
**Terminal Evaluation of the UN Environment Project
“Supporting the Development and Implementation of Access
and Benefit Sharing Policies in Africa”**

FINAL REPORT



Evaluation Office of UN Environment

June 2017



Evaluation Office of UN Environment

This report has been prepared by Mr. Franck Attere and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management.

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Supporting the development and implementation of access and benefit sharing policies in Africa

GED ID: 2820

June/2017

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ACKNOWLEDGEMENTS

This Terminal evaluation was prepared for the Evaluation Office of UN Environment by Mr. Franck Attere, as the Lead Consultant. The report benefits from a peer review conducted within Evaluation Office of UN Environment.

The Evaluation Office of UN Environment would like to thank the project team for their contribution and collaboration throughout the Evaluation process.

The evaluator would like to thank Tiina Piironen of the Evaluation Office of the UN Environment and Mohamed Sessay the GEF project Manager for their strong interest and constant guidance throughout this evaluation.

I am very grateful to the national project staff interviewed in various countries as well as the head of the Lead Executive Agency for their cooperation and contributions.

My sincere gratitude also goes to the chief of the Evaluation Office of the UN Environment for his guidance and coordination of the process as well as other staff for their assistance.

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ABOUT THE EVALUATION¹

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluations

Brief Description: This report is a terminal evaluation of a UN Environment-GEF project implemented between 2010 and 2014. The project's overall development goal was the development, implementation and review of access and benefit sharing frameworks in six participating pilot countries. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF and their executing partner GIZ and the relevant agencies of the project participating countries.

Key words: access and benefit sharing; ABS; Africa; biodiversity; Convention on Biological Diversity; CBD; ecosystem management; Global Environment Facility; GEF; genetic resources; multilateral environmental agreement; MEA; Nagoya Protocol; project evaluation; TE; terminal evaluation; traditional knowledge

¹ This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website

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List of acronyms & abbreviations

ABS	Access to genetic resources and benefit sharing
ARIPO	African Regional Intellectual Property Organization
ASEAN	Association of South Asia Nations
BMC	Biodiversity Management Committee
BMZ	German Federal Ministry for Economic Cooperation and Development
BUWAL	Swiss Agency for Environment, Forests and Landscapes
CBD	Convention on Biological Diversity
COP	Conference of the Parties
COMIFAC	Commission of the Forests of Central Africa
DEAT	Department of Environmental Affairs and Tourism, South Africa
EAC	East Africa Community
ECOWAS	Economic Commission of West African States
GEB	Global Environmental Benefits
GEF	Global Environment Facility
GTZ/GIZ	German Technical Cooperation
IUCN	International Union of Conservation of Nature
KARI	Kenya Agricultural Research Institute
LEA	Lead Executive Agency
MAT	Mutually Agreed Terms
MCAA	Ministry for the Coordination of Environmental Affairs, Mozambique
MEA	Multilateral Environmental Agreement
MEPN	Ministère de l'Environnement et de la Protection de la Nature, Sénégal
MEF	Ministry of Environment and Forestry, Cameroon
MENEVEF	Ministère de l'Environnement, des Eaux et Forêts, Madagascar
NBA	National Biodiversity Authority
NEA	National Executive Agency
NEMA	National Environmental Management Agency, Kenya
NEPAD	New Partnership for Africa's Development
OAU	Organization of African Unity
PIC	Prior Informed Consent
PMU	Project Management Unit
ROtI	Review of Outcomes to Impacts
SADC	Southern African Development Community
SAGE	Service d'appui a la Gestion de L'Environnement, Madagascar
SBB	State Biodiversity Board
SCBD	Secretariat of the Convention on Biological Diversity
SIDS	Small Island Developing States
SPU	State Project Unit
TK	Traditional Knowledge
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	UN Environment / United Nations Environment Programme
UNU-IAS	United Nations University Institute of Advanced Studies
WSSD	World Summit on Sustainable Development

Table 1: Project Identification Table

GEF project ID:	2820	IMIS number:	GFL/2328-2715- 4B48
UN Environment approval date:	July 2010	Project Type:	FSP
GEF OP #:	BD 4	Focal Area(s):	Biodiversity
GEF approval date:	13 May 2010	GEF Strategic Priority/Objective:	SO4
Expected Start Date:	August 2010	Actual start date:	September 2010
Planned completion date:	February 2013	Actual completion date:	June 2014 ²
Planned project budget at approval:	USD 2,180,652	Total expenditures reported as of [30 June 2015]:	USD 989,814.25
GEF Allocation:	USD 1,177,300	GEF grant expenditures reported as of 21 April 2016:	USD 1,177,300
PPG GEF cost:		PPG co-financing:	
Expected MSP/FSP co-financing:	USD 1,003,352	Secured MSP/FSP co-financing (30 June 2015):	USD 433,450
#Date of First Disbursement:	22 December 2010	Date of financial closure:	N/A
No. of revisions:	1 ³	Date of last revision:	19 July 2013
Date of last Steering Committee meeting:	N/A		
Mid-term review/ evaluation (planned date):	N/A	Mid-term review/ evaluation (actual date):	N/A
Terminal Evaluation (actual date):	April 2016 – June 2016		

(From the Project Document and PIR 10 (July10-Jun 11, July 14-June 15))

² A project extension was granted until June 2014. In practice the project was completed in June 2015 to enable finalization of the remaining activities.

³ And an extension to the PCA.

Executive summary

Introduction and Background

1. Capacity development is a major priority for the international development community and a central theme of the global environmental conventions, their implementing mechanisms and institutions including the Global Environment Facility (GEF). At the request of several countries, following discussions in 2004 and on the basis of the Bonn Guidelines and other existing guidance, five linked projects constituting the “Access and Benefit Sharing (ABS) Portfolio” were developed, albeit not jointly, by the UN Environment (United Nations Environment Programme (UNEP)) and the project partners and were funded through the Global Environment Facility (GEF) to respond to the need for building capacity of countries for access and benefit sharing to enable the Parties of the CBD to elaborate, negotiate and implement the Nagoya Protocol. Four of the five projects in the ABS Portfolio had a goal to build the capacity of the participating countries in implementing ABS measures. One of the projects was focused at building capacity of countries for the ratification of the Nagoya Protocol.

The project

2. The overall objective of the ABS Africa Project is the development, implementation and review of ABS frameworks in six participating pilot countries. Specifically it was to assist each country, according to the status of their national ABS framework along 4 main components: (i) *develop national ABS policies and regulations*, (ii) *implement national ABS policies and regulations*, and/or (iii) *revise existing national ABS policies and regulations*. In addition in component (iv) the project was *to conduct activities to establish sub-regional and regional capacity development and cooperation*. The goal of this project is to support the development and implementation of Access and Benefit Sharing policies in Africa. Its regional activities were to be closely linked with those of the ABS Capacity Development Initiative⁴ implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH⁵ and allow participating countries to exchange lessons and experiences learned within the region .
3. The ABS Africa project was implemented from December 2010 to June 2014 to build capacities of different actors, from governments to local communities in six African countries: Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa - to meaningfully participate in access and benefit sharing processes. The overall budget allocated to the project was US\$ 2,180,652. Project coordination and management were shared by UN Environment, as the GEF implementing agency, GIZ as the lead executing agency and six national focal Institutions, the National Executing Agencies.

The evaluation

4. The Evaluation Office of the UN Environment is conducting the evaluation of the “ABS Portfolio”, which includes the five linked ABS projects namely the regional ABS projects in Africa, Latin America and the Caribbean and ASEAN Countries, a single country project in India and a global project⁶. This terminal evaluation focuses on the regional project for Africa, titled “Supporting the development and implementation of access and benefit sharing policies in Africa” (hereafter called the ABS Africa project). The Terminal Evaluation is conducted to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the

⁴ This UNEP GEF project was initially executed by the ABS Capacity Development Initiative for Africa. Since 2011 with a broadened mandate to work in all ACP countries, the name was changed to ABS Capacity Development Initiative, which is used in this evaluation report.

⁵ This is a Multi-donor funded initiative running since 2006, hosted by the German Federal Ministry of Economic Cooperation and Development and implemented by GIZ. GIZ operates under this name since 01 January 2011, before it was known as Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ). In this report, the name GIZ is used.

⁶ Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing (ABS Global); Supporting the development and implementation of access and benefit sharing policies in Africa (ABS Africa); Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits (ABS Asean); LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean (ABS LAC) and Supporting ratification and implementation of the Nagoya Protocol on ABS through technology transfer and private sector engagement in India (ABS India).

GEF and their executing partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

Evaluations Key Findings

5. **Relevance.** The project is highly relevant to both UN Environment and GEF in so far as it tackled the generation and dissemination of best practices for addressing current and emerging access and benefit sharing issues, and supports capacity building of governments for meeting their obligations under Article 15 of the CBD, as well as building capacity within key stakeholder groups, particularly indigenous and local communities, the scientific community and actors of the private sector. The project also links to expected accomplishments under UN Environment's Environmental Governance Sub-programme and promotes the establishment of measures that promote concrete access and benefit sharing agreements that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT), including the fair and equitable sharing of benefits and its activities are consistent with the Bonn Guidelines and contribute to the Action Plan on Capacity Building adopted under the Convention of Biological Diversity. The project's focus on capacity building is consistent with the Bali Strategic Plan for Technology Support and Capacity building and efforts were made to involve indigenous and local communities women and men in the capacity-building activities. The project also addressed some needs of the Nagoya Protocol (NP).
6. **Effectiveness** Progress towards meeting the objectives of the project has been made in almost all countries except Mozambique, however with different rates of progress due to delays in the start of activities. Main activities included public awareness raising, the development of communication, education and public awareness (CEPA) toolkits and capacity building workshops contributing to the elaboration or modification of ABS measures, (framework, policies and procedures/mechanisms) with the participation of all concerned stakeholders. But in Mozambique delays in finalizing an operational bank account have completely hindered the implementation of the project.
7. The reconstructed Theory of Change (TOC), showing the impact pathways of the project, illustrated the contribution that development and implementation of appropriate ABS measures can have on the conservation/management of genetic resources/biodiversity as well as their custodians (Indigenous and local communities).
8. Indeed, The reconstructed TOC has shown that "Increased capacity of relevant stakeholders and institutions could trigger the establishment/elaboration and adoption/implementation of appropriate and effective ABS measures and framework (policies, regulations and structures) that will enhance activities (access to genetic resources at national and regional levels including benefits sharing modalities), resulting in increased income and better livelihood and living conditions for communities thus providing incentive for better genetic resources conservation/management resulting in reduce pressure/threats on biodiversity and maintenance ecosystem services.
9. The reconstructed TOC was reformulated into two major direct outcomes as follows: **i)** Strengthened stakeholders' capacity to develop and implement appropriate national ABS measures and **ii)** Enhanced Regional collaboration through lessons/experience sharing and common position on ABS issues. It also identified external conditions such as national governments being committed to the implementation of ABS measures and CBD, and readiness and availability of experts and institutions to contribute to the process, which need to be addressed before the project can reach impact. In order for the project to reach impact, two intermediate states, as identified in the reconstructed TOC should be achieved, namely: (i) ABS measures are fully implemented at national and regional levels; and ii) Sharing of benefits derived from genetic resources with the local communities whose income is increased and living conditions improved.
10. The overall evaluation rating for the project which is given as "CC", "moderately unlikely" to reach the identified impact, shows that during its implementation period, the project has not provided any known benefit to the global environment and is unlikely to do so in the immediate future. It will need a long time for it to achieve the impact (reduced threats on biodiversity/genetic resources and stabilize ecosystem services), several other conditions/parameters need to be fulfilled. Some background/preliminary work needed to have been done for some of the outcomes to be realized. Many of the assumptions identified need to be met between various stages before impact can be realized. However the ABS Africa Project being linked to the regional GIZ-implemented ABS Capacity Development Initiative makes it possible to achieve outcomes and progress to be made towards intermediate states. It will provide financial and technical support.

11. **Sustainability.** Some African Governments requested for assistance for capacity building to establish and implement ABS measures to safeguard and sustain optimum management and use of their Genetic resources. The political establishment conscious of what is at stake, will strive to ensure that gain made by the project is safeguarded, for appropriate and continuous use by the concerned parties/stakeholders, whose understanding of the ABS issues is increasing through capacity building at national and regional levels.
12. The project design factored in strategies to sustain the benefits of the outcomes while benefiting from financial support through the involvement of GIZ-led ABS Capacity Development Initiative. This will also be made possible through the consolidation of Communication, Education and Public Awareness (CEPA) tool kits and the clearing House mechanism, all contributing in initiating strong institutional framework at national and regional levels, that will assist in sustaining the gains of the project and inspire its replication in other countries in the future.
13. **Efficiency.** The project brought closer other partner institutions and projects actively involved in biodiversity/genetic resources to benefit from their experiences through the national focal/coordinating institutions. Some activities were organized using already available information and data from existing programmes at national, regional and global levels. Thus capacity building/training of various stakeholders helped achieve greater outputs in a relatively short time with reasonable financial input and contributing to the expected outcomes. This was very relevant for Madagascar, where despite the political unrest at the time of implementation, activities were carried out swiftly and outputs were delivered rapidly.
14. **Factors affecting performance.** The objective the ABS Africa Project was about the development, review and implementation of ABS frameworks in Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. The project design was appropriate, simple and effective. The main issue to address was well recognized: to build the capacity of African countries to implement ABS measures and ensure that the conservation and use of Genetic resources forms an integral part of ABS frameworks and benefit the collections as well as ex- situ and in- situ conservation.
15. The involvement of some of the countries which were also part of the larger GIZ-implemented ABS Capacity Development Initiative was perceived favorably because it could signify that they will benefit from adequate support due to their involvement at two levels/(in the two processes). The full participation of all stakeholders especially the indigenous and local communities, of which women, often custodians of the local resources and the traditional knowledge attached to them which are transmitted from generation to generations was critical. In addition to their participation were the issues of their empowerment in decision- making, equity and fairness in the sharing of benefits.

Summary of Lessons and Recommendations

16. This ABS Africa Project implemented in six participating countries in Africa namely Cameroon, Kenya, Madagascar Mozambique Senegal and South Africa, involved a wide range of stakeholders from Government officials and institutions to indigenous and local communities at national and sub-regional and regional levels. The implementation period of two and a half years was short, but considering the financial difficulties at the onset, the project implemented a range of activities that included capacity building and strengthening, knowledge developing, lessons learning, policy as well as regulations development, development of tools all geared towards the overall goal of implementing Access and Benefits Sharing measures on the use of genetic resources/biodiversity. Thus attaining partly its objective. The overall evaluation rating for this project is “**moderately satisfactory**”.

Some of the key lessons stemming from the project, based on evaluation findings include:

17. Concerning the identification of appropriate countries ready to participate in the project implementation of the project: Whether they have contributed in the project proposal development or not, it is essential to assess thoroughly the capacity and readiness of each participating country to implement the project before the beginning of project implementation. This will prevent countries abandoning the project at any time, preventing another one who was more qualified to participate.
18. After the identification of the participating countries, there should be an initial period set before the start of the implementation, during which the lead executing agency should visit the countries and consult the national executing partners to ensure that the necessary preparations have been

completed and the countries are ready to start implementation. This will also help clarify any specific requirements for the country agreeing to sign any legal or financial agreement/document.

19. It is important for the evaluation consultant to visit project 'sites' to see and talk to the project partners as well as the stakeholders, instead of relying only on electronic means of communication. Furthermore, the terminal evaluation is always much accurate within a year after the end of the project, when it is easier to contact the project implementers. This is particularly important for a Terminal Evaluation, especially when there was no mid-term evaluation.
20. It is important to acknowledge that the national authority mandated with ABS can differ between countries. Thus, identifying the appropriate national specialized institution designated for coordination and key decision making to serve as the National Executing Agency is paramount. Key decision making included overseeing a well-structured institutional ABS framework, clear and applicable legislation/legal framework (policies, regulations etc.), provision of permits and other implementation procedures.

Some of the recommendations emanating from the project include:

21. Considering that the project implementation period was short, and that in the project terminal report, there were report of activities carried out in 2014/2015, the GIZ-implemented ABS Capacity Building Initiative is/remains definitely an asset for the realization of the aims of this project. It should ideally have made this ABS Africa Project a core of its operation and retain/involve most of the actors of its implementation to ensure in its later part, the smooth finalization/development of operational national ABS frameworks with pilot bio-prospecting models, accepted coordination institutions, appropriate legislation and coordination mechanism for all permits, while guaranteeing the implementation of the Nagoya Protocol and regional collaboration (*this is a concern addressed to UNEP, and ABS Capacity Building Initiative for the period remaining for the initiative or for future projects with similar structure/architecture or design*).
22. Capacity was built and appropriate tools were developed especially for communication, but mostly greater awareness on ABS issues was created. The project has created some amount of interest and momentum within the countries among the stakeholders and participation in activities was high. Initial ABS strategies were developed. As a result, the project produced a wide range of outputs. It will be important that national focal points continue the cooperation at the regional level with the GIZ-lead ABS Capacity Building Initiative in order to operate the transformation towards other outcomes and intermediate states necessary for attaining future identified impact. (*A concern addressed to UNEP, Governments/NEA and the ABS Capacity Development Initiative for now till end of the work of the Initiative*).
23. Comprehensive national reports should be produced along with one overall project report as well as web-based site. These must include all valuable results with tool kits, lessons learned, best practices and business models for bio prospecting and all should be given high visibility at appropriate forums. All materials should be translated into local languages and made easily available to local communities and development agencies in all participating countries. This will ensure proper dispersion/spread and publication of results of the project for continued consultation and appropriate use. (*This concern is addressed to NEAs, focal institutions and focal points and governments*).

1. Introduction

1.1 Subject and scope of the evaluation

24. At the request of several countries following discussions in 2004 and on the basis of the Bonn Guidelines and other existing guidance, five projects constituting the “Access and Benefit Sharing (ABS) Portfolio” were developed, albeit not jointly, by the United Nation Environment Program (UNEP) and the project partners to respond to the need for building capacity of countries for access and benefit sharing to enable the Parties of the CBD also address some concerns of the Nagoya Protocol which was adopted later (October 2010) at the onset of the implementation of this project.
25. UNEP is conducting the evaluation of the “ABS Portfolio”, which includes the five linked ABS projects namely:
 - Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing **(ABS Global)**;
 - Supporting the development and implementation of access and benefit sharing policies in Africa **(ABS Africa)**;
 - Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits **(ABS Asian - Asia)**;
 - LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean **(ABS LAC)**; and
 - Supporting ratification and implementation of the Nagoya Protocol on ABS, through technology transfer and private sector engagement in India **(ABS India)**.
26. All five projects in the ABS Portfolio had a common goal to build the capacity of the participating countries in implementing ABS. The regional ABS projects (Africa, LAC and ASEAN countries) and the India ABS Project were funded under the fourth replenishment of the GEF Trust Fund (GEF-4), while the Global ABS was funded by the fifth replenishment of the GEF Trust Fund.
27. Members of the Portfolio team are carrying out individual evaluation of the ABS Africa Project and the other four projects including the overall Portfolio Evaluation bringing the findings of the five evaluations together, and drawing portfolio-level lessons to be applied in future ABS projects. This report presents the terminal evaluation of the ABS Africa Project.

1.2 Evaluation objectives

28. In accordance with the UNEP Evaluation Policy⁷, the UNEP Programme Manual⁸ and the Guidelines for GEF Agencies in Conducting Terminal Evaluations⁹, the Portfolio Evaluation of the five UNEP/GEF Access and Benefit Sharing projects was launched six months after the completion of the projects, however, the completion of the evaluation falls past this deadline. The objective of the evaluation is to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. An independent consultant was contracted by the UNEP Evaluation Office (EOU) to conduct this evaluation.
29. The findings of this terminal evaluation are based on a desk review of project documents (full list is provided in Annexe VI) including: i) Relevant background documentation, inter alia UNEP and GEF policies, strategies and programs; ii) Project design documents; Annual Work Plans and Budgets or equivalent, the logical framework and project financing; (iii) Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Group meeting minutes; annual Project Implementation Reviews, GEF

⁷ <http://web.unep.org/evaluation/policy-standards/evaluation-policy>

⁸ www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

⁹ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

Tracking Tools and relevant correspondence; (iv) and documentation related to project outputs. The documentation was provided by the project Implementing and Executing Agencies and UNEP Evaluation Office.

30. This evaluation also relied on response/feedback provided through a questionnaire prepared and sent to the participating countries at the end of the project implementation. It was also being used in the evaluations of the ASEAN, Latin America and India ABS projects. In addition, the evaluation was guided by a set of key questions derived from the questionnaire, which were aligned with the ABS Africa project components, intended outputs and outcomes given in Annex VIII. An attempt to interview key project stakeholders in each country was made with the advice of the portfolio manager at UNEP and the Evaluation Office and a list of targeted persons was agreed upon.
31. The evaluation adhered to UNEP's key evaluation principles in line with the TORs, which require that evaluation findings and judgments are based on sound evidence and analysis, verified from different sources, and clearly documented. It assessed ABS Africa Project with respect to a minimum set of evaluation criteria grouped into the following categories:

Relevance, which looks at the alignment of project objectives with UNEP, donor, partner and country policies and strategies, including the Bali Strategic Plan, South-South Cooperation, Gender mainstreaming and integration of social and environmental safeguards at design and during implementation;

Effectiveness, which comprises the assessment of the achievement of outputs and outcomes and an assessment of the likelihood of impact based on the review of outcomes to impacts (RoTI) - method;

Efficiency, which looks at timeliness and cost-efficiency of project delivery;

Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices;

Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems.

32. The evaluation analysed all project outputs and outcomes available from project documentation, interviews and feedback from questionnaire against each of the main evaluation criteria. Attention is given to lessons learned. In attempting to attribute any outcomes and impacts to the project, the evaluation considered the difference between what has happened because of the project and what would have happened without the project. The quality of project design was assessed (Annex V). All evaluation criteria were rated in accordance with standard UNEP assessment guidelines, which are given in the evaluation TORs.
33. The evaluation was conducted by an independent consultant between April and November 2016, under the overall responsibility and management of the UNEP Evaluation Office (Nairobi) and in consultation with UNEP/GEF Project Manager. During the inception period the consultant met with the UNEP Evaluation Office as well as with the UNEP/GEF Task Manager. Annex VII gives the evaluation timeline.
34. The findings of the evaluation are based on both quantitative and qualitative methods that were used to evaluate project achievements against the expected outputs, outcomes and impacts, and consisted of a desk review of key project documentation, reports produced by the project, and relevant information provided by the evaluation office.

1.3 Limitations of the evaluation

35. Several factors created some opportunities and difficulties during the conduct of the exercise. Considering that this evaluation is being done long after the end of the project, it was difficult to share early comments and lessons with the implementing teams and/or stakeholders during the course of the evaluation. Several team members have moved on and taken up/been assigned other responsibilities. Nevertheless, an attempt was made to share these with some of the country implementing team members and/or leaders and leader of the lead executive agency, GIZ.

