



Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda

Part I: Project Information

GEF ID

9481

Project Type

FSP

Type of Trust Fund

GET

Project Title

Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda

Countries

Uganda

Agency(ies)

UNEP

Other Executing Partner(s):

National Environment Management Authority; Uganda National Council for Science and Technology

Executing Partner Type

GEF Agency

GEF Focal Area

Biodiversity

Taxonomy

Focal Areas, Stakeholders

Rio Markers

Climate Change Mitigation

Climate Change Mitigation 0

Climate Change Adaptation

Climate Change Adaptation 0

Duration

48In Months

Agency Fee(\$)

243,280

A. Focal Area Strategy Framework and Program

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
BD-3_P7	Outcome 7.1: Increased genetic diversity of globally significant cultivated plants and domesticated animals that are sustainably used within production systems.	GET	1,000,000	2,100,000
BD-3_P8	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	GET	1,560,842	7,135,000
Total Project Cost(\$)			2,560,842	9,235,000

B. Project description summary

Project Objective

To strengthen institutional capacity for effective implementation of the Nagoya Protocol and to conduct an effective awareness campaign on Access Benefit Sharing (ABS) in Uganda

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 1: Strengthened National Regulatory and Institutional Framework for Access and Benefit Sharing (ABS)	Technical Assistance	Outcome 1.1: National ABS regulatory and institutional frameworks in compliance with the Nagoya Protocol on ABS in place	Output 1.1.1: National ABS regulatory frameworks in place and operational Output 1.1.2: Institutional framework compliant with the Nagoya Protocol in place and operational	GET	200,000	1,935,000

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 2: Capacity building for the implementation of Nagoya Protocol on ABS	Technical Assistance	<p>Outcome 2.1 Government agencies have the skills and competency to implement and enforce compliance to the Nagoya Protocol</p> <p>Outcome 2.2: Makerere University training and producing professionals with knowledge on ABS</p> <p>Outcome 2.3: ABS National Focal Point and CNAs effectively carrying out their functions</p>	<p>Output 2.1.1: Government agencies at national and sub-national level trained on the implementation and enforcement of Nagoya Protocol on ABS</p> <p>Output 2.2.1: Training curriculum at Makerere University updated to incorporate ABS for long-term capacity building</p> <p>Output 2.3.1: Capacity of NFP and CNAs for effective implementation of the Nagoya Protocol on ABS strengthened</p>	GET	800,000	2,338,000

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 3: Strengthening ABS Management at the Local government and Community Level	Technical Assistance	Outcome 3.1: Effective working models for ABS at the local community level Outcome 3.2: Effective participation of men and women in benefit sharing	Output 3.1.1: Model contractual clauses and codes of conduct on best practices on ABS developed and piloted Output 3.2.1: Guidelines for gender mainstreaming in ABS for local communities developed and implemented	GET	1,084,632	3,562,000
Component 4: Information, Education and Awareness on ABS	Technical Assistance	Outcome 4.1: Increased awareness in Uganda on the Nagoya Protocol on ABS	Output 4.1.1: Awareness and communication strategy on ABS developed and implemented Output 4.1.2 Roster of technical and communication experts on ABS developed and operationalized	GET	354,265	1,200,000
Sub Total (\$)					2,438,897	9,035,000
Project Management Cost (PMC)						
				GET	121,945	200,000
Sub Total(\$)					121,945	200,000

Project Management Cost (PMC)

Total Project Cost(\$)

2,560,842

9,235,000

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount(\$)
Government	National Environment Management Authority (NEMA)	Grant	500,000
Government	National Environment Management Authority (NEMA)	In-kind	1,735,000
Government	Uganda Wildlife Authority (UWA)	Grant	600,000
Government	Uganda Wildlife Authority (UWA)	In-kind	1,200,000
Government	National Forest Authority (NFA)	Grant	200,000
Government	National Forest Authority (NFA)	In-kind	800,000
Government	Plant Genetic Resources Centre (PGRC) - National Agricultural Research Organization (NARO)	Grant	150,000
Government	Plant Genetic Resources Centre (PGRC) - National Agricultural Research Organization (NARO)	In-kind	750,000
Government	Uganda National Council for Science and Technology (UNCST)	Grant	250,000
Government	Uganda National Council for Science and Technology (UNCST)	In-kind	800,000
Government	National Forestry Resources Research Institute - National Agricultural Research Organization (NARO)	Grant	150,000
Government	National Forestry Resources Research Institute - National Agricultural Research Organization (NARO)	In-kind	750,000
Government	National Chemotherapeutic Research Institute (NCRI)	Grant	100,000
Government	National Chemotherapeutic Research Institute (NCRI)	In-kind	300,000
Government	Makerere University	Grant	150,000

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount(\$)
Government	Makerere University	In-kind	500,000
CSO	Karamoja Women Cultural Group	In-kind	100,000
CSO	United Organization for Batwa Development in Uganda	In-kind	200,000
Total Co-Financing(\$)			9,235,000

D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

Agency	Trust Fund	Country	Focal Area	Programming of Funds	NGI	Amount(\$)	Fee(\$)
UNEP	GET	Uganda	Biodiversity		No	2,560,842	243,280
Total Grant Resources(\$)						2,560,842	243,280

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

F. Project Preparation Grant (PPG)

PPG Amount (\$)

100,000

PPG Agency Fee (\$)

9,500

Agency	Trust Fund	Country	Focal Area	Programming of Funds	NGI	Amount(\$)	Fee(\$)
						Total Project Costs(\$)	
						0	0

Core Indicators

Indicator 1 Terrestrial protected areas created or under improved management for conservation and sustainable use

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
0.00	170,316.00	0.00	0.00

Indicator 1.1 Terrestrial Protected Areas Newly created

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
0.00	0.00	0.00	0.00

Name of the Protected Area	WDPA ID	IUCN Category	Total Ha (Expected at PIF)	Total Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
-----------------------------------	----------------	----------------------	-----------------------------------	---	-----------------------------------	----------------------------------

Indicator 1.2 Terrestrial Protected Areas Under improved Management effectiveness

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)
0.00	170,316.00	0.00	0.00

Name of the Protected Area	WDPA ID	IUCN Category	Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)	METT score (Baseline at CEO Endorsement)	METT score (Achieved at MTR)	METT score (Achieved at TE)
-----------------------------------	----------------	----------------------	-----------------------------	---	-----------------------------------	----------------------------------	---	-------------------------------------	------------------------------------

Name of the Protected Area	WDPA ID	IUCN Category	Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)	METT score (Baseline at CEO Endorsement)	METT score (Achieved at MTR)	METT score (Achieved at TE)
Akula National Park Bwindi Impenetrable NP	125689	Select National Park		33,100.00					<input type="checkbox"/>
Akula National Park Echuya CFR	125689	Select Others		3,403.00					<input type="checkbox"/>
Akula National Park Kadam CFR	125689	Select Others		39,917.00					<input type="checkbox"/>
Akula National Park Mgahinga NP	125689	Select National Park		3,370.00					<input type="checkbox"/>
Akula National Park Mt. Moroto CFR	125689	Select Others		48,210.00					<input type="checkbox"/>
Akula National Park Napak CFR	125689	Select Others		20,316.00					<input type="checkbox"/>

Name of the Protected Area	WDPA ID	IUCN Category	Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Total Ha (Achieved at MTR)	Total Ha (Achieved at TE)	METT score (Baseline at CEO Endorsement)	METT score (Achieved at MTR)	METT score (Achieved at TE)
Akula National Park Semuliki NP	125689	SelectOthers		22,000.00					

Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female		175,441		
Male		202,472		
Total	0	377913	0	0

PART II: Project JUSTIFICATION

1. Project Description

PART II: PROJECT JUSTIFICATION

DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN WITH THE ORIGINAL PIF

The final project design is aligned to the original PIF; it preserves its main objective, strategy and structure. However, some adjustments were made to the outcomes and outputs based on discussions with expert reviewers, project partners, experts and key stakeholders during the PPG, aiming to improve precision in outputs and indicators so as to best achieve the outcomes and the overall objective. While the original number of outcomes and outputs were eleven (11) and twenty eight (28) respectively, these have been reduced to seven (7) and nine (9) respectively. From the technical reviews at GEF, several adjustments were suggested, including merging some outputs which necessitated the reduction. The general focus of the project was, however, not changed and although the activities were reduced, the thrust was however not changed. Based on technical reviews, while component 2 was reduced to three outcomes. Component 3 was reduced to two outcomes, with the main thrust being put on the development of contractual clauses and codes of conduct. These changes were necessitated by the fact that the outcomes and outputs mentioned above would most likely not be achieved by the project. Some outcomes were also adjusted, if it was thought that they were unattainable or out of control of the project. For example, Outcome 1.1 in the PIF read, “National ABS regulatory and institutional frameworks in compliance with the Nagoya Protocol on ABS in place”, it was amended to “National ABS regulatory and institutional frameworks in compliance with the Nagoya Protocol on ABS in place and operational”. On the one hand, while it will be possible to review, update and harmonise the existing legislation in line with the Nagoya Protocol, the process of enacting the various legislation into law lie with the Cabinet (for drafting) and Parliament (for enacting). These processes will most definitely be outside the control of the project and it would be unrealistic to plan for them.

1a. *Project Description*

1.1. Global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description);

This project has been conceived to strengthen the capacity of people and government of Uganda to harness the potential economic benefits of the country’s rich biological diversity in a sustainable manner, and to share these benefits in a fair and equitable manner among people and entities that have a direct stake in the resources in the form of business, employment, research, technology transfer and capacity development opportunities. These new opportunities will lead to the conservation of Uganda’s genetic resources and associated traditional knowledge; and also ensure that access to these genetic resources and the benefits arising from their utilization are shared in a fair and equitable manner. The project goal, therefore, is to conserve Uganda’s genetic resources and associated traditional knowledge and access and share the benefits arising out of their utilization in an equitable

and sustainable way; while the project objective is to strengthen institutional capacity for effective implementation of the Nagoya Protocol and conduct effective awareness campaigns on ABS in Uganda.

Uganda covers an area of 241,038 sq. km. and has a tropical climate with an average temperature ranging from 18-28 degrees centigrade. Uganda is endowed with a vast array of landscapes of incredible aesthetic beauty, ranging from glacier-topped mountains, rain forests, savannahs and dry deciduous acacia bush-land to numerous lakes, rivers and wetlands. The diversity of the country's landscape, along with a wide variation in climate and soils, combine to give Uganda an impressive range of terrestrial and aquatic ecosystems. Open water areas account for 17% of the country's surface area, dominated by five major lakes (Victoria, Albert, Kyoga, Edward and George), as well as about 160 minor lakes and an extensive river system. Wetland ecosystems including swamp forests, papyrus and grass swamps account for somewhere between 11-13% of the country, and natural forests and woodlands together cover an area of nearly 50,000 km². Uganda has designated many areas under different forms of protection, including 10 National Parks, 12 Wildlife Reserves, 10 wildlife sanctuaries, 5 community wildlife areas, 506 central forest reserves, 191 local forest reserves and 12 Ramsar Sites.

With its wide range of habitats, Uganda is a country of exceptional biological diversity, encompassing a zone of overlap between the savannahs of East Africa and the West African rain forests since it lies in the inter-convergence zone of the global tropical climate. 18,783 species of fauna and flora have been recorded in the country, which places Uganda among the top ten most biodiverse countries globally. Uganda is host to 53.9% (400 individuals) of the world's remaining population of mountain gorillas, 11% (1,057 species) of the world's recorded species of birds (50% of Africa's bird species richness), 7.8% (345 species) of the Global Mammal Diversity (39% of Africa's Mammal Richness), 19% (86 species) of Africa's amphibian species richness, 14% (142 species) of Africa's reptile species richness, 1,249 recorded species of butterflies, and 600 species of fish. Plant genetic resources (PGR) in Uganda range from little known indigenous wild fruits and vegetables, pastures and forages, medicinal plants, indigenous staples like millet and sorghum to introduced crops such as maize, tobacco, coffee, cotton and beans.

Uganda has a total of 56 major ethnic groups, of which the Batwa, the Karamojong and the Benet are considered indigenous groups, constituting approximately 3.3% of the total population of 34.8 million (2014 census). The three indigenous populations are represented by the United Organization for Batwa Development in Uganda (from Kisoro); the Karamoja Women Cultural Group (from Karamoja); and the Benet Group from Mt Elgon, and the three associations are planning to establish a national office in Kampala to help them better coordinate their activities. These associations also network with similar organizations in neighbouring countries on various issues, including advocating for the protection of traditional knowledge and practices and the formulation of policies for the protection of the rights of the indigenous groups. Indigenous groups in Uganda utilize traditional knowledge in a variety of ways, most importantly for production of foods and medicines. For example, the Karamojong are mainly pastoralists and much of their culture is associated with animal keeping; the treatment of animal diseases depends heavily on the use of herbs, including extracts from sandalwood for the treatment of wounds, swellings and other ailments in cattle, sheep and goats (sandalwood extracts are also used to preserve milk products). Karamojong also rely heavily on the use of herbs for treatment of diseases in humans. Because biological resources are so important, anyone found cutting medicinal plants is punished in Karamojong communities.

