



REQUEST FOR CEO APPROVAL
PROJECT TYPE: MEDIUM SIZED PROJECT
TYPE OF TRUST FUND: GEF Trust Fund

PART I: PROJECT INFORMATION

Project Title:	Advancing the Nagoya protocol in countries of the Caribbean Region.		
Country(ies):	Regional (Antigua and Barbuda, Barbados, Grenada, Guyana, Jamaica, St. Lucia, St. Kitts and Nevis, Trinidad and Tobago).	GEF Project ID:	5774
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01264
Other Executing Partner(s):	IUCN	Submission Date:	May 25,2015
GEF Focal Area (s):	Biodiversity	Project Duration (Months)	36 months
Name of parent program (if applicable):	N/A	Project Agency Fee (\$):	173,470

A. FOCAL AREA STRATEGY FRAMEWORK

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
BD-5, objective 4 build capacity on ABS	4.1 Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the CBD provisions.	Output 4.1. Access and benefit-sharing agreements that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits.	GTF	1,826,000	3,809,257
Total Project Cost				1,826,000	3,809,257

B. PROJECT FRAMEWORK

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	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
1. Identifying regional commonalities and assets, and basic elements conducive to policy formulation	TA	Outcome 1.1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS	1.1.1 Scientific Study documenting past and current Bio-prospecting in the project countries completed and disseminated by PY1 1.1.2 Stocktaking of the expertise of non-regulatory organizations with an interest in the Use of Biological Resources and associated Traditional Knowledge in the Caribbean, undertaken by PY1.	GEF TF	81,335	258,922

		policy.	<p>1.1.3 Stocktaking of Applications of Traditional Knowledge associated with biological resources completed by PY2</p> <p>1.1.4 Contract local consultants assistance</p>			
		<p>Outcome 1.2: Future directions of policy development for the region are defined</p>	<p>1.2.1 At least two (2) new Draft ABS Policies formulated by end of PY 2.</p> <p>1.2.2 One Draft Regional Policy for the Caribbean which creates an enabling framework for ABS based on a common vision formulated and disseminated by PY2.</p>	78,835	410,524	
		<p>Outcome 1.3: Countries understand their national assets/values and requirements in a regional context</p>	<p>1.3.1 Project Website and Virtual Regional ABS Forum established under IUCN management initially.</p> <p>1.3.2 A list of priority topics defined by PY1 to orient contents and dynamics of the Project Website and Virtual Regional ABS Forum.</p> <p>1.3.3 At least 10 experts have been identified as ABS experts for the Caribbean region by the end of PY2.</p> <p>1.3.4 By PY2 at least 4 project countries show leadership in actively coordinating with relevant national and regional institutions.</p>	59,830	130,800	
2. Uptake of the Nagoya Protocol.	TA	<p>Outcome 2.1: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation.</p>	<p>Outcome 2.1:</p> <p>2.1.1 Assessment of Legal Framework to identify legislative overlaps and implications for NP ratification initiated for eight (8) project countries by PY1.</p> <p>2.1.2 Draft ABS Bills or Regulations formulated in at least two (2) countries by end of PY2.</p> <p>2.1.3 At least one (1) country submitted Nagoya Protocol Ratification Requests from the Executive Power to the Attorney General by project mid-term.</p> <p>2.1.4 Regional Strategy and Action Plan to guide future ABS actions, collaboration and fund raising opportunities, formulated and agreed with regional partners by PY1.</p>	GEF TF	349,784	510,480

3. Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP.	TA	Outcome 3.1: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol.	Outcome 3.1 3.1.1 By PY2, at least one (1) awareness-raising dialogue for parliamentarians inclusive of in-situ exposure to bio-prospecting. 3.1.2 At least ten (10) inter- institutional workshops for ABS consultations and awareness raising held by project mid- term. 3.1.3 Radio and TV discussion on ABS with scientists, lawyers, and researchers held by PY2 in at least two (2) countries. 3.1.4 ABS Awareness Raising for Indigenous Peoples through local radio spots produced and aired in indigenous language in at least two (2) countries by PY2	GEF TF	739,581	923,249
			3.1.5 Operational Guidelines for Implementing ABS policies at the national level with institutional roles and responsibilities developed and submitted in at least two (2) countries by project mid- term. 3.1.6 At least three (3) key line agencies in the Caribbean region have used the Standardized Training Manual for ABS by PY2. 3.1.7 At least three (3) countries in the region adopted Standardized Templates for ABS Agreements by PY2. 3.1.8 At least four (4) countries have received technical assistance and are using the ABS Clearing House as an information exchange and monitoring mechanism by PY2. 3.1.9 At least twenty (20) users are tallied by PY2 as accessing web- based modules of regional research into Caribbean Biological Resources and associated Traditional Knowledge. 3.1.10 Business Model for regulated bio-prospecting developed by PY2.			
4. Regional Coordination, technical support and capacity development.	TA	Outcome 4.1: Countries share information and gain from the experiences of other countries.	4.1.1 One Inception Workshop held in PY1 back-to- back with an ABS induction session, involving key national and regional institutions 4.1.2 At least one (1) formal collaboration agreement reached with other partner(s) in the region by PY1	GEFTF	223,900	445,749
		Outcome 4.2: Effective project management and delivery, meeting agreed Measurable outputs and indicators.	4.2.1 8 National Work Plans prepared, agreed and initiated by PY1. 4.2.2 National Work Plans at least 40% implemented (average) by PY2. 4.2.3 At least one (1) coordination and oversight meeting (virtual or physical) held by project mid-term, to reach agreements and provide inputs to project implementation 4.2.4 The results of the mid-term evaluation are favorable, showing at least 40% of project activities completed or on schedule.	GEF TF	134,928	958,218
SUBTOTAL					1,668,193	3,637,942

