



United Nations Environment Programme  
Global Environment Facility

**MID-TERM EVALUATION REPORT**  
**Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol**

(GEF Project ID: 8025/UNEP Project ID: 01345)



**UNEP EVALUATION OFFICE**

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**30<sup>th</sup> AUGUST 2021**

## DISCLAIMER

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*This report has been prepared by an independent consultant evaluator and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of UNEP or its staff.*

## ACKNOWLEDGEMENTS

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*I would like to extend my appreciation to Jessica Amanzo Alcántara, Director of Genetic Resources and Biosecurity, Ella Karina Ramírez, National Project Coordinator, and Richard Jesus Zumarán, National Project Assistant of the General Directorate for Biological Diversity in the Ministry of the Environment, in addition to the Project Steering Committee members, as well as other project stakeholders who willingly made themselves available to participate in this Mid-Term Evaluation and provided useful suggestions and recommendations. The input and guidance provided by Thais Narciso, UN Environment Programme Task Manager, was essential in providing guidance to the overall Mid-Term Evaluation process. Thank you.*

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## Abbreviations & Acronyms

ABS	Access and Benefit Sharing
BD	Biodiversity
CBD	Convention on Biological Diversity
CENSI-INS, MINSA	National Center for Intercultural Health from Institute of Public Health of the Ministry of Health
CEO	Chief Executive Officer
EA	Executing Agency
EOP	End of Project
GEB	Global Environmental Benefit
GEF	Global Environment Facility
GR	Genetic Resources
GTPI	Indigenous Peoples Technical Group
IA	Implementing Agency
ICC	Internationally Recognized Certificate of Compliance
INDECOPI	National Institute for the Defense of Competence and Protection of Intellectual Property
INIA	Instituto Nacional de Innovación Agraria
MAT	Mutually Agreed Terms
MINAM	Ministerio del Ambiente
MTE	Mid-Term Evaluation
N/A	Not Applicable
NP	Nagoya Protocol
PDQ	Project Design Quality
PIC	Prior Informed Consent
PIF	Project Information Form
PIR	Project Implementation Review
PMU	Project Management Unit
POW	Programme of Work
Profonampe	Promotion Fund of Protected Natural Areas of Peru
PPG	Project Preparation Grant
PSC	Project Steering Committee
R&D	Research & Development
ROtI	Review of Outcomes to Impacts
SERFOR	National Forestry and Wildlife Service
SERNANP	National Service for Natural State Protected Areas
TA	Technical Assistance
TK	Traditional Knowledge
TOC	Theory of Change
UNEP	United Nations Environment Programme
VMP-PRODUCE	Vice Ministry of Fishing from the Ministry of Production

## Project Identification Table

Table 1. Project Summary

<b>Sub-programme:</b>	Subprogramme 3 – Healthy and productive ecosystems  Subprogramme 4 – Environmental governance	<b>Expected Accomplishment(s):</b>	The project complies fully with the GEF-6 BD-3 Objective: Sustainably use biodiversity, through Programme 8 (Implement the Nagoya Protocol of ABS). Specifically, GEF support will result in the establishment and reinforcement of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya Protocol, as stipulated in the GEF-6 Biodiversity strategy. Furthermore, the project is also aligned with national policy related to Biodiversity and ABS.
<b>UN Environment approval date:</b>		<b>Programme of Work Output(s):</b>	
<b>GEF project ID:</b>	GEF ID 8025	<b>Project type:</b>	Full Size Project
<b>GEF Operational Programme #:</b>	GFL-11207-14AC0003-SB-008505	<b>Focal Area(s):</b>	Biodiversity
<b>GEF approval date:</b>	09/06/2017	<b>GEF Strategic Priority:</b>	BD-3 Sustainably use biodiversity, Programme 8 (Implement the Nagoya Protocol of ABS)
<b>Expected start date:</b>	16/02/2018	<b>Actual start date:</b>	7 <sup>th</sup> March 2018
<b>Planned completion date:</b>	16/09/2021	<b>Actual completion date:</b>	N/A
<b>Planned project budget at approval:</b>	\$2,190,000	<b>Actual total expenditures reported as of 30 de September:</b>	30/06/2021
<b>GEF grant allocation:</b>	\$2,190,000	<b>GEF grant expenditures reported as of 30 de June 2021:</b>	\$1,051,344.05
<b>Project Preparation Grant - GEF financing:</b>		<b>Project Preparation Grant - co-financing:</b>	
<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	\$8,921,778.23	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	N/A

<b>First disbursement:</b>	07/03/2018	<b>Date of financial closure:</b>	N/A	
<b>No. of revisions:</b>	0	<b>Date of last revision:</b>		
<b>No. of Steering Committee meetings:</b>	4	<b>Date of last/next Steering Committee meeting:</b>	<b>Last:</b> 24/06/2020	<b>Next:</b>
<b>Mid-term Review/ Evaluation (planned date):</b>		<b>Mid-term Review/ Evaluation (actual date):</b>	15/06/2021	
<b>Terminal Evaluation (planned date):</b>	N/A	<b>Terminal Evaluation (actual date):</b>	N/A	
<b>Coverage - Country(ies):</b>	Perú	<b>Coverage - Region(s):</b>	Latin America	
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	N/A	

## Executive Summary

1. Peru is one of the world's 10 most "megadiverse" countries, for its rich diversity in ecosystems, species, genetic resources, and culture. Peru hosts about 25,000 plant species (10% of the world total) with 30% endemism. Of these, 4,400 species have known properties and are used by the population. It has 84 of the 104 life zones identified on the planet, the 4th largest area of tropical forest, the most extensive tropical mountain range, and 70% of tropical glaciers. Peru is also one of the centers of origin of agriculture and a wide range of agricultural resources, including one of the four most important food crops: potatoes (*Solanum*). There are over 3,000 varieties of potatoes in Peru, largely maintained, conserved, and developed by small, indigenous farmers throughout the Andes. Furthermore, Peru is a center of diversification for maize, tomatoes, quinoa, and other important food crops. Ongoing and future basic and applied research will rely on the availability (both in situ and ex situ) of genetic resources of these crops and animals. In some cases, Traditional Knowledge may serve to guide and orient initial phases of research processes. As such, national regulations on ABS and TK will need to be complied with by researchers, companies and any actor accessing and using these resources.
2. This Mid-Term Evaluation covers the implementation of the project "Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol" (GEF Project ID: 80254/UNEP Project ID: 01345), for the period 7<sup>th</sup> March 2018 to 30<sup>th</sup> June 2021. The Project is funded by the Global Environment Facility and the Mid-Term Evaluation was carried out in the period May – July 2021. The project is managed from the United Nations Environment Programme's Biodiversity and Land Degradation Unit, Ecosystems Division, via the Regional Office for Latin America and the Caribbean. Coordination and overall project supervision are the responsibility of the United Nations Environment Programme as Implementing Agency of the Global Environment Facility and the Ministry of Environment of the Government of Peru is the project's Executing Agency.
3. The project aligns with the Global Environment Facility's and United Nations Environment Programme's strategic programs, applicable at the time of project design and is generally consistent with United Nations Environment Programme's Programme of Work for the Biennium 2018-2019: Subprogramme 3 – Healthy and productive ecosystems and Subprogramme 4 – Environmental governance. The project aligns specifically to Aichi Targets, 2, 16 and 17.
4. The project seeks to conserve biological and genetic resources of Peru in compliance with the Nagoya Protocol, by addressing weak legal and institutional framework to manage ABS, scarcity of knowledge of relevant stakeholders on access and utilization of genetic resources and Fair Benefit Sharing, and weak experience in applying ABS mechanisms to access and manage GRs and associated Traditional Knowledge. The project's objective is to Strengthen national capacities for effective implementation of the access to genetic resources and traditional knowledge regimes in accordance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the country. The



project consists of three technical components, with eleven (11) planned 'Outputs' all contributing to four (4) 'Outcomes', distributed across the three components.

5. The project has faced numerous challenges and obstacles outside of its control including a presidential and judicial crisis in 2018, a constitutional crisis in 2019, a presidential crisis in 2020, the COVID-19 Pandemic in 2019-2020, and a new change of government in July 2021. At the level of the project, recruitment of the project team and the kick-off of activities suffered considerable delays associated with the change of government in Peru and the clarification of the project's operational arrangements, resulting in a 7-month process for the hiring of staff. The tripartite implementation/execution arrangement between United Nations Environment Programme, the Ministry of Environment, and Promotion Fund of Protected Natural Areas of Peru required revisions, resulting in the need for work plan revisions and negatively impacted implementation progress. Probably two of the most significant challenges faced by the project are the restrictions imposed by the state due to COVID-19 and the reliance of numerous project activities and several outputs on the outcome of the process to update the ABS Regulation. The project's management in coordination with the Ministry of Environment, was able to update procedures to expedite technical evaluation and internal administrative process and resulted in a reduction of delays for technical approval of Terms of Reference and project deliverables. Awareness-raising and capacity building activities have been delivered for the most part virtually using the Zoom Platform to overcome COVID-19 travel restrictions, and the project has strategically focused on delivering those activities and outputs that are not hampered by the adoption of the new ABS Regulation.

6. At the mid-term, the project has delivered a substantial amount of public awareness and outreach, even amidst the COVID-19 restrictions. Over 87 training, awareness and outreach events have been held by the project reaching over 5,461 persons. Some of the other key successes of the project include guidelines and formats for access management, guidelines on ABS procedures for users and public officers, guidelines for check points for the different stages of the use of genetic resources and associated traditional knowledge, update of functionalities of a search system of traditional knowledge to monitor illegal access to traditional knowledge associated to genetic resources, increased identification of biopiracy cases, list of 40 prioritized species systematized, a draft guideline for contract negotiations, a Communication Strategy, Prior Informed Consent and Mutually Agreed Terms processes upgraded within the context of the revised Access and Benefit Sharing Regulation, 3 initiatives with Mutually Agreed Terms developed, and the project's efforts have resulted in increased number of initiatives that fulfilled Access and Benefit Sharing requirements, obtaining access contracts, and understanding the importance of the ABS regulation.

7. Though substantially advanced and with good progress, the project has not completed all required outputs to ensure the Access and Benefit Sharing national mechanism operates in a coordinated manner, following a unified criteria and considering monitoring and supervision or that the national Access and Benefit Sharing system has reliable, timely and relevant information for benefit sharing negotiation strategies. To fully deliver these results, the project needs to develop guidelines for officials, users, and providers with an emphasis on Prior Informed Consent and Mutually Agreed Terms, officially translate the standards and guidelines, and systematize experiences and good verification points practices, updating of

the guidelines, sector procedures, and proposed methods for the negotiation of benefits and their impact on the distribution of benefits within the context of the revised ABS Regulation. Similarly, there is work to be done to fully train all relevant actors (public, private, academic, and indigenous communities) on access to genetic resources and benefit sharing. Activities pending are linked to the design and development of the ABS training modules for the target groups, including the intercultural program and the ones aimed at indigenous peoples. A system of orientation to providers on the valuation of genetic resources and traditional knowledge also needs to be developed and implemented. The required guideline and formats for the monitoring of ongoing research projects as a test of the national ABS monitoring system is not fully developed and will be influenced by the adoption of the revised ABS Regulation.

8. There is no systematic monitoring of environmental and social safeguards by the project, other than brief statements in the PIRs. One safeguard requirement, stakeholder participation, has been substantially addressed as mentioned above through an extensive awareness and engagement strategy. Gender mainstreaming by the project has focused at the proportion of participants that are women in training and events, organizing events at times suitable for women, and in encouraging inter-generational participation in trainings, consultations and outreach campaigns. The project has achieved an average women participation of 59% at project-sponsored events.

9. The project has made significant progress towards the achievement of Outcomes 01A and 01B, satisfactory progress in delivering Outcome 2A, and moderate progress in delivering Outcome 3. Three of four project Outcomes (the most important to achieve intermediate states and impact as indicated in the Theory of Change) have been substantially delivered and the remaining one with good chances of being fully delivered by the project's end. The Reconstructed Theory of Change confirms that the project is following a robust theory of change with appropriately formulated outputs, direct outcomes, intermediate states, and long-term results. The outcome indicators are verifiable and appropriate for recording progress towards the achievement of the development objectives. Assessment of the drivers, assumptions for the change processes, delivery of the most significant outcomes, and the portion of intermediate state achieved at the Mid-Term Evaluation all suggest that the likelihood of impact is **'Likely'**.

10. The project has benefitted from strong government commitment through the leadership and direction of the Ministry of Environment, and from a productive and competent project management team. The project has been successful in securing inter-institutional participation on the Project Steering Committee and for the development of the revised ABS Regulation, which was adopted on 24<sup>th</sup> July 2021, during the development of this Mid-Term Evaluation Report. The inter-institutional coordination achieved by the project is unprecedented and will be critical to the institutionalization and sustainability of project outcomes. The project has been very efficient in resolving obstacles including adverse political and operational circumstances, change of National Project Coordinator, the impacts of COVID-19 with instated restrictions on physical meetings and visits to field sites and for engaging with indigenous communities. The Ministry of Environment and the Project Management Team must be commended for an exemplary display of commitment and leadership in ensuring significant change from minimal delivery in project years 1 and 2, to significant and impressive delivery of project outputs and outcomes at the

Mid-Term Evaluation. The overall rating of the project's performance is **'Satisfactory'** and the summary ratings and assessment are presented in Table 5.

11. Key **lessons learned** in this Mid-Term Evaluation include:

- a) This project has demonstrated the need for dedicated full-time staff specific to the project to ensure timely and quality dedication to the implementation, reporting and quality control needs of the project.
- b) Institutional leadership and competent staff are indispensable to the successful development of project processes and ultimately, the delivery of project outputs and outcomes.
- c) The lack of a TOC and 'output to outcome' analysis during the project design resulted in lost opportunities to better test project assumptions and drivers, which would have provided valuable data to inform and refine project implementation strategies and approach.
- d) The lack of a Gender Action Plan during project design resulted in limited efforts to truly mainstream gender perspectives into ABS processes, tools, manuals, legislation, and opportunities to access benefits from genetic resources in a structured manner.
- e) The reliance of key project outputs on a one single activity is a risky strategy for project implementation. The heavy reliance on the adoption of the revised ABS Regulation has hampered progress across all project components. This is an important lesson for future project design and project implementation timeline, and a lesson to be taken seriously in developing the Theory of Change early in project design.
- f) Awareness, outreach, and capacity building using virtual means cannot be taken for granted, especially where rural and indigenous communities are involved. Poor internet connectivity and limited capacity of rural residents to manage computer equipment and the online platforms can render capacity building efforts ineffective.
- g) Stakeholders buy-in and support needed for the institutionalization of the project's outcomes and to ensure sustainability cannot be taken for granted and must be continuously nurtured. In the absence of stakeholder buy-in, the management of genetic resources will be restricted to the ABS Regulation of July 2021, as a 'command and control' approach with difficulties to implement and with consequences for both resources and society.

12. Key **recommendations** emanating from in this Mid-Term Review include:

- a) Immediately apply a Knowledge, Attitudes and Practices (KAP) survey and to be repeated just before the project's end, to determine the true level of knowledge of ABS, the ABS Regulation of 2021, benefits to be accrued, and the application of PIC and MAT principles in practices to access genetic resources among all project actors, including indigenous communities.
- b) MINAM, Project Management and UNEP should develop a procedure or tool to correctly estimate and report counterpart contribution, consistent with the expectations and spirit of the GEF Co-financing Policy.
- c) As part of the project's Exit Strategy, prioritize the sustained engagement with institutions in the National ABS Mechanism to ensure smooth institutionalization and uptake of project outcomes within the context of the revised ABS Regulation.
- d) The project should seek to maximize engagement with the private sector for the remainder of the project as a critical investment in the future sustainability of project outcomes.
- e) Prioritize capacity building in the field including at the level of indigenous communities and women organizations on the ABS procedures and guidelines within the context of the revised ABS Regulation to support and facilitate implementation.
- f) Mainstream gender in all pending project activities and products from the perspective of structure, content, delivery, and participation.
- g) Identify relevant Environmental and Social Safeguard indicators in the UNEP ESS Screening Form that was completed for the project and select, monitor, and report on them in Half Yearly Reports and in the PIR.
- h) The project's original technical completion date of September 15<sup>th</sup>, 2021, is unrealistic, considering the seven months delay at the beginning and subsequent delays caused by COVID-19 and by the process to adopt the revised ABS Regulation. As described above, there are substantial work to be done to fully deliver the project outcomes, the intermediate state, and ultimately the desired impact. There is still 36% of the project's budget available for disbursement, even though PMC and M&E have been almost totally consumed. A project extension of 12 – 15 months may be necessary. However, UNEP and MINAM may need to devise a strategy for covering PMC and M&E costs during the extension period.
- i) For all future design of projects, it is crucial to include a detailed Theory of Change analysis, which thoroughly assesses assumptions and drivers, to allow for early identification of possible intermediate states and alternative outcome to impact pathways, thus allowing for a more diverse identification of project implementation strategies. This will allow for a more effective and

efficient project implementation, the strategic positioning of key project drivers, an elimination of unrealistic assumptions, and a minimization of overall project risks.

