PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Medium-sized Project
TYPE OF TRUST FUND:

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PART I: PROJECT INFORMATION

Project Title:	Advancing the Nagoya protocol in countries of the Caribbean Region.		
Country(ies):	Global(Antigua and Barbuda, Barbados, Dominica, Grenada, Guyana, Jamaica, St. Lucia, St. Vincent and the Grenadines, St. Kitts and Nevis, Trinidad and Tobago).	GEF Project ID:[1]	5774
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01264
Other Executing Partner(s):	IUCN	Submission Date: Resubmission Date:	07 March 2014 02 April 2014
GEF Focal Area (s):	Biodiversity	Project Duration (Months)	36 months
Name of parent program (if applicable):	N/A	Project Agency Fee ($):	173,470

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK[2]:

Focal Area Objectives	Trust Fund	Indicative Grant Amount ($)	Indicative Co-financing ($)
(select) BD-5	NPIF	1,826,000	1,850,000
(select) (select)	(select)		
Total Project Cost		**1,826,000**	**1,850,000**

B. INDICATIVE PROJECT DESCRIPTION SUMMARY

Project Objective: Seeking uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries

Project Component	Grant Type[3]	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount ($)	Indicative Cofinancing ($)
1. Baseline analysis to identify common assets, issues and needs between countries.		1.1 Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy. 1.2 Future directions of policy development for the region are identified	1.1.1 Stocktaking of common assets/values, and capacities and systems available in the region (from regional institutions and countries) to implement basic provisions of the NP 1.2.1 New policy directions for individual countries and the region identified and communicated via existing means (e.g. during the	NPIF	200,000	300,000

[1] Project ID number will be assigned by GEFSEC.
[2] Refer to the reference attached on the Focal Area Results Framework and LDCF/SCCF Framework when completing Table A.
[3] TA includes capacity building, and research and development.

		1.3 Countries understand their national assets/values and requirements in a regional context	execution of the project and other support mechanisms/opportunities) 1.3.1 Communication, review and coordination mechanisms are established to provide the means for technical support on an ongoing basis and seek synergies with other initiatives in the region.			
2. Uptake of the Nagoya Protocol	TA	2.1National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation	2.1.1.Scoping study of the existing laws and regulations related to ABS (information generated by previous or similar initiatives will be used as baseline for the update) 2.1.2. Analysis of the implications of ratification of the protocol 2.1.3. Draft document for ratification by the relevant authority 2.1.4. Public awareness among parliamentarians and other decisions makers	NPIF	350,000	450,000
3. Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP	TA	3.1 An enabling environment is created which will lead to the implementation of the basic provisions of the NP	3.1.1 Strategy and action plan for the implementation of ABS measures 3.1.2. Building capacity among stakeholders with particular emphasis on the Government agencies in charge of making the protocol operational. (through e.g: training and the development of administrative and technical guidelines models, toolkits, etc.) 3.1.3 Regional cost effective solutions explored for areas such as: monitoring systems (i.e for bioprospecting) and regional database of research activities in the	NPIF	760,000	600,000

			Caribbean region 3.1.4 Methodologies developed for the creation of inventories of traditional knowledge and biological resources (marine and terrestrial)			
4. Regional coordination, technical support and capacity development	TA	4.1. Countries share information and gain from the experiences of other countries	4.1.1. Two regional meetings completed at the beginning and end of the project (inception and training in the first meeting for focal points; second meeting for reviewing progress and planning future activities, sharing lessons learned and best practices arising from the project).	NPIF	150,000	100,000
		4.2 Effective management and delivery of projects meeting agreed measurable outputs and indicators	4.2.1 Technical support provided to the project including technical support to countries, monitoring, evaluation and all reporting including financial		208,300	200,000
			Subtotal		1,668,300	1,650,000
			Project Management Cost (PMC)[4]	NPIF	157,700	200,000
			Total Project Cost		**1,826,000**	**1,850,000**

C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, ($)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount ($)
National Governments	National Goverments	To be determined during PPG	1,350,000
Partner institutions/organisations	UNEP, IUCN, GIZ (ABS-CDI)	To be determined during PPG	500,000
Total Co-financing			**1,850,000**

D. INDICATIVE TRUST FUND RESOURCES ($) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY[1]

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount ($) (a)	Agency Fee ($) (b)[2]	Total ($) c=a+b
UNEP	NPIF	Biodiversity	Regional	1,826,000	173,470	1,999,470
Total Grant Resources				**1,826,000**	**173,470**	**1,999,470**

[1] In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

[2] Indicate fees related to this project.