PROJECT MANAGEMENT COST COMPONENT 5 (PMC)	157,807	171,315
TOTAL PROJECT COST	1,826,000	3,809,257

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Government	Barbados	In-kind	123,000
		Cash	12,000
Government	Guyana	In-kind	284,547
Government	Antigua & Barbuda	In-kind	400,000
Government	St. Kitts and Nevis	In-kind	612,359
Government	Saint Lucia	In-kind	232,035
Government	Jamaica	In-kind	470,000
Government	Trinidad and Tobago	In-kind	187,000
Government	Grenada	In-Kind	200,000
Executing Agency	IUCN	Cash	289,993
		In kind	211,081
Implementing Agency	UNEP	In-kind	90,000
International Organization	GIZ	In-kind	50,371
Regional Organization	OECS	In-kind	596,871
Partner Organization	CBD	In-kind	50,000
Total Co-financing			3,809,257

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (\$ (a))	Agency Fee (\$ (b))	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

A. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Co-financing (\$)	Project Total (\$)
International Consultants	230,000.00	367,000.00	597,000.00
National/Local Consultants	332,036.00	0	332,036.00

B. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? N/A

(If non-grant instruments are used, provide in Annex D an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF

A.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NCSA, 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. The objectives of the project are consistent with the strategic priorities defined in the Biodiversity Strategy and Action Plans of all the countries participating in the project, and which were all reconfirmed in the countries' 4th and 5th National Country Reports to the CBD. Several of the countries' National Development Plans echo policy priorities which resonate with the activities and objectives of this project; some examples include Goal 4 of the Jamaica National Development Plan which seeks to maintain a Healthy Natural Environment through National Outcome #13 which calls for the Sustainable Management and Use of Environmental and Natural Resources; Goal 4 of Barbados National Strategic Plan 2005-2025 which focuses on Strengthening Physical Infrastructure and Preserving the Environment through the development of accurate data and information systems through mapping and recording of all environmental assets, and by ensuring that the integrity of natural features, wildlife habitats, significant flora and fauna, and important landscape and seascape features and protected areas are maintained during the process of development; Chapter 5 of Guyana's most recent National Development Strategy (2001-2010) clearly defines its Environmental Policy Objectives focused at enhancing the quality of life of the country's inhabitants by utilizing its natural resources while neither degrading nor contaminating them, ensuring that the natural resource base for economic growth continues to be available in the future, and to intensify and widen the dimensions of the citizens' living standards through the conservation of unique habitats, natural treasures, biodiversity and the country's cultural heritage.

The project is consistent with the spirit of the Second National Communication to UNFCCC submitted by several countries participating in this ABS project. The Second National Communication to UNFCCC of Trinidad & Tobago of 2013 clearly defined mitigation actions for climate change through a series of biodiversity and natural resources policies including revision of the National Environmental Policy, approval of the National Climate Change Policy, followed by adaptation of the National Forest Policy and a National Protected Areas Policy, the objectives of the latter two policies being to guide the sustainable management of the natural forestry and wildlife resources of Trinidad and Tobago and the wise use of these resources, including their role in mitigating and building climate resilience. Similarly, the Second National Communication to UNFCCC of St. Lucia of 2011 identified the protection and conservation of forests and marine biodiversity as a High Priority adaptation Strategy.

A.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.

A.3 The GEF Agency's comparative advantage:

No changes from PIF.

A.4. The baseline Project and the problem that it seeks to address:

During project preparation, a Baseline Assessment was conducted to identify an informed ABS baseline against which to determine project interventions and effectively monitor and evaluate project progress and impact. This baseline assessment was performed primarily through a literature review and one-on-one consultations over a three-month period with primary stakeholders and institutions in the project countries. National CBD and GEF Focal Points were particularly targeted, as well as ABS Focal Points, in countries where these have been appointed. Research institutions were also approached as an important stakeholder as is related to bio-prospecting research and intellectual property. Consultations with the CARICOM Secretariat, OECS Secretariat and the GIZ Capacity Development Initiative were also conducted to understand the scope, challenges, and achievements to date of other initiatives in the region and to assess possible mechanisms for collaboration in future ABS interventions in the region; in particular since some of these initiatives will be under implementation at the same time with the proposed project; representing a solid baseline for the current initiative to built on.

Literature review and physical consultation were focused on the following:

- Identification of all existing ABS information and databases relevant for the constitution of the Project Baseline;
- Identification of gaps in ABS information in the region (genetic resources, traditional knowledge, development plans, policies, legal frameworks, etc.);
- Assessment of ABS capacities in countries of the region;
- Assessment of general ABS knowledge and awareness in the region;
- Scoping of existing and emerging initiatives and opportunities; and
- Perspectives on how national priorities are aligned with the indicative outcomes and outputs as described in the PIF and which was used as the basis for the endorsement granted by GEF Operational Focal Points.

Primary bibliographic sources used in the literature review included National Country Reports to the CBD (4th & 5th Reports), National Biodiversity Strategy and Action Plans, Report of the 1st ABS Workshop for the Caribbean Region (GIZ, 2012), Report of the 2nd ABS Workshop for the Caribbean Region (GIZ, 2013), Report of the Sub-Regional Capacity Building Workshop on the Nagoya Protocol on Access and Benefit-Sharing for the Caribbean Region (SCBD, 2014), Report of the Workshop on Drafting Legislation for the Implementation of the Nagoya Protocol on Access and Benefit Sharing (CARICOM, 2013), as well as several factsheets produced by GIZ-Capacity Development Initiative, the CARICOM Secretariat, and the Secretariat to the Convention on Biological Diversity. Other information sources included ABS-relevant literature not specific to the Caribbean region, but useful in providing lessons learned in the implementation of ABS in other regions and specific efforts underway to develop ABS frameworks elsewhere, especially those receiving GEF support (GEF, 2014), Nagoya Protocol guidelines produced by Greiber et al. (2012) and recent experiences with researchers in Latin America and the Caribbean (Diversitas, 2014).