36. It was not possible to meet/reach the appropriate project staff. A final regional project workshop was to be organized in Cameroon. This was later cancelled. It would have allowed the various countries to compare notes and reinforce experiences and lessons learned. It would have also been useful to the Consultant, for it would have allowed/facilitated interviews and feedback to questions and facilitated meeting with project management as well as project team members and many other stakeholders from all participating countries. The evaluation consultant could only meet and discuss with project team members/leader in Kenya. He did not have the opportunity to visit any other country teams. Contacting country teams' leaders, focal points or their replacements and get appropriate feedback became necessary and was difficult. These also contributed to the delays encountered in the evaluation process.

2 Project Background

C. Context

37. Genetic resources are the basis for improving agricultural crops, medicines and for a growing number of other biological applications. Indeed, genes are the basic biological units of heredity and part or whole living organism, which can regenerate exactly the same, constitute a germplasm or genetic resources. Human beings have manipulated the germplasm of other living organisms for millennia, making products such as beer, yoghurt and cheese, using yeast. Africa is one of the best naturally endowed regions of the world, hosting a substantial proportion of the world's reservoir of genetic diversity. Africa also encompasses one of the widest ranges of agro-ecological zones, including numerous unique environments, that are home to a partially documented plethora of indigenous multi-purpose crops and plant species that are sources of food, fiber, feed, medicine, and crafts. For example, the Cape Floral Kingdom is one of the six most significant concentrations of plants in the world and Madagascar is the most endemic rich country in Africa.
38. For centuries, Africa has contributed significantly to the world's reserve of useful plants, food crops, animal genetic resources, and increasingly also industrially useful resources such as enzymes. However, while the vast potential of these resources has yet to be fully tapped, or often discovered, the benefits accrued from the use of these resources, including human resources, have primarily flowed to states, enterprises, institutions, and individuals outside the region. However, the prevailing trend of biodiversity loss in Africa is a major concern since the continent's economies, cultures, and political systems are heavily dependent on the conservation, management, and sustainable utilization of biological resources. Food security in Africa is representative of this situation and remains a critical issue for both governments and regional organizations. In addition the chronic lack of organizational and institutional capacity is a major constraint in Africa. Indeed, the lack of institutional capacity to implement global environmental conventions in a coordinated and strategic manner is one of the most compelling impediments to sustainable development in the continent (African Perspectives on Genetic Resources).
39. While there is a reasonable level of capacity in the relevant core sciences, there are significant deficiencies in the legal and policy aspects of genetic resources use and conservation. Combined with adverse economic conditions, most countries in Africa lack the human resources to conduct research and implement policies that will assist in combating the threats of environmental degradation and loss of biodiversity, especially of indigenous food crops and other useful plants, animal species, and microorganisms. Capacity development is a major priority for the international development community. It is a central theme of the global environmental conventions, their implementing mechanisms and institutions including the Global Environment Facility (GEF). The GEF supports capacity building as a means to improve individual and institutional performance for progress towards global environmental gains, as well as to help countries meet their requirements under the environmental conventions.
40. Interest in access to genetic resources as an international issue began growing in the early 1980s. Access and Benefit Sharing (ABS) is one of the three main objectives of the Convention on Biological Diversity (CBD), signed in the 1992 Rio Earth Summit and it sets out obligations to the parties related to access to genetic resources and to the fair and equitable sharing of the benefits arising out of their

utilization. As users of genetic resources – who were primarily located in industrialized countries – increasingly recognized their potential commercial value, providers of genetic resources – who were primarily developing countries which possess the world’s greatest biodiversity and genetic diversity – began to assert their sovereign right to control access to those resources and at least, some of the money to be made from them. The CBD Conference of the Parties COP6 (2002) adopted the *Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefits Arising out of their Utilization*, as voluntary guidelines to assist governments with the implementation of the CBD ABS-framework. After the Guidelines were adopted, it was realized that some countries would have capacity constraints in fully utilizing the guidelines.

D. Project Objectives and Components

41. At the request of several countries and following discussions, in 2004 The United Nations Environment Programme (UNEP) and the GEF developed five related UNEP/GEF projects constituting the “Access and Benefit Sharing (ABS) Portfolio”, albeit not jointly, to respond to the need for building capacity of countries for access and benefit sharing to enable the Parties of the CBD to address the requirements for the implementation of the Nagoya Protocol.
42. The goal of the ABS Africa project subject to this evaluation is to support the development and implementation of Access and Benefit Sharing policies in Africa. The overall objective of the ABS Africa Project is the development, implementation and review of ABS frameworks in six participating pilot countries. Specifically it was to assist each country, according to the status of their national ABS framework along 4 main components: (i) *develop national ABS policies and regulations*, (ii) *implement national ABS policies and regulations*, and/or (iii) *revise existing national ABS policies and regulations*. In addition in component (iv) the project was to conduct activities to establish sub-regional and regional capacity development and cooperation.
43. The ABS Africa Project is closely linked with the ABS Capacity Development Initiative, which is a multi-donor initiative implemented by the GIZ working primarily through a series of regional workshops to contribute to the increased preparedness of African delegates in the negotiation of an international regime on ABS and allow participating countries to exchange experiences and disseminate lessons learned within the region. The objectives of the Initiative were complementary to the ABS Africa Project and were to increase African decision-makers' and stakeholders' knowledge on ABS-related matters, and to strengthen networks of African ABS experts. The aim was for African delegates to be in a better position to negotiate the international regime on ABS as well as to develop their national ABS regulations. Instruments used to achieve these aims included regional and pan-African multi-stakeholder workshops, thematic and stakeholder-focused trainings, peer-to-peer knowledge transfers, information exchange and knowledge management, technical papers and studies. The Initiative thus contributes both to improving knowledge and to feeding into policy implementation.
44. In line with the above, the ABS Capacity Development Initiative had close similarities with the GEF funded ABS Africa Project. The ABS Africa Project components and expected outcomes and outputs are given in Table 2. To provide a consistent results framework for the evaluation, project outcomes were revisited/adjusted and used in the Theory of Change analysis (See Fig. 2). During the inception phase, the quality of the project design was assessed and the results are presented in Annex V.

Table 2. Project Components and expected outcomes and outputs

Objective	Components	Component Outcomes	Expected Outputs
Development, implementation and review of ABS frameworks in six African countries	1. Development of national ABS policies and regulations	Where they did not exist, national ABS policies and regulations are developed	<ul style="list-style-type: none"> • ABS outreach strategies and programmes to enhance stakeholder awareness and to engage them on ABS issues. • Review of existing national policy basis and institutional capacity for ABS. • Training of key government officials. • Development of capacities of local and indigenous community representatives to participate in the development of ABS

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

(From the project document)

E. Target areas/groups

45. The ABS Africa Project was a regional project, implemented in six African countries namely: Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. Experience and lessons learned are to be used and adapted in the future by several other countries in the region. The project

was built on UNEP's 30 years of involvement and experience in the region and effectively secured the involvement of national authorities, non-governmental organizations, private sector, the research and training institutions and indigenous and local communities. At the inception of the project a preliminary stakeholder mapping was done and was refined later, once implementation started in each of the countries.

Stakeholders Analysis

46. Access and Benefits Sharing is a complex cross cutting issue which relates to several sectors from natural resources management and environment, agriculture and rural development, forestry, fisheries, science and technology research and development to industry and trade and legal system (equity, intellectual property rights IPRs etc.). As stated in the project document, in addition to research and development institutions as well as the transformative private sector (such as food, pharmaceutical, wood industries), indigenous and local communities were key stakeholder groups, especially where traditional knowledge associated to natural/genetic resources is concerned.
47. Therefore it is stated that through review of existing national capacity on ABS and gaps analysis, the relevant stakeholder groups in each country were to be identified. Multi-stakeholders workshops will ensure that the relevant stakeholders were involved in the development, implementation and review of national ABS policies. Capacities of indigenous and local communities were to be built through the implementation of specific tasks to ensure their full participation in the development and then implementation of the ABS measures.
48. At national level the National Executing Agencies, MINEF in Cameroon; NEMA in Kenya; SAGE in Madagascar; MCAA in Mozambique; MEPN in Senegal and DEAT in South Africa were to seek the active involvement of all the relevant stakeholders including the relevant state ministries and agencies, the private sector, scientific/research institutions, indigenous and local communities and relevant non-governmental organization in each country.
49. At sub-regional level, stakeholders included: ECOWAS in West Africa, East African Community (EAC) in East Africa, SADC in Southern Africa and COMIFAC in Central Africa. Table 3 shows the situation/role of key stakeholders during project implementation in the pilot countries.

Table 3. Key stakeholders situation/role in the countries

Stakeholders	Situation/Roles
<i>At National level</i>	
National Executing Agencies: NEAs MINEF; NEMA; SAGE MCAA ; MEPN DEAT	They are the executing agencies responsible at national level for project management and execution. They are also responsible for reporting to the Lead Executing Agency and for organizing stakeholders' participation as required.
State Agencies (include relevant Ministries) Env. & Nat. Resources; Agriculture & Rural dev. Forestry Fisheries Legal system	-Some would take the lead in the development of capacity enhancing policies and the development /review and implementation of ABS measures -would also collaborate /participate in the information dissemination program, awareness raising -would provide technical insights as required (bio-prospecting, MAT) -full participation and also beneficiaries
Private Sector	-would participate in capacity building with regard to trade and financial dealings/transactions -would also participate in the possible development of industries and a quality control system - are also beneficiaries of the Project.
Scientific/research and Training institutions (Universities and others) (will vary from country to country)	Would contribute to awareness raising on status/nature as well as development of genetic resources and environmental conservation techniques/technologies in relation to ABS -would contribute to ABS measures development/ review and implementation; -would contribute and also benefit from capacity building and Financial returns and or material return. -bio-prospecting, MAT procedures
indigenous and local communities (including farmers associations, women groups, traditional medicine	Would contribute in indigenous knowledge on natural resources /genetic resources. Could participate in the entire process of ABS measures development/review and implementation Will benefit most from capacity building, awareness creation and financial returns although they have very

practitioners', Artisans and art craft/curios makers)	limited influence on the whole process.
non-governmental organizations	Would participate in awareness raising activities and benefit from capacity building as well as awareness rising. Full participation in the process possible and also in policies and regulations development
<u>At Sub-regional level</u>	
ECOWAS, COMIFAC, EAC SADC	Would also contribute to awareness rising about the benefits. Contribute to strengthen capacity at regional level, lessons sharing, and agreement/establishment of regional consensus/common position. Expected to provide support to the Africa ABS initiative.

50. In Kenya, NEMA entered into partnership with KARI (now KALRO) and was assisted by the Kenya Wildlife Service (KWS), the Kenya Industrial Property Institute (KIPI) and National Council for Science and Technology (NCST) and several other national natural resources management/user institutions.

F. Milestones in Project Design and Implementation

Table 4: Major milestones

Milestone	Date
UNEP Approval date	July 2010
Actual start date	August/September 2010
Official completion date	June 2014
Terminal Evaluation	April- February 2017

(From the Project document and PIR Year 15 (July 14-Jun 15) and project extension document 2013.

Note that the start-up dates in the implementing countries are not the same. But it was agreed they should stop at the same date (June 13).

G. Implementation Arrangements and Project Partners

51. The institutional arrangement for project supervision was carried out according to the project document and was composed of: the Lead Executing Agency; the National Executing Agencies; a project manager; a GIZ project coordinator and six national project coordinators.
52. The following is a brief on organizational structures, responsibilities, roles and functions of some of the main partners in the management of the implementation of the project:
53. i). The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH was the Lead Executing Agency (LEA), responsible for the overall management of this project. It was responsible for the execution of the regional component and entered into financing agreements with the six National Executing Agencies (NEAs) for the implementation of the national components. It provided technical support to the NEAs for the activities under the national components. The NEAs are responsible for project management and execution at the national level and report to the LEA on the national component in accordance with the financing agreement signed between the NEA and the LEA.
54. ii). The National Executing Agencies (NEAs) of the six participating countries are:
 - Cameroon: Ministry of the Environment and Forestry (MINEF);
 - Kenya: National Environment Management Authority (NEMA);
 - Madagascar: Service d'Appui a la Gestion de l'Environnement (SAGE);
 - Mozambique: Ministerio para a Coordenação da Acção Ambiental (MCAA);
 - Sénégal: Ministère de l'Environnement et de la Protection de la Nature (MEPN);
 - South Africa: Department Environmental Affairs and Tourism (DEAT).

55. iii). The Project manager at GIZ was responsible for overall supervision of all aspects of the project as well as providing overall supervision and guidance to all GIZ staff involved in the execution of the various components of the project.
56. iv). The Project Coordinator at GIZ was responsible for the overall co-ordination, and management of all aspects of the project. She reports to UNEP, and liaised closely with the National Project Coordinator in order to ensure that progress is made according to the work plan for the project and was responsible for all substantive, managerial and financial reports from the project.
57. Each National Executing Agency appointed a National Project Coordinator (NPC) who was responsible for the management and implementation of the respective national component of the project. The NPC liaised closely with the LEA and was responsible for all substantive, managerial and financial reports according to the financing agreement between the NEA and the LEA.
58. The Overall project was implemented by UNEP and managed jointly by the LEA and the six NEAs. The regional level activities were carried out in close connection with the ongoing activities of the multi-donor ABS Capacity Development Initiative. The LEA was responsible for monitoring and reporting of both, the regional and national components. Figure 1 shows the decision-making charter of the project.

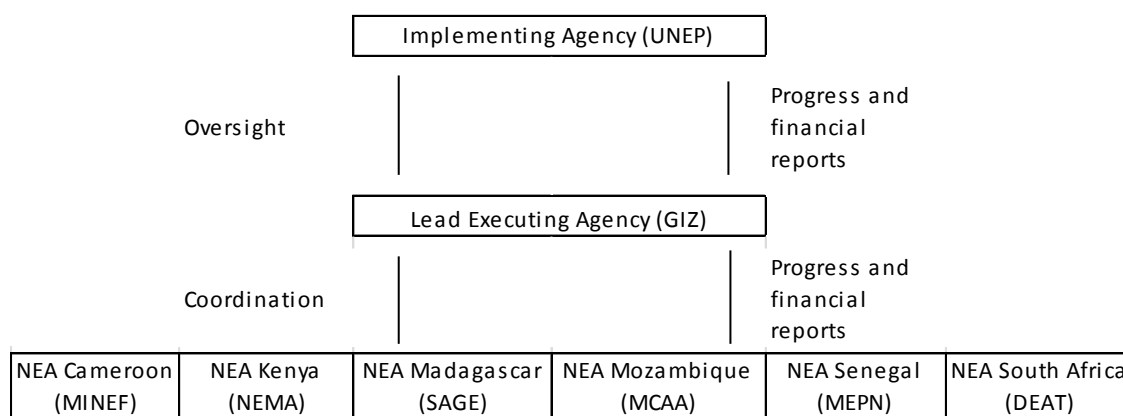


Figure 1: Decision-making flowchart

Partners

59. As mentioned earlier, the roles and responsibilities for project coordination and management were shared by UNEP, as the GEF implementing agency, and GIZ as the lead executing agency. Responsibilities for project implementation were also to be shared by several national focal Institutions: the Ministry of the Environment and Forestry, MINEF of Cameroon; the National Environment Management Authority, NEMA of Kenya, Le Service d'Appui a la Gestion de l'Environnement, SAGE of Madagascar; the Ministerio para a Coordenacao da Accao Ambiental, MCAA of Mozambique; Ministere de l'Environnement et de la Protection de la Nature, MEPN of Senegal; and the Department of Environmental Affairs and Tourism, DEAT of South Africa.
60. The national Governments, GIZ, the Swiss Agency for Environment, Forests and Landscapes (BUWAL), the United Nations University Institute of Advanced Studies (UNU-IAS), the ABS Capacity Development Initiative and SCBD were major partners as they also contributed in cash and in-kind towards the implementation of the project.
61. Other regional/sub-regional partners included the regional organizations ECOWAS, COMIFAC, EAC and SADC. They contributed to awareness raising about the benefits, to strengthening capacity at regional level, to sharing lessons learned aiming at establishing regional consensus or common position. They also provided support to the ABS Capacity Development Initiative.

H. Project Financing

62. The overall budget allocated to the project was US\$ 2,179,350. This included a grant of US\$ 1,177,300 from the GEF and US\$ 1,002,050 from co-financing in cash and in-kind. Co-financing was provided by GIZ, the Swiss Agency for Environment, Forests and Landscapes (BUWAL), the United Nations University Institute of Advanced Studies (UNU-IAS) and associated funding from the ABS Initiative and SCBD and the governments of the 6 participating countries. Table 5 presents the level of shared co-financing among partners.

Table 5. Project co-financing by partners

Name of Co-financier (source)	Classification	Type	Project	%
Project Government Contribution (6 countries plus GIZ)	National Government	In-kind	414,150	41%
Bilateral Aid Agency(ies) BUWAL	Bilateral Agency	Grant	150,000	15%
UNU-IAS	Multilateral Agency	In-Kind	81,800	8%
ABS Initiative	Multi-donor Initiative	Associated	316,100	32%
SCBD	Multilateral Agency	Associated	40,000	4%
Total Co-financing			1,002,050	100%

(From the Project Document)

63. Country allocations to the project were very unequal, and the budgets for national-level activities in some of the participating countries would have been too small to achieve significant results. Thanks to the generous agreement of the national executing agency in South Africa to share some of its allocation with other participating countries, the allocated funds were redistributed in order to make the national budgets more equitable, allowing greater project impact in all 6 countries. Table 6 shows the adjusted funds allocations among countries.

Table 6: Reallocation of funds among the pilot governments

Country	Allocation	Adjustment	Adjusted	Cash Co-finance	Cash Total	In Kind Co-finance	Grand Total
Cameroon	160,000	0	160,000		160,00	56,285	216,285
Kenya	58,200	78,000	136,200		136,70	70,474	156,674
Madagascar	58,200	78,000	136,200		136,200	20,474	156,674
Mozambique	58,200	0	58,200	110,000		20,474	188,674
Senegal	58,700	78,000	136,200		136,200	20,474	156,674
South Africa	434,500	-234,000	200,500,0		200,500	152,848	353,348
Regional	350,000		350,000	40,000	390,00	123,123	513,123
Sub-total						414,150	1,741,45
UNU						81,800	81,800
Associated						356.100	356,100
Project total	1,177,300	0	1,177,300	150,000	1,327,300	852,050	
IA fee			117,730				

(From the Project document)

I. Changes in design during implementation

64. While the project outputs were achievable within the project's timeframe, some of the outcomes may take slightly or much longer to achieve. The design was not changed but project outcomes showed in Table 7 were reviewed to emphasize that understanding.

Table 7. Project components and expected outcomes as defined in the project's logical framework

Project components	Expected outcomes
1. Development of national ABS policies and regulations	Where they do not exist, national ABS policies and regulations are developed
2. Implementation of national ABS policies and regulations	Existing national ABS policies and regulations are being implemented
3. Revision of existing national ABS policies and regulations	Existing national ABS policies and regulations in need of revision are revised and amended.
4. Regional and sub-regional Cooperation and capacity development	i) Lessons learned from the 6 national ABS processes are integrated into sub-regional and regional capacity building processes of the Multi-donor ABS Capacity Development Initiative; and ii) the national processes benefit from on-going sub-regional and regional activities of the initiative,

65. The first major outcome according to the project document and in table 6 is that national ABS policies and regulations are developed where they did not exist. These could be considered as outputs if it stops at the write up of the policies and regulations with the assistance of the UNEP/GEF project. When they are further subjected to scrutiny and are adopted by parliament (or the legal system), and are 'gazetted' to become laws that are to be implemented, then they become an outcome.
66. The second outcome is that existing national ABS policies and regulations are implemented. The third outcome is that existing national ABS policies and regulations in need of revision are revised and amended. Like the first outcome this could also be considered as an output, unless it goes through the legislative system to become law for implementation, in which case it is an outcome, a complete new state of affairs.
67. The fourth outcome could be divided into 2 outcomes: i) lessons learned from each of the 6 national ABS processes –which are implemented on the basis of their unique situation summarized in Table 8 (from the project document) - are integrated into sub-regional and regional capacity building processes of the Multi-donor ABS Capacity Development Initiative that benefit each country around a common agenda; and ii) the national processes benefit from on-going sub-regional and regional activities of the initiative.

Table 8: Situation of each country before the implementation of the project (baseline from the project document)

Country	Do you have an ABS Policy in place?	Do you have ABS Regulations?	Do you have Institutional Framework/procedures?	Has a participatory PIC processes defined?
Cameroon	No ABS stand-alone policy in place but fragmented pieces found in NEMP, Environment Act, Forestry national Action Plan. Some work on national policy has just started with input from several stakeholders.	No. National legislations like the Forestry, wildlife and fisheries Law, the Environment law and Biosafety law do have some provisions which can be treated under ABS issues.	Several institutions participate in different aspects of ABS issues. Sometimes this situation presents a conflict and at the international level, there is confusion as different stakeholders do not know the right institution to which to address ABS questions. Sometimes, some permits signed by some national institutions are rejected at the international level.	Discussions have started on definition of process.
Kenya	No ABS policy document, but ABS regulations and other acts (e.g. forest, wildlife), environmental management act.	Yes, but no capacity and expertise to implement the regulations	Not defined	Not defined
Madagascar	Under development, based on existing access regulations	Process initiated for defining regulations, process stopped	Proposal not approved	In draft, not operational
Mozambique	Policy framework which is not operational. A translation into English is needed to get advice from international experts. Synergy with other sectors are needed and best practice guidelines	Yes, but not operational	Relevant sectors are not aware of ABS policy, no cross-sectoral collaboration, not operational	Not defined
Senegal	No, only national focal point designated	Not yet	Not yet	Not yet
South Africa	Yes, but no cross-sectoral awareness, cooperation or synergies, Including for TK issues. Lack of best practice guidelines to comply with ABS regulations	Yes, but no capacity to carry them out /enforce regulations. Lack of 'experts' to implement regulations. Lack of information sharing among government stakeholders.	Defined, procedure need to be elaborated	Not defined

J. Reconstructed Theory of Change of the Project

68. GEF defines the Theory of Change (TOC) as “a theory-based evaluation tool that maps out the logical sequence of means-ends linkages underlying a project and thereby makes explicit both the expected results of the project and the actions or strategies that will lead to the achievement of Result. The approach attempts to identify what are termed “intermediate states”, which are the transitional changes between the project’s immediate outcomes and the intended impact which are necessary for the achievement of the intended impacts. UNEP defines ‘impact’ as changes in environmental benefits and how these affect human living conditions.
69. The TOC analysis also determines the Impact Drivers (the significant external factors that if present are expected to contribute to the realization of the intended impact and can be influenced, to some extent, by the project and its partners) and the Assumptions (the significant external factors that if valid are expected to contribute to – or at least not to hamper – the realization of the intended impacts but are largely beyond the control of the project). By assessing the direct outcomes and impact drivers, and verifying the validity of the assumptions, it should be possible to estimate the likelihood that the project will bring about the intended long term changes or Global Environmental Benefits (GEB) and have a lasting impact.
70. As stated earlier the Overall objective of the project according to the project document is the development, implementation and review of ABS framework in the six participating countries: Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. The four main components of the project are: (i) Development of national ABS policies and regulations; (ii) Implementation of national ABS policies and regulations; (iii) revision of existing national ABS policies and regulations and (iv) Regional and sub-regional cooperation and capacity development.
71. In the draft theory of change reconstructed based on the project document, immediate outcomes include:
- Increased Institutional and human capacity of key stakeholders including local communities and indigenous peoples for ABS implementation;
 - Enhanced awareness and understanding of the Bonn guidelines and National ABS measures by government institutions, research, private sector and relevant NGOs as well as local communities;
 - Participation of national authorities and focal institutions in regional ABS capacity building Initiative through lessons learned from ABS processes;
 - Full participation of all stakeholders in the development and implementation of ABS measures.
72. Medium term outcomes include:
- Involvement/participation of key stakeholders in decision-making at national level;
 - More effective management of genetic resources by research institutions and indigenous and local communities including farmers;
 - Clearer/lucrative bio-prospecting contracts by the national focal points;
 - Enhanced regional cooperation, through knowledge, experiences and information sharing; and
 - Adoption of common position within regional/sub-regional frameworks and institutions. Countries are represented by national Authorities and or designated focal institutions.
73. Also extracted from the project document, the intermediate states to be realized before the achievement of the global impact include:
- ABS measures are fully implemented at national and regional levels. This includes the implementation of the Bonn Guidelines; the development of regional and sub-regional ABS networks to support countries developing ABS policies; better representation of African countries on ABS related meetings and a strategy for disseminating the tools and lessons learnt in other countries of Africa; effective ABS measures in the pilot countries.
 - Fair and equitable sharing of benefits derived from genetic resources with the local communities whose income is increased and living conditions improved, thus providing incentive for better

practices in biodiversity management while contributing to economic growth and poverty alleviation.

