



# GEF-6 PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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## PART I: PROJECT INFORMATION

Project Title:	Effective National Implementation of Access and Benefit Sharing (ABS) in accordance with the Nagoya Protocol and Valorization of Botanical Plants (Medicinal, Cosmetic and Nutraceutical) in the Democratic Republic of Congo (DRC)		
Country(ies):	Democratic Republic of Congo	GEF Project ID: <sup>1</sup>	
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01601
Other Executing Partner(s):	Ministry of Environment and Sustainable Development, in collaboration with GIZ/ABS Initiative and the NGO AASD	Submission Date:	September 19, 2017
GEF Focal Area(s):	Biodiversity	Project Duration (Months)	36
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of parent program:	NA	Agency Fee (\$)	190,000

## A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>2</sup>

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
BD-3, Programme 8 (implementation of the Nagoya Protocol)	TF	2,000,000	6,750,000
<b>Total Project Cost</b>		<b>2,000,000</b>	<b>6,750,000</b>

## B. INDICATIVE PROJECT DESCRIPTION SUMMARY

**Project Objective:** Strengthen national capacities, including on legislation and regulatory framework, for the effective implementation of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the Democratic Republic of Congo.

Project Component	Financing Type <sup>3</sup>	Project Outcomes	Project outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
1. Elaboration of implementing regulations and tools for the ABS related parts of the DRC conservation law	TA	1.1. An operational ABS system in DRC which considers multi-stakeholder approach  1.2. Government launches the national ABS mechanism with clearly identified	1.1.1. A national ABS committee, comprising representatives of all major stakeholder groups relevant for ABS, is established and operational  1.1.2. A national ABS strategy and action plan is elaborated and submitted for validation  1.1.3. Procedures for obtaining all necessary permits and authorizations required to research and/or access and export biological/genetic resources are identified and compiled  1.1.4. Scope, elements and content of ABS implementing regulations under the Law on the Conservation of Nature are developed in consultation with relevant stakeholders  1.2.1. The roles and responsibilities of ABS-relevant authorities and institutions with respect to PIC, MAT, ABS Permit, ABS-CH, monitoring and compliance, etc.,	TF	450,000	1,350,000

<sup>1</sup> Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

<sup>2</sup> When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#).

<sup>3</sup> Financing type can be either investment or technical assistance.

		of role and responsibilities of relevant actors	<p>are adopted by relevant stakeholders</p> <p>1.2.2. A guidance document is produced that describes the roles of all major ABS-relevant authorities and institutions and the uses and applications of ABS permits and all other relevant permits</p> <p>1.2.3. Awareness raising activities are conducted targeting key political and institutional decision makers on the proposed ABS system</p> <p>1.2.4. Draft implementing regulations (see Output 1.1.4.) are provided to decision makers for validation</p> <p>1.2.5. Publication of relevant documents on the ABS system (laws, decrees, regulations, procedure, etc.) are elaborated and populated through the ABSCH</p>			
2. Awareness raising on the Nagoya Protocol / DRC ABS system and capacity building for relevant stakeholders in DRC	TA	2.1. Relevant stakeholders are aware of the ABS regulatory and institutional framework and of business opportunities related to botanicals	<p>2.1.1. A detailed awareness raising / communications strategy on the national ABS framework is elaborated and a campaign is rolled out, including specific materials adapted for different stakeholder groups (IPLC, civil society, researchers, private sector, governmental entities with relevance for ABS)</p> <p>2.1.2. <b>Training</b> conducted for approximately 300 actors including 100 representatives of governmental entities regarding their roles and responsibilities within the national ABS system, 100 traditional healers and 100 women's organisations/groups on various aspects of valorization to develop business opportunities for botanicals</p>	TF	500,000	2,000,000
3. Conservation and Valorisation of medicinal, nutraceutical and cosmetic plants (Botanicals)	TA	3.1. An up to international standards national conservation and valorization strategy for medicinal, nutraceutical and cosmetic plants approved and under implementation	<p>3.1.1. Existing ethno-botanical information on the most important / promising botanicals (medicinal, cosmetic, nutraceutical plants) in the DRC is consolidated</p> <p>3.1.2. A national strategy for in-situ conservation, valorization, production and commercialization of botanicals and aTK is developed and submitted to decision makers for adoption and key elements implemented</p> <p>3.1.3. A comprehensive summary of challenges and procedures for valorization / commercialisation of ABS in the DRC is compiled and made available to researchers and the private sector</p> <p>3.1.4. A market for selected indigenous plants is piloted as a means of testing Prior Informed Consent under the Nagoya Protocol.</p>	TF	868,182	3,000,000
Subtotal					1,818,182	6,350,000
Project Management Cost (PMC) <sup>4</sup>				TF	181,818	400,000
<b>Total Project Cost</b>					<b>2,000,000</b>	<b>6,750,000</b>

If Multi-Trust Fund project: PMC in this table should be the total and enter trust fund PMC breakdown here (N/A)

<sup>4</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE**

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Other Multilateral Agency	ABS Capacity Development Initiative	In-kind	100,000
Other Multilateral Agency	GIZ, "Implementation of ABS in the COMIFAC member countries"	In-kind	200,000
National Government	Le Ministère de l'Environnement et Développement Durable (MEDD)	In-kind	2,000,000
National Government	Le Ministère de l'Agriculture, Pêche et Elevage (MINAGRIPEL)	In-kind	170,000
National Government	Le Ministère de la Recherche Scientifique et Technologie	In-kind	170,000
National Government	Ministère du Plan et Révolution de la modernité	In-kind	100,000
National Government	Ministère de la Santé Publique	In-kind	155,000
National Government	Ministère de l'Enseignement Supérieur et Universitaire	In-kind	170,000
National Government	Ministère de la Décentralisation et Affaires coutumières	In-kind	170,000
National Government	Ministère de la culture et des arts	In-kind	200,000
National Government	Ministère de l'Industrie	In-kind	100,000
National Government	Ministère de Commerce	In-kind	135,000
National Government	Ministère des Finances	In-kind	150,000
National Government	La Primature	In-kind	835,000
National Government	L'Assemblée Nationale	In-kind	635,000
National Government	L'Institut National de Recherches Agronomiques (INERA)	In-kind	185,000
National Government	Office Congolais de Contrôle (OCC)	In-kind	150,000
National Government	L'Institut National de Recherche Biomédicales (INRB)	In-kind	100,000
National Government	Centre de santé de Vanga dans la province de Kwilu	In-kind	135,000
National Government	Institut Congolais pour la Conservation de la Nature (ICCN)	In-kind	135,000
National Government	Les Universités de Kinshasa, Lubumbashi, Kisangani, Luito	In-kind	255,000
CSO	Action d'Aide Sanitaire et de Développement aux plus Démunis (AASD)	In-kind	50,000
CSO	Le centre Action nature et médecine (ANAMED)	In-kind	
CSO	Fondation Biotechnology for Sustainable Development in Africa (BDA)	In-kind	400,000
Copaden	Conseil Panafricain des Docteurs en environnement	In-kind	50,000
<b>Total Cofinancing</b>			<b>6,750,000</b>

**D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS <sup>a)</sup>**

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNEP	GEFTF	DRC	Biodiversity		2,000,000	190,000	2,190,000
<b>Total GEF Resources</b>					<b>2,000,000</b>	<b>190,000</b>	<b>2,190,000</b>

a) Refer to the [Fee Policy for GEF Partner Agencies](#).

