

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

Review CEO Endorsement and Make a recommendation

Basic project information

GEF ID

9481

Countries

Uganda

Project Name

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

UNEP

Date received by PM

5/30/2019

Review completed by PM

6/11/2020

Program Manager

Jaime Cavelier

Focal Area

Biodiversity

Project Type

FSP

PIF

CEO Endorsement

Project Design and Financing

1. If there are any changes from that presented in the PIF, have justifications been provided?

Secretariat Comment at CEO Endorsement

6-10-19

Yes. There is a description of the changes from PIF to CEO Endorsement.

Cleared

Response to Secretariat comments cleared

2. Is the project structure/ design appropriate to achieve the expected outcomes and outputs?

Secretariat Comment at CEO Endorsement

6-10-19

The project structure is appropriate but there are a number of issues related to Outcomes, Outputs and Activities that require attention. The following comments refer to text of the Project Document. The GEF kindly requests to SUBSTANTIALLY reduce the number of outputs and activities because the project is over-promising and is likely to under-deliver.

Component 1.

Output 1.1.1. What is the drafting of "institutional frameworks"?

output 1.1.2. Not clear why it is necessary to have specific institutional frameworks for compliance for PIC and MAT. Are these two outputs talking about Administrative Procedures?

Output 1.1.3. How many languages the guidelines will be translated to?

Output 1.1.4 All systems and administrative procedures for the implementation of the Nagoya Protocol should be presented together in a single output.

Output 1.1.5. National Policy on ABS developed and implemented. Why having a separate output for policies when there is one for the actual legislation (1.1.1.)? This output should be removed.

Component 2

Why PIC and MAT associated with wildlife and forestry only?

Output 2.1.3. Why to "Establish a Technical Working Group (TWG) of experts on PIC and MAT to provide learning and training for national and sub-national programmes" and at the same time the project is proposing a roster of technical and communication experts on ABS as part of Output 4.1.4.?

Output 2.1.4. Why to design and establish an ABS Archiving System (ABS Clearing House) when the CBD created and maintain a central ABS CH? How many ABS agreements (with PIC and MAT) are issued as of today, or expected in the near future that warrant these additional system?

Output 2.1.5 Institutional structure for implementing the Nagoya Protocol on ABS at the national and sub-national level established and operational. "Institutional framework" mentioned in output 1.1.2 too. Bring all aspects of Institutional and Administrative procedures together.

Output 2.2.1. Only the development of the curricula will be financed by the GEF. Remove reference to "job positions".

Output 2.2.2. Remove. Too vague. Some of this will be covered under Component 4.

Output 2.3.1. Remove. These are databases that are above and beyond the basic needs to implement the NP.

Output 2.4.1. Remove the following 1) Conducting an institutional visit by the National ABS Advisory Committee (appointed under Output 1.1.2) to a regional partner/county to bench mark and learn from documented experiences . Procuring a range of office equipment and tools for NEMA and UNCST. 3) Procuring selected laboratory (e.g. ICT) equipment for MAK, NCRI, NaFORRI and PGRC. The R&D agenda of this this project is nearly non-existent.

Component 3

Many of the proposed interventions will be done in a vacuum. Unless there is a pilot or pilots on actual ABS agreements (i.e. providers and users agreeing on the use of GR and Benefit Sharing), this component needs to be scaled down significantly. Here are some suggestions.

Output 3.1.2. Enhancing negotiation skills for PIC and MAT makes sense in the context of a Pilot because each sector and case is different. Who is to be trained in the community?

Output 3.1.3. Concentrate efforts here rather than on outputs 3.1.1. and 3.1.2.

Output 3.2.1. Remove. Unless there is an specific case of R&D. Needs to provide details (names) of the parties in question.

Output 3.2.2. Remove. Unless details of the R&D agenda are presented for malaria, wounds, and swelling.

Output 3.3.1. Move to Output 1.1.1. with the National Legislation and protocols. What pilots is this output referring to?

Output 3.4.1. How is the project planning to pilot mainstream of gender in ABS activities if there are no pilot projects? Suggest simplifying this outcome. Far too many activities.

Outcome 3.5. It is not clear why there is an outcome on CFM. Totally disconnected from the rest of the project. Suggest elaborating on the rationale for this outcome and reduce the number of activities. Not clear

Output 4.1.1. and 4.1.3. They are basicallt the same. Consolidate.

Output 4.1.2. Move this output under Capacity Building.

