

UNEP GEF PIR Fiscal Year 2023

1 July 2022 to 30 June 2023

ntification						
Project details						
GEF ID		9926	SMA IPMR ID			35270
Project Short Title		ABS DR Congo	Grant ID			S1-32GFL-000620
			Umoja WBS			GFL-11267-14AC0003-SB-008831
Project Title				t Sharing (ABS) in accordance c and Nutraceutical in the Dem		e Nagoya Protocol and Valorisation of Republic of Congo
Project Type	A	Medium Sized Project (MSP)	Duration months	Planned		36
Parent Programme if child project				Age		48.0 months
GEF Focal Area(s)		Biodiversity	Completion Date	Planned -original PCA		30 August 2022
Project Scope	A	National		Revised - Current PCA		30 september 2024
Region	A	Africa	Date of CEO Endors	sement/Approval		30-Apr-19
Countries		Democratic Republic of Congo (DRC)	UNEP Project Appro	oval Date (on Decision Sheet)		30-Apr-19
GEF financing amount		USD 2,000,000	Start of Implementa	tion (PCA entering into force)		10-Jul-19
Co-financing amount		USD 6,400,000	Date of First Disbursement			22-Nov-19
			Date of Inception W	orkshop, if available		10-Jul-19
Total disbursement as of 30 June		USD 1,800,000	Midterm undertaken	1?	A	No
Total expenditure as of 30 June		USD 1,133,211	Actual Mid-term Da	ate, if taken		1-Jul-23
			Expected Mid-Term	Date, if not taken		
			Expected Terminal	Evaluation Date		1-Dec-24

Expected Financial Closure Date

1-Jun-25

1.2 EA: Project description

The objective of the project is to strengthen national capacities, including on legislation and regulatory framework, for the effective implementation of 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 well-being in the DRC. It is being implemented through the following components:

Component 1: Elaboration of implementing regulations and tools for the ABS related parts of the DRC conservation law.

Component 2: Awareness raising on the Nagoya Protocol / DRC ABS system and capacity development for relevant stakeholders in DRC.

Component 3: Conservation and valorization of medicinal, nutraceutical and cosmetic plants (Botanicals).

Executing agency and main government/other partners: Ministry of Environment and Sustainable Development in collaboration with the ONG "Action d'Aide Sanitaire et de Développement aux plus Démunis (AASD), Law Division/UNEP.

1.3 Project Contact

Division(s) Implementing the project

Name of co-implementing Agency

TM: UNEP Portfolio Manager(s)

TM: UNEP Task Manager(s)

TM: UNEP Budget/Finance Officer

TM: UNEP Support/Assistant

Ecosystem Division, GEF/Biodiversity and Land Degradation Unit, Biodiversity and Ecosystem services Branch

Executing Agency(ies)

Names of Other Project Partners

Ersin Esen

Andre Toham

Paul Vrontamitis

Eric Mugo

EA: Manager/Representative

EA: Project Manager

EA: Finance Manager

EA: Communications lead, if relevant

Ministry of Environment and Sustainable Development,

NGO Action d'Aide Sanitaire et de Développement aux plus Démunis (AASD), and Law Division

Bamoninga Benjamin Toirambe

Muyembe Ngasili Henri

Bolumbu Ikuna Gisèle

N/A

2- OVERVIEW OF PROJECT STATUS

Environmental governance foundational sub-programme

Nature action sub-programme

TM: UNEP previous Subprogramme(s)

Environmental governance foundational sub-programme Nature action sub-programme

TM: UNEP Current Subprogramme(s)

TM: PoW Indicator(s)

EA: UNSDCF/UNDAF linkages

The project will be contributing to the attainment of the following UNDAF outcomes, although its implementation is starting at the end of the UNDAF cycle, UN Environment will ensure its consideration of the future cycle; UNDAF Outcome 1: By 2018, sustainable and green economic growth that is equitable, inclusive, climate and disaster resilient and promotes poverty reduction, and employment opportunities particularly for vulnerable groups enhanced.

UNDAF Output 1.1: Policies and studies for integrated natural resource management, climate change adaptation/mitigation and poverty-environment nexus developed.