In Uganda, over 80% of the population depends directly on the exploitation of natural resources, and the high levels of diversity in plants and animals in the country contribute greatly to the ability of the population to secure benefits in terms of food provision/security, medicines, and income generating opportunities. However, a number of threats to Uganda's biodiversity arise from the fact that flora and fauna species are not considered economically important by local communities and development sectors, and economic actions that degrade or cause a loss of biodiversity are perceived to be more profitable than conserving native species or the habitats on which they depend. Some of the most important threats to biodiversity in the country include the loss of habitat due to clearance of forest cover for settlement and agriculture and encroachment on and drainage of wetlands for grazing and agriculture; overharvesting of wood to satisfy the high demand for forest products like charcoal, fuelwood and timber; poaching and illicit trade in species for food, medicines, cash and game trophies; replacement of local crop varieties with introduced commercial varieties, leading to loss and neglect of traditional varieties, including crop wild relatives; and the introduction of new animal breeds that replace local breeds, and cross-breeding of introduced and local breeds, which reduces the overall genetic variability of animals being reared. In each of these cases, the value of genetic and species diversity is perceived to be less than that of the destructive activities that degrade this diversity.

There are several reasons why biodiversity is not more highly valued, including lack of (or inability to exercise) ownership of resources; displacement of the costs of ecosystem degradation onto others; poor regulatory and enforcement capacities; etc. But a key issue in many cases is the lack of mechanisms / systems to identify and establish value addition to genetic resources and ensure that it is fairly allocated to local communities. Without value addition to biodiversity, destructive use of biodiversity by local communities will continue leading to loss of species and ecosystem services that are vital for human well-being, and especially for the poorest and most vulnerable local communities and populations (i.e. women and children; indigenous groups). More broadly, the potential benefits that Uganda can receive from the exploration and exploitation of its genetic resources for drugs, medicines, food, and agrochemicals has yet to be explored in any detail, which further contributes to the undervaluing of genetic resources and their consequent overexploitation. In addition, traditional knowledge of local communities that is associated with genetic resources is disappearing, and important forms of traditional knowledge such as medicinal uses for biological resources (e.g. herbs extracted from local plants) are being replaced by modern technology and products.

Globally biodiversity is in decline and many factors are contributing to the decline. The Millennium Ecosystem Assessment report of 2005 identifies human activities as the main cause of changes in biodiversity and these include over-exploitation, pollution, and the impacts of Invasive Alien Species, among others. The Nagoya Protocol on ABS has the potential to reduce loss of biodiversity through access and benefit sharing arrangements that promote the conservation and sustainable use of biodiversity. Uganda is a Party to the Nagoya Protocol whose objective is the fair and equitable sharing of benefits arising from the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to the technologies, and by appropriate funding thereby contributing to the conservation of biological diversity and the sustainable use of its components. The implementation of the Protocol thus contribute to improving livelihoods especially of local communities, secure human wellbeing, and promote conservation, sustainable use and equitable benefit sharing of biodiversity.

The long-term solution advanced by this project is to conserve biological and genetic resources of Uganda in compliance with the Nagoya Protocol (NP). However, Uganda must overcome the following barriers that currently prevent the fulfilment of the proposed solution, as described below.

Weak or non-existent national regulatory and institutional framework for ABS

Although Uganda has made notable progress in developing policy, legal and institutional frameworks for the management of ABS, a number of barriers remain. A preliminary assessment has identified numerous gaps which need to be addressed in the current national legislation on ABS, including *inter alia*: i) Mechanisms for negotiating PIC and MAT; ii) Monitoring utilization of genetic resources & designation of checkpoints & certificate of compliance; iii) Access of genetic resources for development of commercial products in-country; iv) Regulation of access of genetic resources for multiple uses for example food, medicine, spices; v) Intellectual Property considerations for ABS and inter-relation with the patent laws; vi) Effectiveness of the EIA process for ABS. In terms of policy barriers, the existing National Environment Management Policy and the National Environment Act do not adequately address ABS issues; existing mechanisms for coordination and enforcement of legislation on ABS are inadequate; guidelines for Collaborative Forest Management (CFM) and Revenue Sharing (RS) are out of date and are not in conformity with the requirements of the Nagoya Protocol on ABS and the national legislation on ABS; and there is a lack of agreements and mechanisms for ensuring the fair distribution of monetary and non-monetary benefits stemming from medicinal products derived from genetic resources. At the institutional level, weak institutional capacity, and a lack of clarity on the roles and responsibilities of different institutions (as well as other stakeholders including indigenous and local communities), has prevented effective implementation of national legislation on ABS. In addition, Uganda needs to designate more than one National Competent Authority in order to effectively implement the Nagoya Protocol ABS, particularly in terms of enforcement.

Little and in some cases no capacity building for implementation of the Nagoya Protocol on ABS

Effective implementation of the Nagoya Protocol on ABS requires substantial institutional capacities, which are not yet entirely in place in Uganda. For example, although Uganda has clear institutional arrangements for implementation of ABS, UNCST as the NCA does not have adequate personnel or sufficient training to execute its functions, while the ABS National Focal based in NEMA has no supporting structures at the national and sub-national level to handle the various aspects of ABS. As a result, at these institutions lack the capacities and expertise required to handle applications or to develop and monitor compliance to MAT; have inadequate negotiation, coordination and networking skills and

mechanisms; and lack capacity to enforce compliance measures. Uganda is lacking in trained and skilled personnel to manage ABS. Most practicing plant taxonomists are not trained in plant taxonomy but are drawn from such diverse fields like forestry, ecology, entomology, pathology, etc., and most work for public or national institutions that suffer from chronic funding shortfalls. Existing depositories lack systems for proper management and sharing on genetic resources accessed under ABS arrangement. There is no national database of natural collection specimens with checklists and species distribution maps because of the significant gaps in information on taxa in the country.

Weak and/or poor ABS Management at the Local Community Level

Implementation of effective ABS regimes in Uganda is constrained by the lack of management structures, capacities and practical experiences at the local community level. At present, there is no working model at the community level for implementing national ABS legislation, and there are no PIC and MAT templates that are community responsive and culturally appropriate. In general, district local governments and rural communities have little to no skills or experience ABS negotiations, or enforcement of ABS laws and regulations. Community organization around natural resource management and use is also minimal – none of the communities adjacent to central forest reserves in Karamoja region have established Collaborative Forest Management (CFM), which reduces the potential for collaboration between communities and government agencies and the ability of local residents to negotiate formal agreements on ABS. In south western Uganda the Batwa depend on medicinal plants to treat a number of diseases like pneumonia, backache, controlling/stopping bleeding from the nose or from accidents, treatment for pregnant women among others. Historically, the Batwa were forest-dwelling hunter-gatherers, maintaining livelihoods within the high altitude forests around Lake Kivu and Lake Edward in the Great Lakes region of Central and East Africa. The Batwa are widely regarded by their neighbours, and historians, as the first inhabitants of the region, who were later joined by incoming farmers and pastoralists approximately 1000 years ago. Today, the Batwa are still living in Rwanda, Burundi, Uganda, and eastern Democratic Republic of Congo. In each of these countries the Batwa exist as a minority ethnic group living amongst the largely Hutu and Tutsi populations. In Uganda their neighbours are the Bafumbira and Bakiga People. Approximately 6,700 Batwa now live within the present State boundaries of Uganda, with approximately half living in the south-west region of Uganda. The Batwa in this region are former inhabitants of the Bwindi Impenetrable National Park, Mgahinga Gorilla National Park, Semuliki National Park and Echuya forest Reserve, where they lived since time immemorial in coexistence with the environment and in full reliance on the forest for their physical, economic, spiritual, and social sustenance. They were evicted from these protected areas upon their declaration and they now live adjacent in communal groups.

Lack of Information, Education and Awareness on ABS

Issues relevant to ABS are not widely known or understood in Uganda. Uganda has not yet established national Clearing House Mechanisms on ABS, and to date there is no reliable national platform to support information sharing and public awareness on ABS issues. At national level, local level, communities, district governments and other local decision makers are not aware of the tangible benefits that can be accrued from effective implementation of the Nagoya Protocol on ABS and as well as the national legislation on ABS.

1.2. Baseline scenario and any associated baseline projects

Baseline analysis and gaps

The main objective of this project is to strengthen institutional capacity for effective implementation of the Nagoya Protocol and to conduct an effective awareness campaign on ABS in Uganda. This is necessary because the existing policies, laws and guidelines do not adequately address ABS issues as well as their coordination and enforcement. In addition, existing institutional and personnel capacity to effectively implement the Nagoya protocol and national ABS regulations is weak. Moreover, there is lack of management structures and working models at the local government and community levels for implementing national ABS legislation. This is partly exacerbated by the poor awareness and understanding of ABS issues in the country. The above situation can be categorised into four major areas, which form the four component areas of intervention by this project.

Uganda has been making enormous efforts to conserve natural biodiversity by implementing a wide range of conservation plans and programmes, including the National Biodiversity Action Plan, first produced in 2002 and subsequently updated in 2012. The Constitution of the Republic of Uganda provides for state protection of natural resources on behalf of the people (National Objective XIII) and the rational use of natural resources so as to safeguard and protect the biodiversity of Uganda (National Objective XXVII). The National Environment Management Authority (NEMA) was established in 1998 under the Ministry of Agriculture and Forests (MoAF) as an implementing agency of the Convention on

Biological Diversity (CBD) and to coordinate biodiversity conservation and sustainable use programmes in the country. However, there are no clear systems, rules, procedures, roles and responsibilities of different institutions and stakeholders for effective implementation of PIC and MAT during ABS. Existing ABS guidelines are not adequately aligned to the Nagoya Protocol. Currently there is no clear system or mechanism in place to ensure compliance to PIC and MAT. Uganda has no national policy on access to genetic resources

Although Uganda has designated its national focal point for the Clearing-House Mechanism (CHM) as NEMA, information management has yet to be consolidated. The constraints on this process are therefore analysed, and options for information delivery are provided. In addition to these concerns, Uganda also faces various capacity constraints in implementing ABS measures. The critical capacity needs include public education and awareness, information acquisition and management, technology development, sustainable national financing, support for ex-situ conservation, and development of effective partnership for management of Uganda's genetic resources. There are no checkpoints currently designated for effective implementation of the Nagoya Protocol (incl. checking ABS information/permits). The local governments are among the lead agencies that are required to issue PIC but this function is not being executed due to lack of knowledge and capacity on ABS. This is partly due to the fact that ABS is currently not taught by any tertiary or integrated in any curriculum of institution in Uganda. Therefore, there is inadequate capacity to articulate and negotiate PIC and MAT among scientists, social workers and lawyers in the country. This is further hampered by the lack of systems for proper management and sharing of information accessed through PIC and MAT. With regards to regulation of administration of genetic resources, there is low capacity since only one competent authority presently handles all ABS issues for all categories of genetic resources in the country.

In order to formulate and effectively implement a national access and benefit-sharing regime, Uganda urgently requires the necessary capacity. This should be drawn from a wide range of disciplines with skills in the legal and policy aspects, as well as scientific and technical issues, IPRs, and local communities' roles and rights in an access regime. There are a number of areas that should be given some special attention: planning for natural resources and ABS at lower levels of management, e.g. community level, sensitization of customs officials on ABS, and identification of species. There are no community structures for ABS management in the country. Local communities are not adequately sensitized and/or trained on PIC and MAT. Moreover, there are no models of best practices in ABS-based community initiatives in Uganda. Even the current CFM guidelines are not adequately aligned to ABS, especially with regards to PIC and MAT.

Issues relevant to ABS are not widely known or understood in Uganda. Uganda has not yet established national Clearing House Mechanisms on ABS, and to date there is no reliable national platform to support information sharing and public awareness on ABS issues. At national level, local level, communities, district governments and other local decision makers are not aware of the tangible benefits that can be accrued from effective implementation of the Nagoya Protocol on ABS and as well as the national legislation on ABS.

Associated baseline projects

This project is linked to various GEF and non-GEF efforts that have been implemented in Uganda. For example the programme on "Enhancing Livelihoods of Local Communities Dependent on Echuya Forest" has been implemented by Nature Uganda, and various local partners. The main focus of this project to enable communities to gain benefits by claiming their rights to manage the natural resources in and around Echuya and to influence forestry policy. Earlier, the "Prime West" programme in the early 2000s operated in and around protected areas in Western Uganda. This programme initiated several collaborative forest management, conflict resolution, and enhancing economic opportunities through better conservation and use of natural resources. The "Rights Equity and Protected Areas Project" has operated around Queen Elizabeth National Park, providing advocacy on community rights to resource access, use and equitable sharing of costs and benefits of conservation. The "United Organization for Batwa Development in Uganda" works with communities outside Echuya Forest Reserve to improve participation of the Batwa in various economic development programs and represent the Batwa's concerns to stakeholders across the area.