12-9-19

Cleared

Response to Secretariat comments

cleared

18th Nov 2019

<p>2. Is the project structure/ design appropriate to achieve the expected outcomes and outputs?</p>	
<p>6-10-19</p>	
<p>The project structure is appropriate but there are a number of issues related to Outcomes, Outputs and Activities that require attention. The following comments refer to text of the Project Document. The GEF kindly requests to SUBSTANTIALLY reduce the number of outputs and activities because the project is over-promising and is likely to under-deliver.</p>	<p>The project outcomes and outputs have been revised accordingly based on the review comments. Following the GEF comments, the outcomes have been reduced from 11 to 7 and the outputs from 28 to 10. Some have been removed altogether while others have been rationally merged as suggested by the reviewers.</p>
<p>Component 1.</p>	
<p>Output 1.1.1. What is the drafting of "institutional frameworks"?</p>	<p>We concur with the reviewers that “drafting institutional frameworks” is rather confusing. Whereas this had been included as an activity in output 1.1.1, we have deleted and replaced it with more clearly understood activities, such as “designating check points to monitor compliance to the Nagoya protocol”. This can be seen under output 1.1.2 where we have now consistently referred to “developing institutional frameworks” rather than “drafting institutional frameworks”.</p>
<p>Output 1.1.2. Not clear why it is necessary to have specific institutional frameworks for compliance for PIC and MAT. Are these two outputs talking about Administrative Procedures?</p>	<p>We have amended this output to include all “compliance with the Nagoya Protocol”. The output now reads “Institutional framework compliant with the Nagoya Protocol in place and operational”.</p>
<p>Output 1.1.3. How many languages the guidelines will be translated to?</p>	<p>This output has now been moved and merged with output 1.1.1. We have clarified the number of languages into which the guidelines will be translated i.e. three (3) – Ngakarimojong, Rufumbira and Rukiga! (Paragraph 65 in Prodoc)</p>
<p>Output 1.1.4. All systems and administrative procedures for the implementation of the Nagoya Protocol should be presented together in a single output.</p>	<p>This output has been merged with output 1.1.2 where all systems and administrative procedures have now been elaborated. These will deliver the output 1.1.2 “<i>Institutional framework compliant with the Nagoya Protocol in place and operational</i>”.</p>
<p>Output 1.1.5. National Policy on ABS developed and implemented. Why having a separate output for policies when there is one for the actual legislation (1.1.1.)? This output should be removed.</p>	<p>This output has now been absorbed in output 1.1.1 since we recognize that the ABS policy is a critical piece of the overall regulatory framework.</p>
<p>Component 2</p>	

Why PIC and MAT associated with wildlife and forestry only?	We agree with the reviewers and have decided to drop the idea of specific CNAs for wildlife and forestry. We note that the CBD and ABS focal points have at their disposal an institutional committee with skilled persons on ABS i.e. the Technical Committee on Biodiversity Conservation and this can be called upon to provide necessary advice on ABS issues concerning forestry and wildlife.
Output 2.1.3. Why to "Establish a Technical Working Group (TWG) of experts on PIC and MAT to provide learning and training for national and sub-national programmes" and at the same time the project is proposing a roster of technical and communication experts on ABS as part of Output 4.1.4.?	We agree with the reviewers and have decided to drop the idea of a Technical Working Group. We have retained the idea of developing a roster of technical and communication experts (in output 4.1.2) and these may be called upon by the CNA to provide learning and training on PIC and MAT whenever needed. During the project implementation phase however, we have provided capacity building in Component 2.
Output 2.1.4. Why to design and establish an ABS Archiving System (ABS Clearing House) when the CBD created and maintain a central ABS CH? How many ABS agreements (with PIC and MAT) are issued as of today, or expected in the near future that warrant these additional system?	We concur with the reviewers and have dropped this output!
Output 2.1.5 Institutional structure for implementing the Nagoya Protocol on ABS at the national and sub-national level established and operational. "Institutional framework" mentioned in output 1.1.2 too. Bring all aspects of Institutional and Administrative procedures together.	This output has now been included in output 1.1.2 together with all aspects of institutional frameworks.
Output 2.2.1. Only the development of the curricula will be financed by the GEF. Remove reference to "job positions".	Reference to job positions has been removed!
Output 2.2.2. Remove. Too vague. Some of this will be covered under Component 4.	Yes! This training has been moved to output 2.2.1.
Output 2.3.1. Remove. These are databases that are above and beyond the basic needs to implement the NP.	The output for the development of databases has been removed!
Output 2.4.1. Remove the following 1) Conducting an institutional visit by the National ABS Advisory Committee (appointed under Output 1.1.2) to a regional partner/county to bench mark and learn from documented experiences. Procuring a range of office equipment and tools for NEMA and UNCST. 3) Procuring selected laboratory (e.g. ICT) equipment for MAK, NCRI, NaFORRI and PGRC. The R&D agenda of this this project is nearly non-existent.	All the suggested items for removal from this output have been dropped!
Component 3	