As suggested above, there have been several efforts in the Caribbean Region, 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, OECS, 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.

At the regional and particularly for the countries participating in this project, the ABS situation is heterogeneous. All countries have some level of legislation, policies and strategies that indirectly address access to biological resources. Only Guyana has formal ABS Policy in place with Antigua & Barbuda at the point of passing ABS specific Regulations in a broader Environmental Protection Management Bill. Most countries have ABS/NP roadmaps produced in regional CBD and GIZ ABS workshops during the last 3 years and many of the project countries have established National Biodiversity Committees and/or National Bio-safety Committees, which are in some cases tasked with addressing ABS issues.

Most countries have been exposed in a limited extent (through regional GIZ and SCBD workshops) to varying levels of introduction to ABS/NP implementation requirements including, but not limited to: (a) Mainstreaming access and benefit-sharing into national biodiversity strategies and action plans and national development policies and plans; (b) Roadmaps towards the development or amendment of domestic legislative, administrative or policy measures to meet the obligations set out in the Nagoya Protocol; (c) Establishment or strengthening of institutional arrangements and administrative systems for implementation of the Protocol; (d) Promoting synergy and mutual supportiveness in the implementation of the Nagoya Protocol and other relevant international agreements and instruments; (e) Introduction to the pilot phase of the ABS Clearing House, including its role, structure, functionality and operational modalities; (f) Model ABS Legislation; (g) Sample MATs and contracts; (h) The Relevance of Marine Bio-prospecting for ABS Frameworks, focusing on Articles 2 & 51 of the Nagoya Protocol, with highlighting of species for pharmaceuticals; (i) Overview of national and regional measures on access to genetic resources and benefit sharing including challenges and opportunities in Implementing the Nagoya Protocol; and a (j) A Conceptual Guide and Toolkit for Practitioners in Strategic Communications for ABS.

Consistent with the baseline scenario described above, below are the primary gaps identified on a regional level.

Legal Gaps

- Incomplete understanding of existing legal framework and how ABS may be incorporated;
- No ABS policy to provide enabling framework for ABS/NP (except in Guyana where review and update may be warranted);
- No ABS specific legislation or regulations in place and /or disperse legislation;
- Poor understanding of the implications of ratification of the Nagoya Protocol by Parliamentarians;
- Current legal framework does not explicitly allow for PIC and participation of ILCs in biodiversity access agreements (except in Guyana);
- A Regional Inventory of Common Genetic Resources and Traditional Knowledge is not available upon which to base a regional enabling environment, however countries have NBSAPs which make varying degrees of reference to traditional knowledge, genetic resources, benefit sharing and the need for a policy framework for biodiversity and ABS;
- The cost-benefit of ABS implementation is poorly understood especially as it relates to bio-prospecting; and
- Limited knowledge of current Bioprospecting in the region and opportunities and benefits being lost as a consequence of lacking ABS legal and governance structures.

Institutional Gaps

- Countries of the Caribbean work very closely through regionally established mechanisms such as the CARICOM Secretariat and the Organization of Eastern Caribbean States in pursuit of common regional approaches to policy, however, the success of these regional approaches are dependent upon associated country-driven processes originating in national institutions;
- Countries have participated in regional ABS processes such as the GIZ ABS Initiative, however, local follow-up and implementation by national institutions are in the inception stage;
- Regional ABS networks and Clearing House Mechanisms as key sustainability elements of any regional ABS initiative are absent in the beneficiary countries of the project, even though general Biodiversity CHMs exist on institutional web pages for some countries of the project;
- There is poor understanding of the structural and organizational requirements for ABS/NP implementation;
- Current Institutional arrangements as far as dedicated National ABS Focal Points and Competent National Authorities are non-existent in most countries, and the CBD Focal Points have taken on the default role of ABS Focal Points in many cases;
- Institutional capacity for the most part is restricted to technical line ministries and agencies tasked with the issuing of permits to access biological resources; and
- Participatory committees as part of the operational and institutional framework, inclusive of ILCs, are non-existent in project countries, except in Guyana.

Human Capacity Gaps

- Awareness raising is clearly lacking at all levels and among all stakeholders, especially in parliamentarians, frontline officers of key institutions, researchers and scientists, and by indigenous peoples through-out the region, with few exceptions;
- A formally recognized list of Regional ABS Experts is needed in order to promote South-South cooperation and build capacity within the Caribbean region;
- Data collection and monitoring protocols do not exist primarily due to insufficient technical capacity and finances;
- Increased capacity and knowledge in taxonomy as well as maintaining a database of national biodiversity that consists of management and sustainable use plans is still lacking in all countries;
- Specific ABS communication and coordination networks do not exist;
- Legislature and judiciary not trained in ABS implementation
- No ABS negotiations capacity;
- ILCs lack capacity to negotiate PICs on behalf of their communities; and
- No protocols for PICs are in place to be used by ILCs.

