**UNEP GEF PIR Fiscal Year 2022**

Reporting from 1 July 2021 to 30 June 2022

# INSTRUCTIONS TO COMPLETE THIS PIR

1. Instructions in blue are directed to Task Managers / Administrative Officers
2. Instructions in red are directed to Project Managers and Executing Agencies
3. When filling up the respective cells, use the Normal style from the template. The text will look like this.

# 1. PROJECT IDENTIFICATION

# 1.1. Project details

This entire table is to be prepared by Task Managers

1. IDENTIFICATION

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Identification Table | | | GEF ID.: *5626* | Umoja no.: *FL-11207-14AC0003-SB-000689.46* | |
| Project Title | | | Developing the microbial biotechnology industry from Kenya’s soda lakes in line with the Nagoya Protocol | | |
| Duration months | *Planned* | | 48 months | | |
| *Extension(s)* | | 9 July 2018 for 24 months | | 3 March 2021 for 36 months |
| Division(s) Implementing the project | | | UN Environment Programme  Ecosystems Division  GEF Biodiversity and Land Degradation Unit  Biodiversity and Land Branch | | |
| Name of co-implementing Agency | | | N/A | | |
| Executing Agency(ies) | | | UNEP Regional office for Africa | | |
| Names of Other Project Partners | | | Kenya Wildlife Service (KWS) – lead partner  Local communities, University of Nairobi, Jomo Kenyatta University of Agriculture and Technology, Moi University, Kenya Industrial Research and Development Institute, University of Nairobi Science and Technology Park and Jomo Kenyatta University of Agriculture and Technology Enterprises, RIVATEX | | |
| Project Type | | | Medium Size Project; | | |
| Project Scope | | | National | | |
| Region | | | Africa, | | |
| Countries | | | Kenya | | |
| Programme of Work | | | PoW 2014-2015, 2016-2017, 2018-2019  Sub-programme 3: Ecosystems management | | |
| GEF Focal Area(s) | | | Biodiversity | | |
| UNSDCF / UNDAF linkages | | | Cuts across the three strategic objectives of UNDAF Kenya 2018 - 2022 | | |
| Link to relevant SDG target(s) and SDG indicator(s) | | | SDG 1: 1.1; SDG 2:2.4; SDG 11:11.4; SDG 14:14.2, 14c; SDG 15:15.1, 15.5, 15.6, 15.7; SDG 16: 16b; SDG 17:17.6, 17,7, 17.11 and 17.14 | | |
| GEF financing amount | | | USD 913,265 | | |
| Co-financing amount | | | USD 1,751,845 | | |
| Date of CEO Endorsement | | | 13 December 2013 | | |
| Start of Implementation | | | 20 August 2014 | | |
| Date of first disbursement | | | 14 November 2014 | | |
| Total disbursement as of 30 June 2022 | | | USD 600,989 | | |
| Total expenditure as of 30 June 2022 | | | USD 357,033 | | |
| Expected Mid-Term Review Date | | | April 2021 | | |
| Completion Date | | *Planned* | 30 April 2019 | | |
| *Revised* | 30 December 2023 | | |
| Expected Terminal Evaluation Date | | | June 2023 | | |
| Expected Financial Closure Date | | | 30 June 2024 | | |

# 1.2. Project description

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| The Soda Lakes Microbial project on ‘Developing the microbial biotechnology industry from Kenya’s soda lakes in line with the Nagoya Protocol’ is a model project funded under the GEF NPIF funds as part of implementation of Aichi target 16 for the ratification and implementation of the Nagoya Protocol.  **The Project Objective** is “The utilization of microbial genetic resources within the protected Kenyan Soda lakes for research, development and commercialization of industrial enzymes and bio‐pesticides for improved resource management and livelihoods in compliance with the Nagoya Protocol on Access and Benefit Sharing”. The Main purpose of the soda project is to support the implementation of the Nagoya Protocol on Access and Benefit Sharing through the mainstreaming of the country’s ABS legislation while utilizing her microbial genetic resources within the Soda lakes for research, development and commercialization of industrial enzymes and bio-pesticides for improved resource management and livelihoods in compliance with the Nagoya Protocol on Access and Benefit Sharing. The project is implemented through four components, 9 outcomes and 23 outputs as detailed below:  **Component 1: To enhance the legal and regulatory framework on ABS in Kenya**  **Outcome 1.1.** Policy, legal and regulatory frameworks on the country’s ABS reviewed in compliance with the provisions of the Nagoya Protocol  Output 1.1.1: Review of existing legislation that govern conservation and sustainable use of genetic resources in light of the implementation of the case study of this project  Output 1.1.2: Reviewed ABS legislation in light of this project presented to County and National governments to facilitate ratification and implementation of the Nagoya Protocol;  Output 1.1.3: At least two joint management plans for the selected soda lakes developed that factor in aspects of benefit sharing from use of genetic resources for research and development;  **Outcome 1.2:** ABS institutionalized in protected areas as a tool for enhanced conservation and livelihood Improvement  Output 1.2.1. A National bioprospecting steering committee under the National strategy for bioprospecting within and outside protected areas in Kenya established to promote bioprospecting in the soda lakes  Output 1.2.2 Protected area management capacities on ABS enhanced through education and awareness for sustainable use of soda lakes genetic resources in line with the Nagoya Protocol;  Output 1.2.3 Tools for monitoring impact of Bioprospecting projects on conservation and community livelihoods established and operationalized;  Output 1.2.4 Infrastructure within the soda lakes to enhance research and tourism (e.g Nature trail in Lakes Bogoria, Elementaita and simbi Nyaima) for KWS and adjacent communities improved;  **Component 2: Systematic discovery of natural products for bio-pesticides and industrial enzymes**  **Outcome 2.1:** At least 1 potential microbial isolate characterized and deposited at the Culture Collection Centre at Jomo Kenyatta University of Agriculture and Technology (JKUAT) and the German Collection of Microorganisms and Cell Cultures (Deutsche Sammlung von Mikroorganismen und Zellkulturen – DSMZ)  Output 2.1.1 At least 500 samples collected at different seasons from the Soda lakes and 20 pure strains isolated with cellulase, protease and Phytase activities for agro-processing, starch and fuel, textile, food and beverage and protein hydrolysis and deposited in culture collection centers at JKUAT and DSMZ;  Output 2.1.2 At least 5 isolates producing bioactive secondary metabolites as biopesticides for seed and seedling treatment characterized and deposited in the culture collection centers in JKUAT and DSMZ  Output 2.1.3 Status of microbial strains in culture collection center’s at JKUAT and other partner institutions established and over 200 microbial isolates screened for cellulose degrading and enzyme for detergent and cotton processing  **Outcome 2.2:** At least 1 enzyme product developed for agro-processing, starch and fuel, textile, food and beverage industries by the participating Kenyan institutions and the private company (Verenium corporation);  Output 2.2.1 Optimization of fermentation conditions for large scale production of cellulases, proteases and phytases for industrial production  Output 2.2.2 Formulation and evaluation of the produced enzymes for application in starch and fuel, textile, food and beverage industries together with the local (University of Nairobi Science and Technology Park, KIRDI and Rivatex) and international private company, Verenium Corporation;  **Outcome 2.3:** At least 1 biopesticide for enhanced seed and seedling treatment developed by the participating Kenyan institutions and the private companies (University of Nairobi Science and Technology Park and the JKUAT Enterprise Ltd)  Output 2.3.1 Optimization of fermentation conditions for large scale production of bio pesticides for industrial Production  Output 2.3.2 Formulation and evaluation of the produced bio pesticides for application in the seed and horticulture industry together with the private companies (University of Nairobi Science and Technology Park and the JKUAT Enterprise Ltd)  **Outcome 2.4:** A living library of Kenyan Soda lakes microorganisms established at JKUAT  Output 2.4.1: Culture Collection Center at Jomo Kenyatta University of Agriculture and Technology (JKUAT) upgraded to a national culture collection to support discovery of potential Soda Lakes microbial products;  **Component 3: Technology Transfer between resource provider and user operationalized**  **Outcome 3.1:** Technology transferred (including equipment, know-how and training) from DSMZ and Verenium Corporation to local research institutions and protected area systems management  Output 3.1.1 Bioprocess technology for efficient secondary metabolite production from soda lake microorganisms in Place  Output 3.1.2 Improved skills and facilities at the initiated Kenya microbial Strain Depository at JKUAT to serve as a repository for microorganisms and also as a patent deposit  Output 3.1.3 At least 1 technology registered with the Kenya Industrial Property Institute (KIPI)  Output 3.1.4 At least 1 product successfully transferred to the private partner and commercialized;  **Outcome 3.2:** An effective bioinformatics system in Kenya at KWS for Soda lakes microbial discovery to act as a system for monitoring and evaluation establish  Output 3.2.1 Data handling system on collection and transfer of biological specimen within and outside Kenya established;  Output 3.2.2 A well equipped bioinformatics center established at KWS  **Component 4: ABS agreements developed to build the capacity of the Kenyan authorities to engage with users of genetic resources**  **Outcome 4.1**: A model ABS agreement between provider and user in compliance with Nagoya Protocol in place for Kenya  Output 4.1.1. At least 1 ABS agreement between provider (KWS and Soda lakes communities- county government), local Kenyan institutions (KIRDI, Moi University, University of Nairobi Science and Technology Park Ltd and the JKUAT Enterprise Ltd), DSMZ and the industrial partner, Verenium Corporation) resulting from research and development of microbial samples taken from the Soda lakes executed;  Output 4.1.2 Prior Informed Consent (PIC), Mutually Agreed Terms (MAT) and Material Transfer Agreements (MTA) developed and operationalized in line with the Nagoya Protocol; |