Many of the proposed interventions will be done in a vacuum. Unless there is a pilot or pilots on actual ABS agreements (i.e. providers and users agreeing on the use of GR and Benefit Sharing), this component needs to be scaled down significantly. Here are some suggestions.	Although we had indirectly referred to pilots in the reviewed version, this was not clearly enunciated. We have therefore specifically described the pilots on actual ABS agreements. We have described these plots in output 3.1.1.
Output 3.1.2. Enhancing negotiation skills for PIC and MAT makes sense in the context of a Pilot because each sector and case is different. Who is to be trained in the community?	This has now been clarified in the description and outline of activities for Pilot 2 - Development and implementation of community protocols on access to Sandalwood (<i>Osiris lanceolata</i>) genetic resources in Karamoja, including their conservation and sustainable use.
Output 3.1.3. Concentrate efforts here rather than on outputs 3.1.1. and 3.1.2.	Specific pilots have now been properly elaborated and form the focus of efforts for demonstration, training and implementation of community action for ABS, including contractual clauses, best practices, negotiation, access to traditional knowledge, value chain development (for Prunus) and community protocols.
Output 3.2.1. Remove. Unless there is an specific case of R&D. Needs to provide details (names) of the parties in question.	This has been clarified in the revised proposal and a Research and Development case provided under Pilot 1 - Documentation and of indigenous traditional medicinal knowledge among Batwa IPLCs for herbal product development. The details of the parties have also been provided.
Output 3.2.2. Remove. Unless details of the R&D agenda are presented for malaria, wounds, and swelling.	This has been clarified in the revised project document and a Research and Development case provided under Pilot 2 - Development and implementation of community protocols on access to Sandalwood (<i>Osiris lanceolata</i>) genetic resources in Karamoja, including their conservation and sustainable use. The details of the parties have also been provided.
Output 3.3.1. Move to Output 1.1.1. with the National Legislation and protocols. What pilots is this output referring to?	This has been moved to output 3.1.1 in the revised project document and included in Pilot 2 - Development and implementation of community protocols on access to Sandalwood (<i>Osiris lanceolata</i>) genetic resources in Karamoja, including their conservation and sustainable use.
Output 3.4.1. How is the project planning to pilot mainstream of gender in ABS activities if there are no pilot projects? Suggest simplifying this outcome. Far too many activities.	It is envisaged that gender will be mainstreamed in the 4 pilots that are planned. The output has also been simplified further, given that it will be implemented in the planned pilots.
Outcome 3.5. It is not clear why there is an outcome on CFM. Totally disconnected from the rest of the project. Suggest elaborating on the rationale for this outcome and reduce the number of activities. Not clear	Outcome 3.5 has been removed and incorporated into outcome 3.1 - Effective working models for ABS at the local community level as a separate pilot. The rationale for access to genetic resources and benefit sharing in a collaborative forest management framework has been provided in the rationale/introduction of the pilot. The number of activities has been streamlined to the CFM process in Uganda.
Output 4.1.1. and 4.1.3. They are basically the same. Consolidate.	These two outputs have been merged into output 4.1.1 - Awareness and communication strategy on ABS developed and implemented
Output 4.1.2. Move this output under Capacity Building.	We concur with the reviewer and this output has been incorporated in Component 2 on capacity building.

3. Is the financing adequate and does the project demonstrate a cost-effective approach to meet the project objective?

Secretariat Comment at CEO Endorsement

6-10-19

Please reduce the number of outputs and activities to ensure there are enough funds and time to deliver the expected outcomes.

The GEF has comments on some of the lines in the detailed budget of the Project Document.

The project is counting on significant co-financing to cover the cost of consultants. But since the co-financing is in-kind, how are the consultants going to be paid?

		GEF	NEMA		UNCST		UWA	
et Line		Cash	Cash	In-kind	Cash	In-kind	Cash	In-kind
		A	B	C	D	E	F	G
1299	Sub-total	300,000	-	360,000	-	340,000	-	370,000

What is the budget allocation for lines 2102 and 2103? Since the connection between field activities and the rest of the project on the basic elements of implementation of the NP is so tenuous, these expenses appear not to be justify.

SUB-CONTRACT COMPONENT		
2100	Sub-contracts (for cooperating agencies)	
2101	UNCST - Development, implementation and management of systems for permits	144,000
2102	NFA - CFM implementation at 4 FRs	157,578
2103	UWA - Benefit sharing implementation at 3 PAs	149,547
2199	Sub-total	451,125

The budget allocation for 2203, 2204 and 2205 will not be finance by the GEF because the R&D agenda of the project is basically non-existent. Unless a detail project on the R&D to add value to the Genetic Resources in question, these lines need to be removed from the budget. Not clear where the propagation of Sandalwood fits into the project.

2200	Sub-contracts (for supporting organizations)	
2201	GIZ - ABS Capacity Building Initiative (Training & Capacity Building of Project Stakeholders)	142,180
2202	Makerere University - Development of long term training programme on ABS	44,401
2203	Makerere University - Development of medicinal formulations	60,317
2204	NCRI - Extraction and standardisation of medicinal formulations	142,703
2205	NaFORRI - Propagation of sandalwood	113,390
2299	Sub-total	502,991

The GEF will not finance 2 vehicles for a project on the implementation of the NP. Same for the Lab equipment when there is no explicit R&D agenda.

