



# **United Nations Environment Programme**

## **TERMINAL EVALUATION REPORT**

**of the project**

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

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## Acronyms

ABS	Access to genetic resources and benefit-sharing
ABS-MT	ABS Management Tool
ACB	ASEAN Centre for Biodiversity
AMS	ASEAN Member States
ASEAN	Association of South East Asian Nations
CBD	Convention on Biological Diversity
DEPI	UNEP Division of Environmental Policy Implementation
DGEF	UNEP Division of GEF Coordination
FMO	Fund Management Officer
GEB	Global environmental benefits
GEF	Global Environment Facility
GIZ	German International Cooperation Agency
HQ	Headquarters
HYPR	Half Yearly Progress Reports
ICNP-3	Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization
ILC	Indigenous and local communities
IPSC	International Project Steering Committee
IUCN	International Union for Conservation of Nature
Lao PDR	Lao People's Democratic Republic
M&E	Monitoring and evaluation
MEA	Multilateral environmental agreement
MTR	Mid-term review
NGO	Non-governmental organization
NPC	National Project Coordinator
PIF	Project Information Form
PIR	Project Implementation Review
SCBD	CBD Secretariat
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNEP EO	UNEP Evaluation Office
UNEP-ROAP	UNEP Regional Office for Asia Pacific
UNU-IAS	United Nations University-Institute of Advanced Studies
USD	United States dollars

## Project identification table

Project Title:	Building Capacity for Regionally Harmonized National Processes for Implementing CBD Provisions on Access to Genetic Resources and Sharing of Benefits		
Executing Agency:	ASEAN Centre for Biodiversity (ACB)		
Project partners:	ASEAN Secretariat, United Nations University-Institute of Advanced Studies (UNU-IAS), ASEAN Member States		
Geographical scope:	Regional		
Participating Countries:	Brunei, Indonesia, Cambodia, Lao PDR, Myanmar, Malaysia, Philippines, Singapore, Thailand, Timor-Leste, Vietnam		
GEF project ID:	3853	IMIS number:	GFL/2328-2740-4B96
Focal Area(s):	Biodiversity	GEF OP #:	N/A
GEF Strategic Priority/Objective:	SP8 BD SO4	GEF approval date:	16 March 2011
UNEP approval date:	20 May 2011	Date of first disbursement:	7 June 2011
Actual start date:	1 August 2011	Planned duration:	24 months
Intended completion date:	31 July 2013	Actual completion date:	30 June 2014
Project Type:	MSP	GEF Allocation:	USD750,000
PPG GEF cost:	-	PPG co-financing:	-
Expected MSP/FSP Co-financing:	USD750,000	Total Cost:	USD1,500,000
Mid-term review/eval. (planned date)	October 2012	Terminal Evaluation (actual date):	February 2014-March 2015
Mid-term review/eval. (actual date):	December 2012	No. of revisions:	2 <sup>1</sup>
Date of last Steering Committee meeting:	November 2013	Date of last revision:	July 2014
Disbursement:	USD703,027.06	Date of financial closure:	Expected: 31 December 2015
Date of Completion:	31 December 2014	Actual expenditures reported:	USD703,027.06
Total co-financing realized:	USD1,111,261.48	Actual expenditures entered in IMIS:	USD719,788.36 <sup>2</sup> incl. 2 evaluations up to USD16,761.70
Leveraged financing:	USD65,391.98		

<sup>1</sup> UNEP will prepare a third revision, the completion revision, after project accounts close.

<sup>2</sup> As of 10 March 2015. This figure may change somewhat by the date of financial closure.

# Executive Summary

## A. Introduction

- i. The project “Building capacity for regionally harmonized national processes for implementing CBD [Convention on Biological Diversity] provisions on access to genetic resources and sharing benefits [ABS]” was a Global Environment Facility (GEF) medium-sized project for the South East Asia region. Participating countries were the 10 Member States of the Association of South East Asian Nations (ASEAN)<sup>3</sup> and Timor-Leste. Brunei Darussalam and Singapore, both ASEAN Member States (AMS), are not eligible for GEF funding but the project invited them to participate in regional activities using their own resources. The project started on 1 August 2011 and completed on 30 June 2014.
- ii. The GEF Implementing Agency of the project was the United Nations Environment Programme (UNEP), initially through its Division of GEF Coordination and later through its Division of Environmental Policy Implementation (DEPI). The GEF Executing Agency was the ASEAN Centre for Biodiversity (ACB), in partnership with the ASEAN Secretariat, and United Nations University-Institute of Advanced Studies (UNU-IAS). ACB provided the Project Management Unit.
- iii. The total budget of the project was USD1,500,000: USD750,000 of GEF funding and USD750,000 of co-financing from three AMS, ACB and UNU-IAS. For this regional project, the original budget allocated more than 80% of GEF funding for activities at regional level including service contracts with global/regional organisations that provided assessments and capacity building support at the country level. It budgeted USD126,000, or slightly less than 17% of GEF funding, for sub-contracts with governments. In-kind co-financing and leveraged funding from external sources exceeded the amount anticipated in the project document, with co-financing and leveraged funding reported as of 23 March 2015 totaling USD1,176,653.46. The project actually expended USD719,788 of GEF funding, 24% of that amount through sub-contracts to government agencies for activities at national level.

## B. Findings and Conclusions

- iv. The key questions for this evaluation concerned relevance, achievement of outputs, effectiveness, sustainability and replicability, and factors affecting project performance. The overall rating for this project based on the evaluation findings is moderately satisfactory.
- v. The project final report indicated that the project achieved 97% of all project deliverables. The deliverable related to draft national ABS frameworks reached 88% achievement; the project reported all other deliverables 100% achieved. The overall rating on achievement of outputs is satisfactory.
- vi. **Project relevance.** The project was designed and implemented in response to GEF’s ongoing strategic priority for ABS and complemented UNEP’s priority of assisting countries to implement international environmental obligations. ABS was an ASEAN regional priority at the time the project was designed. In the opinion of National Project Coordinators at the end of the project, ABS was a national priority for most of the participating countries. The overall rating on relevance is satisfactory.

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<sup>3</sup> Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Viet Nam.

- vii. **Effectiveness.** The project enabled all countries that received project funding to work toward a national ABS framework to at least some degree. It enhanced stakeholders' motivation to participate in implementing ABS and, to a lesser degree, enhanced their capacity. The project provided opportunities for face-to-face interactions among project stakeholders that were more effective in enhancing cooperation and sharing of experiences than the project's web-based initiatives. It also added to understanding within the South East Asia region of the legal and technical issues associated with ABS, which should contribute to future policy analysis and decisions. The overall rating on attainment of direct outcomes is moderately satisfactory.
- viii. The likelihood of the project's outcomes leading to the impact/global environmental benefit will significantly depend on financial support from sources external to the South East Asia region. The project did not produce a regional-level strategy to sustain project outcomes but, by the end of the project, UNEP, ACB and individual countries had initiated efforts to secure follow-on funding. The overall prospects that the project will achieve the long-term impact are moderately likely.
- ix. One of the project goals and part of one of the project's three objectives were superseded by the adoption of the Nagoya Protocol before project implementation began. The project achieved its goal of assisting participating countries to implement ABS by providing the opportunity for them to complete a national policy and regulatory regime, make further progress in developing draft national ABS laws and regulations, or to develop, or build the foundation for developing, a draft national ABS framework. Almost all participating countries still need to build capacity to develop and implement domestic measures to regulate ABS. The project achieved its objective of increasing understanding and capacity to a lesser degree – stakeholders' participation in the project enhanced their motivation to participate in implementing ABS more than it was able to build their capacity to do so during the duration of the project. The overall rating on achievement of the project goal and planned objectives is moderately satisfactory.
- x. **Sustainability and replicability.** At the regional level, sustaining project outcomes will be entirely dependent on external funding. At the national level, the situation is somewhat more optimistic in some participating countries. The overall rating on financial sustainability is moderately unlikely.
- xi. At both national and regional levels there are socio-political factors, particularly whether governments take the lead to provide political and sectoral support and whether other stakeholders sustain their willingness to achieve outcomes, which could either positively support or negatively affect the sustainability of project outcomes. Overall, the outlook is more positive than negative and the overall rating on socio-political sustainability is moderately likely.
- xii. Half of the national government authorities responsible for ABS in the participating countries are perceived as having sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of the project. Regional institutions appear strong enough to carry out the necessary work to follow up on the project's outcomes. The overall rating on institutional sustainability is moderately likely.
- xiii. The degree to which the project enabled a "champion" institution or individual and the degree to which project outcomes will have a catalytic role in implementing ABS vary considerably from country to country. The project had little influence that would lead to adoption of a regional ABS framework. The overall rating on the project's catalytic role is moderately satisfactory and on replicability is moderately likely.
- xiv. **Factors affecting project performance.** Although the project document noted the wide disparity of needs and levels of experience among the participating countries, it did not take this into account in designing deliverables to be produced within the project's two-year time frame and

with the financial resources available. The project should have been better prepared for the scale of the variations in implementation arrangements at the national level and the time it would take to put them into place. Once implementation began, some of the design deficiencies were remedied, which allowed the project to make progress and meet almost all of its targets. The overall rating on preparation and readiness is moderately satisfactory.

- xv. Overall, the regional project partners appear to have played the roles expected of them and arrangements for project implementation and management were relatively responsive and adaptive. The project could have done more in terms of accommodating country-specific adaptations when it was clear that several country projects were struggling. The overall rating on project implementation and management is moderately satisfactory.
- xvi. Representatives of all of the ABS stakeholders the country projects identified participated in national consultations and workshops and most participated in at least one regional workshop. Participating countries received additional funding to produce awareness materials only after the project's no-cost extension. Nevertheless, project stakeholders in Lao PDR, the country the evaluation visited, perceived that understanding of ABS had increased to a high or very high degree. The overall rating on stakeholder participation and public awareness is moderately satisfactory.
- xvii. Three-quarters of NPCs reported that national government institutions in their countries assumed full responsibility or a great deal of responsibility for the project and provided all implementation support that the project requested. Private sector participation in the national projects was low but was greater at the regional level. The involvement of non-governmental organizations (NGOs) varied from country to country. The overall rating on country ownership and driven-ness is moderately satisfactory.
- xviii. Women were generally well-represented in national and regional project activities and outputs. Overall, youth were not well-represented in national project activities and outputs; the regional project did not use age as a basis for monitoring participation. Indigenous and local communities (ILCs) were well-represented in Philippines, whose laws require their participation, but overall were not well-represented in national activities, although national outputs from half of the countries that received project funding included provisions for ILC participation. Regional project outputs also included roles for ILCs in implementing ABS. The overall rating on gender and equity is moderately satisfactory.
- xix. Financial reporting was done regularly. Co-financing was significantly greater than anticipated, particularly from AMS, but project accounting did not provide a break-down indicating which participating countries made in-kind contributions and what they were. ACB secured additional leveraged funding. The overall rating on financial planning and management is satisfactory.
- xx. The UNEP Task Manager maintained active engagement with the project management team throughout the duration of the project, providing guidance on administrative issues and participating in project events. The overall rating on UNEP supervision and backstopping is satisfactory.
- xxi. The rating for M&E design is unsatisfactory, budgeting and funding for M&E was within UNEP parameters and therefore satisfactory, and M&E implementation was moderately satisfactory. The overall rating for monitoring and evaluation is, therefore, moderately satisfactory.

### C. Lessons

- xxii. **Lesson 1.** After securing country endorsement to prepare a proposal, it would be advisable for project designers to carry out in-depth consultations with potential participating countries and other partners to understand the capacities and needs specific to each country, and the

administrative context in which a project will have to function. The GEF Project Identification Form (PIF) template does not explicitly require this, but the issue could be addressed in the section on project justification. The ASEAN ABS Project is an example of how omitting this kind of context analysis at the design stage can impact a project's substantive work and create an uneven playing field for participating countries.

- xxiii. **Lesson 2.** Recognizing that there may be a lapse of a year or more between project development and implementation, it would be advisable for the designers of future projects to specifically build in an inception phase that requires a critical review of project design at start-up, with substantive input from all project partners. During such a substantive inception phase, future projects would do well to: update the actual situation in participating countries and in the region against the context at the time the project document was written; assess the time and funding proposed for implementation against actual national capacity to deliver; revise project components and deliverables accordingly; and develop work plans on this basis. Carrying out this kind of capacity assessment at the very beginning of a project should provide valuable insight on how to revise the components, outcomes, deliverables and activities to focus on a particular capacity gap or gaps for all countries, groups of countries, or even individual countries.
- xxiv. **Lesson 3.** If capacity assessments were not done as part of the project development process, these should be carried out at the beginning of the project, rather than after the project is already well into its implementation. If capacity assessments were done as part of the project development process and the results included in the project document, these should be reviewed and updated during the inception phase (see the lesson learned just above). This would provide a basis for revising the components, outcomes, deliverables and activities to focus on a particular capacity gap or gaps for all countries, groups of countries, or even individual countries.

#### **D. Recommendations**

- xxv. The following recommendations are made in the context of the sustainability of the project's results. They are framed with a view to the processes that are, or are likely to be, preparing to follow through on the project's outcomes, including project concepts and proposals in UNEP's and regional project partners' pipelines.
- xxvi. These recommendations are based on the evaluation's findings that this capacity building project was more effective in creating motivation than in actually building capacity at the national level; and that the most significant challenges the project faced were due to the fact that the project was not sufficiently prepared for the scale of the variations in implementation arrangements at the national level and the time it would take to put them into place and was unprepared to react quickly to apply country-specific adaptations when it was clear that several country projects were struggling.
- xxvii. **Recommendation 1: Expanded pre-design consultation.** For future ABS projects in the ASEAN region, project designers should use the capacity assessment report this project produced, review the recommendations for improving project management that national and regional project partners made that were based on their actual experience with implementing this project, and consult in-depth with potential participating countries to structure initiatives that are realistic within the scope of the funding and time available and that are achievable within the capacity of participating countries.
- xxviii. **Recommendation 2: Customize support to participating countries in regional ABS projects.** For future projects on ABS at a regional level, designers need to build in flexibility that would give project executing agencies and participating countries the opportunity to customize the project at national level and accommodate the administrative costs this would entail. Customizing

would allow for incremental steps in countries that need to build awareness and understanding before they can even begin to structure policy and regulatory systems.

- xxix. **Recommendation 3: Explicit connection between ABS and biodiversity conservation.** The project's third objective was to improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods. The project document highlighted that "[...]effective ABS strategies are needed to secure the conservation and sustainable use of the biodiversity of the countries,[...]" but it did not develop the connections among the three pillars of the CBD: conservation, sustainable use, and ABS. The Mid-Term Evaluation of the ASEAN ABS Project indicated that the environment criterion of the evaluation was not applicable. This evaluation nevertheless indicates issues that may arise in the context of ABS and environmental sustainability. The design of future ABS projects should not only make the connection between ABS and biodiversity conservation a basic element of the overall context for the project, but should explicitly integrate that connection into the project's objectives, components, activities and deliverables. It would be counter-productive to simply promote ABS for its own sake and/or as a means to generate revenue.

# Main report

## 1 Introduction

1. The project “Building capacity for regionally harmonized national processes for implementing CBD [Convention on Biological Diversity] provisions on access to genetic resources and sharing benefits [ABS]” was a Global Environment Facility (GEF) medium-sized project for the South East Asia region. This report will refer to the project as the ASEAN ABS Project. Participating countries were the 10 Member States of the Association of South East Asian Nations (ASEAN)<sup>4</sup> and Timor-Leste. Brunei Darussalam and Singapore, both ASEAN Member States (AMS), are not eligible for GEF funding. The project invited them to participate in regional activities using their own resources.
2. The project started on 1 August 2011 and completed on 30 June 2014. The total budget was USD1,500,000: USD750,000 of GEF funding and USD750,000 of co-financing. For this regional project, the original budget allocated more than 80% of GEF funding for activities at regional level. It allocated USD126,000, or slightly less than 17% of GEF funding, for sub-contracts with governments. The project actually expended slightly more than USD USD719,788 of GEF funding, 24% of that amount through sub-contracts to government agencies for activities at national level.
3. The project’s objectives were to:
  - Strengthen the capacity of South East Asian countries to implement the CBD provisions on ABS through the development of full and effective national ABS frameworks;
  - Increase understanding of ABS issues among stakeholders and the general public and strengthen national capacity for country negotiators to have full understanding of issues and preferred options in the negotiation on the international ABS regime in a way that protects national interests and promotes equitable benefit sharing; and
  - Improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods.
4. This terminal evaluation of the ASEAN ABS Project is part of an evaluation of a portfolio of five GEF projects the United Nations Environment Programme (UNEP) implemented to assist countries in complying with their international obligations related to ABS. It is conducted under a common set of Terms of Reference (ToRs) for the five projects in the portfolio – there are no separate ToRs for each individual project evaluation.

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<sup>4</sup> Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Viet Nam.

## 2 The Evaluation

### 2.1 Objectives

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

### 2.2 Approach

6. The evaluation followed UNEP's key evaluation principles, which require that evaluation findings and judgements be based on sound evidence and analysis, verified from different sources, and clearly documented. The ToRs for the evaluation required that the findings be based on a desk review of project documents and related UNEP/GEF documentation, interviews with project coordinators at the regional and country levels, and a visit to at least one participating country. The evaluation schedule is attached as Annex 2.
7. The evaluation used a participatory approach to the extent possible and consulted key project stakeholders during the evaluation process. The evaluation used quantitative and qualitative methods to determine project achievements against the expected outputs and outcomes and against projected impacts. In attempting to attribute any outcomes and impacts to the project, the evaluation considered the difference between what happened because of the project and what would have happened without the project. The evaluation also addresses the questions of why things happened and how they are likely to evolve.
8. The UNEP Evaluation Office (EO) agreed with the Portfolio Evaluation team to deviate somewhat from its standard practice for evaluations. Usually, the EO must accept the inception report for an evaluation before evaluators may make field visits. In the case of this evaluation, the EO wanted to take advantage of the opportunity presented by an international meeting for both the Portfolio Evaluation and the evaluation of the ASEAN ABS Project. The CBD Secretariat convened the Third Meeting of the Open-ended Ad Hoc Intergovernmental Committee for the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ICNP-3) in Pyeongchang, Republic of Korea. The ICNP-3 was held 24-28 February 2014, before the Portfolio Evaluation Team Leader and the evaluator for the ASEAN ABS Project were available to begin the evaluation in May. UNEP asked the two evaluators to attend the ICNP-3 before they could produce an inception report because it was a unique opportunity to make contact with almost all of the people who would be key informants for all five of the projects in the UNEP/GEF ABS Portfolio. During the ICNP-3, the ASEAN Centre for Biodiversity (ACB), which was the Executing Agency for the ASEAN ABS Project, organized group meetings with the National Project Coordinators (NPCs) from the participating countries. The evaluator for the ASEAN ABS Project conducted individual interviews with the NPCs, the representative of the United Nations University-Institute of Advanced Studies (UNU-IAS), and the Regional Project Coordinator, and met other ACB senior staff and the representative of the ASEAN Secretariat as a group. The list of individuals interviewed for this evaluation is in Annex 3.

9. During one group meeting at ICNP-3, the NPCs for the ASEAN ABS Project requested that the evaluation use a questionnaire<sup>5</sup> that would make it as easy as possible for them to provide information for the evaluation. They preferred not to answer questions in a one-time interview format, but to use a questionnaire that they could work on as time permitted. The evaluator developed a draft master questionnaire based on the evaluation ToRs and the ASEAN ABS project document which the EO reviewed, revised, and approved.
10. The UNEP EO then made another exception to its standard practice for evaluations and allowed a country visit before the inception report for the ASEAN ABS Project evaluation inception report was finalised, in order to test the questionnaire. The Team Leader for the Portfolio Evaluation and the evaluator for the ASEAN ABS Project visited Lao PDR together. Testing the questionnaire in Laos indicated that it did not need further revisions. The questionnaire is attached as Annex 4.
11. The ACB Executive Director sent an email to each country's NPC and ABS National Focal Point to introduce the evaluation and the evaluator. For project countries other than Lao PDR, ACB and NPCs recommended key stakeholders to whom the evaluator sent a more detailed explanation of the evaluation, along with the questionnaire. The list of institutions and individuals to whom the evaluator sent the questionnaire is in Annex 5. The evaluator followed up by email, Skype and telephone with everyone who received the questionnaire to encourage them to complete and return it and then to ask for clarifications on the answers, when necessary. In spite of these efforts, additional stakeholders in only two other countries – Philippines and Viet Nam – responded. The NPCs who answered questions – both during face-to-face interviews and on questionnaires – answered them in their capacity as NPCs. Seven of the NPCs were government employees and one was a professor in the national university (Timor-Leste). The Deputy NPC in Cambodia was also the ABS National Focal Point. All other stakeholders who submitted questionnaires did so in the capacity in which they were associated with or aware of the project.

The draft evaluation report was shared with key evaluation stakeholders (the UNEP Task Manager, national ABS focal points, national GEF focal points, the ASEAN Secretariat, ACB and UNU-IAS for comments. Comments were received only from the UNEP Task Manager and these were taken into account when finalizing this report.

## 2.3 Limitations

12. **Language** was a challenge for the evaluation of the ASEAN ABS Project, but not an insurmountable one. English is an official language in Philippines and Singapore and a second language in Brunei. In the other eight participating countries, national languages are the official languages. NPCs and some of the key stakeholders in each country where English is not in regular use are proficient in English, but even among some of the key stakeholders there are many who are much more comfortable responding to questions in their own language. UNEP acknowledged this and made it possible for a translator to work with the evaluation team during the visit to Lao PDR. The translator prepared a bilingual English/Lao version of the questionnaire to make it easier for national stakeholders to use and translated

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<sup>5</sup> The project had used questionnaires for other purposes at both national and regional levels. At least four countries – Cambodia, Lao PDR, Philippines, and Viet Nam – used questionnaires to gather information from stakeholders on their awareness and understanding of ABS. A regional consultant used a questionnaire to prepare an overview of the status of national ABS policy and law in all but one of the countries that participated in the project; Indonesia did not provide input for that overview.

their written comments into English. Funding was not available to translate the questionnaire into the other national languages.

13. **Representativeness.** No one country that participated in the ASEAN ABS project is representative of all, or any, of the others, so it was not possible to select a 'representative' country to visit for the evaluation. Representatives of ACB and UNU-IAS recommended that if the ASEAN ABS Project evaluation could make only one country visit, it should be to Lao PDR and the UNEP EO agreed with this recommendation.
14. Another issue related to representativeness is the fact that this evaluation is based in part on a small number of individuals' responses to questionnaires, who are not really representative for the countries or institutions they belong to. In addition, their responses are in all likelihood biased one way or another towards ABS and the project. The evaluation could not consider these responses as the main evidence base of the evaluation, as they had limited representativeness and objectivity if taken in isolation from other sources of evidence. The evidence base of the evaluation was therefore mainly documentary evidence and interviews with multiple stakeholders, while the questionnaires provided a complementary source of information.
15. In Lao PDR, evaluators were able to conduct individual interviews with a variety of ABS stakeholders to get a broad base of input on the project in that country. The evaluators interviewed 13 individuals in Lao PDR; nine of them also completed the questionnaire, which was available in a bilingual Lao/English version. The translator for the Lao PDR country visit voluntarily continued to follow up with national stakeholders until they submitted their questionnaires. Due to funding limitations, this degree of translation support and in-country follow-up was not available in any of the other seven countries that received project funding.
16. The project carried out a mid-term review (MTR) in November 2012 to assess progress with project implementation as of September/October 2012. Annex 6 reproduces the MTR's findings, recommendations, and lessons learned. Issues raised by the MTR are discussed throughout this report. The project addressed all of the MTR recommendations.

## 3 The Project

### 3.1 Context

17. This section provides an overview of how ABS is implemented in the broader regional and country context.

#### 3.1.1 Regional

18. **ASEAN** first circulated a draft of a regional ABS agreement in 2000. In August 2004, the ASEAN Senior Officials on the Environment finalised the draft ASEAN regional Framework Agreement on Access to Biological and Genetic Resources. At the time the ASEAN ABS Project was originally designed in 2006, one of the expected outputs was that the ASEAN Framework Agreement on ABS would be signed by all AMS. Under the project's revised key deliverables (see paragraphs 54-56, Annex 6 and Annex 7), one of the project activities was to promote the ASEAN Framework Agreement on ABS through stakeholder consultations. As of project completion, the Agreement was not yet in force.

19. **ACB.** ABS is an explicit part of ACB’s mandate. ACB promotes awareness and understanding of ABS as part of its overall operation and also through its other projects, where possible. For example, in June 2013 ACB issued a policy brief titled “An Urgent Need: Institutionalizing Access to Genetic Resources and Benefit Sharing in Southeast Asia”. The brief, funded through another ACB project, provided information on the ASEAN ABS Project and the draft ASEAN regional Framework Agreement on ABS.

### 3.1.2 National

20. All 11 countries that participated in the ASEAN ABS Project are Parties to the CBD and have therefore assumed the CBD’s obligations related to ABS.
21. **Brunei** is one of two AMS that are not eligible for GEF funding. The project document specified that Brunei would participate in the project’s regional activities at its own expense. The project document did not provide background information on the status of ABS in Brunei. According to its representative’s presentation at the fourth regional workshop in November 2013, Brunei was in the early stages of drafting and holding consultations for a national biodiversity law that would include ABS among the options for the scope of the future law. Brunei did not sign and, as of June 2015, had not acceded to the Nagoya Protocol.
22. **Cambodia.** At the time the project was designed, and still when implementation began, Cambodia had no policy or legislation directly addressing ABS, although the country had carried out some activities related to ABS. The project document noted that Cambodia lacked financial and technical resources for genetic resource management. At the time project implementation began, ABS was still a new issue for the Cambodian public. There was limited understanding of ABS issues and limited capacity to develop and implement ABS policy, as well as constraints on both human and financial resources. Cambodia signed the Nagoya Protocol in February 2012 and ratified it in January 2015.
23. **Indonesia.** As of 2002, Indonesia had developed a draft bill on genetic resource management.<sup>6</sup> The project document noted that, at the time the project was designed, Indonesia had also developed a concept, strategy and policy for ABS. Because the country lacked national expertise to implement its ABS policy, it had developed a bilateral coordination scheme to explore collaboration with international agencies and strategic alliances with the private sector. During the project period, Indonesia continued its ongoing process of drafting a national decree on genetic resource management. Indonesia did not sign a grant agreement with the ASEAN ABS Project (see paragraph 40) and carried out these activities using its own funding. Indonesia ratified the Nagoya Protocol in September 2013.
24. **Lao PDR.** At the time the project was designed, Lao PDR had a generalized lack of awareness about ABS that still existed when the project began implementation. The country acceded to the Nagoya Protocol in September 2012.
25. **Myanmar** acceded to the Nagoya Protocol in January 2014. There is a high degree of political will in the country to cooperate internationally but the country lacks implementation capacity at all levels. It does not have sufficient human resource capacity in

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<sup>6</sup> Antaranews.com. 2011. Indonesia to ratify Nagoya Protocol on access to genetic resources. 7 March. <http://www.antaranews.com/en/news/68871/indonesia-to-ratify-nagoya-protocol-on-access-to-genetic-resources>

the national government and in local communities to implement ABS. Limited domestic technical expertise means that Myanmar has a limited capacity to absorb financial support from external sources. Myanmar acceded to the Nagoya Protocol in January 2014.

26. **Malaysia** began drafting a national law on ABS in 1994 and has been continuously updating it since then. The project document noted that at the time the project was designed, Malaysia lacked the human and financial resources to fully exploit its genetic resources. From 2010-2012, the country executed a project funded by the United Nations Development Programme (UNDP) that supported the development of a national ABS regulatory framework, which the ASEAN ABS Project overlapped and complemented. Malaysia did not sign and, as of June 2015, had not acceded to the Nagoya Protocol.
27. **The Philippines** used an Executive Order to introduce the first national ABS regulatory regime in 1995. In 1996, to implement the Executive Order, the Department of Environment and Natural Resources issued administrative rules and regulations, which it repealed and replaced in 2005 with updated guidelines for bioprospecting activities. The Philippines has other national laws and administrative orders that regulate issues related to ABS. The Philippines did not sign and, as of June 2015, had not acceded to the Nagoya Protocol.
28. **Singapore** is one of two AMS that are not eligible for GEF funding. The project document specified that Singapore would participate in the project's regional activities at its own expense. The country uses an existing administrative system to implement ABS through the National Parks Board under the Ministry of National Development and Infrastructure. Singapore did not sign and, as of June 2015, had not acceded to the Nagoya Protocol.
29. **Thailand** began the process of drafting an ABS regulation in 2004. Following the adoption of the Nagoya Protocol in 2010, the government approved the Thai ABS Regulation (Criteria and Methods for Access to Biological Resources and the Sharing of Benefits from Biological Resources) on 11 January 2011 and published it in the Government Gazette on 4 March 2011. Thailand signed the Nagoya Protocol in January 2012 but, as of June 2015, had not ratified it.
30. **Timor-Leste**. At the time the project was designed, Timor-Leste was one of the world's newest countries, having re-gained its independence in 2002. The project document did not provide background information on the status of ABS in Timor-Leste. The National Biodiversity Strategy and Action Plan of Timor-Leste (2011-2020) outlined the country's strategy to raise public awareness and ratify and implement the Nagoya Protocol. In June 2012, Timor-Leste adopted its Basic Environment Law, which requires the government to develop a national strategy that assures ABS, but does not specifically require the government to regulate ABS. During 2011-2013, the country developed a draft Biodiversity Decree-Law that would regulate ABS and which was still undergoing consultations in 2014-2015. Timor-Leste did not sign and, as of June 2015, had not acceded to the Nagoya Protocol.
31. **Viet Nam**. Viet Nam's national Biodiversity Law, which entered into force on 1 July 2009, regulates ABS through a system of contracts and licenses. By 2012, the Government had initiated a process to develop implementing regulations for the Biodiversity Law, including the provisions on ABS. Viet Nam ratified the Nagoya Protocol in April 2014.

## 3.2 Objectives and components

32. The project objectives, as stated in the main text of the project document, were:

- Strengthen the capacity of Southeast Asian countries to implement the CBD provisions on ABS through the development of full and effective national ABS frameworks;
  - Increase understanding of ABS issues among stakeholders and the general public and strengthen national capacity for country negotiators to have full understanding of issues and preferred options in the negotiation on the international ABS regime in a way that protects national interests and promotes equitable benefit sharing; and
  - Improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods.
33. The logframe in Annex 4 of the project document gave only one project objective: development and implementation of ABS frameworks in the ASEAN member countries including Timor-Leste.
34. The project had four components and each component had one corresponding outcome:

**Table 1. Project components and outcomes**

<b>Component</b>	<b>Outcome</b>
Developing national ABS frameworks	Participating countries enabled towards agreement on national ABS frameworks
Strengthening stakeholder capacity	Enhanced capacity of and participation by stakeholders in development and implementation of national ABS frameworks
Regional cooperation and learning	Enhanced cooperation and sharing of learning experiences on ABS among participating countries' stakeholders
Moving towards harmonization of national, regional, and international ABS regimes	Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among ASEAN Member States (AMS) and Timor-Leste

### 3.3 Target areas/groups

35. The target area of the project was 11 countries in South East Asia: the 10 AMS (see paragraph 1 and footnote 4) and Timor-Leste.
36. The project document included a "Preliminary Generalized List of Stakeholders" that identified five stakeholders in Cambodia, 16 in Indonesia, 11 in Lao PDR, 18 in Malaysia, 24 in Philippines, seven in Thailand, and 29 in Viet Nam. The intention was that the project would start with stakeholder identification and an analysis of the needs of each stakeholder group with respect to ABS. The project document anticipated that project stakeholders would include national government agencies and institutions involved in the development and implementation of ABS and ABS-related national policies and regulations and those responsible for the following sectors: environment and natural resources; agriculture and rural development; aquaculture and fisheries; forests; science and technology, industry, trade and tourism. It also listed indigenous and local communities and their organizations, the private sector, research institutions, and academia as important ABS stakeholders. (See paragraph 84 on national stakeholder profile directories and section 4.6.3 on stakeholder participation.)

### 3.4 Key milestones and dates in project design and implementation

37. The GEF approved the project concept (Project Identification Form – PIF) in May 2009 and approved the project in March 2011. UNEP approved the project in May 2011. ACB signed the Project Cooperation Agreement with UNEP on 20 May 2011 and began executing the project on 1 August 2011. Between 1 August and 31 December 2011, the project hired a coordinator, two technical assistants and a financial assistant.
38. Between February and December 2012, ACB entered into grant agreements with eight participating countries (see paragraphs 39-45 and Annexes 6 and 8). In March 2012, UNEP approved revisions to the project components and key deliverables (see paragraphs 54-56 and Annex 7). The 2012 revisions to the project components and key deliverables were incorporated in the first project revision in July 2013, which granted a six-month no-cost extension of the technical duration of the project until 31 January 2014. The extension allowed ACB and participating countries to complete terminal reporting by 31 July 2014. Between August and December 2013, ACB amended the grant agreements with six countries to provide additional funding to produce awareness-raising materials (see paragraph 48 and Annex 8). Key milestones and dates in project design and implementation are set out in a table in Annex 9.

### 3.5 Implementation arrangements

39. ACB entered into grant agreements with eight countries: seven of the 10 AMS<sup>7</sup> – Cambodia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, Viet Nam – and Timor-Leste (see Annex 8). There was considerable delay in signing grant agreements with three countries: Timor-Leste, Thailand, and Myanmar signed grant agreements in October, November, and December 2012, respectively.
40. Although Indonesia is eligible for GEF funding, it did not sign a grant agreement. Indonesia's internal procedures for accepting international funding are time-consuming and, given the relatively short two-year time frame of the project and the relatively small amount of funding allocated to each country, the government determined that an agreement under the ASEAN ABS Project would not be cost-effective. In July 2013, when the first revision was prepared, UNEP asked ACB to exclude Indonesia from the budgets for national sub-contracted activities because the country had not signed a grant agreement. Although Indonesia did not sign a grant agreement, project funds were used to support the country's nominees to participate in regional workshops and International Project Steering Committee (IPSC) meetings.
41. According to the 2012 revised key deliverables for the project (see Annex 7), national and regional project partners were to collaborate to produce most deliverables and participating countries were always to have support from at least one regional project partner on every deliverable for which they were also responsible. Participating countries shared responsibility for 30 of the project's 33 outputs. The grant agreements called for countries to be individually responsible for delivering nine of the project's 33 outputs:
  - National ABS policy, legislative and institutional capacity assessment report (project deliverable 1.1/1.1.1)

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<sup>7</sup> Two AMS, Brunei and Singapore, are not eligible for GEF funding.

- Identify ABS National Focal Points (NFPs) and Competent National Authorities (CNAs) (project deliverable 1.1.2)
  - National consultation reports (project deliverable 1.3.2)
  - Profile directory of key stakeholders (project deliverable 2.1)
  - National ABS roadmap with a consensus/agreement/resolution from stakeholders supporting it (project deliverable 1.3) that includes:
    - National priorities to enhance ABS management (no corresponding project deliverable)
    - Draft policies or official instructions for a participatory approach (project deliverable 1.3.1)
    - Draft educational and informational materials (project deliverable 2.1.3)
    - Draft engagement strategy for all stakeholders, particularly indigenous and local communities (ILCs) (project deliverable 1.1.3)
  - Awareness materials in local languages (project deliverable 2.4.2).
42. The grant agreements also required countries to develop and deliver national priorities for ABS management. This was not mentioned in the project document and there was no corresponding project activity or deliverable in the 2012 revision of key deliverables. (Also see paragraphs 75-76 and 85.)
43. The grant agreements required seven countries to deliver all nine outputs. Cambodia negotiated with ACB to get an agreement that it felt was more in line with its existing capacity. As such, the grant agreement with Cambodia required that country to deliver only the following outputs: national ABS policy assessment report and a rapid assessment of legislative and institutional capacities, including a national consultation (project deliverable 1.1/1.1.1); profile directory of key stakeholders (project deliverable 2.1); and an engagement report on stakeholder participation (related to project deliverable 1.3.1).
44. Although Malaysia signed a grant agreement that required it to deliver the same outputs as all other countries, Malaysia used the project funding it received for other, related purposes because the outputs required by the ASEAN ABS Project were partly completed under an ABS project supported by UNDP (see paragraph 26). Malaysia used ASEAN ABS Project funds for the following activities:
- Dedicated national ABS core group meetings to update and fine tune the draft national ABS law;
  - A briefing on the final draft national ABS law which was held on 29th July 2013;
  - Participation of two officers to attend the ABS Clearing Housing Mechanism Workshop, the 3<sup>rd</sup> Ad-hoc Intergovernmental Committee on Nagoya Protocol (ICNP3) from 23 to 28 November 2014, as well as the ASEAN ABS terminal project evaluation held at the margin of the ICNP3; and
  - Second consultation session with the ILCs on the draft national ABS law on 18 March 2014.
45. ACB signed the first grant agreement with Cambodia in February 2012 and the last one with Myanmar in December 2012. The termination dates of the grant agreements varied, but all agreements terminated during the period February-July 2013. Due to the dates the countries signed their grant agreements, Cambodia and Viet Nam initially had the most time to deliver the required outputs – 10 months; Timor-Leste had the least time – five months. The no-cost

extension to 31 January 2014 increased, by six to 11.5 months, the time available to individual countries to deliver outputs (see Annex 8).

46. The project established an IPSC which met four times during project implementation. As a cost-saving measure, IPSC meetings were held back-to-back with the four regional workshops that the project convened. The IPSC met: at the inception of the project in October 2011; in August and December 2012; and in November 2013.