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

Current ABS Baseline in Project Countries

Country	Summary of ABS Baseline Scenario by Country
Antigua & Barbuda	Antigua & Barbuda is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in Antigua & Barbuda, and the existing legal framework for ABS is

	<p>represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • 5th National report to the CBD • Plant Protection Act, 2012 • The Forestry Act, Chap 178 • Fisheries Act • Government of Antigua and Barbuda Draft ABS Road Map, 2014 • NBSAP <p>As defined in the 5th National Report to the CBD, the imminent enactment of the Environment Protection and Management Bill (EPMB) will confirm the country’s commitment towards environmental sustainability and biodiversity conservation, and will also address protected areas management and will establish the framework to support ratification of the Nagoya Protocol. The draft legislation provides for a standard agreement for research as well as speaks to the right of communities involved with the resource. Part VIII of the draft bill defines access to biological resources and its related use, as well as guiding principles for both user and provider, with stated minimum requirements for collectors’ agreements. Currently, a formal Biomaterial Access Agreement is issued by the Plant Protection Unit for the removal of genetic resources in and out of the country. The Plant Protection Act addresses elements of bio-safety to preserve the country’s gene bank and avoid genetic erosion. The prioritized ABS Roadmap Produced in 2014 defines the following themes as national priorities: Legislation, Administrative or Policy Measures Leading to Ratification of the Nagoya Protocol, Implementation of a National Enabling Environment, Inventory of Genetic Resources and Associated Traditional Knowledge, and the Development of Gene/Seed Bank linked to the National Botanical Gardens.</p> <p>The Environment Division inclusive of the Plant Protection Unit provides institutional functions for all matters relating to the CBD. A National Biodiversity Committee strengthens the institutional arrangements for ABS in addition to the Fisheries Division. Human capacity for ABS implementation is minimal and the need for extensive training and capacity building is clear.</p>
Barbados	<p>Barbados is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in Barbados, and the existing legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • NBSAP • 4th National Report to the CBD • The Fisheries Act 1993 Cap 391 • Fisheries Management Regulations 1998 • The Coastal Zone Management Act (1998-39) • National Conservation Commission Act 1982 cap 393 • Protection of New Plant Varieties Act (2000-17) • Trees (Preservation) Act cap 397 • Fisheries Management Plan (FMP) 2006 and Draft 2008-2011 • Environmental Management and Natural Resources Management Plan (EMNRMP) <p>There are administrative procedures in place to obtain access and legislation related to new plant varieties and research is also available. The Draft Environmental Management Act for Barbados contains provisions for the implementation of the CBD and the SPAW Protocol. The National Biodiversity Strategy and Action Plan (NBSAP) seeks to ensure equitable biodiversity and traditional knowledge access and benefit sharing, and is complemented by other plans such as the Fisheries Management Plan (FMP) 2006 and Draft of 2008-2011, and the Environmental Management and Natural Resources Management Plan (EMNRMP) .</p> <p>The newly restarted GEF funded Assessment of Capacity Building Needs and Country Specific</p>

	<p>Priorities in the Conservation of Biodiversity (BEA) project will seek to obtain national consensus on the mechanism needed to ensure the fair and equitable sharing of benefits arising out of the utilization of biological diversity. To this end, the project will specifically assess the existing situation as it relates to access to genetic resources and benefit sharing in a national context; review of existing policy, legislation and management structures, and capacity for ABS, review of access to biodiversity and traditional knowledge; capacity building workshops; review of existing biodiversity bilateral agreements; and the identification of gaps and recommendations for a comprehensive system for ABS implementation. At the moment, Barbados is not considering accession to the Nagoya Protocol due to national concerns over the capacity of the country to implement the protocol. National Focal Points of the GEF and the CBD form part of the institutional framework, in addition to institutions such as the Fisheries Division and the Coastal Zone Management Unit.</p>
Guyana	<p>Guyana is the only Caribbean country to have acceded to the Nagoya Protocol. A National Policy on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their utilization, was adopted on 21-08-2008, with the country already moving towards national implementation. The legal framework to protect traditional knowledge and role of traditional users in management of access to genetic resources with support of the Justice Institute and Awareness and sensitization of ABS issues are well underway under leadership of the Environmental Protection Agency of Guyana. Legal framework for bio-prospecting and research priority in Protected Areas, with ABS governance and planning has been introduced at the local level. The existing policy and legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • Low Carbon Development Strategy (LCDS) (Draft), 2009 • National Development Strategy, 2001-2010 • National Biodiversity Action Plan II, 2005 • National Biodiversity Action Plan, 1999 and its Review, 2005 • National Environmental Action Plan, 1997 and 2005 • National Forest Policy, 1997 • National Strategy for the Conservation and Sustainable Use of Guyana's Biodiversity, 1997 • Environmental Protection Act, 1996 • Species Protection Regulations, 1999 • Iwokrama International Centre for Rainforest Conservation and Development Act, 1996 • Amerindian Act, 2006 • Patents and Design Act, 1973 <p>The institutional framework in Guyana is represented by the National GEF, CBD and ABS Focal Points, and is complemented by technical line agencies including primarily the Environmental Protection Agency, the Justice Institute, the Ministry of Amerindian Affairs, the Protected Areas Commission, and the Iwokrama International Centre for Rainforest Conservation. A series of committees are used to strengthen the biodiversity institutional framework and include the Parliament Sector Sub-Committee on Natural Resources, the Cabinet Sub-Committee on Natural Resources, the Natural Resources Environment Advisory Committee (NREAC), the National Biodiversity Committee (NBC) and the NBC Applications Sub-committee. The National Biodiversity Research Information System has been established as a database of research permits as part of a functioning institutional framework.</p> <p>Capacity needs for ABS were assessed by Genivar (2009) and may need to be updated. However, the development of specific regulations, training of human resources and the development of ABS implementation tools are top priority for Guyana as the country moves towards implementation of the NP.</p>
Grenada	<p>Grenada has signed the Nagoya Protocol. There is no ABS specific policy, regulation or Act in Grenada. The existing legal framework for ABS is represented by the following policy and legal documents:</p>