4201	Vehicle (station wagon) for PMU	65,000
4202	Vehicles (double cabin pickups) for field offices	80,000
4203	Office furniture and fittings	10,000
4204	Laboratory equipment (NCRI and NaFORRI)	62,000
4299	Sub-total	217,000

Similar questioning for 1104-1106

1104	Project Field Officers	170,640
1105	Project Social Workers	95,760
1106	Drivers	76,248

12-9-19

Cleared

Response to Secretariat comments

cleared

18 Nov 2019

3. Is the financing adequate and does the project demonstrate a cost-effective approach to meet the project objective?

6-10-19

Please reduce the number of outputs and activities to ensure there are enough funds and time to deliver the expected outcomes.

The outputs and activities have been reduced accordingly!

The GEF has comments on some of the lines in the detailed budget of the Project Document.

The project is counting on significant co-financing to cover the cost of consultants. But since the co-financing is in-kind, how are the consultants going to be paid?

We have expunged the co-financing for consultancies. Consultancy fees have now been catered for in the GEF budget. The co-financing commitments from the cooperating and supporting organizations have been shifted to the respective activities in which such organizations will be participating in.

et Line	GEF		NEMA		UNCST		UWA	
	Cash A	Cash B	In-kind C	Cash D	In-kind E	Cash F	In-kind G	
1299	Sub-total	300,000	-	360,000	-	340,000	-	370,000

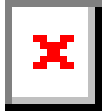
What is the budget allocation for lines 2102 and 2103? Since the connection between field activities and the rest of the project on the basic elements of implementation of



the NP is so tenuous, these expenses appear not to be justify.

The budget allocation for 2102 and 2103 have been clarified in the revised budget. These are for the implementation of the pilots 4 - Development of ABS-compliant collaborative forest management agreements for communities around seven protected areas of Uganda (with NFA and UWA as the respective agencies for implementation in the Central Forest Reserves and National Parks respectively).

The budget allocation for 2203, 2204 and 2205 will not be finance by the GEF because the R&D agenda of the project is basically non-existent. Unless a detail project on the R&D to add value to the Genetic Resources in question, these lines need to be removed from the budget. Not clear where the propagation of Sandalwood fits into the project.



The budget allocations 2203, 2204 and 2205 have further been clarified by the elaboration of the pilots and respective R&D cases in component 3. Component 3 provides a very high contribution for capacity building through pilot demonstration activities, especially for the IPLCs. Therefore, detailed write-ups have been provided for the pilot activities for which these budget allocations were made, with clear R&D activities. These budget lines are for implementing pilots 1 - Documentation and of indigenous traditional medicinal knowledge among Batwa IPLCs for herbal product development (2203 and 2204), and Pilot 2 - Development and implementation of community protocols on access to Sandalwood (*Osiris lanceolata*) genetic resources in Karamoja (2205). The actual pilots have now been used to refer to the respective budget allocations. These pilots are critical activities for strengthening the ABS system in Uganda as well as the implementation of the Nagoya Protocol. Given the extremely high value of sandalwood, the level of unsustainable harvesting (at both subsistence and commercial levels), there is a glaring need for enhancing the recovery of sandalwood populations for sustainable benefit sharing. Therefore, a detailed clarification for the need for propagation of sandalwood has been provided.

The GEF will not finance 2 vehicles for a project on the implementation of the NP. Same for the Lab equipment when there is no explicit R&D agenda.



We agree to drop the budget 4204. We also agree to drop the two vehicles earlier planned for the two project sites. We propose to procure one (1) vehicle for the Project Management Unit (PMU). This vehicle, apart from use in the routine management and coordination activities, will also be used to backstop activities that require transport at the respective project sites, as and when necessary.

Similar questioning for 1104-1106



We have catered for one (1) Project Manager, one (1) Finance and Administration Assistant, two (2) Project Field Officers, one (1) Driver and two (2) Office Assistants. These personnel are a minimum work force that will be used to manage and coordinate project implementation. Once centrally managed office cannot be sufficient if we are to achieve the project outputs. Given that there will be two (2) project sites, it is important that a Project Field Officer as well as office Assistant and driver are recruited for each site/IPLC implementation site. Without these staff on site, it will be really difficult to implement this project, given that the PMU will be located over 400 km from either community! Figure 1 in the Project Document gives a geographical indication of the location of the two project sites – a 6-hour drive from Kampala, which cannot be sustainable for the project, if and when the staff would want to travel to project sites. It is envisaged that activities will start in earnest in year 1, involving a series of trainings, pilots, etc and these will require very close supervision, hence the need for these officers, the very bare minimum for project success.

4. Does the project take into account potential major risks, including the consequences of climate change, and describes sufficient risk response measures? (e.g., measures to enhance climate resilience)

Secretariat Comment at CEO Endorsement

6-10-19

There is a list of Risks and associated mitigation measures.