**E. PROJECT PREPARATION GRANT (PPG)<sup>5</sup>**

Is Project Preparation Grant requested? Yes ☒ No ☐ If no, skip item E.

**PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS**

<b>Project Preparation Grant amount requested: \$ 45,662</b>					<b>PPG Agency Fee: \$ 4,338</b>	
GEF	Trust	Country/	Focal Area	Programming	(in \$)	

<sup>5</sup> PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$100k for PF up to \$3 mil; \$150k for PF up to \$6 mil; \$200k for PF up to \$10 mil; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

Agency	Fund	Regional / Global		of Funds	PPG (a)	Agency Fee <sup>6</sup> (b)	Total c = a + b
UNEP	TF	DRC	Biodiversity		45,662	4,338	50,000
<b>Total PPG Amount</b>					45,662	4,338	50,000

## F. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>7</sup>

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of Countries:</i> 1
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i> 1

## PART II: PROJECT JUSTIFICATION

1. *Project Description.* Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) [incremental/additional cost reasoning](#) and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and [co-financing](#); 5) [global environmental benefits](#) (GEFTF) and/or [adaptation benefits](#) (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

### 1.1. The Global environment problems, root causes and barriers

#### Overview

The Millennium Ecosystem Assessment (MEA) and The Economics of Ecosystems and Biodiversity (TEEB) Report indicate that biodiversity underpins ecosystem goods and services that are required for the survival of human societies and the future of all life on the planet. Biodiversity also generates considerable economic value through the provision of goods such as food, water, and materials, and services such as climate regulation, pollination, disaster protection, and nutrient cycling.

Genes are the basis from which biodiversity develops and evolves at all different levels, but genetic diversity is steadily and irreversibly being eroded, leading to an on-going loss of possibilities from the use of genetic resources (GR) for human endeavours in medicine, biotechnology, plant and animal breeding, and bio-remediation, amongst others. The third objective of the Convention on Biological Diversity (CBD), related to the fair and equitable sharing of benefits derived from access and use of Genetic Resources ("Access and Benefit Sharing" or ABS), was adopted to balance the need to access and use Genetic Resources (GR) with the needs of countries that have historically been providers of such resources to share in the monetary and non-monetary benefits deriving from GR in order to support the conservation and sustainable use of biodiversity.

Globally, conventional synthetic Pharma pipelines are drying up and the era of the blockbuster product seems coming to an end; over the last ten years, industry productivity has been declining with both time taken to market and R&D costs rising. With a number of major blockbuster drugs about to lose the protection that intellectual property rights convey, several of the largest manufacturers in the industry have undergone a major effort to reduce costs through site

<sup>6</sup> PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

<sup>7</sup> Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and/or SCCF.

closures, restructuring and consolidation. While the conventional pharmaceutical industries (synthetic molecules) are therefore declining<sup>8</sup>, the global market for botanicals, including the pharmaceutical and therapeutic industries (medicinals), nutraceuticals (aromatics, ingredients, healthy food) and cosmetics (perfumes, lotions), is expanding rapidly, and many new segments are appearing (e.g. nutraceuticals, functional foods, cosmeceuticals, biopharma, etc.)<sup>9</sup>. The market for botanical and plant derived drugs is projected to grow from USD 25.4 billion in 2016 to \$41.7 billion by 2023<sup>10</sup>, while the Nutricosmetics market is projected to surpass USD 13.43 billion by 2025.<sup>11</sup> However, for the most part this market growth is bypassing sub-Saharan Africa, despite the fact that many countries (including the DRC) meet all of the soil, climatic and even logistical conditions required to produce diversified and large quantities of botanicals. At present, Africa only constitutes 0.01% of the global market in botanicals (medicinal, cosmetic and nutraceuticals), and the market size for botanicals in the DRC is only USD 13.8 million, with the medicinal segment representing less than USD 2 million.

The Democratic Republic of Congo (DRC), located in Central Africa, is the second largest country in Africa with an estimated population of 77 million. With a GDP of USD 35 billion and a growth rate of 2.2%, the DRC is considered as a low-income country by the World Bank (2016). Approximately 45% of its territory is covered by rainforests, which account for approximately one fifth of Africa's total forest cover. Its geographical location makes it an important country in terms of ecosystem and species diversity: the territory comprises mountain, tropical and subtropical grassland, savannah, shrubland, tropical and subtropical moist broadleaf forest, and wetland ecosystems (IUCN). Okapis, mountain gorillas and bonobos are among the most emblematic examples of the enormous species diversity in the country. Overall, the DRC is known to have more than 11,000 species of plants, 450 mammals, 1,150 birds, 300 reptiles and 200 amphibians (UNEP 2008).

### Policy / Legal / Institutional Context

The overall political will to implement sound environment related policies in DRC has been manifested through the ratification of several international agreements/conventions (CBD, Nagoya Protocol, ITPGRFA, UNCLOS, WIPO, WTO, CITES) and the adoption of a new constitution in 2006, which clearly introduced environmental rights and obligations (Articles 48 and 53-55) and provided for the creation of other domestic laws concerning, *inter alia*, the protection of the environment and tourism (Article 123). In addition, Article 215 of the constitution recognizes international treaties and protocols as part of the national legislation and clearly stipulates the need for implementation of these agreements at the national and local level. In line with the new constitution, more than ten national laws have been adopted and/or amended to include environmental protection, one of them being the 2014 Law on the Conservation of Nature (law n° 003/14). One of the six chapters and 13 out of 86 paragraphs of this law are dedicated to ABS.