# 1.3. History of project revisions

To be completed by Task Managers

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| --- | --- | --- |
| **Version** | **Date** | **Main changes introduced in this revision** |
| Rev0 (CEO ED) | 20 August 2014 | None |
| Rev 1 | 9 July 2018 | None |
| Rev 2 | 3 March 2021 | None |
| RevN (latest version at the time of this PIF) |  |  |

# 2. OVERVIEW OF PROJECT STATUS

To be completed by UNEP Task Manager

* 1. 2.1. UNEP Subprogramme(s)

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| --- | --- |
| Insert the Subprogramme(s) and biennia of the PoW to which the project contributes  PoW 2014-2015, 2016-2017, 2018-2019  Sub-programme 3: Ecosystems management | **Specify the relevant Expected Accomplishment(s) & Indicator(s)** Insert the Subprogramme’s Expected Accomplishment(s) and Indicator(s) to which the project contributes  EA (c) Services and benefits derived from ecosystems are integrated with development planning and accounting, particularly in relation to wider landscapes and seascapes and the implementation of biodiversity- and ecosystem related multilateral environmental initiatives Indicator (c) (i) Increase in the number of countries that integrate the ecosystem approach in development planning.  POW 2020-21 (a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and  cross-sectoral and transboundary collaboration frameworks at the national and international levels.  (ii) The number of countries and transboundary collaboration frameworks that demonstrate enhanced knowledge of the value and role of ecosystem services with the assistance of UNEP |
| Describe any progress made towards delivering the stated PoW Expected Accomplishments and Indicators. State key changes since previous reporting period. (maximum one paragraph)   |  |  |  | | --- | --- | --- | | Describe any progress made towards delivering the stated PoW Expected Accomplishments and Indicators. State key changes since previous reporting period. (maximum one paragraph)  Because of the project the country has developed rules and producers to govern access to and benefit sharing of genetic resources. This is supported by a functional online permitting system. The issues of access and benefit sharing are now integrated into the development planning processes of the County Governments, in the agenda of the Council of Governors, and the national inter-governmental coordination structures.  Lake Bogoria Sustainable Management Plan that was formally adopted by the County Government of Baringo, and endorsed by the National Government (Kenya Wildlife Service/Ministry of Tourism and Wildlife) applies the landscape ecosystem approach that brings together all key stakeholders, integrated management, and valorisation of genetic resources in the larger basin, etc. In addition, the local community has completed its biocultural protocol that defines how the community is to engage with resource users. The Protocol is informing other benefit sharing mechanisms in Baringo (e.g. aloe vera) county), and other counties (Kakamega and Laikipia). The Council of Governors has further endorsed ABS as a policy priority in their development planning. The National Museums of Kenya is further using the experience and lessons from the soda lakes (PIC and MAT) to conduct research on the efficacy and viability of COVID-19 therapies proposed by traditional medicine practitioners (e.g. Kwale, Kilifi and Kakamega counties). The Jomo Kenyatta University of Agriculture and Technology’s food and nutrition research on baobab as a super food is using the PIC and MAT models to gain community engagement in the research.  [Section to be shared with relevant Regional and Global SubProgramme Coordinators] | | | | **Expected Accomplishment** | **Indicator** | **Progress** | | EA (c) Services and benefits derived from ecosystems are integrated with development planning and accounting, particularly in relation to wider landscapes and seascapes and the implementation of biodiversity- and ecosystem related multilateral environmental initiatives | Indicator (c) (i) Increase in the number of countries that integrate the ecosystem approach in development planning. | * Ecosystem approach has been adopted in the Lake Bogoria Sustainable Management Plan. * Endorois Community BioCultural Protocol on ABS adopted * The Standard Operating Procedures (SOPs) developed under the project and published under ISBN 978-9966-135-82-7 are now a reference for all ABS projects in Kenya.   Kenya has demonstrated enhanced knowledge on access and benefit sharing of genetic resources through highly promising commercialization of genetic resources from the soda lakes : The isolation of active extremophiles for biopesticides has now reached national field testing; a mandatory pre-requisite before certification and subsequent release to farmers for day-to-day application. The private sector partner, DuduTech Ltd, has developed commercial level production techniques and will undertake branding, and marketing after registration by the Kenya Poisons and Medicines Board. | | POW 2020-21 (a) The health  and productivity of marine, freshwater and terrestrial  ecosystems are institutionalized in education, monitoring and cross-sectoral and transboundary collaboration frameworks at the national and international levels | (ii) The number of countries and transboundary collaboration frameworks that demonstrate enhanced knowledge of the value  and role of ecosystem services with the assistance of UNEP |   [Section to be shared with relevant Regional and Global SubProgramme Coordinators] | |