Cleared

Response to Secretariat comments cleared

5. Is co-financing confirmed and evidence provided?

Secretariat Comment at CEO Endorsement

6-10-19

There is a LoC from the ABS Capacity Development Initiative for \$12,000 not registered in the list of co-financing in the Portal. Please either remove the letter from the Appendix or add it to the Portal.

12-9-19

Letter from NEMA is \$1,723,000 but \$1,735,000 in Portal.

NEMA will provide an in-kind contribution of USD 500,000 and cash contribution of USD 1,723,000 to the implementation of project on Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda. The cash contribution will be for implementing ABS activities in the revised NBSAP relevant for this project.

Government	National Environment Management Authority (NEMA)	Grant	500,000
Government	National Environment Management Authority (NEMA)	In-kind	1,735,000

1-6-20

Issues with co-financing remain.

1. The co-financing from NEMA now reads: \$500 (Grant) and \$1,600 (in-kind).

C. Indicative 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	NEMA	Grant	500,000
Government	NEMA	In-kind	1,600,000

The figures are different from the LoC:

NEMA will provide an in-kind contribution of USD 500,000 and cash contribution of USD 1,723,000 to the implementation of project on Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda. The cash contribution will be for implementing ABS activities in the revised NBSAP relevant for this project.

Please address.

2. The co-financing from GIZ is \$135,000 in Portal and \$12,000 in the LoC.

Please address.

Others	GIZ	Grant	135,000
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Reference: Co-financing for GEF ABS project

Dear Mr. Ogwal:

This letter confirms the commitment of the ABS Capacity Development Initiative implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH to provide cross support to underpin the outcomes of the GEF Full Size Project (FSP): "Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda". The co-financing to be provided over four years (2019-2022) is comprised of the following:

\$12,000 for cooperative support and staff time to project technical outputs.

7-2-20

Cleared

Response to Secretariat comments

cleared

9th January 2020

1. The co-financing from NEMA in the portal has been corrected as per the LoC. Although NEMA had committed to provide in-kind co-financing of \$1,600,000 at PIF stage, it has since mobilized \$1,723,000 today as shown in the CEO Endorsement request attached and the LOC also attached.

2. The co-financing amount from GIZ has been corrected to \$12,000 in the portal and the LOC has been attached

19 Dec 2019

6-10-19

There is a LoC from the ABS Capacity Development Initiative for \$12,000 not registered in the list of co-financing in the Portal. Please either remove the letter from the Appendix or add it to the Portal.

12-9-19

Letter from NEMA is \$1,723,000 but \$1,735,000 in Portal.

The co-financing for NEMA in the portal has been revised to USD 1,723,000 as is stated in the co-financing letter while the co-financing letter from the ABS Capacity Development Initiative is now added to the portal and in the attachment, worth USD 12,000, to cover the difference created by the reduction of the NEMA amount . All the co-financing amounts are now balancing in the portal and with the attached co-fiance letters

6. Are relevant tracking tools completed?

Secretariat Comment at CEO Endorsement

6-10-19

Why is that there are no indicators for Indicator 11, Number of direct beneficiaries dis-aggregated by gender as co-benefit of GEF investment?

Please provide the WDPA for as many PAs as possible. At least one of them has it.

12-9-19

Cleared

Response to Secretariat comments

18 Nov 2019

<p><u>cleared</u></p> <p>6. Are relevant tracking tools completed? 6-10-19</p> <p>Why is that there are no indicators for Indicator 11, Number of direct beneficiaries dis-aggregated by gender as co-benefit of GEF investment?</p> <p>Please provide the WDPA for as many PAs as possible. At least one of them has it.</p>	<p>The number of direct beneficiaries has now been included and dis-aggregated by gender in indicator 11.</p> <p>The WDPA codes are now included for all the protected areas where the project will be implemented.</p>
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7. Only for Non-Grant Instrument: Has a reflow calendar been presented?

Secretariat Comment at CEO Endorsement NA

Response to Secretariat comments N/A

8. Is the project coordinated with other related initiatives and national/regional plans in the country or in the region?

Secretariat Comment at CEO Endorsement

6-10-19

Yes

Cleared

Response to Secretariat comments cleared

9. Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?

Secretariat Comment at CEO Endorsement

6-10-19

Yes

Cleared

Response to Secretariat comments cleared

10. Does the project have descriptions of a knowledge management plan?

Secretariat Comment at CEO Endorsement

6-10-19

Yes

Cleared

Response to Secretariat comments cleared

Agency Responses

11. Has the Agency adequately responded to comments at the PIF stage from:

GEFSEC

Secretariat Comment at CEO Endorsement

6-10-19

Yes

Cleared

Response to Secretariat comments cleared

STAP

Secretariat Comment at CEO Endorsement

Response to Secretariat comments cleared

GEF Council

Secretariat Comment at CEO Endorsement

6-10-19

Yes

Cleared

Response to Secretariat comments cleared

Convention Secretariat

Secretariat Comment at CEO Endorsement

Response to Secretariat comments N/A

Recommendation

12. Is CEO endorsement recommended?

Secretariat Comment at CEO Endorsement

-10-19

No. Please address outstanding issues. Thanks. The GEFSEC is available for consultation on this review.