### 3.6 Project financing

47. The project document identified GEF financing for the project in the amount of USD750,000, which was 50% of the total projected cost of the project. The budget in the project document allocated USD126,000, or 16.8% of total GEF funding, to sub-contracts with governments. That amount was adjusted to slightly less than USD182,000, or 24% of total GEF funding, in the second budget reallocation (see paragraph 185). By the end of this regional project, slightly less than three-quarters of GEF funding had been expended for activities at regional level and slightly more than one-quarter for project activities at national level.
48. The original grant agreements provided each country with USD24,000 to cover the costs of delivering the specified outputs. In the third and fourth quarters of 2013, ACB amended the grant agreements with Cambodia, Lao PDR, Philippines, Thailand, Timor-Leste, and Viet Nam to make an additional USD10,000 available for awareness-raising activities. At the time they signed their amended grant agreements, Thailand had three and one-half months to complete the awareness-raising activities, Cambodia, Lao PDR, and Viet Nam had slightly more than two months each, and Philippines and Timor-Leste each had half a month (see Annex 8).
49. The project document indicated pledged in-kind co-financing of USD200,000 from ACB (13.33% of the total projected cost of the project) and USD100,000 from UNU-IAS (6.67% of the total projected cost of the project). The project document indicated pledged government contributions totalling USD450,000: Indonesia, USD100,000 (6.67% of the total projected cost of the project); Malaysia, USD200,000 (13.33%); and Philippines, USD150,000 (10%). In June 2010, Thailand confirmed that it would provide USD100,000 of in-kind co-financing. The letter from the Indonesian government dated 7 January 2011 endorsing the project did not offer co-financing and noted Thailand's co-financing contribution of USD100,000. The Project Cooperation Agreement that ACB signed with UNEP on 20 May 2011 and the July 2013 project revision indicated the original co-financing arrangement that included Indonesia rather than Thailand.
50. The review of financial planning and management is presented in section 4.6.6.

### 3.7 Project partners

51. **The ASEAN Centre for Biodiversity (ACB)** is an intergovernmental regional centre of excellence established in 2005. It is one of 10 ASEAN centres. ACB facilitates cooperation and coordination among AMS and with other national governments, regional and international organizations on the conservation and sustainable use of biodiversity, and the fair and equitable sharing of benefits arising from the use of such biodiversity. Among many other functions, ACB operates the regional CBD Clearing-House Mechanism (CHM) and provides links to each AMS CHM website.

52. **ASEAN Secretariat.** Five countries – Indonesia, Malaysia, Philippines, Singapore and Thailand – created ASEAN in 1967 and AMS foreign ministers set up the ASEAN Secretariat in 1976. The ASEAN Secretariat's basic functions are to provide for greater efficiency in the coordination of ASEAN organs and for more effective implementation of ASEAN projects and activities.
53. **The United Nations University-Institute of Advanced Studies (UNU-IAS)** carries out research, education and training in three thematic areas, one of which is natural capital and biodiversity. UNU-IAS is based in Tokyo, at the global headquarters of UNU. It is one of 13 institutes and programmes, located in 12 different countries, which together comprise UNU.

### 3.8 Changes in design during implementation

54. ACB and UNEP spent three months comprehensively revising the project's key deliverables, work plan and costed M&E plan before many aspects of project implementation could begin. This in turn delayed starting work at the national level because the project's overall key deliverables were the basis for the design of national work plans. (See Annex 7 for a comparison of the original and revised project components and key deliverables, and paragraph 208.) UNEP approved the revised overall work plan on 2 March 2012 and the final version of the key deliverables on 20 March 2012.
55. The justification for the no-cost extension requested for the first project revision in July 2013 was that overall progress with national workplans was at only 11% at the mid-point of the project (see Annex 6). Only three countries – Lao PDR, Malaysia, and Viet Nam – had completed a significant part of their commitments under their grant agreements and some regional outputs were dependent on completing activities at the national level. The underlying cause for the delays was that few of the country teams had adequate understanding of, and capacity to implement, ABS and were unable to make a timely start on their country programs. Country-specific delays were also due to restructuring of government agencies (Myanmar), conduct of national elections (Timor-Leste), observance of national administrative protocol (Thailand), identification of the national project leader (Philippines), and Indonesia's ultimate decision not to sign a grant agreement after more than a year of negotiations.
56. The July 2013 project revision did not revise the project goal or objectives, but did incorporate the revised key deliverables that UNEP had approved in 2012. Also in the July 2013 revision, UNEP and ACB agreed to delete Activity 2.2.1, which was to develop national ABS databases in two countries. UNEP had approved this activity in the final version of the key deliverables in March 2012, but implementation experience over the following year indicated that it was unrealistic to expect a participating country to develop and maintain an online resource on ABS. Instead, the project focused on developing the regional website (project output 2.2) to serve as a source of information on ABS (see Annex 6).

### 3.9 Reconstructed Theory of Change

57. The ASEAN ABS Project was designed, approved, and being implemented before UNEP required use of the Theory of Change (ToC) approach. Consequently, the project document did not include any analysis of causal pathways or consideration of future impacts. The project document did include a "Results Framework" in UNEP's logical framework structure. The project document did not identify drivers, but the text of the project document and the Results Framework included three 'assumptions' at the level of the project's objectives that are 'drivers' in the sense that UNEP uses the term (see paragraph 63). The project document

assumed that sustainability of project outcomes would be addressed during project implementation, stating, “It is [...] envisaged that at the national workshops during the project period, the sustainability of project outputs will be creatively addressed.” The project document also assumed that sustainability would be assured by regional institutions, stating, “[...] it is foreseen that post project activities will continue as the efforts of ASEAN have been internally driven”, and noted specific partnerships that ACB was expected to pursue to support AMS in mainstreaming ABS into national development processes. The project document noted that the project would produce an analysis of future needs to provide guidance for ASEAN on how to build on the ASEAN ABS Project. Participating countries analyzed their individual needs and presented them at the fourth regional workshop in November 2013. Those presentations did not consider causal pathways or future impacts, presumably because those issues were not part of the project’s design, implementation, or reporting. This evaluation therefore had to reconstruct the project’s ToC (see Figure 1). The reconstructed ToC uses elements from the project document to the extent. Annex 10 presents a diagram of the reconstructed ToC.

58. GEF investments require delivery of global environmental benefits (GEB) in focal areas that correspond to the subject matter of the principal multilateral environmental agreements (MEAs) whose implementation GEF supports. In the case of ABS, the focal area is biodiversity and the corresponding GEB is the third objective of the CBD: fair and equitable sharing of the benefits arising from the utilization of genetic resources, including by appropriate access to genetic resources.<sup>8</sup> The other two CBD objectives are: the conservation of biological diversity; and the sustainable use of its components.
59. The reconstructed impact for this project is: ABS contributes to the conservation of biodiversity and the sustainable use of its components. This impact focuses on the contribution ABS, the third CBD objective, can make to achieving the other two objectives of the CBD.
60. The project design identified four project outcomes (see paragraph 34 – Table 1). Project outcomes 1 and 2 were closely related as were outcomes 3 and 4. The reconstructed ToC reformulates the four project outcomes into two direct outcomes:
  - Enhanced stakeholder capacity to work towards national ABS frameworks; and
  - Enhanced cooperation, sharing of experiences, and common understanding of ABS issue among AMS and Timor-Leste.

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

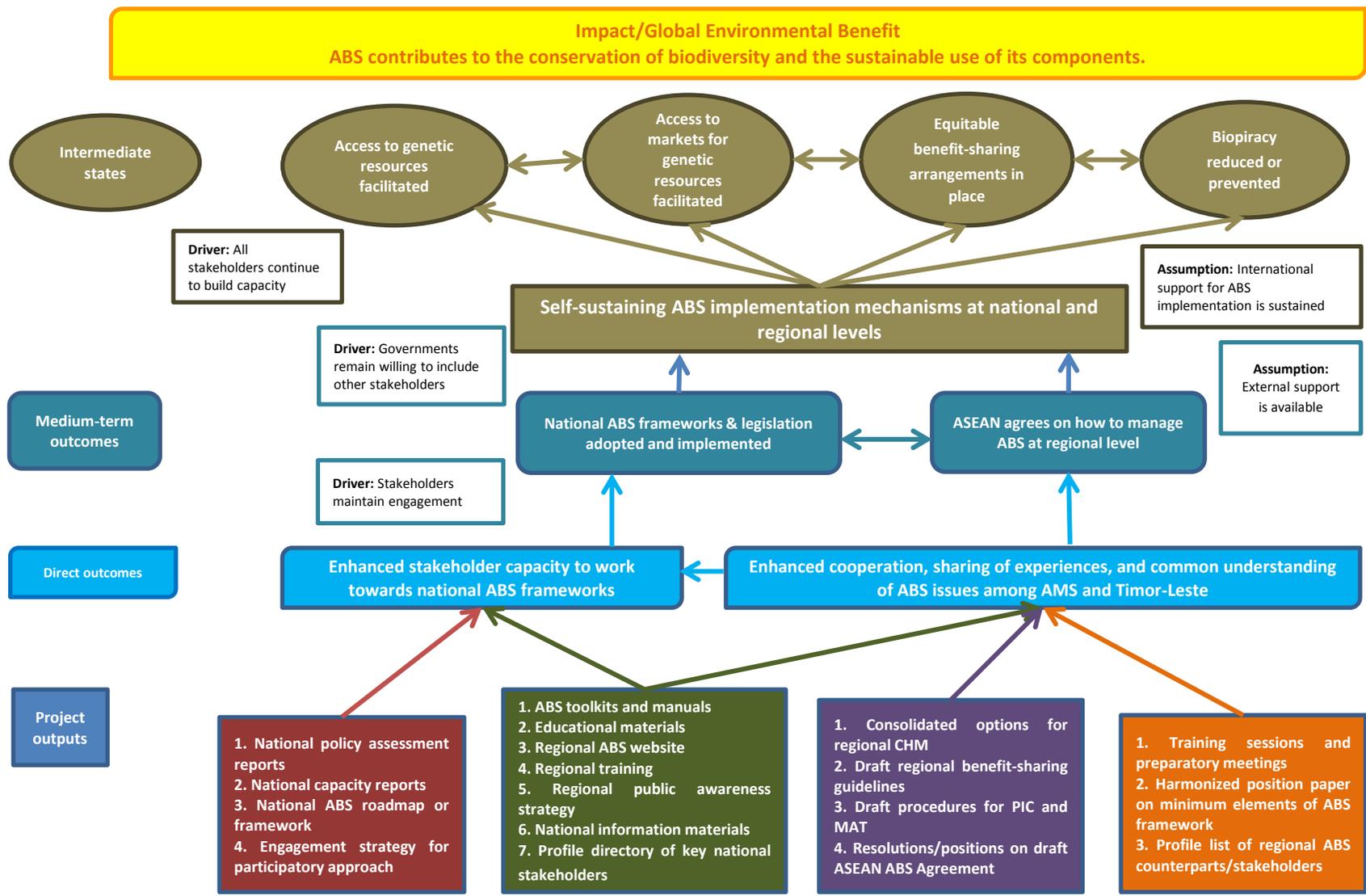


Figure 1. Reconstructed Theory of Change of the project

61. The reconstructed ToC identifies two medium-term outcomes on the causal pathway that the direct outcomes may be expected to open up:
- All AMS complete their national ABS policy frameworks and legislate and regulate to implement them; and
  - ASEAN reaches agreement on how to manage ABS at the regional level.
62. The reconstructed ToC identifies two successive levels of intermediate states through which the project's medium-term outcomes could move toward impact. The first is that self-sustaining ABS implementation mechanisms will be established and maintained at national and regional levels. As those self-sustaining mechanisms are put in place and function effectively, it will be possible to progress to the second level of intermediate states. The project document listed benefits that building capacity to implement ABS at the national level would generate. The reconstructed ToC reflects these benefits as four second-level intermediate states:
- Access to genetic resources has been facilitated;
  - Access to markets for genetic resources has been facilitated;
  - Equitable benefit sharing arrangements are in place; and
  - Biopiracy is reduced or prevented.
63. The reconstructed ToC reflects two of the project document's assumptions as common drivers for all three medium-term outcomes at the regional level: governments remain willing to involve other stakeholders and all stakeholders maintain their engagement. The reconstructed ToC reflects the third assumption in the project document as one common driver for all five intermediate states at the regional level: all stakeholders continue to build their capacity to a level that enables them to effectively implement ABS.
64. The assumptions that may affect progress from project outcomes to medium-term outcomes to intermediate states to impacts are the same for medium-term outcomes and intermediate states: external support for ABS implementation is available and sustained.

## 4 Evaluation Findings

65. The evaluation findings are based on: interviews on the sidelines of the ICNP-3 with representatives of ACB, UNU-IAS, and representatives of all participating countries except Brunei (see Annex3); all project documents listed in Annex 11; and responses to the questionnaire.
66. The project final report comprised: the final Project Implementation Review (PIR), for the period 1 July 2013 to 30 June 2014; an Annex 10 with an additional table on project status at the end of the project and a list of lessons learned (Annex 18 to this report); and the final capacity impact assessment report (see paragraphs 100-101 and Annex 17). Read together, the three PIRs that ACB submitted (see paragraph 208) provide a comprehensive overview of the project's progress along with objective critiques from ACB and the UNEP Task Manager. The table on project status at the end of the project was in addition to, and complemented, the progress table in the 2013-2014 PIR. ACB circulated the documents that comprised the final report to national project focal points, UNU-IAS, the ASEAN Secretariat and UNEP and received no comments. The report was well done and helpful for the evaluation.

67. Some participating countries requested not to be identified by name with respect to the evaluation findings. This anonymity has been preserved in cases where opinions were expressed regarding partner performance. However, the UNEP EO stipulated that, for accountability reasons, countries must be identified when use of project resources, co-financing and country performance in the delivery and use of project outputs are discussed.

## 4.1 Strategic relevance

68. GEF created a strategic objective and strategic program in the GEF biodiversity strategy for GEF-4 (1 July 2006 to 30 June 2010) entitled “Building Capacity on Access and Benefit Sharing (ABS)”, which carried over to GEF-5 (1 July 2010 to 30 June 2014).<sup>9</sup>
69. South East Asian countries have treated ABS as a priority issue for regional collaboration and harmonization, including through development of a draft regional framework agreement and by including ABS in a regional Action Plan for the period 2004-2010. The project document stated that the overall goals of the project were “[...] 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.” By the time the project was approved in 2011, the Nagoya Protocol had already been adopted, in October 2010, which meant that the goal of building capacity to effectively participate in negotiating it was no longer relevant.
70. At the time the project document was prepared, three countries that participated in the project – Indonesia, Philippines, and Viet Nam – had submitted to the CBD Secretariat (SCBD) national or thematic reports that identified the need to enact domestic ABS legislation. Indonesia and Viet Nam indicated at the time that implementing the ABS provisions of the CBD was a high priority while Philippines indicated that it was a medium priority. During the project period, Indonesia, Lao PDR, Myanmar, and Viet Nam ratified or acceded to the Nagoya Protocol. Cambodia and Thailand signed the Protocol during the project period, but had not ratified it when the project closed. Cambodia ratified the Nagoya Protocol in January 2015; Thailand had not ratified as of April 2015. Brunei, Malaysia, Philippines, Singapore, and Timor-Leste had neither signed nor acceded to the Protocol as of June 2015. At project completion, NPCs in seven countries felt that ABS was a priority for their countries, and two of them ranked it as a very high priority. The NPC in Timor-Leste indicated that ABS is a relatively low national priority.
71. The project document was highly satisfactory with respect to relevance because it documented the proposed participating countries’ expressions of need for capacity building on ABS and because it made a clear case for why the project’s intended results were likely to contribute to UNEPs Expected Accomplishments and programmatic objectives (also see section 4.6.9).
72. South East Asian countries have treated ABS as a priority issue for regional collaboration and harmonization for more than a decade. Half of AMS have ratified or acceded to the Nagoya Protocol and a sixth country has signed, although not yet ratified, the Protocol. The overall rating on relevance is satisfactory.

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<sup>9</sup> GEF maintains its strategic focus on ABS with GEF-6 (1 July 2014-30 June 2018). Under its Biodiversity Focal Area Strategy, GEF-6 includes Program 8: Implementing the Nagoya Protocol on Access and Benefit Sharing.

## 4.2 Achievement of outputs

73. The sources of information that were available to the evaluator for this section are listed in Annex 11.

### 4.2.1 National deliverables

74. National deliverables used 26% of the GEF contribution to the project, but had a disproportionate impact on delivery of the project as a whole (see paragraph 55).

75. The original description of the project's outcome 1 was "Development of national roadmaps for ABS regime in ASEAN countries". When the key deliverables were revised in March 2012, the project was re-organized into components. Component 1 was "Developing National ABS Frameworks" and a national roadmap became a deliverable (see Annex 7). All of the country grant agreements, except for Cambodia, which were signed after the key deliverables were revised and finalized in March 2012 (see paragraphs 38 and 53 and Annexes 7 and 8), included a 'national roadmap' as a deliverable and defined its components to be: national priorities to enhance ABS management; draft policies or official instructions for a participatory approach; draft educational and informational materials; and draft engagement strategy for all stakeholders, especially indigenous and local communities. Paragraph 41 explains how the components of the national ABS roadmap required under the grant agreements corresponded to the project's key deliverables.

76. The project final report indicated 100% achievement of all project deliverables with the exception of deliverable 1.1.3, the national ABS framework, which it indicated was 88% achieved. The deliverables for Output 1.1.3, as revised in March 2012, were: draft legislation or drafting instructions; administrative procedures for access and obtaining PIC; and a strategy for ongoing engagement of indigenous communities and resource providers (see Annex 7). None of the country grant agreements required a 'national ABS framework', draft legislation or drafting instructions, or administrative procedures for access and obtaining PIC as deliverables. The only deliverable common to both project output 1.1.3 and the elements of the national roadmap required under the country grant agreements was a stakeholder engagement strategy.

- The Lao PDR country project delivered and published a draft national ABS policy and national regulatory regime, which are comprehensive. Lao PDR's draft regime sets out ABS and PIC procedures and elements of a strategy for engaging stakeholders, including ILCs. The Lao PDR deliverable titled "The (Draft) National Framework of Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity" corresponds to project output 1.1.3.
- In Malaysia, the ASEAN ABS Project complemented a 2010-2012 UNDP ABS project (see paragraph 26) and contributed to finalizing a draft ABS bill and draft ABS regulations. The final draft bill and regulations are in Bahasa Malaysia, the national language. Malaysia's draft bill and draft ABS regulations correspond to project output 1.1.3.
- The project in Philippines used project outputs to contribute to developing a draft national ABS bill. The draft was not available for the evaluation. Philippines' draft national ABS bill corresponds to project output 1.1.3. Concerning the national roadmap, see paragraph 86.
- In Thailand, which already had a national ABS regulation, the project contributed to revising an assessment report on the status of national ABS implementation that the government had previously completed and arranged consultation meetings with all stakeholders on the updated report. The report, titled "Draft National Framework on Access and Benefit Sharing" is comprehensive and addresses all the elements of output 1.1.3. Cambodia's grant

agreement did not require the country to deliver a national roadmap and required only one of the elements of output 1.1.3 – a stakeholder engagement strategy. Nevertheless, the Cambodia country project developed a draft National Framework on Access and Benefit-sharing. The draft Framework has three strategic objectives: communication, education and public awareness; national ABS policy and legislation; and an enabling ABS program. For each strategic objective, the Framework identifies key actions to be taken, which include measures to involve ILCs. One section of the Framework outlines means of supporting implementation. The draft Framework does not specify ABS and PIC procedures, but provides for them to be developed. While the draft Framework is not drafting instructions per se, it can be used as a starting point for developing ABS policy and law.

- Myanmar completed a “Myanmar National Framework on ABS (Draft)” which has three chapters: ABS policy; administrative systems for ABS at national and sub-national levels; and public education, awareness and participation. The draft Framework includes provisions for mutually agreed terms, PIC, and for engaging with stakeholders, including ILCs. While the draft Framework is not drafting instructions per se, it can be used as a starting point for developing ABS policy and law. This deliverable corresponds to output 1.1.3.
- The Timor-Leste project did not complete a draft framework because it lacked the financial resources to do so. The UNU-IAS advisor, in his personal capacity, prepared an “Assessment of Timor-Leste’s Approach to Acceding to the Nagoya Protocol”. The report, dated May 2014, recommended that Timor-Leste accede to the Nagoya Protocol and issue ABS regulations under the draft Biodiversity Decree-Law, which was still under consideration as of July 2015. Drafting instructions, which include provisions for PIC procedures when resources are accessed from private land, are annexed to the report. The report does not explicitly provide PIC procedures for accessing resources on community land (Timor-Leste’s law creates three categories of land ownership – State, community, and individual) but the proposed procedures for accessing resources on private land could be adapted to do that. This deliverable corresponds to output 1.1.3.
- In Viet Nam, the project focused on the first component of the ‘national roadmap’ required under the country grant agreement – national priorities to enhance ABS management – rather than on output 1.1.3 (see paragraph 86).

#### *National ABS policy, legislative and institutional capacity assessment report*

77. The revised project deliverables approved in March 2012 identified this as one report (see Annex 7). ACB contracted a regional consultant to prepare policy assessments for Malaysia, Philippines, and Viet Nam (see paragraph 91).
78. The grant agreements required two reports: a policy assessment report and a legislative and institutional capacity assessment report. Each of the five countries that carried out these assessments as part of their country project delivered the assessments in different ways.
  - Cambodia combined the policy and legislative assessment and included in its mid-term progress report and completion report a table that listed the individual provisions of national policies and laws that are relevant for ABS and the Nagoya Protocol. The completion report included the institutional capacity assessment which found, among other things, that more than 60% of officials in national ministries relevant for ABS were unaware of the Nagoya Protocol.
  - Lao PDR’s assessment was included in its draft national ABS Framework (see paragraph 76 – first bullet).
  - Myanmar prepared one report, “National ABS Legislative and Institutional Capacity Assessment Report”. The report reviewed national laws in force and in draft that are

relevant for ABS and found that none of them have any provisions that can be used as a basis for implementing ABS. The report also reviewed national institutions that are relevant for implementing ABS and identified gaps.

- Thailand’s policy, legislation, and institutional analysis was one chapter of its Draft National Framework on Access and Benefit Sharing. This comprehensive report highlighted overlaps in legislation and institutional jurisdiction (also see paragraph 76).
  - Timor-Leste prepared a comprehensive and detailed “Appraisal of current laws and regulations relevant to the Nagoya Protocol in Timor-Leste”, which included the policy, legislative and institutional assessment (also see paragraph 76).
79. During the fourth and final regional workshop, held in November 2013, representatives of six countries (Lao PDR, Malaysia, Philippines, Singapore, Thailand, and Timor-Leste) made presentations that included at least one slide titled “Review and assessment of ABS policies”, comparing national measures to key elements of the Nagoya Protocol. Brunei’s presentation provided a list of existing national laws that are relevant for ABS. The Cambodia presentation included one page of the table from its mid-term progress report (see paragraph 78). Viet Nam’s presentation summarized provisions in existing national laws.
80. The same regional consultant contracted for the policy assessments also circulated a questionnaire, compiled a table of responses on the status of national ABS policy and law from all project countries except Indonesia, and annexed the table and an analysis of the country responses to the report of a session of the December 2012 regional training workshop. The session focused on how to implement the Nagoya Protocol in national legislation and how to prepare a national roadmap for that process. The report noted that one of the main problems during the workshop “[...] arose from the asymmetrical command of the English language, as well as, perhaps, unfamiliarity with the subject matter of ABS and the Protocol. This hampered feedback and interventions by participants from some countries.” This comment in the training workshop report documented the two principal challenges that regional and national project partners cited for implementing ABS at national level – language, and generally low levels of understanding of what ABS is. The workshop used the countries’ responses to the questionnaire to elicit responses from participants and the workshop report documented their questions and comments in detail. The workshop report provided what could have been very useful guidance for re-focusing project activities at the time of the July 2013 project revision, but it is not clear whether it was used for that purpose.
81. ACB adapted a capacity self-assessment tool from guidelines for monitoring capacity development in GEF projects. Project participants carried out three self-assessments: a baseline assessment during the second regional workshop, in August 2012; a mid-term assessment during the third regional workshop in December 2012; and a final assessment during the fourth regional workshop in November 2013 (see paragraph 100). The report of the final assessment is in Annex 17. (Also see Annex 6.)

#### *Identify ABS National Focal Points and Competent National Authorities*

82. The grant agreements for seven countries (see paragraph 41) required those countries to submit with their final reports the official documents appointing the countries’ NFP and CNA for ABS. ACB reported that representatives of CNAs for all participating countries were identified during nominations to participate in regional workshops. At the time the project

closed and countries submitted their final reports, only three of the countries that signed project grant agreements had ratified or acceded to the Protocol (see paragraph 70) and, according to the Nagoya Protocol website, only one of those countries had appointed a NFP. According to the Nagoya Protocol website as of 15 May 2015<sup>10</sup>, all project countries except for Brunei had appointed at least one NFP. The Country Profiles linked to the Nagoya Protocol website for the 11 countries that participated in the ASEAN ABS Project do not show that these countries have designated a CNA for ABS. Country Profiles for other, non-ASEAN countries do provide information on CNAs for ABS, which indicates that none of the countries that participated in the ASEAN ABS Project have designated a CNA or, if they have, they have not communicated that information to the SCBD.

### *National consultation reports*

83. Key deliverable 1.3.2 included reports of two national consultations/workshops in each participating country. Country grant agreements required all countries except Cambodia to provide documentation of national consultations. Cambodia included photos from four national consultations in its completion report. Lao PDR's completion report included summaries of seven national consultation/information-sharing events and comprehensive reports of one national workshop and one national consultation. Malaysia's completion report annexed reports on three ABS core group meetings funded by the project. Myanmar's completion report annexed the proceedings of two national ABS workshops. Philippines' completion report documented the results of three ABS roadmap workshops. Thailand's completion report noted that the country project convened a consultation workshop to consult all relevant stakeholders on the draft national framework. In Timor-Leste, the project convened a seminar that provided the basis for an ABS brochure (see Annex 13) as well as an ABS road map consultancy workshop. Viet Nam's completion report included the minutes of six consultation meetings plus summaries and photos of two national consultation workshops. These reports indicated useful discussions while highlighting the general low level of awareness about ABS and the need to continue and enhance efforts to raise awareness about the issues involved.

### *Profile directory of key stakeholders*

84. The regional training event on stakeholder mapping was part of the second regional workshop, held in August 2012, one year after project implementation began. Individual country project completion reports included the stakeholder directory. Annex 12 provides the breakdown by stakeholder category for all countries, and section 4.6.3 discusses stakeholder participation.

### *National ABS roadmap*

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<sup>10</sup> Brunei: <http://www.cbd.int/countries/default.shtml?country=bn>  
Cambodia: <http://www.cbd.int/countries/default.shtml?country=kh>  
Indonesia: <http://www.cbd.int/countries/default.shtml?country=id>  
Lao PDR: <http://www.cbd.int/countries/default.shtml?country=la>  
Malaysia: <http://www.cbd.int/countries/default.shtml?country=my>  
Myanmar: <http://www.cbd.int/countries/default.shtml?country=mm>  
Philippines: <http://www.cbd.int/countries/default.shtml?country=ph>  
Singapore: <http://www.cbd.int/countries/default.shtml?country=sg>  
Thailand: <http://www.cbd.int/countries/default.shtml?country=th>  
Timor-Leste: <http://www.cbd.int/countries/default.shtml?country=tl>  
Viet Nam: <http://www.cbd.int/countries/default.shtml?country=vn>

85. The key deliverables, as revised in March 2012 listed a “national roadmap for ABS framework” as one output of project activity 1.3, which was: “educate stakeholders on situational conditionalities/ implications that will generate commitments for harmonization of the ABS national frameworks to the extent possible”. The other output for the same activity was “a consensus/agreement/resolution in each country by stakeholders in support of harmonizing ABS national framework” (see Annex 7). A national ABS roadmap, as required under seven of the grant agreements, encompassed all or part of the deliverables for four different project activities: 1.3; 1.1.3; 1.3.1; and 2.1.3. Country deliverables for project outputs 1.1.3 and 1.3 included references or provisions for engaging with stakeholders, but which do not appear to fully meet the intent of “policy and/or official instructions for a participatory approach from all participating countries” that deliverable 1.3.1 called for.
86. Philippines conducted three workshops on the national roadmap and Timor-Leste convened one. Viet Nam delivered a report titled “Identification of National Priorities on Improving the Management Capacity for Access to Genetic Resources and Benefit Sharing in Vietnam”, which includes a “Roadmap for Implementation of the Nagoya Protocol on ABS in Vietnam”, which lists seven priorities to be addressed between 2013 and 2020: accession to the Nagoya Protocol on ABS and approval of the ASEAN ABS Framework Agreement; developing the national legal regime for ABS; developing ABS policies; building capacity for ABS management and research; implementing pilot ABS models; developing an ABS database; implementing communication and awareness raising for ABS. The report also identified the need to engage with ethnic minorities.
87. The regional training workshop held in December 2012 included a session designed to build the capacity of key stakeholders to develop a national roadmap towards the enactment of an ABS legal framework. During the fourth and final regional workshop, held in November 2013, representatives of nine countries (Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor-Leste, and Viet Nam) made presentations that included at least one slide titled “ABS Roadmap” that listed issues for the country in acceding to the Nagoya Protocol and/or implementing ABS, and summarized what needs to be done to address the issues, who has the lead to deal with each issue, who needs to be involved, and what the capacity needs are. Cambodia’s presentation indicated that the country had already taken all necessary steps toward ratification (see paragraph 22). These summary roadmaps were prepared on the basis of the guidance provided during the regional training workshop. They are simple and, for the most part, clear and could be useful if they were made available and explained to the institutions and individuals identified in them.

#### *Awareness materials in local languages*

88. Six countries received USD10,000 additional funding for this deliverable (see paragraph 48). These materials were part of the ‘national roadmap’ as specified in the country grant agreements (see paragraphs 41 and 85-87). Annex 13 lists the materials each country produced.

#### *Note on country deliverables*

89. Countries’ deliverables complied with the spirit of the project, if not always with the letter of their grant agreements. The revised key deliverables identified outputs somewhat differently than the country grant agreements did. This meant that Viet Nam, for example, generated deliverables according to the grant agreement, which did not include all of the project key deliverables that countries were expected to produce. Cambodia delivered more outputs than it had negotiated for in its grant agreement. Malaysia used project funding for activities that were not specified in its grant agreement because another ABS project in the

country had already achieved some of the ASEAN ABS Project deliverables. The country deliverables were generally comprehensive and should provide important inputs for each country as it proceeds with its initiatives to accede to the Nagoya Protocol and implement ABS.

## 4.2.2 Regional deliverables

### 4.2.2.1 Component 1

90. The grant agreements assigned most of the Component 1 deliverables to countries. The Component 1 deliverables which regional project partners were expected to produce were:
- A consolidated policy review document covering the countries with ABS regimes prior to project start (project deliverable 1.1.4); and
  - ABS toolkits and manuals (project deliverable 1.2.1).
91. ACB contracted a regional consultant to prepare policy assessments for the countries that had ABS regimes prior to the start of the project. Philippines, Thailand and Viet Nam had national laws and/or regulations on ABS in force before project implementation began; Malaysia did not. The consultant prepared separate policy assessments for Malaysia, Philippines, and Viet Nam, rather than one consolidated document. The three national reviews did not address national policies; they analysed the provisions of Philippines' and Vietnam's legal instruments and Malaysia's draft bill. The reviews assessed the compatibility of the legal instruments and draft bill with the Nagoya Protocol and, for Philippines and Viet Nam, made specific recommendations on how to amend those national legal instruments to comply with the Protocol. The reviews are good quality and provide useful information that each of the three countries could take into account in implementing ABS and the Nagoya Protocol.
92. The project distributed the ABS Management Tool during the second regional workshop and used it again as a reference during the third regional workshop (project deliverable 1.2.1). The ABS Management Tool (ABS-MT) was not a project output. The International Institute for Sustainable Development first published it in 2007. In 2012, the UNU-IAS advisor to the ASEAN ABS Project and the original author updated the ABS-MT to incorporate the Nagoya Protocol. The ABS-MT is available on the project website<sup>11</sup> and through a link on the CBD website<sup>12</sup>. Viet Nam translated the ABS-MT into Vietnamese and held three national consultations based on it, and Lao PDR, Myanmar, and Timor-Leste also used it in national workshops.

### 4.2.2.2 Components 2 and 3

93. Under the grant agreements, countries were responsible for two of the deliverables under Component 2, Strengthening stakeholder capacity (see paragraph 41). ACB and UNU-IAS were primarily responsible for the other deliverables under Component 2 and for all deliverables under Component 3, Regional cooperation and learning (see Annex 7).

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<sup>11</sup> Southeast Asia Regional Capacity Building on Access and Benefit Sharing. [http://abs.aseanbiodiversity.org/index.php?option=com\\_content&view=featured&Itemid=101](http://abs.aseanbiodiversity.org/index.php?option=com_content&view=featured&Itemid=101)

<sup>12</sup> Stratos Inc. in cooperation with Geoff Burton and Jorge Cabrera. 2012. *ABS Management Tool. Best Practice Standard and Handbook for Implementing Genetic Resource Access and Benefit-Sharing Activities*. [http://www.sib.admin.ch/fileadmin/chm-dateien/ABS-Protokoll/ABS\\_MT/Updated\\_ABS\\_Management\\_Tool\\_May\\_2012.pdf](http://www.sib.admin.ch/fileadmin/chm-dateien/ABS-Protokoll/ABS_MT/Updated_ABS_Management_Tool_May_2012.pdf)

94. Five deliverables in Components 2 and 3 were related to regional information sharing: regional ABS website (deliverable 2.2); network/E-mail group of government-appointed ABS NFPs and CNAs (deliverable 2.3); a region-wide web-based information sharing network and learning facility (deliverable 3.1) with two components –a help desk (deliverable 3.1.1) and a consolidated list of options, priorities and modalities for the regional CHM (deliverable 3.1.2); and a monthly online forum/network of regional ABS specialists (deliverable 3.2.2).

#### *Component 2*

95. ACB organized four regional workshops that included training sessions and distributed the ABS-MT and other materials during those workshops (deliverables 2.1.1, 2.1.2, 2.3.2, and 2.3.3). ACB posted the workshop reports, along with presentations and other workshop materials, on the regional ABS website (see paragraph 109) within two months of each workshop. National projects conducted a total of 46 workshops and meetings, some of which involved training.
96. The regional ABS website (deliverable 2.2) was online by September 2012 (see Annex 6). It is linked to the regional Clearing-House Mechanism (CHM), which ACB maintains<sup>13</sup>, and to national CHMs. The website includes links to reports of regional workshops including some of the presentations made and has a forum page where users can post questions and comments, although few have done so. Three NPCs rated the website as good quality and one rated it as high quality. One NPC found the website very useful, one found it useful, and one found it somewhat useful. ACB indicated that it will continue maintaining and updating the website as a learning facility on ABS for the general public.
97. Stakeholder activity in the project's virtual networks – the e-mail network of government-appointed ABS NFPs and CNAs (deliverable 2.3, see paragraph 82) and the monthly online forum (deliverable 3.2.2) – was sporadic. More active regional networking took place during face-to-face meetings, including the regional workshops. ACB used the network/E-mail group to send bulk e-mail with information about regional activities, but the network did not generate group discussion. The monthly online forum/network of regional ABS specialists was rarely convened (less than 50% of the time). Two NPCs thought the forum was of moderate quality; one of them indicated that it was somewhat useful and the other found it to be of little use because there was such a small pool of users. Other reasons why the virtual networks were not successful include the fact that not all ABS stakeholders have ready internet access and some have language difficulties because the online resources are in English (see paragraph 80).<sup>14</sup>
98. ACB produced an analysis of regional public awareness needs and a menu of activities that it presented as a PowerPoint presentation in the second regional workshop. As it did with the ABS-MT (paragraph 92), for deliverable 2.4.1 the project did not produce its own output but relied on a public awareness toolkit prepared by the SCBD and IUCN<sup>15</sup>, which provides examples of activities that have been carried out at national and regional levels.
99. During the fourth regional workshop, in November 2013, representatives of seven countries (Indonesia, Lao PDR, Malaysia, Philippines, Singapore, Thailand, and Viet Nam) made

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<sup>13</sup> Biodiversity Information Sharing Service (ASEAN Clearing House Mechanism). <http://chm.aseanbiodiversity.org/>

<sup>14</sup> English will be the official working language of the ASEAN Economic Community, which is scheduled to be fully launched by the end of 2015.

<sup>15</sup> F. Hesselink et al. 2007. *Communication, Education and Public Awareness (CEPA): A Toolkit for National Focal Points and NBSAP Coordinators*. Secretariat of the Convention on Biological Diversity and IUCN: Montreal, Canada.

presentations that included at least one slide titled “Assessment of Capacities”. Together, the presentations identified 17 areas in which capacity needed to be strengthened. Six of the seven presentations (all except Viet Nam) indicated that those countries need to continue to build capacity for developing, implementing, monitoring, and enforcing compliance with domestic legislative, administrative and policy measures on ABS, including patent enforcement. Three presentations (Lao PDR, Philippines, and Viet Nam) showed that those countries need greater capacity for information sharing generally and documentation and establishing ABS databases in particular (see Annex 6). Six of the 15 areas for strengthening capacity were common to only two countries and the remaining seven areas were specific to an individual country (see Annex 14).