E. PROJECT PREPARATION GRANT (PPG)[5]

[4] To be calculated as percent of subtotal.

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grant:

	Amount Requested ($)	Agency Fee for PPG ($)[6]
(up to)$100k for projects up to & including $3 million	90,000	8,550

PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in $)		
				PPG (a)	**Agency Fee** (b)	**Total** c = a + b
NPIF	UNEP	Biodiversity	Regional	90,000	8,550	98,550
Total PPG Amount				**90,000**	**8,550**	**98,550**

PART II: PROJECT JUSTIFICATION[7]

A. PROJECT OVERVIEW

A.1. Project Description. Briefly describe the project, including ; 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and 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, NPIF) and/or adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up

1) Global environmental problems, root causes and barriers:

The Caribbean houses some of the world's richest marine biodiversity. In the sea and along island coastlines, the region harbors 10% of the world's coral reefs 1,400 species of fish and marine mammals and mile after mile of mangrove forests.

With 70% of the population living along the coast, Caribbean lives and livelihoods directly depend upon healthy marine and coastal resources.[8] Moreover, due to the rich marine ecosystems of the Caribbean region and the fact that the ocean's biodiversity is higher than that recorded on land, bioprospecting of new marine natural products (NMNP) is gaining importance. Bioprospecting is already common in the insular Caribbean but generally goes unchecked, involving genetic resources found in protected areas in some cases and foreign research groups in most cases. It is expected that the discovery of NMNP will increase in the years to come, providing new and improved therapeutics for human illnesses, along with other innovative products for other industrial activities (e.g. nutraceutics and biotechnology).[9] This poses a challenge for the Caribbean countries on how to manage their natural and genetic resources ensuring fair access conditions and the sharing of benefits.

Currently, there is a tremendous pressure on land resources in the Caribbean region, due to population expansion and subsequent urban development. Coupled with low investment on research and development; this means that innovation is relatively low and that genetic resources are under pressure. Similarly, the Caribbean region is rich in traditional knowledge with a great variety of traditions that

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5 On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.
6 PPG fee percentage follows the percentage of the GEF Project Grant amount requested.
7 Part II should not be longer than 5 pages.
8 *The Nature Conservancy, http://www.nature.org/ourinitiatives/regions/caribbean/caribbean-challenge.xml*
9 *Costa Leal et al, 2012. DOI: 10.1371/journal.pone.0030580*

relate their folklore with biodiversity. Amongst these practices, some of the most notorious are: traditional usage of fruits, plants and animals for medicinal purposes; traditional fishing methods, trapping, hunting and fishing techniques, traditional food culture and preservation techniques, handicraft and traditional environment preservation and conservation methods.[10] The above mentioned situations highlight the importance for countries of the Caribbean region, of having functional regulatory and operative systems, to guarantee the access to genetic resources and the equitable sharing of benefits arising from their utilization.

A number of key barriers have impeded progress in access and benefit sharing (ABS) in the Caribbean. Although Caribbean Countries have, however, enacted legislation for the protection of their environment and biodiversity, as well as laws governing forestry, land use and protected areas, there are still challenges concerning institutional and legal arrangements at the national level to protect the environment and provide the basis for the implementation of basic provisions of the Nagoya Protocol. Furthermore, due to limited resources and experience in the ABS area, there is still a lack of capacities (institutional, systemic and individual) within government, local communities and among all key stakeholders in this regard. There is also lack of awareness of issues concerning ABS which often result in ad hoc actions taken as well as lack of support to implement strategies and priority activities to ensure that issues concerning this discipline are adequately addressed at all levels.