While most legal questions related to ABS are addressed in a straightforward manner, some uncertainties exist with regard to the role of indigenous peoples and local communities (IPLC) in negotiating mutually agreed terms (MAT) and granting prior informed consent (PIC). For example, Article 3 of law n° 14/003 stipulates that "the state exercises permanent sovereignty over natural, biological and genetic resources, ecosystems, sites and natural monuments located within its national territory". It follows from these provisions that the aforementioned law does not recognize a right of ownership of local communities over biological and genetic resources, but rather a limited right of enjoyment over those resources, as well as property rights over associated Traditional Knowledge (aTK). Further, the law recognizes the customary authority as "a body capable of identifying legitimate holders of TK associated with GR in the local community". This legislation thus promotes access to TK associated with GR held by local communities by agreeing to the use of this knowledge and their practice. However, it entrusts to a Competent National Authority (CNA), whose

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<sup>8</sup> <https://www.thomsonreuters.com/content/dam/openweb/documents/pdf/pharma-life-sciences/report/international-year-of-chemistry-report-drug-discovery.pdf>

<sup>9</sup> Global Markets for Botanical and Plant-Derived Drugs to Reach \$35.4 Billion by 2017 ([https://www.wiseguyreports.com/report-info.pdf?report\\_id=132837](https://www.wiseguyreports.com/report-info.pdf?report_id=132837))

<sup>10</sup> <https://www.owler.com/reports/bayer/press-release--global-botanical---plant-derived-dr/1489460760097>

<sup>11</sup> [http://www.abnewswire.com/pressreleases/global-nutricosmetics-market-to-surpass-us-1343-billion-by-2025-with-personal-care-sector-growth-creating-conducive-growth-environment\\_123785.html](http://www.abnewswire.com/pressreleases/global-nutricosmetics-market-to-surpass-us-1343-billion-by-2025-with-personal-care-sector-growth-creating-conducive-growth-environment_123785.html); <http://blog.bccresearch.com/global-markets-for-botanical-and-plant-derived-drugs-to-reach-35.4-billion-by-2017>

organization and functioning will be determined by a decree deliberated in the Council of Ministers, on the one hand to protect biological and genetic resources and aTK, and on the other hand, to organize access to these resources and knowledge and the fair and equitable sharing of the benefits arising therefrom.

The overall legal framework for the implementation of the Nagoya Protocol thus already exists and a revision of this framework is not recommended for the moment. A detailed study on the current status of Congolese legal and institutional texts with regards to ABS has been elaborated with support of the regional GIZ-COMIFAC project on ABS. The study does not recommend any revision of the current legal framework, but instead suggests clarifying the DRC ABS procedures by means of decrees and other relevant measures of application of the law on nature conservation.

The institutional framework governing ABS in the DRC is much less clear and the roles and responsibilities of the actors necessary for a functioning ABS system remain undefined. The GIZ-COMIFAC study identified four key recommendations regarding strengthening institutional processes and structures:

- 1) A decree determining the organization and functioning of the Congolese ABS CNA (art. 52);
- 2) A decree determining the conditions and procedures for obtaining PIC (art. 57);
- 3) A decree determining the mechanism for the monitoring of the utilization of genetic resources and aTK (art. 59);
- 4) A decree defining the nature of benefits and their amounts (art. 60).

Further, the process leading to the delivery of an ABS permit, or its equivalent an essential ABS document to enable monitoring of compliance in user countries, is not yet clearly defined. In addition, the publishing authority for the ABS clearing house (ABSCH) is yet to be defined. Monitoring compliance at the international level will only become possible when up to date information on national regulations and procedures with regard to access to genetic resources, and relevant documentation confirming access to genetic resources (a permit or its equivalent), has been made available to the ABSCH. A consensus as to how ABS permits interact with other relevant permits needed for access to genetic and/or biological resources (e.g. research permit, exportation authorization, phytosanitary certificate, CITES permit etc.) does not exist yet. Finally, no clear instructions on how to navigate through ABS procedures (e.g. visualization in form of a scheme or similar) are available yet.

## Barriers

Summarizing and grouping the above-mentioned shortcomings, the barriers for the effective implementation of ABS in the DRC, which will guide the framework of proposed interventions in this project, include the following:

An incomplete national legal and institutional framework to support ABS: The DRC still has not established complete legal, regulatory and institutional pre-conditions to support ABS, including an absence of implementing regulations for the ABS-relevant parts of the Law on the Conservation of Nature; a lack of any coordinating mechanisms to bring together various stakeholders to elaborate the necessary implementing regulations to be submitted to decision makers at the national level; and a lack of a clear and transparent institutional set-up, including clearly delineated roles and responsibilities of relevant entities (CNA, publishing authority, entities negotiating MAT and granting PIC / ABS Permit etc.), for the implementation of the Nagoya Protocol.

Insufficient awareness and knowledge/information dissemination on ABS: Despite the availability of information on the actual and potential value of botanical markets<sup>12</sup>, the DRC has not yet taken advantage of this lucrative, fast growing and innovative business segment. A key factor preventing the growth of botanical markets in the country is insufficient awareness and understanding of market potential, segmentation, regulations, and entry barriers to the botanicals value chain as well as the fast growing and rapidly changing global market for botanicals. Relevant stakeholders in the DRC are also unfamiliar with the necessary processes to ensure the fair and equitable use of these genetic resources, including for example how to ensure Prior Informed Consent (PIC) and to negotiate Mutually Agreed Terms (MAT). In addition, there is little experience or understanding in the country of the importance of quality control and its critical importance for international exports, including for example GLP (Good Laboratory

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<sup>12</sup> North American Market for Natural Products Prospects for Andean and African Products  
([www.intracen.org/WorkArea/DownloadAsset.aspx?id=58174](http://www.intracen.org/WorkArea/DownloadAsset.aspx?id=58174))



Practice), GCP (Good Clinical Practice) for research, and GACP (Good Agricultural and Collection Practices) for production and collection.<sup>13</sup> The limited experience in the country with these practices is compounded by a lack of funds and expertise to roll out awareness raising campaigns and create targeted communication materials (including visualizations of the ABS related administrative processes).

Lack of a nationally coordinated conservation and valorization approach: Despite the fact that Congolese researchers have produced numerous ethno-botanical studies over the past several decades and throughout the country, very few opportunities for commercialization of genetic resources have been identified. Many factors have contributed to the failure to adequately valorize GR in the country, including the lack of market access (authorization) to target export countries, lack of regulatory files, the absence of written pharmacopia for fast track authorization, and the lack of quality controls for production and transformation. At the local level within the country, traditional medicine is still an irregular market with barely any controls, and the implementation of a national policy on Improved Traditional Medicine (ITM) has not been effective with the result that the local population still have very limited access to valuable treatment opportunities.