* 1. 2.2. GEF Core Indicators (for all GEF 6 and later projects):

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| GEF Core Indicators | **Indicative expected Results** |
| Discuss GEF core indicators targeted by the project, as well as expected results. (maximum one paragraph)  N/A – this is a GEF4 project   |  |  |  |  | | --- | --- | --- | --- | |  | Indicator | Expected values at | | |  | Mid-term | End-of-project | |  |  |  |  | |  |  |  |  | |  |  |  |  | |  |  |  |  | | |

* 1. 2.3. Implementation status and risk

*[complete the fiscal year and select: 1st PIR; 2nd PIR; …. Final PIR; select HS; S; MS; MU; U; HU; unknown; not rated to rate the progress towards outcomes and outputs in third and fourth lines; select H; S; M; L; to rate risks for the fiscal year you are reporting in the fifth line. Add more columns if needed]*

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Implementation Status** | FY 2015 | FY 2016 | FY 2017 | FY 2018 | FY 2019 | FY 2020 | FY 2021 | FY 2022 |
| PIR # | 1st PIR | 2nd PIR | 3rd PIR | 4th PIR | 5th PIR | 6th PIR | 7th PIR | 8th PIR |
| Rating towards **outcomes** (section 3.1) | S | S | S | S | S | S | MS | MS |
| Rating towards **outputs** (section 3.2) | S | S | S | S | S | S | MS | MS |
| **Risk** rating (section 3.3) | L | L | L | L | L | L | L | L |

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| Summary of status. Please structure as follows, highlighting progress, challenges and main achievements, as needed:  Project implementation slowed down during the period 30th July 2020 to 30th June 2021 due to the pandemic. However key activities were undertaken based on the previous commitments that is the implementation of activities under the biodiscovery component , the PSC meeting, Midterm review, monitoring and evaluation and the 10th Nagoya Protocol celebrations including the Launch of the Model ABS management plan .  Under the biodiscovery program refining of the potential candidate’s products continued including field trials lay out of potential biopesticides in addition to building the capacities of students on the project at various levels ranging from undergraduate, MSC and PhDs. Peer reviewed papers were submitted for publications.  Rating towards outcomes: The rating of outcomes is MS because not much progress has been registered during this period  Rating towards outputs: The rating of outputs is MS because not much progress has been registered during this period.  Overall risk rating: is Low.  [section will be uploaded into the GEF Portal] |

* 1. 2.4. Co-financing

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| **Planned Co-finance**  **Total: $**1,751,845      **Actual to date:** 200,494 (11.4%) as of June 2021 | Planned Co-finance Total: USD 1,751,845  Actual to date: 200,494 (11.4%) as of June 2021  The Partners fulfilled their co-financing obligations in form of in kind and cash. Under the biodiscovery program, the partners bought institution equipment for implementation of the agreed activities including for long term investments.  Like Rivatex bought equipment to be used in textile enzyme technology that will utilize those generated from Soda lakes and others. University of Nairobi and KIRDI have bioreactors for enzyme-based upscaling process. |

* 1. 2.5. Stakeholder engagement

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| **Stakeholder engagement** | The project is implemented on the principals of ABS that is built on stakeholder engagements referred to as Providers and Users partnership /consultative process under the Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT).  The key stakeholder engagement was the organization for the country’s 10th Celebrations for Nagoya Protocol and the launch of the Model ABS Lake Bogoria Management plan. These brought on board wide range of stakeholders including Development partners, County government, local communities, regulatory academia, and research institute.  [section will be uploaded into the GEF Portal] |

* 1. 2.6. Gender

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| **Gender mainstreaming** | Gender mainstreaming has been stated in the Soda lakes project Standard operating procedures (SOP), where it’s a priority in all engagements. Women groups as well as women leaders in the County Governments are actively involved in the project. This include recruiting for training where gender balance was achieved for students doing MSc and PhD in pursuit of the project objectives.  Women groups were also actively engaged as special interest group in the development of the Lake Bogoria Management plan where community issues were given key consideration including Gender mainstreaming. The Endorois BioCultural Protocol ([available here](http://archive.abs-biotrade.info/fileadmin/media/Knowledge_Center/Pulications/BCPs/Endorois-Peoples-Biocultural-Protocol.pdf)) specifically describes the role of women and the process of their engagement as well as those of people living with disabilities. <http://archive.abs-biotrade.info/fileadmin/media/Knowledge_Center/Pulications/BCPs/Endorois-Peoples-Biocultural-Protocol.pdf>  [section will be uploaded into the GEF Portal] |

* 1. 2.7. Environmental and social safeguards management

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| **Environmental and social safeguards management** | The project is establishing model ABS practical pathways for implementation of Nagoya protocol by utilising local soda lakes microbial resources to develop environmentally friendly products for agriculture and textile industry. The project-built confidence between users and providers through equitable share of benefits and responsibilities on the development pathways thus enhancing the safeguarding the social and economic interests of the local communities and consequently the sustainability of the natural resources. The ABS Lake Bogoria Management Plan has highly been appreciated by all stakeholders as an instrument that brings together the local communities, the County government and other stakeholders for enhanced resource management and optimized benefits. Through the management plan the community monetary benefits have been enhanced from 10% to 25%. One of the salient aspects towards social safeguards is the revived Joint Management Committee for the reserve. The management plan respects the cultural practices of the people in the lake basin, including for instance: allowing communities to graze their cattle in the reserve during times of extreme droughts; and regulated access to natural resources such as papyrus.  [section will be uploaded into the GEF Portal] |