UNDAF Output 1.3: Increased domestic and external trade and industry opportunities that are pro-poor and gender responsive UNDAF Output 1.5: Youth, women and other vulnerable groups have access to sustainable employment with a focus on cottage, small and micro enterprises in line with the RGOB's commitment to a green economy.

UNDAF Output 1.6: The rural poor and under-employed have access to alternative income generation opportunities.

EA: Link to relevant SDG Goals

2; 3; 15;

EA: Link to relevant SDG Targets

2.5; 3.b; 15.6

TM: GEF core or sub indicators targeted by the project as defined at CEO Endorsement/Approval, as well as results

Indicators

Mid-term

End-of-project

Total Target

Materialised to date

cators

Indicator (i): Number of national or subnational entities that, with UNEP support, adopt integrated approaches to address environmental and social issues and/or tools for valuing, monitoring and sustainably managing biodiversity. Direct Outcome: 2.7 Natural assets are valued, monitored

/ Number of national or subnational entities that adopt or adapt economic, regulatory or decision-support tools for valuing, monitoring and sustainably managing biodiversity Indicator (i): Number of national or subnational entities that,

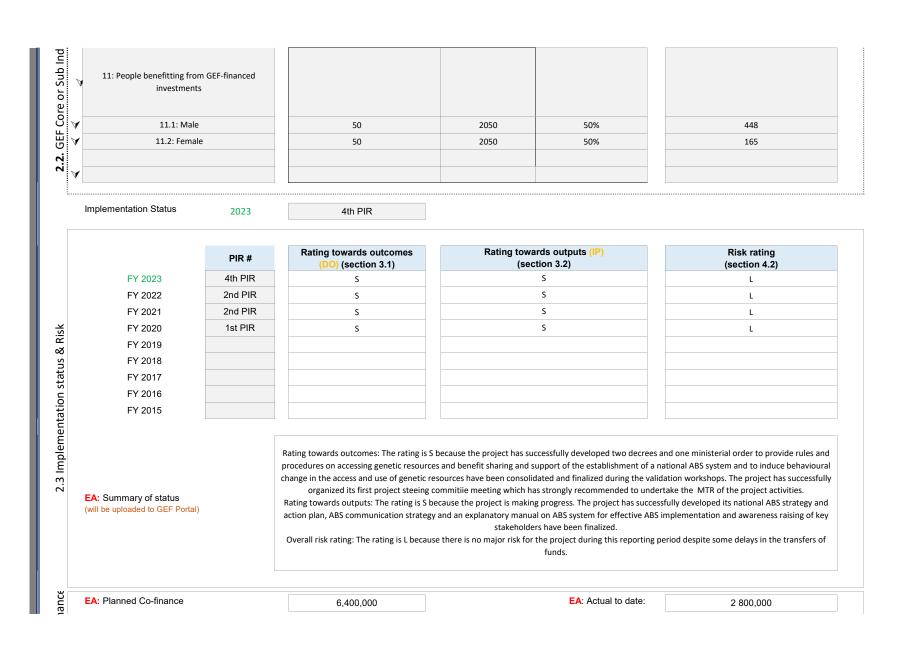
/ Number of national or subnational entities that adopt or adapt economic, regulatory or decision-support tools for valuing, monitoring and sustainably managing biodiversity

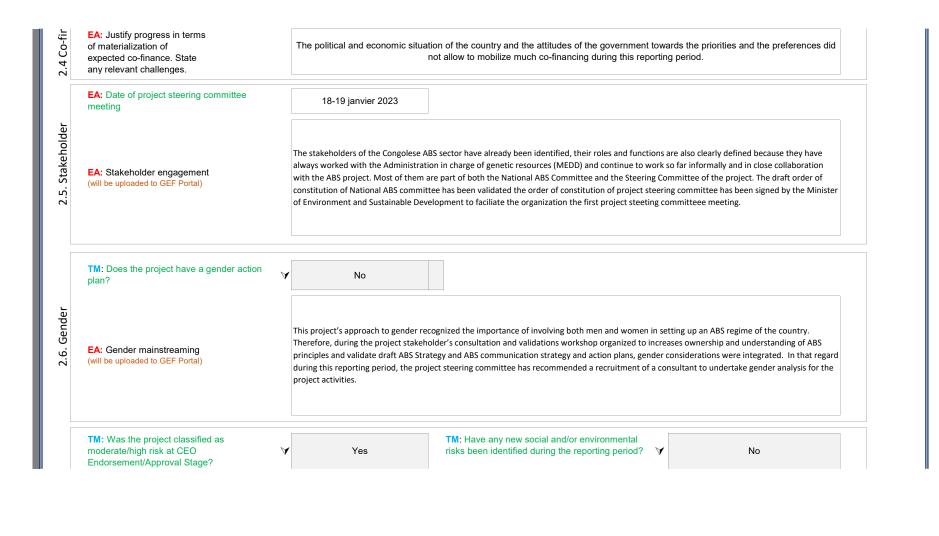
with UNEP support, adopt integrated approaches to address environmental and social issues and/or tools for valuing, monitoring and sustainably managing biodiversity. Direct Outcome: 2.7 Natural assets are valued, monitored