	<ul style="list-style-type: none"> • 5th National Report to the CBD • NBSAP • National Heritage Protection Act 1990 • National Parks and Protected Areas Act 1991 • Birds and Other Wildlife Act • Fisheries Act 1986 • Fisheries (Marine Protected Areas) Regulations 2001 • Forest, Soil and Water Conservation Act, 1947 • Physical Planning and Development Control Act 2002 • Wild Animals and Birds Sanctuary Act • National Environmental Summary Grenada 2010 <p>The 5th National Country Report to the CBD identified the need for sensitization, institutional and legal framework, and capacity building for implementation of the Nagoya Protocol. It is also clear in the national report that ABS is recognized and embraced at high policy levels, with the absence of an integrated coastal and marine management regime being flagged as a key limitation in being able to properly address access to marine genetic resources and benefit-sharing deriving thereof.</p> <p>The current institutional framework for ABS is represented by the National GEF and CBD focal points and the technical agencies tasked with managing access to biological resources including primarily the Fisheries Division and Forestry Division. Additionally, Grenada has an ABS Focal Point defined and the Sustainable Development Council functions as the Biodiversity Steering Committee. Human capacity specific to ABS and Nagoya Protocol implementation is limited.</p>
Jamaica	<p>Jamaica is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in Jamaica. The existing legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • 4th National Report to CBD • NBSAP • Draft Bio-safety Policy • Biotechnology Policy • Policy for Jamaica’s System of Protected Areas • Forest Act 1996 • Fishing Industry Act 1975 • Wildlife Protection Act 1999 • The Natural Resources Conservation Authority Act • Endangered Species (Protection, Conservation and Regulation of Trade) Act • NEPA (Executive Agencies Act) <p>The institutional framework in Jamaica is represented by the National GEF, CBD and ABS Focal Points, and is complemented by technical line agencies including primarily the National Environment and Planning Agency, the Jamaica Intellectual Property Office, the Jamaica National Heritage Trust, the Ministry of Land Water Housing and Climate Change, and the Ministry of Foreign Affairs and Foreign Trade. Academia in Jamaica is also considered part of the national institutional framework relevant for ABS and includes the University of the West Indies and the University of Technology. A Biodiversity Steering Committee has been established to facilitate development of the required biodiversity legal framework, inclusive of ABS.</p> <p>Jamaica has identified the need for communication and public awareness being incorporated into all local and national project initiatives as a key requirement, consistent with a national policy directive requiring broad sensitization and creation of necessary legal framework before accession to the Nagoya Protocol.</p>

<p>St. Lucia</p>	<p>St. Lucia is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in St. Lucia, however, ABS issues are part of a comprehensive biodiversity law (CISDL, 2012) and the country is currently seeking support from the MEAs-ACP II project in the establishment of its legal framework. The existing legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • 4th National Report to the CBD • Coastal Zone Plan • NBSAP (Result E, Outcome 2) • Forest, Soil and Water Conservation Act 1946 • Saint Lucia Forest Policy (Draft) • Saint Lucia Forest Act (Draft) • Physical Planning and development Act (29) 2001 • Fisheries Act <p>The institutional framework in St. Lucia is represented by the National GEF and CBD Focal Points, the Sustainable Development and Environment Unit, the Department of Fisheries, the Department of Forestry, the Physical Planning Unit and the Environmental Health Department. A National Biodiversity Steering Committee and a Coastal Zone Management Advisory Committee are cited as part of the national institutional framework addressing access, planning, and broader decision-making with regards to biological and genetic resources.</p>
<p>St. Kitts & Nevis</p>	<p>St. Kitts & Nevis is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in St. Kitts & Nevis. However, there are general provisions for biodiversity and environment in a variety of documents. The existing legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • Development Control & Planning Act, 2000 & 2006 • National Physical Development Plan of 2006 • Country Environmental Profile • National Environmental Action Plan • National Environmental Management Strategy • National Conservation and Environmental Protection Act No. 5 1987 • NBSAP • Fisheries Act (1993 Amended 2000) • Forestry Ordinance No. 10, 1903, amended by Ordinance No. 22, 1921 and No. 5, 1928 <p>While there is no visible progress towards accession of NP, the country developed a national action plan for ABS/NP Ratification and implementation as presented in the Sub-Regional Capacity Building Workshop on the Nagoya Protocol on Access and Benefit-Sharing for the Caribbean Region. Georgetown, Guyana, 19-22 May, 2014 (SCBD, 2014). The said plan identified need for baseline and gap analysis of national ABS status, national inventory, legal requirements, business opportunities tied to ABS, public awareness and capacity building, and resource mobilization as key steps required before Nagoya Protocol ratification.</p> <p>The institutional framework in St. Kitts & Nevis is represented by the National GEF and CBD Focal Points, the Department of Physical Planning and Environment, the Department of Physical Planning, National Resources and the Environment, the Development Control and Planning Board, and the National Biodiversity Steering Committee. Non-government agencies which may be relevant for the national institutional framework are the Saint Christopher National Trust and the Nevis Historical and Conservation Society. Human capacity for ABS is limited.</p>
<p>Trinidad & Tobago</p>	<p>Trinidad & Tobago is not a party to the Nagoya Protocol. There is no ABS specific policy, regulation or Act in Trinidad & Tobago. Additionally, there is no ABS Focal Point or Competent National Authority, no legal instruments for biotechnology, no legal framework for PIC or MAT, and no legal framework for TK or GR. However, there are general provisions for</p>