Other initiatives which this project is linked to, include:

a) The UNDP-GEF project "Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo Critical Landscape (KCL) in North Eastern Uganda" (2013-2017): The goal of this project is to "conserve the biodiversity and ecosystem values of the KCL to provide sustainable benefit flows at local, national and global levels through enhanced operational capacity and functional landscape planning approaches". The project is designed to protect the biodiversity of the Kidepo Critical Landscape in North Eastern Uganda from existing and emerging threats by strengthening PA management and integrating it into the wider landscape. The KCL project will provide valuable experiences and

lessons learned on the management of biodiversity outside protected areas, support to community-based initiatives for conservation and sustainable use of biodiversity, value addition to biodiversity-based products, protection of endangered species targeted for trade, and how to establish and operate district coordination mechanisms. Karenga is within the Kidepo Critical landscape and the exact ways of how the two projects will coordinate their work in Karenga forest reserve will be determined at the PPG stage

b) The UNEP-GEF global project “Support to GEF Eligible Parties (LDCs & SIDs) for the Revision of the NBSAPs and Development of Fifth National Report to the CBD - Phase 1” (2012-2016): The objective of this project in Uganda has been to enable Uganda to revise its NBSAP (first developed in 2002) and to develop and submit its 5th national report to the CBD. The revised NBSAP 2 and the 5th national report have been submitted to the CBD Secretariat and can be viewed at: <https://www.cbd.int/countries/?country=ug> and www.cbd.int/reports/nr5/ respectively. The revised and updated NBSAP 2 addresses ABS issues, and the development of this proposed project takes into account the provisions of the NBSAP 2 on ABS.

c) Global support for ratification and entry into force of the Nagoya Protocol on ABS (2013-2016): Through this project, Uganda ratified the Nagoya Protocol on 25 June 2014. In addition to supporting the ratification process, additional activities carried out under the project were undertaking an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) regarding policies & laws relevant to ABS, with a focus on national ABS regulations. The information generated from the SWOT analysis has been used in the development of the proposed project.

d) The Biodiversity Finance Initiative (BIOFIN) launched by UNDP in 2012 is a new global partnership seeking to address global biodiversity finance challenges by assisting developing countries in identifying, accessing, combining and sequencing sources of biodiversity funding to meet their specific needs. The key outcome of the project in Uganda will be a resource mobilization plan for implementing the NBSAP II, which will include resources for ABS and development of new financing approaches such as public private partnerships.

1.3. Proposed alternative scenario with a brief description of expected outcomes and components of the project;

This project will contribute significantly towards conservation and sustainable management of Uganda’s biological diversity, which ranks among the top ten of all countries in the world, and it will promote the conservation of traditional knowledge for the use and conservation of these resources. Uganda’s biodiversity is a strategic resource for the country because its genetic resources have a high potential for application in industries such as cosmetics, therapeutics, biomedicine, and agro-industry, among others.

The project is consistent with the eligibility criteria and priorities of the GEF Trust Fund (GEF-TF) as it will support the Government of Uganda to develop the national ABS framework and strengthen the capacity to implement the Nagoya Protocol. In addition, the project will facilitate pilot projects targeting local communities for in-situ conservation as well as access to genetic resources and equitable sharing of the benefits arising out of their utilization. Lessons from this project will be used to replicate the project activities in other areas of Uganda, regionally and globally.

The project also addresses the GEF6 BD3 Program 8 Focal Area (Implementing the Nagoya Protocol on ABS) objectives of measuring “progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area”. The project will contribute towards the achievement of a number of CBD Aichi Targets, namely: Target 1, by increasing the awareness of people in Uganda about the values of biodiversity and the steps they can take to conserve and use it sustainably; Target 12, by preventing the extinction and/or improving the conservation status of threatened species; Target 13, by maintaining the genetic diversity of cultivated plants and of wild relatives, including other socio-economically as well as culturally valuable species, and by developing and implementing strategies for minimizing genetic erosion and safeguarding their genetic diversity; and Target 18, by better involving and respecting the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity.

The project will strengthen and operationalize the national policy, legal and regulatory framework for ABS, build capacity for its implementation through a range of training, awareness-building and supportive information management and guidance outputs, and demonstrate best practice ABS processes recognizing the principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits. This will make it possible to develop incentives for conservation of biological diversity

and sustainable use of its components, which will contribute to efforts by the international community to halt the loss of biodiversity and avoid misappropriation of GR and associated TK.

The project goal is to conserve Uganda's genetic resources and associated traditional knowledge and access and share the benefits arising out of their utilization in an equitable and sustainable way and the project objective is to strengthen institutional capacity for effective implementation of the Nagoya Protocol and conduct effective awareness campaigns on ABS in Uganda. The project objective will be achieved through the implementation of several activities which will be focused at two main levels of intervention: (i) the national level, in order to establish the national regulatory and institutional framework, and develop national capacity for governance of the framework and technical support measures for its implementation; and (ii) district / local level, to demonstrate pilot ABS activities in the field in collaboration with ILCs and other stakeholders, and to raise awareness and understanding of ABS processes and their regulatory framework. The activities are detailed out below.

(a). Component 1: Strengthened National Regulatory and Institutional Framework for ABS

This component will seek to strengthen the regulatory and institutional framework for ABS and traditional knowledge and bring it into compliance with the Nagoya Protocol. By so doing, Uganda will: (i) fulfil her legal obligation to fully implement CBD; (ii) ensure that all bio-prospecting initiatives are legally carried out and the benefits fairly and equitably shared; (iii) encourage the establishment of systems for open exchange of information among key stakeholders; (iv) promote the recognition of Traditional Knowledge (TK) associated with biological resources; (v) promote recognition of the value of biological resources and diversity, and; (vi) enable custodians of these resources and associated TK to receive benefits and alternative livelihood opportunities. The outcome from activities under this component are described below:

(i). Outcome 1.1 National ABS regulatory and institutional frameworks in compliance with the Nagoya Protocol on ABS in place and operational

•***Output 1.1.1: National ABS regulatory frameworks in place and operational.*** This will be achieved through a fully participatory process involving:

- Identifying gaps, strengths and weaknesses in the current national regulatory framework.
- Developing the national ABS policy and updating existing regulations and guidelines
- Facilitating approval of ABS policy, regulations and guidelines by the Ministry of Water & Environment
- Translating, printing and disseminating the ABS policy, regulations and guidelines

• ***Output 1.1.2: Institutional framework compliant with the Nagoya Protocol in place and operational.*** This will be achieved through a fully participatory process involving:

- Designating check points to enforce compliance to the national ABS regulatory framework
- Establishing a system of certification of compliance and origin.
- Developing a national electronic system for monitoring of compliance to PIC and MAT
- Developing an online ABS permit management system for monitoring PIC and MAT as well as the online permit management system

(b). Component 2: Capacity building for the implementation of the National ABS

This component will result into the designation of additional two Competent National Authorities (CNAs) to handle PIC and MAT associated with wildlife and forestry. This component will also help to establish a capacity building programme to expedite implementation of the Nagoya Protocol on ABS with a focus on strengthening the institutional capacity of NEMA, UNCST, NARO, MAK and district local governments for effective implementation of the Nagoya Protocol on ABS. The outcomes and activities under this component are described below:

(i). Outcome 2.1: Government agencies have the skills and competency to implement and enforce compliance to the Nagoya Protocol

•***Output 2.1.1: Government agencies at national and sub-national level trained on the implementation and enforcement of Nagoya Protocol on ABS.*** This will be achieved by:

- Conducting a Training Needs Assessment (TNA) among government agencies at national and sub-national level to identify training needs required for effective implementation and enforcement of Nagoya Protocol on ABS.
- Training of representatives of selected government agencies at national level on the full cycle of ABS regime management.
- Training of designated checkpoints on global certification of compliance and origin, monitoring and compliance to PIC and MAT
- Training of representatives of selected government agencies at sub-national level on the full cycle of ABS regime management.

(ii). Outcome 2.2: Makerere University training and producing professionals with knowledge on ABS

- Output 2.2.1: Training curriculum at Makerere University updated to incorporate ABS for long-term capacity building.*** This will be achieved through a stakeholder participatory approach called DACUM (Developing A Curriculum) approach and will involve the following activities:
 - Defining the required training level for an ABS programme and teaching resources (physical, human, logistical and financial).
 - Developing or updating the curriculum content to include ABS competencies.
 - Approval of the draft curriculum by the University administration.
 - Enriching/updating the teaching notes to reflect ABS competencies in case of topics already available in the present curriculum.

(iii). Outcome 2.3: ABS National Focal Point and CNAs effectively carrying out their functions

- Output 2.3.1: Capacity of NFP and CNAs for effective implementation of the Nagoya Protocol on ABS strengthened.*** This will be achieved by:
 - Training Needs Assessment (TNA)
 - Technical Capacity and Institutional Needs Assessment (TCINA)
 - Develop toolkit for ABS regime management
 - Training program for NEMA and CNAs on ABS
 - Procurement of office equipment and tools for PMU

(c). Component 3: Strengthening ABS Management at the Local government and Community Level

This component will support the development of community protocols on traditional knowledge; pilot activities on the sustainable use of genetic resources, including collaborative forest management programmes, within a formalized ABS framework in the Karamoja region of north-eastern Uganda and in south-western Uganda. The outcomes and activities under this component are described below:

(i). Outcome 3.1: Effective working models for ABS at the local community level

- Output 3.1.1: Model contractual clauses and codes of conduct on best practices on ABS developed and piloted.*** This will be achieved by implementing the following pilot projects:
 - Pilot 1 – Documentation and of indigenous traditional medicinal knowledge among Batwa IPLCs for herbal product development. This will be accomplished by:
 - Identifying and documenting traditional knowledge, community values and principles of the Batwa IPLCs.
 - Identifying the specific bio-prospecting sites and availability of selected plants.
 - Developing field plant sample collection and processing protocols.
 - Undertaking field collection of plant samples and formulation of crude extracts with potential therapeutic activity against malaria, wounds and swellings.

- Conducting evaluation tests to determine the safety and efficacy levels of the bio-products and additional laboratory tests to establish product stability and quality parameters.
- Undertaking market studies on the formulated bio-products to establish acceptability and customer preferences.
- Developing a product dossier detailing the attributes of the medicinal products so as to inform the registration process.
- Registering the developed bio-products with the Uganda Registration as owned by the provider communities where the plant genetic resources originated
- Pilot 2 – Development and implementation of community protocols on access to Sandalwood (*Osiris lanceolata*) genetic resources in Karamoja, including their conservation and sustainable use. This will be done by:
 - Scoping and consulting with elders and key informants on the Karimojong culture to generate baseline information for the development of community protocols.
 - Developing community protocols, which will be actual written documents (in English and local languages) which will include best-bet contractual clauses and codes of conduct on best practices on ABS as well as measures and mechanisms to protect traditional knowledge associated with genetic resources.
 - Signing the community protocols by community leaders, witnessed by NEMA, CNAs and district leadership.
 - Printing and disseminating the community protocols to all relevant stakeholders.
 - Piloting the community protocols among the Batwa and Karimojong IPLCs during project implementation, especially for negotiation of PIC and MAT, partnership agreements, bio-product formulation, etc.
 - Developing and transferring best practices of sandalwood regeneration and planting through research and development
 - Documenting lessons learned during implementation for further refinement of the protocols.
- Pilot 3 – Development of *Prunus africana* ABS compliant value chains around Bwindi forest reserve in western Uganda. This will be achieved by:
 - Mapping the *Prunus africana* value chain by identifying the focus, scope, sellers, buyers and relevant issues.
 - Reviewing the environment, social and economic impacts of developing the value chain including identifying risks and opportunities, market demand and needs, and legal requirements.
 - Assessing the priorities for the *Prunus* value chain based on a risk and opportunity matrix so as to know the best-bet options.
 - Identifying the best-bet options for the *Prunus* value chain, including their financial, technical and operations feasibility.
 - Developing an implementation plan.
 - Implementing the value chain
- Pilot 4 – Development of ABS-compliant collaborative forest management agreements for communities around seven protected areas of Uganda. This will be achieved through:
 - Community sensitization and awareness creation on CFM, its context, roles and responsibilities of the communities in CFM.
 - Identification of interested groups and institutions, their roles and responsibilities and priority genetic resources for CFM by each group/institution.
 - Application for CFM to NFA/UWA by the various interested groups/institutions.
 - Review/verification of CFM applications from applicant groups/institutions.
 - Situation analysis of the different genetic resources for CFM by selected CFM groups/institutions for the development of CFM plans.
 - Negotiations by the selected groups with NFA/UWA for implementation of CFM.
 - Signing of CFM agreements between NFA/UWA and group/institutions.
 - Launching and implementation of CFM activities in 4 CFRs (supervised by NFA) and 3 National Parks (supervised by UWA).

(ii). Outcome 3.2: Effective participation of men and women in benefit sharing

- Output 3.2.1: Guidelines for gender mainstreaming in ABS for local communities developed and implemented.*** This will be achieved by:
 - Identifying and selecting specific localities among the Batwa and Karimojong communities to pilot mainstreaming of gender in ABS activities.

- Conducting a gender analysis and scoping exercise to: (i) identify gender gaps among the communities; (ii) identify the role of women in decision-making at the community level; (iii) consider the governance of the communities through a gender lens, to assess whether there are any gender stereotypes that disadvantage either women or men.
- Developing specific guidelines for gender mainstreaming, including: (i) gender budgeting; (ii) gender-related requirements e.g. in personnel recruitment and procurements; (iii) mapping of the situation of women and men in the project sites; (iv) elaboration of gender-specific objectives in the pilot activities.
- Translating the guidelines into local languages and disseminate them to all relevant stakeholders.
- Implementing the guidelines in all pilot project activities.

(d). Component 4: Information, Education and Awareness on ABS

This component will address the need to increase public awareness and understanding on the Nagoya Protocol on ABS. The project will carry out a suite of activities under this component to enhance understanding of ABS issues and the benefits associated with sharing information on the ABS and implementation of the Nagoya Protocol on ABS.