12-9-19

No. Please Item 5. Co-financing letters.

1-6-20

No. Issues with co-financing remain. Please address. Item 5 of this review.

7-2-20

This CEO Endorsement is recommended.

FURTHER COMMENTS. All additional comments are listed below to facilitate the review and response.

- 1) The Executing Partner Type should be changed to Government

Other Executing Partner(s): National Environment Management Authority, Uganda National Council for Science and Technology	Executing Partner Type: GEF Agency
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- 2) On PPG - ITS needs to fill in the blanks as this is a migration issue (not a reason to return the project).

PPG Amount (\$)		PPG Agency Fee (\$)					
100,000		9,500					
Agency	Trust Fund	Country	Focal Area	Programming of Funds	NGI	Amount(\$)	Fee(\$)
Total Project Costs(\$)						0	0

3) On Co-financing

There is an error entry in the type of Co-financing for NEMA. There was an inter-change mistake.

The in-kind contribution should be \$500,000 and the cash should be \$1,723,000.

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(\$)	Evidence
Government	National Environment Management Authority (NEMA)	Grant	500,000	
Government	National Environment Management Authority (NEMA)	In-kind	1,723,000	
Government	Uganda Wildlife Authority (UWA)	Grant	600,000	
Government	Uganda Wildlife Authority (UWA)	In-kind	1,200,000	



NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY (NEMA)

NEMA/6.6.1

15th March 2019

Ms Brennan Van Dyke
Director GEF
UNEP Coordination Office
NAIROBI-KENYA

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Tel: 256-414- 251064, 251065, 251068
342758, 342759, 342717
Fax: 256-414-257521 / 232680
E-mail: info@nemaug.org
Website: www.nemaug.org

RE: CO-FINANCING FOR THE GOU/GEF PROJECT ON INSTITUTIONAL CAPACITY STRENGTHENING FOR IMPLEMENTATION OF THE NAGOYA PROTOCOL ON ACCESS TO GENETIC RESOURCES AND BENEFIT SHARING IN UGANDA

The National Environment Management Authority (NEMA) in collaboration with the United Nations Environment Programme (UNEP) have prepared a Full Size Project (FSP) on the Institutional Capacity Strengthening for Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Uganda.

NEMA coordinates implementation of the Convention on Biological Diversity (CBD) on behalf of Government and is also the National Focal Point for Nagoya Protocol on Access to Genetic Resources and Benefit Sharing (ABS). Furthermore NEMA coordinates implementation of the National Biodiversity Strategy and Action Plan (NBSAP). The revised NBSAP (2015-2025) has integrated activities on ABS.

NEMA will provide an in-kind contribution of USD 500,000 and cash contribution of USD 1,723,000 for the implementation of project on Institutional Capacity Strengthening for Implementation of the Nagoya

4) The Project Personnel should be charged against the PMC and not to project components. The Agency should utilize the available amount for PMC (GEF funds + co-financing add up to nearly 320K).

If there is a need to charge something to the project components, please provide the TORs for that specific position to better understand the deliverables the GEF Funds are paying for.

UNEP Budget Line		Expenditure by project component/activity					
		Component 1	Component 2	Component 3	Component 4	Component 5	Total
10	PERSONNEL COMPONENT						
1100	Project personnel						
1101	Project Manager		49,335	39,035		30,878	119,248
1102	Finance and Administration Assistant		28,323	31,763		22,718	82,804
1103	Project Fund Officers x2		79,572	87,242		31,154	198,968
1104	Driver		8,515	9,574		8,575	26,664
1105	Office Assistant x2		10,902	6,722		9,284	26,888
1199	Sub-total		167,647	154,336		100,889	422,872

5. Please provide an invoice for the purchase of the vehicle. \$65,000 is a very very high price tag for any car anywhere!. The cost of maintenance is also very high. A low maintenance vehicle should be selected to lower the costs. Please point to the full justification for the purchase of the vehicle as had agreed with the GEF SEC. Thanks