2) Baseline scenario:

In the Caribbean Region there have been several efforts, nationally and regionally, both internally and externally driven, to advance an understanding of matters concerning access to genetic resources and benefit sharing. Over the past few years, regional initiatives have taken place with the support from various actors such as: CARICOM; UNEP, the secretariat of the CBD, the GIZ, ABS capacity development initiative and others. The main objective of current and past initiatives on ABS in the region has been to facilitate the understanding of the importance of functional ABS systems; identification of main challenges as well as potential opportunities for the development of future ABS agreements.

In November 2013 the 2nd Caribbean Access and Benefit Sharing Workshop was held in Jamaica, with the support of the ABS Capacity development Initiative (ABS-Initiative), the CARICOM Secretariat and the CBD. Representatives from various ACP member states participated, among them: Antigua and Barbuda, Dominica, Grenada, Guyana, Jamaica, and St. Lucia. During this event, important information was shared, the current status of ABS systems in some of the Caribbean countries was presented and measures were proposed for proving support to the countries in building capacity on ABS. Along these lines, some key issues to highlight are: a) participants remarked the importance of creating national laws on ABS, b) the need to develop ABS guidelines for the Caribbean countries, c) the majority indicated that no ABS legal framework was currently in place, and few indicated the development of ABS legislation to be in process, d) the group reported that generally, no measures are in place to protect Traditional Knowledge (TK), e) overall the group underscored the limited capacity of their countries to address ABS adequately.

Due mainly to their size, countries in the region have limited resources for developing effective ABS measures and regimes. However, they do have a great deal of cultural, social, environmental and economic similarities, especially among the insular states. While uptake of the Nagoya Protocol has been slow in the Caribbean region, countries have recognized both the opportunity and challenges of integrating ABS into research permit systems and existing institutional arrangements relating to biodiversity. Moreover, countries have identified certain key measures that should be in place to support the proper implementation of the Nagoya Protocol. Some of these measures include: compliance with domestic laws to ensure that users will respect PIC and MATs, not to restrict the customary use and exchange of genetic resources within countries, mechanisms to inform potential users about their

[10] *WIPO, 2008. http://www.wipo.int/edocs/mdocs/tk/en/wipo_grtk_kin_08/wipo_grtk_kin_08_presentation01.pdf*

obligations and support the development of models for protocols, minimum requirements for MATs, among others.[11] Given this, there are significant potential benefits to be gained from sharing experiences and ultimately developing a regional approach to, and guidelines for, regulating access to and use of their genetic resources and traditional knowledge.

The situation of the region and in particular of the group of countries participating of this project is heterogeneous. Currently none of the participating countries have ratified the Nagoya Protocol; and only two (Antigua and Barbuda and Grenada) have signed it, thus expressing a political interest in supporting the Protocol's objectives and ultimately in ratification. Even if the remaining non-signatory countries cannot ratify the Protocol, they can accede, accept or approve it. In addition, some countries have benefited from previous interventions, such as those who have participated in regional activities such as ABS workshops coordinated by the CBD and the ABS-initiative; and those participating of the project "Capacity building related to Multilateral Environmental Agreements in African, Caribbean and Pacific countries – ACP MEAs Phase II" led by UNEP. Guyana is also part of a soon-to-finish regional UNEP-GEF project for "Strengthening the implementation of ABS regimes in Latin America and the Caribbean". Experiences from countries which have been previously engaged on ABS initiatives (i.e Guyana, St. Lucia, etc.), could be used as examples, when applicable, for other countries; even if their local authorities do not yet have all the necessary tools to implement the Nagoya Protocol.