## **1.2. The baseline scenario**

Although the DRC ratified the Nagoya Protocol in 2015, the lack of a functioning ABS system in the country has meant that no value chain based on genetic resources from the DRC in conformity with the Nagoya Protocol has yet been established. However, the basic conditions for such a system, in the form of the country's rich biodiversity and the political framework conditions (see above), are promising. In 2005, the Biotechnology for Sustainable Development Foundation (BDA) produced a comprehensive study<sup>14</sup> for UNDP on the potential of the expanding international botanical market to provide an important sustainable economic development model of the DRC. The study will be capitalized in the context of this project.

### ***Legal scenario***

Aware of the global significance of its rich biodiversity and the potential to boost the socio-economic development via the sustainable use of this biodiversity, DRC ratified the CBD in 1994 and the Nagoya Protocol on ABS in 2015, one year after its entry into force (2014). The political will to implement sound environmental policies in DRC has further been manifested through the adoption of a new constitution in 2006, introducing environmental rights and obligations, and through the adoption of the 2014 law on the conservation of nature. This framework law has a specific chapter on ABS, but its implementation is still pending due to the lack of implementing regulations.

### ***Institutional scenario***

As described above, the lack of implementing regulations for the 2014 law for the conservation of nature have resulted in undefined roles and responsibilities for the institutional actors in the ABS regime. Currently, users interested in GR from DRC cannot find any valuable information on the ABSCH with regard to the institutions to contact and the procedures to follow in order to obtain an ABS permit for access to GR and aTK in conformity with the Nagoya Protocol. Governmental entities such as the MEDD and the ICCN exist on the national as well as on the provincial level and could potentially fulfil the roles needed for an effective implementation of ABS in DRC. With a properly set-up multi-stakeholder process, the roles and responsibilities can be defined and can then lead to a functioning and transparent ABS system.

### ***Associated baseline projects***

The signing of the Nagoya Protocol in 2011, the elaboration of the law for the conservation of nature in 2014, as well as the ratification of the Nagoya Protocol in 2015, have all been carried out with internal funds from the Congolese government.

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<sup>13</sup> [WHO Guidelines on Good Agricultural and Collection Practices \(GACP\) for Medicinal Plants](#)

<sup>14</sup> <https://drive.google.com/open?id=0B2Tu1Mos4keCOTY3cVI3VmhWSkk>

Two initiatives of regional scope focusing on ABS, both with the Central African Forests Commission (COMIFAC) as political partner organisation, are currently being implemented in the country. One of these projects is supported by the GEF and described in Section 4. The other project is the GIZ project “Implementation of ABS in the COMIFAC member states”, which focuses on five components: (i) Sensitization and Capacity development, (ii) Establishment of administrative procedures and ratification of the Nagoya Protocol, (iii) Elaboration of legal frameworks, (iv) Promotion of participatory mechanisms, and (v) Valorization of genetic resources and traditional knowledge. Due to the regional character of the two COMIFAC projects, only limited funds have been made available for the implementation of national activities in DRC. Noteworthy activities to be mentioned here are the elaboration of an ABS actor’s landscape, the elaboration of a concept for awareness raising activities in three provinces in DRC, the elaboration of the above mentioned study on the current legal and institutional status with regards to ABS, all of which were supported by the regional GIZ project. The UNEP-GEF project supported awareness raising activities in Kinshasa and in one province. Analyses and discussions with responsible staff of both projects have revealed that it will be impossible for the projects to adequately support all activities necessary for the effective implementation of the Nagoya Protocol in DRC. The proposed GEF intervention will thus build on the results achieved so far by the two regional projects, such as the actor’s landscape, the awareness raising concept and the legal gap analysis. All implementation activities will be closely coordinated with both regional projects and a mutually supportive implementation will thus be guaranteed.

At the national level, no specific ABS projects are currently being executed. However, during the kick-off workshop of the regional GIZ ABS COMIFAC project in early 2016, GIZ reported on two activities that touch to a certain extent on ABS in DRC. The regional GIZ COMIFAC project organized three regional workshops (2011, 2015, and 2017) on ABS for different members of the “Network of African Women for Sustainable Development” (REFADD). Objectives of the first and last workshop were an overall sensitization on ABS and the second workshop focused on options to mobilize resources through the elaboration of local ABS projects. In addition, a bilateral GIZ project on forests and biodiversity in DRC supported the elaboration and validation of a national strategy for community conservation (CoCo) from 2014 through 2016. While the number of involved individuals is difficult to estimate, it can be stated that several stakeholder groups were involved such as managers of protected areas, local communities, government institutions and civil society organizations. Within the strategy (validated in 2016), ABS is covered as one option to generate additional income from biodiversity and to thus contribute to the sustainable use and conservation of biodiversity, leading to an overall socio-economic development. Similar activities implemented by other actors in DRC and the potential for collaboration can be further explored during the PPG-phase and during the implementation of the project.

The Congo Basin Forest Fund (AfDB), along with the Organisation Internationale de la Francophonie (OIF) and Agence Universitaire de la Francophonie (AUF), is financing the work of the Biotechnology for Sustainable Development Foundation (BDA) on an innovative project to train and launch local businesses of certified producers (ecopreneurs) in Botanicals cultivation and wild harvesting. The project is assisting businesses with respect to international regulations and quality control standards (GACP - an essential guideline produced by WHO), transformation and commercialization. BDA has been working in DRC over a decade, and legally operating as an ASBL, with signed agreement with several ministries. BDA has taken the initiative to assist the development of the value chain for botanicals in the DRC, and has built and now operates a campus, including a quality control laboratory, processing centre, plant nursery, experimental botanical garden, classrooms, and lodging facilities, in order to train the first generation of African Ecopreneurs (certified producers of Botanicals). The training program was presented in NAGOYA COP-10 as a model for ABS.

### **1.3. The proposed alternative scenario**

The objective of the proposed project is to strengthen national capacities including on legislation and regulatory framework for the effective implementation of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, contributing to the conservation of biodiversity and human wellbeing in the Democratic Republic of Congo. The project will achieve this objective through three inter-related and reinforcing components, which together will contribute to creating an operational ABS system in DRC.

#### **Component 1. Elaboration of implementing regulations for the ABS related parts of the DRC conservation law**



Under Component 1, the project will seek to translate the 2014 DRC conservation law into an efficient and integrated national system for ABS, operating in a coordinated manner, based on full compliance and integration of functions of governing entities, national authorities and institutions with competence on the matter. The main focus of activities under this component will be to produce the required information, regulations, and institutional mechanisms necessary for the establishment of a national ABS system. To begin, the project will support the creation of a national ABS Committee, comprising representatives of all major stakeholders, to function as a multi-stakeholder platform that will allow for the elaboration of a consensus based strategic approach to the setting up of a national ABS system. At the same time, a national ABS strategy and action plan will be elaborated and submitted for validation. The project will also undertake a review of the existing permitting procedures (e.g. research permits, exportation authorizations, phytosanitary certificates, etc.) that are currently required to perform research on and/or gain access to and export biological/genetic resources. This review will serve as the basis to properly align these existing procedures with the newly developed ABS system for the country. In this light, the options for setting up a one-stop-shop for all ABS related permits will also be discussed and potentially pursued. The preparatory phase will also include defining the scope, elements and contents of the implementing regulations needed to translate the 2014 DRC Law on the Conservation of Nature into an effective legal/regulatory framework for a functional ABS system.