(i). Outcome 4.1: Increased awareness in Uganda on the Nagoya Protocol on ABS

•***Output 4.1.1: Awareness and communication strategy on ABS developed and implemented.*** This will be achieved by:

- Conducting stakeholder consultations to capture and document views, perceptions and recommendations for an ABS awareness and communications strategy.
- Undertaking desk review of key documents and processes governing key aspects pertaining to ABS's communication in Uganda and incorporate them into the Awareness and Communications Strategy.
- Conducting stakeholder validation of the draft Awareness and Communications Strategy.
- Submitting the validated Awareness and Communications Strategy on ABS to Policy Committee of the Ministry of Water and Environment for consideration.
- Submitting the Awareness and Communications Strategy to the Minister for Water and Environment for approval and signing.
- Printing and disseminating the strategy to all project stakeholders (government and non-government), including uploading a copy to the ABS Clearing House.

•***Output 4.1.2: Roster of technical and communication experts on ABS developed and operationalized.*** This will be achieved by:

- Reviewing and profiling all institutions and their experts who are currently active on issues pertaining to ABS.
- Profiling the areas of expertise/technical capabilities of all the experts/institutions.
- Documenting the current locations; physical, email and skype addresses; as well as telephone contacts of the experts.
- Documenting the availability of the experts and their willingness to provide technical assistance/expertise when called upon.
- Developing a searchable database of the experts and uploading it on to ABS-CH.

1.4. Alignment with GEF focal area and/or Impact Program strategies;

The project directly contributes to GEF 6 BD-3: Program 7: Securing Agriculture's Future: Sustainable Use of Plant and Animal Genetic Resources, Outcome 7.1: Increased genetic diversity of globally significant cultivated plants and domesticated animals that are sustainably used within production systems. It also contributes GEF 6 BD-3 Program 8: Implementing the Nagoya Protocol on Access and Benefit Sharing, 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

1.5. Incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF and co-financing

This project aims to overcome the obstacles to efficient management of access to genetic resources (GR) and associated traditional knowledge (TK) to promote conservation of biodiversity in Uganda. The Government of Uganda (GOU) is determined to develop GR and associated TK management strategies that are expedite and profitable for all the stakeholders of the regulatory chain. Priority will be awarded to the creation of capacities of all stakeholders to provide them with solid elements for decision making and to negotiate prior informed consent and mutually-agreed terms to empower indigenous and local communities while promoting a regulatory climate that fosters the development of productive projects with national and international environmental benefits.

Under GEFTF and co-financing mechanisms, this project will consolidate actions to conserve and sustainably use genetic resources and related traditional knowledge in Uganda through the development and implementation of a national policy and legal and institutional framework on ABS in line with the CBD and the Nagoya Protocol. Outcome 1.1 involves developing a national policy, legal and institutional framework to enable the implementation of the Nagoya Protocol. The incremental activities under this component involve supporting the regulatory process to ensure the adoption of an instrument that is efficient and effective in promoting access and benefit sharing and protects associated traditional knowledge; and ensuring that an institutional framework is in place for ABS, including formal coordination mechanisms between institutions to achieve conservation and sustainable use goals. The development of a regulatory framework consistent with ABS will complement the current actions of the Government to promote sustainable development based on the sustainable use of the country's natural capital as well as the transition to the development of bio-economic projects as prioritized by the current administration. The incremental activities under component 2 of the project focus on capacity building, notably: increasing the capacity of new and existing national agencies with ABS competencies and ensuring that national stakeholders are informed about the regulatory and institutional framework for ABS.

The incremental activities under components 3 and 4 include development of communication, education and public awareness materials (e.g. posters, brochures, manuals, training modules) to educate stakeholders, namely indigenous and local communities, public and private sector users, local populations and the media; establishing a national communication and public awareness campaign strategy to familiarize stakeholders with ABS, bio-prospecting and value chains; developing a model ABS agreement(s) to provide a basis for negotiating fair and equitable benefit-sharing; and a catalogue of Traditional Knowledge associated with GR. The Project also seeks to create national capacities that will empower GR Suppliers to be users as well of such resources and the TK to obtain benefits that are shared within their own communities.

1.6. Global environmental benefits

Globally biodiversity is in decline and many factors are contributing to the decline. The Millennium Ecosystem Assessment report of 2005 identifies human activities as the main cause of changes in biodiversity and these include over-exploitation, pollution, and the impacts of Invasive Alien Species, among others. The Nagoya Protocol on ABS has the potential to reduce loss of biodiversity through access and benefit sharing arrangements that promote the conservation and sustainable use of biodiversity. Uganda is a Party to the Nagoya Protocol whose objective is the fair and equitable sharing of benefits arising from the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to the technologies, and by appropriate funding thereby contributing to the conservation of biological diversity and the sustainable use of its components. The implementation of the Protocol thus contribute to improving livelihoods especially of local communities, secure human wellbeing, and promote conservation, sustainable use and equitable benefit sharing of biodiversity.

The proposed project, therefore, will enable Uganda to make its national contribution to the global environmental benefit of conserving biodiversity and sustainably using its components by building national capacity to implement ABS. The implementation of a functioning robust, transparent National ABS mechanism in Uganda will bring significant opportunities for research, technology development, innovation, products and processes with expected great economic and social returns. At the same time, adopting such green economic opportunities will provide durable incentives for biodiversity conservation. The consolidation of ABS will generate a wide variety of benefits, monetary and non-monetary, for providers of genetic resources and ATK, some of which will be reinvested in the biodiversity conservation and sustainable use. The resulting benefits will also support scientific capacity development, economic growth and the consolidation of the Uganda's biodiversity.

The project will, therefore, contribute towards the achievement of a number of CBD Aichi Targets, namely: Target 1, by increasing the awareness of people in Uganda about the values of biodiversity and the steps they can take to conserve and use it sustainably; Target 12, by preventing the extinction and/or improving the conservation status of threatened species; Target 13, by maintaining the genetic diversity of cultivated plants and of wild relatives, including other socio-economically as well as culturally valuable species, and by developing and implementing strategies for minimizing genetic erosion and safeguarding their genetic diversity; and Target 18, by better involving and respecting the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity.

1.7. Innovativeness, sustainability and potential for scaling up.

The project will put in place measures to harmonize the implementation of ABS under the Nagoya Protocol and the ABS under the International Treaty on Plant Genetic Resources for Food and Agriculture. The project also will work with the private sector, districts and lower local governments to establish a private-public partnership on ABS, the first of its kind in Uganda, and it will establish the country's first framework for sustainable harvesting of sandalwood by the private sector. To support financial sustainability, the project will work to integrate activities on ABS into sector budgets during the government's Medium Term Expenditure Framework (MTEF) planning processes, and it will liaise and advocate with the Ministry of Finance, Planning and Economic Development for sustained funding of ABS related activities. The relevant government sectors will be encouraged to include ABS in their annual plans. To support institutional sustainability, the project will seek to have additional institutions (apart from UNCST) designated as National Competent Authorities for the Nagoya Protocol, thereby focusing more institutional resources on ABS-related activities and oversight. Under Component 3, the project will establish an effective working model for ABS at the community level that can be replicated in other parts of the country, as there are many other native plant species that are being exploited in ways similar to that of sandalwood. For example, lessons learned from this project will be relevant to the management of *Prunus africana* in Kalinzu Forest reserve in western Uganda. The project will also establish and operationalise Community Forest Management (CFM) for the pilot CFRs, which will constitute the first CFM agreements for the Karamoja region.

A.2. Child Project?

If this is a child project under a program, describe how the components contribute to the overall program impact.

N/A

A.3. Stakeholders

Please provide the Stakeholder Engagement Plan or equivalent assessment.

2. Stakeholders (Stakeholder Engagement Plan or equivalent assessment)

It is planned that engagement of stakeholders, including project-affected groups, indigenous peoples, and local CSOs engagement will continue unabated during project implementation. This will be done to ensure that their views and concerns are made known and taken into account during the course of implementation. The PMU will ensure that the lead implementing partners will continue to hold consultations throughout project implementation as deemed necessary to address environmental and social impact assessment-related issues that affect them. To address this requirement and given the nature of the project, the stakeholder engagement plan is organized following the four components of the project.

Summary of Stakeholder Engagement Activities During Project Development

During project development, there have been a series of engagements involving information sharing and consultation activities with a range of project stakeholders. The project preparation phase was conducted through an extensive process of public consultations with different groups of stakeholders. Among the stakeholders were national level government agencies, district local governments, training and research institutions, regulatory agencies, local communities specifically Batwa and Karamoja IPLCs. The process was initiated by a project inception workshop on 5 - 6 November 2018 in Entebbe, Uganda during which the outlines of the project were presented and discussed. The participants in the workshop included the UNEP/GEF Project Focal person, Executive Director of NEMA, representatives of co-financing institutions, research and training institutions, civil society and IPLCs. The workshop report is available on request. Following the inception workshop, consultations with several stakeholders were undertaken, including one-on-one meetings with key institutions and focus groups to identify the priorities and concerns of local communities. During project preparation, local communities were given the opportunity to express their needs, expectations and concerns regarding the project. The main conclusions of these consultations have been considered in the project document.

Documents

Title

Submitted

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement.

D. Project Stakeholders and Stakeholder Engagement Program

During implementation, the project's main stakeholders remain the same, including the Batwa and Karamoja IPLCs as key providers of genetic resources and traditional knowledge, government agencies, agents of the judiciary and enforcement that play a role in ABS, as well as potential users of genetic resources and ATK. Participation of users and providers will continue to be stimulated through various workshops that will be focused on developing the procedures, guidelines and other specifics for implementing the National ABS law and reviewing the functioning of the information systems. Of particular relevance, users and providers will be encouraged to share their feedback during workshops and through other communication channels. The information acquired during this stage will be crucial for the implementation and functioning of the information systems. In addition under the project, a Technical Working Group will be established to provide backstopping on ABS issues to stakeholders. This group will provide a forum for continuous participation in improvements regarding the ABS operations and regulations in Uganda.

The goal of this stakeholder engagement plan is to involve all project stakeholders, including the GEF, as early as possible in the implementation process and throughout the project, and to ensure that their views and concerns are made known and taken into consideration. The plan will also help the project in ensuring effective communication channels and working relationships. The PMU and PSC will hold consultations with stakeholders throughout project implementation, through formal workshops, and informally as necessary.

We will engage the national experts with relevant expertise in ABS to provide technical backstopping as well as form a technical working group to advise on issues such as PIC and MAT, especially at community level. The National Environment Management Authority (NEMA) already hosts the statutory Technical Committee on Biodiversity, which has been involved from the beginning of project development. These will continue to play a vital advisory role during project implementation.

The key stakeholders have been consulted and their input has been incorporated into this proposal. Their expected engagement during the project implementation phase is described in the table below:

Stakeholder	Mandate	Project implementation role
National Environment Management Authority (NEMA)	<ul style="list-style-type: none"> · Coordinating, monitoring and supervision of environment management in Uganda; · Coordinating implementation of the CBD (as CBD-NFP) and NP (as ABS-NFP). 	<ul style="list-style-type: none"> · Overall project coordination · Implementing legislative review, capacity building and awareness-raising strategy
Uganda National Council for Science and Technology (UNCST)	<ul style="list-style-type: none"> · Coordinating and monitoring all research within the country. · Coordinating implantation of NP (as ABS-NCA) 	<ul style="list-style-type: none"> · Implementation of legislative review, capacity building, permit management, compliance to PIC and MAT
National Forest Authority (NFA)	<ul style="list-style-type: none"> · Sustainable management of Central Forest Reserves in Uganda 	<ul style="list-style-type: none"> · Development of CFM regulations · Implementation of CFM around 3 CFRs in eastern and 1 CFR in south western Uganda.
Uganda Wildlife Authority (UWA)	<ul style="list-style-type: none"> · Sustainable management of wildlife resources in Uganda 	<ul style="list-style-type: none"> · Review and updating of Revenue Sharing guidelines · Implementation of CFM around 3 protected areas (National Parks) in south western Uganda
Plant Genetic Resources Centre (PGRC)	<ul style="list-style-type: none"> · Ex-situ conservation of plant genetic resources of Uganda · National Focal Point for ITPGRA 	<ul style="list-style-type: none"> · Documenting plant genetic resources relevant for ABS · Capacity building in access to and storage of plant germplasm (as a depository og gentic resources)
National Forestry Resources Research Institute (NaFORRI)	<ul style="list-style-type: none"> · Research in all aspects of forestry in Uganda 	<ul style="list-style-type: none"> · Community capacity building in conservation of Sandalwood and Prunus · Establishment of community germplasm supplies of Prunus and sandalwood
Ministry of Local Government	<ul style="list-style-type: none"> · Coordination of local government policy · Supervision of local authorities 	<ul style="list-style-type: none"> · Participate in legislative reviews, ABS policy development and awareness creation
District Local Governments	<ul style="list-style-type: none"> · Management of natural resources at district level 	<ul style="list-style-type: none"> · Monitoring PIC and MAT for genetic resources outside protected areas · Enforcement of ABS national legislation · Awareness raising
Ministry of Finance, Planning and Economic Development (MoFPED)	<ul style="list-style-type: none"> · Developing and implementing financial and economic development policies · GEF Operational Focal Point 	<ul style="list-style-type: none"> · Resource mobilization for implementation of ABS in the country
National Chemotherapeutic Research Institute (NCRI)	<ul style="list-style-type: none"> · Research in natural products used by traditional medicine practitioners in Uganda 	<ul style="list-style-type: none"> · Provide technical inputs and laboratory facilities in formulation of bio-products
Ministry of Wildlife, Tourism and Antiquities (MTWA)	<ul style="list-style-type: none"> · Promotion of tourism, welfare of wildlife, and improvement of natural and other national historic sites and monuments. 	<ul style="list-style-type: none"> · Oversight role for genetic resources under Uganda Wildlife Authority (UWA).
Ministry of Water and Environment (MWE)	<ul style="list-style-type: none"> · Developing, managing, and regulating water and environment resources in Uganda. 	<ul style="list-style-type: none"> · Monitoring and supervision of project implementation.