The following table provides information concerning ABS related measures/actions in the participating countries:

Table1. ABS measures, priorities and actions in the participating countries

Country	Measures/actions
Guyana	National Policy on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their utilization, adopted 21-08-2008. Guyana is aiming at integrating an ABS element into the National Biodiversity Research Information System (NBRIS) to address their obligations under the Nagoya Protocol.
Saint Lucia	ABS issues are part of a comprenhensive biodiversity law (CISDL, 2012). Country will also receive support from the MEAs-ACP II project in the establishment of its legal framework. Country has identified as priority the establishment of on- the- ground system to implement the protocol, as well as support for the development of inventories of traditional knowledge and biological resources.
Dominica	A draft ABS law exists (CISDL, 2012). A local committee has been set up to work with various stakeholders to guide the process of setting up local laws compatible with the various international protocols (including ABS issues).
St. Vincent and the Grenadines	The country identified ABS as a priority on its 4th national reports, however, it is mentioned that no specific programmes have been put in place to address it.
Antigua and Barbuda	Legislation on ABS is in draft form and with the Attorney General's Office. However, due to the demand of genetic material by various entities (i.e Universities), the Plant Protection Unit developed a "Biomaterial Transfer" agreement to monitor the movement of genetic material out of the country. On the 4th national report of the CBD, the country identified the following actions as needs: -Identify entities that are involved in granting access to BD and TK and

[11] 2nd ABS workshop report, Jamaica 2013

	create a database to store this information. -Clearly delineate the responsibilities of relevant national actors for biodiversity access. -Create an inventory of local/traditional innovations and technologies. -Creation of conditions to facilitate access to genetic resources for environmentally sound uses only. -Creation of conditions and policies to facilitate equitable benefit sharing for access.
Jamaica	Some access procedures have been developed although such procedures need to be strengthened. On the 4th National Report to the CBD, the country has identified as a priority the preparation of policies and legislation to facilitate ABS. An assessment of the policies and legislation was conducted as part of a GEF/UNDP/NEPA/IOJ project. It is relevant to mention that the University of West Indies has a campus in this country where research activities may potentially relate to genetic resources, bioprospecting and/or traditional knowledge from local communities.
Grenada	Goal 10 of Grenada`s 4th national report to the CBD states: Ensure the fair and equitable sharing of benefits arising out of the use of genetic resources. The main obstacles encountered to comply with this goal were: inadequate levels of resources (financial, human), lack of consistency in decision making, devastating impacts of hurricanes, among others.
St. Kitts and Nevis	According to the report for the 3rd international conference on small island developing states, the country has indicated some progress on developing local capacities for protecting and developing the traditional knowledge of indigenous groups for the fair and equitable sharing of the benefits arising from the use of genetic resources, taking into account the Bonn Guidelines.
Barbados	To ensure equitable biodiversity and traditional knowledge access and benefit sharing is an integral part of Barbados NBSAP. Moreover, one of the actions proposed by the country is the formulation of national legislation relating to biodiversity access and benefit sharing. In particular the country has identified as priority on the 4th National report to: -Designate authority(ies) responsible for biodiversity and traditional knowledge Create a database on entities involved in granting access to biodiversity and traditional knowledge -Create an inventory of local/traditional innovations and technologies -Creation of conditions and policies to facilitate equitable benefit sharing and access -Define considerations for biodiversity access, such as expectations of all parties, impacts on stakeholders, resources required, legal framework required, etc. It is relevant to mention that the University of West Indies has a campus in this country where research activities may potentially relate to genetic resources, bioprospecting and/or traditional knowledge from local communities.
Trinidad and Tobago	On the 4th national report, the country outlines that access to biodiversity is effected through the provisions of the Forests Act, Conservation of Wildlife Act and the Fisheries Act. Under these Acts conditions can be placed on access but it is difficult to ascertain the benefits that may be derived from access that could redound to the benefit of local communities. Benefits derived by providing access especially to foreign researchers can only be monitored and/or assessed through international corporation. It is relevant to mention that the University of West Indies has a campus in this country where research activities may potentially relate to genetic

	resources, bioprospecting and traditional knowledge from local communities.

Source: 4th National Reports to the CBD, countries' feedback, 2nd ABS workshop report- Jamaica 2013, and the report for the 3rd international conference on small island developing states.

Information available on the CBD, the current LAC ABS project: Strengthening the implementation of ABS regimes in Latin America and the Caribbean, documents produced after the workshops of the ABS-initiative, and the lessons learnt from the MEAs-ACP project are being used to create the baseline scenario for the participating countries. It is important however to highlight that during the PPG, a more comprehensive study will take place to confirm the baseline data, and to fill the existing gaps of information. During the implementation of this UNEP-GEF project, synergies will be sought with other players and ongoing initiatives; such that the implementation strategy ensures coordination and optimization of resources instead of duplication.