74. The proposed impact also viewed as Global environmental benefit could be stated as; reduced pressure/threats on globally significant biodiversity conserved, resulting in the maintenance of ecosystem services.
75. The Project Results Framework as per the project document is presented in Annex II. The drivers identified in the project document towards project impact are: national governments committed to the implementation of ABS measures and CBD, and readiness and availability of experts and institutions to contribute to the process. This runs throughout the project. However, these external conditions would be better defined as 'assumptions' since they are conditions UNEP cannot have a meaningful influence over. Thus, in the reconstructed TOC these factors are regarded as assumptions.
76. The likelihood that the impact will be achieved depends on a number of additional assumptions mentioned in the project document such as: the political will to adopt effective ABS measures; improved capacity and understanding of ABS issues will lead to adoption of such issues, stakeholders' interest and engagement in ABS and the availability of finances.
77. The assumption relating to the availability of finance is important because the lack of it had hampered the establishment of effective ABS measures in the countries in the past until the ABS Capacity Building Initiative and the GEF funded ABS Africa Project were initiated. So it is assumed that there will be sufficient money throughout and even beyond the life of the project through the African Initiative, and this could be boosted by the early benefits accrued from the use of genetic resources and shared with communities.
78. The reconstructed TOC shown in Figure 2 is based on the premise that "Increased capacity of relevant staff and institutions will trigger the establishment/elaboration and adoption/implementation of appropriate/effective ABS measures and framework (policies, regulations and structures) that will enhance activities (*access to genetic resources at national and regional levels including benefits Sharing modalities*), resulting in increased income and better livelihood and living conditions for communities as well as economic development at national level contributing to poverty reduction that will provide incentive for better biodiversity conservation/management thus reducing pressure/threats while maintaining ecosystem services.
79. The reconstructed TOC (showing the impact of the project) illustrates the contribution that appropriate ABS measures development and implementation can have on the conservation/management of Biodiversity.
80. Paragraph 72 above, summarizes the project objectives and outlines the 4 main components/outcomes identified in the project design. Outcome 1, 2 and 3 are closely related and addressed National development and implementation of ABS measures, whereas outcome 4 focused on regional collaboration. The reconstructed Toc could therefore be reformulated in two major outcomes as follows: i) Strengthened stakeholder capacity to develop and implement appropriate national ABS measures and ii) Enhanced Regional collaboration through lessons/experience sharing and common position on ABS issues.

Figure 2: Reconstructed Theory of change of the ABS Africa Project

ABS AFRICA RECONSTRUCTED THEORY OF CHANGE

Reduced threats/pressure on globally significant biodiversity conserved; Ecosystem services are maintained;

Sharing benefits with the communities leading to increased income and better living conditions, and contributing to economic growth and poverty alleviation thus providing incentives for best practices in genetic resources conservation & use

ABS Measures fully implemented at National and Regional Levels

Enhanced implementation of ABS measures at all national levels

Participation of key stakeholders in decision-making at national level

More effective management of genetic resources by research and indigenous and local communities

Clearer/lucrative bio-prospecting contracts by governments focal institutions

Adoption of common position within regional frameworks and institutions

Enhanced regional cooperation, through knowledge, experiences and information sharing

Increased human and institutional capacity for ABS implementation

Full participation of all stakeholders in the development, revision and implementation of national ABC policies and regulations

Enhanced awareness and understanding of the Bonn guidelines and national ABS measures /activities: procedures, legislation, funding needs

National processes benefiting from sub-regional activities of ABS initiatives

Participation of national authorities/focal institutions in regional ABS Capacity Building Initiative through lessons learned from national ABS process

- Support to the development of national ABS framework (policies & regulations)
- Procedure for negotiating ABS agreements
- Access required procedures and decision making criteria
- Authorities & ABS National focal points in each country
- Mechanism for participation of national and community stakeholders
- Review of existing national policy basis and institutional capacity
- National ABS policy frameworks

- ABS strategies developed to enhance stakeholder awareness of ABS strategies
- Technical toolkits, public awareness, education and documentation materials elaborated
- Technical tools, kits and manuals to meet individual needs
- Training workshops in each participant country
- Development of capacity of local

Support to the revision & amendment of existing national ABS framework, policies & regulations

- Participatory review of existing ABS policies, regulations and institutional capacity
- Participatory process to amend existing policies and

- Sharing of lessons learned
- Participation of national components in the ABS regional Initiative
- Involvement of sub-regional organizations
- Training in all languages of the region

Drivers

- National government commits to the implementation of CBD and ABS measures, until legal system is adjusted for benefits & reduced contradictions (in policies)
- Availability of specialized institutions and expertise

Assumptions

- Necessary political will to adopt effective ABS measures exist in countries
- Stakeholders interest in change and engagement
- Increased capacity and improved understanding of ABS will lead to adoption of ABS frameworks
- Availability of adequate financial assistance

Impact

Intermediate States

Medium term Outcomes

Project Outcomes

Project Outputs

3. Evaluation Findings

3.1 Strategic Relevance

81. The project is highly relevant to both UNEP and GEF. The project is relevant under the GEF Biodiversity Strategic Priority 4: Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues'. It is also fully consistent with Strategic Program 8 'Building Capacity on Access and Benefit Sharing (ABS)'. The project supports capacity building of governments for meeting their obligations under Article 15 of the CBD, as well as building capacity within key stakeholder groups, including indigenous and local communities, the scientific community and actors of the private sector.
82. GEF supports capacity building as a means to improve individual and institutional performance for progress towards global environmental gains, as well as to help countries meet their requirements under the environmental conventions. The biodiversity focal area strategy and strategic programming for GEF-4 defined building capacity on ABS as a long-term objective and a strategic programme. The ABS Africa project responded to the need for building capacity of countries for access and benefit sharing to enable the Parties of the CBD to elaborate, negotiate and implement the Nagoya Protocol, met this objective. The project is also relevant under the GEF biodiversity strategic Priority 4: Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues.
83. The project also links to expected accomplishments under UNEP's *Environmental Governance Sub programme* (UNEP Medium-term Strategy 2010–2013) on ensuring that environmental governance at country, regional and global levels are strengthened to address agreed environmental priorities. One of the expected accomplishments under this priority was "that States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions".
84. The ABS Africa project promotes the establishment of measures that promote concrete access and benefits sharing agreements that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT), including the fair and equitable sharing of benefits. Its activities are consistent with the Bonn Guidelines as well as the Nagoya Protocol and contribute to the Action Plan on Capacity Building adopted under the Convention.
85. In addition the project is in line with/or complementary to several other projects or initiatives funded by the GEF or other donors in response to stakeholders' priorities and needs such as the multi-donor ABS Capacity Development Initiative, the UNDP/GEF 'Southern African Biodiversity Support Programme: Access and Benefit-Sharing (SABSP)' involving IUCN and the South African National Biodiversity Institute, and the IUCN 'Support to the Implementation of Access and Benefit Sharing Legislation in South Africa' project.

Alignment with the Bali Strategic Plan

86. ABS Africa project's focus on capacity building is consistent with the Bali Strategic Plan for Technology Support and Capacity-building which aims at a more coherent, coordinated and effective delivery of environmental capacity-building and technical support at all levels and by all actors, in response to country priorities and needs. The project's objective is highly relevant to a number of the objectives of the Plan, which is targeted towards developing countries and countries in transition.

Gender

87. Special attention was paid to ensuring strong women leaders' participation in national and regional project activities especially in Cameroon, Madagascar and Kenya. Serious efforts were made to involve women, as well as men, in capacity-building activities, especially at indigenous and local communities level, where management of agrobiodiversity, use/conservation of genetic resources are done by women. Their participation in workshops and training activities was high. Similar engagement of youth was not obvious except when engaging/involving academic and research institutions in the countries.

South to south Cooperation

88. The potential for a South to South cooperation is present, considering that the ABS Africa project is part of a global portfolio that that encompasses similar project activities in Latin America, India and South Asia. Experiences or lessons learned from institutions/countries from the South, invite

cooperation. This South to South Cooperation was not specifically brought in the project document. However the projects of the portfolio offered several opportunities for countries of the Southern hemisphere participating in the Initiative to exchange technologies/resources and learn from each other. Already the South-South cooperation has already started with all the activities (lessons learned, training etc.) shared/conducted at sub-regional, regional level under component 4. CEPA toolkits elaborated by the participating countries were translated into Spanish to be used in Latin America.

89. The evaluation rating for the criterion strategic relevance is “**satisfactory**”.

3.2 Achievement of outputs

90. The project undertook and achieved the major activities planned and implemented in the participating countries according to the project reports. The outputs were achieved despite the various teething problems each country faced, especially at the onset of the implementation. However, in Mozambique, delivery was initiated very late. The following are examples of the planned outputs as per the logical framework, which were achieved at the end of project implementation period, according to the project reports.

Component 1: Development of national ABS policies and regulations

Output 1: *ABS outreach strategies and programmes to enhance stakeholder awareness and to engage them on ABS issues*

91. **Madagascar** Activities accomplished for the delivery of the output included: Establishment of a communication plan; Production of target oriented leaflets on feeding ABS themes in existing exchange mechanism and meetings with other target groups such as indigenous and local communities (ILC) and agricultural policy. 100% of these activities were carried out. The meetings with different groups of stakeholders such as researchers, local communities from different regions were done in order to finalize the communication materials.
92. **Cameroon:** Activities were also undertaken and completed successfully in Cameroon and led to collection of existing information that was shared and reviewed/consulted by representative groups of stakeholders in the country in order to complete the activities.
93. **South Africa:** An animated ABS film was produced that explain the role of Government, relevant laws, the different stakeholders, potential benefits, opportunities and challenges. Three Bio-prospecting Access and Benefits Sharing (BABS) posters were produced and placed in DEA newspapers articles. A Frequently Asked Questions booklet on BABS was produced.

Output 2: *Review of existing national policy basis and institutional capacity for ABS*

94. In **Madagascar** a document was produced which is an overview of the institutional and legal issues relating to access to biological resources in Madagascar. It is divided into several parts, including the section on the institutional framework and the one making an analysis of existing legal instruments that may be related to access to genetic resources and sharing of its benefits. Another part is devoted to legal analysis of the preliminary draft legislation on ABS and what still needs to be considered in light of the Nagoya Protocol and national concerns. This was fully completed.

Output 3: *Training of key government officials*

95. **Madagascar** Two workshops were conducted for government officials during the first half of 2012 and benefited thirty (30) government officials from different Ministries: Trade, Research, Agriculture, Fisheries, Environment, and Health. A third workshop was conducted for researchers of the University of Antananarivo on October 1st, 2012 in Antananarivo. The 35 participants/beneficiaries of the training were teachers and researchers from the Faculty of Science, the Faculty of Law, Economics, Management and Sociology and the College of Agricultural Sciences of the University of Antananarivo. The approach adopted was firstly the presentation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing focusing mainly on the use of biological/genetic resources, protection, and access mechanism, followed by a series of presentation and a case study to better understand the process of the ABS.

Output 4: *Development of capacities of local and indigenous community representatives to participate in*

the development of ABS measures

96. **Madagascar** A total of four workshops were organized. One has been conducted with the local communities living around a protected area in the Region of Atsimo Andrefana (Southern Madagascar), and another workshop was done with local communities living around a privately managed forest reserve in Mangoro and Atsinanana Region. Two other workshops were organized bringing together two local communities; a local community from the Plateau Belomotse and forest in the North of Toliara (53 participants) and another from the surrounding of Vohimana forest and Vohibola forest, in the middle Est and Est part of Madagascar (42 participants). There was presentation of the concept and themes of the ABS followed by discussions and exchanges. The training was characterized by: a better understanding of the fundamental principles of the ABS by the communities; elements for the rational use of traditional knowledge; understanding of the effective contribution of stakeholders, in particular local communities in the implementation procedures of the ABS at the national level, all in full participatory mode.

Output 5: *Consultative multi-stakeholder workshops to input the creation of the national ABS policy*

97. **Madagascar** The main activity was updating the preliminary draft law on access to biological and genetic resources, taking into account the different aspects of the Nagoya protocol and the concerns of the country; develop a clear and consistent legislation. Ensure the follow up of genetic resources outside national territory in case of commercial uses and explore how the legislation will be implemented. This led among other things to the pooling of knowledge between researchers and natural resources managers in a multi-stakeholders workshop to ensure consistency between the views; setting up of a checkpoint at the local, regional and national levels to verify compliance of the contract with collected resources or resources object of research and development; development of reflections on the intellectual property rights in relation with the ABS with the Malagasy Office for Intellectual Property.

Output 6: *National ABS policies and regulations*

98. **Madagascar:** A committee composed of representatives of the following stakeholders: Ministry of Environment and Forests (Lawyers and natural resource managers); Ministry of Scientific Research (Directorate General of Scientific Research); Malagasy Office of Intellectual Property; National Focal Point on Plant Genetic Resources (forest); civil society working in the field of natural resource management; research professors at the University of Antananarivo was charged with the responsibility to prepare the important elements of the ABS policies and regulations, and determine the different directions of further activities for the implementation of the management of the Process for access and benefit sharing; to ensure technical consistency between the different areas and coordinate the various steps in the development and implementation of a national legal framework. The main elements of a draft National ABS policies and regulations were elaborated; the regulations for the implementation of the protocol of Nagoya were also prepared and the protocol was ratified in December 2012 by the Parliament of transition. There was also the drafting of the law on access to biological resources and benefit-sharing.

Output 7: *Administrative/Institutional settings*

99. **Madagascar:** The Select Committee has held several meetings on the procedures for granting of permits for existing research. Various meetings were conducted to identify all the potential stakeholders and the existing authorities have been analyzed namely: - The Orientation Committee for Environmental Research - The ad hoc Committee on Fauna and Flora (CAFF/CORE). The consultation process leading to the determination and empowerment of competent national authorities was not able to end for political reasons.

100. In **Cameroon** a transitional/temporary committee was established to be the authority to issue legal permits authorizing the use of genetic resources/biodiversity to applicants/users.

Output 8: *Participatory Mechanisms*

101. **South Africa.** Two stages of public participation in form of workshops were conducted in addition to public notices.

102. **Madagascar:** Several workshops were organized that brought together different groups of stakeholders and these workshops were conducted with appropriate tools.

103. Similarly, in **Cameroon and Senegal** public awareness workshops were organized with the active participation of various stakeholders in order to increase their understanding of ABS issues.

Component 2: Implementation of national ABS policies and regulations

Output 1: *Identifying existing expertise and developing a strategy to address major gaps and capacity needs for implementation*

104. **Madagascar:** A meeting on 25 September 2012 by the Ministry of Environment and SAGE recommended: the control and monitoring of diverse contracts or collaborations in the field of research; to strength capacity and knowledge about the ABS implementation for all stakeholders-step by step- and start with research and the institution or persons who works on bio-prospection; To develop adequate tools in order to address the needs for the elaboration of a strategy for strengthening capacity necessary for the implementation of the ABS and identify the needs of every type of stakeholders based on the stages identified and the concerns of the stakeholders, a major national workshop was held with members of various communities, local communities, local authorities, members of the local associations and private businesses. Some of the issues focused on were: improvement of the knowledge on the CBD and the ABS, the information and awareness of the stakeholders, the valuation and consideration of the traditional knowledge and the elaboration of a national legislation and administrative procedures regarding ABS. The various groups whose concerns were reviewed were: local communities, researchers, private sector, and civil society.

105. A capacity development strategy was elaborated taking into account the major proposition of stakeholders who have been consulted.

Output 2: *(National-level) technical toolkits and manuals to meet identified needs*

106. **Madagascar:** Adaptations of communication tools to different stakeholders were elaborated following their presentation to the local communities and to stakeholders. The following criteria were taken into consideration: Dialects of each zone in the materials; Put less writing on the materials for local and indigenous communities; Preference for flyers and posters for local communities; Develop a more informative material for administration, researchers and other educated stakeholders who have interests in the knowledge and use of biological diversity/resources; Translate the movie on ABS in Malagasy language.

107. The following main products were provided to each stakeholders: For the Indigenous and Local Communities, there were brochures with several thematic such as definition of genetic resources, the negotiation during access, the valorization of traditional knowledge in the ABS process, the providers, the users, the Prior Informed Consent (PIC) and Material transfer (MAT). For the public, 5 types of posters were elaborated on Malagasy; biodiversity, the traditional knowledge and the ABS, the use of biodiversity by scientific community and the local community and its results, and the Nagoya protocol and the Malagasy approach for its implementation.

108. **South Africa:** Elaboration of a Guideline for Providers, Users and Regulators entitled 'South Africa's Bio-prospecting, Access and Benefit-sharing Regulatory Framework

109. **In Kenya,** NEMA engaged the services of a consultant to develop the toolkit/manual and information materials for: i) Lead and enforcement agencies, private sector, civil society organizations, research and institutions of higher learning and other relevant stakeholders; ii) indigenous and local communities to enable the stakeholders to a) promote compliance with the relevant law and regulations and provide legal certainty within research communities, investors, bio-prospectors and other entities regulated by the Regulations; and b) provide clear procedures to enable the public to negotiate benefits from utilization of genetic resources and/or associated knowledge to the genetic resources by genetic resource/information users.

Output 3: *Technical training workshops for key government officials, NGOs and private sector*

110. **Madagascar:** The objectives of the training were to: Improve the knowledge and the understanding of forest agents on the Convention on Biological Diversity and the Nagoya Protocol; Strengthen the capacities of forest agents on the main steps of ABS implementation; Improve the understanding of the functioning of the mechanism of ABS and the key (measures of the Protocol of Nagoya; and Apply the experiences of the training at the regional level, for the sustainable management of natural resources.

111. The following recommendations were submitted by the participants in the training:

- Prioritize the implementation especially the law concerning the ABS by the implementation of a well-structured and applicable law;
- Place/anchor well the management of genetic resources at the level accessible to all such as the DREF, the municipalities, the Fokontany;
- Sensitize stakeholders on the benefit sharing which is obtained by giving access to the genetic resources and to the traditional knowledge;
- Strengthen and clarify the law which indicates the control point and the certificate of control;
- Create a unit for appeal, in case of bio-hacking or other problems;
- Explain properly the procedure to be followed regarding ABS: access, certificate of compliance, the patent (certificate), the center of exchange;
- Execute appropriately the intellectual property rights;
- Create a monitoring institution.

Output 4: *Development of capacities of local and indigenous communities to participate in the implementation of ABS measures*

112. Madagascar: The objectives were to contribute to the strengthening of capacity of the members of the local communities in several regions, to inform them and allow them to reach/contribute to the national implementation of the ABS in Madagascar. The training dwelt on the following themes: The three main objectives of the Convention on Biological Diversity; The Protocol of Nagoya; The definition of genetic resources; traditional knowledge related to the genetic resources; ABS implementation in Madagascar and the explanation of the ABS booklet. The concerns were on the PIC, MAT and laws relative to the national implementation of the ABS as well as the positions of the internal private users (IMRA, Homeopharma).

113. Members of the indigenous and local communities were at different levels compared to other stakeholders so, a training of trainers was successfully undertaken in order to have the right trainers for each target group.

Output 5: *National information sharing mechanism and/or link to a potential international ABS CHM*

114. Madagascar: A center of exchange was created within the framework of the mechanism of exchange planned in paragraph 3 of article 18 of the CBD in June 2013. It serves as a platform of information sharing related to access and benefit sharing. In particular, it allows reaching the relevant information which helps each party in the implementation of the present protocol.

The information about the implementation of the Nagoya Protocol in Madagascar is available on-line and has been developed by the Clearing House Mechanism (CHM /CDB Madagascar) which collects and strengthens the information on the implementation of the Nagoya Protocol in Madagascar.

Output 6: *ABS outreach strategies and programmes to enhance stakeholder and broader public awareness of ABS issues*

115. In Madagascar: These included the elaboration of communication booklets, pamphlets and posters in addition to different tools and documents/communication tools as well as best practices/lessons learned during different workshops and that were translated in the local language.

Component 3: Revision of existing national ABS policies and regulations

Outputs 1: *Participatory review of existing national ABS policies, regulations and institutional capacity*

116. South Africa: Elaboration of a draft bio-prospecting Access and Benefits-sharing Amendment Regulations of 2008.

Output 2: *Participatory process to amend existing policies and regulations*

117. South Africa: Two stages of public participation in a form of workshops and public notices were organized.

Component 4: Regional and sub-regional cooperation and capacity development

Output 1: *Training of trainers for development and implementation of national- level activities*

118. This went on well and was achieved through as a bilingual exercise (an Anglophone multi-stakeholder processes workshop as well as a French multi-stakeholder processes workshop).

Output 2: *Participation of national counterparts in the activities of the ABS Initiative*

119. There was participation of ABS Africa focal points in workshops of the ABS Africa Initiative (regional).

Output 3: *Sub-regional CEPA ABS materials and tools*

120. Based on the generic info-kit, a CEPA ABS Guide for Africa (including sub-regional case studies, approaches and strategies) was developed. CEPA tools and guides were completed mainly in Madagascar. These CEPA tools were later translated in Spanish and Portuguese by the ABS Africa Capacity building Initiative for raising awareness in countries of Latin America.

Output 4: *Involvement of sub-regional organizations (COMIFAC, SADC, ECOWAS, EAC) in ABS discussions*

121. Trainings on multi-stakeholder processes were conducted. All the sub-regional organizations (COMIFAC, SADC, ECOWAS, and EAC) were involved in ABS discussions with the representatives of the NEAs and participated in training workshops of the Africa Initiative.

Output 5: *Pilot business initiatives for promoting bio-prospecting ventures and community based benefit sharing arrangements*

122.. The pilot business initiatives were not delivered by the end of the project. This was the main responsibility of the regional ABS Africa Capacity building Initiative to assist the national teams to deliver. To complete the Business project/models proved to be more complicated than envisaged. The objectives set were very ambitious. It was realized that basic data were needed from the countries as well as factual information. In addition, patent system analysis for all the countries as well as thorough stakeholders' analysis needed to be carried out. It is hoped that this could be ready for the next CBD conference of the parties (Morocco 2016) and **Madagascar** may be the first country to test her own mode, followed later by South Africa.