100. The project used a capacity self-assessment tool that ACB adapted from guidelines for monitoring capacity development in GEF projects. The tool used 11 indicators to measure capacity in four areas: capacities for engagement; capacities to generate, access and use information and knowledge; capacities for strategy, policy and legislation development; and capacities for management and implementation. Project participants carried out three self-assessments: a baseline assessment during the second regional workshop in August 2012; a mid-term assessment during the third regional workshop in December 2012; and a final assessment during the fourth regional workshop in November 2013. Three countries did not participate in the capacity self-assessment. ACB’s full report of the final capacity assessment (deliverable 2.3.1) is in Annex 17. Also see Annex 6.
101. According to the report of the final capacity assessment (Annex 17), respondents from four countries perceived that their countries had increased capacity overall, across all indicators, as a result of the project. Respondents from three countries perceived that their countries had a fractional decrease in capacity overall, across all indicators, and respondents from one country perceived no change. In spite of the overall ratings, 10 of the 11 indicators showed a marked positive change. The report noted that this difference could be attributed to the fact that some of the project-end survey respondents were different from the baseline survey respondents.

### *Component 3*

102. According to the 2012 revised deliverables, each participating country was supposed to create an ABS help desk (deliverable 3.1.1). Instead, ACB’s regional project team functioned as a regional help desk (see paragraph 56). Participants in the second regional workshop in August 2012 identified options, priorities and modalities for the regional CHM. ACB consolidated this information into a report “A Consolidated List of Favored Options, Priorities and Modalities for Regional Clearing-House Mechanism and Information Needs” (deliverable 3.1.2). The report found that:... participating countries require capacity-building for information discovery, sharing and management more than information-sharing. They also require information presented in local languages and information on the progress of ABS activities, including best practices and list of experts.” The regional and national CHM websites have incorporated some of the results of the regional workshop discussion and the report. All of the CHM websites may be expected to continue to improve as capacity for information discovery and management is enhanced; this will be an ongoing process.
103. Three deliverables were related to promoting the draft ASEAN ABS Framework Agreement: a regional stakeholder consultation; a national stakeholder consultation; and resolutions supporting the Agreement from AMS that had not yet signed it (deliverable 3.3). The second International Project Steering Committee (IPSC) meeting, in August 2012, observed that the focus of the project was on capacity building and not on consensus building. The Steering Committee noted that further discussion on consensus statements

should follow the ASEAN process through the ASEAN Working Group on Nature Conservation and Biodiversity and the ASEAN Senior Officials on the Environment.

#### 4.2.2.3 Component 4

104. ACB and UNU-IAS were primarily responsible for the deliverables under Component 4 (see Annex 7). Two of the three deliverables for this component were reports (deliverables 4.1, 4.3), one of which was to indicate the profile of national ABS stakeholders who attended the project's regional workshops. This was done with the list of participants in the report of each regional workshop, rather than with a single report. Annex 16 provides a breakdown of participation by country and by stakeholder group.. The third deliverable was a position paper on minimum elements for an ABS framework (deliverable 4.2). UNU-IAS had presented and discussed key elements on prior informed consent, mutually agreed terms, traditional knowledge and compliance during the first three regional workshops and at national meetings in the countries the UNU-IAS advisor visited (see paragraph 152). At the fourth regional workshop, in November 2013, ACB distributed this deliverable as a series of nine policy briefs, which are available on the project website.
105. The project final report indicated 100% achievement of all project deliverables with one exception, which was 88% achieved. The form in which individual countries achieved outputs varied from country to country, partly due to inconsistencies between the project deliverables and deliverables under the grant agreements and partly due to the fact that some countries had already achieved some project deliverables before the project began. Nevertheless, the outputs that countries produced met the project's overall objectives (paragraph 32). At the regional level, the project did not attempt to 're-invent the wheel'. It relied on international toolkits and packaged internationally-available information on ABS for the ASEAN context. The project's internet-based deliverables were less successful, but given the relatively limited time and funding available, the overall rating on achievement of outputs is satisfactory.

### 4.3 Effectiveness: Attainment of project objectives and results

106. The project design did not use the Theory of Change approach and consequently did not include any analysis of causal pathways or consideration of future impacts. The reconstructed ToC consolidates the four project outcomes into two direct outcomes (see Section 3.9 and Annex 10).

#### 4.3.1 Achievement of direct outcomes

107. **Direct Outcome 1: Enhanced stakeholder capacity to work towards national ABS frameworks.** The project enabled all countries that received project funding to work toward a national ABS framework to at least some degree (see paragraph 76). NPCs and other national respondents perceived that stakeholders' participation in the project enhanced their motivation to participate in implementing ABS. It also enhanced stakeholders' capacity to develop and implement national ABS frameworks, but to a lesser extent (see paragraphs 76, 100, 102, and Annex 14). There are explicit linkages forward in the case of two countries that received project funding and implicit linkages forward at the regional level and in the cases of four other countries that received project funding. One country reported no concrete plans to follow up on the results of the project. The project created motivation, but at the end of the project it was not clear how that motivation would be channelled into concrete steps to continue building capacity at the national level in each participating country over the long term.

108. **Direct Outcome 2: Enhanced cooperation, sharing of experiences, and common understanding of ABS issue among AMS and Timor-Leste.** All project partners rated this outcome as the one most relevant for the ASEAN region. The project brought together national stakeholders and international experts and provided an opportunity to air issues related to regulating and implementing ABS. The platform the project provided allowed stakeholders to express diverse opinions and share experience. The project added to understanding within the South East Asia region of the legal and technical issues associated with ABS, which should contribute to future policy analysis and decisions. The project final report did not identify specific areas of cooperation that the project had enhanced or provide evidence of cooperation other than sharing of experiences.. Some of the constraints on information sharing that existed during the project and at project end were due in part to the significant variability in internet access and English language capacity among national stakeholders, which should improve over time (see Annex 6). But it is unclear how ACB alone, or even in collaboration with the ASEAN Secretariat, will be able to generate sufficient external financial resources to maintain effective information sharing at a sustained level that would lead to the ultimate impact/global environmental benefit. As stakeholders cooperate and share experiences, however that happens, they will improve their common understanding of ABS issues.
109. The overall rating on attainment of direct outcomes is moderately satisfactory.

#### 4.3.2 Likelihood of impact

110. The discussion of the likelihood of impact cannot be disconnected from the discussion of sustainability of direct project outcomes, because it will take a long time to achieve longer term outcomes, intermediate states and impact, well beyond the project lifetime. The immediate project results need to be sustained well beyond project completion, and additional follow-up activities will be required for the intended impact to occur. The project document did not articulate, or call for development of, a strategy to sustain project outcomes and did not consider pathways toward impact. The project design unsatisfactorily assumed that the ASEAN Secretariat and ACB would jointly ensure the sustainability of the project's outcomes.
111. The likelihood of the project's outcomes leading to the impact/global environmental benefit will depend on support from sources external to the South East Asia region. Regional respondents expressed the common opinion that the sustainability of the outcomes of the project at the regional level will depend completely on continued external financial support and that there will be no follow-up work without it. NPCs and other country respondents noted that follow-up work will require substantial external financial support over the long term, particularly for capacity building at national scale, but did not indicate that follow-up work would depend entirely on external support (see paragraphs 124-125).
112. The project did not produce a regional-level strategy to sustain project outcomes that would lead to the reconstructed impact. By the end of the project, UNEP was preparing to develop a proposal that would again partner with ACB and UNU-IAS to focus on follow-up work in selected countries in the South East Asia region. The ASEAN Secretariat indicated that ACB has a project in the pipeline to collaborate with India on ABS. Measures designed to move towards the intermediate states proposed in the reconstructed ToC have started, but have not yet produced results.

*What would have happened anyway, without the ASEAN ABS Project?*

113. By the time project implementation began, five of the 11 participating countries already had legal and/or administrative mechanisms for implementing ABS, and two

countries and ASEAN had draft mechanisms (see paragraphs 21-31). It may be assumed that these seven countries and the ASEAN Secretariat would have continued to implement or promote adoption of their ABS frameworks, whether or not GEF support had been available. Adoption of the Nagoya Protocol shortly before project implementation started may have provided an incentive for all project partners to take up implementing ABS as a higher priority, independent of the project. Without the project, all participating countries and the ASEAN Secretariat would have proceeded at the paces dictated by their own priorities and procedures, without the impetus provided by the project for these processes to move more quickly.

#### *What happened because of the ASEAN ABS Project?*

114. Possibly the project's most important achievements are that it inspired country ownership (see paragraph 172), raised awareness, and created motivation to implement ABS (see paragraph 169). This was due at least in part to the fact that the project engaged national authorities and enabled countries to produce information on ABS in national languages. These intangible achievements have the potential to stimulate the participating countries to undertake further efforts at the national level to implement ABS and to take part even more actively in any future regional initiatives.
115. The project achieved its objective of enabling participating countries to make progress with a national ABS framework. One of the project's four components was dedicated to developing national ABS frameworks and all but two of the outputs required under the country grant agreements were deliverables under that project component (see paragraphs 41 and 75). Philippines, Thailand, and Viet Nam, the countries that already had legal regimes regulating ABS, used the opportunity the project presented to review and/or update them. Malaysia, which had been working on a draft ABS bill since 1994, took advantage of the project to make further progress with the draft bill and draft regulations. Lao PDR, which did not have even a draft at the start of the project, completed and published its ABS framework during the project period. The project final report showed that Cambodia and Myanmar each prepared a draft ABS framework. Timor-Leste did not complete its ABS framework during the project, but produced input that it can use in the future.
116. In most countries that received project funding, and at the regional level, the project made possible the work of an institution and/or individual that had at least some influence on achieving the project's outcomes and, in most cases, had significant influence (see paragraph 138). This helped to build institutional and individual credibility and provided additional motivation to implement ABS (see paragraph 169).
117. In three countries and at the regional level, the project built on prior or existing initiatives (see paragraph 143). ASEAN had been promoting implementation of ABS for a decade, with its draft regional Framework Agreement on ABS and through regional workshops. In Malaysia, the existing initiative was another multi-year national ABS project and in Cambodia and Philippines it was the update of the National Biodiversity Strategy and Action Plan. In the national cases, there was a direct connection with ABS which benefitted the ASEAN ABS Project as well as the other initiatives.
118. The overall prospects that the project will achieve the long-term impact proposed in the reconstructed ToC are moderately likely.

#### **4.3.3 Achievement of project goal and planned objectives**

119. The project document stated that the project had two goals: to assist South East Asian countries to implement ABS and to build capacity to negotiate the international ABS

regime. By the time project implementation began in 2011, the goal of building capacity to participate in negotiating the international ABS regime was no longer relevant because the Nagoya Protocol had been adopted the previous year. That left the project with the single goal of assisting countries to implement ABS.

120. The project objectives, as stated in the main text of the project document, were:

- Strengthen the capacity of Southeast Asian countries to implement the CBD provisions on ABS through the development of full and effective national ABS frameworks;
- Increase understanding of ABS issues among stakeholders and the general public and strengthen national capacity for country negotiators to have full understanding of issues and preferred options in the negotiation on the international ABS regime in a way that protects national interests and promotes equitable benefit sharing; and
- Improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods (see paragraph 32).

The second part of the second objective, like the second project goal, was superseded by the adoption of the Nagoya Protocol.

121. The overall rating on achievement of project goal and planned objectives, as stated in the project document, is moderately satisfactory. The project achieved its goal of assisting participating countries to implement ABS by providing the opportunity for them to complete a national policy and regulatory regime, make further progress in developing draft national ABS laws and regulations, or to develop, or build the foundation for developing, a draft national ABS framework. Six country presentations made during the November 2013 regional workshop, indicated areas in which capacity still needs to be built and five of these named developing and implementing domestic measures to regulate ABS (see paragraph 99 and Annex 14). The project achieved its objective of increasing understanding and capacity to a lesser degree – country respondents perceived that stakeholders' participation in the project enhanced their motivation to participate in implementing ABS more than it was able to build their capacity to do so.

## 4.4 Sustainability and replication

122. Overall, NPCs indicated that the project outcome that is most important to sustain is enhancing capacity of and participation by stakeholders in developing and implementing national ABS frameworks. The second most important project outcome to sustain, according to NPCs, is enhancing cooperation and sharing of learning experiences on ABS among participating countries' stakeholders. For NPCs, the outcome that least needs sustaining is work on national ABS frameworks. ACB and the ASEAN Secretariat respondent indicated that all project outcomes are equally important to sustain. The UNU-IAS advisor ranked work on national ABS frameworks as the first priority – NPCs ranked it last. NPCs and the UNU-IAS advisor ranked improved common understanding of ABS issues and preferred options among AMS and Timor-Leste as the third priority.

### 4.4.1 Financial sustainability

123. The project document did not fully address the issue of funding, from any source, to sustain project outcomes (see paragraph 111).

124. ACB, the ASEAN Secretariat respondent, and the UNU-IAS advisor believed that the sustainability of the outcomes of the project will depend completely on continued financial support from UNEP/GEF and/or other international sources and that there will be no follow-

up work without external financial support. In explaining this, they noted that: (1) there is limited ASEAN regional funding that can be sourced to sustain the outcomes of the project; (2) poorer ASEAN countries lack resources and expertise; and (3) the comparatively low political profile of ABS makes it difficult to mobilize internal funds without an external trigger such as matching or better funding.

125. NPCs were somewhat more optimistic about financial sustainability. One NPC indicated that follow-up work will depend primarily, but not completely, on external support. Four NPCs felt that follow-up work will require considerable external financial support, over the long term, and particularly for capacity building at a national scale, research and pilot initiatives. No NPC indicated that the sustainability of project outcomes would depend completely on external financial support.

126. The overall rating on financial sustainability is moderately unlikely.

#### **4.4.2 Socio-political sustainability**

127. Factors that have the potential to support the sustainability of project outcomes in most participating countries include: availability of external resources; increased understanding of the scientific basis for ABS; governments taking the lead to provide political and sectoral support and other stakeholders' willingness to achieve outcomes; changing business models; and increased understanding of the relevance of the Nagoya Protocol and the opportunities that legal certainty and compliance obligations create for national economies. Country-specific political factors that will positively support the sustainability of project outcomes include: existing government policies and strategies that already support ABS (Lao PDR); and political interest in preventing biopiracy (Philippines).

128. Several factors that could negatively affect the sustainability of project outcomes include: lack of funding; governments assigning low political priority to ABS; lack of political will; inadequate capacity building; and inadequate governance structures. Country-specific factors that could negatively affect the sustainability of the project's outcomes include possible non-compliance with national ABS regulations (Philippines) and the fact that, in at least one country, national policy is made at the Cabinet level and there are frequent changes in the Cabinet, which creates the potential for changes in policy (Thailand). Another potentially negative factor is that ABS has a relatively low comparative political profile in most of the participating countries (see paragraph 124).

129. ACB, the ASEAN Secretariat respondent, and the UNU-IAS advisor indicated that their institutions would seek to influence the sustainability of project outcomes in the following ways: continuing to support AMS in furthering cooperation on ABS; continuing to include ABS in the post-2015 agenda; continuing to develop and participate in capacity building; promoting the project's accomplishments; identifying support needed to further develop ABS implementation in the region; continuing to mobilize resources for continuous capacity building and strengthening partnerships with appropriate organizations to do this; continuing regional collaboration and cooperation with existing partner organizations and establishing new partnership arrangements; and organizing venues for discussion of existing or emerging issues and concerns on ABS.

130. The overall rating on socio-political sustainability is moderately likely.

#### **4.4.3 Institutional framework**

131. Half of NPCs indicated that sustainability of project outcomes depends primarily on national institutions and governance and half believed that sustainability depends completely on those factors. One NPC noted that the project came at the right time –

because of the Nagoya Protocol, government authorities were more likely to be aware of and interested in ABS. ACB and the ASEAN Secretariat respondent believed that sustainability depends equally on national and regional institutions and governance. The UNU-IAS advisor was of the opinion that sustainability depends completely on national institutions and governance and only partly on regional institutions and governance. Four NPCs expressed confidence that government authorities responsible for ABS have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of the project. Two NPCs did not feel that government authorities were sufficiently aware and committed and cited resource constraints as the primary obstacle. ACB and the ASEAN Secretariat respondent indicated that no institutional changes will be required to sustain all project outcomes at the regional level.

132. The overall rating on institutional sustainability is moderately likely.

#### 4.4.4 Environmental sustainability

133. In its section on “Environmental and social safeguards”, the project document addressed social safeguards, but not environmental ones. The Mid-Term Evaluation of the ASEAN ABS Project stated that the environment criterion of the evaluation was not applicable.

134. UNEP, in its 2012 publication *GEO5: Environment for the Future We Want*, gave the following assessment: *The emerging economies of Asia and the Pacific are exerting immense pressure on natural resources and ecosystem services. Although progress has been achieved through expanding protected areas, conserving species, addressing direct drivers of biodiversity loss, implementing community-based management and innovative financing, the scale of these efforts is insufficient to address current biodiversity and habitat losses. [...] Many of the policy successes observed in the region are context specific. Therefore, policy transfer and emulation initiatives require careful analysis of the underlying political, cultural, economic and social contexts and their influence on policy implementation and success. Creating the necessary enabling environment is as important as selecting the right combination of policies.*<sup>16</sup>

135. The degree to which each participating country conserves – or does not conserve – its biological resources can influence the future flow of ASEAN ABS Project benefits either positively or negatively. Two of the second-level intermediate states that the re-constructed ToC proposes – facilitating access to genetic resources and reducing or preventing biopiracy (see Annex 10) – may affect the sustainability of project benefits. As stakeholders increase their understanding of ABS and their capacity to implement it, the potential for conserving biological resources and using them sustainably should increase. A conceivable negative environmental impact that could result from up-scaling the project is that the lure of potential monetary benefits from ABS may provide incentives to harvest biological resources unsustainably and/or obtain associated traditional knowledge without appropriate sharing of benefits with those who provide it.

136. The impact/global environmental benefit that the reconstructed ToC proposes for this project is that ABS contributes to the conservation of biodiversity and the sustainable use of its components (see paragraphs 58-59). An analysis of the degree to which conservation and sustainable use of biological resources evolved in each participating

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<sup>16</sup> United Nations Environment Programme. 2012. *GEO5: Environment for the Future We Want*. p. 403. Nairobi: UNEP.

country during the project period is beyond the scope of this evaluation as specified in the ToR<sup>17</sup>.

#### 4.4.5 Catalytic role and replication

137. The project's catalytic role varied substantially from country to country, dependent at least in part on each country's situation when the project began. For Timor-Leste, the project provided the incentives and was the driver for creating a national ABS framework. In Malaysia, which had an advanced draft of an ABS law, the project provided minimal incentives and was only partly responsible for creating a national framework. In Viet Nam, which has a Biodiversity Law that enables ABS but which does not yet have implementing regulations, the project provided important incentives but was only partly responsible for creating a national framework. In Lao PDR, the incentives for creating the national ABS framework came primarily from this project. The project in Thailand did not promote the creation of a national ABS framework because the country already had one. Two NPCs believed that the project was entirely responsible for making it possible to mainstream ABS in national institutions. Three NPCs believed that the project had considerable influence in mainstreaming ABS, while one NPC believed the project had only moderate influence.
138. ACB and half of the NPCs felt that the project played a significant role by enabling a "champion" institution or individual that was the primary driver for the project achieving its outcomes. One NPC, the ASEAN Secretariat respondent and the UNU-IAS advisor believed that the project made possible the work of an individual or institution that had considerable influence on the project achieving its outcomes. Two NPCs felt that the project's influence was only moderate in making possible the work of an individual or institution that had some influence on the project achieving its outcomes.
139. The UNU-IAS advisor, who visited five of the eight countries that received project funding, observed that many national institutions are still unclear on their roles and authority with respect to ABS, which may lead to difficulties in securing outcomes. He noted that national governments need to understand that implementing ABS is a long-term process and that national ABS regulations must facilitate access and benefit sharing and not create obstacles to it. Cross-agency coordination will need to improve, the ministries responsible for ABS must have access to regulatory and trade expertise when required, and the more-developed countries in the region will need to assume responsibility for ensuring compliance with developing country permits and agreements.
140. ACB, the ASEAN Secretariat respondent, and two NPCs believed that the project had little influence that would lead to adoption of a regional ABS framework. The ASEAN Secretariat respondent noted that promoting the adoption of the draft ASEAN Framework Agreement on ABS is the responsibility of the ASEAN Working Group on Nature Conservation and Biodiversity (see paragraph 103).

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<sup>17</sup> Information on these issues is available from, among other sources, the CBD website, where there is a "Country Profile" page for each country (see footnote 9) that has links to the country's most recent national report to the CBD Secretariat (SCBD) and the most recent National Biodiversity Strategy and Action Plan (NBSAP). The Country Profile pages also provide summarized information on the following issues: (1) Biodiversity Facts, including status and trends of biodiversity and benefits from biodiversity and ecosystem services, and main pressures on and drivers of change to biodiversity (direct and indirect); and (2) Measures to Enhance Implementation of the Convention, including implementation of the NBSAP, actions taken to achieve the 2020 Aichi Biodiversity Targets, support mechanisms for national implementation (legislation, funding, capacity-building, coordination, mainstreaming, etc.), and mechanisms for monitoring and reviewing implementation.

141. At project completion, ACB, the ASEAN Secretariat respondent, and all but one NPC indicated plans for follow-up work on ABS. The project had considerable influence on the donor for follow-on funding in Philippines. Timor-Leste and Myanmar approached UNEP for a follow-on project under GEF-6 to continue what the ASEAN ABS Project began; UNEP was developing the project proposal in 2015. UNEP has another ongoing ABS project with ACB which also supports Myanmar amongst others. In addition, ACB was preparing a concept project proposal on ABS for selected AMS. The ASEAN Secretariat respondent indicated that ACB also had in the pipeline a cooperation project with India's National Biodiversity Authority, which would include ABS among other issues.
142. The overall rating on the project's catalytic role is moderately satisfactory and on replicability is moderately likely.

## 4.5 Efficiency

143. In Cambodia, Malaysia and Philippines, the project made use of or built on other national initiatives: Cambodia and Philippines were also updating their National Biodiversity Strategy and Action Plan and linked that initiative to the ASEAN ABS Project; Malaysia linked the project to another multi-year national ABS initiative. At the regional level, the project built on the draft regional ABS agreement that had been circulated since 2004 and also on regional ABS workshops held in 2009.
144. In Lao PDR, Malaysia and Philippines, the project used cost-saving measures primarily by saving on salaries because the national project teams were government employees who did not receive additional compensation for their work on the project. In Malaysia, these savings were part of its in-kind co-financing for the project. Philippines reduced project costs by using workshops on updating the NBSAP as venues to disseminate information on the project and articulate ABS issues. At the regional level, the project used cost-saving measures including: holding International Project Steering Committee (IPSC) meetings back-to-back with regional workshops; requesting national implementing agencies to negotiate for the best rates on logistics for regional workshops; using ASEAN logistic support; using the ASEAN Clearing-House Mechanism; and using UNU-IAS as the project's principal source of technical expertise.
145. The overall rating on efficiency is satisfactory.

## 4.6 Factors affecting performance

### 4.6.1 Preparation and readiness

146. None of the participating countries were involved in designing the project.
147. The content of the project document was relatively satisfactory in the guidance it provided for handling the following during project implementation: efficiency and cost-effectiveness; governance, supervision, management, execution and partnership arrangements; financial and administrative arrangements; planning and budgeting for monitoring and evaluation. The project document was moderately unsatisfactory because it: did not include outcome indicators and mis-stated several assumptions; and did not clearly show the relationships among outcomes, outputs, and activities. It did not foresee ways of mobilizing resources other than co-financing from project partners and participating countries. Most significantly, it did not address the issue of sustaining the project's outcomes, simply assuming that the ASEAN Secretariat and ACB would jointly ensure their sustainability.

148. The project objectives as stated in the project document were realistic in that they were limited to strengthening capacity and improving understanding. However, the project document stated that: "Capacities of key government officials and institutions, as well as concerned stakeholders will be developed to allow for an effective development and implementation of national ABS policies and regulations." This broad expectation was somewhat unrealistic, particularly given the relatively brief period of the project, the relatively limited funding, and the level of understanding of ABS among stakeholders in the countries that received project funding.
149. Although the project document noted the wide disparity of needs and levels of experience among the participating countries, the time frame the project document established was unrealistic with respect to the number of activities and outputs planned. This was reflected in the fact that the project needed a six-month budget-neutral extension. The activities as designed would have produced all intended outputs and outcomes, but the project design did not adequately factor in the wide variation in the capacities of the participating countries to actually deliver the outputs. The project document stated that "[a]llowing for variations in the final arrangements and the time taken to put these in place, each country will have an interest in the project achieving its objectives." But the project was not adequately prepared for the scale of the variations required in implementation arrangements at the national level and the time it would take to accommodate them.
150. In-kind co-financing from the regional project partners was 21% more than anticipated and in-kind co-financing from participating countries was 66% more than anticipated (see paragraph 49 and Annex 15). The significant under-estimation in the project document indicates that expectations at the design stage may have been based on inadequate consultation with regional project partners and participating countries.
151. The project document was not entirely clear and realistic, as evidenced by the amount of time required to revise the key deliverables (paragraph 54): some outputs were not correctly related to outcomes; some statements of outcomes, outputs, and activities were not clear; and outputs that required drafting national policies and frameworks were, in the case of most participating countries, not realistic within the time frame established by the project document. ACB noted that financial resources were too limited to enable involving all national stakeholders, including indigenous and local communities, to build their capacities for implementing ABS. The project duration was too short to be practical and feasible for increasing national capacities for ABS to a level where draft ABS policies could be formally considered by policy makers, and for considering formal policy processes.
152. Project management arrangements were not adequate at the regional level when the project started. ACB noted that the project team was not completely created at the time the project started. Planning updates and re-baselining were not done with IPSC members and NPCs. Variances that should have been considered at the beginning of the project would have included: changes to expected activity durations, which would have affected national work plans; and changes in resource productivity and availability, particularly for awareness raising activities and materials. Risks that the project document did not anticipate also should have been considered, in consultation with participating countries, at the beginning of the project, including: potential hurdles at the national level with respect to signing grant agreements; changes in governments that affected the processes for signing grant agreements; and changes in financial mechanisms and requirements. Had these issues been considered at the start of the project, the project management plan could have been modified accordingly.
153. The overall rating on preparation and readiness is moderately satisfactory.

## 4.6.2 Project implementation and management

154. There was an International Project Steering Committee (IPSC) for the overall project, but not at the national level in any participating country, which was not surprising considering the very small scale and short duration of support in each individual country. NPCs and ACB indicated that the IPSC effectively helped to guide the project and helped to resolve any problems the project encountered.
155. Two UNU-IAS experts served as resource persons in the first regional workshop. One UNU-IAS expert was a resource person for the second, third and fourth regional workshops. The UNU-IAS advisor who participated in all regional workshops also visited five of the participating countries – Cambodia, Lao PDR, Myanmar, Timor-Leste, and Viet Nam.
156. The ASEAN Secretariat's role included: coordinating with ACB to generally oversee the implementation of the project; clarifying and providing inputs on regional matters during workshops and meetings; providing support during regional activities, specifically promoting the draft ASEAN Framework Agreement on ABS; serving as a champion for ABS activities in the region; and providing policy guidance during IPSC Meetings; and ensuring coordination with related activities being carried out by other ASEAN bodies to promote synergy and avoid duplication.
157. The mid-term evaluation of the project made two recommendations with respect to project implementation and management: explore options and, at the subsequent IPSC meeting, take remedial action if countries had not signed grant agreements by the end of 2012; and, in the specific case of Indonesia, explore options for transferring funds through UNDP or an international NGO (see Annex 6). By the end of 2012, eight of nine countries eligible for GEF funding (Cambodia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand, Timor-Leste, and Viet Nam) had signed their grant agreements. Indonesia did not sign a grant agreement and Brunei and Singapore were not eligible for GEF funding. For Myanmar, the project used the option of transferring funds through UNDP. The mid-term evaluation noted that it was likely that the project would require a no-cost extension of at least six months to allow participating countries that signed their grant agreements late to complete their activities under the project.
158. Regional project management could have been more effective if AMS, through the ASEAN Working Group on Nature Conservation and Biodiversity and the ASEAN Senior Officials on the Environment, had been fully consulted during the planning and design of the project and if capacity building for members of national project teams who had no, or limited, prior project management experience had been incorporated in project design and costing. Regional project management would also have been more effective if the following had been done:
- hired the required project team immediately at the beginning of the project and contract them for the full duration of the project. The regional project team should have been composed of a coordinator, a communication specialist, an information management specialist, and a financial specialist; and
  - determined capacity needs of the project team at the beginning of the project and provided the required training so that the team could effectively and efficiently execute the project.

Hiring the required project team immediately at the beginning of a project is ideal, but in reality it is sometimes difficult to ensure that prospective project staff with appropriate skill sets can be available soon after the first project disbursement is made. Contracting procedures may depend on the internal administrative arrangements of the executing agency. The skills required for a regional project team would need to be taken into account in the implementation arrangements

of any future project document. Capacity building for project teams would need to be explicitly budgeted for in planning any future project.

159. Options for streamlining decision-making in future projects include:

- have national coordinators recommend solutions for project management issues to the regional coordinator, who coordinates with the UNEP Task Manager;
- more actively seek guidance from a project steering committee through briefings that set out decision options; or
- enforce requirements in country grant agreements for regular progress reporting, and use consolidated progress reports as input for decision-making by the regional coordinator, the UNEP Task Manager, and the IPSC.

Project designers would need to consult closely with the intended project partners to identify the governance arrangement that would be most appropriate to streamline decision-making for a particular project.

160. National project management could have been more effective in some or all of the countries if the following had been done:

- a. incorporate capacity building for national project teams in project activities and costs at the project design stage;
- b. design and organize national projects on the basis of a better understanding of the differences in resources and expertise among participating countries, with differential allocation of funding to better fit national circumstances;
- c. be more realistic about national capacities to meet agreed timetables;
- d. ensure that funds were budgeted to undertake situational analyses and reach common understandings with national officials as to what might be achieved with available resources; undertake a project review after the first phase;
- e. be realistic in adopting standard processes for resolving project design and management issues;
- f. form national project teams at the start of the project and have them meet collectively at the regional level after the project inception meeting to coordinate national work plans and reporting mechanisms;
- g. hire a national coordinator with a good command of the English language who is accountable to the regional project coordinator, and one dedicated full-time technical staff person;
- h. involve a wider range of stakeholders, incorporate their views for better solutions, and provide them concrete project activities that they can continue after the project closes;
- i. focus and test activities at provincial and local levels to gather current information in order to understand ABS issues in-depth at those levels; and
- j. foster South-South cooperation by bringing in expertise from the South to build capacity for the South; and
- k. create a national steering committee that links the project to some existing institutional arrangement to get more support from the highest levels of government.

Items a, g, i, and j in the list above would need to be explicitly budgeted for in planning any future project. Items b-f, h, and k are of equal priority and would need to be explicitly incorporated into the implementation arrangements of any future project. For future ABS

projects at national level, it may be advisable to include at least one person from the team that implemented this project, to take advantage of their experience with this project and familiarity with the tasks and issues involved.

161. These findings – which are synthesized from interviews and questionnaire responses from all project partners – could be categorized as underlying weaknesses in project management. It would be more productive to read them as evidence that the individuals with actual, hands-on experience with implementing this project learned significant lessons about how to manage a project that addresses a new and complex suite of issues, at national and regional levels simultaneously, with a relatively short implementation horizon, and relatively limited funding, and presumably will be able to apply them in the future.

162. The project had the following interactions with other projects in the UNEP/GEF ABS portfolio:

- The India ABS Project convened the ASEAN-India Capacity Building Workshop on Access and Benefit Sharing and Traditional Knowledge, 4-5 September 2012, in New Delhi, India. Representatives of the ASEAN Secretariat, ACB, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam attended.
- The global project complemented the ASEAN ABS Project by enabling key national stakeholders in ASEAN ABS Project participating countries to brief ministers in their countries about ABS, the urgency of acceding to the Nagoya Protocol, and the requirements for acceding to the Protocol.
- The Africa ABS Project shared its experience and materials during the second regional workshop in August 2012.

163. The overall rating on project implementation and management is moderately satisfactory.

#### **4.6.3 Stakeholder participation and public awareness**

164. The Project Implementation Review (PIR) for the period 1 July 2011 to 30 June 2012 noted a moderate risk that the project design and resources did not enable adequate national processes to involve all stakeholder groups relevant for national ABS processes.

165. The project document identified four broad categories of potential ABS stakeholders: national and sub-national government agencies and institutions; indigenous peoples and local communities; academia/universities and research institutions; and the private sector; (see Section 3.3 and Annex 12). Country projects identified stakeholders according to their own criteria, which do not appear to have been documented. Only Philippines included stakeholders from each of those categories in its national ABS stakeholder directory. Philippines was the only country that included indigenous peoples in its list of ABS stakeholders, although Myanmar and Viet Nam included local people. The only stakeholder category that all countries included in their directories was government agencies and institutions. Six countries – Cambodia, Lao PDR, Malaysia, Myanmar, Philippines, and Timor-Leste – included academia/universities in their stakeholder profiles. Three countries – Lao PDR, Malaysia and Philippines – included research institutions. Four countries – Malaysia, Myanmar, Philippines, and Timor-Leste – included the private sector. Countries included important stakeholder groups the project document did not anticipate: NGOs; the media; international organizations; and trade unions. Four countries – Cambodia, Lao PDR, Malaysia, and Timor-Leste – included NGOs. Three countries – Lao PDR, Timor-Leste and Viet Nam – included the media. The three countries that included international organizations were Lao PDR, Myanmar and Philippines. Lao PDR was the only country that

included a trade union in its list of ABS stakeholders. At least four country projects (Cambodia, Lao PDR, Philippines, and Viet Nam) used questionnaires to survey the stakeholders they had identified to compile information on their awareness and understanding of ABS.

166. Representatives of each of the stakeholder categories identified in the project document participated in the regional workshops, as did representatives of two of the four additional stakeholder groups that countries identified – NGOs and international organizations (see Annex 12). A total of 140 individuals participated in one or more of the regional workshops. The four countries that hosted regional workshops – Philippines, Thailand, Malaysia, and Viet Nam – had the largest number of participants overall. Representatives of national and sub-national government agencies and institutions made up the majority (66%) of regional workshop participants. Some of the government representatives from several countries had been involved in negotiating the Nagoya Protocol. In some cases their participation in regional workshops seemed to continue to focus on issues from the negotiations rather than moving on to concentrate on the issues involved in implementing the Protocol. Representatives of universities and research institutions were the second largest stakeholder group (16%) that attended regional workshops. ILC representatives from three countries – Indonesia, Malaysia, and Philippines – participated in the second regional workshop. Cambodia, Lao PDR, and Myanmar sent government officials to represent ILCs at that regional workshop and Lao PDR also sent a representative of a research institution to represent ILCs at the same workshop. NGO representatives from seven countries – Indonesia, Malaysia, Myanmar, Philippines, Thailand, Timor-Leste, and Viet Nam – attended the second and third regional workshops.
167. Brunei, Lao PDR, Philippines, Thailand and Viet Nam sent the same individuals to at least two regional workshops, but most participants – 75% -- attended only one workshop. ACB pointed out that the tendency of national projects to send new people to each workshop made it challenging for the project to build a critical mass of individuals with sufficient awareness and understanding of ABS. NPCs noted that there are many ABS stakeholders in their countries and they wanted to give as many of them as possible the opportunity to gain experience with regional colleagues. The NPC in Lao PDR noted that the Lao country project should have encouraged greater participation by research institutions, national associations, NGOs, local authorities, local communities, youth, the private sector, and the media.
168. NPCs from two countries believed that the project increased public understanding of ABS to a high degree. NPCs from three countries believed that public understanding increased to a moderate degree and the NPC in one country felt that public understanding had increased only minimally. In Lao PDR, whose NPC felt that understanding increased to a high degree, other respondents agreed: three felt that understanding had increased to a very high degree; four felt it had increased to a high degree; and one felt understanding had increased only moderately. One of the Lao PDR respondents who felt that understanding had increased to a high degree cited the YouTube video in Lao (see Annex 13) as an example of how the project had helped to make the public more aware of ABS. The Lao PDR respondent who felt that understanding had increased only moderately stated that that was because the issues were still so new that many stakeholders still did not understand the issues fully.
169. NPCs in half the countries that received project funding perceived that stakeholder participation in national project activities increased their motivation to implement ABS measures to a high degree. One NPC noted that some government agency stakeholders had already created working groups to review and amend laws and regulations to support implementing ABS. NPCs in two countries felt that motivation had increased moderately.

NPCs in four countries believed that it is highly likely or very highly likely that the outcomes of the national project will promote future stakeholder participation in implementing ABS measures.

170. Five NPCs felt that their national project teams, ACB, UNU-IAS, and the ASEAN Secretariat collaborated to a high degree during the project – regional project partners provided meaningful input into most aspects of national project implementation and national projects provided meaningful input into most aspects of the project’s regional component. ACB believed that the degree of collaboration was very high while the UNU-IAS advisor felt it was moderately high. The UNU-IAS advisor noted that there could have been better communication between ACB and UNU-IAS about emerging difficulties and hence discussion about adapting the project to deal with them.
171. The overall rating on stakeholder participation and public awareness is moderately satisfactory.