Uganda Revenue Authority (URA)	<ul style="list-style-type: none"> · Providing advice to government on matters of policy relating to all revenue sources. 	<ul style="list-style-type: none"> · Provide advice on strategies for improving border control on commercial international exchange of genetic resources from Uganda. · Ensure effective compliance to MAT and MTAs for genetic resources crossing the country's borders.
Uganda Registration Services Bureau (URSB)	<ul style="list-style-type: none"> · Civil registrations, business registrations, registration of patents and intellectual property rights, and any other registrations required by law. 	<ul style="list-style-type: none"> · Registration of medicinal formulations from the IPLCs of Karamoja and Batwa.
Makerere University	<ul style="list-style-type: none"> · Innovative teaching, learning, research and services responsive to national and global needs. 	<ul style="list-style-type: none"> · Training of stakeholders and students on ABS · In partnership with IPLCs, document traditional knowledge associated with genetic resources · In partnership with IPLCs and NCRI, develop and register medicinal products for the communities.
GIZ/ABS Capacity Development Initiative	<ul style="list-style-type: none"> · Improve the standard of living and future prospects of people in partner countries all over the world, whilst stabilizing the natural resource base on which life depends. 	<ul style="list-style-type: none"> · Provide technical training to partners and IPLCs on ABS · Develop a training toolkit for ABS. · Backstop the improvement of Prunus and Sandalwood value chains for compliance to ABS. · Awareness raising and communication
United Organization for Batwa Development in Uganda (UOBDU)	<ul style="list-style-type: none"> · Advocacy for the rights of Batwa communities. 	<ul style="list-style-type: none"> · All community field activities by the project in south-western Uganda.
Karamoja Women Cultural Group (KWCG)	<ul style="list-style-type: none"> · Conservation and sustainable use of biodiversity in the Karamoja region 	<ul style="list-style-type: none"> · All community field activities by the project in Karamoja.
Private sector (Sun Beam Africa Ltd and CUDWELL Industries Ltd)	<ul style="list-style-type: none"> · Export, value addition and product development from sandal wood (Sun Beam Africa Ltd) and Prunus (CUDWELL Industries Ltd) in Uganda 	<ul style="list-style-type: none"> · Access and benefit sharing through PIC and MAT with communities around the sources of sandalwood and Prunus in Uganda · Participate in ABS by nominating a representative to sit on the ABS Advisory Committee.

To ensure wide dissemination, all project data, the training toolbox that will be developed by GIZ ABS Capacity Development Initiative and capacity building materials and project reports will be made available through the project website, the website and through the ABS-CH portal. In addition, links to the project through websites of various partners.

The National Environment Management Authority (NEMA) will be responsible for coordinating project execution. In as far as responsibilities are concerned, NEMA and UNCST will be responsible for overseeing the implementation of component 1 i.e. strengthening national regulatory and institutional framework for ABS. Component 2 involving capacity building for the implementation of ABS in Uganda will be implemented by NEMA and UNCST in conjunction with the Plant Genetic Resource Centre (PGRC), Makerere University herbarium and Makerere University Museum. Component 3 will be implemented by the Department of Botany, Makerere University in delivering ABS formal training, NFA and UWA on CFM around seven CFRs, NaFORRI on conservation of Prunus africana and sandal wood. The UOBDU and KDWC are CBOs which will be responsible for

coordinating project activities among the IPLCs i.e Batwa and Karamojong respectively. The PMU and PSC will ensure that resources for stakeholder engagement are allocated appropriately during project implementation.

Since the project is mainly concerned with the access to genetic resources and the sharing of benefits arising from their utilization as well as associated traditional knowledge, it is likely that there may be some grievances, especially during negotiations and signing of agreements. The PSC will set up a process for monitoring, addressing and resolving any and all grievances. Instructions on grievance handling mechanism will be appropriately communicated to all stakeholders and also posted on the project web site. It will also be possible for any interested stakeholders to raise any grievance at all times to the PMU or PSC.

Select what role civil society will play in the project:

Consulted only;

Member of Advisory Body; Contractor; Yes

Co-financier; Yes

Member of project steering committee or equivalent decision-making body; Yes

Executor or co-executor; Yes

Other (Please explain) Yes

NEMA has established an ongoing relationship with the communities of Indigenous Peoples from as early as possible in the project planning process and throughout the life of the project. The engagement process will ensure their meaningful consultation in order to facilitate their informed participation on matters that affect them directly, proposed mitigation measures, the sharing of development benefits and opportunities, and implementation issues.

A.4. Gender Equality and Women's Empowerment

Please briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis).

Women in Uganda play a crucial role in the use and conservation of genetic resources, in particular due to their dominant role in managing household food resources and consumption as well as their involvement in traditional medicinal practices. Because women in the country tend to have less secure land-tenure rights and educational levels, the project will ensure that activities around Prior Informed Consent (PIC), associated TK, and access negotiations make a special effort to reach out to and enable the participation of

women, and the project will utilize equity criteria in contracts and benefit agreements. All stakeholder groups, including men, women, and youth, will be targeted for awareness raising and training on ABS related issues, with a focus on how they can effectively negotiate benefit sharing when a genetic resource under their custodianship is being accessed. Attention will be given to gender issues to ensure that roles and responsibilities between women and men on ABS are clearly spelled out and agreed upon. For genetic resources that have been accessed, a system will be developed with relevant institutions for tracking and reporting on compliance to conditions in the MAT both within and outside Uganda, including proper documentation on the origin of genetic resources.

This project will be consistent with the CBD Gender Plan of Action (2015 – 2020) and draw heavily from similar efforts, such as the GEF Gender Mainstreaming Policy (2011) and will be fully aligned with the National Gender Policy (1997). This will be done so as to address gender holistically throughout the project cycle, and promote knowledge sharing that ensures women’s full access to data and information. Component 3 that is concerned with strengthening ABS management at the local government and community level will have special focus on effective participation of men and women in benefit sharing. The target will be to ensure that 50% of women at local community level participate in benefit sharing.

Documents

Title

Submitted

Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?

Yes

If yes, please upload document or equivalent here

Targets for involving women in project activities were included in the Results Framework of the project. Women’s representation will be targeted in: i) the technical working group; ii) training sessions and workshops; and iii) any meetings that will be convened during the implementation of the project. Project activities will be informed by socio-economic assessments that will include gender research. Gender will be considered when public awareness campaigns are designed and information materials are disseminated, and gender sensitivity will be incorporated into training topics so that: i) female participants are empowered to participate meaningfully in the trainings; and ii) all participants are made aware of their responsibility to respect the views of all of their colleagues during training workshops. Trainers will be required to have the skills and experience necessary to plan and facilitate gender-sensitive training. The project manager will be responsible for the monitoring and review of gender sensitivity in the training workshops and the application of gender-disaggregated indicators. To ensure that the progress of gender mainstreaming can be monitored throughout the project, gender disaggregated targets will be developed and used to monitor indicators. In addition to gender awareness, the project will promote the requirements of other disadvantaged and more vulnerable groups including the elderly, children and the differently disabled persons.

If possible, indicate in which results area(s) the project is expected to contribute to gender equality:

Closing gender gaps in access to and control over natural resources; No

Improving women's participation and decision making Yes

Generating socio-economic benefits or services or women No

Will the project's results framework or logical framework include gender-sensitive indicators?

Yes

Outcome 3.2: Effective participation of men and women in benefit sharing

Output 3.2.1: Guidelines for gender mainstreaming in ABS for local communities developed and implemented

Indicators: (i) Guidelines of gender mainstreaming in ABS in place; (ii) Percentage of women at local community levels participating in benefit sharing.

In summary, the following activities will be undertaken to achieve this output:

- *Identifying and selecting specific localities among the Batwa and Karamojong communities to pilot mainstreaming of gender in ABS activities.*
- *Conducting a gender analysis and scoping exercise to: (i) identify gender gaps among the communities; (ii) identify the role of women in decision-making at the community level; (iii) consider the governance of the communities through a gender lens, to assess whether there are any gender stereotypes that disadvantage either women or men.*
- *Developing specific guidelines for gender mainstreaming, including: (i) gender budgeting; (ii) gender-related requirements e.g. in personnel recruitment and procurements; (iii) mapping of the situation of women and men in the project sites; (iv) elaboration of gender-specific objectives in the pilot activities.*
- *Translating the guidelines into local languages and disseminate them to all relevant stakeholders (including a copy to the ABS CH website).*
- *Implement the guidelines in all project activities under Component 3.*

Does the project's results framework or logical framework include gender-sensitive indicators? (yes)

Outcome 3.3: Regulatory framework on traditional knowledge in compliance with the Nagoya Protocol. Indicators: Number of regulatory frameworks in form of gender responsive community protocols on access to traditional knowledge associated with ABS developed and piloted among the Batwa and Karimojong

Outcome 3.4: Effective participation of men and women in benefit sharing. Indicators: (i) Guidelines of gender mainstreaming in ABS in place, (ii) Percentage of women at local community levels participating in benefit sharing

A.5. Risks

Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being, achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.

The project strategy, described in detail within the project document, identifies the following key risks. These risks and the mitigation measures will be continuously monitored and updated throughout the project.

Identified Risks	Risk Assessment	Description of Risks	Mitigation Measures
Sustainability of project interventions after the project has ended	Medium	Many development and conservation projects in Uganda do not sustain project activities or achievements beyond the end of the project, often due to funding shortfalls	The project will work to integrate activities on ABS into sector budgets during the government's Medium Term Expenditure Framework (MTEF) planning processes, and it will liaise and advocate with the Ministry of Finance, Planning and Economic Development for sustained funding of ABS programmes and activities.
Lack of support from stakeholders	Low	The lack of harmonization of policies and legal frameworks on ABS has minimized the interest in and support of some institutional stakeholders for ABS issues	The project will conduct extensive consultation and advocacy campaigns with stakeholders to create awareness and political will to cope with policies focused on mitigating bureaucratic systems in place today to enhance implementation of ABS in the country
Difficulties in mobilizing local communities to fully participate in ABS activities	Low	Lack of awareness on the potential benefits of ABS by local communities, and a lack of any benefit sharing arrangement with the private sector, has limited community interest in ABS.	The project will work with district local government and the local institutions at the lower levels to mobilize local communities. Awareness and knowledge creation on benefits of ABS for local communities will be undertaken during the implementation of the project
Local communities not well organized	Low	Local communities are the custodian of genetic resources but are often not well organized and hence vulnerable to manipulation by the private sector	The project will use community based organizations like the Karamoja Women Cultural Group and United Organization for Batwa Development in Uganda to assist local communities in setting up appropriate groups for effective participation in the project
Potential delay in approval of institutional and regulatory frameworks	High	Potential delay in the approval of updated policies and laws as well as the draft ABS policy would delay the development and operationalization of the regulatory and institutional framework	The project will mainly utilise government instruments that are signed by Ministers and do not require the long process of cabinet and parliamentary approval. Where a legal instrument will require to be amended to incorporate ABS, the existing framework will continue to be used, since many of Uganda's laws have clauses that may be utilised for ABS purposes (although some were enacted before the Nagoya Protocol came into force). Moreover, government is fully committed to the sustainable use of national genetic resources and protection of traditional knowledge.

Lack of consensus of roles and responsibilities among stakeholders	Medium	Lack of consensus of the roles and responsibilities among stakeholders would delay implementation of ABS, especially at district and local levels	The project management and national coordinating institution (NEMA) will ensure that the roles and responsibilities are clarified at the outset of the project during the inception phase. This will also continuously be reviewed and if need be, addressed during the monitoring missions and the annual meetings.
Competing priorities and emergencies	Low	Competing priorities and emergencies arise and delay revision and update of legislative frameworks	There has been adequate consultation at government level for this project to ensure that it is one of the priorities. Since government deals with various priorities, commitment has been obtained from various partners on the project and this is not expected to arise. In the case of emergencies, it is not likely that this will affect the project, since government has a dedicated structure and ministry for emergencies, with its own line of action and operation during emergencies, which are not likely to affect the project, but would work with the project team, in case such emergencies were to occur in the project area.
Participants may not utilize the knowledge and skills acquired	Low	The staff and other stakeholders may not utilize the knowledge and skills gained from the project, either due to transfers, retirement and willful neglect	The staff that will be equipped with ABS knowledge and skills are likely to be those that ordinarily handle this function within their organizations. Care will be taken to include, as much as possible, young and upcoming staff so that continuity may be assured in the case of retirements or job transfers.
The process of approval of training curricula	Medium	The process of approval of training curricula may take very long and delay implementation of training programmes	The proposed training, for the start, is aimed at professionals and such training may be tailor made without undue reliance to formal curricular. The project may take on this approach in case there is a delay in curriculum approval by Makerere University. However, such a scenario is really unlikely, since this curriculum is not an academic curriculum leading to the award of an academic qualification, which normally requires rigorous vetting by the National Council for Higher Education. In the case of the professional ABS skills and knowledge development, there is little likelihood of a delay.
Traditional and cultural considerations	Medium	Traditional and cultural considerations may delay the implementation of the community models if they are not in sync with community values	The project will work with communities that have already been mobilized and have been participants in many ABS engagements. Nevertheless, the project inception phase will involve a lot of learning and unlearning of community values and norms so that the project works to benefit the local communities. In any case, the local implementers of the project among the communities will be members of the same communities.