Output 6: *Training workshops for French, English and Spanish speaking countries to share lessons learned*

123. Only a sub-regional training workshop in Portuguese was held for Lusophones to share lessons learned.

Output 7: *Synthesis and dissemination of national lessons learned to regional and sub-regional levels*

124. The production of a synthesis report, presentation in a regional workshop of the ABS Initiative and dissemination through the website of the ABS Initiative were not achieved during the implementation of the project.

125. In addition, a number of other planned outputs were not achieved by the time the project was closing. From the discussions with team members, Senegal, Cameroon and Kenya were unable to complete several activities leading to the achievement of several outputs. One of them is the preparation of all CEPA tools/guide which was not fully completed at the end of project implementation time. Another one is the preparation of appropriate material for the different training workshops leading to the non organization of training workshops for some of the stakeholders in these countries. These also affected the activities leading to the completion of the elaboration of legal systems, the various mechanisms and their implementation. With the exception of Madagascar and South Africa, national and regional outputs were not completed. As mentioned earlier they were not implemented in Mozambique at all.

126. The evaluation rating for the criterion achievement of outputs is "**Moderately Satisfactory**".

3.3 Effectiveness: Attainment of objectives and planned results

127. Effectiveness is based on the achievement of project outcomes which were intended to catalyze action and change (the intended purpose). This is consistent with the TOC which is based on the

premise that- assuming that there is sufficient finance- “Increased capacity of relevant staff and institutions will trigger the establishment/elaboration and adoption of appropriate/effective ABS measures and framework (policies, regulations and structures) that will enhance activities (access to genetic resources at national and regional levels including benefits sharing modalities), resulting in increased income and better livelihood/living conditions for communities; as well as economic development at national level contributing to poverty reduction thus reducing pressure on biodiversity and ecosystem services.

128. Review of project reports/annual reviews and discussions with focal points show that the project has performed relatively well despite some issues at the initial stage in most of the participating countries with the exception of Mozambique. For instance, most stakeholders have been identified and most government officials and indigenous and local communities in the participating countries are now aware they can derive some benefits from the use of their unique genetic resources. Moreover they also realize there are benefits in using, maintaining and propagating best conservation practices. Indeed, indigenous and local communities are becoming increasingly knowledgeable about the value of indigenous genetic resources. Most importantly, they have begun developing and increasing the capacity needed not only to put in place the necessary policies and regulations but also to try and implement them, which was one of the main objectives of the project and was identified and agreed by several countries.

3.3.1 Achievement of outcomes as defined in the reconstructed TOC

129. To a certain extent the two immediate outcomes consolidated by the reconstructed TOC were realistically achievable within the project’s timeframe. But after that, there was no consideration of future impact. Although the project design proposed a result framework that follows the logical framework, it did not include any analysis of causal pathways or consideration of future impacts.

130. **Immediate outcome 1: Strengthened stakeholder capacity to develop and implement appropriate national ABS measures.** Despite some difficulties at the onset of the project, most countries managed to build capacity of relevant stakeholders to develop and/or review existing policies and regulations. ABS Frameworks began to take shape with the increased capacity on the issue. With the exception of Mozambique, participating countries began developing various tools for different stakeholders in order to strengthen all interventions. What will happen after that in the long run is unclear. **Medium-term outcome 4: Enhanced regional collaboration through lessons/experience sharing and common understanding/position on ABS issues.** Activities have been well undertaken by the national focal points, assisted by the sub-regional/regional institutions. Training, exchanges of experiences were launched in the various regional languages. Documentation was translated into different languages. There was excitement, motivation and, to a certain extent, high expectations. However, the outcome was only partially achieved because the outputs delivering towards this outcome were not completed during the lifetime of the project. The compendium of lessons learned and a report at the national level were not completed in addition to final workshops in other regional language. However it was envisaged that the GIZ-lead ABS Capacity Development Initiative will continue to assist in the regional context.

At national level

Outcome 1: Development of national ABS policies and regulations

131. As discussed earlier, some of the project outputs as defined in the project Log frame were rather outcomes. Such is the case for example for policies and regulations when they have gone through the process of becoming law and are gazetted by the countries (case of outcomes 1 and 3).

132. In **Cameroon** and **Senegal**, national ABS policies and regulations were developed replacing/consolidating the fragmented pieces of legislation on environment, forestry and wildlife that existed previously. Similarly in **Kenya**, national ABS policies were also developed and complemented the existing regulations.

Outcome 2: Implementation of national ABS policies and regulations

133. During the project execution period, Madagascar and South Africa strived to implement the ABS measures. In **Madagascar**, the national ABS CHM has been established, and products such as best practice guidelines and the ABS management tool have been completed. Technical training of relevant stakeholders has been initiated but needed to be completed.

Outcome 3: Revision of existing national ABS policies and regulations

134. In Madagascar and South Africa, the process to review and amend existing policies and regulations was completed and existing national ABS frameworks in place that needed to undergo a revision were reviewed and amended.
135. Some of the major accomplishments realized through these first three outcomes above included key interventions such as: the building of capacity of key government officials and relevant stakeholders including indigenous and local communities; multi-stakeholder processes to develop and implement the national ABS frameworks; and communication, education and public awareness (CEPA) activities including the elaboration of toolkits that illustrated messages such as: i) Collaborations between different parties are useful in the exploitation of biodiversity resources; ii) Build on win-win negotiations; iii) Establish prior agreements between different parties for access to genetic resources and iv) benefit sharing accruing from utilization of genetic resources and traditional knowledge. These major accomplishments were completed in Madagascar and South Africa within the project implementation timeframe, but fragmented and uncompleted for Cameroon, Senegal and Kenya. However these provided the necessary capacity and willingness to most of the countries to ratify the Nagoya Protocol.
136. Overall, the development and revision of ABS policies and regulations were completed in Madagascar, Cameroon and South Africa. Activities towards implementation of the frameworks were achieved in Madagascar and South Africa, especially awareness-raising and capacity-building activities for relevant stakeholders. Kenya and Senegal experienced delays at the starting of the activities.

At regional level

Outcome 4: Regional and sub-regional cooperation and capacity-development

137. The regional activities contributed towards the dissemination of best practices by offering exchange platforms for the countries and by producing guidance and tools (such as the CEPA guidelines). The dissemination was a strong component of the last quarter of the project when a joint workshop was to permit the specific exchange and dissemination of the lessons learned during this project. This did not happen as well as the production of a synthesis report of the national lessons learned.
138. Considering project's delivery at both, national and regional levels, the project achieved its goals in strengthening capacity of various key stakeholders and to lay the foundation to develop or review policies, regulations for establishing a framework and to begin implementing ABS measures in Madagascar and South Africa and Cameroon and in a lesser extend in Kenya and Senegal. There were no activities in Mozambique. Regional activities were also initiated and provided platforms to the focal national institutions to meet train, begin to exchange lessons learned, adapt tools for communication and awareness raising and associating regional institutions that can facilitate the interventions.
139. The evaluation rating for the criterion Effectiveness is "**moderately satisfactory**".

3.3.2. Likelihood of impact

140. The likelihood of achievement of project impact (reduce pressure/threats on biodiversity and maintaining of ecosystem services) is examined using the ROTI analysis and TOC. A summary of the results and ratings of the ROTI are given in Table. The ROTI approach is used to assess the likelihood of impact by building upon the concepts of Theory of Change. There are a number of intermediate stages/results beyond the Project's outcomes in the causal pathway that need to occur for the realization of the Project's final desired impact.
141. In order for the project to reach impact, two intermediate states, as identified in the reconstructed TOC should be achieved, namely: (i) ABS measures are fully implemented at national and regional levels. This includes the implementation of the Bonn Guidelines and the Nagoya Protocol; the development of regional and sub-regional ABS networks to support countries developing ABS policies; better representation of African countries on ABS related meetings and a strategy for disseminating the tools and lessons learnt in other countries of Africa; effective ABS measures in the pilot countries, and (ii) Sharing of benefits derived from genetic resources with the local communities whose income is increased and living conditions improved, thus providing incentive for better practices in biodiversity management while contributing to economic growth and poverty alleviation.
142. With the implementation of ABS Africa Project, many of the participating countries with the exception

of Mozambique started developing a national ABS framework, through building capacity and establishing focal institutions while raising awareness of the need to get involved in ABS implementation. The identification of relevant stakeholders was also done. Motivation was created to engage in ABS issues. National authorities were engaged as well as indigenous and local communities and research institutions and academia. Stakeholder analysis revealed a long list of interested parties, especially in Madagascar and Cameroon. Madagascar and South Africa achieved the most. Project teams were able to train many target institutions staff, as well as elaborate several indigenous CEPA tools. This helped build institutional and individual credibility while providing motivation to implement ABS.

143. The reconstructed TOC also identified external conditions which need to be in place in order for the project to reach impact; national governments committed to the implementation of ABS measures and CBD, and readiness and availability of experts and institutions to contribute to the process.

144. As stated earlier, the assumptions identified include:

145. ***The necessary political will to adopt effective ABS measures in the country and national government committed to the implementation of CBD and ABS measures.*** The countries participating in the project have requested the international community to assist them in the ABS process. They have been struggling to have an appropriate and rational system in place to help them maximize gains from their natural resources. Considering the existing political willingness and following the adoption of subsequent protocols to the CBD and the start of various processes, some developed countries initiated some capacity building programmes joined by GEF and UNEP. It is the desire to see biodiversity benefiting the people that made governments participate in the development and implementation of this project and this can increase with the level of awareness of the people, increased capacity and understanding of the processes, of what is at stake;

146. ***Stakeholders' interest in change and engagement.*** In most of the countries, judging by the level of participation of the various stakeholders in the activities of the project and the awareness raised during implementation, one can say that the various categories of stakeholders have shown interest in seeing changes and have resolutely engaged in activities and realized that changes will bring some gains in their lives;

147. ***Increased capacity and improved understanding of ABS will lead to adoption of ABS frameworks.*** The more capacity is built, the more understanding of what is at stake and the more the willingness to have the measures in place for the realization of the aims/objectives of the project. This is reflected in the interest of the stakeholders and more in countries that have realized more outputs such as Madagascar and South Africa and less in Cameroon, Kenya and Senegal;

148. ***Availability of specialized institutions and Readiness and willingness of Experts to be involved in the process.*** There is a proliferation of institutions involved and interested in biodiversity manipulation in all the countries. As a result, there is always competition and sometime fierce competition, because of the limited funds. Governments must prevail. Duplication must be avoided and institutions' level of competence/specialization, roles and responsibilities must be defined. The appropriate national institutional structure/mechanism must be set up for the coordination of laid down procedures to ensure their implementation for the benefit of all parties. The above action of Governments may facilitate the involvement and participation of qualified and experience personnel. Indeed competent experts will be willing to assist and be associated in the development and implementation of the ABS measures;

149. ***Availability of adequate financial assistance.*** This is critical in the realization of the outcomes: not only availability but also timely disbursement. Funds in very little quantity and arriving late have also been counterproductive and ended up not been used and activities were not carried out. The link of the project to the Regional ABS Africa Capacity Building initiative provided a good indication that funds will be available for the realization of some of the expected outcomes;

150. ***The legal system needs to be adjusted to include ABS measures and reduce contradictions (in policies).*** This was an important driver identified which will facilitate the adoption and implementation of the ABS measures is that this is also critical in the realization of impact. Existing legislation or policies being put in place need to conform to the objectives of the project (for facilitation). Pieces of contradicting policies in the legal system must be removed and appropriate one, in line with the ABS procedures/measures be enacted and stakeholders educated (increased capacity/awareness). This is yet to be resolved in Cameroon, Kenya and Senegal, but is in good progress in Madagascar and South Africa.

151. The likelihood of the project's outcomes leading to the impact/global environmental benefits will depend largely on support from the GIZ-implemented ABS Capacity Development Initiative. But the regional component must organize itself and probably elaborate a regional strategy to carry forward the gains/results of the present ABS Africa project, since financial support could be coming from the Africa initiative. The immediate project outcomes need to be sustained. It will take a long time for long term outcomes to be realized and a longer time to achieve intermediate state and to reach impact. This section on likelihood of impact is thus closely linked to discussion on sustainability. Each country needs assistance to continue and finalize the activities initiated or remaining. Policies and regulations must go through the legislative or legal system in each country and be consolidated and the various government institutions/agencies/ministries must remain committed to pursue the activities.
152. In addition there are some bottlenecks that need to be resolved and each participating country seemed to be grasping with. They include mainly: i) the issue of having a centralized institution (such as a National Biodiversity Centre) that is empowered to coordinate the critical activities pertaining to the 'operationalization' of the ABS measures including planning, legislation/policies, procedures, permits, education/capacity building, implementation of business models; ii) The elaboration of the business models without which the ABS framework is not complete. The business model was to be elaborated in partnership with the ABS regional /Africa Capacity Development Initiative; iii) coordination with the treasury and other institutions of benefits (monetary and others) accrued/paid for the use of national genetic resources.
153. From the onset the participating countries were in different situations. Some had no measures in place, while others had some measures that needed to be reviewed, modified or improved. The assumptions and drivers are likely to affect them differently and impede or enhance the project outcomes.
154. The ROI requires ratings to be determined for the outcome achieved by the project and progress achieved towards intermediate states at the time of evaluation. The rating system is in Table 9, and the assessment of the project's progress towards achieving its intended impact is provided in Table 10.

Table 9. Rating Scale for Outcomes and Progress towards intermediate states

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

155. Not all of the outcomes were fully achieved, especially in Mozambique, Senegal, Cameroon and Kenya. In Madagascar and South Africa most of the outcomes were achieved except the important business model which could not be achieved during project implementation time. This was mainly due to the fact that it was realized that it was overly ambitious. In some other cases in Senegal, Kenya and Cameroon, funds were not received on time or not received at all. According to the Executing Agency, funds allocated for Kenya were not used fully. Progress towards outcomes has been rated "C".
156. Some background/preliminary work needed to have been done for some of the outcomes to be realized. As stated earlier, many of the assumptions identified need to be met between various stages until impact can be realized. In addition, the ABS Africa Project being linked to the regional ABS Capacity Development Initiative makes it possible to achieve outcomes and progress to be made towards intermediate states and move towards the global impact in the future. Rating of progress towards intermediate state is given as "C".

157. During its implementation period, the project has not provided any known benefit to the global environment and is unlikely to do so in the immediate future. It will need a long time for it to achieve the impact (reduced threats on biodiversity/genetic resources and stabilize ecosystem services) since, as stated earlier, several other conditions/parameters need to be fulfilled. The overall rating for the project is given as "CC".

Table10. Overall likelihood of achieving Impact: ABS Africa Project

Outputs	Outcomes	Rating D-A	Intermediates states	Rating D-A	Impact	Overall Rating
<ul style="list-style-type: none"> • ABS outreach strategies and programmes to enhance stakeholder awareness and to engage them on ABS issues. • Review of existing national policy basis and institutional capacity for ABS. • Training of key government officials. • Development of capacities of local and indigenous community representatives to participate in the development of ABS measures. • Consultative multi-stakeholder workshops to input the creation of the national ABS policy. • National ABS policies and regulations • Administrative / institutional settings. • Participatory mechanisms. • Participatory review of existing national ABS policy, regulations and institutional capacity. Participatory process to amend existing policies and regulations. • Training of trainers for development and implementation of national-level activities. • Participation of national ABS counterparts in the activities of the ABS initiative. • Sub-regional CEPA ABS material and tools. • Involvement of sub-regional organizations (COMIFAC, SADC, ECOWAS, EAC) in ABS discussions. • Pilot business initiatives for promoting bio-prospecting ventures and community based benefit sharing arrangements. • Training workshops for French, English and Portuguese speaking countries to share lessons learned. • Synthesis and dissemination of national lessons learned to regional and sub-regional levels. 	<p>Where they did not exist, national ABS policies and regulations are developed</p> <p>Existing national ABS policies and regulations are being implemented</p> <p>Existing national ABS policies and regulations in need of revision are revised and amended</p> <p>Lessons learned from the 6 national ABS processes are integrated into sub-regional and regional capacity building processes of the Multidonor ABS Capacity Development Initiative; and the national processes benefit from on-going sub-regional and regional activities of the Initiative</p>	<p>C</p>	<p>1.ABS Measures fully implemented at National and Regional Levels</p> <p>2.Sharing benefits with the communities leading to increased income and better living conditions</p> <p>3.contributing to economic growth and poverty alleviation thus providing incentives for</p> <p>4.best practices in genetic resources conservation & use</p>	<p>C</p>	<p>Reduced threats/ pressure and loss of biodiversity; Ecosystem services are maintained</p>	<p>CC</p>
	<p>Justification for rating</p>		<p>Justification for rating</p>		<p>Justification for rating</p>	

	<p>The project's intended outcomes were only partially delivered.</p> <p>Some outcomes will feed into the Multi donor ABS Africa Regional Capacity Building Initiative.</p> <p>There is no single rating category that accurately reflects the delivery of project outcomes.</p>		<p>Some joint actions leading towards intermediate states have been initiated, but have not yet produced results.</p>		<p>The project has not achieved any known environmental impact during its lifetime. It is too early</p>	
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158. The Project as assessed is rated "CC" which translates to "moderately unlikely" rating to achieve the expected long term Impact identified. Although the project has helped some of the countries achieve some good results, several measures are still lacking and need to be put in place in most of the countries for the project to achieve fully all its outputs and outcomes and to move into intermediate states. These include the lack, in most of the countries, of specialized national designated/empowered institution to coordinate the process; also the lack of appropriate/required legislation to be incorporated into existing legal systems (this is in the making), the low capacity of representative stakeholders especially in government and lack of national financial support (seed money for basic activities).

159. More funds have been disbursed between 2013 and 2015 by GIZ for more activities to be completed. With careful consideration after the submission of the final project report in 2016, the project rating can be improved to 'B' and 'BB' for Madagascar, South Africa and possibly Cameroun, but remains as assessed above for Kenya, Senegal and Mozambique. All activities were not completed to attain the expected outcomes.

160. The main objective of the ABS Africa project still remains the development and strengthening of national capacities by the relevant institutions for the development and implementation of ABS measures/the Nagoya Protocol by the countries. Generally, the use of consultants can help in obtaining the desired outputs, but not necessarily with the appropriate country's institutional involvement or participation. Yet this is critical for understanding, gaining necessary expertise and insuring preparedness to carry out all ABS measures at national level in a coordinated sequence.

3.4 Sustainability and replication

161. This section considers financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes. It also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices.

3.4.1 Socio-political sustainability

162. The project was designed at the request of many countries of the Conference of the Parties to the CBD - among which was a number of African countries- based on identified needs and gaps for the thorough implementation of the CBD and as a major follow up to the adoption of the Bonn Guidelines. Indeed it was increasingly obvious that benefits generated from genetic resources of many of the countries parties to CBD were ending in other hands than the one of communities owning those resources. Upon the realization that it was mainly due to lack of capacity, governments, conscious of what is at stake, are prepared to ensure that every gain made by the project is safeguarded for appropriate and continuous use by the concerned parties at national level. Thus the active involvement of national institutions.

3.4.2 Sustainability of Financial Resources

163. In addition, sustainability and replication depend on the availability of financial resources which was provided by most partners involved in the implementation of the project especially GIZ and will continue to be available thanks to the ongoing GIZ-implemented ABS Capacity Development Initiative. It is also anticipated that not too long after project completion, financial benefits is one of the projected intermediate impact of the project which could sustain the gains made so far, in complement to whatever financial assistance can come from governments and the regional/sub-regional organizations via the ABS Africa Initiative.

3.4.3 Sustainability of Institutional Frameworks

164. The project design factored in strategies to sustain the benefits of the outcomes through follow up which include the involvement of governments and the established institutions managing the ABS process. Indeed the development and /or refinement of the institutional frameworks (depending of the countries), makes it easy to continue the implementation of decisions, plans and processes regarding the ABS policies and regulations long after the end of this project. Links with several local and regional partners as well as associated/ongoing and relevant projects may also help.

165. Technical training of key stakeholders, elaboration of CEPA tool kits and the clearing House mechanism, all contributed in initiating strong institutional framework that will assist in sustaining the gains of the project and also inspire its replication in other countries in the future.

3.4.4 Environmental sustainability

166. Many indigenous and local communities (farming, hunting, pastoral etc.) continue to depend greatly on natural resources/biodiversity particularly genetic resources for their livelihood. In the current context of a rapidly increasing climate change, proper management of genetic resources helps in protecting/conserving better existing resources and ecosystems, while avoiding wastages, and also undue pressures on the environment, thus allowing sustainability and contributing to the desired outcomes and finally to the attainment of impact, in this case the maintenance of stable ecosystem services.

167. The overall evaluation rating for the criterion Sustainability is “**moderately likely**”.

3.4.5 Catalytic Role and Replication

168. The sub-regional and regional activities which included specialized regional training as well as sharing of lessons learned and the elaboration of regional tool kits in English and French are already a step toward replication of project activities in other countries of the various sub-regions. In addition, in the future, the adoption of a common position with the involvement of the sub-regional/regional integrating institutions such as COMIFAC, ECOWAS etc., as well as the links (both financial and organizational) with the regional ABS Initiative also supporting/facilitating sustainability, seem obvious elements that can stimulate replication of project activities in other countries in the region.

169. However, the evaluation was not able to find evidence of the project acting as a catalyst, or the project’s approach being replicated in other locations. The evaluation rating is therefore based on the assessment of the structures and processes that are in place, which can promote replication and play a catalytic role.

170. The evaluation rating for the criterion Catalytic role and replication is “**moderately satisfactory**”.

3.5 Efficiency

171. Measures to ensure efficiency included organizing and undertaking activities through national focal and coordinating institutions that bring closer other partner institutions and projects actively involved in biodiversity and genetic resources. The purpose was to benefit from their experiences and build on existing information, data sources and ongoing and continuing projects, programmes and initiatives at the national, regional and global levels. The building of capacity and training of the various stakeholders helped achieve greater outputs in a relatively short time with reasonable financial input thus contributing to the expected outcomes. This was particularly observed in Madagascar where despite the political unrest at the time of implementation, activities were carried out swiftly and outputs were delivered in a short time.