#### 4.6.4 Country ownership and driven-ness

172. Six NPCs felt that national government institutions in their countries participated in the project to a high or very high degree, assumed full responsibility or a great deal of responsibility for the project, and provided all implementation support that the project requested.
173. Private sector participation in the national projects was relatively low but was greater at the regional level. The project final report noted that private sector representatives were involved in two of four regional workshops, contributed to eight project outputs, and that 12 regional outputs provide for including the private sector in implementing ABS measures. The UNU-IAS advisor noted that the private sector in some countries is not well-developed to use genetic resources and that ABS is commonly confused with commodity trade and agriculture. Reinforcing this comment from the UNU-IAS advisor, the NPC in Philippines noted that private sector representatives in that country explained that they were still in a learning stage about ABS and thus could not actively contribute to project outputs, even though Philippines first regulated ABS in 1995. In Lao PDR and Malaysia, private sector representatives were not invited to participate in project activities. National project outputs from Cambodia, Lao PDR, Myanmar, Thailand, and Viet Nam provide for including the private sector in implementing ABS measures. Viet Nam’s report that identified national priorities for improving management of ABS provided for the most comprehensive private sector involvement of any of the participating countries, specifically calling for public/private partnerships for implementing ABS. The NPC in Malaysia reported that the country project did not consider the private sector in developing national project outputs. The UNEP Task Manager indicated that UNEP, while very concerned about private sector participation at the national level, did not have insight how far national partnership building went in each of the countries, but frequently emphasized the importance of national public-private partnerships to the ACB team or during workshop discussions.
174. Non-governmental organization (NGO) involvement varied widely from country to country. The NPCs in Philippines and Thailand reported a high degree of NGO participation in national project activities. Myanmar, Timor-Leste and Viet Nam reported moderate NGO participation. NGOs were not invited to participate in project activities in Lao PDR and Malaysia. The UNU-IAS advisor, who visited five of the eight countries that received project funding, observed that domestic NGOs are not significantly present in some of those countries, but that where they are, they supported the project. National project outputs from Lao PDR and Myanmar provided for including NGOs in implementing ABS measures.

175. NGOs from seven countries participated in two of the four regional workshops. The final project reported noted reported that their participation contributed to 11 regional outputs. ACB reported that 11 regional outputs provide for including NGOs in implementing ABS measures.
176. The overall rating on country ownership and driven-ness is moderately satisfactory.

#### 4.6.5 Gender and equity

177. Women were well-represented in national and regional project activities and outputs. The NPCs in Lao PDR, Philippines, Thailand, and Viet Nam were women as was the Assistant NPC in Malaysia. The ABS National Focal Points in Cambodia, Philippines, Singapore, Thailand and Viet Nam are women. NPCs in four countries reported that women participated to a very high degree in national project activities; NPCs in two countries reported that women participated to a moderate degree. Women participated in all regional project components and ACB reported that they contributed to all regional project outputs. Regional outputs were not gender-specific. They provided for including all stakeholders, regardless of gender, in implementing ABS measures.
178. Overall, youth were not well-represented in national project activities and outputs. Two NPCs reported minimal youth participation in project activities and two others reported that youth were not invited to participate in their country projects. National project outputs for Lao PDR and Viet Nam specifically provided for including youth in implementing ABS. NPCs in two other countries noted that, although youth were not specifically included in national outputs, they would be involved in future activities related to implementing ABS. The regional project did not use age as a basis for monitoring participation.
179. Indigenous and local communities (ILCs) were well-represented in national project activities in Philippines, whose laws require their participation, but otherwise were not well-represented in national activities (see paragraph 165 and Annex 16). Project outputs from Cambodia, Lao PDR, Philippines and Viet Nam provided for including ILC interests in future work on ABS. Lao PDR's national framework has the most comprehensive provisions for ILC participation. ACB reported that ILCs contributed to six regional outputs and 13 regional project outputs are relevant for ILCs.
180. The overall rating on gender and equity is moderately satisfactory.

#### 4.6.6 Financial planning and management

181. The review of project financing is in Section 3.6.
182. The project realized a total of USD1,111,261.48 of in-kind co-financing – USD361,261.48 more than the project document had estimated. The project's final report indicated that ACB and the ASEAN Secretariat contributed a total of USD273,487.31 – USD73,487.31 more than budgeted. UNU-IAS contributed a total of USD90,090.00 – USD9,910 less than budgeted. The total co-financing from all regional project partners was USD63,577.31 more than the project document anticipated. Final project accounting indicates that the AMS and Timor-Leste contributed a total of USD747,684.16 of in-kind co-financing, which was USD297,684.16 more than the project document had estimated. Project accounting did not provide a break-down indicating which participating countries made those contributions. See Annex 15.
183. ACB leveraged funds from two external sources to supplement project finances for regional activities. The German International Cooperation Agency (GIZ), under its Biodiversity and Climate Change Project, contributed €30,000/USD32,707.68 which the

project used for participants' travel expenses and accommodations for the second regional workshop. The Asia Pacific Network for Global Change Research contributed USD32,684.30 which the project used to supplement the third regional workshop. At least two countries leveraged additional funding at the national level; project accounting did not include this.

184. The project document included a budget on the basis of UNEP budget lines, indicating the allocation of each budget line to each project component, and a breakdown of co-financing by source and UNEP budget lines. The grant agreements between ACB and participating countries included a budget for each activity specified in the grant agreements, which did not correlate completely with project outputs (see paragraph 75).
185. There were two budget re-allocations. The first re-allocation was incorporated into the July 2013 project revision and included adjustments required for project operations until 31 January 2014. The largest adjustment (+142%) was for admin support. The first re-allocation also increased the budget line for sub-contracts with government agencies from USD126,000 to USD192,000 (52%) to reflect the total commitment under the original grant agreements. The second re-allocation reduced the budget line for sub-contracts with government agencies to USD181,998.65. The budget revisions did not appear to indicate any re-allocation to cover the USD60,000 that was made available to six country projects to produce awareness-raising materials in local languages. The largest adjustment (+58%) was to increase the budget line for evaluation to USD49,128.31.
186. ACB submitted to UNEP Quarterly Expenditure Reports based on UNEP budget lines. The Quarterly Expenditure Reports and the Final Expenditure Statement did not provide a breakdown of expenditure by project component.
187. Table 1, Annex 15 provides a summary of estimated expenditure, broken down by project component as indicated in the budget in the project document, against total actual expenditure, which was USD703,027.06 as of 30 June 2014. As of 10 March 2015, UNEP had revised total expenditure to USD719,788.36, to include USD16,761.70 for two evaluations.
188. ACB submitted to UNEP two reports on planned and actual co-finance by UNEP budget line. One report accounted for in-kind co-finance from ASEAN Member States (AMS) as a group, with no breakdown indicating individual country contributions. The other report accounted for in-kind co-finance from ACB and the ASEAN Secretariat. ACB submitted these reports semi-annually, with the exception of the period 1 July 2012-30 June 2013, for which it submitted an annual report. There was no periodic financial report that indicated the amount of in-kind co-financing from UNU-IAS. The project final report indicated the total amount of UNU-IAS co-financing. Table 2, Annex 15 provides a summary of in-kind co-financing from AMS, the ASEAN Secretariat, ACB, and UNU-IAS as well as leveraged cash financing.
189. Financial reporting was done regularly, but did not provide an accounting on the basis of project components, although the original project budget included such a breakdown. UNEP financial reporting formats do not provide for accounting on the basis of project components – only on the basis of UNEP budget lines. Co-financing was significantly greater than anticipated and ACB secured additional leveraged funding.
190. The project was audited annually and at the end of the project. The project's Fund Management Officer (FMO) in UNEP's Regional Office for Asia Pacific (UNEP-ROAP) in Bangkok, Thailand, handled the audits.
191. The overall rating on financial planning and management is satisfactory.

#### 4.6.7 UNEP supervision and backstopping

192. A UNEP/DEPI Task Manager and FMO hosted by UNEP-ROAP were responsible for supervising the project and reviewing cash advance requests, expenditures, and project audits. All project funds flowed through UNEP HQ and UNEP administration in Nairobi handled all formal project administration, including contracts and payments. There was also a UNEP/DEPI Senior Portfolio Manager, based in UNEP Headquarters in Nairobi, who exercised general oversight over the UNEP/GEF ABS project portfolio.
193. The Task Manager based his supervision on the project results framework and costed M&E plan in the project document and on the revision of the project's key deliverables that he approved in March 2012 (see Annex 7). The Task Manager's ongoing involvement in project supervision and backstopping is documented in mission reports that recorded issues to be followed up, and in emails.
194. The Task Manager prepared a supervision plan and maintained active engagement with ACB's project management team throughout the duration of the project, providing guidance on administrative issues and participating in project events. The Task Manager personally participated in the project's inception workshop, the first three regional workshops, and the first three IPSC meetings and sent a representative to the one regional workshop and IPSC meeting that he could not attend. Throughout the project, the Task Manager worked closely with ACB and maintained an objective perspective on project progress and outputs.
195. The Task Manager supplied ACB with the format for the PIR and examples of PIRs for other projects, and worked with ACB to clarify questions on the process of preparing PIRs, particularly the first one. ACB submitted PIRs for UNEP GEF Fiscal Years 1 July 2011 to 30 June 2012, 1 July 2012 to 30 June 2013, and 1 July 2013-30 June 2014.
196. The overall rating on UNEP supervision and backstopping is satisfactory.

#### 4.6.8 Monitoring and evaluation

197. Monitoring design deficiencies had to be rectified when the project began, which resulted in implementation delays. Budgeting and funding for M&E were within UNEP parameters in the project document and were maintained at that level throughout the project.

##### 4.6.8.1 M&E Design

198. The narrative section of the project document on M&E was two paragraphs, which explained that M&E would be carried out according to UNEP and GEF guidelines for project monitoring, including semi-annual progress reports, annual reports, and mid-term and final evaluations. In addition, the project document indicated that the project would submit a report on its implementation status to regular meetings of the ASEAN Senior Officials on the Environment and other relevant bodies of ASEAN. Standard Terminal Evaluation Terms of Reference were attached to the project document as Appendix 9. Annex 4 to Appendix 9 of the project document contained two pages on GEF minimum requirements for M&E design and implementation, which emphasized the use of SMART indicators.
199. The results framework, which was Appendix 4 in the project document, identified assumptions and included indicators for the first project objective and for all outputs, but did not provide indicators for two of the project's three objectives, and did not provide for M&E at the national level. The project results framework did not reflect a clear and logical Theory of Change, which was not required at the time the project was designed and

approved. The project document had a logframe, but with many problems and which did not reflect a clear or logical progression from activities to outcomes.

200. The project document did include a costed M&E plan, as Appendix 7. The M&E plan provided for monitoring on the basis of each of the project's four components and identified outcome-level indicators. The original M&E plan indicated that the project manager and UNEP Task Manager would be primarily responsible for monitoring project outcome 1, and assigned to the IPSC the primary responsibility for monitoring project components 2-4. The project results framework described means of verification in substantially more detail than the M&E plan, which was limited to indicating that various types of reports to be produced during the course of the project would be the primary means of verifying that the project was achieving its targets.

201. The rating on M&E design is unsatisfactory, given the impact of design deficiencies on project monitoring (see paragraph 208).

#### **4.6.8.2 Budgeting and funding for M&E activities**

202. The costed M&E plan annexed to the project document indicated that M&E would cost USD58,500: USD6,000 for audit (UNEP budget line 5501); USD25,000 for "M&E objective/progress/perform indicators" (budget line 5502); USD7,500 for mid-term evaluation (budget line 5503); and USD10,000 for final evaluation (budget line 5504). The costed M&E plan included USD10,000 for reporting that was not included in the budget lines for evaluation in the project budget, which allocated USD48,500 for M&E. In the original project budget in the project document, a budget line not associated with M&E allocated a total of USD12,000 for reporting costs, which were to include publication, translation, dissemination and reporting. The revised costed M&E plan (see paragraph 209) simply indicated "cost included in project", rather than specifying a budget.

203. The budget re-allocations assigned different budget lines for M&E than were in the budget in the project document. One budget line for evaluation included the costs for audit and for "M&E objective/progress/perform indicators" and another budget line for "evaluation UNEP" included the costs for mid-term and final evaluations. The second budget re-allocation increased the budget line for evaluation by 58%, to USD49,128. The budget line for reporting costs remained the same – USD12,000 – in the first budget re-allocation and was reduced by 18% – to USD9,859 – in the second budget re-allocation. After the second budget re-allocation, the total overall budget for M&E was USD58,987, which was for all practical purposes the same as the original costed M&E plan.

204. The final budget allocation for evaluation was USD49,128, which corresponded to 6.6% of the GEF budget, and 3.3% of the total project costs. UNEP's 2008 Evaluation Manual recommended that for projects with a total budget of USD1million-USD2million, indicative evaluation costs should be USD30,000- 40,000, or 1.5 % to 4% of the total project budget.

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

#### **4.6.8.3 M&E Plan Implementation**

206. There is no evidence in project documentation that the project provided training on how to meet the project's M&E requirements.

207. The first IPSC meeting agreed on the IPSC's responsibilities, which included annually reviewing and assessing the progress and performance of the project, based on a pre-defined M&E plan; monitoring and reviewing co-financing; and annually reviewing and approving the work plan and commenting on the budget.

208. ACB submitted PIRs for UNEP GEF Fiscal Years 2011-2012, 2012-2013, and 2013-2014. The PIR 2011-2012 reported that the project was delayed in delivering outputs in part because there were “many flaws” in the results framework, particularly that formulation of project components was unclear and that outcomes were not measurable. The same PIR also recorded concerns regarding the weak uptake capacity in some of the participating countries and noted that, given the very short project timeframe, this factor could affect delivery (also see Annex 6). The PIR 2012-2013 reported that ACB and UNEP had to redesign the project M&E plan during project implementation to make the indicators more relevant to the project objectives, more cost-efficient, and more effective, and noted that this should have been done at the time of project design. ACB and UNEP managed the redesign through email exchanges, which proved to be cost-efficient, but required three months of project implementation time (see paragraph 54). UNEP approved the revised costed M&E plan on 17 October 2012.
209. The revised M&E plan, which was organized according to project components and outcomes, substantively revised every element of the original plan and harmonized it with the revised key deliverables and the revised work plan. The July 2013 project revision did not include the revised costed M&E plan but, along with the revised key deliverables and revised work plan, it was the basis for subsequent project reporting.
210. Each PIR included a section in which the Task Manager rated the overall quality of the M&E plan and performance in implementing the plan, using the same six-point rating scale that UNEP uses for this evaluation. In the 2011-2012 PIR, the Task Manager rated both quality and performance as satisfactory, noting that capacity and awareness impact measurements would need to be enhanced (also see Annex 6). In the 2012-2013 PIR, the Task Manager rated both quality and performance as moderately satisfactory (MS). He rated quality as MS because there were only a few quantitative indicators on cumulative project impact but did not indicate why this was not an issue during the 2011-2012 reporting period. He justified the MS rating on performance indicating that no corrective action was being taken to make up for delays in countries, except to extend the project duration.
211. ACB also submitted Half Yearly Progress Reports (HYPR) for the periods 1 August-31 December 2011, 1 July-31 December 2012, and 1 July-31 December 2013. Each HYPR had a section that briefly described M&E activities during the reporting period.
212. An external evaluator carried out a mid-term review (MTR) during October-December 2012. The review was based on an in-depth desk review of project documentation and interviews with: ABS Focal Points or NPCs in Cambodia, Lao PDR, Malaysia, Timor-Leste and Viet Nam; ACB; the ASEAN Secretariat; UNU-IAS; and the UNEP Task Manger. At the time of the MTR, the project had already carried out the baseline capacity impact survey, which was annexed to the mid-term review report (see Annex 6). The MTR’s overall rating of the project was moderately satisfactory due to concerns related to countries that had not signed the grant agreements and delays in executing project activities. The MTR also noted in its overall rating that harmonization of ABS issues in the region remained ambitious and challenging at that preliminary stage, but that the project had provided a good start in the right direction.
213. The project final report included a reflective section on lessons learned and good practices. That section is reproduced in Annex 18 to this report.
214. The rating for M&E plan implementation is moderately satisfactory, taking into account the design deficiencies that the project team had to overcome and the Task Manager’s own assessment of implementation.

215. The rating for M&E design is unsatisfactory, budgeting and funding for M&E was within UNEP parameters and therefore satisfactory, and M&E implementation was moderately satisfactory. The overall rating for monitoring and evaluation is, therefore, moderately satisfactory.

#### 4.6.9 Complementarity with UNEP and GEF strategies and programmes

216. The ASEAN ABS Project was one of five in a UNEP/GEF portfolio of projects supporting implementation of the CBD's provisions on ABS. All five projects in the ABS Portfolio had a common goal – to assist countries in implementing ABS. The five projects were carried out at the global level, at the national level in India, and at the regional level in Africa, Latin America, and South East Asia. The regional projects and the India project were funded under the fourth replenishment of the GEF Trust Fund (GEF-4); the global project was funded under the fifth replenishment (GEF-5).<sup>18</sup>
217. The biodiversity focal area strategy and strategic programming for GEF-4 defined building capacity on ABS as a long-term objective and a strategic programme. The Ninth Conference of the Parties to the CBD, in 2008, called for strengthened efforts to build capacity for ABS and invited UNEP and other intergovernmental organizations to facilitate regional activities to do this. The ASEAN ABS Project responded to the GEF-4 strategy and the CBD call for action to implement it.
218. The ASEAN ABS project was originally designed in 2006. In its Annual Report for 2006, UNEP explicitly included ABS under its activities on pro-poor payments for ecosystem services. For the period 2010–2013, environmental governance was one of UNEP's cross-cutting thematic priorities. One of the expected accomplishments under this priority was “[t]hat States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions”. At the time of project implementation, 2011-2014, the UNEP medium-term Strategy did not explicitly mention ABS, but focused on supporting States to implement international environmental obligations generally. The ASEAN ABS project document explicitly stated that the project would “[s]trengthen the capacity of Southeast Asian countries to be better able to implement the CBD provisions on ABS”.
219. The project complemented UNEP strategies and programmes.

## 5 Conclusions, Lessons Learned, and Recommendations

### 5.1 Conclusions

220. Respondents from half of the participating countries perceived that this capacity building project was more effective in creating motivation than it was in actually building capacity (see paragraphs 107, 114, 116, 121 and 169). The project was designed to build capacity generally, and provided that capacity needs would be determined at the beginning of the project. The project's baseline capacity assessment was done in August 2012, almost exactly one year after implementation of the two-year project began. At that point, participating countries' self-assessments indicated low baseline capacity overall, substantial

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<sup>18</sup> Global Environment Facility (GEF). 2012. GEF Investments in Support of Access and Benefit Sharing (ABS). September. p. 8. <http://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-ABS-9-6-2012.pdf>

variations in the baseline capacities among the participating countries, and variations within countries in their individual capacity for engagement, capacity to generate access and use information and knowledge, capacity for strategy, policy and legislation development, and capacity for management and implementation (see Annex 6). If the capacity assessment had been done at the beginning of the project, it might have been possible to revise the components, outcomes, deliverables and activities to focus on a particular capacity gap or gaps for all countries, groups of countries, or even individual countries. But that did not happen and given the relatively short period of the project, the relatively limited funding available, and the fact that so many individuals in each country needed orientation and training, it was a considerable challenge for the project to attempt to deliver on building capacity in the broad, undefined sense of the project document.

221. Five of the project's key deliverables, or 15% of all deliverables, were related to sharing information at a regional level (see Annex 7). Three of those deliverables depended on the internet and email, which are generally cost-effective when they are accessible. All of the web-based deliverables were relatively ineffective, however, due at least in part to the fact that not all ABS stakeholders in participating countries have ready internet access and that some have language constraints because most online resources are in English. Participants tended to communicate most effectively when they met at regional workshops (see paragraph 97), which are a high-cost option for sharing information and experience. While disparities in internet access will disappear over time, future regional initiatives will need to factor in demands of working in national languages as well as English.
222. The project was least successful in promoting adoption of a regional ABS framework, but this appeared to be the result of factors outside the control of the project. Regional workshops included discussions on the ASEAN Framework Agreement on ABS, which increased the number of countries that expressed an intention to sign it but, overall, regional and most national project partners indicated that the project had little or no influence that would lead to adoption of a regional ABS framework (see paragraph 140). Several countries perceived that the Nagoya Protocol had superseded the need for a regional agreement (see Annex 6).
223. The most significant challenges the project faced were due to deficiencies at the design/project document stage, which the project partly overcame during implementation. These deficiencies were most apparent with respect to the tasks assigned to participating countries. The time available to countries to produce deliverables and the funding allocated for them to do so were disproportionate to their individual capacities to deliver. The authors of the project document were not available for the evaluation, so it was not possible to ascertain whether these issues were considered at the time of project design and, if they were, how they were addressed. It was not apparent in the project document. The first PIR, for the fiscal year 2011-2012, noted the design constraints as a moderate risk for the project (see paragraphs 164 and 208).
224. Wide variations in the situations of individual countries: The project design did not adequately factor in the significant disparity in the capacities of the participating countries to absorb project inputs and actually deliver outputs. One country respondent captured this overall challenge for the project, noting that it was difficult for a regional project to even develop a work plan that was appropriate for all participating countries because the differences among them with respect to understanding of ABS and capacity for implementing it were so great (also see Annex 6).
225. Time: Each country has its own procedures for accepting and receiving external funding. The first country grant agreement was signed within six months after project implementation began, but the last one was signed after 18 months of a 24-month project

and one country never signed a grant agreement at all due to national constraints (see paragraphs 39-40 and Annex 8). Pursuing grant agreements required a great deal of effort on the part of the executing agency that could have been directed to the substantive aspects of the project. With one exception, all countries that signed grant agreements were expected to produce the same deliverables, but in widely different periods of time that did not reflect the capacity of individual countries to deliver (see paragraph 45 and Annexes 6 and 8).

226. Funding: All but two deliverables required under country grant agreements were related to Component 1. The original project budget allocated USD126,000 for sub-contracts with countries for Component 1. At that level of funding, the eight countries that signed grant agreements would have received USD15,750 to produce required deliverables. The actual grant agreements more than doubled that amount for six countries and increased it by more than 50% for the two countries whose grant agreements were not amended (see Section 3.6). Even the increased funding was not sufficient for at least one of the countries with lower national capacity, because the grant amount was insufficient for that country to contract consultants to produce the deliverables.
227. Findings on how the implementation of this project could have been improved could be very useful for future projects (see paragraphs 158-161). The individuals with actual, hands-on experience with implementing this project learned significant lessons about how to manage a project that addresses a new and complex suite of issues, at national and regional levels simultaneously, with a relatively short implementation horizon, and relatively limited funding, and presumably will be able to apply them in the future.
228. The overall rating for the ASEAN ABS Project, based on the assessment findings, is moderately satisfactory.

**Table 2. Overall ratings table**

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
A. Strategic relevance	The project was designed and implemented in response to GEF's ongoing strategic priority for ABS and complemented UNEP's priority of assisting countries to implement international environmental obligations. ABS was an ASEAN regional priority at the time the project was designed. In the opinion of NPCs at the end of the project, ABS was a national priority for the majority of the participating countries.	S
B. Achievement of outputs	The project final report indicated 97% achievement of all project deliverables.	S
C. Effectiveness: Attainment of project objectives and results		MS
1. Achievement of direct outcomes	The project enabled all countries that received project funding to work toward a national ABS framework to at least some degree (Project Outcome 1). Stakeholders' participation in the project enhanced their motivation to participate in implementing ABS to a greater degree than the project enhanced their capacity (Project Outcome 2). The opportunities for face-to-face interactions that the regional workshops provided were more effective in enhancing cooperation and sharing of experiences than the project's web-based initiatives (Project Outcome 3). The project added to understanding within the South East Asia region of the legal and technical issues associated with ABS, which should contribute to future policy analysis and decisions (Project Outcome 4).	MS
2. Likelihood of impact	The likelihood of the project's outcomes leading to the impact/global environmental benefit will be significantly dependent on support from sources external to the South East Asia region.	ML
3. Achievement of project goal and planned objectives	One of the project goals and part of one of the project's three objectives were superseded by the adoption of the Nagoya Protocol before project implementation began. The project achieved its goal of assisting participating countries to implement ABS by providing the opportunity for them to complete a national policy and regulatory regime, make further progress in developing draft national ABS laws and regulations, or to develop, or build the foundation for developing, a draft national ABS framework. Almost all participating countries still need to build capacity to develop and implement domestic measures to regulate ABS. The project achieved its objective of increasing understanding and capacity to a lesser degree – stakeholders' participation in the project enhanced their motivation to participate in implementing ABS more than it was able to build their capacity to do so.	MS
D. Sustainability and replication		
1. Financial	The project document did not fully address the issue of funding, from any source, to sustain project outcomes. Regional project partners anticipate that sustaining project outcomes will be entirely dependent on external funding. At the national level, the situation is somewhat more optimistic in some participating countries.	MU
2. Socio-political	At both national and regional levels there are socio-political factors that could either positively support or	ML

Criterion	Summary Assessment	Rating
	negatively affect the sustainability of project outcomes. Respondents from regional project partners indicated ways in which their institutions would seek to support the sustainability of project outcomes. Overall, the outlook is more positive than negative.	
3. Institutional framework	NPCs felt that national institutions and governance are either completely or primarily responsible for sustaining project outcomes. NPCs from half of the participating countries believed that government authorities responsible for ABS have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of the project. Regional institutions are strong enough to carry out the necessary work to follow up on the ASEAN ABS Project's outcomes.	ML
4. Environmental	The degree to which each participating country conserves its biological resources can influence the future flow of project benefits either positively or negatively. As stakeholders increase their understanding of ABS and their capacity to implement it, the potential for conserving biological resources should increase. A potential negative environmental impact that could result from up-scaling the project is that the lure of potential monetary benefits from ABS may provide incentives to harvest biological resources unsustainably and/or obtain associated traditional knowledge without appropriate safeguards for those who provide the traditional knowledge.	MU
5. Catalytic role and replication	The degree to which the project enabled a "champion" institution or individual and the degree to which project outcomes will have a catalytic role in implementing ABS vary considerably from country to country.	MS/ML
E. Efficiency	The regional project component and most country projects used cost-saving measures and built on other previous or existing initiatives.	S
F. Factors affecting project performance		
1. Preparation and readiness	None of the participating countries or regional project partners were involved in designing the project. The activities as designed would have produced all intended outputs and outcomes, but the project design did not adequately factor in the wide variation in the capacities of the participating countries to actually deliver the outputs. Once implementation began, some of the design deficiencies were remedied, which allowed the project to make progress and meet almost all of its output targets.	MS
2. Project implementation and management	Overall, the regional project partners played the roles expected of them and arrangements for project implementation and management were relatively responsive and adaptive. The IPSC was perceived to have effectively helped to guide the project and to resolve any problems. Overall, ACB was perceived to be responsive to requests from country projects and adapted project management to changes during implementation. UNU-IAS and the ASEAN Secretariat played the roles that other project participants expected them to play during the project. The project should have been better prepared for the scale of the variations in relatively implementation arrangements at the national level and the time it would take to put them into place and should have	MS

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
	accommodated and justified country-specific adaptations when it was clear that several country projects were struggling.	
3. Stakeholder participation and public awareness	All ABS stakeholders the countries identified participated in national consultations and workshops and most participated in at least one regional workshop. Respondents from about half of the countries perceived that awareness had increased significantly, while the others perceived that awareness had increased moderately or minimally.	MS
4. Country ownership and driven-ness	Three-quarters of NPCs believed that national government institutions in their countries assumed full responsibility or a great deal of responsibility for the project and provided all implementation support that the project requested. Private sector participation in the national projects was relatively low but private sector participation at the regional level was greater. NGO involvement varied from country to country.	MS
5. Gender and equity	Women were well-represented in project activities and outputs. Overall, youth were not well-represented in national project activities and outputs; the regional project did not use age as a basis for monitoring participation. ILCs were well-represented in Philippines, whose laws require their participation, but overall were not well-represented in national activities, although national outputs included ILCs to a moderate degree. ILCs were, in some cases, represented by government officials in at least one regional workshop. Regional outputs included roles for ILCs in implementing ABS.	MS
6. Financial planning and management	Financial reporting was done regularly. Co-financing was significantly greater than anticipated, particularly from AMS, but project accounting did not provide a break-down indicating which participating countries made in-kind contributions and what they were. ACB secured additional leveraged funding.	S
7. UNEP supervision and backstopping	The UNEP Task Manager maintained active engagement with the project management team throughout the duration of the project, providing guidance on administrative issues and participating in project events.	S
8. Monitoring and evaluation	The rating of M&E design is unsatisfactory, budgeting and funding for M&E was within UNEP parameters and therefore satisfactory, and M&E implementation was moderately satisfactory. The overall rating for monitoring and evaluation is, therefore, moderately satisfactory.	MS
a. M&E Design	Design deficiencies had to be rectified when the project began, which resulted in implementation delays.	U
b. Budgeting and funding for M&E activities	Budgeting and funding for M&E was within UNEP parameters in the project document and was maintained at that level throughout the project.	S
c. M&E plan implementation	The rating for M&E plan implementation takes into account the design deficiencies that the project team had to overcome balanced with the Task Manager's own assessment of implementation.	MS
Overall project rating	The project achieved almost 100% of its deliverables. It achieved its goal of enabling all countries that received project funding to work toward a national ABS framework to at least some degree. And the project created motivation within most participating countries to continue working to implement ABS. The primary challenge to	MS

Criterion	Summary Assessment	Rating
	ensuring sustainability of the project's outcomes is that all project partners perceive that this will be entirely or at least significantly dependent on support from sources external to the South East Asia region.	

General Ratings

HS = Highly Satisfactory

S = Satisfactory

MS = Moderately

Satisfactory

Ratings for sustainability sub-criteria

HL = Highly Likely

L = Likely

ML = Moderately Likely

General Ratings

MU = Moderately Unsatisfactory

U = Unsatisfactory

HU = Highly Unsatisfactory

Ratings for sustainability sub-criteria

MU = Moderately Unlikely

U = Unlikely

HU = Highly Unlikely

## 5.2 Lessons Learned

229. The fundamental lessons learned from the ASEAN ABS Project are:

- **Lesson 1.** After securing country endorsement to prepare a proposal, it would be advisable for project designers to carry out in-depth consultations with potential participating countries and other partners to understand the capacities and needs specific to each country, and the administrative context in which a project will have to function. The GEF Project Identification Form (PIF) template does not explicitly require this, but the issue could be addressed in the section on project justification. The ASEAN ABS Project is an example of how omitting this kind of context analysis at the design stage can impact a project's substantive work and create an uneven playing field for participating countries.
- **Lesson 2.** Recognizing that there may be a lapse of a year or more between project development and implementation, it would be advisable for the designers of future projects to specifically build in an inception phase that requires a critical review of project design at start-up, with substantive input from all project partners. During such a substantive inception phase, future projects would do well to: update the actual situation in participating countries and in the region against the context at the time the project document was written; assess the time and funding proposed for implementation against actual national capacity to deliver; revise project components and deliverables accordingly; and develop work plans on this basis. Carrying out this kind of capacity assessment at the very beginning of a project should provide valuable insight on how to revise the components, outcomes, deliverables and activities to focus on a particular capacity gap or gaps for all countries, groups of countries, or even individual countries.
- **Lesson 3.** If capacity assessments were not done as part of the project development process, these should be carried out at the beginning of the project, rather than after the project is already well into its implementation. If capacity assessments were done as part of the project development process and the results included in the project document, these should be reviewed and updated during the inception phase (see the lesson learned just above). This would provide a basis for revising the components, outcomes, deliverables and activities to focus on a particular capacity gap or gaps for all countries, groups of countries, or even individual countries.

230. This report lists specific findings that can be used to apply these lessons learned. Overall recommendations on issues that need to be taken into account in future project design are in the following paragraphs.

## 5.3 Recommendations

231. The following recommendations are made in the context of the sustainability of the project's results. They are framed with a view to the processes that are, or are likely to be, preparing to follow through on the project's outcomes, including project concepts and proposals in UNEP's and regional project partners' pipelines.

232. These recommendations are based on the evaluation's findings that:

- This capacity building project was more effective in creating motivation than in actually building capacity at the national level; and
- The most significant challenges the project faced were due to the fact that the project was not sufficiently prepared for the scale of the variations in implementation arrangements at the national level and the time it would take to put them into place and was unprepared to

react quickly to apply country-specific adaptations when it was clear that several country projects were struggling.

***Recommendation 1: Expanded pre-design consultation***

233. For future ABS projects in the ASEAN region, project designers should use the capacity assessment report this project produced, review the recommendations for improving project management that national and regional project partners made that were based on their actual experience with implementing this project, and consult in-depth with potential participating countries to structure initiatives that are realistic within the scope of the funding and time available and that are achievable within the capacity of participating countries.

***Recommendation 2: Customize support to participating countries in regional ABS projects***

234. For future projects on ABS at a regional level, designers need to build in flexibility that would give project executing agencies and participating countries the opportunity to customize the project at national level and accommodate the administrative costs this would entail. Customizing would allow for incremental steps in countries that need to build awareness and understanding before they can even begin to structure policy and regulatory systems.

***Recommendation 3: Explicit connection between ABS and biodiversity conservation***

235. The project's third objective was to improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods. The project document highlighted that "[...]effective ABS strategies are needed to secure the conservation and sustainable use of the biodiversity of the countries, [...]" but it did not develop the connections among the three pillars of the CBD: conservation, sustainable use, and ABS. The Mid-Term Evaluation of the ASEAN ABS Project indicated that the environment criterion of the evaluation was not applicable. This evaluation nevertheless indicates issues that may arise in the context of ABS and environmental sustainability. The design of future ABS projects should not only make the connection between ABS and biodiversity conservation a basic element of the overall context for the project, but should explicitly integrate that connection into the project's objectives, components, activities and deliverables. It would be counter-productive to simply promote ABS for its own sake and/or as a means to generate revenue.

## UNEP Evaluation Quality Assessment

Evaluation Title:

Terminal Evaluation of the Project “Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing benefits (ASEAN ABS Project)”

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP EO Comments	Draft Report Rating	Final Report Rating
<b>Substantive report quality criteria</b>			
A. <b>Quality of the Executive Summary:</b> does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: Well written, but lacks summary on relevance. Some summaries for factors affecting performance do not match with the ratings. Final report: Fixed – good summary	4	5
B. <b>Project context and project description:</b> Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Well done Final report: Unchanged	5	5
C. <b>Strategic relevance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Draft report: Focusses mainly on viewpoints collected through questionnaires – lacks the evaluators own judgement Final report: Better balanced and evidence based	3	5
D. <b>Achievement of outputs:</b> Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Too little on quality and usefulness; seems like consultant has not verified/analysed many outputs. Bulk is in annex: could be moved to main report. Final report: Better but still too little detail	3	4
E. <b>Presentation of Theory of Change:</b> Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: Overall OK. Some issues with direct outcomes and drivers Final report: Fixed	4	5

F.	<b>Effectiveness - Attainment of project objectives and results:</b> Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Some direct outcomes need to be adjusted and so does their assessment. Focuses mainly on viewpoints collected through questionnaires – lacks the evaluators own judgement. Achievement of project goal not detailed enough on extent of achievement. Final report: Much improved.	3	5
G.	<b>Sustainability and replication:</b> Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Well done Final report: Unchanged	5	5
H.	<b>Efficiency:</b> Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Draft report: Acceptable but little detail Final report: Unchanged	4	4
I.	<b>Factors affecting project performance:</b> Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Largely based on viewpoints collected through questionnaires – lacks the evaluators own judgement. Final report: Better balance between stakeholder views and evaluator's judgement	4	5
J.	<b>Quality of the conclusions.</b> Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Well done with without and with comparison Final report: Unchanged	5	5
K.	<b>Quality and utility of the recommendations:</b> Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Some recommendations difficult to track – would be better as lessons Final report: Fixed – good recommendations	4	5
L.	<b>Quality and utility of the lessons:</b> Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Ok Final report: Unchanged	5	5
<b>Report structure quality criteria</b>				
M.	<b>Structure and clarity of the report:</b> Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Yes, though a lot of analysis is in annex which makes the report hard to read Final report: Yes	4	5
N.	<b>Evaluation methods and information sources:</b> Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations	Draft report: Yes, though the limitations of a largely questionnaire-based evaluation should be made more explicit. Final report: Done	4	5

provided? Are the limitations of evaluation methods and information sources described?			
O. <b>Quality of writing:</b> Was the report well written? (clear English language and grammar)	Draft report: Very good Final report: Very good	6	6
P. <b>Report formatting:</b> Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Formatting is fine but was done manually – no used of MS Word styles Final report: Same	4	4
<b>OVERALL REPORT QUALITY RATING</b>		4.2	4.9

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

	UNEP EO Comments		Rating
<b>Evaluation process quality criteria</b>			
Q. <b>Preparation:</b> Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Budget was approved. Inception report was prepared after travel.		4
R. <b>Timeliness:</b> Was a TE initiated within the period of six months before or after project completion? Was a MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	TE was initiated on time but took over one year to be finalised due to long delays in receiving country responses, and many iterations of the draft inception and main report.		3
S. <b>Project's support:</b> Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Responsiveness of global and national executing partners was not great, but overall acceptable.		4
T. <b>Recommendations:</b> Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Yes		6
U. <b>Quality assurance:</b> Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	The report was NOT peer reviewed. A quality assessment of the draft and final report was completed.		3
V. <b>Transparency:</b> Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s)	Draft TORs were not shared with evaluation stakeholders. The draft evaluation report was sent directly to EO. Comments were only received from the UNEP Task Manager (it was sent to global and national project partners but no comments were received). The Task Manager only made a few minor comments not worth circulating. A response		5

prepare a response to all comments?	was sent to the TM to show changes made in the report following his comments.		
W. <b>Participatory approach:</b> Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?	Yes, but the fact that no comments were received from project partners might indicate that sending them the report was not the most appropriate way to communicate findings. Also the report is in English which might not be easily accessible to all participating countries.		4
X. <b>Independence:</b> Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes		6
<b>OVERALL PROCESS RATING</b>			4.4

Rating system for quality of evaluation reports

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

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

# **TERMINAL EVALUATION REPORT**

**of the project**

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

**ANNEXES**

**31 July 2015**

## Annexes

### Annex 1 Portfolio Evaluation Terms of Reference

## TERMS OF REFERENCE

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

#### 1. PROJECT BACKGROUND AND OVERVIEW

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

##### i. Rationale of the portfolio projects<sup>19</sup>

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

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

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<sup>19</sup> Sources: Convention on Biological Diversity: Introduction to access and benefit-sharing (<https://www.cbd.int/abs/infokit/revised/web/all-files-en.pdf>); UNEP/GEF project documents for the evaluated projects.