## I. Project Overview

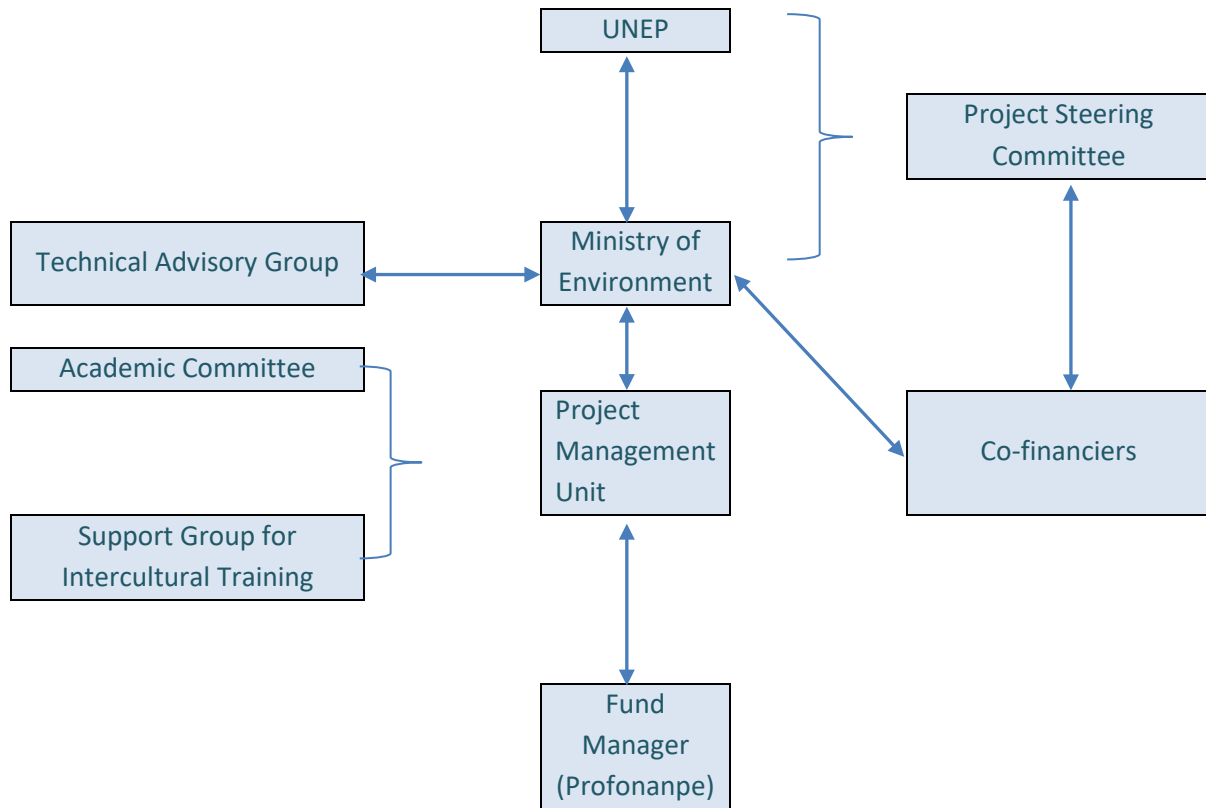
### Institutional Context and Implementation Arrangements

13. This Mid-Term Evaluation (MTE) covers the implementation of the project “Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol” (GEF Project ID: 80254/UNEP Project ID: 01345), for the period 7<sup>th</sup> March 2018 to 30<sup>th</sup> June 2021. The Project is funded by the Global Environment Facility (GEF) and the Mid-Term Evaluation was carried out in the period May – July 2021. The review sought to assess project performance (in terms of relevance, effectiveness, and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review 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 the relevant agencies of the project participating countries. The project is managed from UNEP’s GEF Biodiversity and Land Degradation Unit, Ecosystems Division, via the UNEP Regional Office for Latin America and the Caribbean (ROLAC). The project aligns with the GEF’s and UNEP’s strategic programs, applicable at the time of project design and is generally consistent with UNEP’s Programme of Work for the Biennium 2018-2019: Subprogramme 3 – Healthy and productive ecosystems and Subprogramme 4 – Environmental governance. The project aligns specifically to Aichi Targets, 2, 16 and 17.

14. Coordination and overall project supervision are the responsibility of UNEP as the GEF’s Implementing Agency and (IA) and the Ministry of Environment of Peru (MINAM) is the project’s Executing Agency (EA). MINAM is responsible for day-to-day project execution through the support of the Project Coordinator, a Technical Assistant, and a Financial Assistant, which collectively constitute the Project Management Unit (PMU). The PMU builds on support from MINAM’s local ABS team, who provides technical support and backstopping to the project staff. The Promotion Fund of Protected Natural Areas of Peru (Profonanpe) acts as the Fund Management Agency as per a tripartite legal agreement with MINAM and UNEP. UNEP’s Task Manager provides continuous support and works closely with project personnel in project implementation aspects related to UNEP and the GEF implementation requirements.

15. The Project Steering Committee (PSC) is the project’s main coordination and oversight mechanism and is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. Conclusions and recommendations produced by the PSC are taken into consideration by UNEP and the PMU to improve implementation strategies, annual work plans and budgetary resources allocation and, when necessary, to adjust the project’s Result Framework. The project’s implementation arrangements are presented in Figure 1.

Figure 1. Project Implementation Arrangements



**Project Parameters**

16. The project was approved as a Full-Sized Project by the GEF on the 9<sup>th</sup> of June 2017, for a period of 48 months with an intended completion date of 15<sup>th</sup> of February 2022. The project was approved with a total budget of US\$11,111,778.23 that is divided between the GEF contribution of US\$2,190,000 and co-financing of US\$8,921,778.23. The first disbursement of project funds was on the 7<sup>th</sup> of March 2018. The project faced significant delays in its early stages. Recruitment of the project team and the kick-off of activities suffered considerable delays associated with the change of government in Peru and the clarification of the project’s operational arrangements. Delays in activities related to change of government and clarification of operational arrangements created a need for work plan revisions at project inception. In addition, the tripartite implementation/execution arrangement between UNEP, MINAM and Profonampe required multiple revisions, resulting in negative impacts on project implementation. The lack of clarity of internal procedures in the MINAM and between MINAM and Profonampe slowed the pace of activities during the first year. The project addressed these challenges through the development and use of an operation manual which helped to clarify procedures and responsibilities not clearly defined in the Cooperation Agreement. Changes in the national context since

project design also resulted in other challenges. A key change was the decision to revise the national ABS regulation, in response to which the project had to adapt its work plan and approach to better reflect the current context.

### Project Objective and Logical Framework

17. This project “Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol” seeks to conserve biological and genetic resources of Peru in compliance with the Nagoya Protocol (NP), by addressing weak legal and institutional framework to manage ABS, scarcity of knowledge of relevant stakeholders on access and utilization of genetic resources (GR) and Fair Benefit Sharing, and weak experience in applying ABS mechanisms to access and manage GRs and associated Traditional Knowledge. The project will help emphasize the value of genetic resources and link their access, use and benefit actions to conservation, thereby deriving value-added from R&D processes; will facilitate the flow of articulated legal processes on genetic resources for research and development, supporting the establishment and implementation of specific support and legal services to a variety of activities and industries, ranging from pharmaceutical to cosmetics; and will bolster efforts related to prevention against biopiracy and illegal appropriation.

18. The project’s objective is to Strengthen national capacities for effective implementation of the access to genetic resources (ABS) and traditional knowledge (TK) regimes in accordance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the country. The project consists of three technical components, with eleven (11) planned ‘Outputs’ all contributing to four (4) ‘Outcomes’, distributed across the three components.

19. The project’s Logical Framework is summarized below in Table 2.

Table 2: Project Logical Framework

Components	Outputs	Outcomes
<b>C1: Effective functioning of national ABS system, in agreement with Nagoya Protocol</b>	<u>Output 1.a.1.</u> : Fully functional and coordinated ABS system using updated or new documentation and procedures adequate to the Nagoya Protocol (including PIC and MAT), including guides for users and providers, and exchanging information through the national ABS information platform and the ABS-CHM.	<b>O1A:</b> The ABS national mechanism operates in a coordinated manner, following unified criteria and taking into account monitoring and supervision.
	<u>Output 1.a.2</u> Checkpoints set up along the different stages of the use of GRs and associated TK, and corresponding manuals prepared for these points	
	<u>Output 1.a.3</u> Cases of illegal access to wild, cultivated and hydrobiological genetic resources,	

	<p>including associated TK, prioritized, and registered by the National Commission against Biopiracy, as part of the measures of monitoring the utilization of genetic resources established by the Nagoya Protocol (Art. 17°)</p> <p><u>Output 1.b.1</u> Information on species (wild, cultivated and hydrobiological) containing genetic resources with potential for research and development activities, compiled and systematized in the platform Peru Gen, including distribution and conservation status.</p> <p><u>Output 1.b.2.</u> Benefits derived from use of genetic resources and associated TK in on-going research and development projects, identified, classified, and assessed, strengthening the expertise of national authorities in this respect, and setting basis for future negotiations.</p>	<p><b>O1B:</b> The national ABS system has reliable, timely and relevant information for benefit sharing negotiation strategies.</p>
<p><b>C2: Capacity building of relevant actors in relation to Access to genetic resources and traditional knowledge</b></p>	<p><u>Output 2.a.1.</u> Awareness raising activities (using existing informative materials, and new ones when needed) on the Nagoya Protocol directed towards government officials, academics, researchers, society, communicators, and general public.</p> <p><u>Output 2.a.2.</u> Interactive training modules on management of access to genetic resources and associated TK, based on the national law and the Nagoya protocol, each one designed and directed towards a specific target group: government officials, academic researchers, and entrepreneurs.</p> <p><u>Output 2.a.3</u> Intercultural training program oriented towards indigenous communities regarding ABS and TK, including gender equity criteria.</p> <p><u>Output 2.a.4</u> Assistance for providers to promote and facilitate their negotiation capacity and for users to promote and achieve legal certainty in ABS contracts, in 3 ongoing initiatives under negotiation.</p>	<p><b>O2: Outcome 2.a.:</b> Relevant actors from public, private, academic/scientific/ technical, society, and indigenous people, aware and with training on access to genetic resources and benefit sharing</p>
<p><b>C3: Projects and initiatives on ABS contributing to conservation and sustainable use of biological diversity</b></p>	<p><u>Output 3.a.1.</u> Ongoing research and innovation project (perfumery and cosmetics) based on native genetic resources and associated traditional knowledge, supported by the project to comply with national ABS legislation and the Nagoya Protocol throughout the chain of research and development.</p>	<p><b>O3:</b> Conservation and sustainable use of local biodiversity is improved through interventions that will lead to a better and more efficient application of ABS measures in the country.</p>



<p><u>Output 3.a.2.</u> At least two on-going research projects (CosmoPeru-Molle fragrance) will be analyzed/monitored as a test for the national ABS monitoring system, serving as a learning experience for government officials.</p>	
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### Stakeholder Analysis

20. The stakeholder analysis sought to identify and assess the relevance of key people, groups of people, or institutions that may significantly influence the implementation and success of the project. The analysis considered key institutions involved in the process to assess and authorize access to genetic resources, those who can influence the legislative and regulatory framework, those to be affected either directly or indirectly by an ABS regime, civil society, and the public. The project’s primary stakeholders and their level of influence and interest in project implementation and thus possible level of impact on project outcomes are presented below in a power/influence and interest grid in Figure 2.

21. In the grid, those institutions that have power, influence, and primary interests in the project’s processes and outcomes, and thus exert major control are listed in the right upper quadrant (A). Stakeholders with low level of influence and/or low levels of interest in the project are listed in the lower left quadrant (D), while those who have major influence independent of their level of interest are listed in the upper left quadrant (B). Those stakeholders with high levels of interest, but less influential are in the lower right quadrant (C). The grid was informed by the project documents, the stakeholder analysis conducted as part of the Inception Phase and validated through feedback received in stakeholder interviews.

## II. Review Methods

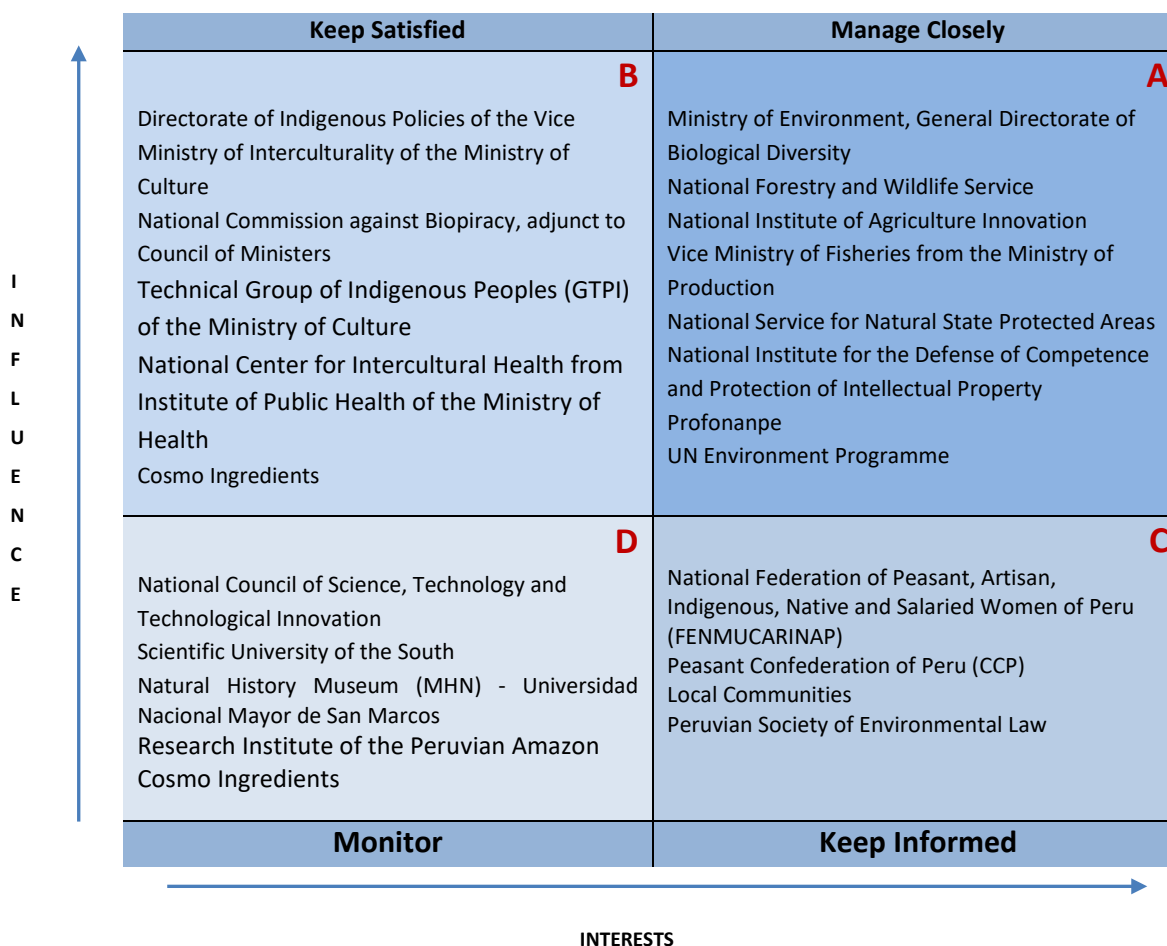
22. This MTE was conducted by an Independent International Evaluation Consultant as per the Terms of Reference developed by the project for this purpose (Annex 1). The MTR Report was structured as per ‘Guidance on the Structure and Contents of the Main Mid Term Review Report’ of the Evaluation Office of UN Environment Programme, Revised Version 12<sup>th</sup> December 2019.

### Data Collection

23. The MTE addressed the following four (4) primary evaluation criteria: (1) Attainment of objectives and planned results; (2) Sustainability and catalytic role; (3) Processes affecting attainment of project

results; and (4) Complementarity with UNEP strategies and programmes. The following specific review categories were addressed, according to their distribution across the evaluation criteria listed above: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.