To further support the establishment of a national ABS system, the potential roles and responsibilities of different ABS-relevant authorities and institutions, including their functions with respect to PIC, MAT, ABS Permits, ABSCH, monitoring and compliance (check points), etc., will be discussed and agreed upon within the national ABS Committee. In this process, inputs and lessons learned from former initiatives (e.g. the legal and institutional status quo with respect to ABS), as well as the key results from the elaboration of the valorization strategy (see Component 3), will inform this process. In order to make sure that all members of the ABS committee have the same understanding of the agreed upon roles of all ABS-relevant authorities and institutions, including the relationships between the ABS permits and other relevant permits, a guidance document will be elaborated that provides a schematic visualization of these interrelationships. In order to generate the necessary political buy-in, a high level briefing for political and institutional decision makers of strategic importance for the validation of the proposed ABS system will be organized. This briefing will provide the opportunity to explain the foreseen set-up of the ABS system in depth and will allow decision makers to fully understand the implications of ABS for their respective fields of work. After the high-level briefing and after taking into account possible comments from the decision makers, implementing regulations will be drafted and submitted to decision makers for adoption; these regulations will cover *inter alia* the scope and institutional set-up of the CNA, the publishing authority, the entities negotiating MATs and granting PICs and permits, monitoring and compliance (check points), etc. After the adoption of the different implementing regulations, all relevant documents on the DRC ABS system (laws, decrees, regulations, contact information of relevant authorities, procedures for granting ABS conform access to GR and aTK, obligations with respect to monitoring and compliance etc.) will be made available to the ABS publishing authority for publication on the ABSCH. By providing up to date information on the national ABS system on the ABSCH, potential users will be able to comply with the newly established ABS system. Finally, as needed the project will support the publishing authority and other ABS related entities in fulfilling their newly defined responsibilities.

### **Component 2. Awareness raising on the Nagoya Protocol / DRC ABS system and capacity building for relevant stakeholders in DRC**

Component 2 of the project seeks to increase the awareness of relevant national stakeholders regarding the national ABS system. It is important to note that the goal is not to increase overall awareness of the CBD and the Nagoya Protocol, but rather to inform relevant stakeholders about the newly established national ABS system and their respective roles, responsibilities and opportunities within that system. For this purpose and as part of the preparatory measures, the first output of this component will be a detailed ABS communication strategy. Based on the landscape of ABS actors that has been validated with support of the regional GIZ project, the targeted communication materials (flyers, posters, web-applications, films etc.) required to meet the needs of the different stakeholder groups (government officials, academics, researchers, innovators, entrepreneurs and indigenous peoples and local communities) will be identified and elaborated accordingly. Easy to understand schemes of the national ABS system will play a crucial role in explaining the roles and responsibilities as well as the opportunities that derive from the ABS system for different actors. Wherever possible, the project will make use of existing materials in order to avoid duplication and ensure that resources are used where they are most needed. At the same time, the project also will need

to refine and/or create *de novo* some materials to respond to local needs and conditions. Based on the communication strategy, broad awareness raising activities covering IPLC, civil society, private sector and research will be rolled out in selected provinces and among selected stakeholders. The selection of provinces and stakeholders will be defined in the communication strategy and the extent to which all provinces of the DRC can be covered will depend on the associated costs and on the complementary activities of the regional UNEP and GIZ projects. To ensure detailed understanding among key stakeholders, approximately 100 representatives (the exact number will be determined in the process of elaborating the communication strategy) of the different governmental entities involved in the ABS process, such as CNA, ABSCH publishing authority, check points, line ministries and other agencies with complementary functions, will participate in targeted trainings to ensure they can fulfil their expected roles in the national ABS system. As part of this process, the project will seek to train at least 3-5 representatives from each institution so that ABS-relevant knowledge within institutions is not limited to single individuals. In order to create opportunities for traditional healers, women, and others to understand and participate in income-generating activities based on botanicals, the project will provide training for at least 100 traditional healers and 100 women's organisations/groups on various aspects related to the valorization of botanicals.

### **Component 3. Conservation and Valorisation of medicinal, nutraceutical and cosmetic plants (Botanicals)**

Component 3 is designed to improve valorization through identification of opportunities to valorize, produce and commercialize botanicals (medicinal, cosmetic and nutraceuticals) in the DRC, as well as to valorize associated Traditional Knowledge (aTK). Serving as a basis for the elaboration of the valorization strategy, a study will be carried out to compile the available ethno-botanical information on the most important botanicals (medicinal, cosmetic and nutraceuticals) in the DRC, including their habitat, distribution, scientific knowledge, market demand, level of exploitation, etc.), as well as information on aTK and traditional healers using these plants. This study will focus on the Hinterland of Kinshasa and similar ecosystems in DRC. The study will also compile information on the scientific research and private sector landscape working on botanicals (medicinal, cosmetic and nutraceuticals) in the DRC. Experiences and lessons learned from these studies (which will be partly generated during the PPG phase) will inform the setting up of the national ABS system (Component 1) and the elaboration of the communications strategy (Component 2). In addition, the studies will inform the elaboration of a national strategy for in-situ conservation, valorization, production and commercialization of botanicals and aTK, which will be submitted to decision makers for adoption. As part of the valorization strategy, a comprehensive summary report on botanicals (medicinal, cosmetic and nutraceuticals) and aTK in the Hinterland of Kinshasa will be made available to research and private sector representatives potentially interested in commercialization activities according to the national DRC ABS system. This report also will include information on international requirements for quality control in production and transformation, market authorization processes in different targeted countries, analysis of market segments and trends, SWOT analyses, and a market penetration strategy for DRC medicinal, nutraceutical and cosmetic plants. Activities supporting the setting up of value chains complying with the national DRC ABS system can also be supported within this component. Based on the collected information, the project will support the negotiation between the market (commercial/research company) and the providers (possible indigenous/local community) on the best identified prospect of commercialization of botanic genetic resources in order to showcase the procedure of prior consent in line with the Nagoya Protocol of the "first to market" example.