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

13. The project aimed to ensure that the principles of conservation, sustainability, equity and justice of the CBD in regards to access and benefit sharing and the protection of traditional knowledge are incorporated in the development and implementation of public policies, norms, programs and activities in Latin America and

the Caribbean. The overall objective of the project was to strengthen the capacities of the nine countries to develop and / or comply with national policy and legal frameworks regarding access to genetic resources, benefit sharing and the protection of traditional knowledge. The Project consisted of three technical components that focused on (i) capacity building of stakeholders through knowledge transfer and knowledge management, (ii) capacity building for integration and application of ABS and TK regimes and for negotiating contracts and agreements, and (iii) capacity building for comprehensive cross-implementation of the various international treaties that relate to ABS and TK.

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

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

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

**a. 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)***

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

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

17. The ABS Africa project was designed to support the development, implementation and revision of ABS frameworks in Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa. The project aimed to

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

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

18. 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)**

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

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

20. 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.

## **b. Executing Arrangements**

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.

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.

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

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.

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

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.

### c. Project Cost and Financing

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.

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

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

	<b>ABS Global</b>	<b>ABS Africa</b>	<b>ABS Asean</b>	<b>ABS LAC</b>	<b>ABS India</b>
<i>Cost to the GEF Trust Fund</i>	944,750	1,177,300	750,000	850,000	3,561,000

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

#### d. Progress and Implementation

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

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.

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.

The **ABS LAC** project underwent a Mid-Term Review in early 2013, which found that the project was relevant and timely response to the increasing needs in LAC countries regarding ABS and rated the overall effectiveness of the project as satisfactory. The project has been successful in increasing understanding of and improving negotiation skills for ABS contracts, but the review noted that additional effort and financial support may be needed. It was noted that the project’s limited budget is a challenge to implementing a regional project and

therefore the project mainly focused on creating conditions for national authorities to develop and increase their understanding on ABS. The MTR noted some shortcomings in terms of active stakeholder involvement and country ownership, which may have negative implications on project's sustainability if not strengthened. The PIR 2013 rated the project's overall progress towards meeting its objectives as Satisfactory.

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

## 2. TERMS OF REFERENCE FOR THE EVALUATION

### a. Objective and Scope of the Evaluation

In line with the UNEP Evaluation Policy<sup>20</sup>, the UNEP Evaluation Manual<sup>21</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>22</sup>, the Portfolio Evaluation of the five UNEP/GEF Access and Benefit Sharing projects is undertaken six months after or prior to the completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

### b. Overall Approach and Methods

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

The evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. The consultant team will deliver concise evaluation reports for each of the five individual projects following the evaluation approach and methods described in this Terms of Reference. In addition, the consultant team will prepare the main portfolio evaluation report, bringing the findings of the five evaluations together, identifying

<sup>20</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>21</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>22</sup> [http://www.thegef.org/gef/sites/thegef.org/files/documents/TE\\_guidelines7-31.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf)

commonalities and differences in project designs and their implementation, and most importantly, drawing lessons to be applied in future ABS – projects by UNEP, GEF and their partners.

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;

Interviews with:

- UNEP Task Managers (Nairobi, Washington, Bangkok) and Fund Management Officers (Nairobi, Moscow);
- Respective project management and execution support;
- Respective project stakeholders, including relevant government agencies, NGOs, academia and local communities;
- Relevant staff of GEF Secretariat; and
- Representatives of other multilateral agencies and other relevant organisations.

**Country visits.** The five ABS projects were implemented in six African countries; Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa; ten Southeast Asian countries (Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam, together with Timor Leste); nine Latin American and Caribbean countries; Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Guyana, Panama and Peru; and in India. One of the projects was a global initiative. The countries to be visited will be determined in consultation with the Project Teams, the UNEP Evaluation Office and the Evaluation Team, however, including all projects and taking into consideration budgetary and logistical restrictions.

### c. Key Evaluation principles

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.

The evaluation will assess the five projects, and further the entire portfolio, with respect to a **minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4)

Complementarity with the UNEP strategies and programmes. The evaluation should also assess cross-cutting issues, especially (5) gender mainstreaming and integration of social and environmental safeguards at design and during implementation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

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

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

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

#### d. Evaluation criteria

##### B. Strategic relevance

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

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

##### C. Achievement of Outputs

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

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

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

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

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

- (a) Evaluation of the **achievement of direct outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. Assessment of the **likelihood of impact** using a *Review of Outcomes to Impacts* (ROtI) approach as summarized in Annex 6 of the TORs. Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the projects' direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.
- Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the projects' own results statements as presented in the original logframes 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 projects, adding other relevant indicators as appropriate. Briefly explain what factors affected the projects' success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

#### E. Sustainability and replication

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

Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of projects results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the projects

results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the projects?

*Financial resources.* To what extent are the continuation of projects results and the eventual impact of the projects dependent on continued financial support? What is the likelihood that adequate financial resources<sup>23</sup> will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the projects? Are there any financial risks that may jeopardize sustenance of projects results and onward progress towards impact?

*Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining projects results and to lead those to impact on human behaviour and environmental resources?

*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?

**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;

Provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;

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;

Contributed to *policy changes* (on paper and in implementation of policy);

Contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;

Created opportunities for particular individuals or institutions ("*champions*") to catalyse change (without which the project would not have achieved all of its results).

*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

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<sup>23</sup> Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

funded by other sources). The evaluation will assess the approach adopted by the projects to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of experiences and lessons from the projects?

## F. Efficiency

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

## G. Factors and processes affecting project performance

**Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders<sup>24</sup> adequately identified? Were the objectives and components of the five projects clear, practicable and feasible within their timeframes? Were the capacities of executing agencies properly considered when the projects were designed? Were the project documents clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to implementation of the projects? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the projects were designed<sup>25</sup>? The evaluation should also specifically assess the complementarity of the portfolio projects; were projects designed jointly or in separation, were complementarities and synergies identified, and what was the relation of the ABS – Global project vis-à-vis the regional/ national projects.

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

- (a) Ascertain to what extent the implementation mechanisms outlined in the project documents have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- Evaluate the effectiveness and efficiency of project management of each of the projects and how well the management was able to adapt to changes during the life of the projects.
- Assess the role and performance of the units and committees established and the execution arrangements of the projects at all levels.

<sup>24</sup> Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

<sup>25</sup> <http://www.thegef.org/gef/node/4562>

Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations in each of the five projects.

Identify operational and political / institutional problems and constraints that influenced the effective implementation of the projects, and how the project partners tried to overcome these problems. How did the relationship between the project management team and the local executing agencies develop?

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?

For the projects that underwent a Mid-term Review, assess the extent to which MTR recommendations were followed in a timely manner.

Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

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

- (a) The approach(es) used to identify and engage stakeholders in the design and implementation of the projects. What were the strengths and weaknesses of these approaches with respect to the projects' objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the projects?

The degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the projects; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;

How the results of the projects (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including in decision making.

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

- (a) In how far have the Governments assumed responsibility for the projects and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the projects and the timeliness of provision of counter-part funding to project activities?

To what extent have the political and institutional frameworks been conducive to project performance?

To what extent has the participation of the private sector, local communities and non-governmental organisations been encouraged in the projects?

How responsive were the government partners to project coordination and guidance, and to UNEP supervision?

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

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the projects and their partners;
- (b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced performance of the projects;

Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the projects overall, and to support projects activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 3).

Describe the resources the projects have leveraged since inception and indicate how these resources are contributing to the ultimate objectives of the projects. Leveraged resources are additional resources—beyond those committed to the project at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

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.

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

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

- (a) *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:  
Quality of the project logframes (original and possible updates) as a planning and monitoring instruments; analyse, compare and verify correspondence between the original logframes in the Project Documents, possible revised logframes and the logframes used in Project Implementation Review reports to report progress towards achieving project objectives;

SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives of each of the projects? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?

Adequacy of baseline information: To what extent have baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?

Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were users of the projects involved in monitoring?

Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?

Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

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

The M&E system was operational and facilitated timely tracking of results and progress towards objectives of the projects throughout the project implementation periods;

Annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;

The information provided by the M&E system was used during the implementation of the projects to improve project performance and to adapt to changing needs.

*Use of GEF Tracking Tools.* These are portfolio monitoring tools intended to roll up indicators from the individual project level to the GEF portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool<sup>26</sup> to meet its unique needs; the relevant tracking tool for the ABS Projects is the *Biodiversity Tracking Tool*. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tools for these projects, and whether the information provided is accurate.

## H. Complementarities with UNEP strategies and programmes

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

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

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<sup>26</sup> [http://www.thegef.org/gef/tracking\\_tools](http://www.thegef.org/gef/tracking_tools)

to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)<sup>27</sup> would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.

*Alignment with the Bali Strategic Plan (BSP)*<sup>28</sup>. The outcomes and achievements of the projects should be briefly discussed in relation to the objectives of the UNEP BSP.

*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?

*South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the projects that could be considered as examples of South-South Cooperation.

#### e. The Consultants' Team

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

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

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

#### f. Evaluation Deliverables and Review Procedures

The evaluation team will prepare an **inception report** for the ABS Portfolio Evaluation (see Annex 1(a) of ToRs for Inception Report outline) containing a thorough review of the context of the portfolio and the respective

<sup>27</sup> <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

<sup>28</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

projects, review of project design quality, a draft reconstructed Theory of Change of the ABS portfolio and the individual projects, the evaluation framework and a tentative evaluation schedule.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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.

The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluation consultants and UNEP Evaluation Office on project ratings,

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

#### **g. Logistical arrangement**

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

#### **h. Schedule of the evaluation**

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

**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.

**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.

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

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

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

**Annexes to the TORs can be obtained from the UNEP Evaluation Office**

**Annex 2 Milestones for the ASEAN ABS Project Evaluation**

<b>Milestone</b>	<b>Date</b>
Initial consultations and interviews with ACB, UNU-IAS, the ASEAN Secretariat, and NPCs during the ICNP-3, Pyeongchang, South Korea	24 February – 3 March 2014
Development of the evaluation questionnaire	1 March-5 July 2014
Country visit to Vientiane, Lao PDR	30 June-5 July 2014
Last questionnaire received	14 January 2015
Data compilation including analysis of responses to questionnaires and follow-up interviews and consultations	20 February 2014– 15 May 2015

**Annex 3 Individuals interviewed**

<b>Country/Institution</b>	<b>Individual interviewed</b>
Brunei	No interview
Cambodia	Ms. Somaly Chan, ABS National Focal Point
Indonesia	Ms. Lulu Agustina, Ministry of Environment
Lao PDR	Dr. Souroudong Sundara, ABS National Focal Point/National Project Director, Director General of Biotechnology and Ecology Institute (BEI)
	Ms. Kongchay Phimmakong, National Project Coordinator
	Mr. Kosonh Xayphakatsa, Director of Genetic Resources Division, BEI
	Mrs. Somsanith Boamanivong, Director of Ecology Division, BEI
	Dr. Chay Bounphanousay, Director of Agriculture Research Centre/ACB Contact Point
	Ms. Kongpanh Kanyavong, Deputy Director of Agriculture Research Centre
	Dr. Vichith Lamxay, Head of Postgraduate Affairs, Biology Department, Faculty of Science, National University of Laos (NUOL)
	Prof. Dr. Chanda Vongsombath, Deputy Dean, Faculty of Environment Sciences, NUOL
	Mr. Phanthavong Vongsamphanh, Deputy Head of Planning Division, Department of Livelihood and Fishery, Ministry of Agriculture and Fisheries (MAF)
	Dr. Mouachanh Xayvue, Head of Pharmacognosy Division, Institute of Traditional Medical
	Mr. Anousa Senesombath, Technical staff, Import & Export Department, Ministry of Industry & Trade
	Mr. Khamphanh Nanthavong, CBD National Focal Point/Director General of Forest Resources Management Department, Ministry of Natural Resources and Environment (MONRE)
Malaysia	Ms. Therese Tiu Kok Moi, Assistant Project Focal Point, Assistant National Project Coordinator
Myanmar	Mr. Hla Muang Thein, National Project Coordinator, Deputy Director General, Environmental Conservation Department
	Ms. Khin Thida Tin, Deputy Director Environmental Conservation Department
Philippines	No interview
Singapore	Ms. Wendy Yap, Assistant Director (International Relations) National Biodiversity Centre, National Parks Board
	Ms. Samantha Lai, Manager, Biodiversity, National Parks Board

<b>Country/Institution</b>	<b>Individual interviewed</b>
Thailand	Dr. Sirikul Bunpapong, Director, Biological Diversity Division, Office of Natural Resources and Environmental Policy and Planning (ONEP)
	Ms. Somawan Sukprasert, National Project Coordinator, Technical Officer, ONEP
	Ms. Ms. Pattarin Tongsima, ONEP
Timor-Leste	Dr. Marcal Gusmão, National Project Coordinator and ABS Focal Point
Viet Nam	Ms. Hoang Thi Thanh Nhan, National Project Coordinator
ASEAN Secretariat	Mr. Raman Letchumanan, (former) Head, Environment Division
ACB	Mr. Roberto Oliva, Executive Director
	Ms. Clarissa Arida, Director, Programme Development and Implementation,
	Mr. Anthony Foronda, Regional Project Coordinator
UNU-IAS	Mr. Geoff Burton, Senior Fellow, principal UNU-IAS resource person for the ASEAN ABS Project

## Annex 4 Consolidated Evaluation Questionnaire

UNEP/GEF Project: Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing of benefits (ASEAN)

### Terminal Evaluation Questionnaire

Name:
Institution/Organization:
Role in the project:

#### The project objectives were:

1. Strengthen the capacity of Southeast Asian countries to implement the CBD provisions on ABS through the development of full and effective national ABS frameworks;
2. Increase understanding of ABS issues among stakeholders and the general public and strengthen national capacity for country negotiators to have full understanding of issues and preferred options in the negotiation on the international ABS regime in a way that protects national interests and promotes equitable benefit sharing; and
3. Improve public understanding of the contribution ABS can make to biodiversity conservation and sustainable livelihoods.

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

1. Participating countries enabled towards agreement on national ABS framework
2. Enhanced capacity of and participation by stakeholders in development and implementation of national ABS frameworks
3. Enhanced cooperation and sharing of learning experiences on ABS among participating countries' stakeholders
4. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among ASEAN Member States (AMS) and Timor-Leste

QUESTIONS ARE GROUPED IN SECTIONS TO MAKE FILLING IN THE QUESTIONNAIRE EASIER	
<b>General</b>	<b>2</b>
<b>Relevance</b>	<b>3</b>
<b>Achievement of outputs</b>	<b>6</b>
<b>Sustainability and replication</b>	<b>39</b>
<b>Project's role in promoting ABS frameworks and action</b>	<b>42</b>
<b>Efficiency – cost effectiveness and timeliness</b>	<b>44</b>
<b>Factors affecting performance</b>	<b>45</b>
Preparedness and readiness	<b>45</b>
Project implementation and management	<b>46</b>
Stakeholder participation and public awareness	<b>51</b>
Country ownership	<b>54</b>
Gender and equity	<b>58</b>

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

## GENERAL

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

1. Highly relevant	I.
2. Relevant	II.
3. Moderately Relevant	III.
4. Moderately not relevant	IV.
5. Not relevant	V.
6. Completely irrelevant	VI.
Why did you choose this rating?	

VII.

2. **What is your overall opinion of how the project was implemented by the National Project Coordination?**

1. Extremely well	VIII.
2. Very well	IX.
3. Well	X.
4. Moderately well	XI.
5. Moderately not well	XII.
6. Not well at all	XIII.
Why did you choose this rating?	

XIV.

3. **What is your overall opinion of how the project was executed by the ASEAN Centre for Biodiversity (ACB)?**

1. Extremely well	XV.
2. Very well	XVI.
3. Well	XVII.
4. Moderately well	XVIII.
5. Moderately not well	XIX.
6. Not well at all	XX.
Why did you choose this rating?	

XXI.

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

I. Participating countries enabled towards agreement on national ABS framework	
II. Enhanced capacity of and participation by stakeholders in development and implementation of national ABS frameworks	
III. Enhanced cooperation and sharing of experiences on ABS among participating countries' stakeholders	
IV. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among AMS and Timor-Leste	
Why did you choose this ranking?	

XXII.

## RELEVANCE

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

1. High priority	XXIII.
2. Priority	XXIV.
3. Medium priority	XXV.
4. Low priority	XXVI.
5. Very low priority	XXVII.
6. Not a priority	XXVIII.
Why did you choose this rating?	

6. What is the relative priority of ABS for regional biodiversity conservation and research/bioprospecting/commodity development/community rights and welfare in ASEAN? (choose one)

1. High priority	XXIX.
2. Priority	XXX.
3. Medium priority	XXXI.
4. Low priority	XXXII.
5. Very low priority	XXXIII.
6. Not a priority	XXXIV.
Why did you choose this rating?	

XXXV.

7. Were the project objectives consistent with national issues and needs with respect to ABS?

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

XXXVI.

8. Were the project objectives consistent with ASEAN regional issues and needs with respect to ABS?

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

9. To what extent were the project outcomes relevant for your country? (for each project outcome, choose one)

i. Countries enabled to work toward agreement on a national ABS framework

1. Highly relevant	XXXVI.
2. Relevant	XXXVII.
3. Moderately Relevant	XXXIX.
4. Moderately not relevant	XL.
5. Not relevant	XLI.
6. Completely irrelevant	XLII.
Why did you choose this rating?	

XLIII.

ii. Enhanced capacity of and participation by stakeholders in developing and implementing a national ABS framework

1. Highly relevant	XLIV.
2. Relevant	XLV.
3. Moderately Relevant	XLVI.
4. Moderately not relevant	XLVII.
5. Not relevant	XLVIII.
6. Completely irrelevant	XLIX.
Why did you choose this rating?	

L.

iii. Enhanced cooperation and sharing of experiences on ABS among national stakeholders

1. Highly relevant	LI.
2. Relevant	LII.
3. Moderately Relevant	LIII.
4. Moderately not relevant	LIV.
5. Not relevant	LV.
6. Completely irrelevant	LVI.
Why did you choose this rating?	

**iv. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among AMS and Timor-Leste**

1. Highly relevant	LVII.
2. Relevant	LVIII.
3. Moderately Relevant	LIX.
4. Moderately not relevant	LX.
5. Not relevant	LXI.
6. Completely irrelevant	LXII.
Why did you choose this rating?	

**10. To what extent were the project outcomes relevant for ASEAN? (for each project outcome, choose one)**

**i. Participating countries were enabled to work toward agreement on national ABS frameworks**

1. Highly relevant	LXIII.
2. Relevant	LXIV.
3. Moderately Relevant	LXV.
4. Moderately not relevant	LXVI.
5. Not relevant	LXVII.
6. Completely irrelevant	LXVIII.
Why did you choose this rating?	

**ii. Enhanced capacity of and participation by stakeholders in developing and implementing national ABS frameworks**

1. Highly relevant	LXIX.
2. Relevant	LXX.
3. Moderately Relevant	LXXI.
4. Moderately not relevant	LXXII.
5. Not relevant	LXXIII.
6. Completely irrelevant	LXXIV.
Why did you choose this rating?	

**iii. Enhanced cooperation and sharing of experiences on ABS among participating countries' stakeholders**

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

LXXXI.

**iv. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among AMS and Timor-Leste**

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

LXXXVIII.

## ACHIEVEMENT OF OUTPUTS

11. Participating countries, ACB, UNU-IAS had lead responsibility for several outputs and shared lead responsibility for several other outputs with each other and with the ASEAN Secretariat. Please rank each of these (choose one response in each case):

### Expected Outcome I.

- (1) **National ABS policy, legislative and institutional capacity assessment report (Output 1.1/1.1.1; co-leads: ACB and participating countries)**

1. Completed on time according to the grant agreement/work plan	LXXXI.
2. Completed with minimal delay	XC.
3. Completed with significant delay	XCI.
4. Partly completed	XCII.
5. Not completed	XCIII.
6. Not an output for my country's project	XCIV.
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

### XCV.

#### i. The quality of this output was:

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

### CII.

#### ii. This output was:

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

### CIX.

- (2) **Official appointment of National Focal Points (NFP) and Competent National Authorities (CNA) (Output 1.1.2, lead: participating countries)**

1. Completed on time according to the grant agreement/work plan	CX.
2. Completed with minimal delay	CXI.
3. Completed with significant delay	CXII.
4. Partly completed	CXIII.
5. Not completed	CXIV.
6. Not an output for my country's project	CXV.
Why did you choose this rating?	

**i. This output was:**

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

**(3) Drafting instructions for ABS legislation, draft ABS and PIC procedures, and engagement strategy for indigenous and local communities (ILCs) and resource providers (Output 1.1.3, lead: participating countries)**

1. Completed on time according to the grant agreement/work plan	CXXIII
2. Completed with minimal delay	CXXIV
3. Completed with significant delay	CXXV.
4. Partly completed	CXXVI
5. Not completed	CXXVI
6. Not an output for my country's project	CXXVI
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**CXXIX.**

**i. The quality of this output was:**

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

**CXXXVI.**

**ii. This output was:**

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

(4) Consolidated policy review document of and proposal document for amendments to countries with ABS policies prior to project start (*Output 1.1.4, lead: ACB and participating countries*)

When was this output final and available to all project partners?	
1. Completed prior to project start	CXLIV
2. Completed with minimal delay	CXLV.
3. Completed with significant delay	CXLVI
4. Completed, but too late to be useful for the national project	CXLVI
5. Partly completed	CXLVI
6. Not completed	CXLIX
Why did you choose this rating?	

**CL.**

**i. The quality of this output was:**

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

**CLVII.**

**ii. This output was:**

1. Extremely useful	CLVIII
2. Very useful	CLIX.
3. Useful	CLX.
4. Somewhat useful	CLXI.
5. Of little use	CLXII.
6. Not useful at all	CLXIII.
Why did you choose this rating?	
CLXIV. How did you/your organization use this output?	
CLXV. How will you/your organization use this output in the future?	

(5) Document with compiled media and materials/references from stakeholders (*Output 1.2, co-leads: ACB, UNU-IAS, and participating countries*)

1. Completed on time according to the grant agreement/work plan	CLXVI
2. Completed with minimal delay	CLXVI
3. Completed with significant delay	CLXVI
4. Partly completed	CLXIX.
5. Not completed	CLXX.
6. Not an output for my country's project	CLXXI.
a. Why did you choose this rating?	
b. Which stakeholders contributed to this output and what did each participating stakeholder contribute?	

**CLXXII.**

**i. The quality of this output was:**

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

**ii. This output was:**

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

CLXXXVI.

**(6) Toolkits and manuals on ABS-related topics including traditional knowledge (TK), prior informed consent (PIC) procedures, role of customary law, and best practices for developing ABS policy (Output 1.2.1; lead: UNU-IAS)**

When were these outputs final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	CLXXX
2. Completed with minimal delay	CLXXX
3. Completed with significant delay	CLXXX
4. Completed, but too late to be useful for the national project	CXC.
5. Partly completed	CXCI.
6. Not completed	CXCII.
Why did you choose this rating?	

**CXCIII.**

**i. The quality of these outputs was:**

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

**CC.**

**ii. These outputs were:**

1. Extremely useful	CCI.
2. Very useful	CCII.
3. Useful	CCIII.
4. Somewhat useful	CCIV.
5. Of little use	CCV.
6. Not useful at all	CCVI.
Why did you choose this rating?	
CCVII. How did you/your organization use these outputs?	
CCVIII. How will you/your organization use these outputs in the future?	

**(7) Consensus/agreement/resolution by stakeholders in support of harmonizing ABS national framework/National roadmap for ABS framework (Output 1.3, co-leads: ACB and participating countries)**

1. Completed on time according to the grant agreement/work plan	CCIX.
2. Completed with minimal delay	CCX.
3. Completed with significant delay	CCXI.
4. Partly completed	CCXII.
5. Not completed	CCXIII
6. Not an output for my country's project	CCXIV
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**i. The quality of this output was:**

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

**CCXXI.**

**ii. This output was:**

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

CCXXVIII.

**(8) Policy and/or official instructions for a participatory approach to developing an effective ABS policy (Output 1.3.1, co-leads: ACB and participating countries)**

1. Completed on time according to the grant agreement/work plan	CCXXI
2. Completed with minimal delay	CCXXI
3. Completed with significant delay	CCXXI
4. Partly completed	CCXXI
5. Not completed	CCXXI
6. Not an output for my country's project	CCXXI
Why did you choose this rating?	

**CCXXXV.**

**i. The quality of this output was:**

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

**CCXLII.**

**ii. This output was:**

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

(9) **Reports of 2 national consultations/workshops (Output 1.3.2, lead: participating countries)**

1. Completed on time according to the grant agreement/work plan	CCXLI
2. Completed with minimal delay	CCL.
3. Completed with significant delay	CCLI.
4. Partly completed	CCLII.
5. Not completed	CCLIII
6. Not an output for my country's project	CCLIV
a. Why did you choose this rating?	
b. Which stakeholders participated in producing these outputs and what did each participating stakeholder do?	

**CCLV.**

**i. The quality of these outputs was:**

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

**CCLXII.**

**ii. These outputs were:**

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

CCLXIX.

**Expected Outcome II.**

(10) **Profile directory of key stakeholders (Output 2.1, co-leads: ACB and participating countries)**

1. Completed on time according to the grant agreement/work plan	CCLXX
2. Completed with minimal delay	CCLXX
3. Completed with significant delay	CCLXX
4. Partly completed	CCLXX
5. Not completed	CCLXX
6. Not an output for my country's project	CCLXX
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**CCLXXVI.**

**i. The quality of this output was:**

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

**ii. This output was:**

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

CCXC.

**(11) Lecture/training report from each participating country (Output 2.1.1; lead: UNU-IAS)**

When were these outputs final and available?	
1. Completed on time according to the schedule of deliverables	CCXCI
2. Completed with minimal delay	CCXCI
3. Completed with significant delay	CCXCI
4. Completed, but too late to be useful for national projects	CCXCI
5. Partly completed	CCXCV
6. Not completed	CCXCV
Why did you choose this rating?	

CCXCVII.

**i. The quality of these outputs was:**

1. Very high quality	CCXCV
2. High quality	CCXCI
3. Good quality	CCC.
4. Moderate quality	CCCI.
5. Poor quality	CCCII.
6. Of such poor quality that they could not be used	CCCIII
Why did you choose this rating?	

CCCIV.

**ii. These outputs were:**

1. Extremely useful	CCCV.
2. Very useful	CCCVI
3. Useful	CCCVI
4. Somewhat useful	CCCVI
5. Of little use	CCCIX
6. Not useful at all	CCCX.
Why did you choose this rating?	
CCCXI. How did ACB use these outputs?	
CCCXII. How will ACB use these outputs in the future?	

**(12) ABS toolkits and materials in appropriate languages for ILCs and trainers (Output 2.1.2; co-leads: ACB and UNU-IAS)**

When were these outputs final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	CCCXI
2. Completed with minimal delay	CCCXI
3. Completed with significant delay	CCCXI
4. Completed, but too late to be useful for national projects	CCCXI
5. Partly completed	CCCXI
6. Not completed	CCCXI
Why did you choose this rating?	

**i. The quality of these outputs was:**

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

CCCXXVI.

**ii. These outputs were:**

1. Extremely useful	CCCX
2. Very useful	CCCX
3. Useful	CCCX
4. Somewhat useful	CCCX
5. Of little use	CCCX
6. Not useful at all	CCCX
Why did you choose this rating?	
CCCXXXIII. How did you/your organization use these outputs?	
CCCXXXIV. How will you/your organization use these outputs in the future?	

CCCXXV.

**(12) Draft educational materials for tertiary, secondary and informal education on ABS and TK (Output 2.1.3, co-leads: participating countries and ACB)**

1. Completed on time according to the grant agreement/work plan	CCCX
2. Completed with minimal delay	CCCX
3. Completed with significant delay	CCCX
4. Partly completed	CCCX
5. Not completed	CCCX
6. Not an output for my country's project	CCCX
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**CCCXLII.**

**i. The quality of this output was:**

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

**CCCXLIX.**

**ii. This output was:**

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

(13) **Regional ABS website containing downloadable information products (Output 2.2; lead: ACB)**

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	CCCLV
2. Completed with minimal delay	CCCLV
3. Completed with significant delay	CCCLV
4. Completed, but too late to be useful for national projects	CCCLV
5. Partly completed	CCCLV
6. Not completed	CCCLV
Why did you choose this rating?	

**CCCLXIII.**

**i. The quality of this output was:**

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

**CCCLXX.**

**ii. This output was:**

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

(14) **Network/group (E-mail group) of government appointed ABS National Focal Points and Competent National Authority representatives (Friends of Biodiversity – ABS NFPs and CNAs) (Output 2.3; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)**

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	CCCLX
2. Completed with minimal delay	CCCLX
3. Completed with significant delay	CCCLX
4. Completed, but too late to be useful for national projects	CCCLX
5. Partly completed	CCCLX
6. Not completed	CCCLX
Why did you choose this rating?	

**CCCLXXXIV.**

**i. The quality of this output was:**

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

**ii. This output was:**

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

(15) **Regional stakeholder and institutional initial capacity analyses report, analysing possible roles, responsibilities, and capacities (Output 2.3.1; co-leads: ACB and participating countries. The first analysis was included in the mid-term evaluation report)**

**i. The quality of this output was:**

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

CDVI.

**ii. This output was:**

1. Extremely useful	CDVII.
2. Very useful	CDVIII.
3. Useful	CDIX.
4. Somewhat useful	CDX.
5. Of little use	CDXI.
6. Not useful at all	CDXII.
Why did you choose this rating?	
CDXIII.	How did you/your organization use this output?
CDXIV.	How will you/your organization use this output in the future?

(16) **Regional workshop for representatives of local and indigenous communities to prepare for participation in national processes (Output 2.3.2; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)**

1. Convened on time according to the schedule of deliverables	CDXV.
2. Convened with minimal delay	CDXVI.
3. Convened with significant delay	CDXVII.
4. Convened, but too late to be useful for national projects	CDXVIII.
5. Never convened	CDXIX.
6. Not scheduled	CDXX.
Why did you choose this rating?	

CDXXI.

**i. The quality of this output was:**

1. Very high quality	CDXXI.
2. High quality	CDXXII.
3. Good quality	CDXXIII.
4. Moderate quality	CDXXIV.
5. Poor quality	CDXXV.
6. Of such poor quality that it was a waste of time	CDXXVI.
Why did you choose this rating?	

**ii. This output was:**

1. Extremely useful	CDXXI
2. Very useful	CDXXII
3. Useful	CDXXIII
4. Somewhat useful	CDXXIV
5. Of little use	CDXXV
6. Not useful at all	CDXXVI
Why did you choose this rating?	
CDXXV. How did you/your organization benefit from this output?	
CDXXVI. How will you/your organization use what was learned during this output in the future?	

**(17) Educational manuals and tools on ABS and TK and regional training of trainers (Output 2.3.3; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)**

When were these outputs final and available to all project partners?	
1. Completed prior to project start or on time according to the schedule of deliverables	CDXXVII
2. Completed with minimal delay	CDXXVIII
3. Completed with significant delay	CDXXIX
4. Completed, but too late to be useful for national projects	CDXXX
5. Partly completed	CDXXXI
6. Not completed	CDXXXII
Why did you choose this rating?	

CDXLIII.

**i. The quality of these outputs was:**

1. Very high quality	CDXLIII
2. High quality	CDXLIV
3. Good quality	CDXLV
4. Moderate quality	CDXLVI
5. Poor quality	CDXLVII
6. Of such poor quality that they could not be used	CDXLVIII
Why did you choose this rating?	

CDL.

**ii. These outputs were:**

1. Extremely useful	CDLI.
2. Very useful	CDLII.
3. Useful	CDLIII
4. Somewhat useful	CDLIV
5. Of little use	CDLV.
6. Not useful at all	CDLVI
Why did you choose this rating?	
CDLVII. How did you/your organization use these outputs?	
CDLVIII. How will you/your organization use what was learned during this output in the future?	

**(18) Regional public awareness strategy document (Output 2.4.1; co-leads: ACB, UNU-IAS, participating countries)**

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	CDLIX
2. Completed with minimal delay	CDLX.
3. Completed with significant delay	CDLXI
4. Completed, but too late to be useful for national projects	CDLXII
5. Partly completed	CDLXIII
6. Not completed	CDLXIV
Why did you choose this rating?	

**i. The quality of this output was:**

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

CDLXXII.

**ii. This output was:**

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

**(19) Set of information leaflets, media articles, manuals and case studies disseminated in local languages (Output 2.4.2, lead: participating countries)**

1. Completed on time according to the grant agreement/work plan	CDLXX
2. Completed with minimal delay	CDLXX
3. Completed with significant delay	CDLXX
4. Partly completed	CDLXX
5. Not completed	CDLXX
6. Not an output for my country's project	CDLXX
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**CDLXXXVII.**

**i. The quality of this output was:**

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

**CDXCIV.**

**ii. This output was:**

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

**Expected Outcome III.**

**(20) Region-wide web-based information sharing network and learning facility (Output 3.1; co-leads: ACB, UNU-IAS, participating countries)**

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	DII.
2. Completed with minimal delay	DIII.
3. Completed with significant delay	DIV.
4. Completed, but too late to be useful for national projects	DV.
5. Partly completed	DVI.
6. Not completed	DVII.
Why did you choose this rating?	

DVIII.

**i. The quality of this output was:**

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

DXV.

**ii. This output was:**

1. Extremely useful	DXVI.
2. Very useful	DXVII.
3. Useful	DXVIII.
4. Somewhat useful	DXIX.
5. Of little use	DXX.
6. Not useful at all	DXXI.
Why did you choose this rating?	
DXXII. How did you/your organization use this output?	
DXXIII. How will you/your organization use this output in the future?	

**(21) Government document appointing ABS Focal Point/Helpdesk (Output 3.1.1, lead: ACB)**

1. Completed on time according to the grant agreement/work plan	DXXIV.
2. Completed with minimal delay	DXXV.
3. Completed with significant delay	DXXVI.
4. Partly completed	DXXVII.
5. Not completed	DXXVIII.
6. Not an output for my country's project	DXXIX.
Why did you choose this rating?	

**DXXX.**

**i. This output was:**

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

(22) Document with a consolidated list of favoured options, priorities and modalities for Regional CHM and information needs (Output 3.1.2; co-leads: ACB and participating countries)

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables/grant agreement/workplan	DXXXV
2. Completed with minimal delay	DXXXVI
3. Completed with significant delay	DXXXVII
4. Completed, but too late to be useful for national projects	DXL.
5. Partly completed	DXLI.
6. Not completed	DXLII.
Why did you choose this rating?	

DXLIII.

i. The quality of this output was:

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

DL.

ii. This output was:

1. Extremely useful	DLI.
2. Very useful	DLII.
3. Useful	DLIII.
4. Somewhat useful	DLIV.
5. Of little use	DLV.
6. Not useful at all	DLVI.
Why did you choose this rating?	
DLVII. How did you/your organization use this output?	
DLVIII. How will you/your organization use this output in the future?	

(23) Draft regional guidelines for benefit-sharing (Output 3.1.3; lead-UNU-IAS)

1. Completed on time according to the schedule of deliverables	DLIX.
2. Completed with minimal delay	DLX.
3. Completed with significant delay	DLXI.
4. Completed, but too late to be useful for national projects	DLXII.
5. Partly completed	DLXIII.
6. Not completed	DLXIV.
Why did you choose this rating?	

DLXV.

i. The quality of this output was:

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

**ii. This output was:**

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

**(24) Draft document on national procedures and formats for PIC and negotiating parameters for MAT (Output 3.1.4, co-leads: ACB, UNU-IAS, participating countries)**

When was this output final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	DLXXX
2. Completed with minimal delay	DLXXX
3. Completed with significant delay	DLXXX
4. Completed, but too late to be useful for national projects	DLXXX
5. Partly completed	DLXXX
6. Not completed	DLXXX
Why did you choose this rating?	

**i. The quality of this output was:**

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

DXCIII.

**ii. This output was:**

1. Extremely useful	DXCIV
2. Very useful	DXCV.
3. Useful	DXCVI
4. Somewhat useful	DXCVI
5. Of little use	DXCVI
6. Not useful at all	DXCIX
Why did you choose this rating?	
DC. How did you/your organization use this output?	
DCI. How will you/your organization use this output in the future?	

**(25) Regional meeting reports with contact details of ABS managers and stakeholders (Output 3.2; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)**

When were these outputs final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	DCII.
2. Completed with minimal delay	DCIII.
3. Completed with significant delay	DCIV.
4. Completed, but too late to be useful for national projects	DCV.
5. Partly completed	DCVI.
6. Not completed	DCVII.
Why did you choose this rating?	

**i. The quality of these outputs was:**

1. Very high quality	DCIX.
2. High quality	DCX.
3. Good quality	DCXI.
4. Moderate quality	DCXII.
5. Poor quality	DCXIII.
6. Of such poor quality that they could not be used	DCXIV.
Why did you choose this rating?	

DCXV.

**ii. These outputs were:**

1. Extremely useful	DCXVI.
2. Very useful	DCXVII.
3. Useful	DCXVIII.
4. Somewhat useful	DCXIX.
5. Of little use	DCXX.
6. Not useful at all	DCXXI.
Why did you choose this rating?	
DCXXII. How did you/your organization use these outputs?	
DCXXIII. How will you/your organization use these outputs in the future?	

**(26) First regional workshop to initiate the project and work programme (Output 3.2.1; co-leads: ACB, UNU-IAS, participating countries)**

1. Convened on time according to the schedule of deliverables	DCXXII.
2. Convened with minimal delay	DCXXIII.
3. Convened with significant delay	DCXXIV.
4. Convened, but too late to be useful for national projects	DCXXV.
5. Never convened	DCXXVI.
6. Not scheduled	DCXXVII.
Why did you choose this rating?	