Figure 2. Distribution of Project Stakeholder Influence and Interests



24. Evaluation questions were developed as per the guidance provided in the Terms of Reference of the MTE, inclusive of addressing the Key Strategic Questions and those required by the GEF Portal, and in consideration of the results of the PDQ assessment and the Reconstructed Theory of Change (TOC) developed during the Inception Phase. The main evaluation questions of the Terms of Reference are generally included under ‘effectiveness’ but are reinforced by other questions through-out the different categories of the MTE as laid out in the Evaluation Framework in Annex B of the Inception Report. All evaluation indicators were analyzed using the project's reporting mechanisms (actual available outputs, PIRs, Half Year Progress Reports, technical reports, etc.), using where possible quantitative and qualitative

data, validated through semi-structured interviews with project staff, partners, beneficiaries and other key stakeholders.

25. Stakeholders and project beneficiaries are important sources of information to validate information in project reports, and are instrumental in reviewing the draft MTE report, and as such, are also targeted audiences of the overall MTE process. Stakeholders, and in particular members of the PSC, were engaged through virtual one-on-one interviews, and focused at detail on the project's performance, challenges, lessons learned, and opportunities for improvement. Persons interviewed and/or engaged during the MTE process are presented in Annex 2.

26. The methodological steps for data collection in this MTE were as follows:

- (a) A desk review of Relevant background documentation, inter alia: the Project Document and appendices; project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets; the project's logical framework; Half-Year Progress Reports (HYPR) and Project Implementation Review (PIR) reports; financial reports; progress reports from collaborating partners; Evaluations/Reviews of similar projects; and public relations materials produced thus far by the project.
- (b) One-on-one Interviews were conducted using Zoom, Google Meets, and WhatsApp platforms. Semi-structured questions developed by the evaluator, based on questions in the Evaluation Framework developed during the Inception Phase, were used to secure responses and inputs from stakeholders on the four primary evaluation criteria and their respective categories. This guaranteed a more interactive process through which the interviewed respondents had more opportunities to contribute to the MTE process, without limitations to the extent of their responses. The findings derived from the desk review, one-on-one interviews with stakeholders and the project team were critically reviewed, assessed, triangulated, and systematized to identify trends in the responses and perceptions on the project's results, overall performance, and perceived project challenges. This was especially useful in validating information presented in the Project PIRs, and in ensuring the proper context for articulating project lessons and recommendations for improving project implementation.
- (c) During the drafting of the MTE report, there were numerous consultations and exchanges with the project staff and UNEP to ensure all information sources have been accessed and to provide an opportunity to verify emerging findings. The Draft MTE Report was shared with the UNEP Task Manager, project principals in Peru, and stakeholders for comprehensive and extended review and input. Additional information, suggestions, and validation of project outputs presented in the draft were instrumental in the development of the final MTE Report.

### Limitations of the Mid Term Evaluation

27. One-on-one interviews were very much limited to representatives of the PSC, most of whom are primarily from government or quasi-government agencies, except for three respondents. The fact that the project had a delay and change of Project Coordinator at the beginning also presented challenges of loss of institutional memory of the project. Also, the fact that some key project activities are yet to be substantially developed limited the extent to which respondents in the review process were able to articulate their responses in terms of outputs and performance of the project to date.

### III. Review Findings

28. Overall findings of the MTE are summarized as per the criteria and rating scale used by UN Environment Programme, consisting of the following five (5) ratings:

- HS: Highly Satisfactory
- S: Satisfactory
- MS: Moderately Satisfactory
- MU: Moderately Unsatisfactory
- U: Unsatisfactory

#### A. Strategic Relevance

29. The project aligns with the GEF's and UNEP's strategic programs, applicable at the time of project design and is generally consistent with UNEP's Programme of Work for the Biennium 2018-2019: Subprogramme 3 – Healthy and productive ecosystems and Subprogramme 4 – Environmental governance. The project aligns specifically to Aichi Targets, 2, 16 and 17. The project is consistent with UNEP's Strategic Focus on Ecosystem Management (Expected Accomplishment (a)) and Environmental Governance (Expected Accomplishment (b)), and specifically to Aichi Targets, 2, 16 and 17 as defined in the UNEP Medium Term Strategy 2014-2017. The project also specifically aligns with UNEP 2014-2015 Programme of Work (POW), in which it seeks to help countries, upon their request, to strengthen their environmental institutions and laws and to implement their national environmental policies and by helping to increase the integration of environmental sustainability in national and regional policies and plans; as well as with Sub-programme 4, Expected Accomplishment (b) of UNEP's 2016-2017 POW, in which UNEP seeks to enhance the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations.

30. The project complies fully with the GEF-6 BD-3 Objective: Sustainably use biodiversity, through Programme 8 (Implement the Nagoya Protocol of ABS). Specifically, GEF support will result in the establishment and reinforcement of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya

Protocol, as stipulated in the GEF-6 Biodiversity strategy. Furthermore, the project is also aligned with national policy related to Biodiversity and ABS.

*The overall rating for the project's Strategic Relevance is "Highly Satisfactory".*

## B. Effectiveness

### ***Reconstructed Theory of Change***

31. The intervention logic in the Project Document, the Logical Framework, and the results of the PDQ Assessment were analysed to establish the project's TOC, and a "reconstructed" TOC at Design was developed to help identify links between outputs and outcomes, and the intermediary states between outcomes and intended impacts. During the main MTE process, the TOC at design was revisited after a review of project processes, documentary evidence, primarily the PIRs and one-on-one interviews with project stakeholders, to reconstruct the TOC at Evaluation. The findings in the TOC at Evaluation confirm the TOC at Design. Key assumptions and drivers that influence implementation along causal pathways and which affect the delivery of outputs, outcomes, and ultimately impacts remain the same as indicated below in the Outputs to Impact Analysis in Figure 3.

Figure 1: Theory of Change Analysis: Key Project Impact Drivers and Assumptions

#### *Key Impact Drivers:*

- Project supports strengthening of ABS legal and institutional framework, awareness, and capacity building for ABS implementation.
- Project supports broad institutionalization of ABS frameworks, case studies, and pilot ABC contracts.

#### *Key Assumptions:*

- Internal conditions of key institutions and actors do not create delay in political processes and capacity building.
- Public and private institutions embrace and support the institutionalization of ABS frameworks.

32. The logic and causal pathways described in the project's intervention logic for moving from barriers to outputs show strong coherence, resulting in a reconstructed TOC that is very representative of the project's Logical Framework, and are expected to lead to tangible outcomes. There are clear linkages between components as well as pathways which connect outputs and outcomes of different components (for example Outputs 2.a.1 and 2.1.2 clearly contribute to the delivery of Outcome 3.a, while Outputs

3.a.1 and 3.a.2 contribute to Outcome 1.b). These linkages provide evidence of strong synergy and coherence between components, outputs, and outcomes, as further explained below.

33. Outputs to outcomes: The outputs outlined for project components show a clear logical pathway with the outcome or outcomes defined for each respective component, in addition to indirect linkages between outputs of one component with the outcomes of other components. Strictly speaking, Outcome 1.a arguably constitutes the primary axis of the project's intervention logic, with all outputs contributing either directly or indirectly to this outcome: 'The ABS National Mechanism operates in a coordinated manner, following unified criteria and considering monitoring and supervision'. To achieve this outcome, strengthening of legal and institutional frameworks, capacity building, training, research, check and balance systems, and timely access to relevant information must first be addressed, all of which are represented in the different outputs of the three project components. The transition between outputs and outcomes relies on the key driver that the project supports strengthening of ABS legal and institutional frameworks, awareness, and capacity building for ABS implementation. The assumptions that are key for the transition between outputs and outcomes are that internal conditions of key institutions and actors do not create delay in political processes and capacity building.

34. Outcomes to intermediate state to impact: All four project outcomes contribute directly to one overarching Intermediate State: Outcomes 1.1, 2.1 and 2.1 lead a logical path towards Intermediate State 1: 'National ABS Mechanism institutionalized and functional and secures the confidence of public and private institutions and local communities as an accessible, fair and inclusive system that enhances the attractiveness of Peru for biotechnology and sustainable national development'. The transition between outcomes and achieving the intermediate state relies on the project supporting broad institutionalization of ABS frameworks, case studies and pilot ABC contracts, and on the assumption that public and private institutions embrace and support the institutionalization of ABS frameworks. The overarching intermediate state is a required transitional phase before the intended impact and Global Environmental Benefits may be achieved: Strengthen national capacities for effective implementation of the access to genetic resources (ABS) and traditional knowledge (TK) regimes in accordance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the country.

### ***Availability of Outputs***

35. This section provides a brief overview of the status of the project's outputs by component at the time of the MTE. The assessment below is based on mid-term targets defined in the revised work plan, validated against the results of project implementation to date as reported in the PIRs, as observed during the MTE, and with due consideration of inputs provided by the Project Team and stakeholders during interviews conducted as part of this MTE process. A summary of the project's performance at the output level is provided in Table 3.

**C1: Effective functioning of national ABS system, in agreement with Nagoya Protocol.**

36. At the time of the MTE, the overall delivery for this component has been estimated at **72%**. To establish a fully functional and coordinated ABS system, the project has developed a proposal of guidelines and formats for access management to provide clarity to procedures of evaluation of access to genetic resources' requests; guidelines on ABS procedures for users and public officials; and a guideline for identifying National Support Institutions. Because of the project's interventions the time it takes from application to the actual granting of an access contract has reduced from up to 720 days to an average of 208 days and 29 contracts granted with ICC notified in ABS -CHM. Three intercultural guides and three infographics were elaborated and translated to native languages (Quechua, Aymara, Ashaninka, and Awajun), for use by indigenous communities. Technical and legal support and training were provided to authorities to coordinate proposals for the process to update national ABS regulation. Guidelines for current check points were developed; updates were made to the search system to monitor illegal access to traditional knowledge associated to genetic resources; the National Commission against Biopiracy was equipped with specialized software to track illegal access; identification of 40 wild flora species with potential for research and development and associated database; and a guideline for negotiation has been developed including a proposed contract format, to be used by ABS authorities. The finalization of several activities under this component are dependent on the current process for the update of the national ABS regulation. There is one output (Output 1.a.2) that is less than 50% delivered at the MTE.

37. Most of the activities in Component 1 are well advanced, and only require closure. However, there are still activities that require implementation. These include the development of guidelines for officials, users, and providers with an emphasis on PIC and MAT, the official translation of standards and guidelines, and systematizing experiences and good verification points practices. Likewise, under the context of the approval of the update of the access regulations, other activities (1.a.1.1. and 1.a.1.2) may need to be revised, as the guidelines must be updated, and sector procedures adapted under the terms of the new regulations. Similarly, the proposed methods for the negotiation of benefits and their impact on the distribution of benefits (1.b.2.1.) will need to be adapted to this new framework.

**C2: Capacity building of relevant actors in relation to Access to genetic resources and traditional knowledge.**

38. This component is estimated to have an overall delivery at the MTE of **53%**. Some key activities have been delivered in support of outputs under this component. The project's Academic Committee was established, made functional and has been instrumental in the development of the project's training programs. The intercultural training team and the technical support team for pilots have also been established and functional with several sessions held to date. A Communication Strategy, awareness campaign including dissemination materials, and the project's corporate image (brochures, writing pads, and bags made from recycled material), have all been developed and implemented.

Figure 3. Reconstructed Theory of Change (Outputs to Impact Analysis)

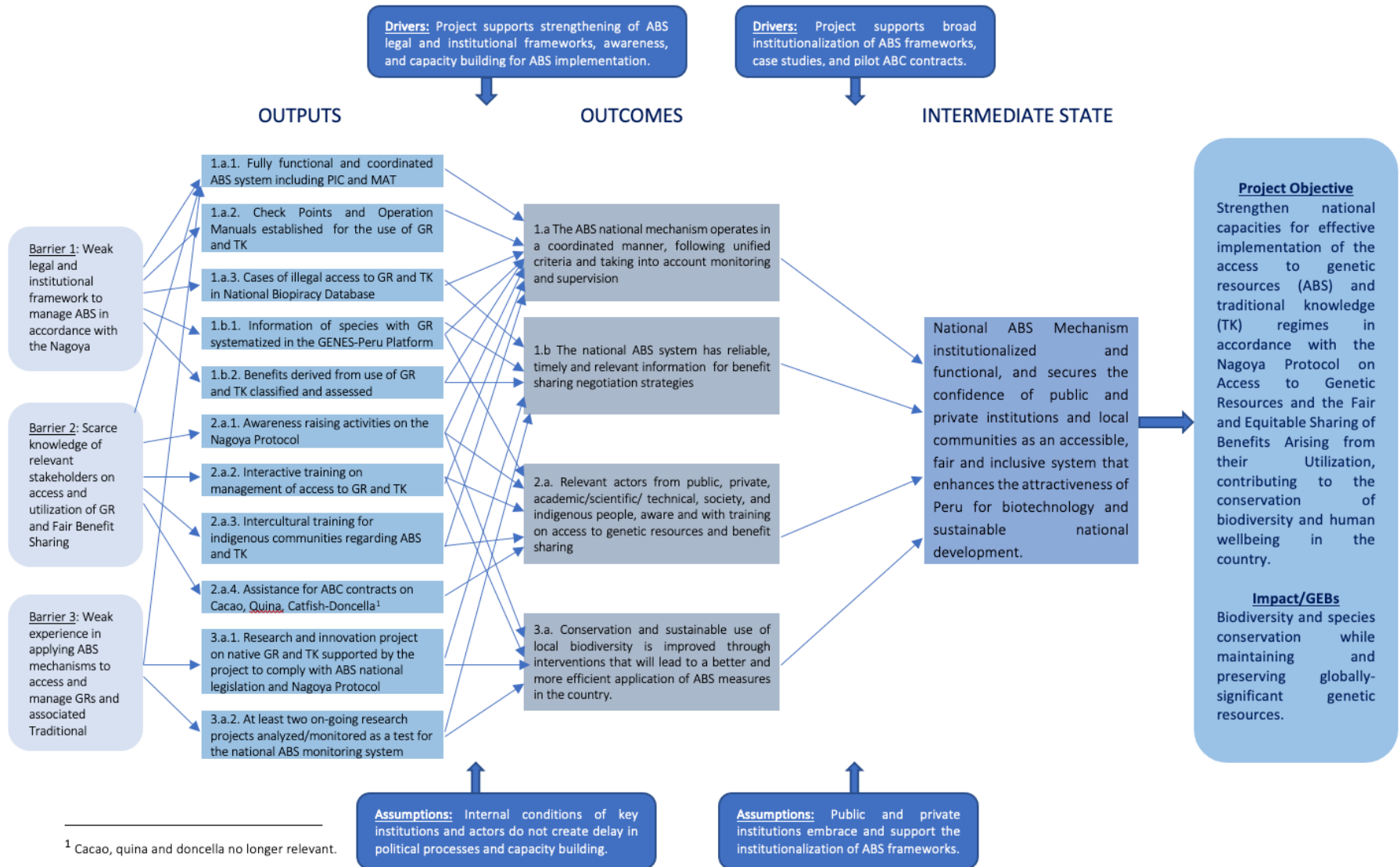






Figure 4. Workshop of ABS Awareness and Proposed Modifications to the ABS Regulations Arequipa, August 2019.

39. Prior to the COVID 19 pandemic, the project delivered 13 in-person training sessions on benefit sharing negotiation and contracts, awareness events, and working groups in different regions of the country including Arequipa, Cusco, La Libertad, and San Martín. A diagnosis of the expectations and demands of indigenous peoples and peasant communities regarding ABS of traditional knowledge has been prepared and used to inform PIC and MAT processes and the update to the ABS Regulation.

40. Under COVID 19 restrictions, the project organized a total of 22 events, mainly as virtual events due to the health measures regarding COVID-19, reaching a total of 3,149 people from all target groups, and with a female attendance of 59%, some of whom were key speakers at the said events. It must be noted, however, that during the MTE interviews representatives of indigenous women organizations expressed quite emphatically that virtual training may not be very effective since many indigenous persons may not have access to a computer, are not internet savvy, and/or live in an area where internet connection is unreliable for the conduct of online training. There is a specific call for the project to get out into the field and engage with local communities, especially after the ABS Regulation has been passed to explain its scope and mechanisms for implementation. Even though modules were developed on management of access to genetic resources and associated TK and on ABS and interculturality, these will need to be updated to reflect the provisions of the updated ABS Regulation, as such the actual delivery of training is delayed under two outputs of this component. The project offered technical support to providers to promote and facilitate their negotiation capacity and for users to promote and achieve legal certainty in ABS contracts, resulting in 3 initiatives now having MATs developed. Two outputs in this component (Output 2.a.2 and Output 2.a.3) are less than 35% delivered at the MTE.