and sustainably managed.

and sustainably managed.

Targets - Expected value





Z./. ESSIVI	TM: If yes, what specific safeguard risks were identified in the SRIF/ESERN?	Do indigenous people demand actual participation in project management or regular consultation? Do they have any roles to play in project implementation on benefit sharing? Will there be fairness and economic sustainability for the marginalized population?	TM: If yes, please describe the new risks, or changes			
2.7	TM & EA: Has the project received complaints related to social and/or environmental impacts (actual or potential) during the reporting period?	No				
	TM & EA: If yes, please describe the complaint(s) or grievance(s) in detail including the status, significance, who was involved and what actions were taken.					
	EA: Environmental and social safeguards management (will be uploaded to GEF Portal)		communities, as holders of traditional knowledge ass R Congo, continue to take part in all relevant project a etic resources.			
B B U	EA: Knowledge activities and products (will be uploaded to GEF Portal)		Not applicable			
arn		Please attach a copy of any produ	octs			
2.8. KM/Learning	EA: Main learning during the period	At this stage of the implementation of the project and during this reporting period, no main learing to be shared				



g of progress towards achieving the project outco	mes (Development Objectives)						
Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones	End of Project Target	Progress as of current period (numeric, percentage, or binary entry only)	EA: Summary by the EA of attainment of the indicator & target as of 30 June	TM: Progress rati
trengthen national capacities including on ogislation, regulatory and institutionnal arneworks, for the effective implementation of he Nagoya Protocol on Access to Genetic esources and the Fair and equitable Sharing of enerfits arising from their utilization, contributing to the conservation of biodiversity and human wellbeing in the Democratic Republic of Congo	Degree of implementation of the Nagoya Protocol	Legal framework exists but institutionnal framework to support implementation of the Protocol is weak	Legal, regulatory and institutionnal pre conditions to support ABS are under development	Legal, regulatory and institutionnal pre conditions to support ABS are complete, and valorization through value chains underway	50%	All relevant regulatory and institutionnal farmeworks to faciliate ABS operationitization in DR Congo are elaborated and validated by the key stakeholders during consultations meetings. The ABS regulatory texts have been submitted to national authority for approval and signature.	s
come 1.1			The National ABS				
	Existence of a National ABS Committee	The National ABS Committee is not created.	Committee is established by order of the Minister of EDD	The National ABS Committee is up and running.			
National ABS Stratégy to support the implementation of the Nagoya protocol	Existence of a comprehensive ABS strategy developed through a consultative process involvingall relevant stakeholders and submitted for endorsement by the Governmentinvolving all relevant	No AB5 strategy in place	Comprehensive ABS strategy outlining key steps to implementing the Nagoya Protocol is finalized and validated by all relevant stakeholders		90%	The National Strategy is validated by all the stakeholders and will submitted to Government for adoption	нѕ
	Number of implementation regulations on ABS prepared and available ans adopted by the Gouvernment	Implementing regulations are not in place	Scope, elements and content of ABS regulations are analysed and elaborated	Full fiedged implementing regulations on ABS are finalized and ready to be submitted for promulgation by the relevant autorities	100%	Completed	нѕ
ome 1.2							
	One or more National Competent Autority (NCA) identified, designated and capacitated with clear functions and responsabilities to support implementation of the developped	No Compentent National Autority in place while some relevant institutions are in place there is no designated national competent autority ABS		National Competent Authority(ies) in place and operational with clear operating procedures on PIC and MAT procedures.	70%	The drafts of the decrees determining the organization and functioning of the national ABS competent authority and the procedures for obtaining PIC and MAT as well as the order organizing the national ABS committee (CONAPA) and provincial ABS committee (CONAPA) and provincial ABS committee (COPAPA) wildised (100% of completion). The draft decrees have been be finalized and submitted to the national authority for signature	s
perational national ABS mechanism with clearly dentified of role and responsabilities of relevant ctors	Number of expression of interests and applications received through a more streamlined permitting system	On average 10 official request of applications received annually	Applications increase by 25% over baseline	Applications increase by 50% over baseline	50%	The decree organizing the NCA has designated the General Secretary of Environment as NCA of ABS. Meanwhile the Secretary General for ESD continues to act as the National Competent Authority or ABS and continues to issue ABS permits. The number of permits issued has significantly increased above 100% to date. The pilot ABS permitting systems is mainly requested by researchers for bio-prospecting purposes.	нѕ