DCXXX.

**i. The quality of this output was:**

1. Very high quality	DCXXX.
2. High quality	DCXXXI.
3. Good quality	DCXXXII.
4. Moderate quality	DCXXXIII.
5. Poor quality	DCXXXIV.
6. Of such poor quality that it was a waste of time	DCXXXV.
Why did you choose this rating?	

DCXXXVII.

**ii. This output was:**

1. Extremely useful	DCXXXVI.
2. Very useful	DCXXXVII.
3. Useful	DCXXXVIII.
4. Somewhat useful	DCXXXIX.
5. Of little use	DCXL.
6. Not useful at all	DCXLI.
Why did you choose this rating?	
DCXLIV. How did you/your organization benefit from this output?	

(27) **Monthly forum of Regional ABS Specialists/Experts at online network (Friends of Biodiversity – ABS)**  
**(Output 3.2.2; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)**

1. Convened every month	DCXLV
2. Convened almost every month	DCXLV
3. Convened at least 50% of the time	DCXLV
4. Convened less than 50% of the time	DCXLV
5. Rarely convened	DCXLI
6. Never convened	DCL.
Why did you choose this rating?	

DCLI.

**i. The quality of this output was:**

1. Very high quality	DCLII.
2. High quality	DCLIII
3. Good quality	DCLIV
4. Moderate quality	DCLV.
5. Poor quality	DCLVI
6. Of such poor quality that it was a waste of time	DCLVI
Why did you choose this rating?	

DCLVIII.

**ii. This output was:**

1. Extremely useful	DCLIX
2. Very useful	DCLX.
3. Useful	DCLXI
4. Somewhat useful	DCLXI
5. Of little use	DCLXI
6. Not useful at all	DCLXI
Why did you choose this rating?	
DCLXV. How did you/your organization use this output?	
DCLXVI. How will you/your organization use this output in the future?	

(28) **One regional stakeholder consultation report on ASEAN Framework Agreement on ABS (Output 3.3; co-leads: ACB, ASEAN Secretariat)**

When were these outputs final and available to all project partners?	
1. Completed on time according to the schedule of deliverables	DCLXV
2. Completed with minimal delay	DCLXV
3. Completed with significant delay	DCLXI
4. Completed, but too late to be useful for national projects	DCLX
5. Partly completed	DCLX
6. Not completed	DCLX
Why did you choose this rating?	

DCLXXIII.

**i. The quality of these outputs was:**

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

**ii. These outputs were:**

1. Extremely useful	DCLXX
2. Very useful	DCLXX
3. Useful	DCLXX
4. Somewhat useful	DCLXX
5. Of little use	DCLXX
6. Not useful at all	DCLXX
Why did you choose this rating?	
DCLXXXVII.	How did you/your organization use these outputs?
DCLXXXVIII.	How will you/your organization use these outputs in the future?

**DCLXXXIX.**

**(29) One national stakeholder consultation report on ASEAN Framework Agreement on ABS (Output 3.3; co-leads: ACB, ASEAN Secretariat)**

When were these outputs final and available to all project partners?	
7. Completed on time according to the grant agreement/work plan	DCXC.
8. Completed with minimal delay	DCXC.
9. Completed with significant delay	DCXC.
10. Completed, but too late to be useful for national projects	DCXC.
11. Partly completed	DCXC.
12. Not completed	DCXC.
Why did you choose this rating?	

**DCXCVI.**

**iii. The quality of these outputs was:**

7. Very high quality	DCXC.
8. High quality	DCXC.
9. Good quality	DCXC.
10. Moderate quality	DCC.
11. Poor quality	DCCI.
12. Of such poor quality that they could not be used	DCCII.
Why did you choose this rating?	

**DCCIII.**

**iv. These outputs were:**

7. Extremely useful	DCCIV
8. Very useful	DCCV.
9. Useful	DCCVI
10. Somewhat useful	DCCVI
11. Of little use	DCCVI
12. Not useful at all	DCCIX
Why did you choose this rating?	
DCCX.	How did you/your organization use these outputs?
DCCXI.	How will you/your organization use these outputs in the future?

**DCCXII.**

**(30) Two resolutions/positions supportive to the Agreement from stakeholders of non-signatory AMS (Output 3.3; co-leads: ACB, ASEAN Secretariat)**

**i. Did your country produce a resolution or position statement?**

	Yes	
If no, why not?	No	

- ii. If the answer to question 31.i. was 'yes', please rank the quality and usefulness of this output.
- a. The quality of these outputs was:

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

DCCXIX.

- b. These outputs were:

1. Extremely useful	DCCXI
2. Very useful	DCCXI
3. Useful	DCCXI
4. Somewhat useful	DCCXI
5. Of little use	DCCXI
6. Not useful at all	DCCXI
Why did you choose this rating?	
DCCXXVI.	How did you/your organization use these outputs?
DCCXXVII.	How will you/your organization use these outputs in the future?

**Expected Outcome IV.**

- (31) Reports on 2 training sessions and 2 national preparatory meetings (Output 4.1; co-leads: ACB, UNU-IAS, participating countries, ASEAN Secretariat)

1. Completed on time according to the grant agreement/work plan	DCCXI
2. Completed with minimal delay	DCCXI
3. Completed with significant delay	DCCXI
4. Partly completed	DCCXI
5. Not completed	DCCXI
6. Not an output for my country's project	DCCXI
a. Why did you choose this rating?	
b. Which stakeholders participated in producing these outputs and what did each participating stakeholder do?	

**DCCXXXIV.**

- i. The quality of this output was:

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

**DCCXLI.**

- ii. This output was:

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

(32) **Common/harmonized position paper on minimum elements of ABS framework (Output 4.2; co-leads: ACB, UNU-IAS)**

1. Completed on time according to the grant agreement/work plan	DCCLX
2. Completed with minimal delay	DCCL
3. Completed with significant delay	DCCLI
4. Partly completed	DCCLI
5. Not completed	DCCLI
6. Not an output for my country's project	DCCLI
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**DCCLV.**

**i. The quality of this output was:**

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

**DCCLXII.**

**ii. This output was:**

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

(33) **Profile list of ABS counterparts/stakeholders per regional meeting/activity (Output 4.3; co-leads: ACB, participating countries)**

1. Completed on time according to the grant agreement/work plan	DCCLX
2. Completed with minimal delay	DCCLX
3. Completed with significant delay	DCCLX
4. Partly completed	DCCLX
5. Not completed	DCCLX
6. Not an output for my country's project	DCCLX
a. Why did you choose this rating?	
b. Which stakeholders participated in producing this output and what did each participating stakeholder do?	

**DCCLXXV.**

**i. The quality of this output was:**

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

ii. This output was:

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

## SUSTAINABILITY AND REPLICATION

12. Which of the project outcomes should be sustained? (please rank the outcome that is most important to sustain with the number '1', the next most important with the number '2', the next most important with the number '3', and the least important with the number '4'.)

1. Participating countries enabled towards agreement on national ABS framework	
2. Enhanced capacity of and participation by stakeholders in development and implementation of national ABS frameworks	
3. Enhanced cooperation and sharing of learning experiences on ABS among participating countries' stakeholders	
4. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among AMS and Timor-Leste	
a. Why did you choose this ranking?	
b. How will you/your organization influence the sustainability of the outcome that you ranked No. 1?	
c. Please list factors that will promote the sustainability of the outcome that you ranked No. 1.	
d. Please list factors that will be risks for the sustainability of the outcome that you ranked No. 1.	
e. Will institutional changes be required to sustain the outcome you ranked No. 1? If so, what are they?	Yes No

13. As of project completion, does the country have any concrete plans for projects or other activities to follow up on the outcomes of this project?

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

### DCCLXXXIX.

14. Socio-political sustainability

i. Are there national political factors that will positively support the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

DCCXC.

ii. Are there national political factors that will negatively affect the sustainability of the outcomes of this project?

If yes, what are they?	Yes	
	No	

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

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

- iv. **Do other ABS stakeholders have sufficient awareness, interest, and commitment to take the actions necessary to ensure the sustainability of the outcomes of this project?**

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

### 15. Financial sustainability

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

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

DCCXCVIII.

- ii. **Are there national financial factors that could positively promote the sustainability of the outcomes of this project?**

If yes, what are they?	Yes	
	No	

DCCXCIX.

- iii. **Are there national financial factors or risks that could negatively affect the sustainability of the outcomes of this project?**

If yes, what are they?	Yes	
	No	

DCCC.

### 16. Institutional Sustainability

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

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

DCCCVII.

- ii. **Are national institutions and governance strong enough to continue completing and/or following up on the roadmap or ABS framework under the National Programme?**

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

DCCCVIII.

DCCXCIX.

## DCCCXI. PROJECT'S ROLE IN PROMOTING ABS FRAMEWORKS AND ACTION

17. To what extent did this project enable or promote the development of national ABS frameworks and implementation measures? (choose one)

1. Completely – there would be no national ABS framework without this project	DCCC
2. Significantly – creating the national ABS framework depended primarily on this project	DCCC
3. Substantially – creating the national ABS framework depended considerably on this project	DCCC
4. Moderately – creating the national ABS framework depended only partly on this project	DCCC
5. Minimally – this project had little influence on creating the national ABS framework	DCCC
6. Not at all – this project had no influence on creating the national ABS framework	DCCC
Why did you choose this rating?	

### DCCCXVIII.

18. To what extent did this project succeed in promoting the adoption of a regional ABS framework? (choose one)

1. Completely – this project ensured the adoption of a regional ABS framework	DCCC
2. Significantly – this project was the primary influence that will lead to adoption of a regional ABS framework	DCCC
3. Substantially – this project had considerable influence that is likely to lead to adoption of a regional ABS framework	DCCC
4. Moderately – this project had some influence that may lead to adoption of a regional ABS framework	DCCC
5. Minimally – this project had little influence that would lead to adoption of a regional ABS framework	DCCC
6. Not at all – this project had no influence on promoting the adoption of a regional ABS framework	DCCC
Why did you choose this rating?	

### DCCCXXV.

19. To what extent did this project provide social, political, or financial incentives to develop national ABS frameworks and implementation measures? (choose one)

1. Completely – social, political and financial incentives this project provided led to the development of a national ABS framework	DCCC
2. Significantly – social, political and financial incentives this project provided were the primary drivers for development	DCCC
3. Substantially – social, political and financial incentives this project provided were important drivers for development of a national ABS framework	DCCC
4. Moderately – social, political or financial incentives this project provided partly contributed to the development of a national ABS framework	DCCC
5. Minimally – social, political or financial incentives this project provided had little influence on the development of a national ABS framework	DCCC
6. Not at all – social, political or financial incentives this project provided had no influence on the development of a national ABS framework	DCCC
Why did you choose this rating?	

### DCCCXXII.

20. To what extent did this project contribute to mainstreaming ABS in national institutions? (choose one)

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

20. **To what extent did this project enable or encourage follow-on funding from GEF, government or other donors? (choose one)**

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

DCCCXLV.

21. **To what extent did this project create opportunities for individuals or institutions to bring about change, without which this project would not have achieved all of its outcomes? (choose one)**

1. Completely – this project made possible the work of an individual/institution without whom this project would not have achieved all of its outcomes	DCCC
2. Significantly – this project made possible the work of an individual/institution that was the primary driver for this project to achieve its outcomes	DCCC
3. Substantially – this project made possible the work of an individual/institution that had considerable influence on this project achieving its outcomes	DCCC
4. Moderately – this project made possible the work of an individual/institution that had some influence on this project achieving its outcomes	DCCC
5. Minimally – this project created a few opportunities for individuals/institutions that had minor influence on this project achieving its outcomes	DCCC
6. Not at all – this project did not create opportunities for individuals/institutions	DCCC
Why did you choose this rating?	

DCCCLII.

**EFFICIENCY – COST EFFECTIVENESS AND TIMELINESS**

22. **Did this project make use of or build on other national and/or regional initiatives?**

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

DCCCLIII.

23. **Did this project use any cost-saving measures at the national level?**

If yes, please describe them.	Yes	
	No	

24. **Did this project have any delays at the national level?**

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

DCCCLIV.

**FACTORS AFFECTING PERFORMANCE**

**Preparedness and readiness**

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

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

26. **Was the project document clear and realistic?**

	Yes	
If no, what were the problems?	No	

27. **Were the ACB contracts with your country clear about deliverables and timelines?**

	Yes	
If no, what were the problems?	No	

DCCCLV.

28. **Did the project adequately identify project stakeholders?**

	Yes	
If no, which stakeholders were not identified?	No	

29. **Were the objective and the components of the project clear, practical and feasible with the financial resources and the time available?**

	Yes	
If no, what were the problems?	No	

30. **Were the arrangements for project management adequate when the project started?**

	Yes	
If no, what were the problems?	No	

31. **Were the roles and responsibilities of all project partners clearly specified and understood?**

	Yes	
If no, what were the problems?	No	

### Project implementation and management

The project document provided that the ASEAN Centre for Biodiversity (ACB) would be the Lead Executing Agency for the project, in collaboration with the United Nations University Institute of Advanced Studies (UNU-IAS) and the ASEAN Secretariat. The project document also provided for a Project Steering Committee. Those arrangements did not change during the project.

32. **Project Steering Committee**

i. **Did the Project Steering Committee make decisions or recommendations that effectively helped to guide the project?**

	Yes	
	No	

DCCCLVI.

ii. **Did the Project Steering Committee help to resolve any problems the project encountered?**

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

DCCCLVII.

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

Issue 1.
Issue 2.

DCCCLVIII.

iv. **Was there a national Project Committee in your country?**

	Yes	
If no, please explain why not.	No	

DCCCLIX.

v. **If yes, did the national Committee make decisions or recommendations that effectively helped to guide the project at the national level?**

If yes, please give an example.	Yes	
If no, please explain why not.	No	

DCCCLX.

33. **ACB**

i. **How did ACB respond to Project Steering Committee decisions/recommendations?**

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

DCCCLXVIII.

ii. **How did ACB respond to requests from national projects?**

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

DCCCLXXV.

iii. **How did ACB adapt project management to changes during the project?**

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

DCCCLXXXII.

34. **UNU-IAS**

i. **Did the UNU-IAS advisor visit your country and how often?**

	Yes	
	No	

DCCCLXXXIII.

ii. **If yes, did the visit:**

1. Meet all expectations/needs of the national project	DCCC
2. Meet most expectations/needs of the national project	DCCC
3. Meet many expectations/needs of the national project	DCCC
4. Meet some expectations/needs of the national project	DCCC
5. Meet few expectations/needs of the national project	DCCC
6. Meet none of the expectations/needs of the national project	DCCC
Why did you choose this rating?	

DCCCXC.

35. **ASEAN Secretariat**

i. **From the perspective of the national project, what role did the ASEAN Secretariat play in project implementation?**

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DCCCXCI.

ii. **Is this the role the national project expected the ASEAN Secretariat to play?**

	Yes	
If no, what role did the national project expect the ASEAN Secretariat to play?	No	

DCCCXCII.

iii. **What role did the ASEAN Senior Officials on the Environment play in reviewing and guiding project implementation?**

--

36. How could the management of the national project have been more effective?

--

i. What would you do differently?

--

37. How could the co-ordination and management of the regional component of the project have been more effective?

--

ii. What would you do differently?

--

38. Were you aware of any interaction with any of the other GEF ABS projects:

i. Global?

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

ii. Latin America and the Caribbean?

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

iii. GIZ East Africa ABS project?

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

iv. India?

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

## Stakeholder participation and public awareness

39. Were there any potential ABS stakeholders who should have participated in national consultations/workshops but did not participate?

If yes, who were they and why didn't they participate?	Yes	
	No	

DCCCXCIII.

40. How did stakeholders participate in national consultations/workshops?

1. Each stakeholder the project identified sent at least one representative to each national consultation/workshop	DCCC
2. Most stakeholders the project identified sent at least one representative to each national consultation/workshop	DCCC
3. Many stakeholders the project identified sent at least one representative to each national consultation/workshop	DCCC
4. Some stakeholders the project identified sent at least one representative to each national consultation/workshop	DCCC
5. Few stakeholders the project identified sent at least one representative to each national consultation/workshop	DCCC
6. No stakeholder the project identified sent at least one representative to each national consultation/workshop	DCCC
Why did you choose this rating?	

41. Did the national project carry out public awareness activities in addition to national consultations/workshops?

	Yes	
If no, why not?	No	

42. To what degree did public awareness activities increase public understanding of ABS and related issues?

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

43. To what degree did stakeholder participation in national project activities increase stakeholders' motivation to implement ABS measures?

1. To a very high degree	CMVI.
2. To a high degree	CMVII.
3. To a moderate degree	CMVII.
4. To a minimal degree	CMIX.
5. Not at all	CMX.
6. Stakeholders' motivation will increase if there are follow-up initiatives	CMXI.
Why did you choose this rating?	

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

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

45. **How did stakeholders participate in regional consultations/workshops?**

1. Each stakeholder the project identified sent at least one representative to each regional consultation/workshop	CMXV
2. Most stakeholders the project identified sent at least one representative to each regional consultation/workshop	CMXI
3. Many stakeholders the project identified sent at least one representative to each regional consultation/workshop	CMXX
4. Some stakeholders the project identified sent at least one representative to each regional consultation/workshop	CMXX
5. Few stakeholders the project identified sent at least one representative to each regional consultation/workshop	CMXX
6. No stakeholder the project identified sent at least one representative to each regional consultation/workshop	CMXX
Why did you choose this rating?	

46. **To what degree did the national project team, ACB, UNU, and the ASEAN Secretariat collaborate during the project?**

1. To a very high degree – regional and international project partners provided meaningful input into all aspects of national project implementation and national projects provided meaningful input into all aspects of the project’s regional component	CMXX
2. To a high degree – regional and international project partners provided meaningful input into most aspects of national project implementation and national projects provided meaningful input into most aspects of the project’s regional component	CMXX
3. To a moderately high degree – regional and international project partners provided meaningful input into many aspects of national project implementation and national projects provided meaningful input into many aspects of the project’s regional component	CMXX
4. To a moderate degree – regional and international project partners provided meaningful input into some aspects of national project implementation and national projects provided meaningful input into some aspects of the project’s regional component	CMXX
5. To a minimal degree – regional and international project partners provided meaningful input into a few aspects of national project implementation and national projects provided meaningful input into a few aspects of the project’s regional component	CMXX
6. To a very low degree – regional and international project partners provided meaningful input into very few aspects of national project implementation and national projects provided meaningful input into very few aspects of the project’s regional component	CMXX
Why did you choose this rating?	

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

### 47. To what degree did national research institutions and national government institutions other than the ABS National Focal Point participate in the national project?

1. To a very high degree – representatives of national research institutions and national government institutions other than the national ABS Focal Point participated in all consultations and workshops and contributed to project outputs	CMXX
2. To a high degree – representatives of national research institutions and national government institutions other than the national ABS Focal Point participated in at least one consultation and workshop and contributed to project outputs	CMXX
3. To a moderate degree – representatives of national research institutions and national government institutions other than the national ABS Focal Point participated in all consultations and workshops but did not contribute to project outputs	CMXX
4. To a minimal degree – representatives of national research institutions and national government institutions other than the national ABS Focal Point participated in at least one consultation or workshop but did not contribute to project outputs	CMXX
5. Not at all – representatives of national research institutions and national government institutions other than the national ABS Focal Point did not participate in any project activities or contribute to project outputs	CMXX
6. Representatives of national research institutions and national government institutions other than the national ABS Focal Point were not invited to participate in project activities	CMXX
Why did you choose this rating?	
If you chose 6, why were representatives of national research institutions and national government institutions other than the national ABS Focal Point not invited to participate in project activities?	

### 48. To what degree did national government institutions assume responsibility for the project and provide adequate support for project implementation?

1. To a very high degree – national government institutions assumed full responsibility for the project and provided all implementation support that the project requested	CMXX
2. To a high degree – national government institutions assumed a great deal of responsibility for the project and provided all implementation support required	CMXX
3. To a moderately high degree – national government institutions assumed a great deal of responsibility for the project and provided implementation support when the project requested it	CMXX
4. To a moderate degree – national government institutions assumed some responsibility for the project and provided some implementation support when the project requested it	CMXX
5. To a minimal degree – national government institutions assumed little responsibility for the project and did not provide the implementation support that the project requested	CMXL
6. Not at all – national government institutions assumed no responsibility for the project and did not provide the implementation support that the project requested	CMXL
Why did you choose this rating?	

### 49. How did government project partners respond to project coordination and guidance from ACB, the ASEAN Secretariat, UNU-IAS and UNEP?

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

**50. To what degree did the private sector participate in the national project?**

7. To a very high degree – private sector representatives participated in all consultations and workshops and contributed to project outputs	CMLX
8. To a high degree – private sector representatives participated in at least one consultation and workshop and contributed to project outputs	CMLX
9. To a moderate degree – private sector representatives participated in all consultations and workshops but did not contribute to project outputs	CML
10. To a minimal degree – private sector representatives participated in at least one consultation or workshop but did not contribute to project outputs	CMLI
11. Not at all – private sector representatives did not participate in any project activities or contribute to project outputs	CMLII
12. The private sector was not invited to participate in project activities	CMLII
Why did you choose this rating?	
If you chose 6, why was the private sector not invited to participate in national project activities?	

**51. To what degree did national project outputs provide for including the private sector in implementing ABS measures?**

1. To a very high degree – all national project outputs provide for including the private sector in implementing ABS measures	CMLIV
2. To a high degree – most national project outputs provide for including the private sector in implementing ABS measures	CMLV
3. To a moderate degree – some national project outputs provide for including the private sector in implementing ABS measures	CMLV
4. To a minimal degree – few national project outputs provide for including the private sector in implementing ABS measures	CMLV
5. Not at all – national project outputs do not provide for including the private sector in implementing ABS measures	CMLV
6. The private sector was not considered in developing national project outputs	CMLIX
Why did you choose this rating?	
If you chose 6, why was the private sector not considered in developing national project outputs?	

CMLX.

**52. To what degree did the private sector participate in the regional project component?**

1. To a very high degree – private sector representatives participated in all consultations and workshops and contributed to project outputs	CMLX
2. To a high degree – private sector representatives participated in at least one consultation and workshop and contributed to project outputs	CMLX
3. To a moderate degree – private sector representatives participated in all consultations and workshops but did not contribute to project outputs	CMLX
4. To a minimal degree – private sector representatives participated in at least one consultation or workshop but did not contribute to project outputs	CMLX
5. Not at all – private sector representatives did not participate in any project activities or contribute to project outputs	CMLX
6. The private sector was not invited to participate in regional project activities	CMLX
Why did you choose this rating?	

**53. To what degree did regional project outputs provide for including the private sector in implementing ABS measures?**

1. To a very high degree – all regional project outputs provide for including the private sector in implementing ABS measures	CMLX
2. To a high degree – most regional project outputs provide for including the private sector in implementing ABS measures	CMLX
3. To a moderate degree – some regional project outputs provide for including the private sector in implementing ABS measures	CMLX
4. To a minimal degree – few regional project outputs provide for including the private sector in implementing ABS measures	CMLX
5. Not at all – regional project outputs do not provide for including the private sector in implementing ABS measures	CMLX
6. The private sector was not considered in developing regional project outputs	CMLX
Why did you choose this rating?	

**54. To what degree did NGOs participate in the national project?**

1. To a very high degree – NGOs participated in all consultations and workshops and contributed to project outputs	CMLX
2. To a high degree – NGOs participated in at least one consultation and workshop and contributed to project outputs	CMLX
3. To a moderate degree – NGOs participated in all consultations and workshops but did not contribute to project outputs	CMLX
4. To a minimal degree – NGOs participated in at least one consultation or workshop but did not contribute to project outputs	CMLX
5. Not at all – NGOs did not participate in any project activities or contribute to project outputs	CMLX
6. NGOs were not invited to participate in project activities	CMLX
Why did you choose this rating?	
If you chose 6, why were NGOs not invited to participate in project activities?	

**55. To what degree did national project outputs provide for including NGOs in implementing ABS measures?**

1. To a very high degree – all national project outputs provide for including NGOs in implementing ABS measures	CMLX
2. To a high degree – most national project outputs provide for including NGOs in implementing ABS measures	CMLX
3. To a moderate degree – some national project outputs provide for including NGOs in implementing ABS measures	CMLX
4. To a minimal degree – few national project outputs provide for including NGOs in implementing ABS measures	CMLX
5. Not at all – national project outputs do not provide for including NGOs in implementing ABS measures	CMLX
6. NGOs were not considered in developing national project outputs	CMLX
Why did you choose this rating?	
If you chose 6, why were NGOs not considered in developing national project outputs?	

**56. To what degree did NGOs participate in the regional project component?**

1. To a very high degree – NGOs participated in all regional consultations and workshops and contributed to project outputs	CMXX
2. To a high degree – NGOs participated in at least one regional consultation or workshop and contributed to project outputs	CMXX
3. To a moderate degree – NGOs participated in all regional consultations and workshops but did not contribute to project outputs	CMXX
4. To a minimal degree – NGOs participated in at least one regional consultation or workshop but did not contribute to project outputs	CMXX
5. Not at all – NGOs did not participate in any regional project activities or contribute to project outputs	CMXX
6. NGOs were not invited to participate in regional project activities	CMXX
Why did you choose this rating?	

**57. To what degree did regional project outputs provide for including NGOs in implementing ABS measures?**

7. To a very high degree – all regional project outputs provide for including NGOs in implementing ABS measures	CMXX
8. To a high degree – most regional project outputs provide for including NGOs in implementing ABS measures	CMXX
9. To a moderate degree – some regional project outputs provide for including NGOs in implementing ABS measures	CMXX
10. To a minimal degree – few regional project outputs provide for including NGOs in implementing ABS measures	CMXX
11. Not at all – regional project outputs do not provide for including NGOs in implementing ABS measures	CMXX
12. NGOs were not considered in developing regional project outputs	CMXX
Why did you choose this rating?	

CMXCIX.

**Gender and equity**

**58. To what degree did women participate in the national project?**

1. To a very high degree – women participated in all national consultations and workshops and contributed to project outputs	M.
2. To a high degree – women participated in at least one national consultation or workshop and contributed to project outputs	MI.
3. To a moderate degree – women participated in all national consultations and workshops but did not contribute to project outputs	MII.
4. To a minimal degree – women participated in at least one national consultation or workshop but did not contribute to project outputs	MIII.
5. Not at all – women did not participate in any national project activities or contribute to project outputs	MIV.
6. No women were invited to participate in national project activities	MV.
Why did you choose this rating?	
If you chose 6, why were women not invited to participate in national project activities?	

59. **To what degree did national project outputs provide for including women in implementing ABS measures?**

1. To a very high degree – all national project outputs provide for including women in implementing ABS measures	MVII.
2. To a high degree – most national project outputs provide for including women in implementing ABS measures	MVIII.
3. To a moderate degree – some national project outputs provide for including women in implementing ABS measures	MIX.
4. To a minimal degree – few national project outputs provide for including women in implementing ABS measures	MX.
5. Not at all – national project outputs do not provide for including women in implementing ABS measures	MXI.
6. Women were not considered in developing national project outputs	MXII.
Why did you choose this rating?	
If you chose 6, why were women not considered in developing national project outputs?	

**MXIII.**

60. **To what degree did women participate in the regional project component?**

1. To a very high degree – women participated in all regional consultations and workshops and contributed to project outputs	MXIV.
2. To a high degree – women participated in at least one regional consultation or workshop and contributed to project outputs	MXV.
3. To a moderate degree – women participated in all regional consultations and workshops but did not contribute to project outputs	MXVI.
4. To a minimal degree – women participated in at least one regional consultation or workshop but did not contribute to project outputs	MXVII.
5. Not at all – women did not participate in any regional project activities or contribute to project outputs	MXVIII.
6. No women were invited to participate in regional project activities	MXIX.
Why did you choose this rating?	

61. **To what degree did regional project outputs provide for including women in implementing ABS measures?**

7. To a very high degree – all regional project outputs provide for including women in implementing ABS measures	MXX.
8. To a high degree – most regional project outputs provide for including women in implementing ABS measures	MXXI.
9. To a moderate degree – some regional project outputs provide for including women in implementing ABS measures	MXXII.
10. To a minimal degree – few regional project outputs provide for including women in implementing ABS measures	MXXIII.
11. Not at all – regional project outputs do not provide for including women in implementing ABS measures	MXXIV.
12. Women were not considered in developing regional project outputs	MXXV.
Why did you choose this rating?	

**62. To what degree did youth participate in the national project?**

1. To a very high degree – youth participated in all national consultations and workshops and contributed to national project outputs	MXXV
2. To a high degree – youth participated in at least one national consultation and workshop and contributed to national project outputs	MXXV
3. To a moderate degree – youth participated in all national consultations and workshops but did not contribute to national project outputs	MXXV
4. To a minimal degree – youth participated in at least one national consultation or workshop but did not contribute to national project outputs	MXXIX
5. Not at all – youth did not participate in any national project activities or contribute to national project outputs	MXXX
6. No youth were invited to participate in national project activities	MXXX
Why did you choose this rating?	
If you chose 6, why were youth not invited to participate in national project activities?	

**63. To what degree did national project outputs provide for including youth in implementing ABS measures?**

1. To a very high degree – all national project outputs provide for including youth in implementing ABS measures	MXXX
2. To a high degree – most national project outputs provide for including youth in implementing ABS measures	MXXX
3. To a moderate degree – some national project outputs provide for including youth in implementing ABS measures	MXXX
4. To a minimal degree – few national project outputs provide for including youth in implementing ABS measures	MXXX
5. Not at all – national project outputs do not provide for including youth in implementing ABS measures	MXXX
6. Youth were not considered in developing national project outputs	MXXX
Why did you choose this rating?	
If you chose 6, why were youth not considered in developing national project outputs?	

**64. To what degree did youth participate in the regional project component?**

7. To a very high degree – youth participated in all regional consultations and workshops and contributed to regional project outputs	MXXX
8. To a high degree – youth participated in at least one regional consultation and workshop and contributed to regional project outputs	MXXX
9. To a moderate degree – youth participated in all regional consultations and workshops but did not contribute to regional project outputs	MXL
10. To a minimal degree – youth participated in at least one regional consultation or workshop but did not contribute to regional project outputs	MXLI
11. Not at all – youth did not participate in any regional project activities or contribute to regional project outputs	MXLII
12. No youth were invited to participate in regional project activities	MXLII
Why did you choose this rating?	

**65. To what degree did regional project outputs provide for including youth in implementing ABS measures?**

7. To a very high degree – all regional project outputs provide for including youth in implementing ABS measures	MXLV
8. To a high degree – most regional project outputs provide for including youth in implementing ABS measures	MXLVI
9. To a moderate degree – some regional project outputs provide for including youth in implementing ABS measures	MXLVII
10. To a minimal degree – few regional project outputs provide for including youth in implementing ABS measures	MXLVIII
11. Not at all – project outputs do not provide for including youth in implementing ABS measures	MXLIX
12. Youth were not considered in developing regional project outputs	ML
Why did you choose this rating?	

**66. To what degree did ILCs participate in the national project?**

1. To a very high degree – ILC representatives participated in all national consultations and workshops and contributed to project outputs	MLI.
2. To a high degree – ILC representatives participated in at least one national consultation or workshop and contributed to project outputs	MLII.
3. To a moderate degree – ILC representatives participated in all national consultations and workshops but did not contribute to project outputs	MLIII.
4. To a minimal degree – ILC representatives participated in at least one national consultation or workshop but did not contribute to project outputs	MLIV.
5. Not at all – ILC representatives did not participate in any national project activities or contribute to project outputs	MLV.
6. ILCs were not invited to participate in national project activities	MLVI.
Why did you choose this rating?	
If you chose 6, why were ILCs not invited to participate in national project activities?	

**67. To what degree did national project outputs provide for including ILCs in implementing ABS measures?**

13. To a very high degree – all national project outputs provide for including ILCs in implementing ABS measures	MLVII
14. To a high degree – most national project outputs provide for including ILCs in implementing ABS measures	MLVIII
15. To a moderate degree – some national project outputs provide for including ILCs in implementing ABS measures	MLIX.
16. To a minimal degree – few national project outputs provide for including ILCs in implementing ABS measures	MLX.
17. Not at all – national project outputs do not provide for including ILCs in implementing ABS measures	MLXI.
18. ILCs were not considered in developing national project outputs	MLXII
Why did you choose this rating?	
If you chose 6, why were ILCs not considered in developing national project outputs?	

**68. To what degree did ILCs participate in the regional project component?**

1. To a very high degree – ILC representatives participated in all regional consultations and workshops and contributed to regional project outputs	MLXII
2. To a high degree – ILC representatives participated in at least one regional consultation and workshop and contributed to regional project outputs	MLXIV
3. To a moderate degree – ILC representatives participated in all regional consultations and workshops but did not contribute to regional project outputs	MLXV
4. To a minimal degree – ILC representatives participated in at least one regional consultation or workshop but did not contribute to regional project outputs	MLXV
5. Not at all – ILC representatives did not participate in any regional project activities or contribute to regional project outputs	MLXV
6. ILCs were not invited to participate in regional project activities	MLXV
Why did you choose this rating?	

**69. To what degree did regional project outputs provide for including ILCs in implementing ABS measures?**

1. To a very high degree – all regional project outputs provide for including ILCs in implementing ABS measures	MLXIX
2. To a high degree – most regional project outputs provide for including ILCs in implementing ABS measures	MLXX
3. To a moderate degree – some regional project outputs provide for including ILCs in implementing ABS measures	MLXX
4. To a minimal degree – few regional project outputs provide for including ILCs in implementing ABS measures	MLXX
5. Not at all – regional project outputs do not provide for including ILCs in implementing ABS measures	MLXX
6. ILCs were not considered in developing regional project outputs	MLXX
Why did you choose this rating?	