3) Alternative scenario:

The overall goal of the project is to support countries to uptake, and where possible, ratify or accede to the Nagoya Protocol and take the first steps in implementation. The project will assist in the development of regulatory frameworks for ABS, building capacity for its implementation, and sharing the experiences from these countries to catalyze similar processes in the region. This goal will require developing appropriate capacities and measures to ensure that countries have the requisite conditions to meet the obligations under the Nagoya Protocol.

This project has the following components:

Component 1. Baseline research, analysis/evaluation and reporting. The objective of this component is to build knowledge between countries of shared assets and technical information that may later be used by them to build cohesive policies at national level (which makes sense in a regional context) and collaboratively at regional level (working in the NP context and similar levels). Apart from making the analysis and assessing needs and opportunities, the project will identify, and where possible set up, sustainability mechanisms for supporting countries in future – well past the life of the project by creating networks and coordination mechanisms. Component 1 is key for gathering baseline information that will be used for the implementation of activities of other components. This component will also allow the project team to look for synergies with other ABS related initiatives and to create strategic plans for the implementation of the current project based on those interactions and information sharing.

Component 2: Uptake of the Nagoya Protocol. The objective of this component is that participating countries take steps and decisions conducive to ratification of the Nagoya Protocol. This protocol will only enter into force when at least 50 countries deposit the instrument of ratification. At the time of writing 28 countries have ratified. In order to achieve this objective, each country will need to take the necessary steps for the legislature (or whatever government branch is responsible for ratifying international treaties), to ratify or accede to the protocol. Some countries are in a position to ratify /accede faster than others, based on their own legal systems and national procedures. At the time of the 2nd Caribbean ABS workshop held in Jamaica, November 2013, four countries had determined their will to ratify, with Guyana already moving towards national implementation, St. Lucia intending to start in 2014, and Antigua and Barbuda as well as Dominica acknowledging the vantage of having ABS clauses in their environment bills. While this will mean different starting points for the countries in the current project (and the possibility of clustering countries into groups), the need for regulators to fully understand the commitments and rights embedded in the Nagoya Protocol will remain.

Component 3. Implementation of the Nagoya Protocol. The objective of this component is to implement the basic measures of the Nagoya Protocol. These include drafting the policy, legal, and regulatory frameworks governing ABS, appointing the National Focal Point, establishing the Competent National Authority and Institutional agreements and administrative procedures for ABS Agreements

with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing, monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues. Considering the differences in government capacity and needs on ABS, it is expected that countries will achieve different levels of implementation of the protocol. This component will also provide support in the drafting of methodologies that could be used by the countries for creating Traditional Knowledge and Genetic Resources inventories in the future. Likewise, the project will support exploring strategies that could bring sustainability to the project results, such as regional cost effective solutions for areas such as: monitoring systems (i.e for bioprospecting) and regional database of research activities in the Caribbean region. Likewise, this component will also identify aspects of ABS that could be taken up on a regional basis, like public-private sectors interaction on ABS platforms; and the identification of sustainability methods to ensure that project results and the operation of ABS systems in the region are maintained overtime.

Component 4. Regional coordination. This component is aimed at bringing together the participating countries at least twice during the life of the project to allow the maximum level of exchange (e.g. learned best practices etc.), set up and networking (facilitated by the EA – IUCN) for mutual benefit during the term of the project and beyond. These meetings will also assist assessing common issues and how to cope with them collectively. More specifically, these meetings should allow the Executing (and Implementing) Agency and the Executing partners in-country and other partners to better coordinate action and the use of the human capacity to deliver assistance to the countries and hopefully come together with a united front on ABS related issues. A regional declaration on ABS could be considered. If possible CBD and CARICOM technical support will be sought for the project. This component also covers fund management, monitoring, evaluation and all reporting including financial reporting. Thus the project will be run centrally as one project rather than 10 separate sub-projects. However, each country will receive the dedicated, targeted and on-demand assistance that it requires. This approach is the most cost-effective one given the funding level and will best facilitate the inclusive benefits/outputs across the region which has already been mentioned.
Given the strong limitations in personnel that exist in most environment Ministries in the Caribbean, funds are envisaged to support national-level delivery of project outputs. Hiring of project personnel and subcontracting of consultants and/or project partners will be undertaken, so that in addition to regional coordination, each country can benefit from part-time human resources to organize and support national activities. The costs associated to this in-country support have been incorporated as part of components 1 to 3. Any local persons contracted by the EA for this purpose will coordinate regularly with the overall Project Manager and will work with, and report to, each respective government official designated to the project. Coordination meetings plus other non face-to-face activities will serve as communication platforms for these interactions. Draft project`s products will be shared with countries for their input on regular basis.