Protracted process of development and approval of the partnerships	Low	The process of development and approval of the partnerships may take very long and delay implementation of research studies	The project will work with communities that have previously been involved in research on genetic resources. It is therefore expected that the modalities will not be difficult to work out and therefore there is likely to be no real delay. The whole process will be concluded during the inception phase of the project.
Lengthy process of negotiating and approval of CFM agreements	Low	Lengthy process of negotiating and approval of CFM agreements may take very long and delay implementation of CFM	Previously CFM agreements took long to be signed on account that the communities would not be able to provide management plans. This project however will hire an expert to help the target communities prepare their plans in advance so that approval will not be expected to delay.

A.6. Institutional Arrangement and Coordination

Describe the Institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

The National Environment Management Authority (NEMA) and Uganda National Council for Science and Technology (UNCST) will be the project executing partners and will jointly implement the project on behalf of the Government of Uganda. NEMA will provide overall coordination through the CBD/ABS National Focal Point in collaboration with the Competent National Authority at UNCST. NEMA and UNCST will provide office space for the project staff. In order to expedite implementation of the project activities and realisation of outputs, the executing partners may enter into partnerships/MoUs with relevant institutions whose role is relevant for the implementation of particular project activities. Project funds will be provided to partners through specific bank accounts basing on the MoUs.

The United Nations Environment Programme (UNEP) will be the GEF Agency responsible for supervision and provision of technical guidance during project implementation. UNEP will be responsible for project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes and outputs as established in the project document in an efficient and effective manner. UNEP will report on the project progress to the GEF Secretariat and financial reporting will be done to the GEF Trust Fund. UNEP will closely supervise and carry out supervision missions, and monitor project progress and provide technical support.

NEMA and UNCST will be supported by a National Project Steering Committee that is drawn from relevant stakeholders. The National Project Steering Committee (NPSC) will be responsible for guiding the project implementation, advise the Project Manager and its PMU when needed, and validate work plans and reports. It will be the main decision-making platform of the project. In addition to the fixed bi-annual meetings of the NPSC, the meetings can be scheduled in various places in Uganda closest to the project sites as needed.

A Project Management Unit (PMU) will be established in NEMA/UNCST and will comprise of the Project Manager, Project Officer-ABS (at UNCST), Information Education and Communication Officer, Project Assistant (Finance), 2 field based officers and drivers. The PMU will be responsible for the daily management of project and for ensuring efficient

and timely implementation of the project annual work plans. The PMU will be hosted and supported technically by NEMA/UNCST who will allocate part time experts according to the PMU needs as part of government co-financing. Memorandum of Understanding will also be developed with relevant partners if required for the coordination of some specific interventions of the project. The PMU will work in close collaboration with UNEP.

Implementation of the proposed project will be carried out in coordination with, and where relevant, building on the results of on-going GEF supported projects, which are listed below:

- The UNDP-GEF project “Conservation and Sustainable Use of the Threatened Savanna Woodland in the Kidepo Critical Landscape (KCL) in North Eastern Uganda” (2013-2017): The goal of this project is to “conserve the biodiversity and ecosystem values of the KCL to provide sustainable benefit flows at local, national and global levels through enhanced operational capacity and functional landscape planning approaches”. The project is designed to protect the biodiversity of the Kidepo Critical Landscape in North Eastern Uganda from existing and emerging threats by strengthening PA management and integrating it into the wider landscape. The KCL project will provide valuable experiences and lessons learned on the management of biodiversity outside protected areas, support to community-based initiatives for conservation and sustainable use of biodiversity, value addition to biodiversity-based products, protection of endangered species targeted for trade, and how to establish and operate district coordination mechanisms. Karenga is within the Kidepo Critical landscape and the exact ways of how the two projects will coordinate their work in Karenga forest reserve will be determined at the PPG stage

- The UNEP-GEF global project “Support to GEF Eligible Parties (LDCs & SIDs) for the Revision of the NBSAPs and Development of Fifth National Report to the CBD - Phase 1” (2012-2016): The objective of this project in Uganda has been to enable Uganda to revise its NBSAP (first developed in 2002) and to develop and submit its 5th national report to the CBD. The revised NBSAP 2 and the 5th national report have been submitted to the CBD Secretariat and can be viewed at: <https://www.cbd.int/countries/?country=ug> and www.cbd.int/reports/nr5/ respectively. The revised and updated NBSAP 2 addresses ABS issues, and the development of this proposed project takes into account the provisions of the NBSAP 2 on ABS.

- Global support for ratification and entry into force of the Nagoya Protocol on ABS (2013-2016): Through this project, Uganda ratified the Nagoya Protocol on 25 June 2014. In addition to supporting the ratification process, additional activities carried out under the project were undertaking an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) regarding policies & laws relevant to ABS, with a focus on national ABS regulations. The information generated from the SWOT analysis has been used in the development of the proposed project.

- The Biodiversity Finance Initiative (BIOFIN) launched by UNDP in 2012 is a new global partnership seeking to address global biodiversity finance challenges by assisting developing countries in identifying, accessing, combining and sequencing sources of biodiversity funding to meet their specific needs. The key outcome of the project in Uganda will be a resource mobilization plan for implementing the NBSAP II, which will include resources for ABS and development of new financing approaches such as public private partnerships.

Additional Information not well elaborated at PIF Stage:

A.7. Benefits

Describe the socioeconomic benefits to be delivered by the project at the national and local levels. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

This project will enhance the capacity for implementation of a robust and transparent national legal, regulatory and institutional framework and the strong governance structure to manage an ABS regime to properly share, in a fair and equitable way, the benefits arising from the commercial and other uses of genetic resources in Uganda. The strengthening of

the ABS mechanism will contribute to the development of social inclusion and equality, foster clear and transparent provisions and strengthen the capacity for indigenous and local communities to benefit from the use of their traditional knowledge associated with genetic resources, thereby generating income opportunities while reinforcing the conservation and sustainable use of biodiversity.

The benefits shared will, no doubt, be applied in biodiversity conservation actions and benefits for indigenous peoples, traditional peoples and communities and traditional small farmers, taking into account their organizations and including consideration of gender dimensions. Since the project is gender-oriented, all activities related directly with the end beneficiaries (IPLCs), such as awareness activities, trainings, guidelines, community protocols, PIC and MAT in benefit agreements, will be carried out taking gender equity principles into consideration. In the long term, ABS implementation in Uganda is expected to develop a sustainable economy around genetic resources and ATK.

A.8. Knowledge Management

Elaborate on the Knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges, virtual networks, project twinning) and plans for the project to assess and document in a user-friendly form (e.g. lessons learned briefs, engaging websites, guidebooks based on experience) and share these experiences and expertise (e.g. participate in community of practices, organize seminars, trainings and conferences) with relevant stakeholders.

This project has identified increased public awareness as an important element of the strategy to enhance implementation of the Nagoya Protocol on ABS. To this effect, the ABS-CH will be developed and operationalized to create platforms for information sharing and knowledge management. Targeted communication and outreach to Parliamentarians, researchers, IPLCs, and representatives from ABS line ministries and agencies tasked with managing the permitting process and access to biological and genetic resources will be conducted with the explicit purpose of building ABS capacity, as part of a broader objective to develop an ABS framework. Stakeholder public awareness, outreach and participation at the country level will include the participation of technical staff in workshops, training, and tools development; the facilitation of local project events and processes; the provision of data sources and technical expertise relevant for bio-prospecting and broader ABS policy formulation; the preparation and submission of ratification instruments; and the institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability. The project will make it possible to demonstrate ABS as an innovative financial mechanism. Lessons learnt will be documented and shared nationally and globally. All on-going programmes and projects in the project area will be documented and networking will be established to avoid duplication but to promote synergies.

B. Description of the consistency of the project with:

B.1. Consistency with National Priorities

Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions such as NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

The proposed project with Uganda UNDAF Strategic Intent # 3: Sustainable & Inclusive Economic Development and fits within UNDAF Outcome 3.1 on Natural Resource Management and Climate Change Resilience. In addition, the project is fully in line with the country's national strategies and plans. The Government of Uganda has prioritized capacity building for effective implementation of the Nagoya Protocol at the national level. Uganda's National Vision 2040 and its National Development Plan (NDPII 2015/16 –

2019/2020), as well as the National Biodiversity Strategy and Action Plan (NBSAPII), all recognize the need to strengthen value addition of environmental and natural resources, including biodiversity, as a priority. The proposed project activities to improve livelihoods for local communities through ABS complies with and supports the National Vision 2040, NDP II, NBSAPII and the Sustainable Development Goals, especially SDGs 1, 2, 5, 8, 12, 13 and 15

Uganda has recently completed revision of its National Biodiversity Strategy and Action Plan 2015-2025, which is aligned to the Strategic Plan for Biodiversity 2011-2020 and national targets developed within the framework of the Aichi targets. Uganda has achieved one of these targets - to accede to the Nagoya Protocol on ABS by 2015 (Uganda acceded to the Protocol on 25th June 2014). Other national targets on ABS in the NBSAP have been developed in line with relevant Aichi targets. These targets include:

- a) Review the ABS Regulations and incorporate relevant elements of the Nagoya Protocol;
- b) Promote and regulate bio-prospecting and bio-trade activities for the benefit of the population;
- c) Put in place mechanisms for sharing the benefits from access to plant genetic resources in the country;
- d) Document indigenous knowledge, innovations and practices in plant genetic resources;
- e) Initiate and support community based plant genetic resources management initiatives in various parts of the country;
- f) Document traditional knowledge and practices that promote conservation and sustainable use of biodiversity e.g. in herbal medicine;
- g) Develop access and benefit sharing arrangements with indigenous and local communities;
- h) Conduct awareness raising on the role of taxonomy in biodiversity conservation in public and private institutions;
- i) Improve taxonomic infrastructure and tools to provide adequate taxonomic information;
- j) Undertake human resource capacity development in taxonomy at all levels;
- k) Develop taxonomic knowledge bases of biodiversity in formats that are accessible to end users;
- l) Undertake taxonomic research to improve knowledge of little known taxa (especially those which may have commercial value)

C. Describe The Budgeted M & E Plan:

Project monitoring will be carried out by the Project Management Unit (PMU). A Project Manager (PM) will be hired full time to run the PMU. Project performance will be monitored using the project results matrix, including indicators (baseline and targets) and annual work plans and budgets. At inception the results matrix will be reviewed to finalize identification of: i) outputs ii) indicators; and iii) missing baseline information and targets. A detailed M&E plan, which builds on the results matrix and defines specific requirements for each indicator (data collection methods, frequency, responsibilities for data collection and analysis, etc.) will also be developed during project inception by the M&E expert.

Specific reports that will be prepared under the M&E program are: (i) Project inception report; (ii) Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) annual Project Implementation Review (PIR); (v) Technical Reports; (vi) co-financing reports; and (vii) Terminal Report. In addition, assessment of the GEF Monitoring Evaluation Tracking Tools against the baseline (completed during project preparation) will be required at midterm and final project evaluation:

1) *Project Inception Report*. The PMU will prepare a draft project inception report in consultation with other project partners. Elements of this report should be discussed during the Project Inception Workshop and the report subsequently finalized. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. It will also include a detailed first year AWP/B, a detailed project monitoring plan. The draft inception report will be circulated to the NPSC for review and comments before its finalization, no later than one month after project start-up.

2) *Results-based Annual Work Plan and Budget (AWP/B)*. The draft of the first AWP/B will be prepared by the PMU in consultation with the UNEP and reviewed at the project Inception Workshop. The Inception Workshop (IW) inputs will be incorporated and the PMU will prepare a final draft AWP/B within two weeks of the IW. For subsequent AWP/B, the PMU will organize a project progress review and planning meeting for its review. The AWP/B must be linked to the project's Results Framework indicators so that the project's work is contributing to the achievement of the indicators. The AWP/B should include detailed activities to be implemented to achieve the project outputs and output targets and

divided into 3 monthly timeframes and targets and milestone dates for output indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The AWP/B should be approved by the NPSC.

3) Project Progress Reports (PPR): PPRs will be prepared by the PMU based on the systematic monitoring of output and outcome indicators identified in the project's Results Framework. The purpose of the PPR is to identify constraints, problems or bottlenecks that impede timely implementation and to take appropriate remedial action in a timely manner. They will also report on projects risks and implementation of the risk mitigation plan.

4) Annual Project Implementation Review (PIR): The PMU will prepare an annual PIR covering the period July (the previous year) through June (current year) to be submitted to GEF for review and approval. The UNEP will submit the PIR to the GEF Secretariat as part of the Annual Monitoring Review report.

5) Technical Reports: Technical reports will be prepared by national, international consultants (partner organizations under LOAs) as part of project outputs and to document and share project outcomes and lessons learned.

6) Co-financing Reports: The PMU will be responsible for collecting the required information and reporting on co-financing as indicated in the Project Document/CEO Request. The PMU will compile the information received from the executing partners.