UNEP Budget Line		Expenditure by project component/activity					
		Component 1	Component 2	Component 3	Component 4	Component 5	Total
40	EQUIPMENT AND PREMISES COMPONENT						
4100	Expendable equipment						
4101	Office supplies (stationery, cartridges, etc)		26,737				26,737
4102	Office equipment (computers, printers, photocopiers, etc)		20,000				20,000
4199	Sub-total		46,737				46,737
4200	Non-expendable equipment						
4201	Vehicle (station wagon) for PMU		45,000		20,000		65,000
4202	Office furniture and fittings	5,000	13,781	4,760	7,500		31,041
4299	Sub-total	5,000	58,781	4,760	27,500		96,041
4999	Component total	5,000	105,518	4,760	27,500	-	142,778
50	MISCELLANEOUS COMPONENT						
5100	Operation and maintenance of equipment						
5101	Repair and service of vehicles		37,000			2,000	39,000
5102	Repair and service of office equipment (printers, photocopiers, etc)			2,740	5,127.00	1,000	8,867
5199	Sub-total		37,000	2,740	5,127	3,000	47,867
5200	Reporting costs						
5201	Quarterly and annual reports	4,500	14,500	1,000	10,000	10,000	40,000
5202	Communication (Telephone and Internet) costs	4,500	14,500	1,500	10,000	3,749	34,249
5203	Audio-visual and printing production costs	7,000		2,000	33,545		42,545
5299	Sub-total	16,000	29,000	4,500	53,545	13,749	116,794
5300	Sundry						
5301	Office teas and refreshments				19,693	4,307	24,000

6) Audit is ineligible item under M & E

Appendix 7: Costed M&E plan

S/n	Activity	Responsible	Timeframe	Cost (US\$)
1	Inception workshop	NEMA, UNEP, Consultant	Within the first 3 months	25,400
2	Inception report with detailed methodology	Consultant	Within 3 days after the inception workshop	0
3	Measurement of project indicators (outcome, progress and performance indicators, GEF tracking tools)	NEMA	Outcome indicators: start, mid and end of project Progress/perform. Indicators: annually	0
4	Steering Committee Meetings	NEMA	At least 2 times a year	22,500
5	Mid-Term external evaluation (MTR)	NEMA, Steering Committee (SC), External Consultant	Once at project mid-point	40,000
6	Semi-annual M&E review meetings	NEMA, ABS Focal Points and CNAs	At least 2 times a year	24,500
7	Monitoring visits to field sites	NEMA, GEF	As appropriate	Paid from operational budget
8	Annual Review and Planning Meeting (ARPM)	NEMA, Steering Committee, ABS Focal Points and CNAs	Once every year	24,545
9	Annual Financial Audits	NEMA	Once every year	28,000
10	End of Project Terminal Evaluation	NEMA	Once at the end of project implementation	40,000
	Total			204,945

4-29-20

1) OK

2) OK

3) There is no revised LoC where the Cash and In-Kind have been switched. The LoC attached in Appendix 12 is the same as before and dated 15 March 2019. Please attached LoC separately so it is easy to locate.

4) OK

5) OK

6) OK

6-11-20

This CEO Endorsement is recommended.

The PM approves the purchase of a vehicle and to pay for the the salary of the driver. This CEO Endorsement is Recommended.

Response to Secretariat comments

30 April 2020

Response to Comment no. 3 in FURTHER Comment and additional comment above

The right LOC from NEMA as asked by the reviewer. The correct version of the LOC from NEMA has been attached and also uploaded in the portal. We are very sorry for having mixed up the letters. Apparently NEMA had signed all the letters on the same date but now we have attached the one with the right amounts.

23 April 2020

Response to Comment no. 1 in FURTHER Comment and additional comment above

Executing partner type has been changed to government

Response to Comment no. 2 in FURTHER Comment and additional comment above

This is a migration issue because it is a GEF 6 project

Response to Comment no. 3 in FURTHER Comment and additional comment above

There was an error in the LOC from NEMA. NEMA committed to provide \$500,000 as cash and \$1,723,000 in kind contribution. The correct version of the LOC from NEMA has been included in the file “combined Word Annexes 4,5,6,7,8,9,10,11,12,15” (see NEMA LOC Appendix 12). The entry has been corrected in the portal

Response to Comment no. 4 in FURTHER Comment and additional comment above

We concur with the reviewer. Therefore, we have agreed to reduce the salary of the Project manager and charge it 50% on PMC. The salaries of finance and administrative officer and the office assistants have been reduced and will be 100% charged on PMC.

The Two project officers will be recruited to implement the strengthening of ABS management at the local government and community level (Component 3). They will be based in the project sites (North-eastern - Moroto and South-western – Kisoro regions of Uganda). Their salaries will therefore be charged from Component 3. The ToRs of the respective positions are therefore provided (as suggested by the reviewer) to clarify the deliverables/relevance of these personnel positions to the respective components and hence the basis for charging the components.

Accordingly, adjustments have been made to the budget (see highlighted entries in the combined excel annexes (sheet 1: Appendix 1 – Budget UNEP format and sheet 2: Appendix 1 – Budget notes)

Response to Comment no. 5 in FURTHER Comment and additional comment above

The purchase of a project vehicle is justified by the sheer distance between project implementation sites and the need for coordination between the pilots that will be located in these sites. The PMU will be located over 400 km from either pilot site. Figure 1 in the ProDoc (page 25) gives a geographical indication of the location of the two project sites – a 6-hour drive from Kampala, which would need a vehicle for coordination with the PMU.