4) Incremental reasoning and co-financing:
This project will build on the activities that are currently underway in support of the Nagoya Protocol in the Caribbean. These include the activities undertaken by the ABS-Initiative in cooperation with the Secretariat of the Convention on Biological Diversity (SCBD); the lessons learned at introductory ABS Workshop in Georgetown, Grenada and the second Caribbean ABS workshop convened by the ABS initiative and the SCBD; CARICOM capacity building activities related to ABS; as well as the project "Capacity building related to multilateral environmental Agreements in African, Caribbean and Pacific countries – ACP MEAs Phase II" led by UNEP under which an ABS component is being implemented; amongst others. Therefore, GEF interventions will have a solid platform to build upon, which will streamline the use of the GEF resources towards an effective ratification and implementation of the Nagoya Protocol. As a regional effort, this project will help to link genetic resources and the high-value biodiversity of the Caribbean, to each country's development agenda by highlighting the importance of protected areas, research and bioprospecting, traditional knowledge and regional cooperation when it comes to valuing biodiversity as a natural asset and a resource.

5) Global Environmental Benefits:

The implementation of the measures of the Nagoya protocol will allow the participating countries, to engage "users" of genetic resources using a different "business model". From this point onwards, the participating countries would be in position to engage with user countries using ABS agreements. Since the Nagoya Protocol is intended to create legal and administrative systems to stimulate the engagements of users and producers of genetic resources, these systems need to provide legal certainty and clarity to the parties to engage in a new way of doing business. This will create a suitable environment for genetic resource protection and conservation. A more conscious/ coordinated use of the same, and the proper sharing of benefits will improve the environmental conditions in the Caribbean region. Since the implementation of the Nagoya Protocol has the potential to reach the entire genetic makeup of the biological resources, it is not possible at this early or foundational stage of engagement to pinpoint specific global environmental benefits. In spite of this, monetary and non-monetary benefits would be accrued in various sectors that depend on biological resources, which not only includes pharmaceuticals, cosmetics, food & drinks and seeds, among others, but most importantly, also the local research community, indigenous peoples, protected area agencies, and even society at large through the recognition that bioprospecting can contribute to both development and biodiversity conservation. Thus, by promoting the uptake of the Nagoya Protocol, the global environment will benefit from the general safeguard of natural resources and associated traditional knowledge, and from "building a case" for the value of biodiversity in such a unique hotspot as the Caribbean. Likewise, advances in implementation of the CBD's third objective favor the global environment by upholding the notion that biodiversity benefits should flow in support of those that conserve it.

6) Innovation, sustainability and potential for scaling up:

This is the first GEF-funded effort to carry out a regional ABS project in the Caribbean. During the preparation of the project documents the authors will seek to incorporate as many innovations as possible – most probably deriving as much learning as possible from related initiatives in the region.