Figure 5. International Seminar: Biotechnological, commercial, and legal realities; Lima, 4-5 June 2016

41. Activities pending under Component 2 are linked to the design and development of the ABS training modules for the target groups (including the one aimed at indigenous peoples). The delay in the approval of the update of the access regulation has limited the completion of the proposed content for the interactive training modules. About the intercultural program, the main limitation has been participation due to the pandemic. It is expected that, having already approved the regulation during July 2021, the designs will be able to be finalized and the training modules will be developed, and they will be hosted on the corresponding platforms for their launch. Similarly, due to the type of projects or initiatives that have been presented in the Peruvian ABS framework, it is pending to adapt a system of orientation to providers on the valuation of genetic resources and traditional knowledge.

### **C3: Projects and initiatives on ABS contributing to conservation and sustainable use of biological diversity.**

42. Component 3 is the least developed with an estimated delivery at the MTE of **49%**. Activities under this component have sought to identify and prioritize ongoing initiatives and projects based on different criteria and providing users with the support required to comply with the national ABS regulation during the different steps of the contract access process. Trainings using real cases were provided to public officers and national junior consultants with potential of becoming national ABS experts for different sectors. These resulted in an increased number of initiatives that fulfilled ABS requirements, obtaining access contracts, and understanding the importance of the ABS regulation. An additional benefit of this is that trained users may require less assistance in future cases, which means a decrease of rejected requests. The required guideline and formats for the monitoring of ongoing research projects as a test of

the national ABS monitoring system is not fully developed, even though there are ongoing efforts in this regard between the project and MINAM. Finalization of current monitoring tools are subject to the provisions of the new ABS Regulation. The project has nevertheless sought to progress with this output and has been able to secure four compliance reports on benefits sharing.



Figure 6. ABS Coordination Virtual Meeting, 11 June 2021

Table 3. Summary Progress of Project Outputs at the MTE

Outputs	Progress at MTE (%)	Details of Progress at MTE
<b>Outcome 01A: The ABS national mechanism operates in a coordinated manner, following unified criteria and taking into account monitoring and supervision.</b>		
<u>Output 1.a.1.</u> : Fully functional and coordinated ABS system using updated or new documentation and procedures adequate to the Nagoya Protocol (including PIC and MAT), including guides for users and providers, and exchanging information through the national ABS information platform and the ABS-CHM.	63.00%	Proposal of guidelines and formats for access management were developed providing clarity to procedures of evaluation of access to genetic resources' requests; guidelines on ABS procedures for users and public officers were developed and a guideline for identifying National Support Institutions was prepared; methodology to include an intercultural approach for communicational material was developed and implemented; achievement of average of 208 working days for granting an access contract; and good practices during the process of recording traditional knowledge have been identified.
<u>Output 1.a.2</u> Checkpoints set up along the different stages of the use of GRs and	46.67%	Guidelines for current check points were developed; and a second update of functionalities of a search system of traditional knowledge to monitor illegal access to

associated TK, and corresponding manuals prepared for these points		traditional knowledge associated to genetic resources. Implementation of other activities was limited by the current process of the update to the national ABS Regulation.
<u>Output 1.a.3</u> Cases of illegal access to wild, cultivated and hydrobiological genetic resources, including associated TK, prioritized, and registered by the National Commission against Biopiracy, as part of the measures of monitoring the utilization of genetic resources established by the Nagoya Protocol (Art. 17°)	72.5%	A software license was acquired for the use of the National Commission against Biopiracy resulting in an increased number of potential cases identified; reporting system for each verification point and document of defensive strategies partially developed.

**Outcome 01B: The national ABS system has reliable, timely and relevant information for benefit sharing negotiation strategies.**

<u>Output 1.b.1</u> Information on species (wild, cultivated and hydrobiological) containing genetic resources with potential for research and development activities, compiled and systematized in the platform GenesPeru, including distribution and conservation status	92.50%	List of 40 general prioritized species developed; the need to list species by sectorial needs was identified and led to the elaboration of a new list which includes 40 wild flora species with potential for research and development and a database that will be updated with information obtained from new analysis based on remaining sectors.
<u>Output 1.b.2.</u> Benefits derived from use of genetic resources and associated TK in on-going research and development projects, identified, classified, and assessed, strengthening the expertise of national authorities in this respect, and setting basis for future negotiations.	85.00%	Identified bottlenecks in administrative process and difficulties regarding negotiation process and limitations regarding the analysis of access contract negotiations that involve a contract with commercial purposes due to confidentiality factors. A draft guideline for negotiation has been elaborated in coordination with MINAM, including a proposed contract format, to be used by ABS authorities.

**Outcome 2A: Relevant actors from public, private, academic/scientific/ technical, society, and indigenous people, aware and with training on access to genetic resources and benefit sharing**

<u>Output 2.a.1.</u> Awareness raising activities (using existing informative materials, and new ones when needed) on the Nagoya Protocol directed towards government officials, academics, researchers, society, communicators, and general public.	91.67%	A Communication Strategy, awareness campaign including dissemination materials, and the project's corporate image were developed and implemented. Prior to the COVID 19 pandemic, the project delivered 13 in-person training sessions on benefit sharing negotiation and contracts, awareness events, and working groups; a diagnosis of the expectations and demands of indigenous peoples and peasant communities regarding ABS of traditional knowledge has been prepared and used to inform PIC and MAT processes and the update to the ABS Regulation; Under COVID 19 restrictions, the project organized a total of 22 events, mainly as virtual events due to the health measures regarding COVID-19, reaching a total of 3,149 people from all target groups, and with a female attendance of 59%.
<u>Output 2.a.2.</u> Interactive training modules on management of access to genetic resources and associated TK, based on the national law and the Nagoya protocol, each one designed and directed towards a specific target group: government officials, academic researchers, and entrepreneurs.	34.44%	Training module information was developed; update is required to link to new information provided under the framework of the updated national ABS Regulation; training program and interactive modules pending.
<u>Output 2.a.3</u> Intercultural training program oriented towards indigenous communities regarding ABS and TK, including gender equity criteria.	31.25%	Intercultural training module information developed; update is required to link to new information provided under the framework of the updated national ABS Regulation; intercultural training program and interactive modules pending.

<u>Output 2.a.4</u> Assistance for providers to promote and facilitate their negotiation capacity and for users to promote and achieve legal certainty in ABS contracts, in 3 ongoing initiatives under negotiation.	53.33%	The project offered technical support to providers to promote and facilitate their negotiation capacity and for users to promote and achieve legal certainty in ABS contracts, resulting in 3 initiatives now having MATs developed.
<b>Outcome 3: Conservation and sustainable use of local biodiversity is improved through interventions that will lead to a better and more efficient application of ABS measures in the country.</b>		
<u>Output 3.a.1.</u> Ongoing research and innovation project (perfumery and cosmetics) based on native genetic resources and associated traditional knowledge, supported by the project to comply with national ABS legislation and the Nagoya Protocol throughout the chain of research and development.	67.50%	Project identified and prioritized ongoing initiatives and projects and provided users with the support required to comply with the national ABS regulation during the different steps of the contract access process. Trainings were provided to public officers and national junior consultants; increased number of initiatives that fulfilled ABS requirements, obtaining access contracts, and understanding the importance of the ABS regulation.
<u>Output 3.a.2.</u> At least two on-going research projects (CosmoPeru-Molle fragrance and U of Copenhagen-Mauka) will be analyzed/monitored as a test for the national ABS monitoring system, serving as a learning experience for government officials.	30%	The required guideline and formats for the monitoring of ongoing research projects as a test of the national ABS monitoring system partially developed; finalization of current monitoring tools is subject to the provisions of the new ABS Regulation. The project has nevertheless sought to progress with this output and has been able to secure four compliance reports on benefits sharing.

### ***Achievement of Project Outcomes***

43. Consistent with the discussion presented in the reconstructed ToC at Evaluation, this section seeks to determine the extent to which the anticipated outcomes of the project are likely to be achieved, thus contributing to the intermediate states identified in the TOC and ultimately to the project’s intended impact. The progress of the outputs discussed above, coupled to the discussion and logic of the TOC at Evaluation, form the substantive basis upon which this assessment of achievement of direct outcomes is based. This assessment also considers the fact that some outcomes may rely on the collective delivery of multiple outputs or on one primary output, and that some outputs contribute to the delivery of multiple outcomes. This concept was described in the outputs to impact analysis in the reconstructed TOC.

**Outcome 01A: The ABS national mechanism operates in a coordinated manner, following unified criteria and taking into account monitoring and supervision.**

Two of the outputs directly contributing to this outcome have been substantially delivered at the MTE, with significant contribution to an ABS national mechanism which operates in a coordinated manner that is based on a unified criteria and considering monitoring and supervision. Guidelines and formats for access management have been developed providing clarity to procedures of evaluation of access to genetic resources’ requests, reduction in the number of working days for granting an access contract achieved, and an increased number of potential biopiracy cases identified. However, the third output (1.a.2) that is relevant for this outcome is delayed with 46.67% completion at the MTE, and refers to the development of manuals for checkpoints along the different stages of the use of GRs and associated TK. The outstanding activities to be completed are dependent on the adoption of the new ABS Regulation, which once adopted, will be easily completed.

**Outcome 01B: The national ABS system has reliable, timely and relevant information for benefit sharing negotiation strategies.**

44. The two outputs contributing to the delivery of this outcome have been substantially delivered at the MTE (92.5% and 85%). Significant progress has been made in the compilation and systematization of information on species containing genetic resources with potential for research and development activities. Bottlenecks in administrative process and difficulties regarding negotiation process and limitations regarding the analysis of access contract negotiations have been addressed through the development of a guideline for negotiations for the authorities, strengthening the expertise of national authorities in this respect, and setting a basis for future negotiations. This outcome is on track to be fully delivered.

**Outcome 2A: Relevant actors from public, private, academic/scientific/ technical, society, and indigenous people, aware and with training on access to genetic resources and benefit sharing.**

45. At the MTE, one of the outputs required to achieve this outcome has been substantially delivered (91.67%), two are substantially delayed (34.44% and 31.25%), and one delivered at a moderately satisfactory level (53.3%). Notwithstanding the outputs delayed, the two that have made important progress at the MTE are in fact the ones that may have the most influence on the delivery of the outcome. Awareness to actors from public, private, academic, scientific, technical, society, and indigenous people has been significantly implemented and some capacity in PIC, MAT and ABS negotiations has been built. The delays cited refer to training in management of access and intercultural training, both of which are dependent on the adoption of the new ABS Regulation, which once adopted, will be easily completed.

**Outcome 3: Conservation and sustainable use of local biodiversity is improved through interventions that will lead to a better and more efficient application of ABS measures in the country.**

46. At the MTE, one of the outputs needed for the delivery of this outcome has been satisfactorily achieved at 67.5% while the other is substantially delayed at 30% achieved. Research and innovation projects based on native genetic resources and associated traditional knowledge have been identified and prioritized and users provided with the support required to comply with the national ABS regulation during the different steps of the contract access process, public officers and national junior consultants have been trained, resulting in increased number of initiatives that fulfilled ABS requirements, obtaining access contracts, and understanding the importance of the ABS regulation. Even though the monitoring formats are delayed (dependent on adoption of new ABS Regulation), this outcome is well on its way to be achieved.

### ***Likelihood of Impact***

47. Assessment of likelihood of Impact was conducted using the tool provided by the Evaluation Office of UN Environment Programme as updated on December 12<sup>th</sup>, 2019. It is important to note that during the preparation of this report, the MTE Consultant was advised of the passing/adoption of the new

ABS Regulation on the 24<sup>th</sup> of July 2021. As noted above, the successful implementation of several activities and outputs are dependent on the passing of the new ABS Regulation. Now that this has been achieved, the outlook for the delivery of all outcomes, intermediate states and impacts has been substantially improved. Additionally, the institutionalization of ABS processes and mechanism that is so critical to the sustainability of the project's outcomes is much more feasible with an updated regulatory framework behind the institutionalization process.

48. At the MTE, the likelihood of impact is **'Likely'**. As indicated in the Likelihood of Impact Assessment Results in Table 4, drivers to support transition from Outputs to Project Outcomes are partially in place; assumptions for the change process from Outputs to Project Outcomes seem to hold; three of four project Outcomes (the most important to achieve intermediate states and impact as indicated in the TOC) have been substantially delivered and the remaining one with good chances of being fully delivered by the project's end; and the proportion and level of Intermediate States achieved at the MTR is significant, particularly due to the passing of the ABS Act of 2021, the online permitting system which integrates inter-institutional participation and uptake, and efforts to date to build public awareness of the new ABS Act, all of which put the project on track to deliver the anticipated impact, with the assumption that Outcomes 01B, 2A and 3 will be fully delivered by project's end.

*The overall rating for Effectiveness is 'Satisfactory'*

## **A. Financial Management**

49. At the MTE the project has successfully accounted for disbursements totaling US\$1,402,479.42, with total expenditures to date of US\$1,140,292.75 (See Annex 4). Disbursements for components 1 and 2 are 76.32% and 79.01%, respectively. While there is almost a linear relationship between level of disbursement and level of component delivery in the case of component 1, the same cannot be said for component 2. The latter is only 53% delivered with a high disbursement level of 79.01%, and actual expenditure is 66.64% of the total amount budgeted for that component. Component 3 disbursement is 29.61% of the total amount budgeted for that component and suggests greater efficiency in the use of project resources since this component is 49% delivered at the MTE. Of concern is the high level of expenditure for Project Management Cost (PMC) and Monitoring and Evaluation (M&E), being 85.29% and 70.31% of the total approved GEF budget, respectively at the MTE. This may have negative implications in terms of availability of funds for these two budget lines for the remainder of the project and may need to be supplemented by co-financing. Additionally, considering state-imposed restrictions on movement due to COVID-19, one would expect to see lower budgetary output for PMC and M&E, especially since very little if any PMC and M&E activities were conducted in the field.





50. Overall disbursements at the MTE are 64.04% of the total approved budget for the project. UNEP's approval of expenditures and provision of replenishments are evidence of compliance with required policies and procedures, even though UNEP has expressed concern over the untimely submission of reports from the project due to delays on the part of the fund manager, Profonanpe. There is no evidence of any issues in communication between the finance and project management staff; however, established administrative and check and balance processes within MINAM and Profonanpe have resulted in extended waiting times for payments to be approved and eventually processed. Profonanpe has recently introduced administrative changes and adjustments to its processes and is working to improve overall efficiency.

51. In terms of co-financing, there is no specific or comprehensive UNEP-endorsed tool to accurately account for project partners' counterpart contribution. In this regard, services, and provisions in-kind are monetized to determine dollar value. As per the Summary of Project Financing Status presented in Annex 5, total counterpart contribution estimated to date is US\$3,507,360.27, which is 39.31% of the total approved in the GEF Request for CEO Endorsement for the total project cycle. Assuming that this estimate is relatively accurate, counterpart contribution secured thus far has been extremely low or is the result of a procedural anomaly that will require the assistance of UNEP to be rectified before the project's terminal evaluation. Of note is the fact that no co-financing has been provided to either Project Management Cost or Monitoring and Evaluation. As per the approved GEF Request for CEO Endorsement, co-financing assigned to Project Management should be at least 1.97% of the total co-financing amount. Similarly, and based on the distribution in the GEF Request for CEO Endorsement, co-financing estimated for components 2 and 3 at the MTE is substantially lower than what is required.

*The overall rating for Financial Management is 'Moderately Satisfactory'*

## **B. Efficiency**

52. The project has faced numerous challenges and obstacles outside of its control including a presidential and judicial crisis in 2018, a constitutional crisis in 2019, a presidential crisis in 2020, the COVID-19 Pandemic in 2019-2020, and a new change of government in July 2021. At the level of the project, recruitment of the project team and the kick-off of activities suffered considerable delays associated with the change of government in Peru and the clarification of the project's operational arrangements, resulting in a 7-month process for the hiring of staff. The tripartite implementation/execution arrangement between UNEP, MINAM and Profonanpe required revisions, resulting in the need for work plan revisions and negatively impacted implementation progress, especially the time taken to review and approve project processes and deliverables due to sometimes conflicting procedures. Coupled to the above, is the resignation of the first Project Coordinator in December 2019 and the hiring of the current Project Coordinator in February 2020, resulting in a one-month period with no project coordinator. Probably two of the most significant challenges faced by the

project are the restrictions imposed by the state due to COVID-19 and the reliance of numerous project activities and several outputs on the outcome of the process to update the ABS Regulation.