	<p>biodiversity and environment in a variety of documents. The existing legal framework for ABS is represented by the following policy and legal documents:</p> <ul style="list-style-type: none"> • 4th National Report to the CBD • NBSAP • Forests Act and Fisheries Act • Conservation of Wildlife Act <p>The institutional framework for ABS in Trinidad & Tobago is represented by the National GEF and CBD Focal Points, the Ministry of Environment and Water Resources, the Forestry Division, the Fisheries Division, the Environmental Management Authority, the Ministry of Legal Affairs, and the Office of the Attorney General.</p> <p>As stated by Persaud (2014), “No effort has been directed toward examining the possible modalities under the current legal framework for the granting of Prior Informed Consent (PIC) to external parties wishing to exploit genetic resources in Trinidad and Tobago as well as the development of contracts to stipulate Mutually Agreed Terms (MAT) for the sharing of benefits that may arise out of the exploitation of genetic resources. There is also some uncertainty when NGO/CBO entities occupy State Lands or utilise genetic base stock provided by the State as to the disbursements of possible benefits arising out of collaboration with external third parties”.</p>
--	---

The current project is therefore expected to add to the above described initiatives that are taking place at national and regional level, which will be contemporary to the project`s life.

A. 5. **Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:**

The current project aims to contribute to the Aichi Target 16 and the GEF Biodiversity targets by speeding up the establishment of the national ABS frameworks in the participating countries. The proposed regional support project for the Caribbean countries is building on the interest of the participating countries to uptake the Nagoya Protocol. The project will address aforementioned barriers and contribute to the achievement of the third objective of the CBD by targeted awareness raising and capacity building of GEF-eligible Parties to help them prepare for ratification of the Nagoya Protocol, a necessary first step to allow for a future implementation of ABS at national level. The alternative scenario that will be achieved with GEF support will be the necessary enabling environment required for rapid ratification of the Nagoya Protocol at national level. Increased capacity gained through this project will, in the medium-term, contribute to the eventual development of functioning legislative, administrative and policy measures for access and benefit sharing at national level, setting the stage for the generation of global environmental benefits in perpetuity through the implementation of the third objective. This project will build on the efforts of the 8 countries, as well on the investments of other projects as have been outlined above.

See additional information in appendix 3 of the project document.

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:

Risk factors and possible mitigation measures:

Risk	Degree of risk	Mitigation
High staff turnover in participating Government agencies and loss of important staff with their “institutional memory” and all training provided by the project	H	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.
Communities may oppose regulations that restrict their activities relevant to ABS.	L	Thorough community consultation and awareness programmes and, wherever possible, encourage use of the partnership approach with communities.
Lack of communication and coordination between participating agencies in-country	M	Set up communication procedures customized to each country’s situation particularly relevant existing networks and processes
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.
Loss of political interest due to inability to understand the ABS Business Model and anxiousness to see immediate economic returns	M	Thorough strategic and periodic communication as well as designing, validation and implementation of concrete products that will be produced in relative short time such as : a) Standardized Templates for ABS agreements for use through-out the Caribbean Region b) Protocols for PIC developed with indigenous communities. c) Standardized Methodology for the creation of national inventories of marine and terrestrial biological resources.

	d) Web site and CHMs
--	----------------------

A.7. Coordination with other relevant GEF financed initiatives

Linkages with other GEF and non-GEF interventions:

Since 2012 the GIZ-CDI and more recently the SCBD in 2014, have been working in the wider Caribbean region to introduce countries to the implementation requirements of ABS under the Nagoya Protocol, focusing primarily at developing country roadmaps towards the development or amendment of domestic legislative, administrative or policy measures to meet the obligations set out in the Nagoya Protocol and in the mainstreaming of access and benefit-sharing into national biodiversity strategies and action plans and national development policies and plans. Countries have also been exposed to sample PICs and MATs, as well as to the relevance of Marine Bio-prospecting for ABS Frameworks (such as the case of the Bahamas, through their UNEP-GEF ABS project), focusing on Articles 2 & 51 of the Nagoya Protocol, with the highlighting of species for pharmaceuticals.

Under the project ‘Capacity Building related to the Implementation of Multilateral Environmental Agreements (MEAs) in African, Caribbean and Pacific (ACP) Countries Project’ the CARICOM secretariat conducted a training workshop in Dominica in 2013 for the Drafting of Legislation for the Implementation of the Nagoya Protocol on Access and Benefit Sharing, and produced a model ABS legislation. UNEP ROLAC takes also an active part in this initiative and synergies will be sought whenever possible, in particular through inviting ROLAC’s personnel with technical expertise on ABS, and related to the above mentioned project, to participate of the steering committee meetings.

The GEF-UNEP ABS LAC Project/IUCN-Sur has provided important lessons on the participation of the academic and the research community in identifying and prioritizing ABS-relevant research within the context of a policy dialogue. Likewise, the GEF ‘Strengthening Access and Benefit Sharing (ABS) in the Bahamas’ Project will provide parallel experiences and opportunities for cross fertilization and up-scaling with the current initiative.