7) GEF Tracking Tools: Following the GEF policies and procedures, the relevant tracking tools for full sized projects will be submitted at three moments: (i) with the project document at CEO endorsement; (ii) at the project's mid-term review/evaluation; and (iii) with the project's terminal evaluation or final completion report. The tracking tools will be prepared in close collaboration with the UNEP. They will be filled in by the PMU and made available for the mid-term review and again for the final evaluation.

8) Terminal Report: Within two months before the end date of the project, and one month before the Final Evaluation, the PMU will submit a draft Terminal Report. The main purpose of the Terminal Report is to give guidance on the policy decisions required for the follow-up of the project, and to provide the donor with information on how the funds were utilized. The Terminal Report will, accordingly, be a concise account of the main products, results, conclusions and recommendations of the project, without unnecessary background, narrative or technical details.

9) A Mid-Term Review of the project activities will be undertaken at project mid-term to review progress and effectiveness of implementation in terms of achieving the project objectives, outcomes and outputs. Findings and recommendations of this review will be instrumental for bringing improvement in the overall project design and execution strategy for the remaining period of the project's term. NEMA will arrange for the mid-term review in consultation with the project partners. The evaluation will, inter alia:

- a) Review the effectiveness, efficiency and timeliness of project implementation;
- b) Analyse effectiveness of partnership arrangements;
- c) Identify issues requiring decisions and remedial actions;
- d) Propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and
- e) Highlight technical achievements and lessons learned derived from project design, implementation and management.

10) An independent Terminal Evaluation (TE) will be carried out three months prior to the terminal review meeting of the project partners. The TE will aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This evaluation will also have the purpose of indicating future actions needed to sustain project results and disseminate products and best-practices within the country and to neighbouring countries.

PART III: Certification by GEF partner agency(ies)

A. GEF Agency(ies) certification

GEF Agency Coordinator	Date	Project Contact Person	Telephone	Email
Kelly West	5/30/2019	Jane Nimpanya	0718436427	jane.nimpamya@unep.org

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Annex A: Project Results Framework (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Project Objective	Objective level Indicators	Baseline	Mid Term Targets	End of Project Targets	Means of Verification	Assumptions & Risks	UNEP MTS reference*
To strengthen Uganda’s regulatory and institutional frameworks for effective implementation of the Nagoya Protocol on access to genetic resources and sharing of benefits arising out of their utilization (ABS)	Existence and use of regulatory and institutional frameworks for implementation of ABS in compliance with the Nagoya Protocol Level of institutional and personnel capacity for implementation of the national ABS framework	Existing regulatory and institutional frameworks do not adequately address ABS issues; Uganda has no ABS policy Only 6 (six) national level institutions are able to effectively implement and coordinate ABS activities/frameworks.	Existing regulatory and institutional frameworks reviewed and updated to align with the Nagoya Protocol At least fifteen (15) institutions at national, sub-national and community levels are able to effectively implement ABS processes	Regulatory and institutional frameworks aligned with the Nagoya Protocol and the National ABS Policy in place and operational At least fifteen (15) institutions at national, sub-national and community levels are able to effectively implement ABS processes	Revised regulatory framework documents, National ABS guidelines, ABS policy document, NEMA and stakeholder websites, Progress reports Administrative instruments/guidelines; Community guidelines for PIC and negotiating MAT Training reports; Installed equipment and tools; research reports;	Assumptions: - Government is fully committed to the conservation and sustainable use of the country’s genetic resources and strengthening of national ABS framework. Risks: - Potential delay in the approval of updated policies and laws as well as the draft ABS policy would delay the	Sub-programme 3 Expected accomplishment (a): Indicators of achievement (ii) AND Sub-programme 4 Expected accomplishment (a): Indicators of achievement (ii)

	Level of public awareness on issues and processes related to access to genetic resources and benefit sharing (ABS)	Only about 5% of Uganda's population are aware of issues and processes related to access to genetic resources and sharing of benefits arising from their utilisation	<ul style="list-style-type: none"> · At least 30% of the general public are aware of ABS issues and processes · A Clearing House Mechanism and information materials developed for public awareness on ABS issues 	<ul style="list-style-type: none"> · At least 30% of the general public are aware of ABS issues and processes · A Clearing House Mechanism operationalised and launched as a national platform for information sharing and public awareness on ABS issues · Uganda fulfils 75% of her reporting requirements under the Nagoya Protocol 	ABS CHM, Awareness materials (incl. policy briefs; newsletters, brochures, leaflets)	development and operationalization of the regulatory and institutional framework - Lack of consensus of roles and responsibilities among stakeholders would delay implementation of ABS at district and local levels	AND Expected accomplishment (b): Indicators of achievement (i) and (iii)
Project Outcome	Outcome Indicators	Baseline	Mid Term Targets	End of Project Targets	Means of Verification	Assumptions & Risks	MTS Expected Accomplishment

<p>1.1 National ABS regulatory and institutional frameworks in compliance with the Nagoya Protocol on ABS in place and operational</p>	<ul style="list-style-type: none"> · National ABS regulatory frameworks in place and operational · Institutional framework compliant with the Nagoya Protocol in place and operational 	<p>There is no national ABS policy and the existing regulations and guidelines were developed before the Nagoya Protocol was adopted. In addition, there are no checkpoints at entry/exit points to monitor compliance to the Nagoya protocol. There is also no electronic system for monitoring compliance to ABS framework and permits can only be applied for within the country</p>	<ul style="list-style-type: none"> · Regulatory frameworks (regulations, guidelines and policy) are developed and/or updated · An online permit management system compliant with the Nagoya Protocol developed · Electronic system for monitoring compliance to the Nagoya protocol developed 	<ul style="list-style-type: none"> · At least three (3) regulatory frameworks (ABS, CFM and Revenue Sharing guidelines and regulations in place · Online permit management system in place and operational · ABS Policy approved and in place · Electronic system for monitoring compliance to the Nagoya protocol in place and operational 	<p>Revised and updated National ABS, CFM and Revenue Sharing guidelines; Progress reports; Project reports, Approved institutional frameworks, Official correspondences, Meeting minutes, ABS permits, Project reports, NPSC minutes, Progress reports, Approved ABS policy</p>	<p><u>Assumptions</u> - Prerequisite competencies for revision and development of sound legislative frameworks is available</p> <p><u>Risks</u> - Competing priorities and emergencies arise and delay revision and update of legislative frameworks - Approval process may take very long and delay their implementation</p>	<p>Sub-programme 3 Expected accomplishment (a): Indicators of achievement (ii)</p> <p>AND</p> <p>Sub-programme 4 Expected accomplishment (a): Indicators of achievement (ii) AND Expected accomplishment (b): Indicators of achievement (i) and (iii)</p>
--	--	---	--	---	---	--	---

<p>2.1 Government agencies have the skills and competency to implement and enforce compliance to the Nagoya Protocol on ABS including PIC and MAT</p>	<p>Improved knowledge and skills in government agencies at national and sub-national level for implementation and enforcement of the Nagoya Protocol on ABS</p>	<p>Government agencies at both national and sub-national are not fully implementing their responsibilities and obligations under the Nagoya Protocol due to inadequate capacity and skills.</p>	<p>At least 5 government agencies are able to fully implement and enforce the Nagoya Protocol on ABS</p>	<p>At least 10 government agencies are able to implement and enforce the Nagoya Protocol on ABS</p>	<p>Performance reports from government agencies, NPSC meeting minutes, Progress reports, Correspondences, Project reports, Training reports, Certificates of origin and compliance, Active and functional ABS-CH, Approved structures</p>	<p><u>Assumptions</u> - Relevant institutions are willing and able to participate in the training sessions <u>Risks</u> - Participants may not utilize the knowledge and skills acquired from the training</p>	<p>Sub-programme 3 Expected accomplishment (a): Indictors of achievement (ii) AND Sub-programme 4 Expected accomplishment (a): Indictors of achievement (ii) AND Expected accomplishment (b): Indictors of achievement (i) and (iii)</p>
<p>2.2 Makerere University training and producing professionals with knowledge on ABS</p>	<p>Training curriculum updated to incorporate ABS for long-term capacity building</p>	<p>There are currently no locally trained professionals with technical knowledge in ABS</p>	<p>At least 25 stakeholders (incl. scientists, social workers and lawyers) are trained and have knowledge & skills in articulating and negotiating PIC and MAT</p>	<p>At least 50 scientists, social workers and lawyers are trained and have knowledge and skills in articulating and negotiating PIC and MAT</p>	<p>Workshop reports, Training reports, Project reports, Approved training curricula, Training materials, Official correspondences</p>	<p><u>Assumptions</u> - Tertiary institutions are willing to mainstream ABS in their training programmes <u>Risks</u> - The process of approval of reviewed training curricula may take very long and delay implementation of ABS mainstreamed curricula</p>	<p>Sub-programme 3 Expected accomplishment (a): Indictors of achievement (ii) and (iv)</p>

<p>2.3 ABS National Focal Point and CNAs effectively carrying out their functions</p>	<ul style="list-style-type: none"> Capacity of NEMA and CNAs for effective implementation of the Nagoya Protocol on ABS strengthened 	<p>Uganda currently signs about ten PIC/MAT agreements per year and only meets about 40% of her obligations under the Nagoya Protocol</p>	<ul style="list-style-type: none"> Uganda is fulfilling at least 40% of her reporting obligations under Nagoya Protocol Uganda is able to sign 40 PIC/MAT agreements for access to genetic resources 	<ul style="list-style-type: none"> Uganda is fulfilling at least 75% of her reporting requirements under the Nagoya Protocol- Good indicator for outcome 1 Uganda is able to negotiate and sign 80 to 100 PIC/MAT agreements for access to genetic resources 	<p>Training reports, Meeting minutes, Progress reports, Project reports, Official correspondences Performance reports NPSC meeting minutes, Procurement reports, Acquired equipment and tools</p>	<p>Assumptions</p> <ul style="list-style-type: none"> Relevant institutions are willing and able to designate CNAs Prerequisite competencies are available for the nomination of CNA focal persons <p>Risks</p> <ul style="list-style-type: none"> Competing priorities and emergencies may delay the designation of the CNAs 	<p>Sub-programme 3 Expected accomplishment (a): Indicators of achievement (i)</p>
<p>3.1 Effective working models for ABS at the local community level</p>	<p>Model contractual clauses, codes of conduct on best practices on ABS developed and piloted ABS agreements signed for access to and utilization of GRs from the Batwa and Karimojong IPLCs</p>	<p>Existing benefit sharing agreements not based on best practices and model contractual clauses. There are no community structures for ABS management in the country at present</p>	<ul style="list-style-type: none"> At least 4 contracts or ABS agreements with model contractual clauses and based on best practices developed Four (4) projects established at community level to pilot implementation of ABS best practices At least 30 members from the two IPLCs (Batwa and Karimojong) are able to negotiate PIC and MAT 	<ul style="list-style-type: none"> At least 10 contracts or ABS agreements (4 CFMs, 3 Revenue sharing, 1 Sandal wood value chain, 1 Prunus value chain, 2 medicinal formulations) signed Four (4) projects established at community level to pilot implementation of ABS best practices At least 50 members from the two IPLCs (Batwa and Karimojong) are able to articulate issues and negotiate PIC and MAT 	<p>Meeting minutes, Implementation guidelines, Project reports, Official correspondences, Training reports, Course content, Evaluation reports, Project reports, Contracts, Best practice documentation</p>	<p>Assumptions</p> <ul style="list-style-type: none"> Local communities are willing and cooperative in the implementation of the community models <p>Risks</p> <ul style="list-style-type: none"> Traditional and cultural considerations may delay the implementation of the community models 	<p>Sub-programme 3 Expected accomplishment (b): Indicators of achievement (i) and (ii)</p>

<p>3.4 Effective participation of men and women in benefit sharing</p>	<p>Guidelines of gender mainstreaming in ABS in place</p> <p>Percentage of women at local community levels participating in benefit sharing</p>	<p>There are no guidelines for gender mainstreaming for ABS in the country</p> <p>Less than 5% of women at local community level participate in benefit sharing</p>	<p>Gender mainstreaming guidelines to guide mainstreaming in all ABS project activities;</p> <p>30% of women actively participating in ABS</p>	<p>Gender mainstreaming guidelines actively implemented in all issues of ABS</p> <p>50% of women actively participating in benefit sharing at district and community levels</p>	<p>Approved guidelines, Meeting minutes, Project reports</p> <p>Project reports, Meeting minutes, ABS local committee memberships</p>	<p><u>Assumptions</u> - Stakeholder institutions are supportive towards mainstreaming of gender in ABS</p> <p><u>Risks</u> - Traditional and cultural norms may hamper mainstreaming of gender in ABS - The process of approval of the gender mainstreaming guidelines may take very long and delay implementation</p>	<p>Sub-programme 3 Expected accomplishment (b): Indicators of achievement (i) and (ii)</p>
<p>4.1 Increased awareness in Uganda on the Nagoya Protocol on ABS</p>	<p>Strategies for improving communication and awareness of the Nagoya Protocol on ABS in place and actively being used in place</p>	<p>There is poor awareness and understanding of ABS issues in the country</p>	<ul style="list-style-type: none"> · A draft comprehensive ABS awareness and communication strategy developed · At least 30 staff from NFP, CNAs, check points and publishing authorities trained in information sharing through the ABS-CH · A roster of ABS technical and communications experts in the country developed 	<ul style="list-style-type: none"> · A comprehensive ABS awareness and communication strategy approved and implemented · At least 30 staff from NFP, CNAs, check points and publishing authorities effectively using the ABS-CH for information sharing · Roster of ABS technical and communications experts in the country actively being used by the partners to seek for knowledge and advice 	<p>Awareness and Communication strategy document, Project reports, Training reports, Course content, Project reports, ABS-CH website, Training reports, Official correspondence, Technical reports, Project reports, Roster on ABS experts</p>	<p>- <u>Assumptions</u> - Various information dissemination pathways are readily available for awareness creation - CNAs, checkpoints, publishing authorities are willing to train - Identified and nominated experts are willing and able to participate in ABS issues</p> <p>- <u>Risks</u> - The procurement process may take long and delay the information</p>	<p>Sub-programme 4 Expected accomplishment (a): Indicators of achievement (ii)</p> <p>AND Expected accomplishment (b): Indicators of achievement (i) and (iii)</p>

Number of ABS communication, education and public awareness materials developed and disseminated	There are limited ABS awareness materials resulting into extremely low awareness of the concept of ABS	At least 2000 assorted awareness materials (quarterly bulletins, brochures, manuals and training toolkits) developed	At least 2000 assorted awareness materials (quarterly bulletins, brochures, manuals and training toolkits) disseminated	Quarterly bulletins, brochures, manuals and training toolkits	dissemination - Experts may be not be available to utilize their knowledge and skills - Experts may change job affiliations or even retire from service
Number of people reached with education and public awareness materials	The current reach of ABS awareness is limited to a few people > 100	At least 50,000 people reached about ABS through mass media	At least 100,000 people reached about ABS through mass media	TV and radio documentaries, newspaper articles, pull outs, plays and songs	

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Annex B: Response to Project Reviews (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion, and responses to comments from the Convention Secretariat and STAP at PIF).