53. The project has been efficient in its response to the many challenges faced. Since the hiring of the new Project Coordinator, the implementation of project activities has been sustained at an accelerated pace. The project's management in coordination with MINAM, was able to update procedures to expedite technical evaluation and internal administrative process and resulted in a reduction of delays for technical approval of Terms of reference and project deliverables. Awareness-raising and capacity building activities have been delivered for the most part virtually using the Zoom Platform to overcome COVID-19 travel restrictions, and the project has strategically focused on delivering those activities and outputs that are not hampered by the adoption of the new ABS Regulation. Additionally, the project has been very successful at promoting inter-institutional coordination among national ABS actors by facilitating the creation of a "National ABS Mechanism" composed of the Ministry of Environment (MINAM), the Forest Service (SERFOR), the National Agriculture Research Institute (INIA), the Ministry of Production (PRODUCE), and the National Institute for the Defense of Free Competition and the Protection of Intellectual Property (INDECOPI). This is a substantial achievement in making the processing of access to genetic resources much more efficient and accountable with all key players involved and will be critical for the institutionalization of streamlined ABS processes and the sustainability of project outcomes. Finally, the project has been efficient and effective in securing the political support for the adoption of the revised ABS Regulation, as was just announced during the preparation of this MTE Report. While overall, the project's efficiency is satisfactory at the MTE, there is still room for improvement in processing times for payments and reporting by Profonanpe and in the project's delivery of awareness and capacity building to indigenous communities in the field.

*The overall rating for Efficiency is 'Satisfactory'*

### **C. Monitoring and Reporting**

54. The project's primary monitoring tools are the Results Framework and the Annual Work Plans. The Results Framework capture the key elements of the project's intervention logic, there are 'SMART' indicators at the outcome level, mid-term and end of project targets are realistic and measurable, and the overall framework reflect the project's scope of work and ambitions. Monthly reports are produced by the PMU for MINAM and technical and financial reports every trimester for Profonanpe. Additionally, Half Yearly Reports and Project Implementation Reports are produced by the PMU for UNEP. UNEP has expressed concern over delays in the submission of reports, primarily due to delay in the availability of the financial reports from Profonanpe. While all required reports are prepared and technical reports are on time, there is no evidence of the inputs of the Project Steering Committee (PSC) in the 'monitoring function' of project implementation. The PSC in all GEF-financed projects, should have a decisive role in project governance and monitoring. Project reports are not seen, reviewed, or vetted by the PSC before they are submitted to UNEP. The lack of a governance role for the PSC results in the PSC performing more

of a technical role and less of a ‘steering and governance’ role in support of project management. This latter observation is a project governance issue that requires the attention of both UNEP and MINAM.

*The overall rating for Monitoring and Reporting is ‘Moderately Satisfactory’*

## D. Sustainability

55. **Socio-political.** A sustainability, replication and upscaling strategy are available for the project. Political will is a key factor that may influence either positively or negatively the sustenance of project results and progress towards impacts, especially with each change of government/political party in the country. Political and social buy-in and support is required for functionality and uptake, beyond the adoption of the revised ABS Regulation. Currently, political support is apparently stable but unpredictable; social support needs strengthening through an intensification of awareness and capacity building in rural communities.

56. **Financial.** The extent to which the continuation of project results and the eventual impact of the project are dependent on financial resources will be intimately linked to whether ABS implementation has been streamlined into government processes and is generating the revenues and other benefits anticipated. This is dependent on sustained political support, beyond the adoption of the revised ABS Regulation.

57. **Institutional.** Institutionalization is influenced by socio-political and financial sustainability listed above. Institutionalization refers to institutions of government, non-government, and private sector. The ‘National ABS Mechanism’ has done exceptionally well in securing support for ABS implementation among government institutions; capacity building being provided to the private sector increases the outlook for private sector support and involvement; and the intensification of awareness and capacity building in rural communities will secure participation and support from the civil society, and in particular from women indigenous organizations who have explicitly expressed support for the project and call for more capacity building in the field.

*The overall rating for Sustainability is ‘Moderately Likely’*

## IV. Conclusions and Recommendations

### A. Conclusions

58. The project “Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol” (GEF Project ID: 80254/UNEP Project ID: 01345), seeks to conserve biological and genetic resources of Peru in compliance with the Nagoya Protocol (NP), by addressing weak legal and institutional framework to manage ABS, scarcity of knowledge of relevant stakeholders on access and utilization of genetic resources and Fair Benefit Sharing, and weak experience in applying ABS mechanisms to access and manage GRs and associated Traditional Knowledge.

59. To achieve the project’s objectives, the overall intervention strategy consists of three technical components, with eleven (11) planned ‘Outputs’ all contributing to four (4) ‘Outcomes’, distributed across the three components. At the MTE, the project has delivered a substantial amount of public awareness and outreach, even amidst the COVID-19 restrictions. Over 87 training, awareness and outreach events have been held by the project reaching over 5,461 persons. Some of the other key successes of the project include guidelines and formats for access management, guidelines on ABS procedures for users and public officers, guidelines for check points for the different stages of the use of GRs and associated TK, update of functionalities of a search system of traditional knowledge to monitor illegal access to traditional knowledge associated to genetic resources, increased identification of biopiracy cases, list of 40 prioritized species systematized, a draft guideline for contract negotiations, a Communication Strategy, PIC and MAT processes upgraded within the context of the revised ABS Regulation, 3 initiatives with MATs developed, and the project’s efforts have resulted in increased number of initiatives that fulfilled ABS requirements, obtaining access contracts, and understanding the importance of the ABS regulation.

60. Though substantially advanced and with good progress, the project has not completed all required outputs to ensure the ABS national mechanism operates in a coordinated manner, following a unified criteria and considering monitoring and supervision or that the national ABS system has reliable, timely and relevant information for benefit sharing negotiation strategies. To fully deliver these results, the project needs to develop guidelines for officials, users, and providers with an emphasis on PIC and MAT, officially translate the standards and guidelines, and systematize experiences and good verification points practices, updating of the guidelines, sector procedures, and proposed methods for the negotiation of benefits and their impact on the distribution of benefits within the context of the revised ABS Regulation. Similarly, there is work to be done to fully train all relevant actors (public, private, academic, and indigenous communities) on access to genetic resources and benefit sharing. Activities pending are linked to the design and development of the ABS training modules for the target groups, including the intercultural program the ones aimed at indigenous peoples. A system of orientation to providers on the valuation of genetic resources and traditional knowledge also needs to be developed and implemented. The required guideline and formats for the monitoring of ongoing research projects as a test of the national ABS monitoring system is not fully developed and will be influenced by the adoption of the revised ABS Regulation.

61. The project has made strides in engaging and addressing the interests of the private sector. Advisory support on the ABS regime was provided to the Exporters Association (ADEX) and the company COSMOS. With project support, from a 0% of granted contracts with ICC notified in ABS -CHM (at baseline), to 29 out of 33 contracts granted to date. Because of the project’s interventions, the time taken

to process access request until granting an access contract has moved from a typical 180 - 720 working days to an average of 208 working days. Preliminary training in the ABS procedures, PIC and MAT has also been offered to the private sector.

62. In terms of environmental and social safeguards (ESS), there is no systematic monitoring of ESS by the project, other than brief statements in the PIRs. One safeguard requirement, stakeholder participation, has been substantially addressed as mentioned above through an extensive awareness and engagement strategy. Gender mainstreaming by the project has focused at the proportion of participants that are women in training and events, organizing events at times suitable for women, and encouraging inter-generational participation in trainings, consultations and outreach campaigns. The project has achieved an average women participation of 59% at project-sponsored events.

63. The project has made significant progress towards the achievement of Outcomes 01A and 01B, satisfactory progress in delivering Outcome 2A, and moderate progress in delivering Outcome 3. Three of four project Outcomes (the most important to achieve intermediate states and impact as indicated in the TOC) have been substantially delivered and the remaining one with good chances of being fully delivered by the project's end. The Reconstructed TOC confirms that the project is following a robust theory of change with appropriately formulated outputs, direct outcomes, intermediate states, and long-term results. The outcome indicators are verifiable and appropriate for recording progress towards the achievement of the development objectives. Assessment of the drivers, assumptions for the change processes, delivery of the most significant outcomes, and the proportion of intermediate states achieved at the MTE all suggest that the likelihood of impact is **'Likely'**.

64. The project has benefitted from strong government commitment through the leadership and direction of MINAM, and from a productive and competent project management team. The project has been successful in securing inter-institutional participation on the Project Steering Committee and for the development of the revised ABS Regulation, which was adopted on 24<sup>th</sup> July 2021, during the development of this MTE Report. The inter-institutional coordination achieved by the project is unprecedented and will be critical to the institutionalization and sustainability of project outcomes. The project has been very efficient in resolving obstacles including adverse political and operational circumstances, change of National Project Coordinator, the impacts of COVID-19 with instated restrictions on physical meetings and visits to field sites and for engaging with indigenous communities. MINAM and the Project Management Team must be commended for an exemplary display of commitment and leadership in ensuring significant change from minimal delivery in project years 1 and 2, to significant and impressive delivery of project outputs and outcomes at the MTE. The overall rating of the project's performance is **'Satisfactory'** and the summary ratings and assessment are presented in Table 5.

Table 5: Summary Assessment and Rating

Criterion	Summary Assessment	Rating
<b>A. Strategic Relevance</b>		<b>HS</b>
<i>1. Alignment to UNEP's MTS, POW and strategic priorities</i>	In terms of UN Environment MTS and POW, the project is aligned with, and shows clear contributions to Ecosystem Management (expected accomplishment A) and Environmental Governance (expected accomplishment B and C). The project, however, is deficient in its articulation of linkages to the Bali Strategic Plan and to South-South Cooperation.	S
<i>2. Alignment to Donor/GEF/Partner strategic priorities</i>	The project complies fully with the GEF-6 BD-3 Objective: Sustainably use biodiversity, through Programme 8 (Implement the Nagoya Protocol of ABS). The project aligns specifically to Aichi Targets, 2, 16 and 17.	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	The Project is consistent and falls within the framework of policies, strategies, and national legislation in matters of biodiversity and genetic resources. The National Strategy on Biological Diversity (approved by Supreme Decree N° 102-2001-PCM of 2001), and Regional Strategy for Biological Diversity for Countries in the Andean Community (Decision 523 of CAN of 2003).	HS
<i>4. Complementarity with existing interventions</i>	The project shows complementarity with other GEF-UNEP projects at the national and regional levels, as well as with the GIZ Capacity Development Initiative.	HS
<b>B. Effectiveness</b>		<b>S</b>
<i>1. Availability of outputs</i>	At the MTE the project has delivered 7 of 11 outputs at a rate >50%. Most activities pending under the remaining 4 outputs are linked to the adoption of the revised ABS Regulation.	S
<i>2. Achievement of project outcomes</i>	The project has made significant progress towards the achievement of Outcomes 01A and 01B, satisfactory progress in delivering Outcome 2A, and moderate progress in delivering Outcome 3. Three of four project Outcomes have been substantially delivered and the remaining one with good chances of being fully delivered by the project's end.	S
<i>3. Likelihood of impact</i>	Assessment of the drivers, assumptions for the change processes, delivery of the most significant outcomes, and the proportion of intermediate states achieved at the MTR all suggest that the likelihood of impact is 'Likely'.	L
<b>C. Financial Management</b>		<b>MS</b>
<i>1. Adherence to UNEP's policies and procedures</i>	UNEP's approval of expenditures and provision of replenishments are evidence of compliance with required policies and procedures.	S
<i>2. Completeness of project financial information</i>	Co-financing information is incomplete and does not follow a standardized procedure that was developed with the endorsement of UNEP. UNEP has also expressed concern over the tardiness of some reports.	MS
<i>3. Communication between finance and project management staff</i>	Better communication between the finance and project management staff and UNEP could have addressed challenges in the reporting of co-staff	MS

Criterion	Summary Assessment	Rating
	financing in a timely manner. There is no evidence of error in communications.	
<b>D. Efficiency</b>	The project has been efficient in its response to the many challenges faced. Since the hiring of the new Project Coordinator, the implementation of project activities has been sustained at an accelerated pace. While overall, the project's efficiency is satisfactory at the MTE, there is still room for improvement in processing times for payments and reporting by Profonanpe and in the project's delivery of awareness and capacity building to indigenous communities in the field.	<b>S</b>
<b>E. Monitoring and Reporting</b>		<b>S</b>
<i>2. Monitoring of project implementation</i>	The Results Framework capture the key elements of the project's intervention logic, indicators are 'SMART' and mid-term and end of project targets are realistic and measurable. There is no evidence of the inputs of the Project Steering Committee (PSC) in the 'monitoring function' of project implementation.	S
<i>3. Project reporting</i>	Half Yearly Reports, Project Implementation Reports, Financial Reports, and independent Audit Reports are prepared and submitted to UNEP, though sometimes tardy. Those reports are not seen, reviewed, or vetted by the PSC before they are submitted to UNEP.	S
<b>F. Sustainability</b>		<b>ML</b>
<i>1. Socio-political sustainability</i>	A specific sustainability, replication or upscaling strategy is not available for the project. Political and social buy-in and support is required for functionality, beyond the enactment of ABS legislation by parliament. Currently, political support is apparently stable but unpredictable, social support needs strengthening.	ML
<i>2. Financial sustainability</i>	The continuation of project results and the eventual impact of the project are dependent on whether ABS implementation has been streamlined into government processes and is generating the revenues and other benefits anticipated. This is dependent on sustained political support, beyond enactment of the legislation.	ML
<i>3. Institutional sustainability</i>	Institutionalization is influenced by socio-political and financial sustainability listed above. Institutionalization refers to institutions of government, non-government, and private sector. The 'National ABS Mechanism' has done exceptionally well in securing support for ABS implementation.	L
<b>G. Factors Affecting Performance and Cross-Cutting Issues<sup>1</sup></b>		<b>S</b>
<i>1. Preparation and readiness</i>	Barriers are identified, solutions defined, and summary problem statement provided. Logical pathways, drivers and assumptions are presented. Indigenous people identified, but no Gender Action Plan.	S

<sup>1</sup>While ratings are required for each of these factors individually, they should be discussed within the Main Review Report as cross-cutting issues as they relate to other criteria. Note that catalytic role, replication and scaling up are expected to be discussed under effectiveness if they are a relevant part of the TOC.

Criterion	Summary Assessment	Rating
2. <i>Quality of project management and supervision</i> <sup>2</sup>	Project Management is of a satisfactory quality, especially since the hiring of the current Project Coordinator. The Executing Agency (MINAM) and the Project Management Team have put the project back on track, despite challenges of procedural uncertainty, political instability, and COVID-19.	S
3. <i>Stakeholders' participation and cooperation</i>	At the MTE, the project has delivered a substantial amount of public awareness and outreach, even amidst the COVID-19 restrictions. Over 87 training, awareness and outreach events have been held by the project reaching over 5,461 persons. The inter-institutional coordination achieved by the project is unprecedented and will be critical to the institutionalization and sustainability of project outcomes	HS
4. <i>Responsiveness to human rights and gender equity</i>	Gender mainstreaming by the project seems to be restricted to proportion of participants that are women in training and events, with the project highlighting the average women participation at project-sponsored events being 59%. No comprehensive gender mainstreaming exists.	MS
5. <i>Environmental, social, and economic safeguards</i>	In terms of environmental and social safeguards (ESS), there is no systematic monitoring of ESS by the project, other than brief statements in the PIRs. One safeguard requirement, stakeholder participation, has been substantially addressed as mentioned above through an extensive awareness and engagement strategy. Substantial engagement and capacity building to indigenous communities have been hampered by COVID-19 restrictions.	MS
6. <i>Country ownership and drivenness</i>	This has been significant with optimum government support as evidenced by the direction and leadership of MINAM and the adoption of the ABS Regulation in July 2021.	S
7. <i>Communication and public awareness</i>	The project produced a Communication Strategy and invested substantially in communication and awareness.	S
<b>Overall Project Rating</b>		<b>S</b>

## B. Lessons Learned

65. This project has demonstrated the need for dedicated full-time staff specific to the project to ensure timely and quality dedication to the implementation, reporting and quality control needs of the project.

66. Institutional leadership and competent staff are indispensable to the successful development of project processes and ultimately, the delivery of project outputs and outcomes.

<sup>2</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as the Implementing Agency.