* 1. 2.8. Knowledge management

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| **Knowledge activities and products** | Knowledge management activities executed through established structures and procedures as defined in the ABS agreements.  A culture collection centre forms the backbone for current and future research work. The centre serves as a culture collection for samples collected by the project as well as other projects in Kenya.  The key knowledge management and products is defined in the Intellectual Property (IP) management as indicated in the Standard Operating Procedures (SOPs) and the IP Audit reports which shows the baseline, research being generated and candidate products for marketplace.  The biodiscovery team had various engagements to discuss the potential intellectual assets including media assets and how to utilize within the agreed procedures. Various outreach activities were undertaken. Of significance include the KWS senior management meeting to streamline ABS activities which include permitting process on biological resources, monitoring, compliance and enforcement. There were key recommendations both at national and institutional levels. The management committed to contribute further USD 100,000 to support the development of the digital permitting system for monitoring genetic resources thereby enhancing compliance and enforcement. <http://kws.go.ke/content/strategies-unlock-business-potential-biodiversity-wealth> . Experiences gained on the project were shared at key national meetings namely on genetic resources and traditional knowledge (<https://abs-sustainabledevelopment.net/story/unlocking-kenyas-business-potential-arising-from-the-use-of-its-biodiversity-and-associated-traditional-knowledge/>), the country’s key permitting institutions meeting, national IP/ABS managers meeting (resolved to develop national IP-ABS guidelines as a basis of research/Universities IP policies to accelerate innovations arising from utilization of genetic resources). The Seychelles genetic resource valorization meeting supported under the UNDP ABS <https://abs-sustainabledevelopment.net/story/sustainable-business-in-africa-tools-and-innovations-for-genetic-resources-in-the-pan-african-community-of-practice/> [section will be uploaded into the GEF Portal] |

* 1. 2.9. Stories to be shared

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| **Stories to be shared** | Many stories have been attributed to the project with the latest being the successful national celebrations of the 10th Anniversary of the Nagoya Protocol and the launch of the Model Lake Bogoria ABS management plan. The Country used Soda lakes GEF project as a platform to show case its milestones since adoption of Nagoya Protocol. Other projects that are using the model PIC and MAT process developed by the project were also exhibited   * <https://twitter.com/Kjulybiao/status/1324788033049296897?s=20> * <https://mobile.twitter.com/Kjulybiao/status/1324593994228224000> * <https://twitter.com/Min_TourismKE/status/1324405165894569991?s=20> * <https://www.unep.org/news-and-stories/story/sharing-benefits-kenyas-soda-lakes> * <https://youtu.be/OFFQZFfLYQU> (Nature Justice presentation at ABS Conference)   <https://www.standardmedia.co.ke/amp/rift-valley/article/2001392414/kenya-to-remember-nagoya-protocol>  [section to be shared with communication division/ GEF communication] |
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# 3. PROJECT PERFORMANCE AND RISK

*Based on inputs by the Project Manager, the* ***UNEP Task Manager****[[1]](#footnote-2) will make an overall assessment and provide ratings of:*

1. *Progress towards achieving the project Results(s)- see section 3.1*
2. *Implementation progress – see section 3.2*

*Section 3.3 on Risk should be first completed by the Project Manager. The UNEP Task Manager will subsequently enter his/her own ratings in the appropriate column.*

* 1. 3.1 Rating of progress towards achieving the project outcomes

[copy and paste the CEO Endorsement (or latest formal Revision) approved Results Framework, adding/deleting outcome rows, as appropriate]