The GEF ‘Advancing the Nagoya Protocol in Countries of the Caribbean’ Project will build on the results, lessons and experiences of the GIZ-CDI, the SCBD, the CARICOM Secretariat, and the GEF-UNEP ABS LAC Project, and will seek to maximize synergies and opportunities with the GEF ‘Strengthening Access and Benefit Sharing (ABS) in the Bahamas’ Project, which is of particular relevance since it covers ABS issues for another Caribbean country. In this sense, synergies will be streamlined by extending invitation to members of the Bahamas project team to participate on the steering committee meetings of this initiative. The project will also liaise closely with the Trinidad & Tobago’s National Forest and Protected Areas Policies project funded by the GEF and implemented by FAO, which will seek to address the following policy issues: ‘Optimizing the contribution of forest resources to livelihoods; cultural and spiritual/religious use, while ensuring sustainable use of forests’; ‘Protecting native genetic, species and ecosystem diversity’; and ‘Maintaining and enhancing the natural productivity of forest ecosystems and ecological processes to provide important ecosystem services’.

B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:

B.1 Describe how the stakeholders will be engaged in project implementation.

The identification and engagement of stakeholders has been guided by those who could have the most relevant and direct impact on project activities and outcomes, as well as those who will be direct project beneficiaries. Specifically identified were Parliamentarians, CBD Focal Points, GEF Focal Points, the Nagoya Protocol /ABS Focal Points, operational representatives of line ministries dealing with permitting, management and access to genetic and biological resources, local communities, and other institutions working closely with the ABS

agenda, such as Iwokrama in the case of ILCs in Guyana. Table below attempts to illustrate the results of a stakeholder mapping exercise conducted to identify key project stakeholders, their present relevance or role in the project’s area of influence, and the potential impact they may have during and beyond project implementation. While one Ministry of Government will be the key Project Focal Point Ministry, the cross sectoral nature of ABS implementation will require that the project liaise with other ministries as well where appropriate, in cases where the role of said ministries will be key to the delivery project outputs.

Stakeholder participation at the country level will include the provision of co-financing, participation of technical staff in workshops, training, and tools development, the facilitation of local project events and processes, the provision of project oversight through participation on the RSC, as data sources and technical expertise relevant for bioprospecting and broader ABS policy formulation, in the facilitation of preparation and submission of ratification instruments, and in the institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability. At the regional and the sub-regional levels, stakeholder engagement will focus at the facilitation of regional project processes in project countries and in the identification of opportunities for optimization of resources, joint investments for project delivery, coordination and collaboration in the production of technical outputs.

There is recognition by all countries and stakeholders that there are other relevant and critical regional and international stakeholders (besides UNEP and IUCN) active in ABS matters in the Caribbean such as CARICOM, the GIZ ABS Capacity Building Initiative, the CDB Secretariat, and the OECS. As to regional institutions such as CARICOM and OECS, it is expected that both organizations will play a key facilitation role among the Caribbean countries in general and particularly those involved in the project, not only to promote regional meetings, capacity building workshops and events, but also to identify synergies, complementarities and the socialization and validation of concrete regional instruments such as ABS regional guidelines and standardized policies. In the particular case of OECS, the same coordination and facilitation is expected, but mainly focusing on the OECS block of countries.

Primary Stakeholders of the project by country

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
<i>ANTIGUA & BARBUDA</i>				
Environment Division, Ministry of Agriculture, Lands, Marine Affairs, Housing and the Environment	GEF OFP & PFP CBD Focal Point Chief Environment Officer Primary authority for access and permitting of biological resources Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government Complements policy formulation and review and update of institutional framework for ABS	Provision of co-financing and participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC. Institutionalization of project results

				and lessons learned to allow for upscaling, replication and sustainability.
<i>BARBADOS</i>				
Ministry of Environment and Drainage	CBD Focal Point Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government Complements policy formulation and review and update of institutional framework for ABS	Provision of co-financing and participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.
Ministry of Foreign Affairs and Foreign Trade	GEF Political Focal Point	High	Facilitation of political buy-in	Facilitation of preparation and submission of ratification instruments.
<i>GRENADA</i>				
Ministry of Agriculture, Lands, Forestry, Fisheries and the Environment	ABS Focal Point and Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government Complements policy formulation and review and update of institutional framework for ABS	Participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC.
Ministry of Finance, Planning, Economy and Energy	GEF Operational Focal Point	High	Facilitation of political buy-in	Provision of co-financing Facilitation of preparation and submission of

				ratification instruments.
<i>REPUBLIC OF GUYANA</i>				
Environmental Protection Agency	GEF Operational Focal Point and Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government Complements policy formulation and review and update of institutional framework for ABS	Provision of co-financing and participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.
<i>JAMAICA</i>				
Ministry of Housing, Environment and Water	CBD Focal Point and Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government	Provision of co-financing and participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.
Ministry of Water, Land, Environment and Climate	GEF Operational Focal Point	High	Facilitation of political buy-in	Facilitation of preparation and submission of ratification

Change				instruments
National Environment and Planning Agency	Responsibility for protected areas	High	Complements policy formulation and review and update of institutional framework for ABS	<p>Provision of co-financing and participation of technical staff in workshops, training, and tools development.</p> <p>Facilitation of local project events and processes.</p> <p>Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.</p>
<i>ST. LUCIA</i>				
Ministry of Sustainable Development, Energy, Science and Technology	CBD Focal Point GEF Operational Focal Point and Project Focal Point Ministry	High	<p>Facilitation of ratification of Nagoya Protocol by national government</p> <p>Complements policy formulation and review and update of institutional framework for ABS</p> <p>Facilitation of political buy-in</p>	<p>Provision of co-financing and participation of technical staff in workshops, training, and tools development.</p> <p>Facilitation of local project events and processes.</p> <p>Provision of project oversight through participation on RSC.</p> <p>Facilitation of preparation and submission of ratification instruments.</p> <p>Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.</p>
<i>FEDERATION OF ST. KITTS & NEVIS</i>				
Department of Physical Planning and Environment	CBD Focal Point and Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government	Provision of co-financing and participation of technical staff in