3.6 Factors and processes affecting project performance

3.6.1 Preparation and readiness

172. The objective of the ABS Africa Project was the development, review and implementation of ABS frameworks in Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. Specifically it was to assist each country, according to the status of their national ABS framework along 4 main components: (i) develop national ABS policies and regulations, (ii) implement national ABS policies and regulations, and/or (iii) revise existing national ABS policies and regulations. In addition in component (iv) the project was to conduct activities for sub-regional and regional capacity development and cooperation. These activities were to be done within the timeframe and budget allocated while closely linked with the ABS Capacity Development Initiative, and allows participating countries to exchange experiences and disseminate lessons learned within the region.
173. The strategy adopted was to increase capacity nationally and regionally, increase awareness, share lessons learnt, develop conducive policies/regulations and processes, and appropriate tools, make strategic partnership at local and sub-regional/regional levels, in public, private sectors and grass root level. The strategy was realistic and appropriate but needed more time to achieve the stated outputs and outcomes within the timeframe. The project design was appropriate, simple and effective. The main issue to address was well recognized: to build the capacity of African countries to implement ABS measures. The involvement of some of the countries which were also part of the larger GIZ-implemented ABS Capacity Development Initiative was perceived favorably because it could also signify that they will benefit from adequate support due to their involvement at two levels/(in the two processes).
174. Through analysis and assessment, stakeholders were well identified at the local, sub-regional and regional levels. Private sector actors, NGOs as well as indigenous and local communities were identified for project interventions. This was guided by the need for the project to be fully inclusive and participatory.
175. The choice of implementing and executing partners, based on their respective competencies, contributed to the successful implementation of the project. The implementing agency (UNEP) the executing agency GIZ and the National Executing Agencies, as well as institutional arrangements are briefly described in the project document. They were identified at the project preparation phase as well as some of the local partners and governments' department counterparts. However, the evaluation found that except for South Africa, all participating countries had difficulties to enter into financial agreement with the Lead Executing Agency and execute it, with Mozambique not being able to initiate any activity during the project implementation period.
176. The government of South Africa agreed for funds to be harmonized among the other project countries. However, delays occurred in the establishment and finalization of financial agreements between the Executing Agency (GIZ) and the National Executing Agencies in most of the participating countries, particularly between GIZ and the National Executing Agency in Mozambique.
177. The environmental and social safeguards of the GEF were considered during project elaboration/preparation phase. The conservation and use of genetic resources should form an integral part of ABS frameworks and should benefit the collection as well as conservation of biodiversity ex- situ and in- situ. The project needed to be implemented with the full participation of all stakeholders especially the indigenous and local communities. Particularly women are often custodians of the local resources and the traditional knowledge they hold is transmitted from generations to generations. In addition to their participation are the issues of their empowerment in decision- making, equity and fairness in the sharing of benefits, thus the emphasis on the involvement and the development of capacities of indigenous and local communities seen as the weakest stakeholders in the process.
178. The evaluation rating of the criterion Preparation and readiness is "**Moderately satisfactory**".

3.6.2 Project implementation and management

179. After the project approval in October 2010, overall, the project was implemented from December 2010 to February 2013 with extension to June 2013 and again to June 2014 in most of the participating countries. In practice, the project implementation continued to June 2015. Some

activities were delivered in late 2014-2015, which were reported in the project Terminal Report and a PIR was prepared to report back on the period July 2014-June 2015.

180. But the real project implementation phases started at different times in each of the five participating countries. Project implementation started in January 2011 in Madagascar, March in Cameroon, June in South Africa, August in Senegal and September in Kenya. The main delay for the start of activities was the completion of financial agreements signed between the lead Executing Agency (GIZ) and the National Executing Agencies for funds to be disbursed into the respective countries. The delay in establishing the appropriate financial system in Mozambique was drastically delayed and prevented the start of the activities within the set implementation period. There were no activities and funds used.
181. The project started in most countries with activities related to awareness raising on ABS issues, followed by identification of stakeholders, stakeholder's analysis, and elaboration of communication tools. Then an inception workshop was organized to launch the project in each country, bringing together all relevant partners and interested parties. Furthermore, the project reviewed the Nagoya Protocol for ratification. Work plans were thereafter elaborated and consultants were identified to undertake various studies. For example in **Madagascar** funds arrived and were credited to the project account in April 2011. However, preparation of activities towards enhancing stakeholder awareness and commitment to ABS issues were initiated already in February 2011 and also the elaboration of various communication tools started. Stakeholders' identification and analysis was done, but recruitment of national consultants could not commence until May. The stakeholder analysis showed that communication tools were to be elaborated for two major target groups: on one hand, indigenous people and on the other hand administration, researchers and academics.
182. In **Senegal** the project was initiated in August 2011 and an inception workshop that launched it was organized in November the same year. In **Cameroon** the project was initiated in March 2011 and the inception workshop was organized in July 2011.
183. Also in **Cameroon**, launching workshop was done. Technical training of various target groups was initiated and regular reporting was done and submitted to the lead executive agency. Project Internal Reviews (PIR) was carried out annually at mid-year.
184. The management, execution and partnership arrangements were satisfactory. GIZ, with expertise and experience from the ABS Capacity Development Initiative, committed its managers to the project. National Project coordinators were recruited from the National Executing Agencies. This partnership arrangement with well-defined roles and responsibilities may have some limitations in terms of delivery speed, especially concerning the process of creation of appropriate accounts, disbursement and use by various partners. On the other hand, the well-defined roles in the project design encouraged key stakeholders to participate in the project: thus the involvement of governments, research and academic institutions (public) as well as private institutions alongside local communities in the execution of project components and activities.
185. The evaluation rating for the criterion Project implementation and management is "**satisfactory**".

3.6.3 Stakeholder participation and public awareness

186. All countries did the identification and analysis of project stakeholders. The stakeholder analysis in Madagascar revealed that, like in all the countries, the list of stakeholders could be very long. The need to elaborate appropriate/adapted communication tool kits has shown that in general, there are two major target groups: on one hand, indigenous and local people and on the other hand administration/government, researchers and academics in addition to the nascent private sector. The nature of the project was to be fully participatory, inclusive and to bring together all concerned parties and build on UNEP's 30 years of involvement and experience in the region, and effectively secure the involvement of national authorities, non-governmental organizations, private sector, the research institutions and indigenous and local communities.
187. The project design recognized the benefit of adopting a participatory multi-stakeholder approach involving local communities in project activities. These communities are heavily dependent on ecosystem services for food security and livelihoods and are themselves very vulnerable to socio-economic as well as climate change impacts, particularly on agricultural resources and genetic resources. Engagement of local communities helped to ensure that their needs were taken into consideration and that benefit accrued are shared with them as well as development interventions and ensured ownership and buy-in as well.

188. High level of participation is generally demonstrated by the way the various categories of stakeholders responded to the project executing agencies, and engaged keenly/resolutely in the various activities. The Agencies ensured that their needs are catered for/served appropriately with the right kits, for communication purpose as well as for training. The stakeholders were consulted across departments, across concerned and relevant institution and across the countries, not just in the capital to ensure inclusiveness and participation. All these also boosted public awareness as mentioned previously.

189. In line with its objectives that required and planned for the involvement and commitment of grassroots organizations, the project also engaged local communities in planning and execution of activities, which promoted a sense of ownership among them. This was reinforced by the active collaboration and involvement of most technical departments making capacity building/training more effective towards implementation of ABS measures.

190. Hence, through the review of existing national capacity on ABS and the gap analysis, the relevant stakeholder groups in each country were identified. Multi-stakeholders workshops ensured that the relevant stakeholders were involved in the development, implementation and review of national ABS policies. Capacities of indigenous and local communities were built through the implementation of specific tasks to ensure their full participation in the development and then implementation of the ABS measures. Table 2 in section 2 C showed the general picture of stakeholders in the participating countries.

191. The evaluation rating for the criterion Stakeholders Participation and Public Awareness is **“satisfactory”**.

3.6.4 Country ownership and driven-ness

192. Generally, Access and Benefits Sharing is a complex cross cutting issue which relates to several sectors from natural resources management and environment, agriculture and rural development, forestry, fisheries, science and technology research and development to industry and trade and legal system (equity, intellectual property rights IPRs etc.). Indigenous and local communities were found to be key stakeholder groups, especially where traditional knowledge associated to the management/use of natural/genetic resources is concerned. Research and development institutions as well as the transformative private sector (such as food, pharmaceutical, wood industries) also have an important share in it.

193. The project Cognizant of the gains to the countries of the appropriate implementations of ABS measures, governments of participating countries strived to facilitate the involvement of their various institutions concerned mentioned above, into the process and tried to play a catalytic role by designating the various key players. The project also was designed to respond to governments concerns and willingness to resolve issues regarding the appropriate management of genetic resources and the sharing of benefit accrued from their use.

194. Despite the complexity of the matter and the technical and administrative difficulties, authorities have generally acted in favor of the smooth development of the project activities, especially in participating countries which have succeeded in providing adequate training to public/government personnel/staff such as Madagascar and South Africa.

195. The evaluation rating for the criterion Country ownership and driven-ness is **“moderately satisfactory”**

3.6.5 Financial planning and management

196. Financial planning and management were consistent with UN Environment/GEF procedures. Allocation and schedule of disbursement were well defined. An adequate and detailed financing plan and budget (see Annex III for planned budget per component) as well as requirements for financial reporting, according to UN Environment /GEF, were agreed upon and elaborated.

197. In the project implementing countries, financial agreements were made between GIZ and the project coordinators in the National Executing Agencies. Funds were transferred through accounts opened in the countries and managed by the coordinators. However, signing financial agreements with the National Executing Agencies became challenging in most of the countries especially in Mozambique where delays prevented completely the national team to execute project activities within the timeframe agreed.

198. Yet, arrangements for channeling funds through GIZ was found the most appropriate, because GIZ was already managing the ABS Capacity Development Initiative and also for their experience in managing projects in Africa. However, the amounts to be disbursed to each country this time were rather small compared to what is usually handled by GIZ for other projects, but necessitated the same overhead at the lead agency (thus high).
199. Hence, the project final financial report provided by the Lead Agency in 2016 (partly due to the Audit) was on budgeted components not per result components. Four major components were budgeted for: personnel, sub-contracts (to governmental agencies), training and miscellaneous (publications, translation, dissemination of reports and audits). A part from the miscellaneous component which was overspent by USD 7001, all components were left with some unspent funds. The balance of the overall project was USD 175,455.36, without including the UN Environment participation costs.
200. No revision or deviation of funding was proposed and done. Delays in disbursements occurred in some countries (Kenya and Cameroon and Senegal) resulting in activities being carried out late or not at all. Some countries would have preferred disbursements coming directly from the UN Environment to them. Regular accounting of funds disbursed was done through financial reports and also the PIR. Quarterly audits were carried out throughout the project implementation period.
201. Co-financing sources were also identified and donations in cash and/or in kind reached up to US\$ 1,002,050 (as opposed to 1,003,352 mentioned in the PI of the Pro Doc). These were provided by GIZ, the Swiss Agency for Environment, Forests and Landscapes (BUWAL, \$ 150,000 instead of \$ 151,302), the United Nations University Institute of Advanced Studies (UNU-IAS) and associated funding from the ABS Initiative and SCBD and the governments of the 6 participating countries (Annex IV and Table 5).
202. A final audit of the project was completed in February 2016. It stated that costs amounting to 194,810.15 euros (US \$ 254,875.40) included in the financial statement related to advance payments in the context of financing agreements with local organization for which vouchers were not available. In addition, costs amounting to 8,410.73 euros (US \$ 11,430.10) included in the Financial Statement were not recorded in financial records and could not be aligned with vouchers. These costs, according to the audit corresponded to costs of the audit 6,820 euros (US\$ 9,268.38) and to costs to GIZ to organize and service the audit 1,590.73 euros (US \$ 2,161.81).
203. The evaluation rating for the criterion financial planning and management is “**moderately satisfactory**”.

3.6.6 UNEP Supervision, guidance and technical backstopping

204. The governance and supervision arrangements were straightforward. UN Environment as the Implementing Agency had the overall responsibility for overseeing the project implementation. GIZ, the Lead Executing Agency was in charge of the project’s execution especially in terms of the regional component, and interfaced with the National Executing Agencies in the 6 participating countries and oversaw the smooth running of the implementation.
205. At national level, the National Executing Agencies, MINEF in Cameroon; NEMA in Kenya; SAGE in Madagascar; MCAA in Mozambique; MEPN in Senegal and DEAT in South Africa sought the active involvement of all the relevant stakeholders including; the relevant state ministries and agencies, the private sector, scientific/research and academic institutions, indigenous and local communities and relevant non-governmental organization in each country. Other stakeholders at sub-regional/regional level included: ECOWAS in West Africa, EAC in East Africa, SADC in Southern Africa and COMIFAC in Central Africa which facilitated joint activities at regional level. Figure 1 shows the decision flow chart of the key partners during project implementation.
206. Most financial requests and others related to disbursements of funds for activities that were handled by UNEP were done expeditious and in a professional manner. No major issues in project implementation and execution were encountered.
207. The evaluation rating for the criterion UNEP supervision and backstopping was “**satisfactory**”.

3.6.7 Monitoring and evaluation

M&E design

208. The project was designed to follow UNEP standard monitoring, reporting and evaluation processes

and procedures. Its M&E plan was also consistent with the GEF Monitoring and evaluation policy. The project Result Framework and M&E plan were given in Appendix 4 and 7 of the project document along with indicators for each expected outcome as well as mid-term and end of project targets.

209. Indicators and key deliverables along with benchmarks were the main tools for assessing project implementation progress and whether project results were being achieved. All costs were fully integrated in the overall project budget. A detailed table on financial and organizational arrangements was also made available in the project document for monitoring progress and performances within the project.
210. Opportunity for the review and revision of the M&E plan was given from the inception workshop to assist stakeholders to understand their role and responsibilities vis a vis M&E implementation. Project management team was responsible for day to day monitoring of the project. Periodic reports on progress were to be prepared and submitted with recommendations if necessary. The task manager at UNEP was responsible for project supervision.
211. A mid-term management review or evaluation was planned for March 2011. This review was to include all parameters recommended by the GEF Evaluation Office. And it was to use a participatory approach. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility of the Task manager in UNEP-GEF. He was to formulate a supervision plan that that should emphasize monitoring of outcome without neglecting financial management and implementation monitoring.
212. The project document made provision for a Terminal Project Report at the end of the project, and an independent terminal evaluation to be conducted before or 6 months after the end of the project.

M&E design is rated “**satisfactory**”

M&E Implementation

213. Reporting on the activities and outputs was quite regular and consistent from the five active countries especially from Madagascar and Cameroon. The Project Implementation Reviews (PIRs) were done every year at mid-year. Financial reporting and auditing were done quarterly and submitted to UNEP by the lead agency. Countries such as Kenya, Cameroon and Senegal experienced late disbursement of funds which in some case prevented the implementation of some activities.
214. Some country reports mentioned activities planned, yet to be undertaken, giving the impression they were already done. The annual progress reports and/or its summary also helped monitor the achievements of the project. The project Terminal report was not done at the end of project implementation. However, the terminal report was completed in 2016, thus 2 years after the expiry of the last official project extension. In addition, the terminal report mentions activities implemented in 2014-2015 (see Annex IIa), and it is thus not clear whether these activities were indeed part of the ABS Africa project, or the GIZ-implemented ABS Capacity Development Initiative since they were partly undertaken after the expiry of the last project extension.
215. UNEP monitored the project in accordance with the agreed budget and disbursed funds to facilitate implementation. As part of its supervision and backstopping role, UNEP closely monitored project progress and has availed the GEF requirements for project reports and evaluations to project partners. It also participated in the annual review meetings and in turn reported back to GEF. It was agreed with all participating countries to end the project in June 2013 instead of February 2013 as earlier set in the project document. There was no mid-term review of the project.
216. Because of delays in expending the project budget, the project was extended to 30 June 2014 (with an extension to the Project Cooperation Agreement to 31 December 2014). The project still had unspent funds at the end of 2014, and the Executing Agency requested for another extension to e.g. organize a final project workshop with the remaining funds. However the extension was not granted by the Implementing Agency. According to the Project Terminal Report, some outputs were delivered in June 2015, such as related to the Output 2; technical toolkits and manuals to meet identified needs in Kenya. . That is why the final Project report and financial reports were submitted later in 2016. Already, in many of the countries as well as at GIZ project coordinators and/or technical staff have been moved/relocated or re-assigned to other duties after the 2013 implementation completion date. GIZ biodiversity focal points in many countries were/became the active partners. Activities were implemented further and achieved to the level seen in 2015/16 as mentioned in the final report.

M&E implementation was rated as “**moderately satisfactory**”

The evaluation rating for the criterion Monitoring and Evaluation was “**moderately satisfactory**”.

The overall evaluation rating for Factors Affecting Performance is “**satisfactory**”

4. Conclusions, Recommendations & Lessons Learned

4.1 Conclusions

217. This ABS Africa Project was implemented in six participating countries in Africa namely Cameroon, Kenya, Madagascar Mozambique Senegal and South Africa. Its main purpose was to support the development and implementation of Access and Benefit Sharing policies in Africa. The overall objective of the ABS Africa Project was the development, implementation and review of ABS frameworks in the six participating pilot countries. Specifically it was to assist each country, according to the status of their national ABS frameworks along 4 main components: (i) *develop national ABS policies and regulations*, (ii) *implement national ABS policies and regulations*, and/or (iii) *revise existing national ABS policies and regulations*. In addition in component (iv) the project was to conduct activities to establish sub-regional and regional capacity development and cooperation.
218. The project involved a wide range of stakeholders and implementing partners at national and sub-regional and regional levels and implemented a range of activities that included capacity building and strengthening, knowledge developing, lessons learning, policy as well as regulations development, development of tools all geared towards the overall goal of implementing Access and Benefits Sharing measures on the use of genetic resources/biodiversity.
219. Considering the circumstance under which the project was initiated and implemented in terms of the financial transactions and the short time frame (2 and a half years) the project has made a number of important achievements that contribute to attainment of its intended purpose, as stated above. Through capacity development of key stakeholders including indigenous and local communities who were at different levels of understanding/capacity in terms of ABS implementation at the start of the project and therefore required corresponding arrangements, the project has laid a strong foundation and has strengthened institutional, technical and individual capacity at national level. It has directly involved key stakeholders in execution of activities by providing training, making available analytical and awareness raising tools as well as policy-relevant lessons and best practices. Moreover, the project has begun to fostered collaboration/cooperation at regional level and facilitated sharing of information and experiences among stakeholders with the involvement of sub-regional and regional institutions.
220. However, a longer time period is required to obtain results, particularly concerning the development and review of the entire ABS framework in the countries. It will take some time for the agreed legislation and regulations (for example, laws/bills concerning access to all types of genetic resources, processes, and institutional arrangements) to go through the national legislative mechanisms and for the legislation to be enacted to benefit all concerned parties and communities. In addition, more time is needed for any significant uptake/adoption of the lessons in policy and planning as well as for up-scaling and replication in the Africa region considering that countries are different: Francophone, Anglophones, and Lusophones all under different legislative systems.
221. In the post-project period, the use of project results and best practices as well as the developed tool kits can be greatly enhanced by disseminated them widely and making them easily available in the appropriate formats and languages to stakeholders at all levels (nationally and in the region). Effective use of the project results for the intended purpose may require increasing the capacity building efforts at the national level. Some of the intermediate benefits could be instrumental in promoting further stakeholders' buy-in and acceptance especially by farmers' communities who are both implementers as well as beneficiaries. In any case, a well-organized identification process and stakeholder analysis was conducted at the onset of the project to bring the various stakeholders in to a project and to make the project highly participatory.
222. Prospects for sustainability are moderate to high with respect to the four factors (financial, socio-political, institutional and ecological). The availability of adequate financial resources could be seen as a major constraint, but the second direct outcome formulated after the reconstructed TOC which provide excellent opportunities for sustaining project outcomes through cooperation and links with the GIZ-implemented ABS Capacity Development Initiative. This is happening already and consistently using some of the outputs (CEPA toolkits) and lessons learned.
223. Overall, project implementation was cost-effective, owing to a number of factors, including

establishing strategic partnerships within the different countries, building on on-going related projects such as the ABS Capacity Development Initiative, making the project highly inclusive/participatory and involving local communities in executing activities.

224. High stakeholder participation was considered to be some of the greatest achievements of the project. Engagement of national stakeholders at all levels and alignment of the project goals with national priorities and needs was instrumental in promoting a high level of country ownership and driven-ness. Efficiency was also increased by high awareness campaign and political support.

225. Despite civil unrest at the time of implementation, Madagascar achieved most of the outputs and may be having soon the first operational national ABS framework along with South Africa. Cameroon, Kenya and Senegal are in the next cluster considering that no project activities could be undertaken in Mozambique due to the late financial arrangements.

The ratings for the individual criteria are given in Table 10.

The overall evaluation rating for this project is “**moderately satisfactory**”.