67. The lack of a TOC and ‘output to outcome’ analysis during the project design resulted in lost opportunities to better test project assumptions and drivers, which would have provided valuable data to inform and refine project implementation strategies and approach.
68. The lack of a Gender Action Plan during project design resulted in limited efforts to truly mainstream gender perspectives into ABS processes, tools, manuals, legislation, and opportunities to access benefits from genetic resources in a structured manner.
69. The reliance of key project outputs on a one single activity is a risky strategy for project implementation. The heavy reliance on the adoption of the revised ABS Regulation has hampered progress across all project components. This is an important lesson for future project design and project implementation timeline, and a lesson to be taken seriously in developing the Theory of Change early in project design.
70. Awareness, outreach, and capacity building using virtual means cannot be taken for granted, especially where rural and indigenous communities are involved. Poor internet connectivity and limited capacity of rural residents to manage computer equipment and the online platforms can render capacity building efforts ineffective.
71. Stakeholders buy-in and support needed for the institutionalization of the project’s outcomes and to ensure sustainability cannot be taken for granted and must be continuously nurtured. In the absence of stakeholder buy-in, the management of genetic resources will be restricted to the ABS Regulation of July 2021, as a ‘command and control’ approach with difficulties to implement and with consequences for both resources and society.

### **C. Recommendations**

72. Immediately apply a Knowledge, Attitudes and Practices (KAP) survey and to be repeated just before the project’s end, to determine the true level of knowledge of ABS, the ABS Regulation of 2021, benefits to be accrued, and the application of PIC and MAT principles in practices to access genetic resources among all project actors, including indigenous communities.
73. MINAM, Project Management and UNEP should develop a procedure or tool to correctly estimate and report counterpart contribution, consistent with the expectations and spirit of the GEF Co-financing Policy.
74. As part of the project’s Exit Strategy, prioritize the sustained engagement with institutions in the National ABS Mechanism to ensure smooth institutionalization and uptake of project outcomes within the context of the revised ABS Regulation.

75. The project should seek to maximize engagement with the private sector for the remainder of the project as a critical investment in the future sustainability of project outcomes.
76. Prioritize capacity building in the field including at the level of indigenous communities and women organizations on the ABS procedures and guidelines within the context of the revised ABS Regulation to support and facilitate implementation.
77. Mainstream gender in all pending project activities and products from the perspective of structure, content, delivery, and participation.
78. Identify relevant Environmental and Social Safeguard indicators in the UNEP ESS Screening Form that was completed for the project and select, monitor, and report on them in Half Yearly Reports and in the PIR.
79. The project's original technical completion date of September 15<sup>th</sup>, 2021, is unrealistic, considering the seven months delay at the beginning and subsequent delays caused by COVID-19 and by the process to adopt the revised ABS Regulation. As described above, there are substantial work to be done to fully deliver the project outcomes, the intermediate state, and ultimately the desired impact. There is still 36% of the project's budget available for disbursement, even though PMC and M&E have been almost totally consumed. A project extension of 12 – 15 months may be necessary. However, UNEP and MINAM may need to devise a strategy for covering PMC and M&E costs during the extension period.
80. For all future design of projects, it is crucial to include a detailed Theory of Change analysis, which thoroughly assesses assumptions and drivers, to allow for early identification of possible intermediate states and alternative outcome to impact pathways, thus allowing for a more diverse identification of project implementation strategies. This will allow for a more effective and efficient project implementation, the strategic positioning of key project drivers, an elimination of unrealistic assumptions, and a minimization of overall project risks.

## Annex 1: Mid Term Review TORs

### TERMS OF REFERENCE

#### Mid-Term Review of the UN Environment/Global Environment Facility project

#### Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

#### Project General Information

**Table 1. Project summary**

<p><b>Sub-programme:</b></p>	<p>Subprogramme 3 – Healthy and productive ecosystems</p> <p>Subprogramme 4 – Environmental governance</p>	<p><b>Expected Accomplishment(s):</b></p>	<p>The project complies fully with the GEF-6 BD-3 Objective: Sustainably use biodiversity, through Programme 8 (Implement the Nagoya Protocol of ABS). Specifically, GEF support will result in the establishment and reinforcement of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya Protocol, as stipulated in the GEF-6 Biodiversity strategy. Furthermore, the project is also aligned with national policy related to Biodiversity and ABS.</p>
<p><b>UN Environment approval date:</b></p>		<p><b>Programme of Work Output(s):</b></p>	

<b>GEF project ID:</b>	GEF ID 8025	<b>Project type:</b>	Full Size Project	
<b>GEF Operational Programme #:</b>	GFL-11207-14AC0003-SB-008505	<b>Focal Area(s):</b>	Biodiversity	
<b>GEF approval date:</b>	09/06/2017	<b>GEF Strategic Priority:</b>	BD-3 Sustainably use biodiversity, Programme 8 (Implement the Nagoya Protocol of ABS)	
<b>Expected start date:</b>	16/02/2018	<b>Actual start date:</b>	N/A	
<b>Planned completion date:</b>	16/09/2021	<b>Actual completion date:</b>	N/A	
<b>Planned project budget at approval:</b>	2,190,000	<b>Actual total expenditures reported as of 30 de September:</b>	30/09/2020	
<b>GEF grant allocation:</b>	2,190,000	<b>GEF grant expenditures reported as of 30 de September:</b>	665,414.42	
<b>Project Preparation Grant - GEF financing:</b>		<b>Project Preparation Grant - co-financing:</b>		
<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	8,921,778.23	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	N/A	
<b>First disbursement:</b>	07/03/2018	<b>Date of financial closure:</b>	N/A	
<b>No. of revisions:</b>	0	<b>Date of last revision:</b>		
<b>No. of Steering Committee meetings:</b>	4	<b>Date of last/next Steering Committee meeting:</b>	<b>Last:</b> 24/06/2020	<b>Next:</b>
<b>Mid-term Review/ Evaluation (planned date):</b>		<b>Mid-term Review/ Evaluation (actual date):</b>		
<b>Terminal Evaluation (planned date):</b>	N/A	<b>Terminal Evaluation (actual date):</b>	N/A	
<b>Coverage - Country(ies):</b>	Perú	<b>Coverage - Region(s):</b>	Latin America	
<b>Dates of previous project phases:</b>	N/A	<b>Status of future project phases:</b>	N/A	

### **Project rationale<sup>3</sup>**

A baseline analysis of the scenario with regards to access to genetic resources in Peru resulted in the identification of several gaps that prevent Peru from fully implementing and complying with the Nagoya Protocol on Access and Benefit Sharing of Genetic Resources. As such, the rationale for GEF support is to provide incremental resources to support the integration of strategic elements that establish and reinforce the institutional, regulatory, policy and operational framework to create a robust system that enables proper implementation and compliance with the NP and fulfil its objectives at the national level.

GEF support is also fundamental for leveraging co-financing in short and medium-term timeframes. The project is coordinating with ongoing and upcoming programs to foster proper support and synergies with complementary activities. As such, the project will generate sustained support over time that will benefit and facilitate the different planned activities, ultimately ensuring Peru's compliance with the Nagoya Protocol over the long-term.

The project complies fully with the GEF-6 BD-3 Objective: Sustainably use biodiversity, through Programme 8 (Implement the Nagoya Protocol of ABS). Specifically, GEF support will result in the establishment and reinforcement of legal and regulatory frameworks, and administrative procedures that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya Protocol, as stipulated in the GEF-6 Biodiversity strategy. Furthermore, the project is also aligned with national policy related to Biodiversity and ABS, as described below in Section 3.6.

### **Project objectives and components**

#### **Project Objective:**

Strengthen national capacities for effective implementation of the access to genetic resources (ABS) and traditional knowledge (TK) regimes in accordance with the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the country.

#### **Project Components:**

##### **Component 1. Effective functioning of national ABS system, in agreement with Nagoya Protocol**

**Outcome 1.a:** The ABS national mechanism operates in a coordinated manner, following unified criteria and taking into account monitoring and supervision.

**Output 1.a.1.:** *Fully functional and coordinated ABS system using updated or new documentation and procedures adequate to the Nagoya Protocol (including PIC and MAT), including guides for users and providers, and exchanging information through the national ABS information platform and the ABS-CHM.*

**Output 1.a.2** *Checkpoints set up along the different stages of the use of GRs and associated TK, and corresponding manuals prepared for these points*

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<sup>3</sup> Legend: Grey =Info to be added

*Output 1.a.3 Cases of illegal access to wild, cultivated and hydrobiological genetic resources, including associated TK, prioritized and registered by the National Commission against Biopiracy, as part of the measures of monitoring the utilization of genetic resources established by the Nagoya Protocol (Art. 17°)*

**Outcome 1.b:** The national ABS system has reliable, timely and relevant information for benefit sharing negotiation strategies.

*Output 1.b.1 Information on species (wild, cultivated and hydrobiological) containing genetic resources with potential for research and development activities, compiled and systematized in the platform Peru Gen, including distribution and conservation status.*

*Output 1.b.2. Benefits derived from use of genetic resources and associated TK in on-going research and development projects, identified, classified and assessed, strengthening the expertise of national authorities in this respect, and setting basis for future negotiations.*

The first component seeks to achieve an efficient and integrated national access system for ABS that operates in a coordinated manner, based on full compliance and integration of functions of the governing entity, national authorities and institutions with competence in the matter. The project will elaborate tailored guidelines towards unified criteria, improvement of administrative procedures, and participatory construction and/or adaptation of already existing tools for management procedures to be aligned with the Nagoya Protocol (forms, models, guides, model contractual clauses, etc.). The purpose is to strengthen legal and institutional capacities to guarantee judicial security in negotiation between users and providers, throughout the access chain for research and development: granting of prior informed consent, mutually agreed terms for product negotiation, granting of permits for access, international certification, establishment of verification points, fair benefit sharing, as well as capacity building on defensive strategies in case of unlawful access to genetic resources and associated traditional knowledge.

## **Component 2. Capacity building of relevant actors in relation to Access to genetic resources and traditional knowledge**

**Outcome 2.a.:** Relevant actors from public, private, academic/scientific/ technical, society, and indigenous people, aware and with training on access to genetic resources and benefit sharing

*Output 2.a.1. Awareness raising activities (using existing informative materials, and new ones when needed) on the Nagoya Protocol directed towards government officials, academics, researchers, society, communicators and general public.*

*Output 2.a.2. Interactive training modules on management of access to genetic resources and associated TK, based on the national law and the Nagoya protocol, each one designed and directed towards a specific target group: government officials, academic researchers and entrepreneurs.*

*Output 2.a.3 Intercultural training program oriented towards indigenous communities regarding ABS and TK, including gender equity criteria.*

*Output 2.a.4 Assistance for providers to promote and facilitate their negotiation capacity and for users to promote and achieve legal certainty in ABS contracts, in 3 ongoing initiatives under negotiation.*

The second component seeks to generate and strengthen awareness of society regarding the importance of the Nagoya Protocol and national legislation on access of genetic resources and associated traditional knowledge, as an integral part of the country's natural and cultural heritage, and as a mechanism to combat biopiracy. The project seeks to strengthen capacity of key actors (government officials, academics, researchers, innovators, entrepreneurs and indigenous people) in relation to access to genetic resources and associated traditional knowledge, and to develop skills in the use of procedures and tools from the national ABS system.

### **Component 3. Projects and initiatives on ABS contributing to conservation and sustainable use of biological diversity**

Outcome 3.a.: Conservation and sustainable use of local biodiversity is improved through interventions that will lead to a better and more efficient application of ABS measures in the country.

*Output 3.a.1. Ongoing research and innovation project (perfumery and cosmetics) based on native genetic resources and associated traditional knowledge, supported by the project to comply with national ABS legislation and the Nagoya Protocol throughout the chain of research and development.*

*Output 3.a.2. At least two on-going research projects (CosmoPeru-Molle fragrance and U of Copenhagen-Mauka) will be analyzed/monitored as a test for the national ABS monitoring system, serving as a learning experience for government officials.*

The third component seeks to encourage research and innovation projects and initiatives based on native genetic resources and associated traditional knowledge (the pilot for this is perfumery and cosmetics), to comply with national ABS legislation and the Nagoya Protocol throughout the chain of research and development. It also completes the cycle by putting to test the national ABS monitoring system by analysing / monitoring at least two on-going research projects, serving as a learning experience for government officials.

### **Executing Arrangements**

The overall project supervision is the responsibility of UNEP; and project execution at a national level will be responsibility of the Ministry of Environment of Peru (MINAM) as the project's EA. Along the same lines, UNEP's Task Manager (TM) will provide support and work closely with EA's personnel, who will carry out all project management related issues.

The Task Manager for this project is stationed in Panama and remains in constant communication with the Project Manager and the project team during its execution period. Moreover, the UNEP TM is also in contact with other project partners through steering committee meetings. The project

management unit (PMU) is based in MINAM’s office, in Lima, where local personnel possess great experience in ABS interventions, which is an asset for proper project implementation and backstopping. The PMU is composed of a Project Coordinator, a Technical Assistant, and a Financial Assistant. Recruitment of additional technical expertise was foreseen in 2020, but was eventually postponed due to Covid-19.

As for execution arrangements, Profonanpe acts as the Fund Management Agency as per a tripartite legal agreement with MINAM and UNEP. The PMU builds on support from MINAM’s local ABS team, who provide technical support and backstopping to the project staff. Local and international consultants are hired to support project execution.

The Project has mobilized a Steering Committee (SC). In practical terms the SC is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. Conclusions and recommendations produced by the SC are taken into consideration by UNEP and the PM to improve implementation strategies, annual work plans and resources allocation budget and, when necessary, to adjust the project’s Result Framework. This committee meets every six months, either physically or virtually.

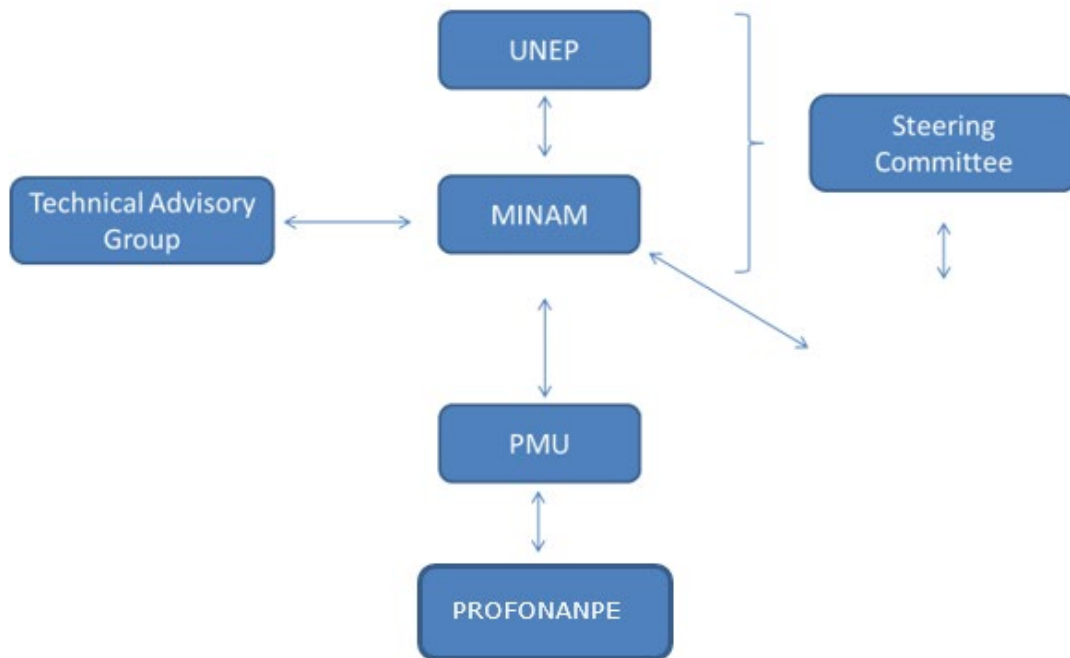


Fig. Project organisation arrangements



## Project Cost and Financing

The project falls under the full-size project (FSP) category, with an overall project budget of USD 11,111,778.23, made up of a GEF allocation of USD 2,190,000 and co-financing support of USD 8,921,778.23 from various partners, both in cash and in-kind. The co-financing consists of USD 8,921,778.23 from various institutions of the Government of Peru and USD 350,000 from UN Environment. The table below shows the itemised budget by component and funding source.