| **Project objective and Outcomes** | **Indicator**  **(One indicator per row)** | **Baseline level** | **Mid-term target** | **End-of-project target** | **Summary by the EA of attainment of the indicator & target as of 30 June 2021** | **Progress rating[[2]](#footnote-3)** |
| --- | --- | --- | --- | --- | --- | --- |
| **Objective:**  The utilization of microbial genetic resources within the protected Kenyan Soda lakes for research, development and commercialization of industrial enzymes and bio‐pesticides for improved resource management and livelihoods in compliance with the Nagoya Protocol on Access and Benefit Sharing | Indicators for the objective not available | *not available* | *not available* | *not available* | plans are underway to redevelop the project logframe | N/A |
| Outcome 1.1: Policy, legal and regulatory  frameworks on  ABS upgraded in  compliance with the provisions of the Nagoya Protocol | Legal clarity on ABS  resulting in increased  bioprospecting activities  on the Kenyan genetic  resources | ABS laws reviewed | Review of ABS  legislation fully  underway | Reviewed ABS laws | ABS laws reviewed through stakeholders meeting | *MS* |
| Stakeholder awareness and development of ABS instruments in progress | PIC, MAT and MTA  under development | PIC, MTA and MAT | Partners ABS agreements finalized and being implemented | *MS* |
| Mapping of Kenyan soda lakes | Development of joint  management plans  that integrate benefit-sharing schemes | Joint management plans that integrate sustainable benefit-sharing schemes for selected soda lakes | Model ABS management plan developed and launched as part of Kenya’s milestone products during the 10th Nagoya Protocol Anniversary celebrations. | *S* |
| **Outcome 1.2:** ABS  institutionalized in  protected areas as a  tool for enhanced  conservation and  livelihood  improvement; | Enhanced benefits and conservation of protected area systems  resulting from ABS  based projects; | No clear structures for local communities to engage on ABS activities | Clear structures for bioprospecting and benefit sharing for protected area  systems and local  communities  linking between  users and provider  both at National  and county level in process | Protected system to be focal points for ABS in the country. | Basic structures for ABS transaction established at national, county and community  platforms to be actualized within the current legal reviews. | *MS* |
| Increased Bioprospecting  activities within protected area  systems. | Currently we have many bioprospecting activities in the country guided by the existing  structures as informed from the number of ABS permits granted. The Government has just funded review of the current Bioprospecting strategy. | *S* |
| *Trails around two soda lakes.* | Nature trails been mapped under the current Lake Bogoria management plan | *MS* |
| *Benefits from signed ABS agreements in*  *support of conservation*  *in place* | *some basic work has been done* | *MS* |
| **Outcome 2.1:** At  least 1 potential  microbial isolate  characterized and  deposited at the  culture collection  center at Jomo  Kenyatta  University of  Agriculture and  Technology  (JKUAT), the  German Collection  of Microorganisms  and Cell Cultures  (Deutsche  Sammlung von  Mikroorganismen  und Zellkulturen –  DSMZ) and  Verenium  Corporation; | Number of potential  microorganisms  isolated and screened; | Two meetings and one training | Two microorganisms  producing bioactive  metabolites and  enzymes identified | Four microorganisms  producing bioactive  metabolites and  enzymes; | Over 171 microorganisms from soda lakes isolated with potential for biopesticide and industrial enzymes have been collected biut they have not yet been isolated and screened; | *MS* |
| Meeting to assess culture collections in the country | Culture collection  centre under  construction at JKUA | Culture collection Carliz at JKUAT in place; | Pilot Microbial culture collection Centre at JKUAT established and equipped with equipment | *S* |
| **Outcome 2.2:** At  least 1 enzyme  product developed  for agro-processing,  starch and fuel,  textile, food and  beverage industries  by the participating  Kenyan institutions  and the private  companies (KIRDI,  University of  Nairobi Science and Technology  Park, Rivatex East  Africa, and the  JKUAT Enterprise  Ltd )and Verenium  Corporation as the  main industrial  partner; | Number of  microorganisms  screened for enzyme  production. | Some potential microorganisms already screened and in partner institutions | Pilot production and  up scaling of at least  potential Microbial  candidates and  enzyme production  underway | One enzyme product; | 94 microorganisms isolated and screened for potential enzymes,  Probably 5 prioritized for enzyme production | MS |
| Number of bioactive  enzymes  characterized; | No bioactive  Enzymes have ever been  Characterized from Kenya soda lakes; | Pilot production and  up scaling of at least  potential Microbial  candidates and  enzyme production  underway | One enzyme product; | one industrial textile enzyme under pilot scale testing | *MS* |
|  |  |  |  |  |  |
| **Outcome 2.3:** At  least 1 biopesticide  for enhanced seed  and seedling  treatment  developed by the  participating  Kenyan institutions  and the private  companies (KIRDI,  University of  Nairobi Science  and Technology  Park and the  JKUAT Enterprise  Ltd); | Number of  microorganisms  screened for secondary  metabolite production. | Some potential microorganisms already screened and in partner institutions | Two microbial biopesticides under pilot production by JKUATES and KIRDI enterprises. | One microorganism  with potential industrial  application; | *Over 171 Microbial isolates with potential for biopesticides screened and two under pilot field trials* but have not been *screened for secondary*  *metabolite production* | *MS* |
| Number of bioactive  compounds  characterized | No bioactive  compounds  have ever been  Characterized from Kenya soda lakes | Two bio-pesticide  formulations based on isolated  compounds under  trials and up-scaling | One pure compound | to be done in the coming years | *US* |
| **Outcome 2.4:** A  living library of  Kenyan Soda lakes  microorganisms  established at  JKUAT; | Number of  microorganisms  isolated. | Database of microbial collections in JKUAT pilot collection available | Personnel for the  living library  identified and  capacities built by DSMZ | A database of Kenya’s  soda lake  microorganisms within  JKUAT culture  collection | Stock of previous isolates established  Database of current isolates in place  Training of Microbial culture collection undertaken | *S* |
| **Outcome 3.1:**  Technology  transferred  (including  equipment, knowhow  and training)  from DSMZ and  Verenium  Corporation to local  research institutions  and protected area  systems  management | Number of technologies  transferred | Training curriculum developed and trainees identified | Negotiations  advanced or at least  underway on transfer  of technology | At least one industrial  technology transferred  to local institutions | *Training for culture collection undertaken*  *IP Audit baseline established*  *Potential technologies in place and negotiations with Industrial partners ,Rivatex and DuDUtech underway but technology transferred*  *to local institutions is not yet well effected* | *S* |
| **Outcome 3.2:** An  effective  bioinformatics  system in Kenya at  KWS for Soda  lakes microbial  discovery to act as  a system for  monitoring and  evaluation  established; | Functional  bioinformatics for  protected area system in place; | List of researchers and materials collected | Outlines of a  bioinformatics  system for bioprospecting  in protected areas | A system of monitoring  accessed material from protected area for Bioprospecting | A system of monitoring scientific collections established  Data base for scientific collections access and utilization in place  Protected area system capacities for ABS implementation undertaken . | S |
| Outcome 4.1 ABS  agreements  developed to build  the capacity of the  Kenyan authorities  to engage with  users of genetic  resources | Equitable benefit sharing on use of indigenous genetic resources arising from effective partnerships between users and providers | No model ABS agreement  Fragmented system on permits for access to genetic resources  No clear system for local community engagement in ABS activities | Partnership  agreements in place  and framework for  benefit sharing being actively negotiated | Collaborative  framework between the  provider and user of  soda lakes’ genetic  resources in place | Model ABS agreement established.  Forms basis of the partnership between users and providers  Draft guidelines for PIC MAT in place | *S* |