#### **1.4. The incremental/additional cost reasoning and expected contributions from the baseline, the GEFTE, LDCF/SCCF and co-financing**

The project Theory of Change (ToC) is built around the fact that, without GEF support, the Government of DRC and its national and local partners have limited ability to effectively address issues related to proper access to Genetic Resources (GR) and fair and equitable distribution of its derived benefits. Support through the on-going regional GIZ and UNEP-GEF projects, as well as awareness raising activities in Kinshasa and in one province, have been carried out but key partners have revealed that it will be impossible for these projects to support the activities necessary for the effective implementation of the Nagoya Protocol in DRC. As a result, there is a consensus that current efforts made by the national Government and partner institutions will be unable to reach all relevant target audiences, to ensure the harmonized application of ABS measures at the national level, or to ensure the adoption of measures to implement the Nagoya Protocol and provide the resulting benefits to the DRC.

With GEF support through this project, incremental financial resources necessary for effective changes will be available to address the need for elaboration of implementing regulations for the ABS related parts of the DRC conservation law, for capacity building for relevant stakeholders with respect to their roles and responsibilities relevant to ABS, and for the improved valorization of GR in the DRC. The current project has been designed in a way that GEF resources will complement existing efforts, including those of the two regional ABS projects by UNEP/GEF and GIZ, ensuring a cost-effective approach and a coherent intervention strategy to maximize the possibilities of achieving the identified outcomes. By building on the baseline with GEF support, the project will have a positive impact on the implementation of ABS principles (steaming from CBD and Nagoya Protocol), and this experience could eventually benefit other African countries through the African Union (AU) or COMIFAC sphere, where neighbouring countries share similar difficulties and challenges. Experience and results from the GEF supported project will be widely shared in forums where ABS is discussed.

### **1.5. Global environmental benefits (GEFTF, NPIF) and/or adaptation benefits (LDCE/SCCF)**

The Convention on Biological Diversity (CBD) defines biodiversity as “the variability amongst living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species, and of ecosystems.” Well-implemented ABS mechanisms create incentives to conserve and sustainably use Genetic Resources (GR), thereby enhancing the contribution of biodiversity to development and human well being. An effective and efficient access regime for GR and aTK will provide impetus for biodiversity conservation, research, and sustainable use of biological and genetic resources, helping to maintain and preserve biodiversity in a region where biodiversity is in critical need of support. Making visible the value of GR (based on a functional ABS regime) is one of the key ways to link access, use and benefit actions based on these resources with conservation objectives. This is particularly relevant for megadiverse countries, which have the enormous privilege, but also a higher responsibility, to be depositaries of the most important gene banks on the planet.

In addition, creating the legal flow of GR from the DRC for research and development is the best way for GR to contribute with specific services to a variety of activities and industries, ranging from agriculture to pharmaceuticals to cosmetics, creating considerable economic value for the DRC and providing ecosystem goods and services required for the survival of biodiversity. ABS in general and ABS compliant value chains based on genetic resources in particular hold a strong potential for creating socio-economic benefits. While many GR are already being used in a traditional manner and are thus not necessarily being traded in significant amounts, the use of a given medicinal plant in a pharmaceutical product can drastically increase the demand in DRC. Increased demand in turn stimulates the self-organization of provider communities, e.g. in the form of harvesting cooperatives for wild plants. While properly set-up value chains obviously boost the local economy on mostly individual levels, the benefit sharing resulting from ABS compliant access to genetic resources can be used for community development projects in DRC and can thus have a positive impact on the socio-economic development of communities and the country as a whole. Although until now a significant portion of DRC genetic and biological resources are being exported as raw materials, the options for increasing the degree of transformation within the country should be pro-actively pursued. This in turn holds a significant potential for the growth of small and medium sized enterprises in DRC. Cooperation between research institutions in the DRC and user countries also provides an opportunity to foster sustainable growth und thus create further socio-economic benefits.

### **1.6. Innovativeness, sustainability and potential for scaling up**

The project is innovative in the sense that it will focus on the potential of botanicals as a concrete option for locally driven sustainable development by explaining and providing information on market opportunities to all stakeholders. These opportunities are however hindered by barriers related to conditions of access to botanical markets and the capacities of providers to comply with market conditions demanded by buyers to establish market agreements. The market access capacities will be addressed in a sustainable approach that involves universities and laboratories to generate and disseminate adequate knowledge and to provide tools and equipment to comply with market demands for botanicals. Another innovative aspect of the project is that instead of considering the traditional approach to ABS based on the development of medicinal products by outside parties that can create problems in terms of intellectual property, the project will instead work to provide the owners of GR and aTK with the capacity and tools to access

markets directly. The project is also innovative in its focus on implementing regulations that will be translating an already existing framework law into a functional ABS system.

As for the scaling up potential, the innovative exploration of opportunities for facilitating access to the botanicals markets based on the pro-active valorization of botanicals (medicinal, cosmetic and nutraceuticals), will inform the design of the national ABS system and thus enable replication at other sites in the country. In addition, the close ties with the UNEP/GEF and GIZ regional projects will be used to disseminate information and lessons learned, including through the regional exchange fora of COMIFAC and beyond. By showing that it is possible to remove barriers to access the botanicals markets, the project will produce results that will be attractive to other countries, which will be interested in replicating the experience.

The sustainability of the project approach is that it will build the capacity of stakeholders to participate in the botanicals market, which will produce livelihoods opportunities and thus incentivize participants to develop products based on GR (and to conserve GR) over the long-term. The sustainability of the project is also ensured through the fact that all activities are framed within the DRC Law on the Conservation of Nature and even in the DRC's constitution. Finally, once a functional ABS system is set up and has proven to generate benefits for the socio-economic development of the DRC, it should, especially when taking the enormous biodiversity of the DRC into account, continuously generate benefits and should thus not depend on continued support from external sources.

2. **Stakeholders.** Will project design include the participation of relevant stakeholders from [civil society](#) and [indigenous people](#)? (yes ☒ /no ☐ ) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation.