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Cofinancing
BD-3 Sustainably use biodiversity, Programme 8 (Implement the Nagoya Protocol of ABS)	Outcome 8.1: Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the provisions of the Nagoya Protocol	GEFTF	2,190,000	8,921,778.23
Total project costs			2,190,000	8,921,778.23

Project Components	(in \$)	
	GEF Project Financing	Co-financing

1. Efficient functioning of ABS mechanisms in accordance with the Nagoya Protocol	753,100	3,040,074
2. Capacity building of relevant actors in relation to access to genetic resources and traditional knowledge	529,766	3,401,035
3. Projects and initiatives on ABS, contributing to conservation and sustainable use of biological diversity	677,850	1,485,255.23
Monitoring & Evaluation	125,000	819,113
Subtotal	2,085,716	8,745,477.23
PCM	104,284	176,301
<b>Total Project Cost</b>	<b>2,190,000</b>	<b>8,921,778.23</b>

### Implementation Issues

- The project encountered a 6-month delay (approximately) at the beginning of the implementation of activities (when Project Management Unit was hired). Nonetheless, PMU reorganized activities to ensure there's room for pragmatic catch up.
- Limited human resources and high technical and administrative burden reduced effectivity of PMU during the first year. In response, workplan was updated and new staff's members were added to the team.
- Since October 2018, MINAM has been carrying out a process to update the ABS national regulation. Because of this, authorities reduced efforts related to the implementation of the project, while waiting for the approval of the modified regulation. However, PMU identified and prioritized activities that ensure the improvement of procedures (especially those maintained in the proposal of the modified regulation).
- Due to COVID-19, authorities' priorities changed, and activities (workshops, meetings, trips) were limited and delayed. PMU modified strategies in order to reach virtually identified target groups and to reallocate budget accordingly.

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

### Key Review Principles

1. Review findings and judgements should be based on **sound evidence and analysis**, clearly documented in the review report. Information will be triangulated (i.e., verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

2. **The “Why?” Question.** As this is a Mid-term Review particular attention should be given to identifying implementation challenges and risks to achieving the expected project objectives and sustainability. Therefore, the “*Why?*” question should be at the front of the consultants’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultants need 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. This should provide the basis for the lessons that can be drawn from the project.

3. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the reviewers should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It 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, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the reviewers, along with any simplifying assumptions that were taken to enable the reviewer to make informed judgements about project performance.

4. **Communicating review results.** A key aim of the review is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. There may be several intended audiences, each with different interests and needs regarding the report. The PMU will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key review findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation. Draft and final versions of the Main Review Report will be shared with key stakeholders by the PMU and a copy of the final version will be submitted to the UN Environment Evaluation Office.

### Objective of the Review

5. In line with the UN Environment Evaluation Policy<sup>4</sup> and the UN Environment Programme Manual<sup>5</sup>, the Mid-Term Review (MTR) is undertaken approximately half way through project implementation to analyse whether the project is on-track, what problems or challenges the project is encountering, and what corrective actions are required. The MTR will assess project performance to date (in terms of relevance, effectiveness and efficiency), and determine the likelihood of the project achieving its intended outcomes and impacts, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN and Environment and Ministry of Environment of Perú Therefore, the review will identify lessons of operational relevance for future project formulation and implementation (especially for the remainder of the project).

### Key Strategic Questions

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<sup>4</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPevaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>5</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf). *This manual is under revision.*

6. In addition to the evaluation criteria outlined in Section 10 below, the review will address the **strategic questions** listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

- To what extent is the project following a robust theory of change with appropriately formulated outputs, direct outcomes, intermediate states and long-term results? What revisions are required to ensure that the intervention can be effectively evaluated at the end of its cycle? This includes consideration of whether the outcome indicators are verifiable and appropriate for recording progress towards the achievement of the development objectives
- How well is the piloting component embedded in a process of documenting a ‘model’ that could be replicated and scaled up?

Under the assessment of Effectiveness, attention should be paid to lessons that can be derived from the following questions:

- What progress has been made in achieving an effective ABS system?
- What lessons learnt and improvement recommendations can be identified?
- What level of progress has been made towards the mid-term targets in the project results framework and the GEF BD, CC and SFM Tracking Tools?

#### Evaluation Criteria

7. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the achievement of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The reviewer(s) can propose other review criteria as deemed appropriate.

#### Strategic Relevance

8. The review will assess, in line with the OECD/DAC definition of relevance, ‘the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor’. The review will include an assessment of the project’s relevance in relation to UN Environment’s mandate and its alignment with UN Environment’s policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UN Environment Medium Term Strategy<sup>6</sup> (MTS) and Programme of Work (POW)*

The review should assess the project's alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. *Alignment to UN Environment /GEF/Donor Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>7</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

The review will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

*Factors affecting this criterion may include:* stakeholders' participation and cooperation; responsiveness to human rights and gender equity and country ownership and driven-ness.

## Quality of Project Design

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<sup>6</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>7</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

9. The quality of project design is assessed using an agreed template during the review inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. This overall Project Design Quality rating is entered in the final review ratings table as item B. In the Main Review Report a summary of the project's strengths and weaknesses at design stage is included.

*Factors affecting this criterion may include (at the design stage):* stakeholders' participation and cooperation and responsiveness to human rights and gender equity, including the extent to which relevant actions are adequately budgeted for.

#### C. Nature of External Context

10. At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable and unexpected external operating context, the overall rating for Effectiveness may be increased at the discretion of the Review Consultant, Project Coordinator and Task Manager together. A justification for such an increase must be given.

#### D. Effectiveness

11. The review will assess effectiveness across three dimensions: achievement of outputs, achievement of direct outcomes and likelihood of impact.

##### Achievement of Outputs

The review will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, a table should be provided showing the original formulation and the amended version for transparency. The achievement of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their usefulness and the timeliness of their delivery. The review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

*Factors affecting this criterion may include: preparation and readiness and quality of project management and supervision*<sup>8</sup>.

**i. Achievement of Direct Outcomes**

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed<sup>9</sup> Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The review should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

*Factors affecting this criterion may include: quality of project management and supervision; stakeholders' participation and cooperation; responsiveness to human rights and gender equity and communication and public awareness.*

**ii. Likelihood of Impact**

Based on the articulation of longer-term effects in the reconstructed TOC (i.e., from direct outcomes, via intermediate states, to impact), the review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the EOU website, [web.unep.org/evaluation](http://web.unep.org/evaluation) and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

12. The review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>10</sup>

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<sup>8</sup> In some cases, 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<sup>9</sup> UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

<sup>10</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

13. The review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>11</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the review will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>12</sup> and/or the high-level results prioritised by the funding partner.

*Factors affecting this criterion may include:* quality of project management and supervision, including adaptive project management; stakeholders' participation and cooperation; responsiveness to human rights and gender equity; country ownership and driven-ness and communication and public awareness.

#### E. Financial Management

14. Financial management will be assessed under three broad themes: completeness of financial information, communication between financial and project management staff and compliance with relevant UN financial management standards and procedures. The review will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The review will assess the level of communication between the PMU and the Fund Management Agency as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The review will verify the application of proper financial management standards and adherence to UN Environment's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

*Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision.

#### F. Efficiency

15. In keeping with the OECD/DAC definition of efficiency, the review will assess the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The review will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The review will describe any cost or time-

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<sup>11</sup> *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

<sup>12</sup> A list of relevant SDGs is available on the EO website [www.unep.org/evaluation](http://www.unep.org/evaluation)



saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

16. The review will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The review will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

*Factors affecting this criterion may include:* preparation and readiness (e.g., timeliness); quality of project management and supervision and stakeholder's participation and cooperation.

#### G. Monitoring and Reporting

17. The review will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

##### *i. Monitoring Design and Budgeting*

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>13</sup> indicators towards the achievement of the project's outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

##### *Monitoring Implementation*

The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The review should confirm that funds allocated for monitoring were used to support this activity.

##### *ii. Project Reporting*

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Consultant(s) by the Task Manager. Projects funded by GEF have additional requirements with regard to verifying documentation and reporting (i.e., the Project Implementation Reviews, Tracking Tool and CEO Endorsement template<sup>14</sup>), which will be made available by the PMU

<sup>13</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

<sup>14</sup> The Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

and Task Manager. The review will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

*Factors affecting this criterion may include:* quality of project management and supervision and responsiveness to human rights and gender equity (e.g., disaggregated indicators and data).

## H. Sustainability

18. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The review will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included. The review will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability.

### *i. Socio-political Sustainability*

The review will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the review will consider whether individual capacity development efforts are likely to be sustained.

### *ii. Financial Sustainability*

Some direct outcomes, once achieved, do not require further financial inputs, e.g., the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g., to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g., continuation of a new resource management approach. The review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. The question still remains as to whether the future project outcomes will be financially sustainable.

### *iii. Institutional Sustainability*

The review will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

*Factors affecting this criterion may include:* stakeholders' participation and cooperation; responsiveness to human rights and gender equity (e.g., where interventions are not inclusive, their sustainability may be undermined); communication and public awareness and country ownership and driven-ness.

## Factors and Processes Affecting Project Performance

19. *These factors are rated in the ratings table, but are discussed as cross-cutting themes as appropriate under the other evaluation criteria, above.*

*i. Preparation and Readiness*

This criterion focuses on the inception or mobilisation stage of the project. The review will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the review will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

*ii. Quality of Project Implementation and Execution*

Specifically, for GEF funded projects, this factor refers separately to the performance of the executing agency and the technical backstopping and supervision provided by UN Environment, as the implementing agency.

The review will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

*iii. Stakeholder Participation and Cooperation*

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups, should be considered.

*iv. Responsiveness to Human Rights and Gender Equity*

The review will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the review will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account. In particular, the review will consider to what extent project design (section B), the implementation that underpins

effectiveness (section D), and monitoring (section G) 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; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

*v. Country Ownership and Driven-ness*

The review will assess the quality and degree of engagement of government / public sector agencies in the project. The review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.

*vi. Communication and Public Awareness*

The review will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The review should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gender or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the review will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

### Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

20. The Mid-Term Review will use a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g., sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

21. The findings of the review will be based on the following:

(a) A **desk review** of:

- Relevant background documentation, inter alia: Management Plan,
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;

- Project outputs: workshop lists of assistance, products of consultancies, published documents, among others.
- (b) **Interviews** (individual or in group) with:  
UN Environment Task Manager (TM), the Project management team, relevant officials at MINAM, including GEF Operational Focal Point, Profonanpe (Fund Management Agency), project partners, including (SERFOR-MINAGRI, INIA, SERNANP, INDECOPI-DIN, INDECOPI-CNBIO, CENSI-INS-MINSA, IIAP, Cosmo Ingredients, Ministerio de Cultura) and Relevant resource persons.
- (c) **Surveys:** if required by consultant; this will be discussed prior to signing of contract.
- (d) **Field visits:** Due to COVID-19, no field visit will be required; virtual meetings will be organized based on requirement.
- (e) **Other data collection tools:** To be determined by the consultant based on information required to complete the review. This will be discussed prior to signing of contract.

#### Review Deliverables and Review Procedures

22. The review team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, review framework and a tentative review schedule.
- **Preliminary Findings Note:** typically, in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.
- **Draft and Final Review Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

23. **Review of the draft review report.** The review team will submit a draft report to the Project Coordinator and Task Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Project Coordinator will share the cleared draft report with key project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Project Coordinator for consolidation. The Project Coordinator will provide all comments to the review team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response. The Task Manager will support as appropriate.

24. The Task Manager will prepare a **quality assessment** of the first and final drafts of the main review report, which acts as a tool for providing structured feedback to the review consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1.

25. At the end of the review process, the Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals.

#### The Consultant

26. For this review, the work will be carried out by one consulting firm which will work under the overall responsibility of the Project Coordinator (Karina Ramirez), in consultation with the Task Manager (Thais Narciso) and relevant authorities at MINAM, namely the Director of Biodiversity (José Alvarez) and the Director of Biosafety and Genetic Resources (Jessica Amanzo Alcantara). The reviewer will liaise with the Project Coordinator and the Task Manager, as appropriate, on any procedural and methodological matters related to the review. It is, however, the consulting firm’s individual responsibility to arrange for any travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The PMU will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

27. The consulting firm will be hired for 3 months spread over the period March - June 2021 and should include a main consultant with: an advanced university degree in environmental sciences, biological sciences, environmental engineering, or other related fields; a minimum of 10 years of technical experience, including elaboration and design of projects, or evaluating of large, regional or global programmes, or administration of projects; a broad understanding of multi sectorial projects or initiatives analysis and evaluation, including multilateral funding or support agencies, along with excellent writing skills in English and proven knowledge and communication skills in Spanish; team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UN Environment.

28. The consulting firm will be responsible, in close consultation with the Project Coordinator, for overall management of the review and timely delivery of its outputs, described above in Section 11 Evaluation Deliverables, above. The consulting firm will ensure that all evaluation criteria and questions are adequately covered.

29. Details of Evaluation Consultants’ Team Roles can be found on the Evaluation Office of UN Environment website: [www.unep.org/evaluation](http://www.unep.org/evaluation).

#### Schedule of the Review

30. The table below presents the tentative schedule for the review.

**Table 3. Tentative schedule for the review**

<b>Milestone</b>	<b>Deadline</b>
Kick-off meeting (via Skype, Zoom, etc.)	March 2021
Inception Report	March 2021
Data collection and analysis, desk-based interviews and surveys	March– May 2021

Draft Report shared with UN Environment Task Manager and Project Team	May 2021
Draft Report shared with wider group of stakeholders	May 2021
Final Report	May -June 2021

### Contractual Arrangements

31. Review Consulting firm will be selected and recruited by Profonanpe with the support of the PMU under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UN Environment/UNON, the consulting firm certifies that it has 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, it will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants involved are required to sign the Code of Conduct Agreement Form.

32. Fees will be paid on an instalment basis, paid on acceptance by the Project Coordinator and Task Manager of expected key deliverables. The schedule of payment is as follows:

33. Schedule of Payment for the [Consultant/Team Leader]:

Deliverable	Percentage Payment
Approved Inception Report	30%
Approved Draft Main Review Report	30%
Approved Final Main Review Report	40%

34. Fees only contracts: This is a non-presential consultancy; all expenses should be included and any other expense, that has been previously approved by Task Manager and PMU, will be reimbursed after mission completion. Peruvian National taxes related to consultancy’s payment will be covered by the project.

35. The consultant(s) may be provided with access to UN Environment’s Anubis system and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the review report.

36. In case the consultant(s) are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the Project Coordinator and Task Manager, payment may be withheld at the discretion of the Head of Branch/Unit until the consultants have improved the deliverables to meet UN Environment’s quality standards.

37. If the consultant(s) fail to submit a satisfactory final product to the PMU in a timely manner, i.e., before the end date of their contract, Profonanpe reserves the right to employ additional human resources to finalize the report, and to reduce the consultants’ fees by an amount equal to the additional costs borne by Profonanpe to bring the report up to standard.

## Annex 2. Persons Engaged/Interviewed/Respondents

Institution	Participants	Post
Ministry of Environment (MINAM)	José Álvarez Alonso	Director General of Biological Diversity
Ministry of Environment (MINAM)	Jessica Amanzo Alcántara	Director of Genetic Resources and Biosecurity
Ministry of Environment (MINAM)	Rosemarie Ávila Bosqueangosto	Legal Coordinator
Ministry of Environment (MINAM)	Fiorella Briceño Nuñez	Access to Genetic resources Analyst
Project Management Unit	Karina Ramirez Cuadro	National Coordinator
Project Management Unit	Jesús Zumarán Rivera	National Assistant
Project Management Unit	Margarita Valladares	Legal Specialist
Project Management Unit	Mónica Ávalos Lopez	Operational Assistant
Promotion Fund of Protected Natural Areas of Peru (PROFONANPE)	Christian Bueno Montaldo	Administration and Finance Manager
Promotion Fund of Protected Natural Areas of Peru (PROFONANPE)	Kruseff Villafane	Head of Human Resources
Promotion Fund of Protected Natural Areas of Peru (PROFONANPE)	Omar Corillocla	Director of Monitoring and Evaluation
Promotion Fund of Protected Natural Areas of Peru (PROFONANPE)	Rosario Cárcamo	Head of Procurement and Contracts
National Biopiracy Commission (CNBIO)	Judith Estrella	Executive 2
National Biopiracy Commission (CNBIO)	Sara Quinteros Malpartida	Executive 1
National Natural Protected Areas Service of the State (SERNANP)	Carlos Sanchez Rojas	Head of Functional Operational Unit for Protected areas Management
National Natural Protected Areas Service of the State (SERNANP)	Kenton De la Cruz Gamarra	Natural Resources Management Specialist
National Forest Service (SERFOR)	Lizeth Cayo Rodriguez	Professional of the Directorate for the Sustainable Management of Wild Animals
National Forest Service (SERFOR)	Isela Arce Castañeda	Genetic Resources Specialist
Ministry of Production (PRODUCE)	Elba Prieto Rios	Technical Specialist
Ministry of Production (PRODUCE)	Ilko Rogovich	ABS Nagoya GEF Project Consultant



Ministry of Production (PRODUCE)	Rocío Trillo Altamirano	Legal Specialist
Ministry of Production (PRODUCE)	Heidy Hidalgo Hidalgo	Legal Specialist
National Institute for Agricultural Innovation (INIA)	Jorge Alcántara Delgado	Director of the Sub-Directorate for the Regulation of Agricultural Innovation.
National Institute for Agricultural Innovation (INIA)	Roger Becerra Gallardo	Coordinator for the Regulation of Access to Genetic Resources and Protection of Plant Breeders
Cosmo Ingredients	Alvaro Perez Gianoli	General Manager
Cosmo Ingredients	Alessandra Molina	Specialist
National Federation of Peasant, Artisan, Indigenous, Native and Salaried Women of Peru (FENMUCARINAP)	Aurora Coronado	Secretary of Minutes and Archives
Peasant Confederation of Peru (CCP)	Elga Ángulo	Secretary for Feminine Affairs

### **Annex 3. List of Documents Consulted**

#### List of Key Documents Consulted:

1. REQUEST FOR GEF CEO ENDORSEMENT: Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol + all annexes
2. UNEP Project Document: Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol
3. Project Work Plans
4. Periodic Expenditure Reports
5. Half Yearly Progress Report July 2018 to December 2018
6. Half Yearly Progress Report July 2019 to December 2019
7. Half Yearly Progress Report July 2020 to December 2020
8. UN Environment GEF PIR Fiscal Year 2019 (1 July 2018 to 30 June 2019)
9. UN Environment GEF PIR Fiscal Year 2020 (July 2019 to 30 June 2020)
10. Reports of the General Office for Planning and Budgeting
11. Monitoring Report for International Cooperation Projects – November 2019
12. Regulations of the Project Steering Committee
13. Minutes - Project Steering Committee Meetings
14. National ABS Mechanism documents
15. UNEP Safeguards Screening Form

## Annex 4: Summary of Co-finance and Project Expenditure

Summary of Project Financing Status as of June 30, 2021.