* 1. 3.2 Rating of progress implementation towards delivery of outputs

| **Outputs/Activities[[3]](#footnote-4)** | **Expected completion date[[4]](#footnote-5)**  **(dd/mm/yyyy)** | **Implementation status as of 30 June 2021 (%)** | **Implementation status as of 30 June 2022 (%)** | **Progress rating justification[[5]](#footnote-6), description of challenges faced and explanations for any delay** | **Progress rating[[6]](#footnote-7)** |
| --- | --- | --- | --- | --- | --- |
| **COMPONENT 1:** | | | | | |
| **Outcome 1.1.** Policy, legal and regulatory frameworks on the country’s ABS reviewed in compliance with the provisions of the Nagoya Protocol | | | | | |
| **Output 1.1.1: Review of existing legislation that govern conservation and sustainable use of genetic resources in light of the implementation of the case study of this project** |  | | | | |
| **Activity 1.1.1** Review of existing legislation that governs conservation and sustainable use of genetic resources considering the implementation of the case study of this project | 16th February 2015 | 100 | 50% | Existing legislations governing ABS and genetic resources were reviewed | S |
| **Output 1.1.2 Undertake a consultative process through workshops between the county, national government and policy makers on reviewed ABS legislation in light of this project, to facilitate ratification and implementation of the Nagoya Protocol** | 16th August 2015 | 100 | 50% | High level consultative workshop was undertaken | S |
| **Output 1.1.3: At least two joint management plans for the selected soda lakes developed that factor in aspects of benefit sharing from use of genetic resources for research and development;** |  |  |  |  |  |
| **Activity 1.1.3.1** Identify and map out soda lake areas in the country, select two priority areas and through stakeholder process develop management plans which include aspects of benefit sharing | 16th October 2019 | 95% | 50% | The activity been completed, and the Model ABS management plan launched.  One management plan for lake Bogoria undertaken in considerations of various factors including the costs and availability of funds . | S |
| **Outcome 1.2:** ABS institutionalized in protected areas as a tool for enhanced conservation and livelihood Improvement | | | | | |
| **Output 1.2.1. A National bioprospecting steering committee under the National strategy for bioprospecting within and outside protected areas in Kenya established to promote bioprospecting in the soda lakes** |  |  |  |  |  |
| **Activity** 1.2.1.1 Identify key stakeholders and establish a national bioprospecting steering committee with clear terms of reference | 16th April 2020 | 80% | 50% | The PSC recommended the existing PSC platform be reviewed and be adopted as the National Steering committee. This is awaiting the review of the relevant legislations ,policies and guidelines | S |
| **Output 1.2.2 Protected area management capacities on ABS enhanced through education and awareness for sustainable use of soda lakes genetic resources in line with the Nagoya Protocol;** |  |  |  |  |  |
| **Activity**1.2.2.1 Develop outreach material and  disseminate to protected area management through education awareness | 16th February 2018 | 100% | 80% | Outreach materials were developed and disseminated | S |
| **Output 1.2.3 Tools for monitoring impact of Bioprospecting projects on conservation and community livelihoods established and operationalized;** |  |  |  |  |  |
| **Activity:** 1.2.3.1 Together with the national bioprospecting steering committee, through a stakeholder consultative process, develop and launch a bioprospecting toolkit for monitoring the impact of bioprospecting projects on conservation and community livelihoods | 16th January 2020 | 40% | 40% | We have a draft manual awaiting inputs informed by ongoing review of relevant legislations. | S |
| **Output 1.2.4 Infrastructure within the soda lakes to enhance research and tourism (e.g Nature trail in Lakes Bogoria, Elementaita and simbi Nyaima) for KWS and adjacent communities improved;** | 16th August 2019 | 50% | 30% | One management plan for Lake Bogoria has been developed | MS |
| **Activity** 1.2.4.1 Map out, procure and construct infrastructure facilities within the soda lakes to enhance research and tourism (e.g Nature trail in Lakes Bogoria, Elementaita and simbi Nyaima) for KWS and adjacent communities; | 16th August 2019 | 50% | 50% | This was undertaken alongside the development of the management plan as construction was not allowed under the project. This was reviewed in the budgets revisions to accommodate only one side the Lake Bogoria Management plan | S |
|  |  |  |  |  |  |
| **Component 2: Systematic discovery of natural products for bio-pesticides and industrial enzymes**  **Outcome 2.1:** At least 1 potential microbial isolate characterized and deposited at the Culture Collection Centre at Jomo Kenyatta University of Agriculture and Technology (JKUAT) and the German Collection of Microorganisms and Cell Cultures (Deutsche Sammlung von Mikroorganismen und Zellkulturen – DSMZ) | | | | | |
| **Output 2.1.1 At least 500 samples collected at different seasons from the Soda lakes and 20 pure strains isolated with cellulase, protease and Phytase activities for agro-processing, starch and fuel, textile, food and beverage and protein hydrolysis and deposited in culture collection centers at JKUAT and DSMZ;** | 16th December 2019 | 85% | 50% | 171 microorganisms have been isolated Field sampling although continuous as part of ecological monitoring but pure strains with cellulase, protease and Phytase activities for agro-processing, starch and fuel, textile, food and beverage and protein hydrolysis have not been isolated and deposited in culture collection centers. | MS |
|  |  |  |  |  |  |
| **Activity**: 2.1.1.1 Undertake field sampling from the soda lakes at different seasons, isolate microorganisms and screen the microbes for cellulase, protease and phytase activities for agro-processing, starch and fuel, the textile, food and beverage industries, and protein hydrolysis and deposit pure strains in culture collection centers at JKUAT, DSMZ and Verenium Corporation | 16th December 2019 | 85% | 50% | Field sampling although continuous as part of ecological monitoring. This activity has been completed and over 171 microorganisms isolated | S |
| **Output 2.1.2 At least 5 isolates producing bioactive secondary metabolites as biopesticides for seed and seedling treatment characterized and deposited in the culture collection centers in JKUAT and DSMZ** | 14th May 2020 | 60% | 50% | Microbial isolates been characterized and deposited in the culture collection but pesticides have not been produced . | MS |
| **Activity** 2.1.2.1 Select, characterize and deposit in the culture collection centres in JKUAT and DSMZ potential isolates producing bioactive secondary metabolites as biopesticides for seed and seedling treatment; | 14th May 2020 | 60% | 40% | some microbial isolates been characterized and deposited in the culture collection. | MS |
| **Output 2.1.3 Status of microbial strains in culture collection canters at JKUAT and other partner institutions established and over 200 microbial isolates screened for cellulose degrading and enzyme for detergent and cotton processing** | 16th February 2018 | 100% | 100% | This activity completed and a stock of previously isolated been identified and screened for potential products. | S |
| **Activity 2.1.3.1** Undertake stock of previously  collected microbial strains from the soda lakes held in  culture collections at JKUAT and other partner institutions and screen the isolates for cellulose degradation and enzymes for detergent and cotton processing | 16th February 2018 | 100% | 100% | This activity completed and a stock of previously isolated been identified and screened for potential products. | S |
| **Outcome 2.2:** At least 1 enzyme product developed for agro-processing, starch and fuel, textile, food and beverage industries by the participating Kenyan institutions and the private company (Verenium corporation); | | | | | |
| **Output 2.2.1 Optimization of fermentation conditions for large scale production of cellulases, proteases and phytases for industrial production** | 14th February 2020 | 45% | 45% | Some work has been done but much will be achieved in the subsequent reporting period | MS |
| **Activity** 2.2.1.1 Undertake fermentation optimization studies of identified candidates for large-scale production of cellulases, proteases and phytases for industrial production | 14th February 2020 | 45% | 65% | Potential candidates been identified and pilot lab optimization taking place | S |