The participating countries will need to fully engage in building the human and institutional capacity customizing it for their unique circumstances to carry on the work beyond the life of this project. That should be achieved by Central Governments developing and putting in practice the legal framework, and determining the institutional arrangements and administrative measures required for processing requests to access genetic resources under the principles of the Nagoya Protocol. In addition, during project development, emphasis will be made on the need for countries to integrate ABS into their fiscal plans, by means of specific budget lines and personnel to implement the NP. During the project preparation, detailed information will be provided on the plans to sustain the efforts initiated with this project. At the regional level, CBD Secretariat will continue to provide policy and technical support, which will contribute to the sustainability of the investments beyond the life of this project, same as would do the CARICOM. At the national level, the sustainability of this investment will heavily rely on the capacity of the ABS Focal Points to mobilize financial resources, including from GEF-6, to implement the Nagoya Protocol provisions and developing further projects on ABS, since the present initiative will only provide an entry point, or enabling conditions, for the participating countries to comply with the provisions of the Nagoya Protocol.

A.2. Stakeholders. Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project preparation:

Stakeholders during project preparation: Parliamentarians, The Nagoya Protocol /ABS Focal Points, the Ministries of Environment, Ministries of Foreign Affairs (or the equivalent), and other institutions working closely with the ABS agenda. Because of the differences among the countries, the list of institutions and roles by country will be provided for each country at CEO Endorsement. On previous sections key organizations that are engaged on ABS activities in the region have been mentioned. During the PPG stage, this list as well as one of stakeholders from the private sector will be developed.

A.3. Risk. 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):

Risk	**Degree of risk**	**Mitigation**
1. High staff turnover in participating Government agencies and loss of important staff with their "institutional memory".	H	1. Hedge risk by designing the implementation of the project so it will not overly rely on individual staff. This will be facilitated by offering agencies part-time human resources to support the delivery of project outputs at the national level, as well as encouraging the use of standard modern staff management methodology so that individuals are well managed with clear roles and responsibilities, reporting lines, management processes, performance assessment procedures etc. Further attempts will be made to spread capacity development within a country so that as many individuals are involved as possible.
2. Communities may oppose regulations that restrict their activities relevant to ABS	L	2. Thorough community consultation and awareness programmes and, wherever possible, encourage use of the partnership approach with communities.
3. lack of communication and coordination between participating agencies in-country	M	3. set up communication procedures customized to each country's situation particularly relevant existing networks and processes (eg NBSAPs)
4. There are not enough qualified technical experts in the region to provide technical assistance to the 10 participating countries	M	The project will seek to engage local experts for providing in-country support. However, considering that the pool of local or regional expertise may be limited, the engagement of international consultants /experts (when needed) has been considered. Component 4 of the project will provide technical support to countries at a regional level, in addition to the in-country support that has been planned within the other components. Likewise, south-south cooperation between countries will be promoted to minimize this risk.
Regional cost effective solutions explored (for e g. Monitoring Systems, Regional Databases) are not sustainable over time.	L	The project will analyze if region-wide mechanisms are available, and if any proposed regional mechanisms are cost effective and have the potential to be sustained after the project. The engagement of independent organizations such as Universities and research centers in hosting these mechanisms will be sought as a sustainability measure. The creation of portals or availability of information linked to the ABS Clearing House will also be analyzed. If none of these alternatives result in a suitable solution for the region, then emphasis will be given to strengthen national information mechanisms instead of regional ones.

A.4. Outline the coordination with other relevant GEF financed and other initiatives:

This project offers the opportunity for coordination with the following organizations and initiatives: CARICOM, UNEP, the secretariat of the CBD, the GIZ, ABS capacity development initiative and others.

The CBD Secretariat has been active in the region in partnership with other initiatives; hence, synergies with the CBD Sec (e.g. pooling meetings) should be analyzed; in particular noting that in the Caribbean, given the small scale of agencies, almost certainly the same people will be involved and participate in these meetings. The CBD is coordinating a workshop for April-May 2014. This activity could serve as a platform for further consultation with countries and other institutions.

UNEP through its Division for Environmental Law and Conventions (DELC) is currently engaged in the project "Capacity building related to multilateral environmental Agreements in African, Caribbean and Pacific countries – ACP MEAs Phase II" with financial support from the European Union. This project is currently in its second phase and its outputs will serve as baseline for the proposed initiative. Likewise, UNEP has served as implementing agency for the LAC ABS project "Strengthening the implementation of ABS regimes in Latin America and the Caribbean", which is coming to an end this year and will produce key lessons learnt that will be considered for the current project; and for the recently submitted project Bahamas: Strengthening Access and Benefit Sharing (ABS) with which cooperation and synergies will be sought.