### Annex 5 Individuals and institutions requested to complete the questionnaire

Country/Institution	Individual	Response	
		Responded	No response
Brunei	No contact		
Cambodia	Mr. Ek Serey Sopheap, National Project Coordinator		X
	H.E. Chay Samith, Director General, General Department of Administration for Nature Conservation and Protection (GDANCP), Ministry of Environment		X
	Ms. Somaly Chan, ABS National Focal Point	X (partial)	
Indonesia	Ms. Lulu Agustina, Ministry of Environment	X (responded that Indonesia would not submit a questionnaire)	
Lao PDR	Dr. Souriodong Sundara, ABS National Focal Point/National Project Director, Director General of Biotechnology and Ecology Institute (BEI)	X	
	Ms. Kongchay Phimmakong, National Project Coordinator	X	
	Mr. Kosonh Xayphakatsa, Director of Genetic Resources Division, BEI	X	
	Mrs. Somsanith Boamanivong, Director of Ecology Division, BEI		X
	Dr. Chay Bounphanousay, Director of Agriculture Research Centre/ACB Contact Point		X
	Ms. Kongpanh Kanyavong, Deputy Director of Agriculture Research Centre		X
	Dr Vichith Lamxay, Head of Postgraduate Affairs, Biology Department, Faculty of Science, National University of Laos (NUOL)	X	
	Prof. Dr. Chanda Vongsombath, Deputy Dean, Faculty of Environment Sciences, NUOL	X	
	Mr. Phanthavong Vongsamphanh, Deputy Head of Planning Division, Department of Livelihood and Fishery, Ministry of Agriculture and Fisheries (MAF)	X	
	Dr. Mouachanh Xayvue, Head of Pharmacognosy Division, Institute of Traditional Medical	X	
	Mr. Anousa Senesombath, Technical staff, Import & Export Department, Ministry of Industry & Trade	X	

Country/Institution	Individual	Response	
		Responded	No response
	Mr. Khamphanh Nanthavong, CBD National Focal Point/Director General of Forest Resources Management Department, Ministry of Natural Resources and Environment (MONRE)		X
	Ms. Latsamay Sylavong, former Country Representative, IUCN Lao PDR	X	
Malaysia	Ms. Therese Tiu Kok Moi, Assistant Project Focal Point, Assistant National Project Coordinator	X	
	Prof. Gurdial Singh Nijar, Director, Centre of Excellence for Biodiversity Law, University of Malaya		X
	Dato' Dr. Abdul Latif, Director, Forest Research Institute Malaysia		X
	Ms. Norsham binti Haji Abdul Latip, Principal Assistant Secretary, Biodiversity and Forestry Management Division, Ministry of Natural Resources and Environment		X
	Dr Richard Chung, Senior Research Officer, Forest Research Institute Malaysia		X
Myanmar	Mr. Hla Muang Thein, National Project Coordinator, Deputy Director General, Environmental Conservation Department		X
	Ms. Khin Thida Tin, Deputy Director Environmental Conservation Department	X (partial)	
Philippines	Dr. Theresa Mundita S. Lim, Director, Director, Biodiversity Management Bureau (BMB), Department of Environment and Natural Resources (DENR)	X	
	Mr. Elpidio V. Peria, Legal Adviser on ABS, BMB	X	
	Ms. Nermalie M. Lita, ABS Project Focal Point	X	
Singapore	Ms. Wendy Yap, Assistant Director (International Relations), National Biodiversity Centre, National Parks Board	1 joint response	
	Mr. Jeremy Woon, Senior Biodiversity Officer, National Parks Board		
Thailand	Dr. Sirikul Bunpapong, Director, Biological Diversity Division, Office of Natural Resources and Environmental Policy and Planning (ONEP)	1 joint response	
	Ms. Somawan Sukprasert, National Project Coordinator, Technical Officer,		

Country/Institution	Individual	Response	
		Responded	No response
	ONEP		
	Ms. Pattarin Tongsimma, ONEP		
	Ms. Pattama Domrongphol, ONEP		
Timor-Leste	Dr. Marcal Gusmão, National Project Coordinator and ABS Focal Point		
Viet Nam	Ms. Hoang Thi Thanh Nhan, National Project Coordinator	X	
	Dr. Le Van Hung, Biodiversity Conservation Agency	X	
ASEAN Secretariat	Ms. Natalia Derodofa, Senior Officer, Environment Division	X	
ACB	Ms. Clarissa Arida, Director, Programme Development and Implementation,	1 joint response	
	Mr. Anthony Foronda, Regional Project Coordinator		
	Ms. Corazon A. De Jesus, Jr., Technical Specialist		
UNU-IAS	Mr. Geoff Burton, Senior Fellow, principal UNU-IAS resource person for the ASEAN ABS Project	X	

### Annex 6 Mid-Term Review Findings, Recommendations and Lessons Learned

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
<p>1. Participating countries enabled towards agreement on national ABS frameworks</p>	<ul style="list-style-type: none"> <li>▪ Workplans have been made with all participating countries. However, Grant Agreements have only been signed with 6. There is substantial delay with Indonesia, Thailand and Myanmar on the finalization of the Grant Agreement.</li> <li>▪ Countries that have signed the Grant Agreement have started national communication regarding ABS. Timor Leste, the most recent grantee, has planned national communication activities for January 2013. Indonesia, Thailand and Myanmar have gone ahead with ABS processes within their countries notwithstanding the lack of a signed Grant Agreement.</li> </ul>	<p>The countries that have not signed the Grant Agreements should hopefully do so by the end of 2012. If not, options need to be seriously explored and remedial actions taken by the next IPSC meeting. The project should also tap into its existing links with UNEP and the ASEAN Secretariat to see if project funds could be transferred through existing on-going projects. UNEP-GEF had previously advised for funds to be transferred through an international NGO or the UNDP country office through which UNEP can easily channel funds to any executing partner in Indonesia. However, this is still pending at the time of the MTR. It is likely that the project would require a no-cost extension of at least 6 months for project activities to be completed by some participating countries that have just</p>	<p>The delay in signing of the Grant Agreements by Thailand, Indonesia and Myanmar greatly threaten the timely carrying out of their workplans and the success of the regional effort for harmonization and cooperation on ABS issues. Although this is largely dependent on a country's internal processes, it is not a novel problem. An upfront conversation with participating countries, and early investigation and follow-up of options for concluding such an agreement should have overcome the problem. Due to this technical glitch, the deliverables and outcomes of the project could be substantially delayed.</p>

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
		come on board (or will come on board) officially.	
2. Enhanced capacity of and participation by stakeholders in development and implementation of national ABS frameworks	<ul style="list-style-type: none"> <li>▪ Baseline survey was conducted in August 2012. Although somewhat delayed and too preliminary to be taken into account at the MTR stage, it may prove useful for re-examination at the end of the project.</li> <li>▪ Training workshops conducted were attended by country representatives from government, academia, NGO and international organisation. Some countries interviewed expressed difficulties in including indigenous communities and the need to include other related authorities (for e.g. state level governments) in the consultation processes. All countries interviewed showed awareness in the need to include multi-stakeholder consultation in ABS framework development.</li> </ul>	Participating countries should consider the possibility of inviting resource persons from within the AMS and Timor Leste in the network to share experiences and expertise for their in-country capacity building efforts.	From the baseline capacity survey, it is apparent that countries rank differently in terms of their ability to work through ABS issues nationally. This presents an opportunity for “less advanced” countries to tap into expertise and resources of countries that have more developed ABS frameworks and resources, and share experiences. Some countries that have moved ahead with national legislations, for example, could provide useful examples to others who are still in the stage of considering workable options and national solutions.
3. Enhanced cooperation and sharing of learning experiences on ABS among participating countries’ stakeholders	<ul style="list-style-type: none"> <li>▪ The training workshop conducted in August 2012 in Bangkok disseminated and discussed the revised ABS management toolkits and manuals on ABS related topics. Options and modalities for a regional CHM were also discussed. Participating countries were also asked to design the information</li> </ul>	One of the challenges faced by most Project Coordinators interviewed is in obtaining relevant and practical advice and information on ABS issues. Sharing of materials developed, having access	The group of country Project Coordinators could potentially develop into a community of practice within ASEAN and Timor Leste on ABS issues. In the long run, and if nurtured well, it is not impossible

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
	<p>structure and website for their CHM on ABS. Available information, gaps and action plans to improve skill and information acquisition for the CHM were also identified.</p> <ul style="list-style-type: none"> <li>▪ Countries interviewed said that they have accessed the “abs.aseanbiodiversity.org” website. However, it was felt that the information at the site could be augmented further. Workshop materials do not seem to be available on the site (although provided via a CD to workshop participants) and it is unclear if sharing of country materials or documents (e.g. educational materials, publications, legal frameworks, etc.) on ABS occur between the countries.</li> </ul>	<p>to a library of resources and tools, and having technical expertise to call upon are important. The ACB website should be strengthened in this respect to create further discussion forums, and serve as a repository of materials developed in-country and externally, that could be used by ABS Project Coordinators for capacity building and awareness raising activities. Such resources could be maintained at a minimal costs even beyond the project if deemed desirable and useful by members.</p>	<p>for the community to develop into a trusted resource for practical experience within the region, who could provide expert advice to policy-makers. They are practitioners in ABS whose skill sets and experience in ABS will grow over time. It is important to explore ways for the community to continue sharing their experiences in tackling ABS implementation issues beyond the lifetime of the project. It is also necessary to develop potential links with other communities of practice working on related issues such as intellectual property, international treaty on plant genetic resources for food and agriculture, etc.</p>
<p>4. Improved common understanding of ABS issues and preferred options identified and discussed collaboratively among ASEAN Member States (AMS) and Timor-Leste</p>	<p>This seems to be lacking. The differing levels of capacity between participating countries, the slow contracting process for the remaining AMS, and the preliminary stage of ABS framework development in most countries make this a challenge. The ASEAN Secretariat, however, is continuing to encourage</p>	<ul style="list-style-type: none"> <li>▪ There is evidence that some ABS experience exists within the AMS and Timor Leste that can be further documented and shared. If there are additional funds remaining within the project, it is recommended</li> </ul>	

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
	<p>and facilitate the process for the AMS to sign the ASEAN ABS Framework Agreement notwithstanding the existence of the Nagoya Protocol on the understanding that the Agreement advances the collective interest of the AMS.</p>	<p>that a small amount be set aside for such purposes and participating countries be asked to submit a small concept note for possible case studies to be written within their countries. Experiences pre- and post-Nagoya Protocol on ABS and lessons learned in project negotiations, trust building efforts between contracting parties and stakeholders, and benefit-sharing arrangements could be documented further and shared.</p> <ul style="list-style-type: none"> <li>▪ The ASEAN ABS Framework Agreement should be looked at, perhaps in the next phase after the development of a national roadmap, as a tool to kick start discussions on regional harmonisation of ABS issues. It is likely that the Framework Agreement may need to be re-examined in light of the Nagoya Protocol but it could serve as the basis for</li> </ul>	

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
		discussion. The differing opinions regarding the status of the Framework Agreement need to be documented and a way forward discussed.	
			<p>The original project proposal was pre-Nagoya Protocol. However, funding and implementation of the project only effectively started towards the end of 2011. The issues pre- and post-Nagoya Protocol are somewhat different, although capacity building on ABS remains very relevant to the AMS and Timor Leste. The original workplan was also unclear and less specific on measurable indicators. There was also an absence of a baseline capacity survey required from the start of the project, making it difficult to measure impact at the end of the project. The lead executing agency, ACB, and UNEP-GEF, were able to make substantial amendments</p>

Outcome	Mid-Term Review Findings	Mid-Term Review Recommendations	Mid-Term Review Lessons Learned
			<p>to, and improve, the workplan of the project to reflect better the key deliverables, activities and timeline of the project. Although this took some time in the beginning of the project, it was a necessary and important step to ensure that the project remains relevant to the participating countries and is targeted to achieve the intended outcomes. This effort is therefore commendable.</p>

## Annex 7 Key Deliverables: Original and Revised

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
<b>1. Developing National ABS Frameworks</b>				<b>Outcome 1: Development of national roadmaps for ABS regime in ASEAN countries</b>	
1.1 Review current status of existing policies and institutional capacity for ABS in each country	Participating countries /ASEAN Secretariat/ACB/ UNU-IAS	1 national assessment <b>report</b> of existing policies and institutional capacity in each participating country	By Q2Y2, assessment report are presented during national consultation and for submission to participating countries' ABS Competent National Authority (CNA) and relevant Ministry/ Department	1. Review current status of existing policies & institutional capacity for ABS in each country	
1.1.1 Assess national ABS framework policies as well as legislative and institutional capacity in each participating country	Participating countries/ASEAN Secretariat/ACB/ UNU-IAS	9 national ABS policy, legislative and institutional capacity assessment <b>reports</b>	By Q2Y2, national assessment report submitted to relevant stakeholders as bases for improvement of both ABS framework and capacity		Assessment of national capacities to develop and implement an ABS Policy completed in each country by end of project 2nd quarter
1.1.2 Identify ABS National Focal Points and Competent National Authorities	Participating countries/ASEAN Secretariat	9 official appointment <b>papers</b> of NFPs and CNAs by participating countries	By Q4Y1, participating countries' NFPs and CNAs are involved in the ABS project		National Focal Points and Competent National Authorities established or a process of identification initiated

<sup>29</sup> UNEP TM approved – 20 March 2012.

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
1.1.3 Draft ABS Policy to include; a) an administrative procedure for access and obtaining PIC; b) draft legislation or drafting instructions; c) strategy for on-going engagement of indigenous communities and resource providers	Participating countries/ASEAN Secretariat/ACB/ UNU-IAS	Drafting <b>instructions</b> for ABS legislation, draft ABS and PIC <b>procedures</b> , and engagement <b>strategy</b> for ILC and resource providers from all participating countries	By Q4Y2, key stakeholders endorsed draft policies to appropriate national agencies for finalization and implementation		A draft ABS Policy, to include: <ul style="list-style-type: none"> <li>• Drafting instructions for ABS legislation</li> <li>• An administrative procedure for access and PIC</li> <li>• Strategy for continued engagement of resource providers by end of project YR2</li> </ul>
1.1.4 Review ABS policy by countries that had ABS policies prior to project start taking into consideration regional requirements; regional benefit sharing; strategy for engagement of resource providers	ACB/UNU-IAS/ Participating countries/ASEAN Secretariat	1 consolidated policy review <b>document</b> of and proposal <b>document</b> for amendments to countries with ABS policies prior to project start	By Q4Y1, documents are discussed during national consultation-workshop and used as bases for policy amendments		Amendments to ABS policy where gaps were identified or creation of supporting policies
1.2 Educate stakeholders on the role of ABS in biodiversity conservation and sustainable livelihoods	Participating countries/ASEAN Secretariat	9 <b>documents</b> on compiled media and materials/ references from participating countries' stakeholders	By Q2Y2, ABS media, and materials/references are disseminated to stakeholders in local languages	2. Increased awareness & understanding of ABS role in biodiversity conservation & sustainable livelihoods	
1.2.1 Tailor and disseminate toolkits to facilitate national consultations and capacity building and drafting of ABS policy	UNU-IAS/ACB/ Participating countries/ASEAN Secretariat	9 sets of <b>toolkits and manuals</b> on ABS related topics on TK, PIC procedures, role of customary law and practice, best practices in developing ABS policies for national	By Q2Y2, toolkits and manuals/procedures are adopted by stakeholders for national consultation-workshop		<ul style="list-style-type: none"> <li>▪ Various toolkits and manuals on ABS related topics produced throughout the project</li> <li>▪ Toolkits on traditional</li> </ul>

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
		consultations			knowledge and ABS, PIC procedures, the role of customary law and practice, best practices in developing ABS policies, etc.
1.3 Educate stakeholders on situational conditionalities/ implications that will generate commitments for harmonization of the ABS national frameworks to the extent possible	Participating countries/ASEAN Secretariat	<ul style="list-style-type: none"> <li>▪ 1 consensus/ agreement/ resolution in each country by stakeholders in support of harmonizing ABS national framework</li> <li>▪ National roadmap for ABS framework</li> </ul>	By Q2Y2, key stakeholders are guided by the national roadmap in developing ABS framework that is aligned toward CBD, Nagoya Protocol, and other MEAS	3. Increased understanding of situational conditionalities/ implications that will generate commitments for harmonization of the ABS national regimes to the extent possible	Current informative and educational programmes and materials from various media and educational institutions in each participating countries
1.3.1 Establish a national participatory process to develop an effective ABS Policy in participating countries	Participating countries/ASEAN Secretariat	9 policy and/or official instructions for a participatory approach from all participating countries	By Q1Y2, stakeholders are involved in developing a national roadmap for ABS framework and policy		Procedures for public input outlined and administrative decisions documented
1.3.2 Conduct national consultations and workshops to support the national processes and regional harmonization	Participating countries/ASEAN Secretariat/ACB/ UNU-IAS	Reports of 2 national consultations/ workshops in each participating country	By Q1Y2, stakeholders are prepared to support national processes and regional Harmonization		At least two major national consultations per country during project period
<b>2. Strengthening stakeholder capacity</b>				<b>Outcome 2: Effective participation of AMS relevant stakeholders for development and implementation of national ABS regime</b>	
2.1 Identify key stakeholders in	Participating countries/ASEAN	Profile directory of key participating countries'	By Q4Y1, key stakeholders are aware	1. Identification of key stakeholders in the	Stakeholder analysis report with identification of

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
participating countries	Secretariat	stakeholders	of national ABS activities	participating countries	possible project roles, responsibilities and capacity by 2nd quarter of Project YR1
2.1.1 Conduct lecture/training for key AMS and Timor-Leste stakeholders on ABS knowledge and tools	UNU-IAS/ACB	1 lecture/training report from each participating country	By Q1Y2, key stakeholders have utilized the ABS toolkits and manuals		Two consultative-training workshops for ABS stakeholders' focal points & facilitators
2.1.2 Develop awareness materials for indigenous and local communities and trainers	UNU-IAS/ACB/ Participating countries/ASEAN Secretariat	1 set of ABS toolkits and manuals in appropriate language for targeted trainers	By Q1Y2, ILC and trainers referred to toolkits and manuals on ABS for national level training		Toolkit/manual and information material developed for local community facilitators on ABS and TK
					ABS toolkits and manuals in respective national languages produced and disseminated to targeted stakeholders
					Sufficient number of materials prepared and reviewed for national and local training on ABS issues
					Public awareness materials produced, including for indigenous and local communities and trainers
2.1.3 Prepare and review educational materials for tertiary, secondary and informal education on ABS and TK	Participating countries/ASEAN Secretariat/UNU- IAS/ ACB	1 set of draft educational materials for tertiary, secondary and informal education on ABS and TK	By Q2Y2, educational materials on ABS and TK are submitted to appropriate agency(ies) for approval and		

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
issues			dissemination		
2.2 Provide easy access to available ABS information for key stakeholders	ACB/UNU-IAS	A regional ABS website containing downloadable information products	By Q1Y2, information products are accessible from regional website	2. Provision of easy to access available ABS information for the key stakeholders	
2.2.1 Develop a national ABS database <sup>30</sup>	Participating countries/ASEAN Secretariat	ABS database in 2 participating countries linked to regional ABS website	By Q1Y2, national ABS databases are accessible from the regional ABS website		ABS databases established in agreed number of participating countries
					National information sharing/management mechanism established
2.3 Establish stakeholders' network for ABS participation and collaboration	ACB/Participating countries/ASEAN Secretariat	1 network/group of government appointed ABS Focal Points and Competent National Authority representatives (Friends of Biodiversity – ABS NFP and CNAs)	By Q1Y2, ABS Focal Points and Competent National Authority representatives are members of network and participating in discussions/forum	3. Establishment of stakeholders' network for ABS participation & collaboration	CNAs and ABS National Focal Points Network
2.3.1 Analyse regional stakeholders and identify institutions' capacities	ACB/UNU-IAS/ Participating countries/ASEAN Secretariat	1 regional stakeholder and institutional capacity analyses report (analyzing possible roles, responsibilities, and capacities)	By Q1Y2, report is used by participating countries/ regional bodies as basis in developing policy support, and capacity building strategy		
2.3.2 Conduct	ACB/UNU-IAS/	▪ Regional	By Q1Y2, ILC		At least 2 local community

<sup>30</sup> This activity was deleted at the first revision in July 2013.

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
regional workshop for representatives of local and indigenous communities to prepare for participation in national processes	Participating countries/ASEAN Secretariat	Training/Workshop report <ul style="list-style-type: none"> <li>▪ 2 representatives of local and indigenous communities participated in regional training/workshops</li> </ul>	representatives are prepared to participate in national processes		facilitators and leaders from each country trained in ABS issues at regional workshops
2.3.3 Conduct regional training of trainers (key educators at a Regional sub-workshop, NGOs and other related regional bodies representatives) in ABS and TK including review of prepared manuals and tools	UNU-IAS/ACB/ Participating countries/ASEAN Secretariat	<ul style="list-style-type: none"> <li>▪ 2 trainers from each participating country involved in regional training of trainers in ABS and TK and review of educational manuals and tools</li> <li>▪ Educational manuals and tools</li> <li>▪ Training report</li> </ul>	By Q1Y2, key educators and NGO representatives are prepared to conduct training-workshops in their respective countries		At least 2 trainers from each country involved in Training Workshops in year 1 with their contribution to the educational materials and tools
2.4 Develop ABS outreach strategies and programmes to enhance stakeholder and broader public awareness of ABS issues at the regional and national levels of all participating countries	ACB/UNU-IAS	1 set of documents on ABS outreach strategies and programmes for regional and national levels	By Q3Y2, ABS outreach strategies and programmes are being implemented in participating countries	4. ABS outreach strategies and programmes to enhance stakeholder and broader public awareness of ABS issues at the regional and national levels of all participating countries	
2.4.1 Formulate public awareness strategy	ACB/UNU-IAS	1 regional public awareness strategy document	By Q1Y2, key stakeholders adopted the strategy		
2.4.2 Implement outreach programme	Participating countries/ASEAN Secretariat/UNU-IAS/	1 set of information leaflets, media articles, manuals and case studies disseminated in	By Q2Y2, public have access to information leaflets, media articles,		ABS outreach programmes designed and implemented

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
	ACB	local languages in participating countries	manuals and case studies on ABS and TK		
					Media outreach tools produced and circulated
<b>3. Regional cooperation and learning</b>				<b>Outcome 3: Regional ABS community of practice consolidated</b>	
3.1 Establish region-wide information communication and learning facility	ACB/UNU-IAS/ Participating countries/ASEAN Secretariat	1 region-wide web-based information sharing network and learning facility	By Q2Y2, ACB provides key stakeholders a region-wide web-based information sharing network and learning facility	1. Region-wide information, communication & learning facility established	Regional information sharing network & mechanism, and training facility & modules for ABS, and link to ASEAN-ABS CHM established in each participating countries: <ul style="list-style-type: none"> <li>▪ Focal point appointed by first quarter of project year 1</li> <li>▪ Consensus document of favoured option for establishment of CHM and regional network</li> <li>▪ Staff identified and appropriated for the regional CHM with an approved work plan</li> </ul>
3.1.1 Appoint ABS focal point/helpdesk	Participating countries/ASEAN Secretariat	Government document appointing ABS Focal Point/Helpdesk in each participating country	By Q1Y2, ABS Focal Points/Helpdesk are participating in the development and maintenance of the info sharing network and learning facility	2. Contacts between national ABS managers in the AMS and their regional peers/stakeholders enhanced	Establishment of the Help Desk in project YR1
3.1.2 Identify options,	ACB/UNU-IAS	1 document of consolidated	By Q1Y2, Regional CHM		

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PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
priorities and modalities for the Regional Clearing House Mechanism and regional information needs	Participating countries/ASEAN Secretariat	list of favoured options, priorities and modalities for Regional CHM and information needs	priorities and info needs are being addressed by ACB		
3.1.3 Develop regional benefit sharing procedures and/or mechanisms	UNU-IAS/ACB/ Participating countries/ASEAN Secretariat	1 draft regional guidelines for benefit sharing	By Q3Y2, guidelines are presented during 3rd Regional W/S and national consultations and fine-tuned based on stakeholders' comments/ suggestions		Benefit sharing proposal developed and discussed and procedures established
3.1.4 Assist in developing national procedures for Prior Informed Consent and negotiating parameters for Mutually Agreed Terms	ACB/UNU-IAS/ Participating countries/ASEAN Secretariat	1 draft document on national procedures and formats for PIC and negotiating parameters for MAT from each participating country	By Q3Y2, draft document are reviewed during national consultations and used as basis for finalizing policy		Modules and formats for PIC procedures and documentation developed
3.2 Establish contacts between national ABS managers in the AMS and Timor-Leste and their regional peers/ stakeholders	ACB/ASEAN Secretariat/ Participating countries UNU- IAS	Regional meeting reports with contact details of ABS managers and stakeholders	By Q3Y2, ABS managers in the region are acquainted with each other and have interacted with their regional peers/ stakeholders		Regular and more consultative workshops/meetings of stakeholders conducted by AMS-ABS managers
3.2.1 Conduct first regional workshop to initiate the project and work programme	ACB/ASEAN Secretariat/ Participating countries/UNU- IAS	First regional workshop report	By Q2Y1, project work programme are discussed by IPSC, National Project Coordinators, and other relevant partners		

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
3.2.2 Develop active regional ABS network(s) of expertise	ACB/Participating countries/ASEAN Secretariat/UNU- IAS	Monthly forum of Regional ABS Specialists/Experts at online network (Friends of Biodiversity – ABS)	By Q1Y2, regional ABS Specialists/Experts discuss issues and concerns and provide suggestions or positions through the network		Specialist networks are established
3.3 Promote ASEAN Framework Agreement on ABS through stakeholders consultation	ACB/ASEAN Secretariat/ Participating countries	<ul style="list-style-type: none"> <li>▪ 1 regional and 1 national stakeholder consultation reports on ASEAN Framework Agreement on ABS</li> <li>▪ 2 resolutions/ positions supportive to the Agreement from stakeholders of non-signatory AMS</li> </ul>	By Q2Y2, resolutions/ positions are endorsed to appropriate national agency for signing of the Agreement	3. ASEAN Framework Agreement on ABS further promoted through stakeholders consultation	ASEAN Framework Agreement document reviewed and promoted
<b>4. Moving towards harmonization of national, regional, and international ABS regime</b>				<b>Outcome 4: Common understanding of ABS issues and preferred options identified and discussed collaboratively among AMS</b>	
4.1 Conduct training sessions and preparatory meetings	Participating countries/ASEAN Secretariat/ACB/ UNU-IAS	2 training session and 2 national preparatory meeting reports	By Q4Y1, key stakeholders are able to participate in developing ABS frameworks	1. Training sessions and preparatory meetings	Number of trainings and meetings conducted, synthesis reports available and presented at regional and sub-regional workshops
4.2 Develop appropriate common/harmonized positions for concerned countries	Participating countries/ASEAN Secretariat/ACB/ UNU-IAS	1 common/harmonized position paper for concerned countries on minimum elements of ABS framework	By Q3Y2, concerned countries are guided by the agreed minimum elements of ABS framework in developing ABS policies	2. Appropriate common/ harmonized positions developed for concerned countries	Identified ABS areas of common understanding among AMS and harmonized positions on ABS deliberated
4.3 Involve national ABS counterparts/	Participating countries/ASEAN	▪ 1 profile list of ABS counterparts/stakeholders	By Q3Y2, ABS counterparts/	3. Increased standing & respect for regional	Presence of national ABS counterparts/stakeholders

REVISED MARCH 2012 <sup>29</sup>				ORIGINAL PROJECT DOCUMENT	
PROJECT COMPONENTS/ ACTIVITIES	KEY RESPONSIBLE AGENCIES	KEY DELIVERABLES/ OUTPUTS	BENCHMARKS/ MILESTONES	KEY DELIVERABLES/ OUTPUTS	BENCHMARK
stakeholders at the regional meetings/ activities on ABS	Secretariat/ACB	per regional meeting/activity ▪ Regional meeting and activity reports	stakeholders have worked together in harmonizing ABS frameworks at regional meetings/activities	views & representations in ABS negotiations	at the regional meetings/activities on ABS

**ANNEX 8 ASEAN ABS Project Country Grant Agreements**

Signing order	Country	Original				Amendment			
		Date signed	Start	Termination	Amount	Date signed	Start	Termination	Amount
1	Cambodia	17.02.12	01.06.12	31.03.13	\$24,000	20.09.13	20.09.13	30.11.13	\$10,000
2	Lao PDR	24.04.12	16.05.12	15.02.13	\$24,000	23.08.13	23.08.13	31.10.13	\$10,000
4	Malaysia	15.06.12	15.06.12	31.03.13	\$24,000				
8	Myanmar	06.12.12	01.01.13	31.07.13	\$24,000				
5	Philippines	26.06.12	01.07.12	31.03.13	\$24,000	14.10.13	14.10.13	31.10.13	\$10,000
7	Thailand	30.11.12*	01.11.12	31.05.13	\$24,000	13.12.13**	13.12.13	31.03.14	\$10,000
6	Timor-Leste	29.10.12	01.09.12	31.03.13	\$24,000	16.10.13	16.10.13	31.10.13	\$10,000
3	Viet Nam	06.05.12	16.05.12	15.03.13	\$24,000	15.08.13	15.08.13	31.10.13	\$10,000
					\$192,000				\$60,000
* Date of letter from the Office of Natural Resources and Environmental Policy and Planning (ONEP) to ACB agreeing to be the implementing agency for the project.									
**Date of letter from the Office of Natural Resources and Environmental Policy and Planning (ONEP) to UNEP transmitting a workplan and requesting an extension for awareness-raising activities.									

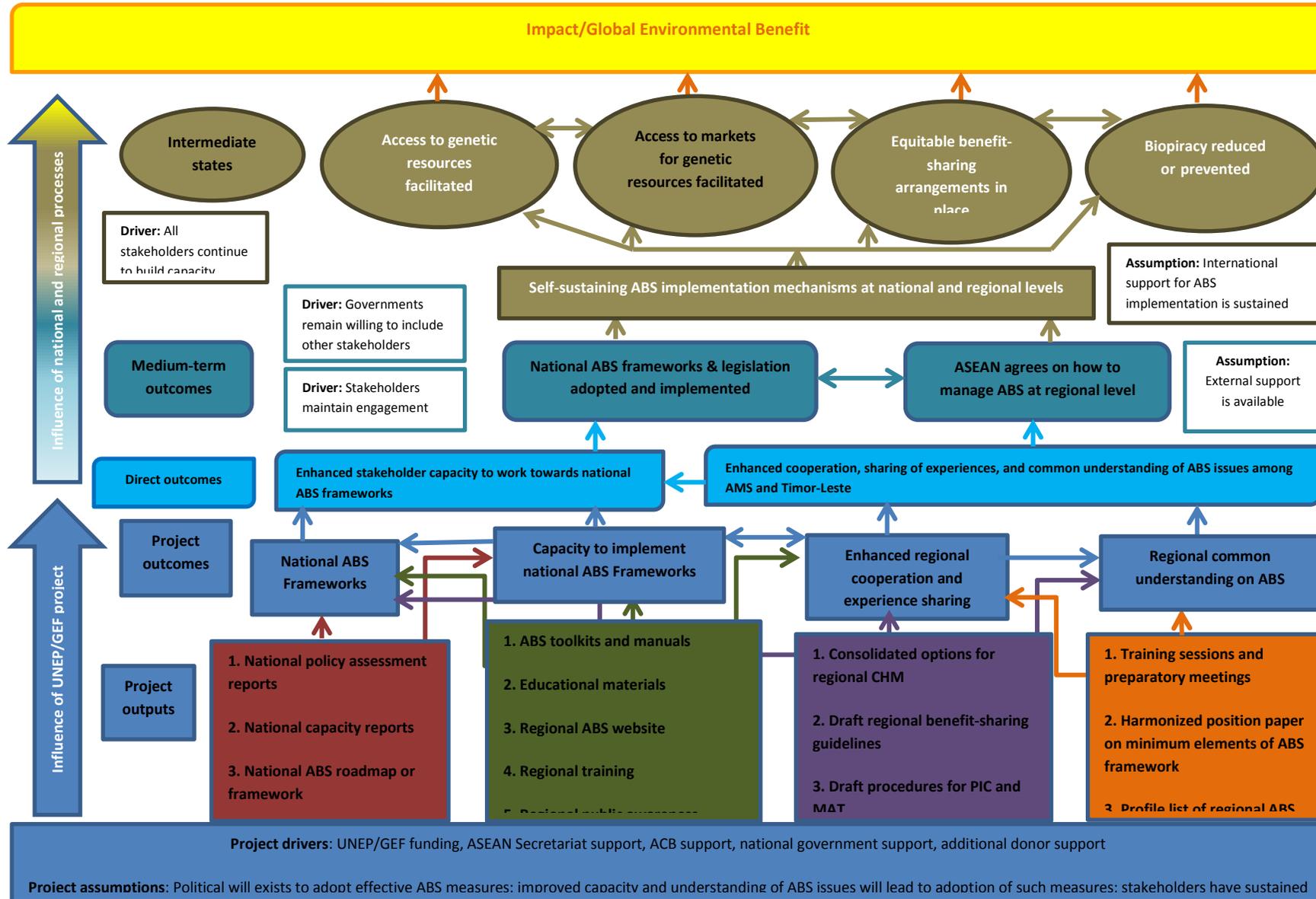
## Annex 9 Key Milestones and Dates in Project Design and Implementation

Milestone	Date
GEF approved PIF	11 May 2009
GEF approved the project	16 March 2011
UNEP approved the project	20 May 2011
Project start	1 August 2011
Grant agreements signed with eight participating countries	February-December 2012
UNEP approved revisions to project components, key deliverables, and revised overall work plan	20 March 2012
UNEP approved revised M&E plan	17 October 2012
1 <sup>st</sup> revision, no-cost extension to 31 January 2014 <sup>31</sup>	19 July 2013
Amended grant agreements with six countries	August-December 2013
2 <sup>nd</sup> revision	July 2014

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<sup>31</sup> The no-cost extension until 31 January 2014 allowed ACB and participating countries to complete project activities by 30 June 2014.

## Annex 10 Reconstructed Theory of Change Diagram



## Annex 11 Documents Reviewed or Consulted

### Evaluation ToR

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

### Project Document and Reports

- Project Document. 2011. *Building capacity for regionally harmonized national processes for implementing CBD provisions on access to genetic resources and sharing of benefits (ASEAN)*
- Project Cooperation Agreement and amendment
- Project Document. 2012. *Appendix 6: Key Deliverables* (revised). UNEP TM approved 20 March.
- Country Grant Agreements and amendments
- Guat Hong The. 2012. *Mid-Term Review Report*. Building capacity for regionally harmonized National processes for implementing Convention On Biological Diversity provisions on access to Genetic resources and sharing of benefits(ASEAN and Timor-Leste)
- UNEP GEF PIR Fiscal Year 10 (1 July 2011 to 30 June 2012). *3853 PIR 2012-ASEAN ABS FINAL 31 July*
- UNEP GEF PIR Fiscal Year 13. 2013. *3853 PIR 2013-ASEAN ABS FINAL 29 July 2013*
- UNEP GEF PIR Fiscal Year 14 (1 July 2013 to 30 June 2014). Final draft excerpts
- United Nations Environment Programme (UNEP). 2013. *Project Action Sheet* (No-cost Extension)
- Revised Costed M&E Plan
- Half Yearly Progress Reports (2)
- Final Report Annex 10
- Inventory of Non-Expendable Equipment Purchased Reports (2)
- Budget Re-allocation Reports (2)
- Cash Advance Statements (7)
- Reports of Planned and Actual Co-Finance by Budget Line (9)
- Quarterly Expenditure Statements (11)
- Final Expenditure Statement
- Mission Reports (9)
- Project Steering Committee Meeting Reports (4)
- Regional Workshop Reports (4)
- Baseline Capacity Impact Assessment Report
- Final Capacity Impact Assessment Report
- Country Mid-Term Progress Reports (3 – Cambodia, Malaysia, Philippines)
- Country Completion Reports (all countries)

### Consultants’ Reports

- Policy Assessment Reports (Malaysia, Philippines, Viet Nam)
- Training Report

### GEF and UNEP Manuals and other Documents

- Global Environment Facility (GEF). 2012. *GEF Investments in Support of Access and Benefit Sharing (ABS)*. Washington, D.C.: GEF
- GEF Evaluation Office. 2009. *The ROTI Handbook: Towards Enhancing the Impacts of Environmental Projects*. Methodological Paper #2. Washington, D.C.: GEF
- GEF. 2008. *Guidelines for GEF Agencies in Conducting Terminal Evaluations*. Evaluation Document No. 3. Washington, D.C.: GEF
- UNEP. *Programme Performance Report 2012-2013*. UNEP/EA.1/INF/6
- UNEP. 2009. *Evaluation Policy*. September. Nairobi: UNEP

- UNEP. 2008. *Evaluation Manual*. March. Nairobi: UNEP
- UNEP. 2007. *Medium-term Strategy 2010–2013*. UNEP/GCSS.X/8
- UNEP Governing Council. 2005. *Bali Strategic Plan for Technology Support and Capacity-building*. UNEP/GC.23/6/Add.1

**Annex 12 National ABS Stakeholders**

<b>Project document</b>	<b>Cambodia</b>	<b>Lao PDR</b>	<b>Malaysia</b>	<b>Myanmar</b>	<b>Philippines</b>	<b>Timor-Leste</b>	<b>Viet Nam</b>
National and sub-national government agencies and institutions	✓	✓	✓	✓	✓	✓	✓
Indigenous and local communities and their organizations				Farmers	✓		Farmers and other local people
Private sector			✓	✓	✓	✓	
Research institutions		✓	✓		✓		
Academia/Universities	✓	✓	✓	✓	✓	✓	
	NGOs	NGOs	NGOs			NGOs	
		International organizations		International organizations	International organizations		
		Media				Media	Media
		Trade union					

## Annex 13 Awareness Materials

<b>Cambodia</b>
▪ Nagoya Protocol, translated into Khmer
▪ Bonn Guidelines, translated into Khmer
▪ Introduction to access and benefit-sharing, in Khmer
▪ Access and benefit sharing, in Khmer
▪ Traditional knowledge, in Khmer
▪ Uses of genetic resources, in Khmer
▪ National implementation, in Khmer
<b>Lao PDR</b>
▪ Nagoya Protocol, translated into Lao and distributed on DVD
▪ ABS brochure, in Lao
▪ Lao National Framework on the Access to Genetic Resources and the Fair and Equitable Sharing of Benefit Arising from their Utilization, hard copy publication in Lao and English, 200 copies printed and distributed
▪ Lessons Learned and Good Practices with Respect to Lao ABS Framework Formulation, hard copy publication in Lao and English, 150 copies printed and distributed
▪ Cover story on ABS in “Update”, a national news magazine, in Lao
▪ Article on ABS in Vientiane Mai newspaper
▪ Video “Lao ABS Simply Explained”, 6.26 minutes, in Lao, available on YouTube
<b>Myanmar</b>
▪ Convention on Biological Diversity, translated into Burmese
▪ Bonn Guidelines, translated into Burmese
▪ Nagoya Protocol, translated into Burmese
▪ ABS Management Tool, translated into Burmese
▪ Brochure – “ABS Simply Explained”, 10,000 printed and distributed to stakeholders and university lecturers
▪ Brochure – “ASEAN ABS Issues”, 10,000 printed and distributed to government departments, stakeholders and university lecturers
▪ Five ACB Policy Briefs on ABS issues, translated into Burmese
<b>Philippines</b>
▪ Pamphlets on the Nagoya Protocol, in Tagalog, Ilocano, Visayan dialect, and English – 1,000 copies of each
▪ Pamphlet on Understanding Access and Benefit Sharing: 300 copies for the private sector; 500 copies for academic institutions; 200 copies for researchers
<b>Thailand</b>
▪ Nagoya Protocol, in English – 20,000 copies printed and distributed
▪ Nagoya Protocol, in Thai – 20,000 copies printed and distributed
▪ “Access and Benefit-sharing”, 30/32-page booklet in two versions, Thai and English – 20,000 copies of each printed and distributed
▪ “Access and Benefit-sharing”, 12-page booklet in Thai only – 10,000 copies printed and distributed
<b>Timor-Leste</b>
▪ Nagoya Protocol translated into Tetum and distributed to stakeholders, the wider

community, and university students, in the early stage of project activities
<ul style="list-style-type: none"> <li>▪ Brochure on the Nagoya Protocol and its relevance for Timor-Leste, in Tetum and English</li> <li>▪ Package of documents including the draft Biodiversity Decree-Law and the cost and benefit analysis for acceding to the Nagoya Protocol, in Portuguese</li> </ul>
<b>Viet Nam</b>
<ul style="list-style-type: none"> <li>▪ ACB film giving a simple explanation of ABS, in Vietnamese – 300 copies distributed to all provincial departments</li> <li>▪ ACB factsheets on ABS, in Vietnamese – 800 copies distributed to all provincial departments</li> <li>▪ ABS Management Tool, in Vietnamese – 640 copies distributed to all provincial departments</li> <li>▪ Nagoya Protocol, in Vietnamese – 800 copies distributed to all provincial departments</li> </ul>

**Annex 14 Areas in which capacity still needs to be strengthened**

<b>Areas</b>	<b>Indonesia</b>	<b>Lao PDR</b>	<b>Malaysia</b>	<b>Philippines</b>	<b>Singapore</b>	<b>Thailand</b>	<b>Viet Nam</b>
Implementing and complying with the Nagoya Protocol		X					
Negotiating MAT and promoting fairness in doing so		X				X	
Developing, implementing, monitoring, and enforcing compliance with domestic legislative, administrative and policy measures on ABS, including patent enforcement	X	X	X	X	X	X	
Developing taxonomic research and research on adding value to genetic resources		X					X
Institutional development		X					
Information sharing generally and documentation and establishing ABS databases in particular		X		X			X
Bioprospecting		X					
Technology transfer		X				X	
Using ABS to enhance conservation and sustainable use of biological resources		X					
Awareness among		X					X

Areas	Indonesia	Lao PDR	Malaysia	Philippines	Singapore	Thailand	Viet Nam
communities and other stakeholders about ABS and TK							
Communities' technical capacity to conserve genetic resources and their TK						X	X
Establishing and maintaining checkpoints		X		X			
Understanding benefit sharing aspects of collections that are sent abroad				X			
Tracking collections sent abroad, particularly for changes in intended use				X			
Drafting access agreements					X		
Training trainers							X
Private sector compliance							X

\*Representatives of Brunei, Cambodia, Indonesia, Myanmar, and Timor-Leste did not specify areas in which their countries still need to build capacity.