|  |  |  |  |  |  |
| **Activity;** : 2.1.2 Select, characterize and deposit in the culture collection centers in JKUAT and DSMZ potential isolates producing bioactive secondary metabolites as biopesticides for seed and seedling treatment; | 14th May 2020 | 45% | 80% | Potential candidates identified and deposited in the pilot culture collection. | S |
| **Output 2.2.2 Formulation and evaluation of the produced enzymes for application in starch and fuel, textile, food and beverage industries together with the local (University of Nairobi Science and Technology Park, KIRDI and Rivatex) and international private company, Verenium Corporation;** | 16th January 2020 | 30% | 20% | Formulation process on going on candidate’s enzymes | MS |
| **Activity** 2.2.2 Undertake formulation and evaluation of the produced enzymes for application in starch and fuel, textile, food and beverage industries together with the private companies (KIRDI, Rivatex, University of Nairobi Science and Technology Park, the JKUAT Enterprise Ltd and Verenium corporation | 16th January 2020 | 30% | 50% | Formulation process on going on candidate’s enzymes | MS |
| **Outcome 2.3:** At least 1 biopesticide for enhanced seed and seedling treatment developed by the participating Kenyan institutions and the private companies (University of Nairobi Science and Technology Park and the JKUAT Enterprise Ltd) | | | | | |
| **Output 2.3.1 Optimization of fermentation conditions for large scale production of bio pesticides for industrial Production** | 16th December 2019 | 45 % | 35% | Optimization taking place on the candidate biopesticide. | MS |
| **Activity;** : 2.3.1.1 Optimize fermentation conditions for large scale production of biopesticides for industrial  production; | 16th December 2019 | 45 % | 65% | Optimization taking place on the candidate biopesticide. | MS |
| **Output 2.3.2 Formulation and evaluation of the produced bio pesticides for application in the seed and horticulture industry together with the private companies (University of Nairobi Science and Technology Park and the JKUAT Enterprise Ltd)** | 14th May 2020 | 50% | 35% | Formulation and field trials being undertaken | MS |
| **Outcome 2.4:** A living library of Kenyan Soda lakes microorganisms established at JKUAT | | | | | |
| **Activity;** 2.3.2.1 Formulate and evaluate produced biopesticides for application in the seed and  horticulture industry together with the private companies (University of Nairobi Science and Technology Park, the JKUAT Enterprise Ltd and KIRDI) | 14th May 2020 | 50% | 35% | Formulation and field trials being undertaken | S |
| **Output 2.4.1: Culture Collection Center at Jomo Kenyatta University of Agriculture and Technology (JKUAT) upgraded to a national culture collection to support discovery of potential Soda Lakes microbial products;** | 16th February 2018 | 95% | 55% | The culture collection established only finish up of systems and link up with national process pending reviews of existing laws. | S |
| **Activity;** 2.4.1 Upgrade the culture collection center at Jomo Kenyatta University of Agriculture and  Technology (JKUAT) to a national culture collection to support discovery of potential soda lakes microbial products | 16th February 2018 | 95% | 95% | The culture collection established only finish up of systems and link up with national process pending reviews of existing laws. | S |
| **Component 3: Technology Transfer between resource provider and user operationalized**  **Outcome 3.1:** Technology transferred (including equipment, know-how and training) from DSMZ and Verenium Corporation to local research institutions and protected area systems management | | | | | |
| **Output 3.1.1 Bioprocess technology for efficient secondary metabolite production from soda lake microorganisms in Place** | 14th May 2020 | 15% | 50% | The process been initiated as we technologies and potential products identified and on pilot scales. | MS |
| **Activity;** 3.1.1.1 Undertake an economic evaluation of the developed bioprocess technologies for efficient  secondary metabolite production from the soda lake microorganisms to establish market potential | 14th May 2020 | 15% | 50% | The process been initiated as we technologies and potential products identified and on pilot scales. | MS |
| **Output 3.1.2 Improved skills and facilities at the initiated Kenya microbial Strain Depository at JKUAT to serve as a repository for microorganisms and also as a patent deposit** | 16th November 2017 | 30% | 30% | IP baseline audit been undertaken |  |
| **Output 3.1.3 At least 1 technology registered with the Kenya Industrial Property Institute (KIPI)** |  |  |  |  |  |
| **Activity;** 3.1.3.1 Assess intellectual property rights (IPR) generated from the project and together with partners seek IPR protection where possible with the Kenya Industrial Property Institute and Patent Corporation Treaty | 16th November 2017 | 30% | 30% | IP baseline audit been undertaken | MS |
| **Output 3.1.4 At least 1 product successfully transferred to the private partner and commercialized;** | 14th May 2020 | 45% | 30% | To be done in the subsequent reporting period | MS |
| Activity; : 3.1.4 Evaluate and license the developed technologies through appropriate agreements, in  compliance with the Nagoya Protocol | 14th May 2020 | 45% | 30% | Negotiation with industrial partner on going. Framework ABS agreement in place . | MS |
| **Outcome 3.2: An effective bioinformatics system in Kenya at KWS for Soda lakes microbial discovery to act as a system for monitoring and evaluation establish** | | | | | |
| **Output 3.2.1** Data handling system on collection and transfer of biological specimen within and outside Kenya established; | 14th February 2020 | 45% | 45% | Some work has been done but much will be achieved in the subsequent reporting period | MS |
| Activity; 3.2.1 Identify, install and train personnel on appropriate software systems for monitoring biological specimen collection and movement from Kenya | 14th May 2020 | 90 % | 90% | Protected area system stakeholder’s capacities on ABS compliance enforcement and monitoring in place | MS |
| **Output 3.2.2** A well equipped bioinformatics center established at KWS |  |  |  |  |  |
| Activity; : 3.2.2 Map out, procure, construct and equip a bioinformatics centre at KWS | 16th October 2019 | 55% | 65% | Equipment/computers for bioinformatics and systems for scientific collections in place. | MS |
| **Component 4: ABS agreements developed to build the capacity of the Kenyan authorities to engage with users of genetic resources**  **Outcome 4.1**: A model ABS agreement between provider and user in compliance with Nagoya Protocol in place for Kenya | | | | | |
| **Output 4.1.1. At least 1 ABS agreement between provider (KWS and Soda lakes communities- county government), local Kenyan institutions (KIRDI, Moi University, University of Nairobi Science and Technology Park Ltd and the JKUAT Enterprise Ltd), DSMZ and the industrial partner, Verenium Corporation) resulting from research and development of microbial samples taken from the Soda lakes executed;** | 16th September 2019 | 60% | 60% | The ABS model agreements in place and being used for ABS activities in licensing and approvals. | S |
| **Activity;** 4.1.1.1. Develop, by way of consultation, an ABS agreement in line with Nagoya Protocol on mutually agreed terms between the providers (KWS and the soda lakes’ communities’ county governments), local Kenyan institutions (KIRDI, Moi University, University of Nairobi Science and Technology Park , JKUAT Enterprise), and DSMZ and the industrial partner, Verenium Corporation | 16th September 2019 | 60% | 60% | The ABS model agreements in place and being used for ABS activities in licensing and approvals. | S |
| **Output 4.1.2 Prior Informed Consent (PIC), Mutually Agreed Terms (MAT) and Material Transfer Agreements (MTA) developed and operationalized in line with the Nagoya Protocol;** | 16th November 2019 | 55% | 55% | Draft Guidelines in place subject to gain from ongoing related legal reviews and stakeholder input. | S |
| **Activity;** 4.1.2 Develop key elements of ABS, i.e, Prior Informed Consent (PIC), Mutually Agreed Terms (MAT) and a Material Transfer Agreement (MTA) through stakeholder consultation and operationalize within the project | 16th November 2019 | 55% | 55% | Draft Guidelines in place subject to gain from ongoing related legal reviews and stakeholder input. | S |