tcome 2.1							
Relevant stakeholders are aware of the ABS egulatory and institutional framework and of	Increased awareness on the national ABS strategy among various stakeholder groups	No awareness and communication strategy in place	Awareness raising and communications strategy for ABS implementation highlighting potential benefits in the botanical sector is elaborated and first consultations are launched	80% of stakeholder groups reached through consultations, campaigns and trainings.	50%	the National communication and awareness raising strategy on ABS was already elaborated and validated with the relevant stakeholders. Two major steps remain to be taken : his political adoption and the venue of the awareness	MS
business opportunities in relation related to botanicals	Number of people trained on various aspects of valorization to develop business opportunities for botanicals	No training on valorization	50 representatives of governmental entities regarding their roles and responsibilities within the national ABS system, 50 traditional healers, 50 women's groups	50 representatives of governmental entities regarding their roles and responsibilities within the national ABS system, 50 traditional healers, 50 women's groups	50%	The stakeholders mapping and analysis have conducted, the trainig manual and the explanatory guide on advantage and opportunities of ABS have been developed. Only the training remain to be done	MS
stcome 3.1.							
Application of in-situ conservation, valorization, production and commercialization of botanicals and aTK in line with the ABS Strategy.	Number of value chains compliant with the national ABS Strategy	None of the existing value chains are	50% value chains compliant	100% value chains compliant	50%	The National ABS Strategy, which integrates the issue of genetic resource is already elabored and validated by all the relevant stakeholders, after what it will be forwarded to the authority for approval.	MS

For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency. 3.2 Rating of progress implementation towards delivery of outputs (Implementation Progress)

Output	Expected completion date	Implementation status as of 30 June 2022 (%) (Towards overall project targets)	Implementation status as of 30 June 2023 (%) (Towards overall project targets)	EA: Progress rating justification, description of challenges faced and explanations for any delay	TM: Progress rating
Under Comp 1					
Output 1.1. A national ABS committee is established and operational, comprising representatives of all major stakeholder groups relevant for ABS	Jun-24	70%	80%	All major ABS stakeholders are identified and take regularly part in the ABS implementation processes and are waiting to participate in the national ABS Committee, once the decrees for its establishment have been signed.	S