Table 10: Summary assessment and ratings by evaluation criterion

Criterion	Consultant's Summary Assessment	Consultant's Rating	Evaluation Office rating	Evaluation office summary assessment
A. Strategic relevance	The project's objective is highly consistent with the challenges facing African countries in wanting to meet their obligations for the CBD. It responded to the needs of participating countries to have the capacity of the concerned sectors' stakeholders increased, to develop and implement appropriate ABS measures in their countries. The project was designed and implemented in response to GEF's on-going strategic priority for ABS and UNEP's priority of assisting countries to implement international environmental obligation. It is also relevant to UNEP's programmatic objectives and expected accomplishments under Ecosystem Management cross-cutting priorities of its Medium-term Strategy 2010-2013 and the Bali Strategic Plan for Technology Support and Capacity-building.	S	S	
B. Achievement of outputs	Most outputs of the four components of the project (considered as two substantive direct components, national and regional) were delivered and capacity building/training was undertaken in most of the countries, as well as CEPA tools developed, although in Mozambique no activities took place during the implementation period.	MS	MU	No activities took place in Mozambique
C. Effectiveness: Attainment of project objectives and results	The project's intended outcomes were not fully achieved. No activities were undertaken in Mozambique.	MS	MS	
Achievement of direct outcomes	Despite some difficulties at the onset of the project, the project in most of the five countries managed to build capacity of relevant stakeholders to develop and/or reviewed existing ABS related policies and regulations. ABS Frameworks began to take shape with increased awareness on the issues. Activities have been undertaken by the national focal points, assisted later by the sub-regional/regional institutions. Training and exchange of experiences were launched in English and French languages. Highest achievements were reported in Madagascar and South Africa.	MS	MS	
Likelihood of Impact	The review at the end of project implementation period, showed that the likelihood of the project's outcomes through intermediate states leading to impact/global environmental benefits is rated as	MU	MU	

	moderately unlikely. It will depend on many factors currently lacking (Governance, Institutions, finance, legislation and critical capacity) and largely on support from the GIZ-implemented ABS Capacity Development Initiative. The regional component must organize itself and probably elaborate a regional strategy to carry forwards the gains/results (including the elaboration of business models) of the present ABS Africa project, since financial support could be coming from the GIZ-implemented ABS Capacity Development Initiative.			
Achievement of project goals and planned objectives	The project achieved its goals in strengthening capacity of various key stakeholders and laying the foundation for the implementation of ABS measures in the five countries by developing and/or reviewing policies, regulations for establishing frameworks and to begin implementing ABS measures in five of the six participating countries. Regional activities were also initiated and provided platforms to the national focal points to meet and begin to exchange lessons learned adapt tools for training, communication and awareness raising and associating regional institutions that can facilitate the interventions for collaboration /integration.	MS	MS	
D. Sustainability and replication	The overall rating for sustainability and replication is Moderately satisfactory	MS	MS	
Financial factors	There are good prospects for continued financial support through the GIZ-implemented ABS Capacity Development Initiative. It is hoped that participating countries will also add funds received from the use of their resources.	MS	MS	
Socio-political factors	The project was designed at the request of many countries of the Conference of the Parties to the CBD –among which was a number of African countries. Participating countries in the project have realized the gains they can make by increasing their capacity and implementing ABS measures. Hence the socio political support for the project. Their willingness to see it continue, and to support regional collaboration that could help continue working on the results of the project, propagate best practices and see other countries replicate and adopt appropriate use of genetic resources.	S	S	
Institutional factors	The project design factored in strategies to sustain the benefits of the outcomes through follow up which include the involvement of governments and the established institutions managing the ABS process. Indeed the development and /or refinement of the institutional frameworks (depending of the countries), makes it easy to continue the implementation of decisions, plans and processes regarding the ABS policies and regulations long after the end of this project.	MS	MS	
Environmental factors	In the current context of climate change, proper management of genetic resources helps in protecting/conserving better the existing resources and ecosystems, while avoiding wastages, and also undue pressures on the environment.	MS	MS	
Replication	The project has produced a number of lessons and best practices as well as methodologies and tools exchanged during the initiation of regional activities that will facilitate replication in other countries. In addition, the prospect of adoption of common positions by countries in the region, and the greater support and financial resources by the GIZ-implemented ABS Capacity Development Initiative which will boost scaling up of activities towards	MS	MS	

	replication in new countries. The evaluation relied on these processes to say that the project will have a catalytic role towards accelerating replication in the region and even serve as an example for replication in other regions.			
E. Efficiency	Measures to ensure efficiency included organizing/undertaking activities through national focal/coordinating institutions. The project benefited from their experiences and made use of their existing information, data sources and ongoing/continuing programme at the national and regional levels with the GIZ-implemented ABS Capacity Development Initiative. The building of capacity/training of the various stakeholders helped achieve greater outputs.	MS	MU	Project was extended several times to expend unused budget. Delays in disbursements resulted in activities being carried out late or not at all
F. Factor affecting performance				
Preparation and readiness	Preparation and readiness were mainly supported by the level of engagement with governments as well as the identification of the right stakeholders and the choice of implementing and executing partners.	MS	MU	Delays occurred in the establishment and finalization of financial agreements between the EA and the NEAs in most of the countries, particularly in Mozambique. This negatively affected the delivery of the project.
Project implementation and management	The project implementation phases started at different times in each of the participating countries. Delays were mainly due to the financial arrangements between GIZ and the NEAs. Some project activities seem to have been delivered after the expiry of the last official extension.	MS	MS	
Stakeholder participation and public awareness	Stakeholders' identification and analysis was done by all countries and revealed the existence of two major categories: i) the administration/government, researchers, academics and the private sector; ii) indigenous and local communities. The elaboration of appropriate communication and technical tool kits in general and the initiation of training workshops stimulated their understanding of ABS issues. This facilitated the full participation and inclusiveness of all concerned parties: non-governmental organizations, private sector, the research institutions and indigenous and local communities in the various activities and effectively secure the involvement of national authorities thus boosting public awareness on the ABS issues while at the same time building on 30 years of UNEP's involvement in the region.	S	S	
Country ownership/drive n-ness	This project was consistent with national development priorities and plans. It was designed to respond to governments concerns and willingness to resolve issues regarding the appropriate management of genetic resources and the sharing of benefits accrued from their use. It responded to the need for increased capacity of the various stakeholders concerned/involved in the use and management of genetic resources in the countries Despite the complexity of the matter and technical and administrative difficulties, authorities have generally acted in favor of the smooth development	MS	MS	

	of the project activities, especially in participating countries which have succeeded in providing adequate training to public/government personnel/staff such as Madagascar and South Africa.			
Financial planning and management	Financial planning and management was in accordance with UNEP's requirements. There were no irregularities but audit reported that for some costs, there were no corresponding vouchers. Countries were unable to receive and handle the transfer of funds speedily. So delays were encountered, particularly in Mozambique. Countries such as Kenya, Cameroon and Senegal experienced late disbursement of funds which in some case prevented the implementation of some activities.	MS	MS	
UNEP supervision and backstopping	UNEP provided effective supervision and backstopping and no major issues in project implementation and execution were encountered.	S	S	
G. Monitoring and Evaluation				
M&E Design	The project was designed to follow UNEP standard monitoring, reporting and evaluation processes and procedures and plans were made for the review and revision of the M&E plan to assist stakeholders to understand their role and responsibilities concerning M&E implementation. A mid-term management review or evaluation was planned for and the project document made provision for a Terminal Project Report at the end of the project and for an independent terminal evaluation.	S	S	
Budgeting and Funding for M&E	Appropriate budget was allocated for M&E, and the Terminal Evaluation.			
M&E Plan Implementation	Reporting on the activities, on outputs was quite regular and consistent from the five active countries and financial reporting and auditing were done quarterly and submitted to UNEP by the lead agency but there was no mid-term review of the project.	MS	MS	
OVERALL RATING		MS	MS	

4.2 Lessons Learned

226. The following presents the key lessons stemming from the project, based on evaluation findings

Context:

Identification of participating countries in the project implementation and their ability to respond to various project implementation requirements (especially financial). The evaluation found that except South Africa, all participating countries had difficulties to enter into financial agreement with the Lead Executing Agency and execute it, with Mozambique failing completely to initiate any activity during the project implementation period.

Lesson # 1:

Whether they contribute in the project proposal development or not, it is essential to assess thoroughly the capacity of each participating country to implement the project before/prior to the beginning of project implementation especially being able to engage in financial transactions and execute them swiftly. This is critical for activities to be put in place. It will help in countries not abandoning the project at any given time.

Application:	This lesson is specific to this project but it is also applicable to all projects implementing at country level
Context:	Pre implementation activities; role of the Implementing Agency. Project implementation started at different times in each of the five participating countries. The main cause of delay for the start of activities was the completion of financial agreements signed between the lead Executing Agency (GIZ) and the National Executing Agencies for funds to be disbursed into the respective countries. The evaluation found that except for South Africa, all participating countries had difficulties to enter into financial agreement with the Lead Executing Agency and execute it, with Mozambique not being able to initiate any activity during the project implementation period.
Lesson # 2:	After the identification of the participating countries, there should be an initial period set before the start of the implementation. During this period, the lead executing agency would consult with the national executing partners, and visit the countries to ensure that the necessary preparations have been completed and the countries are ready to start implementation. This also includes clarifying the specific country requirements for agreeing on and signing legal agreements.
Application:	This lesson is applicable to all projects implementing at country level
Context:	The evaluation was delayed and the evaluation consultant was not able to visit any of the project countries in person or to meet with representatives of the Executing Agencies or project stakeholders. This made it difficult to collect evidence and verify information through several different sources.
Lesson # 3:	It is important for the evaluation consultant to visit project 'sites' to see and talk to the project partners as well as the stakeholders, instead of relying only on electronic means of communication. Furthermore, the terminal evaluation is always much accurate within a year after the end of the project, when it is easier to contact the project implementers.
Application:	For Terminal Evaluations, especially when no mid-term evaluation was conducted.
Context:	It is noteworthy that the authority with a mandate in ABS can vary between project countries. In this project, NEAs were the appropriate agency in Kenya and South Africa, whereas EBI was the ABS Authority in Ethiopia. Engaging the appropriate agency empowered/respected for coordination and key decision making to serve as the National Executing Agency is paramount. Key decision making included overseeing a well-structured institutional framework, clear and applicable legislation/legal framework (policies, regulations etc.), provision of permits and other implementation procedures. This would have enabled the project to achieve more results and progress faster with such a highly credible and empowered institution. This would have also stopped all 'undercurrents' (tug of wars) or reluctance of some national partner institutions (which were not obviously visible). (See Annex X for a management response)
Lesson # 4:	It is important for projects to avoid rushing implementation but pay careful attention to the identification of the most qualified and appropriate national executing agency which is best positioned to advance the project at the appropriate pace and towards attaining good results and its objectives. In this case a national Biodiversity Institute.
Application:	This lesson is applicable to projects which engage an external executing agency for the delivery of the project.

4.3 Recommendations

227. The following presents the recommendations that stem from the evaluation findings.

Context:	Project Implementation period was short (December 2010-June 2013), however, the evaluation found that continuation of effort is required in order for the project to progress towards impact. However, a similar initiative is currently being implemented by GIZ (also the Executing Agency of the ABS Africa project), and in fact, in the project terminal report provided, there were report of activities carried out in 2014/2015.
Recommendation #1	The GIZ-implemented ABS Capacity Development Initiative is an asset for the realization of the aims of this project. It should have officially been its "Phase II" and retain and involve most of the actors of the ABS Africa project to ensure the smooth finalization/development of operational national ABS frameworks with pilot bio-prospecting models, accepted coordination Institutions, appropriate legislation and coordination mechanism for all permits, while guaranteeing regional collaboration and the implementation of the Nagoya Protocol.
Responsibility:	GEF/UNEP, concerned Governments, GIZ ABS Capacity Development Initiative
Time-frame:	Currently, until the end of GIZ ABS Capacity Development Initiative
Context:	Capacity was built and is being built; appropriate tools were developed and especially for communication, but mostly greater awareness on ABS issues was created. The evaluation found that the project has created some amount of interest and momentum within the countries, among the stakeholders and participation in activities was high. Initial strategies were developed. As a result of the implementation of the project there were a lot of outputs.
Recommendation #2	It will be important that national focal points continue the cooperation at the regional level with the ABS Capacity Development Initiative in order to operate the transformation towards other outcomes and intermediate states necessary for attaining future identified impact.
Responsibility:	GEF/UNEP, Governments/NEA and GIZ ABS Africa
Time-frame:	Now till end of ABS Capacity Development Initiative
Context:	The evaluation found that it is important that the results of the project are properly published and spread for continued consultation and accurate use by all concerned.
Recommendation #3	Comprehensive national reports should be produced along with one overall Project report in addition to a web-based site. These must include all valuable results with tool kits, lessons learned, best practices and business models bio prospecting. These should be given high visibility at appropriate forums. Appropriate materials should be translated into local languages and made easily available to local communities and development agencies in all participating countries. This may be easier for the NEA to implement.
Responsibility:	NEAs, focal institutions and focal points, Governments
Time-frame:	Currently

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

PROJECT BACKGROUND AND OVERVIEW

This is the Terms of Reference for an Evaluation of UNEP/GEF Access and Benefit Sharing portfolio. It will draw its findings on Evaluations of five UNEP/GEF projects on Access and Benefit Sharing (ABS), as defined under the Convention on Biological Diversity. The projects include¹⁰ “*Capacity building for the early entry into force of the Protocol on Access and Benefit Sharing*” (ABS Global); “*Supporting the development and implementation of access and benefit sharing policies in Africa*” (ABS Africa); “*Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits*” (ABS Asean), “*LAC ABS – Strengthening the implementation of access to genetic resources and benefit-sharing regimes in Latin America and the Caribbean*” (ABS LAC) and “*Supporting ratification and implementation of the Nagoya Protocol on ABS through technology transfer and private sector engagement in India* (ABS India).

This Terms of Reference includes evaluation of the project *Supporting the development and implementation of access and benefit sharing policies in Africa* (ABS Africa).

Rationale of the portfolio projects¹¹

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

2. The Convention identifies providers of the genetic resources as States that have sovereign rights over the natural resources under their jurisdiction. However, national legislation may entitle others, such as Indigenous and Local Communities (ILCs) as providers and thereby to negotiate on the terms of ABS. The Convention defines users as diverse groups, such as researchers for pharmaceutical, agriculture and cosmetic industries, botanical gardens and research institutes, seeking genetic resources for wide ranging purposes from basic research to development of new products. The Convention defines the potential

¹⁰ Projects ABS Global, ABS Africa, ABS ASEAN, and ABS LAC will undergo a Terminal Evaluation. Project ABS India will undergo a Mid-term Evaluation.

¹¹ Sources: Convention on Biological Diversity: Introduction to access and benefit-sharing (<https://www.cbd.int/abs/infokit/revise/web/all-files-en.pdf>); UNEP/GEF project documents for the evaluated projects.

benefits deriving from the use of genetic resources to be either monetary, such as sharing of royalties when the resource is used to create commercial products, or non-monetary, such as development of research and knowledge. The users of genetic resources are responsible for sharing the benefits with the providers. Therefore, understanding the ABS – frameworks of CBD and the Bonn Guidelines can assist governments to establish their national frameworks in a way, which ensures that access, and benefit sharing is equitable and fair. In practice, the provider grants a Prior Informed Consent (PIC), i.e. a permission from a national authority to the user prior to accessing genetic resources, and negotiations are held to develop Mutually Agreed Terms (MAT), i.e. agreement on the conditions of access and use of the resources, and the benefits to be shared, to ensure fair and equitable sharing of genetic resources and associated benefits.

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

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

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

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

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

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

7. Africa contains five globally significant hotspots and numerous unique environments, home to only partially documented plethora of indigenous species. The ABS Africa - project was developed against the backdrop that Africa hosts a substantial proportion of the world's genetic diversity but that loss of biodiversity, and consequently the genetic resources, is a major concern. Moreover, for centuries Africa has contributed significantly to the world's reserve of genetic resources, but instead of the local communities, the benefits from these have mainly flowed to states, enterprises, institutions or individuals

outside the region. Considering the threats to biodiversity and the fact that Africa still hosts a vast potential of undiscovered genetic resources, there is a need to ensure that benefits of sustainably utilizing genetic resources are recognized and that the benefits are equitably shared. If properly managed, the biological wealth can contribute to poverty alleviation and food security, fostering industrial innovation and developing new medicines. However, it was recognized that whilst reasonable capacity exists in the relevant core sciences, there is lack of capacity in the legal and policy aspects of genetic resources use and conservation. This combined with adverse economic conditions, most African countries lack the human and organizational resources to conduct research and implement policies to combat threats of environmental degradation and loss of biodiversity, especially of indigenous food crops and other useful plants, animal species and microorganisms.

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

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

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

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

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

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

12. The LAC ABS- project is being implemented from June 2011 to May 2014 in nine Latin American and Caribbean countries; Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Guyana, Panama and Peru, from which all are important centres of biological and cultural diversity, and four countries are members of the Group of Mega diverse Countries. The countries are also increasingly

recognizing the opportunities catalysed by an effective ABS framework, and gradually linking this area of work to protection of Traditional Knowledge (TK) and other social issues. Since the countries share a portion of each other's resources, regional approaches to developing ABS are economically, politically and environmentally sound.

13. The project aimed to ensure that the principles of conservation, sustainability, equity and justice of the CBD in regards to access and benefit sharing and the protection of traditional knowledge are incorporated in the development and implementation of public policies, norms, programs and activities in Latin America and the Caribbean. The overall objective of the project was to strengthen the capacities of the nine countries to develop and / or comply with national policy and legal frameworks regarding access to genetic resources, benefit sharing and the protection of traditional knowledge. The Project consisted of three technical components that focused on (i) capacity building of stakeholders through knowledge transfer and knowledge management, (ii) capacity building for integration and application of ABS and TK regimes and for negotiating contracts and agreements, and (iii) capacity building for comprehensive cross-implementation of the various international treaties that relate to ABS and TK.

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

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

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

Project objectives and components

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

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

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

of the protocol; (2.3) Enhanced political momentum and negotiation capacity in addressing issues of common concerns in accelerating the ratification process for the Protocol.

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

18. The ABS Africa project was designed to support the development, implementation and revision of ABS frameworks in Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. The project aimed to build awareness for ABS among all relevant agencies and stakeholders in each country, by involving them from the onset, fostering cross-sectorial dialogue and by developing targeted communication, education and public awareness materials. The specific project objective was stated as “*Development, implementation and review of ABS frameworks in six African countries*” and the project had four expected outcomes: (1) Development of national ABS policies and regulations; (2) Implementation of national ABS policies and regulations; (3) Revision of existing national ABS policies and regulations; and (4) Regional and sub-regional cooperation and capacity-development.

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

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

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

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

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

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

Executing Arrangements

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

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

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

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

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

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

Project Cost and Financing

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

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

overall budget of the **ABS India** project was US \$ 9,839,000, of which US \$ 3,561,000 from GEF and US \$ 6,278,000 from co-financing from the Government of India.

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

	<i>ABS Global</i>	<i>ABS Africa</i>	<i>ABS Asean</i>	<i>ABS LAC</i>	<i>ABS India</i>
<i>Cost to the GEF Trust Fund</i>	944,750	1,177,300	750,000	850,000	3,561,000
Co-Financing					
<i>Cash</i>	SCBD : 350,000	BUWAL: 151,302	Indonesia: 100,000; Malaysia: 200,000; Philippines: 150,000	WIPO:?	<ul style="list-style-type: none"> • Gov. of India: 1,535,000; • UNDP: 1,000,000
<i>In-Kind</i>	SCBD : 809,400	<ul style="list-style-type: none"> • Project Govs (6 countries): 414,150; • UNU-IAS: 81,800; • ABS Initiative: 316,100; SCBD: 40,000 	<ul style="list-style-type: none"> • UNU-IAS: 100,000; • ACB: 200,000 	<ul style="list-style-type: none"> • Project countries: 567,166; • PDA: 35,000; • IUCN-South: 165,000; • UNEP (DELC/ROLAC) : 140,000 	<ul style="list-style-type: none"> • GoI: 1,810,000; Project partners: 1,933,000
<i>Co-financing total</i>	1,159,400	1,003,352	750,000	907,166	6,278,000
Total	2,104,150	2,180,652	1,500,000	1,757,166	9,839,000

Progress and Implementation

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

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

32. The **ABS Asean** project underwent a Mid-Term Review (MTR) in late 2012, which found that the project had been reasonable effective in building capacity of the participating countries on ABS and in promoting regional learning, but was still in its infancy in terms of achieving the fourth outcome on common understanding and regional harmonisation of ABS issues. However, the Review is positive in terms of sustainability prospects, partly due to the high country commitment in implementing ABS. The project experienced some delays at its early days, and the review concluded that this might have negative implications especially in regards to the delivery of the fourth outcome. The latest PIR (June 2012-July 2013) rated the progress towards meeting project objectives as Moderately Satisfactory with an overview

of “Project has achieved a lot on the regional deliverables and outcomes, as well as established a good basis for national programs. However, several national outputs remain delayed in several of the AMS project countries (not only those with delayed contract), and as such outcomes are only partly met. That is comparable with the last reporting year and as such the rating cannot be increased given the project moves into the last months of implementation”. Due to initial delays, the project was granted a no-cost extension to allow completion of planned activities.

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

The **ABS India** project did not undergo a Mid-Term Review but according to the project PIR 2013, the project activities are progressing as planned. The project has held workshops and discussion meetings with a wide range of stakeholders, collected the base line information, reviewed existing ABS agreements and undertaken a gap analysis, and developed a wide range of ABS information material¹².

¹² Revision of the ToR, 2 October 2014: The ABS India project has been extended until December 2015. Therefore, the evaluation will be a Mid-Term Evaluation

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

34. This ToR only includes the project *Supporting the development and implementation of access and benefit sharing policies in Africa (ABS Africa)*, which is being conducted as part of the ABS Portfolio evaluation.

35. In line with the UNEP Evaluation Policy¹³, the UNEP Evaluation Manual¹⁴ and the Guidelines for GEF Agencies in Conducting Terminal Evaluations¹⁵, the ABS Africa Evaluation is undertaken six months after or prior to the completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

Overall Approach and Methods

36. The terminal evaluation of the ABS Africa project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi), and the UNEP Task Manager at UNEP/DEPI. The findings of the ABS Africa evaluation will feed into the overall synthesis of the ABS Portfolio evaluation. The consultant conducting the ABS Africa evaluation will communicate closely with the rest of the ABS Portfolio evaluation team.

37. The evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. The consultant will deliver a concise evaluation report following the evaluation approach and methods described in this Terms of Reference.

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

- (a) A **desk review** of project documents and others including, but not limited to:
 - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes;
 - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Group meeting minutes; annual Project Implementation Reviews, GEF Tracking Tools, project Mid-Term Reviews and relevant correspondence;
 - Documentation related to project outputs;
- (b) Interviews with:
 - UNEP Task Managers (Nairobi) and Fund Management Officers (Nairobi);
 - Respective project management and execution support;
 - Respective project stakeholders, including relevant government agencies, NGOs, academia and local communities;
 - Relevant staff of GEF Secretariat; and

¹³ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationPolicy/tabid/3050/language/en-US/Default.aspx>

¹⁴ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationManual/tabid/2314/language/en-US/Default.aspx>

¹⁵ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

- Representatives of other multilateral agencies and other relevant organisations.
- (c) **Country visits.** The consultant will participate in the Project Final Meeting should one be organized.

Key Evaluation principles

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

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

41. **Ratings.** All evaluation criteria will be rated on a six-point scale. Complementarity of the project with the UNEP strategies and programmes and crosscutting issues are not rated. Annex 2 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

42. In attempting to attribute any outcomes and impacts to the project, the evaluator should consider the difference between *what has happened with and what would have happened without the project*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

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

Evaluation criteria

A. Strategic relevance

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

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

B. Achievement of Outputs

46. The evaluation will assess the project's success in producing the programmed results, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project objectives). The evaluation will provide an overall assessment of achievement of outputs at the project level.

C. Effectiveness: Attainment of Objectives and Planned Results

47. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

48. The evaluation will reconstruct a Theory of Change (ToC) for the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions) identifying how the project is contributing to broader ABS objectives. The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control).

49. The assessment of effectiveness will be structured in three sub-sections:

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

D. Sustainability and replication

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

51. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- (b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources¹⁶ will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

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

- (a) *Catalysed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at local, national and regional level;
- (b) Provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;

¹⁶ Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

- (c) Contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- (d) Contributed to *policy changes* (on paper and in implementation of policy);
- (e) Contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- (f) Created opportunities for particular individuals or institutions ("*champions*") to catalyse change (without which the project would not have achieved all of its results).

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

E. Efficiency

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

F. Factors and processes affecting project performance

55. **Preparation and readiness.** This criterion focuses on the quality of project design and preparation. Were project stakeholders¹⁷ adequately identified? Were the objectives and components of the project clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to implementation of the project? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed¹⁸? The evaluation should also specifically assess the complementarity of the portfolio projects; were projects designed jointly or in separation, were complementarities and synergies identified, and what was the relation of the ABS – Global project vis-à-vis the regional/ national projects.

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

¹⁷ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

¹⁸ <http://www.thegef.org/gef/node/4562>

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

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

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

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

- (a) In how far have the Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project and the timeliness of provision of counter-part funding to project activities?
- (b) To what extent have the political and institutional frameworks been conducive to project performance?

- (c) To what extent has the participation of the private sector, local communities and non-governmental organisations been encouraged in the project?
- (d) How responsive were the government partners to project coordination and guidance, and to UNEP supervision?

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

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

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

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

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

62. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design.* Project should have sound M&E plan to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at

specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:

- Quality of the project log frames (original and possible updates) as a planning and monitoring instruments; analyse, compare and verify correspondence between the original log frames in the Project Document, possible revised log frames and the log frame used in Project Implementation Review reports to report progress towards achieving project objectives;
- SMART-ness of indicators: Are there specific indicators in the log frame for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent have baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were users of the projects involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(b) *M&E Plan Implementation.* The evaluation will verify that:

- The M&E system was operational and facilitated timely tracking of results and progress towards objectives of the project throughout the project implementation periods;
- Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- The information provided by the M&E system was used during the implementation of the project to improve project performance and to adapt to changing needs.