B.1 Description of the consistency of the project with National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.:

The proposed project is consistent with related national environmental policies and strategies. It is reasonable to assume that the endorsement of this project demonstrates the interest of the participating countries on ABS matters and in particular on moving forward towards the ratification of the Nagoya Protocol.
Table 1, under section A.1 (baseline scenario) provides information on the project`s consistency with NBSAPs.
In summary, the project will respond to some of these priority issues to create an enabling environment to facilitate approval of the NP in the Caribbean, sufficient to allow their signing off on it, ratification, and its initial implementation, noting that only Antigua and Barbuda and Grenada have signed the NP.

B.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:

This project is in line with Objective 4 of the Biodiversity Focal Area Strategy for GEF-5: "Build Capacity on Access to Genetic Resources and Benefit Sharing (ABS)". The project is consistent with the activities prioritized for GEF project support, which include capacity development of governments for meeting their obligations under Article 15 of the CBD, as well as developing capacity within key stakeholder groups.
Aichi Targets: The project is consistent with making progress towards Aichi Target 16, which states that: "By 2015, the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation."

B.3 The GEF Agency's comparative advantage for implementing this project:

Support to countries in assessing their opportunities and gaps in addressing issues of Access and Benefit Sharing, as well as adhering to the requirements under the Nagoya Protocol is already an integral part of UNEP's Programme of Work (PoW). UNEP's Division of Environmental Policy Implementation (UNEP DEPI), the proposed project executing agency, already assists many national partners and governments

through its expertise in environmental law and policy to develop and implement ABS policies and to harmonize national processes for the implementation of CBD provisions on ABS.

UNEP as implementing agency is already involved in various GEF-4 and GEF-5 funded ABS-related projects, both at national and at regional scale. The proposed executing agency, UNEP has at least three officers who specialize in ABS issues, legal and political ramifications, as well as the international processes around CBD and the Nagoya Protocol. Furthermore, UNEP has staff in the Office for Asia and Pacific (ROAP), Regional Office for West Asia (ROWA), Regional Office for Latin America and Caribbean (ROLAC) and within its GEF Unit in DEPI who work on ABS related topics and projects.

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

A. RECORD OF ENDORSEMENT 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 OFP endorsement letter). See letters attached (n = 12)

NAME	POSITION	MINISTRY	DATE *(MM/dd/yyyy)*
Leonie Barnaby (Jamaica)	GEF-OFP	Ministry of Water, Land, Environment and Climate Change	7-FEBRUARY-2014
Indarjit Ramdass (Guyana)	GEF-OFP	Environmental Protection Agency	10-FEBRUARY 2014
Lloyd Pascal (Dominica)	GEF-OFP	Ministry of Environment, Natural Resources, Physical Planning and Fisheries	10-FEBRUARY-2014
Timothy Antoine (Grenada)	GEF-OFP	Ministry of Finance and Energy	20-JANUARY-2014
Lavern Queeley (St. Kitts and Nevis)	GEF-OFP	Ministry of sustainable development	3-February-2014
Caroline Eugene (St. Lucia)	GEF-OFP	Ministry of Sustainable Development, Energy, Science and Technology	24-january-2014
Luis de Shong (St. Vincent and the Grenadines)	GEF-OFP	Ministry of health, Wellness and the Environment	24-january-2014
Diann Black-Layne (Antigua and Barbuda)	GEF-OFP	Environment Division	16-January-2014
Edison Alleyne (Barbados)	Permanent Secretary (ag)	ministry of environment and	17-February-2014
Gayatri Badri Maharaj (Trinidad and Tobago)	Managing Director	Environmental Management Authority	25-February-2014

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.					
Agency		**DATE**	**Project**		**Email Address**

Coordinator, Agency name	**Signature**	*(MM/dd/yyyy)*	**Contact Persons**	**Telephone**	
Brennan VanDyke; Director, GEF Coordination Office, UNEP		April 02, 2014	Marianela Araya Task Manager	+(507)-305-31-69	Marianela.araya@unep.org