Component	GEF Funds Approved (USD)	Disbursement as of June 30, 2021	Expenditure as of June 30, 2021	% Disbursement of Approved Budget
<u>Component 1</u> : Effective functioning of national ABS system, in agreement with Nagoya Protocol	753,100.00	574,834.17	467,337.63	76.32%
<u>Component 2</u> : Capacity building of relevant actors in relation to Access to genetic resources and traditional knowledge	529,766.00	418,579.29	353,032.62	79.01%
<u>Component 3</u> : Projects and initiatives on ABS contributing to conservation and sustainable use of biological diversity	677,850.00	200,760.60	143,079.53	29.61%
Monitoring & Evaluation	125,000.00	106,247.34	87,894.27	84.99%
Project Management Cost	104,284.00	102,058.02	88,948.70	97.86%
<b>TOTAL</b>	<b>\$2,190,000</b>	<b>\$ 1,402,479.42</b>	<b>\$ 1,140,292.75</b>	<b>64.04%</b>

Summary of Project Co-financing Status as of June 30, 2021

Source	Comp 1	Comp 2	Comp 3	PMC	M & E	Total (USD)
National Government - MINAM	139,477.50	110,000.57	43,850.00			293,328.07
National Government – SERFOR - MINAGRI	49,536.16	53,999.95	52,761.03			156,297.14
National Government - INIA	12,941.48	44,833.00				57,774.48
National Government - SERNANP	1,839,170.39	265,042.71				2,104,213.10
National Government – CENSI-INS-MINSA	50,182.44	35,533.58				85,716.02
National Government – INDECOPI-CNBIO	139,603.13	62,356.90				201,960.03
National Government – INDECOPI-DIN	159,626.49	102,888.05				262,514.54
National Government - IIAP						0.00
Private Company – COSMO-INGREDIENTS	69,111.37	34,555.68	241,889.82			345,556.89
GEF Implementing Agency						0.00
<b>TOTAL</b>	<b>\$2,459,648.97</b>	<b>\$709,210.44</b>	<b>\$ 338,500.85</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$3,507,360.27</b>

## Annex 5: Brief CV of MTE Consultant

**Position:** Senior Monitoring & Evaluation Consultant

**Name of Firm:** Institutional Development and Management Consultants Limited (ID&M)

**Name of Staff:** Noel Devany Jacobs

**Date of Birth:** 23<sup>rd</sup> December 1967 **Nationality:** Belize

**Residence:** Deeping St. James, Peterborough, United Kingdom

**Company website:** [www.idmcservices.com](http://www.idmcservices.com)

### Education:

School, college and/or University Attended	Degree/certificate or other specialized education obtained	Date Obtained
National Polytechnic Institute (CINVESTAV) Merida, Yucatan, Mexico	Master's Degree in Marine Biology	1996
Technical Institute of the Sea Guaymas, Sonora, Mexico	Bachelor's Degree in Aquaculture Engineering	1992

### Membership of Professional Associations:

Fellow of the Institute of Consulting (FIC), Chartered Management Institute – UK

Membership #P04525163

### Other Training:

**March 2017 – The Strategy Consultant;** Chartered Management Institute (CMI)/Institute of Consulting (IC)/Advanced Management Skills (AMS); London, England, United Kingdom.

**March 2017 – The Lean Operations Consultant;** Chartered Management Institute (CMI)/Institute of Consulting (IC)/Advanced Management Skills (AMS); London, England, United Kingdom.

**March 2017 – The Professional Consultant;** Chartered Management Institute (CMI)/Institute of Consulting (IC)/Advanced Management Skills (AMS), London, England, United Kingdom.

**May 2012 – Advanced Level Organizational Development Certified Consultant Program (ODCC);** Institute of Organization Development (IOD), Fort Lauderdale, Florida, U.S.A.

**March 2009 - Practitioner's Program in the Critical Components of Effective Governance;** BoardSource, Arlington, Virginia, U.S.A.

**June 2007 – Certified Fund-Raising Manager (CFRM);** Centre on Philanthropy, Indiana University, Indianapolis, U.S.A.

**November 2003 – Certificate in Negotiation and Decision-Making Strategies;** Columbia University Graduate School of Business, New York, U.S.A

**June 2002 - Leaders in Development: Managing Political & Economic Reform;** John F. Kennedy School of Government, Harvard University, Cambridge, Massachusetts, U.S.A.

**Countries of Work Experience:**

Antigua & Barbuda, Argentina, Barbados, Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guyana, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Panama, Peru, St. Kitts & Nevis, St. Vincent & the Grenadines, St. Lucia, Suriname, Trinidad & Tobago, and Uruguay

**Languages:**

Language	Speaking	Reading	Writing
English	<i>Mother Tongue</i>		
Spanish	<i>Excellent</i>	<i>Excellent</i>	<i>Excellent</i>

**Employment:**

From: July 2007 - Present  
 Employer: Institutional Development and Management Consultants Limited (ID&M)  
 Position Held: Institutional Development/Project Design/Monitoring & Evaluation Consultant

From: July 2001 – June 2007  
 Employer: Central American Commission for Development and Development/Global Environment Facility  
 Position Held: Regional Director, Mesoamerican Barrier Reef Systems Project

From: August 1998 - April 1999  
 Employer: Caribbean Community (CARICOM)/Canadian International Development Agency  
 Position Held: Director, Lobster & Conch Resource Management Program

From: September 1996 - July 1998  
 Employer: Government of Belize  
 Position Held: Fisheries Administrator

**Experience Relevant to this Assignment:**

Detail Tasks Performed	Work Undertaken that Best Illustrates Capability to Handle Project Development and M&E Tasks
<p><b>Name of the project:</b> Implementing Alliance for Zero Extinction (AZE) Site Conservation and Preventing Global Extinctions <b>Year:</b> 2020 – 2021 <b>Location:</b> Chile, Colombia, Dominican Republic, Madagascar <b>(VIRTUAL)</b> <b>Client:</b> American Bird Conservancy (ABC)/United Nations Environment Programme (UNEP)/Global Environment Facility (GEF) <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Mainstreaming biodiversity conservation in the tourism sector of the protected areas and strategic ecosystems of San Andres, Old Providence, and Santa Catalina islands <b>Year:</b> 2020 – 2021 <b>Location:</b> Colombia <b>(VIRTUAL)</b> <b>Client:</b> World Wildlife Fund (WWF)/Global Environment Facility (GEF)/Government of Colombia <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Development of Protected Areas Conservation Trust (PACT)'s Entity Work Programme for the Green Climate Fund (GCF) and Three (3) Concept Notes for Submission to the GCF <b>Year:</b> 2020 - 2021 <b>Location:</b> Belmopan, Belize. <b>(VIRTUAL)</b> <b>Client:</b> Caribbean Community Climate Change Centre/PACT <b>Position held:</b> Team Leader and Project Development Specialist</p>	
<p><b>Name of the project:</b> Gap Analysis and the Update Environmental and Social Safeguards (ESS) and Gender Policies, Procedures and Tools; Development and Implementation of an ESS and Gender Capacity Development Plan for the Protected Areas Conservation Trust. <b>Year:</b> 2020 – 2021 <b>Location:</b> Belize <b>(VIRTUAL)</b> <b>Client:</b> Protected Areas Conservation Trust (PACT) <b>Position held:</b> Institutional Development Expert</p>	
<p><b>Name of the project:</b> Promoting National Blue Economy Priorities Through Marine Spatial Planning in the Caribbean Large Marine Ecosystem <b>Year:</b> 2020 – 2021 <b>Location:</b> Barbados, Belize, Guyana, Jamaica, Panama, St. Lucia <b>(VIRTUAL)</b> <b>Client:</b> Development Bank of Latin America (CAF)/Food and Agriculture Organization (FAO) of the United Nations/Global Environment Facility (GEF)/Caribbean Regional Fisheries Mechanism <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> UAVs/Drones for Equitable Climate Change Adaptation: Participatory Risk Management through Landslide and Debris Flow Monitoring in Mocoa, Colombia <b>Year:</b> 2019-2020 <b>Location:</b> Colombia <b>Client:</b> Development Bank of Latin America (CAF), Massachusetts Institute of Technology (MIT) and Corpoamazonia <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Conservation of wildcats and prey species through public-private partnerships and human-jaguar conflict management in Panama <b>Year:</b> 2019 – 2020 <b>Location:</b> Panama <b>Client:</b> United Nations Environment Programme – UNEP <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Improving Environmental Management through Sustainable Land Management in St. Kitts and Nevis <b>Year:</b> 2018 <b>Location:</b> St. Kitts &amp; Nevis <b>Client:</b> United Nations Environment Programme (UN Environment)/GEF/IUCN <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Ecosystem-based biodiversity friendly cattle production framework for the Darien Region of Panama <b>Year:</b> 2018 <b>Location:</b> Panama <b>Client:</b> Development Bank of Latin America (CAF)/Global Environment Facility (GEF)/ANCON-Panama <b>Position held:</b> GEF Project Development Consultant</p>	
<p><b>Name of the project:</b> Mid-Term Evaluation of the Project “Sustainable Pathways – Protected Areas and Renewable Energy in Antigua &amp; Barbuda” <b>Year:</b> 2018</p>	

<p><b>Location:</b> Antigua &amp; Barbuda  <b>Client:</b> United Nations Environment Programme (UN Environment)/Global Environment Facility  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Design of a Monitoring &amp; Evaluation System for the Portfolio of GEF Projects in the Development Bank of Latin America  <b>Year:</b> 2017-2018  <b>Location:</b> Peru  <b>Client:</b> Development Bank of Latin America (CAF)  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Mid-Term Evaluation of the project "Management and Protection of Key Biodiversity Areas (KBA)"  <b>Year:</b> 2018  <b>Location:</b> Belize  <b>Client:</b> World Bank/Global Environment Facility (GEF)/Government of Belize/PACT  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Development of an Institutional Monitoring &amp; Evaluation Framework for the Protected Areas Conservation Trust (PACT) with Alignment to the National Protected Areas System (NPAS)  <b>Year:</b> 2017-2018  <b>Location:</b> Belize  <b>Client:</b> Protected Areas Conservation Trust (PACT)/Government of Belize  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Cetaceans and Ocean Health in South America: Flagship Species as Bio-indicators of Mercury Pollution  <b>Year:</b> 2017  <b>Location:</b> Argentina, Chile, Uruguay  <b>Client:</b> Development Bank of Latin America (CAF)/Global Environmental Facility (GEF)  <b>Position held:</b> GEF Project Concept Note Development Consultant</p>
<p><b>Name of the project:</b> Sustainable Landscapes of Northern Tropical Peru  <b>Year:</b> 2017  <b>Location:</b> Peru  <b>Client:</b> Development Bank of Latin America (CAF)/Global Environmental Facility (GEF)  <b>Position held:</b> GEF Project Concept Note Development Consultant</p>
<p><b>Name of the project:</b> Latin American Cacao Initiative – Strengthening the Value Chain of Fine Aromatic Cacao  <b>Year:</b> 2017  <b>Location:</b> Panama, Costa Rica, Guatemala, Ecuador, Colombia, Dominican Republic  <b>Client:</b> Development Bank of Latin America (CAF)/Global Environmental Facility (GEF)  <b>Position held:</b> GEF Project Concept Development Consultant</p>
<p><b>Name of the project:</b> Sustainable Landscapes of the Peruvian Amazonian Region of Madre de Dios  <b>Year:</b> 2017  <b>Location:</b> Peru  <b>Client:</b> Development Bank of Latin America (CAF)/Global Environmental Facility (GEF)  <b>Position held:</b> GEF Project Concept Development Consultant</p>
<p><b>Name of the project:</b> Mid-Term Evaluation of Project "Marine Conservation and Climate Adaptation Project (MCCAP)"  <b>Year:</b> 2017  <b>Location:</b> Belize  <b>Client:</b> World Bank/Adaptation Fund/Government of Belize/PACT  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Mid-Term Evaluation of Project "Advancing the Nagoya Protocol in Countries of the Caribbean Region"  <b>Year:</b> 2017  <b>Location:</b> Antigua &amp; Barbuda, Barbados, Grenada, Republic of Guyana, Jamaica, St. Lucia, Federation of St. Kitts &amp; Nevis, Republic of Trinidad &amp; Tobago  <b>Client:</b> United Nations Environment Program (UN Environment – GEF – IUCN)  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Assessment of Institutional Capacity in the Caribbean Sub-Region in Support of Biosafety Systems  <b>Year:</b> 2016  <b>Location:</b> Antigua &amp; Barbuda, Bahamas, Barbados, Belize, Commonwealth of Dominica, Grenada, Guyana, St. Kitts &amp; Nevis, St. Lucia, St. Vincent &amp; the Grenadines, Suriname, and Trinidad &amp; Tobago  <b>Client:</b> United Nations Environment Programme (UNEP)/University of the West Indies</p>
<p><b>Name of the project:</b> 'Transformation of the Panela (sugar cane) Sub-Sector in Colombia Through Nationally Appropriate Mitigation Actions (NAMA) to the Impacts of Climate Change'</p>

<p><b>Year:</b> 2016  <b>Location:</b> Colombia  <b>Client:</b> Development Bank of Latin America (CAF)/Global Environment Facility (GEF)  <b>Position held:</b> GEF Project Development Consultant</p>
<p><b>Name of the project:</b> Andes Adaptation to the Impacts of Climate Change on Water Resources (AICCA)  <b>Year:</b> 2016  <b>Location:</b> Bolivia, Colombia, Ecuador, Peru  <b>Client:</b> Development Bank of Latin America (CAF)/ Global Environment Facility (GEF)  <b>Position held:</b> GEF Project Development Consultant</p>
<p><b>Name of the project:</b> Coastal Protection for Climate Change Adaptation in the Small Island States in the Caribbean project  <b>Year:</b> 2016  <b>Location:</b> Jamaica, Grenada, St. Lucia, and St. Vincent &amp; the Grenadines  <b>Client:</b> International Union for the Conservation of Nature (ORMACC)/Caribbean Community Climate Change Centre (CCCCC)/German Development Bank (KFW).  <b>Position held:</b> Project Development and M&amp;E Consultant</p>
<p><b>Name of the project:</b> Final Evaluation of Project "Making Tourism Benefit Communities Adjacent to Archaeological Sites" (MTBCAAS)  <b>Year:</b> 2015  <b>Location:</b> Belize  <b>Client:</b> Belize Tourism Board (BTB)/European Union  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Mid-Term Evaluation of Project "Making Tourism Benefit Communities Adjacent to Archaeological Sites" (MTBCAAS)  <b>Year:</b> 2014  <b>Location:</b> Belize  <b>Client:</b> Belize Tourism Board/European Union  <b>Position held:</b> Monitoring &amp; Evaluation (M&amp;E) Consultant</p>
<p><b>Name of the project:</b> Project Preparation and Design Coordinator – Mesoamerican Barrier Reef Systems Project  <b>Year:</b> 1999-2001  <b>Location:</b> Belize, Guatemala, Honduras &amp; Mexico  <b>Client:</b> Central American Commission for Environment &amp; Development (CCAD)  <b>Position held:</b> GEF Project Development Consultant</p>