* 1. 3.3. Risk Rating

**Table A.** Risk-log

Insert ALL the risks identified either at CEO endorsement (inc. safeguards screening), previous/current PIRs, and MTRs. Use the last line to propose a suggested consolidated rating.

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Risk** | **Risk affecting:** | Risk Rating | | | | | | | |  | **Variation respect to last rating** | |
| Outcome / outputs | **CEO ED** | **PIR 1** | PIR 2 | PIR 3 | PIR 4 | PIR 5 | PIR 6 (MTR) | PIR 7 | PIR 8 (this PIR) | **Δ** | **Justification** |
| Lack of clarity in policy framework on ABS may affect implementation of the project | All outcomes | M | M | M | M | M | M | M | M | M | = | This explanation should focus on what changed respect to the previous rating. |
| Local communities may not perceive the connection between the project activities and conservation | All outcomes | M | M | M | M | M | M | M | M | M | = |  |
| Bioprospecting benefits take time to be realized and, in some cases, it is not clear to determine community beneficiaries | All outcomes | M | M | M | M | M | M | M | M | M | = |  |
| The involvement of private sector not party to CBD and Nagoya Protocol may affect compliance | All outcomes | M | M | M | M | M | M | M | M | M | = |  |
| The best organism producing a candidate compound is protected by another institution oversees | All outcomes | M | M | M | M | M | M | M | M | M | = |  |
| Time taken to realize potential product commercialization and share of benefits is uncertain | All outcomes | M | M | M | M | M | M | M | M | M | = |  |
| COVID19 pandemic | All outcomes | L | L | L | L | L | L | L | L | L | = |  |
| **Consolidated project risk** | All outcomes | **n.a** | L | L | L | L | L | L | L | L | **=** | **This section focuses on the variation. The overall rating is discussed in section 2.3.** |

**Table B.** Outstanding medium & high risks

List here **only risks from Table A above that have a risk rating of M or worse** in the **current** PIR

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Risk** | **Actions decided during the previous reporting instance (PIRt-1, MTR, etc.)** | **Actions effectively undertaken this reporting period** | **Additional mitigation measures for the next periods** | | |
| What | When | By whom |
| Lack of clarity in policy framework on ABS may affect implementation of the project | None | None | The government is in the process of reviewing ABS  legislation in the country and also the project has factored in elements of harmonizing related incoherence. | June 2022 | KWS |
| Local communities may not perceive the connection between the project activities and conservation | None | None | The project objectives will be extensively discussed with the communities at the project sites during implementation of the proposed activities through workshops. | June 2022 | KWS |
| Bioprospecting benefits take time to be realized and, in some cases, it is not clear to determine community beneficiaries | None | None | Effective community structures will be established as a platform for managing and utilizing benefits arising from Bioprospecting activities within the soda lakes. Also, measures for both short term and long-term benefits will be factored in the project | June 2022 | KWS |
| The involvement of private sector not party to CBD and Nagoya Protocol may affect compliance | None | None | Nagoya Protocol advocates use of agreements, PIC, MTA and MAT which are enforceable under the relevant law, in particular, the jurisdiction administering the ABS agreement. The agreements will be drafted by competent legal experts with clarity and in line with all legal provisions. | June 2022 | KWS and competent legal experts |
| The best organism producing a candidate compound is protected by another institution oversees | None | None | A well-defined MTA and agreement that will state the accession, patentability, depositing and commercialization of candidate microbial strain and derivatives. | June 2022 | KWS |
| Time taken to realize potential product commercialization and share of benefits is uncertain | None | Communication with communities to manage their expectations | Fast-track field tests for biopesticide products  Communication with communities to manage their expectations |  |  |

**High Risk (H):** There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.   
**Significant Risk (S):** There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.   
**Medium Risk (M):** There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.   
**Low Risk (L):** There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

**Project Minor Amendments**

Minor amendments are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5% as described in Annex 9 of the Project and Program Cycle Policy Guidelines.

Please tick each category for which a change occurred in the fiscal year of reporting and provide a description of the change that occurred in the textbox. You may attach supporting document as appropriate.

|  |  |
| --- | --- |
|  | Results framework |
|  |  |
|  | Components and cost |
|  |  |
|  | Institutional and implementation arrangements |
|  |  |
|  | Financial management |
|  |  |
|  | Implementation schedule |
|  |  |
|  | Executing Entity |
|  |  |
|  | Executing Entity Category |
|  |  |
|  | Minor project objective change |
|  |  |
|  | Safeguards |
|  |  |
|  | Risk analysis |
|  |  |
|  | Increase of GEF project financing up to 5% |
|  |  |
|  | Co-financing |
|  |  |
|  | Location of project activity |
|  |  |
|  | Other |

*[Annex document linked to reported minor amendment]*

|  |  |
| --- | --- |
| **Minor amendments** | [Provide a description of the change that occurred in the fiscal year of reporting] |

**GEO Location Information:**

The Location Name, Latitude and Longitude are required fields insofar as an Agency chooses to enter a project location under the set format. The Geo Name ID is required in instances where the location is not exact, such as in the case of a city, as opposed to the exact site of a physical infrastructure. The Location & Activity Description fields are optional. Project longitude and latitude must follow the Decimal Degrees WGS84 format and Agencies are encouraged to use at least four decimal points for greater accuracy. Users may add as many locations as appropriate. Web mapping applications such as [OpenStreetMap](https://www.openstreetmap.org/#map=4/21.84/82.79) or [GeoNames](http://www.geonames.org/" \t "_blank) use this format. Consider using a conversion tool as needed, such as:[https://coordinates-converter.com](http://www.geonames.org/) Please see the Geocoding User Guide by clicking [here](https://gefportal.worldbank.org/App/assets/general/Geocoding%20User%20Guide.docx)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Location Name  Required field | Latitude  Required field | Longitude  Required field | Geo Name ID  Required field if the location is not an exact site | Location Description   Optional text field | Activity Description   Optional text field |
| Nairobi | -1.27467 | 36.81178 | Nairobi | Nairobi |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Please provide any further geo-referenced information and map where the project interventions is taking place as appropriate. \***

*[Annex any linked geospatial file]*

|  |
| --- |
| [Please provide any further geo-referenced information and map where the project interventions is taking place as appropriate] |

1. For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency. [↑](#footnote-ref-2)
2. Use GEF Secretariat required six-point scale system: Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), Marginally Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). [↑](#footnote-ref-3)
3. Outputs and activities (or deliverables) as described in the project logframe (and workplan) or in any updated project revision. [↑](#footnote-ref-4)
4. The completion dates should be as per latest workplan (latest project revision). [↑](#footnote-ref-5)
5. As much as possible, describe in terms of immediate gains to target groups, e.g. access to project deliverables, participation in receiving services; gains in knowledge, etc. [↑](#footnote-ref-6)
6. To be provided by the UNEP Task Manager [↑](#footnote-ref-7)