Institution	Sector/ Actor	Role or function
Primature - Collège Stratégie et prospectives économiques	Public	Cabinet of the Prime Minister (head of government); can adopt decrees and contributes to the amendment of bills and the implementation of laws that have been adopted. Monitoring of activities of MEDD
Assemblée nationale - Commission environnement et vulgarisation	Public	One out of two chambers of parliament and part of the legislative power in DRC; adopts laws and controls the government and governmental institutions; members of parliament can contribute to awareness raising and monitoring of ABS at the local level. Controls the implementation of ABS by the MEDD and other Ministries
Le Ministère de la Recherche Scientifique et Technologie - Direction de la Valorisation des résultats de la recherche scientifiques - L'Institut National de Recherches Agronomiques (INERA)	Public	Coordination of scientific research and controle of the utilization of genetic resources outside the jurisdiction of DRC Certification of research results on traditional medicine and innovations of companies  Supports environmental and agricultural research, especially with a view to the implementation of the ITPGRFA
Ministère de l'Environnement, Conservation de la Nature et Développement Durable (MEDD) - Direction de Conservation de la Nature - Cellule Juridique - Centre National pour l'Information sur l'Environnement (CNIE) - Direction de la Conservation de la Nature (DCN) - Direction d'Etudes et Planification (DEP) - Direction de Contrôle et Vérification Interne (DCVI) - Institut congolais pour la Conservation de la Nature (ICCN)	Public	Responsible for biodiversity, IPLCs and regulations on all environmental matters. CBD and ABS Focal Point  Elaborates strategies, policies and implementing regulations on environmental matters. Drafting of legal texts and implementing regulations Sensitization and awareness raising  CITES and ex-situ collections of biodiversity  Control of ABS implementation and protection of IPLC  Controls the application of environmental laws  Management of protected areas and acces to GR in protected areas
Ministère du Plan et Révolution de	Public	Planification of economic development policies and mobilisation of

la modernité - Division en charge de planification sectorielle		resources (including for ABS projects), including monitoring Coordination of programs of line ministries such as ABS in MEDD
Ministère de la Santé Publique - Direction de Programme National pour la Promotion de la médecine traditionnelle et des plantes médicinales - L'Institut National de Recherche Biomédicales (INRB)	Public	Responsible to integrate traditional medicine in national health system Supports traditional healers technically and organizes their cooperation; has an inventory of traditional healers in Kinshasa  Epidemiologic monitoring in DRC
Ministère de l'Enseignement Supérieur et Universitaire	Public	Responsible for applied research and for preparing future researchers on their roles and responsibilities within the national ABS system
Ministère de la Décentralisation et Affaires coutumières - Direction en charge du suivi et évaluation de la mise en œuvre de la Décentralisation	Public	Responsible for decentralization and customary affairs  Can support MEDD in the monitoring of ABS activities on the local and provincial level
Ministère de la culture et des arts	Public	Securing the rights of artists and inventors, also in line with IPR
Ministère de l'Industrie	Public	Decision on patents in DRC, also for patents linked to genetic resources and the traditional knowledge of traditional healers
Ministère de Commerce - Office Congolais pour le Contrôle (OCC)	Public	Promotion of trade and quality control Controls the export of genetic resources and aTK
Ministère des Finances - Direction Générale des Douanes et Accises (DGDA)	Public	Mobilisation of internal and external financial resources Collection of customs and potential monetary benefits
Centre de santé de Vanga dans la province de Kwilu	Private Sector	Hospital specialized in research on and the application of medicinal plants
Les Universités de Kinshasa, Lubumbashi, Kisangani, Luito, et Goma	Public	Framing of research activities facilitating the implementation of ABS in DRC; plays also a role in controlling the exportation of genetic resources linked to their research activities
Action d'Aide Sanitaire et de Développement aux plus Démunis (AASD)	CSO	National NGO focussing on the improvement of the socio-economic situation of vulnerable populations especially indigenous/pygmies and environment protection. The NGO will assist in negotiations with indigenous communities and the mapping of traditional knowledge during the project.
Le centre Action Nature et Médecine (ANAMED)	CSO	Association of traditional healers aiming at a professionalization of their members
FAO	International	Significant budget line for agricultural activities and activities linked to IPLC; also of particular importance for harmonizing the implementation of ABS and the ITPGRFA
International Conservation Organisations e.g. RDC : GIZ, WWF, AWF, WCS, etc.	Governmental organizations and CSO	Potential for complementary activities aiming directly at ABS or indirectly at sub-topics within ABS (national park management, bush meat, empowerment of local communities etc.)
Indigenous and peasant community organizations, including women's organizations (REFADD, DGPA LINAPYCO, etc.).	Civil Society and IPLC	National organizations for defending the rights of marginalized groups and IPLC with networks and experiences important for capacity development activities at the provincial and local level
UN Environment Law Division	Inter-governmental	Acts as the Executing Agency for most of the UNEP/GEF ABS portfolio. The Division will ensure coherence and complementarity with the ABS portfolio. The Division can play a facilitation role, provide technical support, and facilitate financial transactions and reporting. It can also help the country to identify and mobilise as necessary the expertise to move the national ABS agenda. These roles will be discussed and agreed upon during the PPG phase.

BDA Foundation	Intl NGO	BDA Foundation is a non-profit organization that supports scientific cooperation, training and the creation of eco-business projects related to the cultivation of Botanicals. BDA's program in DRC is co-financed by AfDB, OIF, AUF and other partners and realized in cooperation with local institutions. During the PPG phase, BDA will provide technical inputs to the identification of barriers to market access and will support development of the strategy that will help the country to improve its commercialization of botanicals. During project implementation, the organization will: provide access to nurseries, botanical gardens, quality control laboratories and plants processing centers; provide guidance and technical expertise in negotiating with potential buyers; support capacity building of local communities, government officials, universities and other stakeholders; and coordinate capacity building of universities in quality control to meet international requirements for botanicals.
COPADEN	NGO	Climate Smart Agriculture and environmental consideration. Ecosystem based approach

3. **Gender Considerations.** Are **gender considerations** taken into account? (yes ☒ /no ☐ ). If yes, briefly describe how gender considerations will be mainstreamed into project preparation, taken into account the differences, needs, roles and priorities of men and women.

To increase the involvement of women it will be necessary to develop an approach that takes into consideration time constraints and socio-cultural impediments to their full participation. For example, only a few women have been nominated as representatives to the thematic groups and men defend their absence by stating that they are unable to travel away from their family and responsibilities to participate in meetings and workshops. As with socio-economic study focus groups, it may be necessary to consider organizing separate, sector-based meetings for women to ensure that they are fully informed of the activities to date, to obtain their input, and to collaboratively work together to develop a strategy for their long-term inclusion in the development and management of an ABS regime in the country.