(c) *Use of GEF Tracking Tools.* These are portfolio monitoring tools intended to roll up indicators from the individual project level to the GEF portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool¹⁹ to meet its unique needs; the relevant tracking tool for the ABS Projects is the *Biodiversity Tracking Tool*. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tools for these projects, and whether the information provided is accurate.

Complementarities with UNEP strategies and programs

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

(a) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011 / 2012-2013.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ToC/ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF

¹⁹ http://www.thegef.org/gef/tracking_tools

projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)²⁰ would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.

- (b) *Alignment with the Bali Strategic Plan (BSP)*²¹. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (c) *Gender*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (d) *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

The Consultants' Team

64. An independent evaluation consultant who will closely work with the rest of the ABS Portfolio evaluation team will conduct the ABS Africa evaluation. The consultant will be responsible of all data collection and analysis, and the preparation of the evaluation report. The consultant will ensure that all evaluation criteria are adequately covered.

65. The consultant should be familiar with CBD and its ABS – frameworks, bio prospecting and incorporation of ABS considerations into national planning. The consultant should have a strong evaluation background. The consultant should have a master's degree or higher in environmental sciences, environmental law, environmental economics or equivalent, and be fluent in both written and spoken English and French and have a minimum of 10 years of relevant work experience.

66. By undersigning the service contract with UNEP/UNON, the consultant certifies that she/he has not been associated with the design and implementation of the project in any way which may jeopardize her/his independence and impartiality towards project achievements and project partner performance. In addition, she/he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

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

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

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

²⁰ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

²¹ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

69. The detailed project design assessment matrix will be completed and presented in the annex of the inception report, accompanied by a brief overview of the design strengths and weaknesses. The main part of the inception report will present synthesised findings from this assessment.
70. The ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured to allow adequate data collection for the evaluation of effectiveness, likelihood of impact and sustainability. It is, therefore, vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done.
71. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
72. The inception report will also present a tentative schedule for the evaluation process, including a tentative list of people/institutions to be interviewed.
73. The Evaluation Office will submit the inception report for review and approval before the evaluation consultant conducts any travels for the evaluation.
74. **The evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 1(b). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible and easily extractable for the ABS Portfolio synthesis. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the author will use numbered paragraphs and make cross-references where possible.
75. **Review of the Evaluation report.** The evaluation consultant will submit the evaluation report, no later than 3 weeks after the completion of the respective field mission/interviews, to the UNEP Evaluation Office and revise the draft following the comments and suggestions made by the EO. The EO will assess adequacy and quality of information provided in the evaluation report. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the respective UNEP Task Manager, who may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that the Task Managers provide feedback on the proposed recommendations and lessons.
76. **Submission of the final Evaluation report.** The evaluation consultant will submit the final draft evaluation report no later than two weeks after reception of stakeholder comments. The consultant will prepare a **response to comments**, listing those comments not or only partially accepted by her/him that could therefore not or only partially be accommodated in the final report. The consultant will explain why those comments have not or only partially been accepted, providing evidence as required. The EO will share this response to comments with the interested stakeholders to ensure full transparency. The final report shall be submitted by Email to the Evaluation Manager and the Director, Evaluation Office, who will share the report with the Director, UNEP/GEF Coordination Office and the UNEP/DEPI Task Managers. The Evaluation Office will also transmit the final report to the GEF Evaluation Office.
77. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.
78. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.
79. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluation consultant and UNEP Evaluation Office on

project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings are the final ratings that will be submitted to the GEF Office of Evaluation.

Logistical arrangement

80. This ABS Africa project evaluation will be undertaken by an independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for her/his travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize field visits, and any other logistical matters related to the assignment. The Project Management Unit, in coordination with UNEP Task Manager will, where possible, provide logistical support (introductions, meetings, transport etc.) for possible travels, allowing the consultant to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation

81. The contract for the consultant will begin on 1st February and end on 29th April 2016.

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

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

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

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

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

86. In case the consultant is not able to provide the deliverables in accordance with these ToRs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultant has improved the deliverables to meet UNEP's quality standards.

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

ANNEX II. PROJECT RESULTS FRAMEWORK (PROJECT DOCUMENT)

Objectives and Outcomes/Outputs	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Objective Development, implementation and review of ABS frameworks in six African countries	New or revised ABS policies and/or legislation are in place in each of the participating countries. 11 countries with ABS frameworks in place. ABS policies are being implemented	National ABS policy documents in participating Countries	Political will exists to adopt effective ABS Measures Stakeholders have a sustained interest in ABS Improved capacity and understanding of ABS issues will lead to adoption of such measures
Outcome 1: Development of national ABS policies and regulations	Existing ABS-related capacity, policy basis and main stakeholders are identified; ABS-related capacity of main stakeholders is improved; ABS policies and regulations are developed	Documentation of policy and stakeholder analysis; workshop reports; national policy documents	
Outputs: ABS outreach strategies and Programs to enhance stakeholder awareness and to engage them on ABS issues	Main stakeholders are identified Stakeholder-specific information is produced and disseminated Exchange forums are established	Documentation of stakeholder analysis and Stakeholder-specific information	Stakeholders are willing to engage in ABS discussions
Review of existing national policy basis and institutional capacity for ABS	Report on national ABS context produced	National ABS report	
Training of key government Officials	At least one national-level training Workshop for key government officials is held	Workshop reports	Key governmental institutions are willing to participate in the project
Development of capacities of local and indigenous community representatives to participate in the development of ABS measures	At least one national-level training Workshop for JLC representatives is held	Workshop reports	Indigenous and local community representatives interested in ABS issues can be identified
Consultative multi-stakeholder Workshops to input the creation of the national ABS policy	At least one consultative workshop is held With representatives of NGOs. Indigenous and local communities and the private sector	Workshop reports	The government is willing to include Stakeholders in the development of the ABS policy Stakeholders are interested in participating in the process

National ABS policies and Regulations	National ABS policies and regulations are developed, taking into account the following: Access request and PIC procedures Procedures for negotiating ABS Agreements Monetary and non-monetary benefit sharing requirements Compliance mechanisms Decision-making criteria for granting access Approaches to address (Taxonomic) non-commercial research	National policy documents	National processes move quickly enough to facilitate adoption of the policy. The government remains committed to developing ABS policies and regulations: no major political changes occur that hinder the process
Administrative/Institutional settings	Competent National Authorities and ABS National focal points exist Cross-sectional collaboration is taking place	Communications between the CNA, national focal point and other agencies	National processes move quickly enough to establish institutional settings The establishment of institutional settings is not hindered by administrative procedures
Participatory Mechanisms	Mechanisms are in place for systematic participation of National and Community stakeholders in ABS agreements	National policy documents outlining procedures for ABS agreements have built-in provisions for regular participation of stakeholders	The government is willing to allow participation of stakeholders in ABS procedures
Outcome 2: Implementation of National ABS policies and regulations	Existing expertise, capacity needs and main stakeholders for implementation of existing ABS policies and regulations are identified; capacity of main stakeholders for implementation of ABS policies and regulations is improved; stakeholder and broader public awareness is enhanced	Documentation of policy and stakeholder analysis; workshop reports; national policy documents; toolkits and public awareness materials	
Outputs: Identifying existing expertise and developing a strategy to address major gaps and capacity needs for implementation	Gap analysis and ABS capacity-development strategy developed	Gap analysis document	
(National-level) technical toolkits and manuals to meet identified needs	Technical ABS Toolkits and manuals produced and disseminated to targeted stakeholders	Toolkits and manuals exist	
Technical training workshops for key government officials, NGOs and private sector	National training workshops are held	Workshop reports	Sufficient interest among targeted audiences

Development of capacities of local and indigenous communities to participate in the implementation of ABS measures	Toolkits/manuals and information material developed for ILC facilitators on ABS and TK Training workshops for ILC facilitators and representatives are held Multi-stakeholder meetings are held	Toolkits and manuals, workshop reports	Indigenous and local community (representatives) interested in ABS issues can be identified
National information sharing mechanism and/m link to a potential international ABS CHM	National information sharing mechanism established	Either national CHM website or national information published on the international CHM	Sufficient resources are available to establish and sustain the national information sharing mechanism The establishment of the mechanism is not hindered by administrative procedures
ABS outreach strategies and programs to enhance stakeholder and broader public awareness of ABS issues	ABS outreach programs designed and implemented building on regional ABS CEPA Guide Public awareness materials produced, including for indigenous and local communities and trainers Media outreach tools produced and circulated	Public awareness materials and media outreach tools exist	
Outcome 3: Revision of existing national ABS policies and regulations	Existing ABS policies and regulations are reviewed and amended through a participatory process	Workshop reports and national ABS report; national policy documents	
Outputs: Participatory review of existing national ABS policy, regulations and institutional capacity	Multi-stakeholder workshop held to assess National ABS context Report on national ABS context produced	Workshop reports, national ABS report	
Participatory process to amend existing policies and regulations	National policies and regulations are amended	National policy documents	National processes move quickly enough to facilitate the amendment of policies and regulations. The government remains committed to improving ABS policies and regulations: no major political changes occur that hinder the process

Outcome 4: Regional and sub-regional cooperation and capacity- development	Lessons learned are disseminated and exchanged at sub-regional and regional level	Reports and participant lists of sub-regional workshops, trainings and meetings; sub-regional materials and tools	
Outputs: Training of trainers for Development and implementation of notional- level activities	At least two qualified trainers are available in each country	Participant lists of trainer workshops	Qualified candidates exist in each country and can be identified
Participation of national ABS Counterparts in the activities of the ABS Initiative	Presence of national ABS counterparts at the workshops of the initiative	Participant lists and reports of ABS Initiative workshops	
Sub-regional CEPA ABS Materials and tools	Sub-regional ABS CEPA materials and tools exist in English, French and Portuguese	Sub-regional CEPA materials and tools	
Involvement of sub-regional Organizations (COMIFAC, SADC, ECOWAS,EAC) in ABS discussions	Participation of sub-regional organizations in regional and sub-regional ABS-relevant activities	Participants lists and reports of ABS Initiative workshops	Sub-regional organizations have the interest and capacity to participate
Pilot business initiatives for promoting bio-prospecting ventures and community based benefit sharing arrangements	Best Practices identified. Documented and disseminated Business opportunities are assessed in each of the 6 countries At least two pilot business initiatives identified and supported	Reports on best practices and business opportunities Documentation or meetings with business actors	Level of interest of the private sector is sufficient
Training workshops for French, English and Portuguese speaking countries to share lessons learned	One sub-regional training workshop each in French, English and Portuguese	Workshop reports	
Synthesis and dissemination of national lessons learned to regional and sub-regional levels	Synthesis report available and presented at Regional and sub-regional workshops. Synthesis report is made available to other GEF regional ABS projects	Synthesis report Workshop reports Communications with EAs of other GEF regional projects	ABS Capacity Building projects are initiated by GEF in other regions

ANNEX IIA COMPARISON OF OUTPUTS EXTRACTED FROM THE TERMINAL REPORT

Project Outputs (Compare the outputs generated with the ones listed in the project document)

The project document contains a list of all outputs in Appendix 4 that could be produced in the 6 countries. Countries have chosen a set of outputs that was appropriate for the national project. The final state of those outputs is contained in PIR 2015 and will be summarized briefly here.

Cameroon: all outputs delivered as of 30 Jun 2013

Kenya: several outputs delivered as of 30 Jun 2015 but not:

- Printed versions of the toolkit and other information material
- Training for key staff from national institutions
- One of four provincial multi-stakeholder workshops
- ToT training for indigenous and local community representatives
- Webpage on ABS

Madagascar: most outputs delivered as of 30 Jun 2013 apart from:

- The draft ABS bill could not be discussed in Parliament because of political instability (90% completion)
- The national ABS framework document could not be adopted for political reasons (90% completion)
- The national consultation did not result in the formation of a CAN for political reasons (40% completion)

Mozambique: none of the outputs was delivered because the project was not started

Senegal: all outputs could be delivered as of 30 Jun 2014

South Africa: all outputs could be delivered as of 30 Jun 2013

Regional Component: most outputs could be delivered as of 30 Jun 2015 apart from:

- The study on products based on GR and a TK is still under final review because of delays with national feedback
- The Franco- and Anglophone workshops should be merged into one final workshop which could finally not be realized because the contract of the ABS Initiative came to an end before suitable dates and a host could be found. The attempt of UNEP to organize the workshop thereafter did not succeed as well.
- The synthesis report is still under work
- While all outcomes of the Regional Component are published on the webpage of the ABS Initiative on the respective thematic or country pages, a dedicated webpage for the project is still under development

ANNEX III. PROJECT WORK PLAN

Table 1. Work plan with financial projection in all six implementing countries

	Activities	Quarters								GEF Financing	Cash Co-financing
		1	2	3	4	5	6	7	8		
										A	
	Development, implementation and revision of ABS policies and regulations in 6 countries									827,300	110,000
A1	National level development/implementation/review Cameroon									160,000	
A2	National level implementation Kenya									136,200	
A3	National level implementation Madagascar									136,200	
A4	National level implementation Mozambique									58,200	110,000
A5	National level implementation Senegal									136,200	
A6	National level implementation South Africa									200,500	
B	Regional and sub-regional cooperation and capacity-development									295,200	40,000
B1	Training of trainers for development and implementation of national-level activities									86,000	0
B1.1	Anglophone train the trainer workshop									43,000	
B1.2	French train the trainer workshop									43,000	
B2	Regional ABS materials and tools									67,900	0
B2.1	Elaboration of a generic ABS Info-kit										
B2.2	Based on the generic info-kit, development of a CEPA ABS Guide for Africa (including sub-regional case studies, approaches and strategies)									32,900	
B2.3	Translation into French and Portuguese									10,000	
B2.4	Production and Dissemination of materials									25,000	
B3	Participation of national ABS counterparts in the activities of the ABS Initiative									0	0
B3.1	Participation of ABS focal points in workshops of the ABS Initiative										

ANNEX IV. PROJECT COST AND CO-FINANCING

Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)
Personnel	235,847.65	221,329.39	93%
Sub-contract	779,724.77	611,785.93	78%
Training	26,000	26,000	100%
Miscellaneous (publications, Translation, Dissemination and reporting)	25,000	21,063.35	84%
-Audit	11,900	15,288.80	128%
-Project Management (GIZ)	86,827.58	94,376.79	108%

Co-financing

Co-financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants					BUWAL150,000				150,000
- Loans									
- Credits									
- Equity investments									
- In-kind support			414,150	same	413,900	Same			
- Other (*) -UNU-IAS -ABS Initiative -SCBD									
Totals			414,150		587,900		1,002,050	same	

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

ANNEX V. ASSESSMENT OF THE QUALITY OF PROJECT DESIGN

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives? How about UNDP?		<p>Yes. The intended results will contribute to UNEP’s expected Accomplishments and Programmatic objectives within the environmental governance.</p> <p>This project will contribute to the achievement of the three objectives of the CBD and of the goals of its Strategic Plan, thereby reducing the rate of loss of global biodiversity They will also contribute to UNDP programmatic Objectives for the project is in line with/complementary to several other projects or initiatives sponsored the UNDP/GEF such as ‘Southern African Biodiversity Support Programme: Access and Benefit-Sharing (SABSP)’</p>	<p>Prodoc Section 1 PIF</p> <p>Para 44</p> <p>Prodoc Section 2.7</p>
Does the project form a coherent part of a UNEP-approved programme framework? How about UNDP?		<p>Yes. Same as above. , the project is relevant under the biodiversity strategic Priority 4: Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues. The approved programme of work is Ecosystem Management. The project will support capacity building of governments for meeting their obligations under Article 15 of the CBD.</p>	<p>Prodoc Section 2.7 and para 43</p>
Is there complementarity with other UNEP / UNDP projects, planned and on-going, including those implemented under the GEF?		<p>Yes. It is complementary to several UNEP/UNDP, planned and on-going and also implemented by GEF as mentioned above. In addition it is in line with/complementary to several other projects or initiatives sponsored by GEF or other donors in response to stakeholders’ priorities and needs such as the ‘Dutch-German ABS Capacity Development Initiative for Africa’ (DGIS, BMZ and GTZ), the UNDP/GEF ‘Southern African Biodiversity Support Programme: Access and Benefit-Sharing (SABSP)’</p>	<p>Prodoc 2.7 para 29, 30, 31.</p> <p>Linkage with GEF and other non-GEF initiatives.</p>
Are the project’s objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	<p>Yes. The GEF under the biodiversity programme has</p> <p>Indicated that: "Programme priorities should promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention. As national capacities are developed, (despite differences in level and approaches) regional cooperation and collaboration is promoted. Lessons learned from the 6 national ABS processes are integrated into sub-regional and regional capacity building processes of the</p>	<p>Section 3.1 Para 37 and 44</p> <p>Section 3.3 Para 46</p>

		Multi-donor ABS Capacity Development Initiative; and the national processes benefit from on-going sub-regional and regional activities of the Initiative. The project is designed to involve the sub-regional organizations such as COMIFAC, ECOWAS, EAC and SADC.	
	ii) The UNEP / UNDP mandate and policies at the time of design and implementation?	Yes. The project is a continuation of the previous PDF-A under the GEF and UNEP prevailing mandate and policies within the Environmental Governance	
	iii) The relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	<p>Yes. The project is relevant under the GEF Biodiversity Strategic Priority 4: Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues'. It is also fully consistent with Strategic Program 8 'Building Capacity on Access and Benefit Sharing (ABS)</p> <p>The planned activities are consistent with the GEF Strategic Approach to Enhanced Capacity Building approved by the GEF Council in 2003 that provides for the GEF to "establish a new pathway that will finance focal area specific, free standing capacity-building projects that address national priorities and are responsive for guidance and decisions of the relevant Conventions"</p>	<p>Prodoc: PIF; Section 3.1 Para 43</p>
	iv) Stakeholder priorities and needs?	Yes. First, the project addresses the concerns of one of the three objectives of the CBD, which requires parties to facilitate access to genetic resources for environmentally sound uses by other parties. All parties are also invited to use the Bonn Guidelines when developing/drafting legislative, administrative or policy measures on ABS and contracts and other arrangements under mutually agreed terms for access and benefit sharing. The project aims at improving ABS –related capacity and awareness of stakeholders in the participating countries as well as other needs including regional and sub-regional cooperation, legal frameworks and institutions,	Sections 2.2; 2.3; 3. 1
Overall rating for Relevance		HS	
Intended Results and Causality			
Are the objectives realistic?		Yes. The project objectives are realistic. The six participating countries in the project, though they were at different levels at the beginning, had recognized the lack of capacity in the ABS implementation and the need for assistance in improving their capacity in ABS related activities. The project was carried out in these countries, which were active and requested for help. The objectives were also to increase Africa decision makers' and stakeholders' knowledge	<p>Prodoc Section 2.1 Para 7, 8.</p> <p>Also Section 3.7 Para 51 (last sentence)</p>

	on ABS- related matters and strengthen networks of African ABS experts. The six countries are located each in a sub-region of the African continent.	
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?	The causal pathway is clearly described leading to the definition of the ultimate benefits/impacts to the region and the world. Although the project logic results framework was well thought, it could be misleading to assume that once there is enough capacity built all outcomes will be achieved. This is more a result than an assumption Yes all elements/components of a TOC were presented.	Prodoc Sections 3.3 and 3.4
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	The time frame is very optimistic. There could be delays that can cause the implementation to drag and may need more time for the outcomes to be achieved. Indeed it took a longer time for the financial agreements to be concluded with the national leading agencies as a result all work plans had to be revised. All outputs could be realized during the project implementation period but it will take a longer time for all outcomes to be achieved	Prodoc Section 3.5
Are the activities designed within the project likely to produce their intended results?	Yes. Activities designed within the project are likely to produce their intended results. The Countries' status in ABS-related activities is known and the various components will produce intended results.	Prodoc. 3.3
Are activities appropriate to produce outputs?	Yes. The activities are appropriate to produce the outputs planned for in the prodoc.	Prodoc. Appendix 6. Key deliverables and benchmarks
Are activities appropriate to drive change along the intended causal pathway(s)?	Yes. The activities are appropriate to drive change along the intended causal pathway(s)?	Prodoc. Appendix 4. Projects results framework.
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	These were properly described in the Prodoc in section 3. (3.1, 3.4, 3.5). The weakness is the impact drivers were not quite explicit in the presentation.	Prodoc Section 3: 3.1, 3.4, 3.5.
Overall rating for Intended Results and causality	S	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	Need analysis, proper baseline analysis, Threats, root causes analysis, review of Institutional, sectorial and policy context as well as risk analysis are all cost and/or time saving measures.	Prodoc Sections 2.3, 2.4, 2.6, 3.5;
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes. In addition regional engagements, particularly the close link of the project with activities of the multi-donor ABS Capacity Development Initiative will contribute greatly to its cost effectiveness and assist in adjustments	Section 7.3 Para 85

	at national level that are cost saving.	
Overall rating for Efficiency	S	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	Yes. The project document specifies that the project will be implemented at National and regional levels and then contribute to international efforts.	Prodoc Section 3.1 Para 40
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	The participation of key stakeholders in ABS processes is essential to the success of the project. So project activities place an emphasis on the participation and capacity building (training) of a wide range of stakeholders (government, private sector, research, indigenous and local communities) and on awareness raising and engagement. The issue of participation, empowerment in decision making equity and fairness in the sharing of benefits is also high in the project document. The project will develop the capacity of Indigenous and Local Communities (ILCs) to participate in the negotiation of ABS agreements and will include mechanisms for systematic participation of ILCs in the development of ABS regulations. CEPA tools will also be developed and used.	Prodoc Sections 3.5, 3.10 and 3.11
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	From the project document, the design proposes that in addition to Capacity building, ABS arrangements should be incorporated into national frameworks and consolidation and administration of the national ABS should form part of the normal activities of the legal system and Competent National Authority for ABS matters in each country. Regional and sub-regional activities are expected to continue under the on-going ABS Capacity Development Initiative, and participating countries will therefore be involved in regional networks beyond the life of this project. These developments or mechanisms will secure that funding.	Prodoc Section 3.8
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	The financial risk is there but less. The project document analysis shows that funding from the GEF and other partners is crucial for the implementation of this project and the realization of the third objective of the CBD. While other initiatives- especially the Africa ABS Initiative -will continue providing funds to sustain project results (the consolidation of the capacity and the sharing of experiences and lessons learned in countries, sub-regions and regions) after the project life, implementation activities in turn will yield funds that will be used to further the process and share with the communities.	Prodoc Section 2.7, 3.5, and 3.7