Output 1.2: A national ABS strategy and action plan is elaborated and submitted for validation	Aug-23	100%	100%	The final draft of the National ABS Strategy and action plan has been validated and submitted for approval	S
Output 1.3: Scope, elements and content of ABS implementing regulations under the Law on the Conservation of Nature are developed in consultation with relevant stakeholders	Aug-21	90%	100%	The regulatory and strategic documents have been updated to define their scope and their content for the implementation of ABS regulations.	S
Output 1.4: The roles and responsibilities of ABS- relevant authorities and institutions with respect to PIC, MAT, ABS Permit, ABS-CH, monitoring and compliance, etc., are adopted by relevant stakeholders	Jul-24	80%	80%	The report on the definition of the roles and responsibilities of ABS actors has been developed, and the definition of the major state structures and institutions responsible for issuing sectoral permits and the procedures for obtaining access and export permits for biological/genetic resources have been identified and validated. Capacity building and awareness raising activities of key stakeholders to increase understanding of their roles amd responsibilities are ongoing	S
Output 1.5.A guidance document is produced that describes the roles of all major ABS-relevant authorities and institutions and the uses and applications of ABS permits and all other relevant permits	Dec-21	100%	100%	Completed	HS
Output 1.6 Awareness raising activities are conducted targeting key political and institutional decision makers on the proposed ABS System	Dec-21	100%	100%	Completed	HS
Output 1.7: Draft implementing regulations are provided to decision makers for validation	Dec-21	100%	100%	Completed	HS
Output 1.8: Publication of relevant documents on the ABS system (laws, decrees, regulations, procedure, etc.) are elaborated and populated through the ABSCH	Aug-24	0%	20%	The web site dseigner has been recruited and the web site is under construction	S
ler Comp 2					
Output 2.1. A detailed awareness raising/communications strategy on the national ABS framework is elaborated and a campaign is rolled out, including specific materials adapted for different stakeholder groups (IPLC, civil society, researchers, private sector, and government entities with relevance for ABS)	Aug-24	85%	90%	The final draft national ABS communication strategy document is validated and submitted to the Government approval	HS
Output 2.2 Training conducted for approximately 300 actors including 100 representatives of governmental entities regarding their roles and responsibilities within the national ABS system, 100 traditional healers and 100 women's organizations/groups on various aspects of valorization to develop business opportunities for botanicals	Aug-24	50%	60%	Stakeholder mapping and analysis of the roles and responsibilities of the stakeholders as well as the development of the explanatory guide on the commercial opportunities offered by the ABS process have been validated, training for the various stakeholders has been started.	S
der Comp 3					
Output 3.1 Existing ethno-botanical information on the most important/ promising botanicals in DRC is consolidated through a scoping study	Apr-24	40%	40%	The information collected is still partial	MU
Output 3.2 Key elements of the ABS Strategy for insitu conservation, valorisation, production and	Aug-24	0%	0%	Not started	MU



4 Risk Rating 4.1 Table A. Project management Risk Please refer to the Risk Help Sheet for more details on rating Risk Factor EA's Rating TM's Rating Low: Well developed, stable Management Structure and Low: Well developed, stable Management Structure and Roles/responsibilities are clearly Roles/responsibilities are clearly defined/understood. Low likelihood of ↑ Management structure - Roles and responsibilities ▼ defined/understood. Low likelihood of potential negative impact on the project delivery. potential negative impact on the project delivery. Low : Steering Committee and/or other project bodies meet at least once Low : Steering Committee and/or other project bodies meet at least once a yearand Active a yearand Active membership and participation in decision-making 2 Governance structure - Oversight membership and participation in decision-making processes. SC provides direction/inputs. processes. SC provides direction/inputs. Low likelihood of potential Low likelihood of potential negative impact on the project delivery. negative impact on the project delivery. Moderate: Project progressing according to work planand Adaptive , Implementation schedule Moderate: Project progressing according to work planand Adaptive management and regular management and regular monitoring. Moderate likelihood of potential monitoring. Moderate likelihood of potential negative impact on the project delivery. negative impact on the project delivery. Moderate: Activities are progressing within planned budgetand Balanced V budget utilisation including PMC. Moderate likelihood of potential negative Moderate: Activities are progressing within planned budgetand Balanced budget utilisation 4 Budget including PMC. Moderate likelihood of potential negative impact on the project delivery. impact on the project delivery. Low: Funds are correctly managed and transparently accounted for and Low: Funds are correctly managed and transparently accounted for and Audit reports 5 Financial Management Audit reports provided regularly and confirm correct use of funds. Low provided regularly and confirm correct use of funds. Low likelihood of potential negative likelihood of potential negative impact on the project delivery. impact on the project delivery. Low : Substantive reports are presented in a timely manner and Reports Low: Substantive reports are presented in a timely manner and Reports are complete and are complete and accurate with a good analysis of project progress and are complete and accurate with a good analysis of presentation issues. Low likelihood of potential negative impact on the accurate with a good analysis of project progress and implementation issues. Low likelihood 6 Reporting of potential negative impact on the project delivery. project delivery. Low: Sound technical and managerial capacity of institutions and other Low: Sound technical and managerial capacity of institutions and other project partners and project partners and Capacity gaps were addressed before 7 Capacity to deliver Capacity gaps were addressed before implementation or during early stages. Low likelihood implementation or during early stages. Low likelihood of potential of potential negative impact on the project delivery. negative impact on the project delivery. If any of the risk factors is rated a Moderate or higher, please include it in Table B below 4.2 Table B. Risk-log