This project's approach to gender recognizes the importance of involving women in setting up an ABS regime for the country due to their high dependence on the use of natural resources, and further believes that greater gender equity will result in benefits for all. The balanced allocation of resources, involvement and decision-making will result in greater incomes and overall well being for all persons – women, men, girls and boys – and better conservation results. Achieving gender equity requires an integrated approach geared towards changing behaviour and practice at multiple levels. In response to this, the project will incorporate the following elements:

- i) Analysis of livelihoods, gender and vulnerable groups, which will inform the project design, will engage with women on current economic activities, needs and aspirations, and collect gender specific data. Because gender relations, aspirations, and opportunities can vary greatly, the analysis will begin with a closer look at the social constructs that define the roles, burdens, access to and control of resources for men and women locally. This will ensure a gender sensitive project design from the start, and thus implementation that takes into account the needs and priorities of both women and men. The analysis itself will need to be organized in a way that it fits time and location to facilitate women's participation.
- ii) Gender-balanced management: Behaviour change and gender-balanced management within community-based organizations (CBOs) is key to opening spaces that empower women. In the case of producer organizations, women and men will be trained and assisted for those ABS related activities that they have a role or interest in. Women will be adequately represented as group administrators and trainers. Trainers will be taught how to be aware of, responsive to and advocate for gender issues in their training context and community, and equipped to counter negative behaviour.
- iii) Technical and financial capacity building: Targeted, gender-balanced capacity building and technical assistance packages will be refined based on the results of the context assessment. The timing and structure of workshops will take care not to overburden participants, particularly women, who tend to shoulder more of the household and caregiving responsibilities. In addition to the core training activities, specialized technical assistance may be provided in support of other ABS related activities, especially those that are of primary importance to the



livelihoods of women and their families. This can include direct support to women's organizations. Women in particular have shown significant interest in tools that help build their entrepreneurial skills.

- iv) Gender-disaggregated performance indicators: Monitoring and evaluation will include gender-specific indicators (e.g. management positions held by women in CBOs) and indicators of the presumed result of greater gender equity (e.g. increased family income, improved household wellbeing, more efficient businesses, and improved ABS regime). Results will be disaggregated so as to demonstrate distribution of results across the different genders, socio-economic and ethnical groups.

**4. Risks.** Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable).

Project risks on expected results and products are fairly low because the project proposal has been prepared through the collaboration and active participation of involved actors, who have demonstrated interest and compromise in the actions to be developed. Also, it is important to note that most activities are under direct responsibility of institutions with competency on the matter, in particular MEDD and administrative and management authorities. This is an assurance and implies a drastic reduction of associated risks.

However, we recognize that some products may suffer delays. For example, the political adoption of strategies and implementing regulations might be slowed down due to differing political and institutional views on the interplay of relevant actors within the proposed ABS system. This risk will be minimized by strongly anchoring all activities in a multi-stakeholder process and by organizing high-level briefings of political decision makers on the proposed ABS system during early stages of the discussions. Also, capacity building proposals in the framework of the national ABS system may depend on internal conditions (re-organization, public officers rotation, budget cuts, among others) affecting some institutions and actors. This risk will be minimized by constant awareness raising activities from the project, ensuring that its importance is perceived at all levels. Likewise, annual work plan and budget revisions will allow the project team to implement adaptive management measures to secure the necessary support and ensure project progress.

**5. Coordination.** Outline the coordination with other relevant GEF-financed and other initiatives.

The proposed project will coordinate with the UNEP-GEF project "Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing (ABS) for the member countries of the Central African Forests Commission (COMIFAC)", which focuses on three components (i) Ratification of the Nagoya Protocol, (ii) Implementation of the Nagoya Protocol, and (iii) Sub-regional coordination and cooperation. UNEP as Implementing Agency of this project will ensure synergy and coordination with regional UNEP/GEF/COMIFAC ABS project (as well as the GIZ financed ABS project described in the Baseline). Adequate complementarity and synergy with these projects will be identified and negotiated during the PPG phase. The project also will be implemented in close consideration of the GEF ABS support both in Africa and globally so as to ensure that the project will continue to deliver the expected GEB and the portfolio objectives.

- 6. Consistency with National Priorities.** Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? (yes ☒ /no ☐ ). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.

The project is consistent and falls within national priorities in the framework of the national biodiversity strategy and action plan (NBSAP 2016-2020) that has been submitted in November 2016. One of the ten strategic axes of the NBSAP is dedicated to ABS and the respective national target states that the "legal, regulatory and administrative framework for ABS shall be in place and operational by 2016" (freely translated from the French original version). Also, the project's activities are in line with the new constitution adopted in 2006, clearly introducing environmental rights and obligations (Articles 48 and 53-55) and providing for the creation of other domestic laws concerning, inter alia, the protection of the environment and tourism (Article 123). At the regional level, the project is also in line with

the sub-regional ABS strategy of COMIFAC and the revised COMIFAC Convergence Plan. Finally, the project is well aligned with the African Union Guidelines on ABS.

7. **Knowledge Management.** Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

The project includes knowledge management initiatives through networking with similar projects in the region, such as the ABS Capacity Development Initiative, and also by sharing important lessons generated by the project itself with the participating institutions and associated projects. UNEP as implementing agency will play a key role by promoting interaction between the project and similar initiatives in the region. Likewise, interaction with countries that are members of the African Union (AU) and COMIFAC will occur at various levels, facilitated by the fact that a common set of guidelines on ABS (AU Guidelines and the regional ABS strategy of COMIFAC) exists among these countries, which will allow the project to share lessons learned with the AU and COMIFAC community. The project will also support DRC in making sure that all relevant ABS information is published on the ABS Clearing House, the central tool for global ABS information. The project also includes knowledge management and capacity building for Congolese universities and institutes, in partnership with the BDA Foundation.


### **PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. RECORD OF ENDORSEMENT<sup>15</sup> OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [\*\*OPERATIONAL FOCAL POINT ENDORSEMENT LETTER\*\*](#)(s) with this template. For SGP, use this [\*\*SGP OFP ENDORSEMENT LETTER\*\*](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
JOSEPH ILANGA LOFONGA	HEAD OF DIRECTORATE OF SUSTAINABLE DEVELOPMENT	MINISTRY OF ENVIRONMENT, CONSERVATION OF NATURE AND SUSTAINABLE DEVELOPMENT	07/20/2017

### **B. GEF AGENCY(IES) CERTIFICATION**

**This request has been prepared in accordance with GEF policies<sup>16</sup> and procedures and meets the GEF criteria for project identification and preparation under GEF-6.**

Agency Coordinator, Agency name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email
Kelly West, Senior Programme Manager & Global Environment Facility Coordinator Corporate Services Division UN Environment		September 19, 2017	Adamou Bouhari Task Manager, Biodiversity and Land Degradation	+225 52 11 37 01	Adamou.Bouhari @unep.org

### **C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION (APPLICABLE ONLY TO NEWLY ACCREDITED GEF PROJECT AGENCIES)**

<sup>15</sup> For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

<sup>16</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

For newly accredited GEF Project Agencies, please download and fill up the required [GEF Project Agency Certification of Ceiling Information Template](#) to be attached as an annex to the PIF

NA