final report: The assessment of the factors affecting performance is satisfactory.	4	5
J.	***Quality of the conclusions:** Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?*	Draft report: The narrative could be strengthened and coherence between conclusions and the main report should be ensured. Final report: The narrative could have been stronger.	3	4
K.	***Quality and utility of the recommendations**: 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:		n/a
L.	***Quality and utility of the lessons**: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?*	Draft report: The lessons should describe the context from which they are derived from, and clearly define the lesson.	3	5

	Final report:		
Report structure quality criteria			
M. ***Structure and clarity of the report**: Does the report structure follow EO guidelines? Are all requested Annexes included?*	Draft report: Some annexes missing Final report: The structure of the report follows EOU guidelines. One required annexe is missing	4	4
N. ***Evaluation methods and information sources**: 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: Evaluation methods are described, annexes on interviews, documents reviewed and evaluation mission should be included. Final report: Overview of the evaluation methods is provided.	3	5
O. ***Quality of writing**: Was the report well written?* *(clear English language and grammar)*	Draft report: The report should be proofread Final report: The quality of writing could be further improved.	3	4
P. ***Report formatting**: Does the report follow EO guidelines using headings, numbered paragraphs etc.*	Draft report: The report follows EO guidelines. Final report: Same	5	5
	OVERALL REPORT QUALITY RATING	3.6	4.5

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
Q. ***Preparation:** Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?*			4
R. ***Timeliness:** Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a*	The TE was initiated within six months after project completion but completion of the		2

	six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	evaluation experienced significant delays.		
S.	***Project's support:*** *Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?*			5
T.	***Recommendations:*** *Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?*			n/a
U.	***Quality assurance:*** *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?*			5
V.	***Transparency:*** *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?*			5
W.	***Participatory approach:*** *Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?*			4
X.	***Independence:*** *Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?*			6
		OVERALL PROCESS RATING		4.4

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.