As required by the reviewer, an invoice for the cost of a 4 x 4 field vehicle (amounting to \$55,039) for the project has been provided (see attachment: “Land Cruiser 70 series Quotation March, 2020”). The cost also includes a winch + kit at the cost of \$2,025 (see email communication to that effect in the attached file: “Price of a Winch”), a real necessity given the remoteness and field conditions in the project pilot sites.

The costs for maintenance (which have now reduced), obtained from new vehicle suppliers has been included for the routine repair and service of the vehicle. The maintenance costs as communicated from the transport department for new vehicles include 1) Replacement of the clutch system after 10,000 km, 2) Replacement of five tyres after every 10,000 km, 3) Replacement of suspension bushes after every 10,000 km, 4) Comprehensive insurance at 6% of vehicle cost, and 5) Routine vehicle service after every 5,000 km (see budget note 53, Appendix 1 – Budget notes, from the file: “Combined excel annexes”). This reduced the cost of maintenance and the difference of the money was allocated to steering committee planning/coordination meetings.

Response to Comment no. 6 in FURTHER Comment and additional comment above

The audit item has been moved from the M&E plan of the ProDoc (See Appendix 7)

9th January 2020

1. The co-financing from NEMA in the portal has been corrected as per the LoC. Although NEMA had committed to provide in-kind co-financing of \$1,600,000 at PIF stage, it has since mobilized \$1,723,000 today as shown in the CEO Endorsement request attached and the LOC also attached.

2. The co-financing amount from GIZ has been corrected to \$12,000 in the portal and the LOC has been attached

18 Nov 2019

Recommendation	6-10-19 The outstanding issues have been addressed fully
12. Is CEO endorsement recommended?	19-12-19
6-10-19 No. Please address outstanding issues. Thanks. The GEFSEC is available for consultation on this review.	The co-financing for NEMA in the portal has been revised to USD 1,723,000 as is stated in the co-financing letter while the co-financing letter from the ABS Capacity Development Initiative is now added to the portal and in the attachment, worth USD 12,000, to cover the difference created by the reduction of the NEMA amount . All the co-financing amounts are now balancing in the portal and with the attached co-fiance letters

Review Dates

	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
First Review		
Additional Review (as necessary)		
Additional Review (as necessary)		
Additional Review (as necessary)		

Secretariat Comment at CEO Endorsement

Response to Secretariat comments

Additional Review (as necessary)

CEO Recommendation

Brief Reasoning for CEO Recommendations

CONTEXT: In the past decade, Uganda has made positive steps towards establishing policy, legal and institutional frameworks for the management of genetic resources. The National Environment Regulations (Statutory Instrument No. 30 of 2005) recognize Uganda National Council for Science and Technology (UNCST) as the competent national authority with a mandate to issue research and access permits. A 2015 MoU among core institutions details their working relationship because the ABS framework is not yet compliant with the Nagoya Protocol on ABS. In order to deal with the issue of compliance, this project will provide greater legal certainty and transparency to suppliers and users of Genetic Resources (GR) by providing elements for the creation of a national legal framework that promotes and fosters prior informed consent to access and use of GR and associated traditional knowledge, while strengthening opportunities for fair and equitable sharing of profits arising from their utilization, based on mutually agreed terms.

THE PROJECT: The components and outcomes of the project are: 1) Strengthened National Regulatory and Institutional Framework for Access and Benefit Sharing (1.1. National ABS regulatory frameworks in place and operational; 1.2 Institutional framework compliant with the Nagoya Protocol in place and operational); 2) Capacity building for the implementation of Nagoya Protocol on ABS; 3) Component 3: Strengthening ABS Management at the Local government and Community Level; 4) Component 4: Information, Education and Awareness on ABS (2.1. Government agencies have the skills and competency to implement and enforce compliance to the Nagoya Protocol; 2.2. Makerere University training and producing professionals with knowledge on ABS; 2.3: ABS National Focal Point and CNAs effectively carrying out their function). 3) Strengthening ABS Management at the Local government and Community Level (3.1. Effective working models for ABS at the local community level; 3.2: Effective participation of men and women in benefit sharing) 4) Information, Education and Awareness on ABS (4.1. Increased awareness in Uganda on the Nagoya Protocol on ABS).

INNOVATION, SUSTAINABILITY AND SCALING-UP: The project will put in place measures to harmonize in Uganda 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 will establish the country's first framework for sustainable harvesting of sandalwood by the private sector. 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 like that of sandalwood. 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.

CO-FINANCING: The project will be co-financed by several Government Institutions (National Environment Management Authority (NEMA), Uganda Wildlife Authority, Plant Genetic Resources Centre (PGRC) - National Agricultural Research Organization (NARO), Uganda National Council for Science and Technology (UNCST); National Forestry Resources Research Institute - National Agricultural Research Organization (NARO); National Chemotherapeutic Research Institute (NCRI), Makerere University) and CSOs (Karamoja Women Cultural Group and United Organization for Batwa Development in Uganda).