Implementation Status (Current PIR)

4th PIR

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

INDUSTRIALE UNE HORO INCHINICA CIUTICI UL CEC CHIACI	Risk affecting:		,,,,		k Rating				ation respect to last rating
Risk	Outcome / outputs	CEO ED	PIR 1	PIR 2	PIR 3	PIR 4		Δ	Justification
Risk 1: Lengthy legislative process, or slow processes for drafting a bill and adoption and promulgation of texts tend to take significant time	Outcome 1-3	М	L	L	L	L		=	The consistency of this project with the DRC national biodiversity implementation objectives as articulated in the 2014 law on nature conservation in its ABS part has facilitated the drafting and adoption relevant legislation processes regarding ABS.

Risk 2: Willingness among institutions to share knowled and coordinate their activities on permitting procedures	ge
Risk 3: High staff turnover in government institutions an agencies and loss of keys staff	d
Implementation schedule	
Budget	
Consolidated projec	t risk

all oucomes and outputs	Applicable M	e M	L e	L e	L	 		project budget which will not impact the projectv results This section focuses on the variation. The overall rating is discussed in section 2.3.
	Not	Not Applicabl	Not Applicabl	Not Applicabl	М			There is likelihood to request a revision of the
all oucomes and outputs	Not Applicable	Not Applicabl e	Not Applicabl e	Not Applicabl e	М			The project duration has been extended due to delays in implementing the project activities
Outcome1-3	н	н	L	L	L		=	Staff recruited by the project in collaboration with the representatives of the line ministry have taken the ownership of the project and have regularly organized meetings and information workshops to inform relevant stakeholders on the project activities and ABS processes.
Outcome 2.1	М	М	L	L	L		=	The inter-institutions collaboration to share knowledge and coordination is progressing better than expected during this reporting period, representatives of key institutions have regularly attended project information meetings and workshops

4.3 Table C. Outstanding Moderate, Significant, and High risks

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

Risk	Actions decided during the previous reporting instance			Additional mitigation measures for the n	ext periods
	(PIRt-1, MTR, etc.)		What	When	By whom
Implementation schedule	N/A	MTR and revision of the project implementation plan foreseen	MTR and Workplan revision	By October 2023	UNEP and EA
Budget	N/A	Project budget revision planned after the MTR report	Budget Revision	B November 2023	EA

High Risk (H): There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks.

Significant Risk (S): There is a probability of between 51% and 55% that assumptions may fail to hold and/or the project may face substantial risks.

Moderate Risk (M): There is a probability of between 26% and 50% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.

Low Risk (L): There is a probability of up to 25% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.



Project Minor Amendments

Minor amendments are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5% as described in Annex 9 of the Project and Program Cycle Policy Guidelines. Please tick each category for which a change occurred in the fiscal year of reporting and provide a description of the change that occurred in the textbox. You may attach supporting document as appropriate.

5.1 Table A: Listing of all Minor Amendment (TM)

Minor amendments	Changes
Results framework	No
Components and cost	No
Institutional and implementation arrangements	No
Financial management	No
Implementation schedule	Explain in table B
Executing Entity	No
Executing Entity Category	No
Minor project objective change	No
Safeguards	No
Risk analysis	No
Increase of GEF project financing up to 5%	No
Co-financing	No
Location of project activity	No
Other	

Minor amendments

5.2 Table B: History of project revisions and/or extensions (TM)

Version	Туре	Signed/Approved by UNEP
Original Legal Instrument		10/7/2019
Amendment 1	Extension	9/30/2022

Entry Into Force (last signiture Date)	Agreement Expiry Date	Main changes introduced in this revision
10/7/2019	8/30/2022	
10/1/2022	9/30/2024	Extension of the project duration

GEO Location Information:

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

Location Name Required field	Latitude Required field	Longitude Required field	Geo Name ID Required field if the location is not an exact site	Location Description Optional text field	Activity Description Optional text field
Kinshasa	-4.3074	15.2802			

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

[Annex any linked geospatial file]