<p>Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?</p>	<p>Institutional framework, governance structures and processes and other arrangements needed to implement the project have been adequately described in the Project document. The main assumption is that institutions/frameworks and or mechanisms resulting from the capacity developed will help sustain the project results.</p>	<p>Prodoc Section 4</p>	
<p>Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher-level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?</p>	<p>This is primarily a Capacity building project, which will later have an impact on the global environment. However the project document in section 3.11 states that Conservation and sustainable use of genetic resources should be part of any national ABS framework and this project will take it into account and ensure that during capacity development workshops policies and regulations make the link to sustainable collection and in-situ conservation of biological resources. And options for benefits should include financing for conservation and transfer of knowledge for conservation and sustainable use.</p>	<p>Prodoc Section 3.11</p>	
<p>Does the project design foresee adequate measures to catalyse behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):</p>	<p>i) Technologies and approaches show-cased by the demonstration projects;</p>	<p>There are no technologies and approaches show cased in the project design. The project did not plan for show casing demonstration projects. However national level activities could become demonstration projects show cased during sub-regional and regional activities (with lessons learned to be shared etc.)</p> <p>The project design planned for pilot business initiatives for promoting bio-prospecting ventures at sub-regional and regional levels. Best practices could be show cased at that level.</p>	<p>Prodoc Appendix 4</p>
	<p>ii) Strategic programmes and plans developed</p>	<p>The project design planned for outreach strategies and programmes to be developed to enhance stakeholder's awareness and to engage them on ABS issues. This will/can catalyse stakeholders' behaviour change.</p>	<p>Prodoc Appendix 4</p>
	<p>iii) Assessment, monitoring and management systems established at a national and sub-regional level</p>	<p>The design does not plan for assessment, monitoring and management systems established at national and sub-regional levels. Monitoring and evaluation is planned at project level during implementation. The Results-Based Monitoring and Evaluation Framework in appendix 7 of the project document planned for monitoring/sampling of the different parameters at specific time of the project life: at the midterm review or at the end of the project during the Terminal evaluation.</p>	<p>Prodoc: Appendix 4 and Appendix 7</p>
<p>Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]</p>	<p>Yes. Capacity building (training workshops, and the elaborations/establishment of ABS measures) and many of the project outputs are measures to contribute to institutional changes in each participating country. Regional pilot projects and participation in the Sub-regional</p>	<p>Prodoc: Appendix 4</p>	

	and regional Initiatives will also contribute to the changes	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?	Yes. The project design foresees adequate measures for the necessary policy changes. Project component 1 plans for the development of national ABS policies and regulations in the countries where they do not exist; while component 3 is about the revision of existing national ABS policies and regulations where they are not adequate.	Prodoc Section 3.3
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	The most adequate measure contributing to sustain follow on finance is the close link with the activities of the regional multi-donors ABS Capacity Development Initiative. In addition, proper ABS measures that are working will generate funds that in turn can be injected by Government into the framework to help facilitate the sustainability of activities	Prodoc Section 7.3
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyse change (without which the project would not achieve all of its results)?	The project design foresees that the ABS framework should form part of the normal activities of the legal system and a Competent National Authority for ABS matters. So the legal system and the Competent National ABS Authority will be the champions for the necessary policy changes. In addition they will be affiliated to regional networks within the ABS Capacity Development Initiative whereby their activities become part of the networks activities thus guaranteeing sustainability and replication.	Prodoc Section 3.8 and 3.9
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	Higher Capacity and awareness developed in key stakeholders. Leading to strengthened institutions/framework (National executive agencies, national legal system, Competent National ABS Authority, etc.) and better participation in all ABS processes/activities at national and regional levels (networks) to implement the project. All that contributes to a higher ownership necessary to sustain various project results.	Prodoc Sections 3.1; 4
Overall rating for Sustainability / Replication and Catalytic effects	S	
Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	All risks including the ones based on some critical assumptions are appropriately addressed	Prodoc Section 3.5
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Assumptions are identified and specified as factor affecting achievement of project results. Not all are properly identified as being beyond the control of the project. When these are considered along with the risks associated as well as the mitigating measures, they cease to be assumptions. In which case some could be considered as drivers.	Prodoc Section 3.4 and 3.5

Are potentially negative environmental, economic and social impacts of projects identified?	These were not identified in the project document. But failing to empower indigenous and local communities or not considering gender aspects, especially the role of women in the conservation and use of genetic resources for food and medicines could have negative impacts. Similarly by-passing official channels and engaging into bio-prospection or use of genetic material without prior inform consent or official permission can also be disastrous both financially and to the environment.	Prodoc Section 3.11
Overall rating for Risk identification and Social Safeguards	MS	
Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	The governance model is comprehensive clear and appropriate and properly described	Prodoc Section 4
Are roles and responsibilities clearly defined?	Similarly role and responsibility are clearly defined and described	Prodoc Section 4
Are supervision / oversight arrangements clear and appropriate?	These arrangements are also clear and appropriate.	Prodoc Section 4
Overall rating for Governance and Supervision Arrangements	S	
Management, Execution and Partnership Arrangements		
Have the capacities of partners been adequately assessed?	Yes. In addition the M & E plan is to insure that (everyone) members of the project team understand their role and responsibilities throughout the implementation period. The project will build on the experience gained through several years of execution of the ABS Capacity Development Initiative in the region	Prodoc Section 5 and 6
Are the execution arrangements clear?	The Project document explains clearly the project execution arrangements	Section 4
Are the roles and responsibilities of internal and external partners properly specified?	The project document explained properly the roles and responsibilities of project partners and the nature of engagement expected from each partner.	Section 4, 5 and 6
Overall rating for Management, Execution and Partnership Arrangements	S	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning?	No. The project document gives very detailed account of the project financial outlook.	Prodoc PI Section 1 and Section 7.1 Appendix 1 & 2
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?	The project design guaranties cost effectiveness. The countries budgets have been adjusted upwards to achieve significant results. In addition to GEF funding, project partners have guaranteed sufficient funds to ensure project viability in addition to the countries governments especially the south African government, thus illustrating the good potential for resource mobilization. Once again, the close link of the project with the ABS Capacity	Prodoc Section 7

	Development Initiative guaranties viability, sustainability and also potential for resource mobilization.	
Are the financial and administrative arrangements including flows of funds clearly described?	Yes. The project document clearly described the financial and administrative arrangements including flows of funds: who pays for what and the nature of the contribution (cash or kind).	Prodoc: Project Identification Section 1. Section 7.1, 7.2
Overall rating for Financial Planning / budgeting	S	
Monitoring		
Does the logical framework: <ul style="list-style-type: none"> • Capture the key elements of the Theory of Change for the project? • Have 'SMART' indicators for outcomes and objectives? • Have appropriate 'means of verification'? • Identify assumptions in an adequate manner? 	The Logical framework: <p>Brings out the key elements of the theory of change</p> <p>Provides 'SMART' indicators for outcomes and objectives</p> <p>Gives enough/appropriate means of verification</p> <p>Identifies most assumptions appropriately.</p>	Prodoc Section 6 Appendix 4
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher-level objectives?	Yes. The milestones/the key deliverables and their benchmarks are appropriate and sufficient to steer the project towards outcomes and higher level objectives	Prodoc Appendix 6
Is there baseline information in relation to key performance indicators?	Yes. A baseline analysis was done at an early stage by UNEP, the Lead Executing Agency and the National executive agencies and provided information in relation to key performance indicators in each participating country, in addition to indicating the existing gaps.	Prodoc Section 2.6
Has the method for the baseline data collection been explained?	It was a broad gap analysis based on four questions and summarized in a page. The project document stated that a more detailed analysis was to be done at inception in each participating country.	Prodoc 2.6
Has the desired level of achievement (targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?	The desired level of achievement has been specified for indicators of outcomes. Targets were not necessarily based on reasoned estimate of baseline	Prodoc Appendix 4
Has the time frame for monitoring activities been specified?	Yes.	Prodoc Section 7
Are the organisational arrangements for project level progress monitoring clearly specified?	Yes	Prodoc Section 4
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	Yes. The Project document stated that A budget has been allocated for monitoring project progress in implementation against outputs and outcomes.	Prodoc Appendix 7

Overall, is the approach to monitoring progress and performance within the project adequate?	Yes	Prodoc Section 6 Appendix 7
Overall rating for Monitoring	S	
Evaluation		
Is there an adequate plan for evaluation?	Yes. The Project document provided a day-to-day monitoring, semi-annual monitoring, indicated a date for a mid-term evaluation (MTE) and a terminal evaluation that will be done by an independent consultant, managed by the evaluation office, and provided a tentative ToR for the terminal evaluation.	Prodoc Section 6
Has the time frame for evaluation activities been specified?	Yes.	Prodoc Section 6
Is there an explicit budget provision for mid-term review and terminal evaluation?	Yes.	Prodoc Appendix 7
Is the budget sufficient?	Budget was moderate	Appendix 7
Overall rating for Evaluation	HS	
Overall rating for the quality of the design	S	

ANNEX VI. INDIVIDUALS AND DOCUMENTS CONSULTED DURING THE EVALUATION

People consulted

Name	Position
Michael Spilsbury	Director, UNEP Evaluation Office
Tiina Piironen	Evaluation Office
Mohamed Sessay	Chief, GEF Biodiversity/Land Degradation/Biosafety Unit & Portfolio Manager, DEPI GEF, GEF/UNEP Project Task manager
George Saddimbah	New UNEP/GEF FMO
Patti Moore	ABS Global Consultant (Thailand)
Ludmila Khorosheva	UNEP/GEF FMO
Andreas Drews	GIZ Bonn, Global Project "ABS Capacity Development Initiative
Dr D Nyamongo	ABS Team member, Genetic Resources Research Institute (Muguga, Nairobi), KENYA
Dr Kavaka	ABS team member, Kenya Wildlife Services (KWS, Langata) Nairobi KENYA
Samuel DIEME	ABS Focal point, Dakar, SENEGAL
Prudence Galega	ABS Co Focal point, Yaoundé, Cameroon
Lactitia Tshitwamulomoni	ABS Focal point SA, Department of Environment of South Africa
Joyce Imende	ABS KENYA, NEMA Kenya
Rakotoniaina Naritiana	ABS Focal point Madagascar

Documents consulted

ToR ABS Portfolio Evaluation

Project document and revisions (Prodoc) and PIF Project Identification form

UNEP/GEF PIRs, Project Reports, Midterm Reviews

Questionnaire prepared for participating countries

Some examples of evaluation Reports

Countries project Documents for Cameroon; Kenya; Madagascar; Mozambique; Senegal and South Africa

A few example Inception Reports

GEF. 2008. Guidelines for GEF Agencies in Conducting Terminal Evaluations. Evaluation Document No. 3. Washington, D.C.: GEF

UNEP. 2009. *Evaluation Policy*. September. Nairobi: UNEP

UNEP. 2008. *Evaluation Manual*. March. Nairobi: UNEP

UNEP. 2013. *Terms of Reference*. ABS – Portfolio Evaluation: Final Evaluation of five UNEP/GEF projects on “Access and Benefit Sharing”

- GIZ, ABS Africa Initiative

Africa ABS Project documents (Prodoc)

Project Identification Form (PIF)

Countries Project Annual Reports (PIRs), for Cameroon; Kenya; Madagascar; Mozambique; Senegal and South Africa;

African Perspectives on Genetic Resources: A Handbook on Laws, Policies and Institutions. Environmental Law Institute © 2003

Countries Half Yearly Reports;

Country Project documents for Cameroon; Kenya; Madagascar; Mozambique; Senegal and South Africa containing CEPA and other project products, Work Plans, Reports, Financial reports, samples of Policy documents, workshop Presentations, workshop reports, national ABS strategies and relevant correspondences and Relevant national consultant country reports (reports on specific project activities contracted to national consultants) ;

Questionnaire prepared for participating countries

A few more Examples of evaluation from the Evaluation office

UNEP programmatic documentation

Global Environment Facility (GEF). 2012. GEF Investments in Support of Access and Benefit Sharing (ABS). Washington, D.C.: GEF

ANNEX VII. EVALUATION SCHEDULE

The Consultant Schedule for the evaluation is as follows:

Discussions with Tiina Piironen, and Mohamed Sessay	March 2016
Discussions with Tiina Piironen and Patti Moore (Thailand)	5 April 2016
Submission of ABS Africa TE Inception Report	June
Discussions with Mohamed Sessay, Tina Piironen and FMO/GEF:	June (late)
Discussions with GIZ ABS Leader, Focal points Kenya, Senegal, Cameroon	September/October 2016
Submission of ABS Africa Draft TE Report:	November 2016
Submission of ABS Africa TE Report:	February 2017

ANNEX VIII. EVALUATION QUESTIONS

Evaluation Criterion	Key Evaluation Questions	Sources of Data
A. Strategic relevance	Questionnaire Questions 5-10	<ul style="list-style-type: none"> ▪ GEF and UNEP documents, Project reports ▪ Feedback from questionnaires
B. Achievement of outputs	, Questionnaire Section 11 which has several questions on all individual outputs Other General questions: Were the project outputs satisfactorily achieved (including quantity and quality, as well as their usefulness and timeliness)?	<ul style="list-style-type: none"> ▪ PIRs ▪ Reports of project activities from the six participating countries ▪ Responses to questionnaires
C. Effectiveness: Attainment of project objectives and results i. Direct outcomes from reconstructed project-level ToC ii. Likelihood of impact using RoTI and based on reconstructed project-level ToC iii. Achievement of project goal and planned objectives	Questionnaire, questions 1-4 and 11 Other questions: Has the project been successful in attaining its objectives? What is the likelihood that the long-term impacts will be achieved? Has the project contributed, and is likely in the future to further contribute to changes in stakeholder behavior as a result of the project's direct outcomes, and what is the likelihood of those changes in turn leading to less pressure on biodiversity and maintenance of ecosystem services? Has the project met the identified needs for capacity building? Has the project been able to increase technical capacity of regional/national centres of excellence and research centres to support the action of governments and the international and local communities? Have findings been widely disseminated; are adequate mechanisms in place for stakeholders to have access to project findings and updated information as this becomes available	<ul style="list-style-type: none"> ▪ Responses to questionnaires ▪ PIRs ▪ Project reports (Country)
D. Sustainability and replication	Questionnaire, questions 12-22 Has the project catalyzed action by stakeholders for increased use/adoption of ABS measures a national and regional level? Has information generated by the project been developed into guidelines that governments and other stakeholders could use? What is the likelihood for socio-political, financial, institutional and environmental sustainability and what are the key determining factors?	<ul style="list-style-type: none"> ▪ Responses to questionnaires ▪ Annual country Reports ▪ PIRs
E. Efficiency	Questionnaire, questions 23-25	<ul style="list-style-type: none"> ▪ Responses to questionnaires ▪ Reports
F. Factors affecting performance	Questionnaire, questions 26-57	<ul style="list-style-type: none"> ▪ Responses to questionnaires ▪ Reports
G. Complementarity with	Questionnaire questions 58-69 ▪	<ul style="list-style-type: none"> ▪ Project document and

Evaluation Criterion	Key Evaluation Questions	Sources of Data
UNEP strategies	<p>How was the project aligned with the Bali Strategic Plan?</p> <ul style="list-style-type: none"> ▪ To what degree did the project address gender inequalities in access to and control over natural resources? ▪ To what degree did the project promote South-South Cooperation? 	<p>UNEP programme documents, reports and websites PIRs</p> <ul style="list-style-type: none"> ▪ Project reports

ANNEX IX. EVALUATION REPORT QUALITY

All UN Environment 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			
<p>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)</p>	<p>Draft report: The executive summary should be rewritten so that it flows better, logically follows the structure of the main report, does not include copied paragraphs but is a well written narrative. The summary should present the key findings for each evaluation criterion.</p> <p>Final report: The executive summary follows Evaluation Office guidelines.</p>	MU	S
<p>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.)?</p>	<p>Draft report: Project context and description have been adequately presented. More information could be provided in places, and text clarified.</p> <p>Final report: Same as above.</p>	S	S
<p>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?</p>	<p>Draft report: The assessment of relevance is adequately prepared.</p> <p>Final report: Same as above.</p>	S	S
<p>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)?</p>	<p>Draft report: The assessment of the achievement of outputs is adequately prepared. Some revisions are needed to clarify output delivery per the project countries (i.e. as for now, majority of examples are focused on a single country, making it unclear if the output was delivered in that country only) and assess output delivery against the workplan (planned vs. delivered outputs), which would allow a more specific assessment of the timeliness of delivery.</p> <p>Final report: Same as above.</p>	MS	MS
<p>E. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways</p>	<p>Draft report: The ToC is adequately presented.</p>	MS	MS

logical and complete (including drivers, assumptions and key actors)?	Final report: Same as above.		
<p>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?</p>	<p>Draft report: The assessment of effectiveness should be strengthened. A revision is required to apply the RoTI method when assessing the likelihood of impact and discuss drivers (was the project able to influence) and assumptions (did they hold). Revisions are needed to increase specificity, clarity and evidence and to ensure that the section is focused at outcome level results (not activities or outputs) and provides a holistic view of the project since for now, the section is heavily focused at the best performing country and does not therefore provide a balanced assessment of the project as a whole.</p> <p>Final report: Assessment of effectiveness is adequate.</p>	MU	MS
<p>G. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?</p>	<p>Draft report: The assessment of sustainability and replication / catalytic effects includes all required components. The assessment should be more clearly focused at sustainability of the direct outcomes. Some aspects of sustainability could be discussed more in-depth, particularly socio-political sustainability so that it clearly describes how the sustainability of outcomes is influenced by socio-political factors. Also the financial sustainability should be re-thought to carefully examine why/how financial resources (particularly external) would be required.</p> <p>Final report: The assessment of sustainability is adequate.</p>	MU	MS
<p>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?</p>	<p>Draft report: The assessment should be strengthened by providing examples of efficiency gain, by discussing timeliness of delivery, and by examining cost efficiency.</p> <p>Final report: Assessment of efficiency is adequate.</p>	MU	MS
<p>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?</p>	<p>Draft report: All required factors have been assessed. Some revisions are needed to strengthen evidence base and increase specificity. This is particularly in terms of financial management, M&E and making the separation between country ownership and stakeholder participation.</p> <p>Final report: Same as above.</p>	MS	MS
<p>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?</p>	<p>Draft report: Conclusions should be a narrative explaining the main strengths and shortcomings of the project as a story line. Copied text should be avoided, paragraphs should flow nicely together. No new information should be presented in conclusions. If there is information in conclusions which has not been presented in the main report, this information should be synchronized.</p>	MU	MS

	Final report: Conclusions have been adequately presented.		
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: The recommendations are based on evaluation findings. The clarity of recommendations could be enhanced by clearly stating the context from which the recommendation is derived, including the implication of the identified problem to the project implementation (i.e. explaining why the problem should be addressed). They should also clearly describe who should do what and when. Recommendations should be implementable and realistic. Final report: Recommendations have been adequately presented.	MU	MS
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 are based on evaluation findings. Some revisions are needed. Lessons should describe the context from which they are derived from and the implications this 'problem' had for the project implementation or results. They should explain why the 'lesson learned' is important for future project, and if needed, describe where the lesson should be applied. Lessons should clearly state what should be learned from this project, i.e. what should other projects do or avoid. Final report: Lessons have been adequately presented.	MU	MS
Report structure quality criteria			
M. Structure and clarity of the report: Does the report structure follow EOU guidelines? Are all requested Annexes included?	Draft report: The report structure follows EOU guidelines to some extent. In places, more focus should be paid to ensure that correct topics are discussed under the different headings. Annexes for co-financing and a short bio of the consultant are missing. Final report: Same comment as above.	MS	MS
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 and data sources should be more clearly described. The evaluation criteria and questions should be summarized instead of providing a full list of questions in the main report (could be moved to an annex). The methods should be described better, e.g. clarify which quantitative and qualitative methods were applied exactly. There is inconsistency between information sources presented in the annex and main report. Final report: Methods and information sources have been described in broad terms.	MU	MS
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: The report was adequately written Final report: Same as above.	MS	MS

P. Report formatting: Does the report follow EOU guidelines using headings, numbered paragraphs etc.	Draft report: The report was not formatted. Final report: The report was adequately formatted.	U	S
OVERALL REPORT QUALITY RATING		MU	MS

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 EOU? Was inception report delivered and approved prior to commencing any travel?	A consultant initially contracted for the assignment, undertook an inception mission prior to delivering an inception report.	MS
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	The TE was initiated within the period, but completion of the TE was substantially delayed. The consultant initially contracted for the assignment had to step aside and another consultant was contracted to complete the assignment.	U
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?	Receiving documents was challenging to some extent, but partly contributed to the delays in the TE.	MS
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Implementation plan was prepared and communicated to the Task Manager.	S
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 EOU complete an assessment of the quality of the final report?	The evaluation was partially peer-reviewed. Quality was checked and revisions made before dissemination to stakeholders for comments.	S
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EOU? Were all comments to the draft evaluation report sent directly to the EOU and did EOU share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Yes	S
W. Participatory approach: Was close communication to the EOU and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Communication was adequate.	MS
X. Independence: Was the final selection of the evaluator(s) made by EOU? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes.	S
OVERALL PROCESS RATING		MS

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.

Management Response by the ABS Capacity Development Initiative to the Terminal Evaluation of “Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa”

The ABS Capacity Development Initiative welcomes the evaluation report and thanks UNEP for the good cooperation. Nevertheless, the ABS Initiative but cannot agree to Lesson #4 (see below) and wishes to repeat its concerns with this section of the report, which deals with selecting the appropriate NEAs in an ABS capacity development project.

The text suggests that the appropriate NEA should be linked to "structured institutional framework, clear and applicable legislation/legal framework (policies, regulations etc.), provision of permits and other implementation procedures". This list of characteristics cannot serve as such as general guidance for the selection of NEAs in this or other ABS capacity development projects. In countries like Senegal or Madagascar, which were partner countries in this project, several of the elements were not developed at the time of planning but the project should support the country to create a more effective ABS environment by supporting the development of exactly these elements. The selected NEAs in all partner countries were those institutions or ministries, which were nominated by the governments to serve as either the ABS Competent National Authority or, in countries without legal ABS framework, to act as the National Focal Point for the CBD and/or the Nagoya Protocol. The ABS Initiative therefore wishes to underline that the most appropriate partners were chosen. The experienced difficulties at national level do not stem from a wrong choice of partners but from their position and standing in the landscape of other related national authorities. The project served as means to strengthen the ABS institutions at national level.

The text implies that Ethiopia and its Ethiopian Biodiversity Institute (EBI) were partner of the project, which was not the case. According to previous exchanges with the consultant, EBI was mentioned by one of the interview partners as well functioning ABS authority. Based on our experience with EBI, this is the case. But the ABS Initiative cannot agree to the statement that national Biodiversity Institutes as such would be the "most qualified and appropriate" NEA. First, most countries do not have such Biodiversity Institutes. And second, only if they were appointed as ABS authority - as it is the case in Ethiopia - they would be the preferred NEA for an ABS project. Finally, the evaluation report does not suggest any institution within the partner countries, which should have been chosen as alternative NEA.

Context:	It is noteworthy that the authority with a mandate in ABS can vary between project countries. In this project, NEAs were the appropriate agency in Kenya and South Africa, whereas EBI was the ABS Authority in Ethiopia. Engaging the appropriate agency empowered/respected for coordination and key decision making to serve as the National Executing Agency is paramount. Key decision making included overseeing a well-structured institutional framework, clear and applicable legislation/legal framework (policies, regulations etc.), provision of permits and other implementation procedures. This would have enabled the project to achieve more results and progress faster with such a highly credible and empowered institution. This would have also stopped all ‘undercurrents’ (tug of wars) or reluctance of some national partner institutions (which were not obviously visible).
Lesson # 4:	It is important for projects to avoid rushing implementation but pay careful attention to the identification of the most qualified and appropriate national executing agency which is best positioned to advance the project at the appropriate pace and towards attaining good results and its objectives. In this case a national Biodiversity Institute.
Application:	This lesson is applicable to projects which engage an external executing agency for the delivery of the project.