Annex B3 below is a table of response to STAP comments while the response to GEF reviews are in a separate attachment as Annexes B1 and B2)

Annex B3. Responses to STAP Review

STAP COMMENT	RESPONSE
--------------	----------

<p>1. While STAP is highly supportive of ABS, and welcomes this approach in Uganda,</p> <p>a. The document leaves it quite unclear what these benefits might be.</p> <p>b. Is the project targeting genetic resources, and if so which ones and what is their market potential?</p> <p>c. Or is it also targeting benefit sharing in the forestry and wildlife sectors? If this is so, what are the problems that need to be addressed because, at least in the wildlife sector, Uganda is considered to be quite forward thinking with park revenue sharing?</p>	<p>The benefits of ABS have been clarified in the proposal, as depicted in the Theory of Change (Figure 3) as well as the incremental cost reasoning.</p> <p>Yes, the project is targeting conservation of genetic resources i.e. access to genetic resources (through capacity building in negotiating PIC and MAT, but also with case studies such as on <i>Prunus africana</i> and sandalwood exploitation), utilization of genetic resources (with pilots through IPLCs on medicinal bio-products for treatment of malaria and wounds), benefit sharing and economic livelihoods (through registration of medicinal bio-products). The market potential, especially of the bio-products, is proposed to be determined by a sub-contractor (Makerere University) in Output 3.2.2.</p> <p>The project is also targeting benefit sharing in forestry and wildlife sectors. As stated in the ProDoc, the benefit sharing will be in the form of Collaborative Forest Management of protected areas where two IPLCs are found. The problem that will be addressed is the outdated guidelines and lack of regulations for CFM in the country, as well as the lack of community involvement during the development of benefit sharing mechanisms. The project will therefore develop regulations for CFM and rigorously involve the communities around seven (7) protected areas to agree on benefit sharing mechanisms.</p>
<p>2. STAP is concerned with the complexity of the organizational environment that this project is addressing,</p> <p>a. Without ever stating a theory of change, apart from bringing Uganda into line bureaucratically with Nagoya protocol requirements.</p> <p>b. The lack of clarity and purpose is reflected in the fact that this project has 28 outputs and a limited budget.</p>	<p>The Theory of Change (Figure 3) has been developed carefully during a stakeholder consultations.</p> <p>This was noted and it activities for related outputs are achieved by single implementation of activities. Most of the activities will be delivered by consultants whose terms of reference will be drafted, as stated in the project document, to include tandem delivery of outputs using one-off activities. For example, SWOT analysis will be conducted once to deliver information for Outputs 1.1.1, 1.1.2 and 2.1.2, Training Needs Assessment will be conducted only once to deliver information for outputs 2.1.1 and 2.4.1. This will be cost reducing and affordable as shown in the budget sheet.</p>

<p>c. Under Component 2, the project expresses the need to build the capacity of no less than 14 different organization, two of which are district councils and local communities.</p>	<p>Although there are several organizations involved in component 2, the planned capacity building is in the form of training. Training workshops will be held where, only representatives of the organizations will be collected together to benefit from each of the training workshops.</p>
<p>3. The components proposed are necessary, and logical, but</p> <p>a. The economics are missing; what is the scale and the scope of benefits from ABS, and why therefore is this project important?</p> <p>b. Too many moving parts, especially in Component 2, which risks consuming a lot of resources in trying to sort out complex bureaucracy.</p>	<p>The scope of benefits and importance of the project are detailed out in the proposal (Paragraphs 14-17) as well as the incremental cost reasoning (Appendix 3).</p> <p>Although Component 2 touches on capacity building, the main emphasis is on capacitating the National Focal Point as well as the National Competent Authority (including two others that may be identified during implementation of this project). The other main focus is on providing training of stakeholders in a series of four (4) training workshops.</p>
<p>4. STAP would encourage the project developers to consult STAP's ongoing advice to the GEF at http://www.stapgef.org/knowledge-management-gef as well as some of the knowledge management tools that are currently recommended – see, for example http://www.knowledge-management-tools.net/knowledge-management-systems.html</p>	<p>STAP's knowledge management advice and tools were considered when developing the knowledge management tools, such as the Permit Management System in Output 1.1.4, ABS Archiving Centre in Output 2.1.4.</p>
<p>5. It may be relevant to consider the risks associated with the failure of some of the project components, and what mitigation measures should be put in place.</p>	<p>The risks associated with the failure of some of the project components were enunciated in the proposal in Table 5. The risks are also considered for each component (in paragraphs 34-37 under baseline analysis and gaps).</p>

Response to GEF Council comments

COMMENT	RESPONSE
<p>ü <i>Germany's Comments</i></p> <p><i>Germany approves this project in the work program but requests that the following comments are taken into account:</i></p> <p>Germany requests that the following requirements are taken into account during the design of the final project proposal:</p> <ul style="list-style-type: none"> • The PIF mentions co-financing and respective activities by the Access and benefit-sharing (ABS) Capacity Development Initiative, hosted by the German Federal Ministry for Economic Cooperation and Development and implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, e.g. on pp. 4, 9, and 15. It has to be noted that the current project of the ABS Initiative ends in March 2018. No new financial commitments to the ABS Initiative in general have been made until now. Hence, a decision to work together with Uganda in a next project by the Steering Committee of the ABS Initiative is not to be expected before the GEF Council Meeting. Germany therefore requests, that reference to co-financing by the ABS Initiative can only be included in the final project proposal after the necessary budgetary decisions have been taken and in close consultation with the ABS Initiative. 	<p>During proposal development, a discussion was initiated between NEMA (Uganda) and GIZ during which the issue in this comment was raised. It was agreed that since it was not yet clear about new funding mechanisms within GIZ for Uganda, it would still be possible to still tap into the vast networks and expertise within GIZ, hence the USD 12,000 or 0.1% (in-kind budget for GIZ). We agreed that experts <u>will be hired</u> from GIZ by the project to provide technical skills and training to the project beneficiaries. The reference to GIZ in Table 1 as well as the following text in paragraph 31, was therefore developed after these consultations: <i>“A multi-donor GIZ implemented ABS Capacity Development Initiative, supported by the Government of Germany, will be supported and coordinated by NEMA and UNCST to support the creation of an IT-based application and monitoring system, based on the concept currently developed by the ABS Initiative and its experts; and establish a discussion fora between Genetic Resources (GR) providers from Uganda and GR users in the European Union (EU), with special focus on Prunus africana; supporting the establishment of ABS-compliant value chains with involvement of the Indigenous Peoples and Local Communities (IPLCs), preferentially dealing with Prunus africana and traditional medicinal plants with TK.”</i></p>
<p>ü <i>United States' Comments</i></p> <ul style="list-style-type: none"> • The global environmental benefits that will result from this project are not clearly explained in the PIF. The primary benefit is community involvement in ABS using collaborative forest management on existing conservation areas, but this is not clearly stated. • There is risk of local community exploitation once traditional knowledge and taxonomy is documented regarding genetic resources in the area. The project should work to mitigate this risk. 	<p>The global environmental benefits have been articulated in paragraphs 15 – 19 in the prodoc. In addition, the social and economic benefits have been articulated in paragraph 156 as well as in the incremental cost reasoning.</p> <p>Indeed, the risk of local community exploitation is identified in paragraph 24 and is the basis of training and skilling local communities in developing and implementing ABS contracts with appropriate model contractual clauses with PIC and MAT (in Outcome 3.1.</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS.

A. Provide detailed funding amount of the PPG activities financing status in the table below:

Annex C: Status of Utilization of Project Preparation Grant (PPG) (Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: 100,000			
<i>Project Preparation Activities Implemented</i>	<i>GEFTF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent Todate</i>	<i>Amount Committed</i>
ABS Expert working group	21,500	21,500	0
National Consultants	24,500	24,500	0
Travel	29,500	29,500	0
workshops/conferences/meetings	24,500	24,500	0
Total	100,000	100,000	0

If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake exclusively preparation activities up to one year of CEO Endorsement/approval date. No later than one year from CEO endorsement/approval date. Agencies should report closing of PPG to Trustee in its Quarterly Report.

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/CBIT Trust Funds or to your Agency (and/or revolving fund that will be set up)

N/A

ANNEX E: GEF 7 Core Indicator Worksheet

Use this Worksheet to compute those indicator values as required in Part I, Table G to the extent applicable to your proposed project. Progress in programming against these targets for the program will be aggregated and reported at any time during the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and SCCF.

Core Indicator 1	Terrestrial protected areas created or under improved management for conservation and sustainable use				(Hectares)			
				<i>Hectares (1.1+1.2)</i>				
				<i>Expected</i>		<i>Achieved</i>		
				PIF stage	Endorsement	MTR	TE	
				<i>170,316</i>	<i>170,316</i>			
Indicator 1.1	Terrestrial protected areas newly created							
Name of Protected Area	WDPA ID	IUCN category		Hectares				
				Expected		Achieved		
				PIF stage	Endorsement	MTR	TE	
			Sum					
Indicator 1.2	Terrestrial protected areas under improved management effectiveness							
Name of Protected Area	WDPA ID	IUCN category	Hectares	METT Score				
				Baseline		Achieved		
					Endorsement	MTR	TE	
<i>Kadam CFR</i>		VI PA with sustainable use of natural resources	<i>39,917</i>	No CFM in practice	<i>0</i>			
<i>Mt. Moroto CFR</i>		VI PA with sustainable use of natural resources	<i>48,210</i>	No CFM in practice	<i>0</i>			
<i>Napak CFR</i>		VI PA with sustainable use of natural resources	<i>20,316</i>	No CFM in practice	<i>0</i>			
<i>Bwindi Impenetrable NP</i>		II National Park	<i>33,100</i>	No CFM in practice	<i>0</i>			
<i>Mgahinga NP</i>		II National Park	<i>3,370</i>	No CFM in practice	<i>0</i>			
<i>Echuya CFR</i>		VI PA with sustainable use of natural resources	<i>3,403</i>	No CFM in practice	<i>0</i>			
<i>Semuliki NP</i>		VI PA with sustainable use of natural resources	<i>22,000</i>	No CFM in practice	<i>0</i>			
		Sum	170,316					

ANNEX: Project Taxonomy Worksheet

Use this Worksheet to list down the taxonomic information required under Part1 by ticking the most relevant keywords/topics//themes that best describes the project

Level 1	Level 2	Level 3	Level 4
Influencing models			
	Transform policy and regulatory environments		
	Strengthen institutional capacity and decision-making		
Stakeholders			
	Indigenous Peoples		
	Beneficiaries		
	Local Communities		
	Civil Society		
		Community Based Organization	
		Academia	
	Type of Engagement		
		Information Dissemination	
		Partnership	
		Consultation	
		Participation	
	Communications		
		Awareness Raising	
		Education	
		Public Campaigns	
		Behavior Change	
Capacity, Knowledge and Research			
	Enabling Activities		
	Capacity Development		
	Knowledge Generation and Exchange		
	Targeted Research		
	Learning		
		Adaptive Management	

	Knowledge and Learning		
		Capacity Development	
	Stakeholder Engagement Plan		
Gender Equality			
	Gender Mainstreaming		
		Beneficiaries	
		Women groups	
		Sex-disaggregated indicators	
		Gender-sensitive indicators	
	Gender results areas		
		Access and control over natural resources	
		Participation and leadership	
		Access to benefits and services	
		Capacity development	
		Awareness raising	
		Knowledge generation	
Focal Areas/Theme			
	Biodiversity		
		Protected Areas and Landscapes	
			Terrestrial Protected Areas
			Community Based Natural Resource Management
		Species	
			Threatened Species
			Plant Genetic Resources
		Supplementary Protocol to the CBD	
			Access to Genetic Resources Benefit Sharing



Submitted to HQ

[Go To Home](#)