## Annex 15 Project Costs and Co-financing

**Table 1. Project Costs**

Component/sub-component	Estimated cost at design (USD)	Actual Cost	Expenditure ratio (actual/planned)
Component 1	225,000	USD719,788.36	96/100
Component 2	175,000		
Component 3	150,000		
Component 4	125,000		
Evaluation, audits, M&E	75,000		

**Table 2. Co-financing**

Co-financing (Type/Source)	IA own Financing (USD)		Government (USD)		Other* (USD)		Total (USD)		Total Disbursed (USD)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
<b>Grants</b>							0	65,392	65,392
– German International Cooperation Agency (GIZ), Biodiversity and Climate Change Project					0	32,708			
– Asia Pacific Network for Global Change Research (APN)					0	32,684			
<b>In-kind support</b>							750,000	1,111,261	
– ACB	200,000	273,487							
– UNU-IAS	100,000	90,090							
– Malaysia			200,000						
– Philippines			150,000						
– Thailand			100,000						
<b>Totals</b>	300,000	363,577	450,000	747,684	0	65,392	750,000	1,111,261	

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

## Annex 16 Regional Workshop Participation

Country	Total participation	Attended 1 workshop	Attended 2 workshops	Attended 3 workshops	Attended 4 workshops	Gov't	University/ Research institution	ILC	Gov't representing ILC	Research institution representing ILC	NGO	Private sector	Int'l org.
Brunei	4	1	3			4							
Cambodia	9	7		1	1	7	1		1				
Indonesia	7	7				5		1			1		
Lao PDR	12	9	3			9	1		1	1			
Malaysia	29	21	4	4		16	7	3			1	1	1
Myanmar	11	9	1	1		7	1		1		2		
Philippines	23	18	3	2		14	3	2			3	1	
Singapore	2		1		1	2							
Thailand	20	16	3	1		13	5				1	1	
Timor-Leste	8	6	1	1		5	2				1		
Viet Nam	15	11	3	1		10	3				1	1	
<b>Total</b>	<b>140</b>	<b>105</b>	<b>22</b>	<b>11</b>	<b>2</b>	<b>92</b>	<b>23</b>	<b>6</b>	<b>3</b>	<b>1</b>	<b>10</b>	<b>4</b>	<b>1</b>
		75%	16%	8%	1%	66%	16%	4%	2%	1%	7%	3%	1%

## **Annex 17 Final Capacity Impact Assessment Report**

### **I. Introduction**

The United Nations Environmental Programme-Global Environment Facility (UNEP-GEF) Regional Project, *Building Capacity for Regionally Harmonized National Processes for Implementing CBD Provisions on Access to Genetic Resources and Sharing of Benefits*, aims to strengthen Southeast Asian countries' capacities to implement the Convention on Biological Diversity (CBD) provisions on access and benefit-sharing (ABS). This will be done by developing full and effective national frameworks, as well as strengthening national capacity for country negotiators to fully understand issues and options in ABS negotiations. The project used a survey tool to monitor and evaluate the participating countries' capacities to address ABS matters.

The objective of the capacity impact survey is to assess and document the changes in the participants' understanding, awareness and capacity on ABS as a direct result of the project, which was executed in partnership with the ASEAN Centre for Biodiversity (ACB), ASEAN Secretariat, and United Nations University-Institute of Advanced Studies.

The countries involved in the ACB-UNEP-GEF Regional Project on ABS are the 10 ASEAN Member States (AMS), and Timor-Leste. The baseline capacity impact survey was conducted during the Second Regional Workshop held in Bangkok, Thailand on 20-23 August 2012. Over 50 participants joined the workshop and served as baseline survey respondents.

The mid-term and project-end capacity impact surveys were conducted at the Third and Fourth Regional Workshops, respectively. However, due to the brief interval between the baseline and mid-term surveys (four months), only the project-end survey results were considered for this report.

### **II. Methodology**

The survey used the scorecard, a tool that serves to quantify a qualitative process of capacity change by using appropriate indicators and their corresponding ratings. The tool presents descriptive sentences for each capacity development indicator with four numerical ratings (0-3). The survey was conducted three times throughout the project: beginning, mid-term and end. However, only the baseline and project-end survey data were utilized for the final capacity impact analysis.

Largely based on the *Monitoring Guidelines of Capacity Development in Global Environment Facility Projects* of the United Nations Development Programme, the capacity development results and indicators used for this survey were modified to suit project objectives and expected outcomes. Activities that have been implemented at the national level, as indicated in the participating countries' national ABS work plan, were also accounted for. The capacity results and their corresponding indicators are shown in Table 1.

**Table 1.Capacity results and indicators**

CAPACITY RESULT DESCRIPTION		MAXIMUM TOTAL SCORE	INDICATORS	
#	Description		#	Description
1	Capacities for engagement	6	1	Degree of legitimacy or mandate of lead government agencies in ABS policies implementation
			2	Existence of cooperation with stakeholder groups in ABS policy formulation and implementation
2	Capacities to generate, access and use information and knowledge	15	3	Degree of awareness of stakeholders on ABS issues nationally, regionally and globally
			4	Availability and relevance of the ABS information for decision-making
			5	Access and sharing of ABS information by stakeholders
			6	Existence of education programmes geared towards ABS and traditional knowledge(TK) issues awareness
			7	Extent of inclusion and use of traditional and community knowledge in the formulation of national ABS frameworks
3	Capacities for strategy, policy and legislation development	9	8	Extent of planning and strategy development for the ABS roadmap
			9	Existence of policies and regulatory frameworks on ABS
			10	Extent of review and assessment of ABS elements based on the Nagoya Protocol in the formulation of national ABS frameworks (e.g., benefit-sharing, access, compliance, NFP and CNA, CHM and awareness-raising, among others)
4	Capacities for management and implementation	3	11	Availability of required technical skills for management and implementation

MLXXV.

The maximum total score for the four capacity results is 33.

The respondents were asked to choose among the descriptive sentences per indicator for each capacity result, rating themselves according to their perception of their current status per indicator.

In the baseline survey, the scores and ratings were tallied. The average score per indicator<sup>32</sup>, average score per capacity result cluster<sup>33</sup>, percent per cluster<sup>34</sup>, overall percent total score<sup>35</sup> and the median score per cluster<sup>36</sup> were computed. For the project-end survey, the scores were computed using previous formula, specifically for average and median scores. The change or direct difference was also calculated to measure the difference at which the scores and overall data had adjusted from baseline to project end. This determines whether the intervention applied (i.e., the ACB-UNEP-GEF Regional Project on ABS) has contributed to the changes in, and improvement of, capacities as indicated in the scorecard. This report assesses average scores, median scores or central tendencies, and the change or direct difference from baseline to project end scores.

The capacity impact survey results provide the project implementers and participating countries an assessment of capacity levels. It also determines the kind and degree of assistance that the regional and national coordinating team can provide after the project concludes. As the indicators directly relate to the participating countries' national ABS work plans, the countries' capacities directly influence the implementation of said work plans. Ultimately, this affects the development of their national ABS policies and frameworks.

### III. Data Limitations

#### MLXXVI.

The capacity impact survey aimed to determine the current capacities of each stakeholder participant per country. Ideally, the baseline participants are also the mid-term and project-end survey respondents. However, the scorecard was not modified and tailored to be stakeholder-specific (e.g., government agency, academe, indigenous and local communities, and the private sector). Thus, some participants opted to answer the survey as a country group.

It should also be noted that the baseline capacity impact survey was held a year after the ACB-UNEP-GEF Regional Project on ABS officially started. The baseline survey should have been conducted at the beginning of the project. However, it was delayed because certain details in the project document were still being improved.

The respondents were participants in the training-workshop and represented only a sample of the key stakeholders in their country. As such, survey results represent a sample of the respondents' capacities at the time the survey was conducted on 23 August 2012 (at the Second Regional Workshop) and on 22 November 2014 (at the Fourth Regional Workshop). This report determines the impact on the capacities of the participants or the respondents who participated from baseline to project end.

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<sup>32</sup>Total score of respondents per country divided by the number of respondents. This shows the average score of the respondents per country for that specific indicator.

<sup>33</sup>Total score of respondents divided by the number of indicators for that cluster. This shows the average score for a specific capacity result.

<sup>34</sup>Total score of the capacity result cluster divided by the maximum total score for the cluster multiplied by 100. Noting the maximum total score for each capacity result, this shows the percentage capacity "achieved" for a specific capacity result.

<sup>35</sup>Total of all indicator scores divided by the maximum total score of all indicators multiplied by 100. Noting the maximum total score for all capacity results, this shows the overall percentage capacity "achieved" in the country as perceived by the respondent.

<sup>36</sup>This determines the central tendencies of the rating of respondents from the same country per cluster.

This report also does not disregard the possible contribution of other sources (e.g., ongoing national projects and training related to ABS) to capacity-building. It should be noted that the changes reflected in the report may not be attributed solely to the ACB-UNEP-GEF Regional Project on ABS. Any progress reflected in the participants' scores indicate changes in terms of perceived capacity on ABS. However, such changes were not necessarily caused by the project exclusively.

The measured change over time may be deemed negligible because the period between the baseline and project-end surveys is only one year. Nevertheless, perception towards capacity has improved within a year, based on the average scores per country at project end.

Average change may only be computed for countries that provided scores for both baseline and project end at each indicator of capacity result.

Finally, this capacity impact report does not generalize the region's capacity in addressing ABS issues. However, it seeks to further contribute to capacities the region needs as a whole, having recognized shared biological resources, as well as establish regional exchange of best practices and lessons from actual experiences.

#### **IV. General Information about the Respondents**

The participants of the three regional workshops conducted under the ACB-UNEP-GEF Regional Project on ABS served as survey respondents. The Second Regional Workshop was joined by 53 participants from the AMS and Timor-Leste; the Third Regional Workshop welcomed 55 participants from 10 participating countries; and the Fourth Regional Workshop had 34 participants from all participating countries. The participants represented relevant stakeholders, which include ABS national focal points (NFPs), competent national authorities (CNAs), academe, non-government organizations or civil society organizations, and indigenous and local community leaders. These stakeholders are and will be involved in ABS work in their respective countries.

#### **V. Key Findings and Discussion of Survey Results**

The respondents in the survey will be identified in letters as reflected in the tables and discussion of results.

##### **Determining the average scores**

The average score per capacity result cluster was determined based on the total score for each indicator divided by the number of indicators for that cluster. The average scores are shown in Table 2. The average scores for each capacity result at baseline and project end were as follows: capacity result 1 – 1.42 and 2.50; capacity result 2– 1.18 and 1.50; capacity result 3– 1.16 and 1.63; and capacity result 4–1.18 and 1.50. There was a noticeable increase in average scores for each capacity result, which is a positive indication of the participants' improved capacities per ABS capacity indicator. If at baseline the respondents perceived a low capacity in the indicators, the increase in average scores show that the respondents had progressed, specifically in the capacities for engagement.

**Table 2. Average scores per capacity result**

RESPONDENTS	Average scores per capacity result (CR) cluster at baseline (B) and project end (PE)							
	CR 1		CR 2		CR 3		CR 4	
	B	PE	B	PE	B	PE	B	PE
<b>A</b>	0		1		1		0	
<b>B</b>	1		0		1		0	
<b>C</b>	1	3	1	2	1	2	1	2
<b>D</b>	1	3	1	2	1	1	1	2
<b>E</b>	3	2	2	1	2	2	3	1
<b>F</b>	1	3	1	1	0	2	0	1
<b>G</b>	2	3	1	2	1	2	2	3
<b>H</b>	3		1		1		1	
<b>I</b>	2	2	2	2	2	1	1	1
<b>J</b>	2	2	2	1	2	1	2	0
<b>K</b>	2	2	2	1	1	2	2	2
<b>Average</b>	1.42	2.50	1.18	1.50	1.16	1.63	1.18	1.50

**Determining the central tendencies**

The central tendencies in the capacity impact survey interpret the participating countries' and the region's current capacities based on the respondents' ratings.

The score range of the capacity impact survey was 0 to 3. Zero suggests that for a specific indicator, nothing was done. A score of 3 suggests that for a specific indicator, the conditions were met and the indicator was achieved.

RESPONDENTS		C.R. 1		C.R. 2					C.R. 3			C.R. 4
		I1	I2	I3	I4	I5	I6	I7	I8	I9	I10	I11
A	B	0	0	0	2	0	3	2	2	0	1	0
	PE											
B	B	1	1	0	0	0	1	1	0	1	1	0
	PE											
C	B	2	1	1	1	1	2	2	0	2	1	1
	PE	2	3	2	2	1	3	3	2	2	2	2
D	B	0	1	2	1	0	1	1	1	0	1	1
	PE	3	3	2	1	1	3	1	2	1	1	2
E	B	3	3	1	0	1	3	3	3	1	1	3
	PE	3	1	2	1	1	2	1	2	1	2	1
F	B	1	0	2	0	0	0	1	0	1	0	0
	PE	2	3	2	1	1	2	1	3	2	2	1
G	B	3	2	1	1	1	2	2	1	2	1	2
	PE	3	3	3	1	1	3	2	3	2	1	3
H	B	3	2	1	1	0	2		1	2	1	1
	PE											
I	B	2	2	2	1	1	2	2	1	2	2	1
	PE	2	1	2	1	0	3	2	1	2	1	1
J	B	1	1	3	2	1	1	3	2	1	2	2
	PE	2	1	1	2	0	1	1	1	1	2	0
K	B	2	2	2	2	1	3	2	1	2	2	2
	PE	2	2	1	2	1	2	1	2	1	2	2
MEDIAN	B	2	1	1	1	1	2	2	1	1	1	1
	PE	2	3	2	1	1	2	1	2	2	2	2

**Table 3. Median scores per indicator (baseline and project end)**

### Capacity Result 1: Capacities for Engagement

Capacity result 1 provides how relevant individuals and organizations are proactively and constructively engaging with one another in managing ABS issues. The relevant stakeholders' role and participation in managing ABS issues should be evident and recognized. ABS policy formulation and implementation should be transparent and well-coordinated among stakeholders, and participation in consultations should be a practiced and well-established mechanism.

For indicator 1 (degree of legitimacy or mandate of lead government agencies in ABS policies implementation), a lead government agency mandated to implement ABS policies should be well-established in the country. The Nagoya Protocol on ABS states under Article 13 that each Party shall designate an NFP and one or more CNAs on ABS. The NFP and CNA may be one single entity, with the Protocol further elaborating the functions of each. Even if the countries have not yet ratified the Protocol, national ABS laws and other related policies may be in place, and designated government agencies or authorities should be recognized and acknowledged for their roles and responsibilities.

The baseline median score for this indicator was 2 and there was no change by project end. From baseline to project end (1 year), countries were still working on making stakeholders aware of the lead government agencies responsible for ABS management. Some countries had identified their CNAs, but legal frameworks to establish or institutionalize their competencies are still being developed.

Indicator 2 is on the existence of cooperation with stakeholder groups in ABS policy formulation and implementation. This indicator measures stakeholder identification and involvement, the establishment of stakeholder consultation processes, and the active contribution of these stakeholders in the formulation and implementation of ABS policies. The median scores for this indicator at baseline and project end were 1 and 3, respectively. The participating countries had progressed in engaging stakeholder groups in the processes leading to ABS policy formulation. This outcome was evident in the country reports that were presented, as well as during national-level consultations in which various stakeholders were participants.

### **Capacity Result 2: Capacities to Generate, Access and Use Information and Knowledge**

Capacity result 2 includes indicators that describe having individuals and organizations with the skills and knowledge to research, acquire, communicate, educate and make use of ABS information. This will enable countries to diagnose and understand problems as well as formulate and propose potential solutions related to ABS.

Indicator 3 is the degree of stakeholder awareness on ABS issues nationally, regionally and globally. It is recognized that the participating countries have different degrees of awareness on ABS issues, even at country level among stakeholders. The capacity impact survey respondents expressed this at baseline and project end. However, the change in the median scores from baseline (1) to project end (2) indicates that there was some progress towards more awareness on ABS issues. The respondents still commented that there is still a need for continuous awareness-raising activities, specifically mentioning the conduct of wide mass media communication campaigns, a media ABS roadshow, creating easily understandable ABS materials, and conducting workshops on communication tools for stakeholders.

Indicator 4 is stakeholder access and sharing of ABS information. This indicator measures ABS information needs. If these are identified, the information management infrastructure setup is in place, and the extent to which it is shared and utilized is also measured. The median score at baseline was 1 and there was no change by project end. Though there was a general expression of a need for an ABS Clearing-house Mechanism (CHM), project-end survey respondents perceived that there is still a need for training on data and database management. One country group specifically mentioned that it would like to know more about the content of an ABS CHM as per CBD guidelines or standards. There was also a comment on the need for training for ABS information holders, and on how to integrate ABS information into the CHM. More assistance-related efforts should be directed to this specific capacity on ABS information management.

Indicator 5 addresses the existence of education programmes geared towards ABS and TK issues awareness, which measures both formal and informal education programmes in place acknowledging, addressing and incorporating ABS and TK issues. Article 12 of the Protocol states that Parties shall establish mechanisms to inform potential users of TK associated with genetic resources about their obligations, including measures as made available through the ABS CHM for access to and fair and equitable sharing of benefits arising from the utilization of such knowledge.

Indicator 5 highlights how TK and ABS are incorporated in the participating countries' educational programmes. There was no difference between the baseline and project-end median scores. There are several existing education programmes geared towards awareness of ABS and TK issues. However, these are more of informal programmes or learning activities conducted through national workshops and consultations. According to the participants from Respondent K, there is a weak education programme that specifically addresses ABS and TK awareness, and that a curriculum should be incorporated in the education programme to include ABS and TK. Respondent E raised their interest in learning more about India's TK digital library, which will serve as an initial awareness or learning facility on TK and its links with intellectual property rights (IPR). According to Respondent I, there should also be an ABS awareness-raising activity within academic institutions.

Indicator 6 refers to the extent of review and assessment of ABS elements based on the Protocol in the formulation of national ABS frameworks (e.g., benefit-sharing, access, compliance, NFP and CNA, CHM and awareness-raising), among others. There was also no change in median scores from baseline to project end (2). This means that ABS elements are assessed and reviewed considering national appropriateness, but are not incorporated into national ABS frameworks as perceived by the respondents. The participating countries have ABS-related policies; in fact, some of the ABS elements based on the Protocol were already incorporated and considered in these national policies (Respondents G and K). Respondent C specifically mentioned the need for IPR management training, while Respondent J expressed that they require training on obtaining PIC and MAT. Respondent K expressed the need to revise national legislations to account for the Protocol provisions, while Respondent I commented that guidelines are needed for developing provisions and practices that comply with the Protocol.

Indicator 7 measures the extent of inclusion and use of traditional and community knowledge in the formulation of national ABS frameworks. This covers the extent to which traditional and community knowledge is being explored; if sources of this knowledge are identified; and the knowledge subsequently captured and shared among stakeholders for effective and participative decision-making, and in formulating national ABS frameworks. Interestingly, the median score for this indicator decreased from baseline (2) to project end (1). This indicates that TK is identified and recognized as important, but it is not collected and used in relevant participative decision-making. As mentioned in indicator 6, awareness about TK is present, but utilizing the information in decision-making is yet to be set systematically into a mechanism. However, it should be noted that one of the limitations in the conduct of the final survey was that some of the project-end survey respondents were not the baseline survey respondents. This may have caused the low median score for this indicator. Nevertheless, this only suggests that awareness about TK is not enough; more action have to be performed to comply with the Protocol and to be more inclusive in terms of ABS policy formulation.

Respondent E provided that TK documentation is ongoing in their country and that TK elements are considered in their draft ABS law. However, the extent of TK being utilized in decision-

making is unclear. They further stated the need for TK mainstreaming, as provided in Aichi Targets 18 and 19. Respondents from other participating countries expressed the need for training and capacity-building on TK management (Respondent C) as well as on acquiring TK and including it in the ABS framework (Respondent J).

### **Capacity Result 3: Capacities for Strategy, Policy and Legislation Development**

Capacity result 3 looks at individuals and organizations with the ability to plan and develop effective environmental policy and legislation, related strategies, and plans based on informed decision-making for global environment management.

Indicator 8 focuses on the extent of planning and strategy development for the ABS roadmap. This measures the quality of planning and strategy development process for the ABS roadmap, looking at whether the process produces clear plans and strategies, and if the resources and coordination mechanisms are in place for ABS roadmap implementation. The median scores for this indicator increased from baseline (1) to project end (2). This indicates that the ABS roadmap produces clear outputs in terms of strategies and plans, but fully implementing it is difficult because of several problems. Respondent K specifically pointed out that although implementation is in progress, it is also facing lack of financial resources and technical assistance. Respondent J still requires training on ABS roadmap implementation.

Indicator 9 measures the existence of policies and regulatory frameworks on ABS, specifically the completeness of ABS policy and regulatory frameworks; the existence and the adoption of relevant ABS policies and laws; and if the mechanisms for enacting, complying and enforcing these policies and laws are established. The median scores increased from baseline (1) to project end (2). This indicates that ABS policy and legislation frameworks exist, but there are problems in implementing and enforcing them. There are existing ABS policies and laws, but their enactment, implementation and enforcement are in varying degrees among the participating countries. Respondent E is more advanced having domestic ABS laws but the draft National ABS law is still awaiting formal passage in government. Respondent G also has several ABS-related policies, but these are more regulatory rather than facilitative and their implementation is low. Respondent C expressed the need for training on drafting legal management policies and regulatory frameworks on ABS.

Indicator 10 is on measuring the availability and relevance of the ABS information for decision-making. The adequacy of the ABS information available for decision-making is measured; if the information is made available to decision-makers; and if this information is updated and used by decision-makers. The median scores for this indicator at baseline and project end were 1 and 2, respectively. This indicates that relevant information is made available to decision-makers and key stakeholders, but the process for updating this information is not functioning properly. Respondent D expressed the need for capacity-building on establishing a database and amending the information. Respondent E supplied that systems should be in place for sharing information. Respondent J reiterated the importance to continue providing ABS-relevant information to decision-makers. Respondent I also expressed the need for a translation document for decision-makers. Respondent F commented that an internal coordination mechanism is also needed, similar to how Respondent K expressed the need for regular reporting and monitoring.

### **Capacity Result 4: Capacities for Management and Implementation**

Capacity result 4 includes individuals and organizations having the “plan-do-check-act” skills and knowledge needed to enact ABS policies and/or regulation decisions, and for planning and executing management actions and solutions.

Indicator 11 measures the availability of required technical skills for management and implementation, whether the technical needs and sources are identified and accessed by the project, and if there is a basis for an on-going national-based upgrading of skills and knowledge related to ABS policy management and implementation. The median scores increased from baseline (1) to project end (2). This indicates that the required skills are obtained, but no mechanism is in place for updating and improvement. Respondent C expressed the need for further technical training and skills (e.g., taxonomy training of valuable natural resources and on mainstreaming of ABS issues). Respondent J stated their short-term (e.g., technical support for management and implementation of ABS) and long-term (e.g., training for local staff and stakeholders for ABS implementation) needs.

#### **Determining the Change or Direct Difference from Baseline to Project-End**

The change in scores for each capacity indicator from baseline to project end was determined to understand how the participating countries had progressed over a period of one year. As mentioned in the limitation of data, the change, whether it be an increase or a decrease, or at status quo, does not discount other factors that may have contributed in the ABS work of the participating country. It should also be noted that in computing the change, only 8 participating countries were considered, as these were the respondents that remain represented by project end, having responded to the survey both at baseline and at project end. Their answers at baseline and at project end were utilized to determine the change.

**Table 4. Change for capacity result 1**

RESPONDENTS	Capacity Result 1					
	Indicator 1		Change	Indicator 2		Change
	B	PE		B	PE	
<b>A</b>						
<b>B</b>						
<b>C</b>	2.0	2.0	0.00	1.0	3.0	2.00
<b>D</b>	0.0	3.0	3.00	1.0	3.0	2.00
<b>E</b>	3.0	3.0	0.00	3.0	1.0	-2.00
<b>F</b>	1.0	2.0	1.00	0.0	3.0	3.00
<b>G</b>	3.0	3.0	0.00	1.5	3.0	1.50
<b>H</b>						
<b>I</b>	2.1	2.0	-0.10	1.6	1.0	-0.60
<b>J</b>	1.3	2.0	0.70	1.0	1.0	0.00
<b>K</b>	2.0	2.0	0.00	1.5	2.0	0.50
<b>AVERAGE</b>	1.3	2.4	1.07	1.0	2.1	1.20

For indicator 1, the average change was at 1.07, with Respondent D providing a high score, from 0 at baseline to 3 by project end. Three countries remained at status quo from baseline to project end, with one giving a slightly lower score by project end. Under indicator 2, average change was at 1.2 for all 8 respondents. With 2 respondents giving a decrease in score by project end, one country at status quo, and the remaining 5 countries with an increase in scores.

The cluster of indicators under capacity result 2, on the average, gave positive changes in scores. For indicator 3, 2 countries provided a decrease in score at project end, 2 remained at status quo, and 4 increased their scores by project end.

For indicator 4, one country gave a slight decrease in scores, with the others either increasing or at status quo.

For indicator 5, 6 respondents gave slight increases in scores by project end, and 2 giving a decrease in score. For indicator 6, one country had no change in score, with 2 countries sliding back on their scores very slightly. For indicator 7, 3 countries indicated a negative change, with their scores sliding back by project end from baseline. The other countries also indicated very slight improvement in terms of increase by project end.

Table 5. Change for capacity result 2

RESPONDENTS	Capacity Result 2														
	Indicator 3		Change	Indicator 4		Change	Indicator 5		Change	Indicator 6		Change	Indicator 7		Change
	B	PE		B	PE		B	PE		B	PE		B	PE	
<b>A</b>															
<b>B</b>															
<b>C</b>	1.3	2.0	0.7	0.5	2.0	1.5	0.5	1.0	0.5	2.3	3.0	0.8	1.5	3.0	1.5
<b>D</b>	2.0	2.0	0.0	1.0	1.0	0.0	0.0	1.0	1.0	1.0	3.0	2.0	1.0	1.0	0.0
<b>E</b>	1.0	2.0	1.0	0.0	1.0	1.0	1.0	1.0	0.0	3.0	2.0	-1.0	3.0	1.0	-2.0
<b>F</b>	2.0	2.0	0.0	0.0	1.0	1.0	0.0	1.0	1.0	0.0	2.0	2.0	1.0	1.0	0.0
<b>G</b>	1.3	3.0	1.7	1.0	1.0	0.0	0.7	1.0	0.3	2.0	3.0	1.0	1.5	2.0	0.5
<b>H</b>															
<b>I</b>	1.7	2.0	0.3	1.4	1.0	-0.4	0.9	0.0	-0.9	2.3	2.5	0.2	1.9	2.0	0.1
<b>J</b>	3.0	1.0	-2.0	1.7	2.0	0.3	1.0	0.0	-1.0	1.0	1.0	0.0	3.0	1.0	-2.0
<b>K</b>	2.0	1.0	-1.0	1.8	2.0	0.3	0.8	1.0	0.3	2.5	2.0	-0.5	1.5	1.0	-0.5
<b>AVERAGE</b>	1.3	1.9	0.6	0.7	1.4	0.7	0.4	0.8	0.3	1.3	2.3	1.0	1.3	1.5	0.2

**Table 6. Change for capacity result 3**

RESPONDENTS	Capacity Result 3								
	Indicator 8		Change	Indicator 9		Change	Indicator 10		Change
	B	PE		B	PE		B	PE	
A									
B									
C	0.0	2.0	2.0	2.0	2.0	0.0	1.3	2.0	0.7
D	1.0	2.0	1.0	0.0	1.0	1.0	1.0	1.0	0.0
E	3.0	2.0	-1.0	1.0	1.0	0.0	1.0	2.0	1.0
F	0.0	3.0	1.0	1.0	2.0	1.0	0.0	2.0	2.0
G	1.0	3.0	2.0	1.7	2.0	0.3	1.0	1.0	0.0
H									
I	1.4	1.0	-0.4	1.6	2.0	0.4	1.6	1.0	-0.6
J	2.0	1.0	-1.0	1.3	1.0	-0.3	2.0	2.0	0.0
K	1.0	2.0	1.0	1.5	1.0	-0.5	1.8	2.0	0.3
<b>AVERAGE</b>	0.9	2.0	1.1	0.9	1.5	0.6	0.9	1.6	0.7

Indicator 8 (extent of planning and strategy development for the ABS roadmap) also had three countries with scores that went lower at project end compared with their baseline scores. The rest of the country respondents, however, provided 1-2 points increase in their scores, indicating an improvement in their capacity under this indicator.

There were very minimal increases in scores by project end under indicator 9. Two countries remained at status quo. Two countries also gave a decrease in their score.

Under indicator 10, 3 countries remained at status quo, while one country gave a slight decrease in project end score.

**Table 7. Change for capacity result 4**

RESPONDENTS	Capacity Result 4		
	Indicator 11		Change
	B	PE	
A			
B			
C	0.8	2.0	1.2
D	1.0	2.0	1.0
E	3.0	1.0	-2.0
F	0.0	1.0	1.0
G	1.8	3.0	1.2
H			
I	1.3	1.0	-0.3
J	2.3	0.0	-2.3
K	1.5	2.0	0.5
<b>AVERAGE</b>	1.1	1.5	0.4

For indicator 11, under capacity result 4, 2 countries decreased score by project end, but the rest of the countries improved in their scores.

Across all indicators for each country, averaging the change scores could show how each country has fared and improved given the indicators as measures or parameters.

**Table 8. Average change score across all indicators per country**

<b>RESPONDENTS</b>	<b>AVERAGE</b>
<b>A</b>	
<b>B</b>	
<b>C</b>	1.0
<b>D</b>	1.0
<b>E</b>	-0.5
<b>F</b>	1.4
<b>G</b>	0.8
<b>H</b>	
<b>I</b>	-0.2
<b>J</b>	-0.7
<b>K</b>	0.0
<b>AVERAGE</b>	0.3

Half of the country respondents (4) have increased scores across all the indicators, which could translate to improved capacities that may be attributed to the project. One country remained at status quo, meaning there was no improvement, but there was no negative indication in terms of capacity. Three countries, however, have negative average scores, which may signify that even with the project activities contributing to the capacity skills needed for ABS, these may not be enough and more assistance is needed in order to perform and function better in addressing ABS issues.

## **VI. Conclusion and Recommendations**

Capacity-building and development is a core component of the ACB-UNEP-GEF Regional Project on ABS. It is also one of the major ABS elements. The capacity impact survey was conducted to determine the regional workshop participants' capacity status from baseline to project end. Assessment of the end-of-project capacity impact survey was based on the baseline scores. By using the indicators and capacity results, the overall survey results reflected the positive changes and developments in the participants' capacity status in terms of addressing ABS policy implementation and management.

The assessment was subjective because the survey relied on the respondents' perceptions. Capacity is not an easily measured component because exact parameters to measure different indicators are absent, which is why a perception survey was employed. Nevertheless, the results offered insights on how project participants perceive ABS and its capacity requirements. The results may also serve as reference on the success and accomplishments of the ACB-UNEP-GEF Regional Project on ABS.

Based on the scores they provided, the survey respondents perceived a general increase in their capacities. Ten of the 11 indicators showed a marked positive change, even when individual

country scores decreased at project end. This could be attributed to the fact that the project-end survey respondents were different from the baseline survey respondents. However, some participants who were the same respondents from baseline to project end also registered a decrease in scores. Such scores pulled down the overall change, specifically for indicators 3, 6, 7, 9 and 11. It should be noted that the decrease in scores from baseline to project end clearly indicate that the respondents require more assistance and cooperation from other institutions on addressing ABS issues. Financial, technical, legal and networking resources are needed to address these.

The capacity impact survey results revealed that the ACB-UNEP-GEF Regional Project on ABS influenced the capacities of the regional workshop participants, who served as survey respondents. This impact assessment report, which also noted the difficulties in conducting such a survey, verifies that the ACB-UNEP-GEF Regional Project on ABS provided the necessary venues, tools and resources for capacity-building towards the implementation of ABS policies in the region. It also acknowledges that more efforts are needed, especially since some countries are still developing their ABS policy frameworks while others will soon be implementing enacted ABS laws.

## Annex 18 Project Final Report, Annex 10

### 1.1. List lessons learned and good (best) practices

#### 1.1.1. Institutional Arrangements, including Project Governance

1.1.1.1. As a matter of ASEAN protocol, there is sufficient institutional arrangement for project governance specifically for project steering. At the ASEAN Centre for Biodiversity, the ASEAN Working Group on Nature Conservation and Biodiversity comprises government nominated technical officers suitable to represent the project steering committee. The uniqueness of the project setup for this is that the Project Steering Committee is mostly represented by ABS National Focal Points and agency representatives involved in ABS. However, as the UNEP-GEF Task Manager has raised his concern, the PSC is too big (10 AMS and TL representatives, plus ACB, ASEAN Sec, UNU-IAS, UNEP-GEF, SCBD and the ASOEN Governing Board Chair). Nevertheless, cost concern on the big representation was adequately addressed by having it back-to-back with the regional workshops where members of the IPSC or their representatives are also key stakeholders/participants to the workshops.

1.1.1.2. Specific project governance framework could have been discussed and agreed among stakeholders.

#### 1.1.2. Engagement of the Private Sector

1.1.2.1. In mainstreaming ABS through various stakeholders, including the private sector is very much needed. This sector's participation in the regional workshops through invitation was done for the Second and Third Regional Workshops. Similar future endeavors could allow this sector's active involvement in all workshops through self-funding.

#### 1.1.3. Capacity Building

1.1.3.1. The project provided opportunity to develop the capacity of participating countries' key stakeholders to serve as resource persons in their own countries. It is hoped that participation of these stakeholders in building wider stakeholder networks would be supported at the national level in follow-up projects on ABS.

1.1.3.2. Design of capacity building activities could be developed by executing agencies and approved by the Project Steering Committee. This would provide official endorsement of the project design for capacity building activities. Nevertheless, the executing agencies verified the needs for capacity building from participants' feedbacks.

1.1.3.3. Capacity impact assessment survey should be designed and agreed upon at the inception meeting of the project with the approval by the Steering Committee members. The conduct of capacity impact assessment with the proper clearance from concerned national authorities will make representative's inputs official. Otherwise, results of assessment will be regarded as personal assessments.

1.1.3.4. Capacity impact assessments were conducted at selected national levels and should be encouraged to replicate such assessments based on common methodology.

1.1.3.5. Capacity building plan were also reflected in draft national ABS frameworks and could be reflected in other national documents.

#### 1.1.4. Scientific and Technological Issues

1.1.4.1. Not applicable

#### 1.1.5. Interpretation and Application of GEF Guidelines

1.1.5.1. A seminar-workshop for regional and national project coordinators could be provided prior to implementation of the project for leveling activity. This could be done back-to-back with regional and national plan of activities.

- 1.1.6. Factors that Improve Likelihood of Outcome Sustainability
  - 1.1.6.1. Policy development relevant to the implementation of the theme or concern assisted by the project would be beneficial and contributory to the sustainability of the outcome. Specific to this project, the indication in official documents (NBSAP and National Report) on the theme or concern with progressive activities is likely to provide sustained activities and support in the country.
- 1.1.7. Factors that Encourage Replication, including Outreach and Communications Strategies
  - 1.1.7.1. Building the capacity of key stakeholders such as national project coordinators/facilitators on methodologies and tools to attain results including outreach and communication strategies would be helpful. In the 2<sup>nd</sup> and 3<sup>rd</sup> Regional workshops on ABS, dissemination of relevant information materials including methodologies to identify key stakeholders and determine their needs to push forward the implementation of ABS in their countries were done. Methodologies on stakeholder analysis, identification of priority field of actions, public awareness strategy, and information needs were conducted and developed by participating countries. These also served as guide in verifying priority activities in the countries.
- 1.1.8. Financial Management and Co-financing
  - 1.1.8.1. General flexibility on budget reallocation was well appreciated including those of timely releases of funds and guidance from UNEP.
  - 1.1.8.2. Reporting of co-financing from participating countries could have been synchronized with reporting schedule of executing agency to UNEP. Capacity building on co-finance reporting should be included in work plan.
- 1.2. State how the project has nurtured sustainability. Is the project or project methodology replicable in other countries or regions? If yes, are there any concrete examples or requests?
  - 1.2.1. To enhance collaborative work on CBD related activities, countries can form working group that represents various key agencies relevant to CBD work. This group can be tapped to coordinate national activities. A contact agency/person of the group should be designated and take the lead.
  - 1.2.2. Participants to regional workshops should be encouraged to actively facilitate national workshops/meetings and re-echo the outputs and knowledge from regional workshops. Regional Executing Agency representatives to provide support to national activities upon request.
  - 1.2.3. Participating country coordinators used or followed-through regional outputs and knowledge to national work plan.