			Complements policy formulation and review and update of institutional framework for ABS	workshops, training, and tools development. Facilitation of local project events and processes. Provision of project oversight through participation on RSC. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.
Ministry of Sustainable Development	GEF Operational Focal Point	High	Facilitation of political buy-in	Facilitation of preparation and submission of ratification instruments.
<i>REPUBLIC OF TRINIDAD & TOBAGO</i>				
Ministry of the Environment and Water Resources	GEF Political Focal Point and Project Focal Point Ministry	High	Facilitation of ratification of Nagoya Protocol by national government Facilitation of political buy-in	Provision of co-financing. Facilitation of local project events and processes. Facilitation of preparation and submission of ratification instruments.
Environmental Management Authority	GEF Operational Focal Point	High	Complements policy formulation and review and update of institutional framework for ABS	Participation of technical staff in workshops, training, and tools development. Facilitation of local project events and processes Provision of project oversight through participation on RSC Institutionalization of project results and lessons learned

				to allow for upscaling, replication and sustainability.
NATIONAL LEGISLATIVE BODIES				
National Legislative bodies	Parliamentarians-Bills approval	High	Key stakeholders for approval of main projects outputs (ABS related initiatives/legislation).	Provide legal sustainability and implementation of ABS related bills/initiatives.
OTHERS				
LEADING EXECUTING PARTNER				
IUCN	Project Executing Agency	High	Facilitates delivery of project activities, outputs, and outcomes, coordinates communication between all project partners.	Provide technical, administrative, and management oversight, quality control and compliance with all UNEP reporting requirements.
REGIONAL GOVERNMENT INSTITUTIONS				
CARICOM	Political institution for wider CARICOM integration in all sectors	Medium	Secretariat for MEAs Project and Model ABS Legislation	Facilitation of regional project processes in all 8 project countries and provision of lessons learned from MEAs project
OECS	Political institution for integration of policies in all sectors of the Eastern Caribbean States	Medium	Political Secretariat with lessons learned in a series of biodiversity projects for the OECS region	Facilitation of regional project processes in all OECS project countries and provision of lessons learned from projects such the Protected Areas and Associated Livelihood Project and the Sustainable Financing and Management of Eastern Caribbean Marine Ecosystems project, among others.

<i>NATIONAL AND INTERNATIONAL UNIVERSITIES & RESEARCH CENTERS</i>				
Biotechnology Centre of the University of the West Indies	Regional Research Institution with experience in research and bioprospecting of Caribbean genetic resources	Medium	Possess current and relevant data for regional inventory of Caribbean genetic resources	Source for data and technical expertise relevant for bioprospecting and broader ABS policy formulation.
<i>KEY INTERNATIONAL DEVELOPMENT ORGANIZATIONS AND COOPERATION AGENCIES</i>				
United Nations Environment Programme (UNEP)	Cooperation with countries on a series of relevant and related initiatives.	High	GEF Implementing Agency with overall accountability for project outcomes and fiduciary responsibility to the GEF	Provide technical backstopping, global project oversight and compliance with all GEF reporting requirements. Through the regional office for Latin America and the Caribbean (ROLAC) support will be received to ensure coordination with other UNEP ongoing initiatives; likewise by ROLAC's participation in the steering committee meetings.
Capacity Development Initiative of the German Technical Cooperation (GIZ)	Agency with over three years of presence in the Caribbean involved in regional processes to build ABS awareness and capacity building	High	Direct synergies in the development of ABS training manuals and tools, provision of training, communicating ABS, development of PIC and MAT, and in broader ABS awareness in support of NP ratification	Opportunities for optimization of resources, joint investments for project delivery, coordination and collaboration.
Secretariat to the Convention on Biological Diversity (SCBD)	Global agency with presence in the Caribbean involved in regional processes to build ABS awareness and capacity building	Medium	Direct synergies in communicating ABS and broader ABS awareness in support of NP ratification	Opportunities for optimization of resources, coordination and collaboration.
<i>NGO WORKING WITH INDIGENOUS LOCAL COMMUNITIES</i>				
Iwokrama International Centre for	Agency with exemplary experiences and	Medium	A valuable source of ILCs engagement models to be explored	Technical expertise and engagement platform for ILCs

Rainforest Conservation and Development	lessons learned from working with ILCs in the management of biological and genetic resources in Guyanese Rainforests		and replicated where viable in ILC awareness efforts by the project	in Guyana.
---	--	--	---	------------

B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCE/SCCF):

This project is expected to achieve positive not only environmental, but also socioeconomic impacts by effectively integrating ABS implementation mechanisms within government policies and plans, and no unintended negative impacts to people and the environment are foreseen from the implementation of proposed project activities. Increased ABS capacity building of key staff in relevant institutions and local communities will ensure that best practices which reflect the fundamental principles of the NP are adhered to in all approaches addressing the use of biological resources for bio-prospecting purposes in countries of the Caribbean. The participation of local communities in the PIC processes, particularly using a gender focus methodology, to ensure gender inclusiveness as well as in the negotiation of ABS agreements will ensure fair and equitable sharing of benefits deriving from the use of genetic resources and traditional knowledge, and thus the accrual of economic and social benefits at the local level. Biodiversity conservation will benefit from a new and enhanced understanding of environmental goods and services as expressed through an ABS Business Model which generates benefits that were once elusive or totally beyond the reach of countries and local communities. There will be a much stronger argument in favor of biodiversity conservation and a new level of understanding to support ABS policy formulation and the creation of evolving mechanisms for ABS implementation in the region.

In this sense, the project aims as well to the social and economic recognition of the Caribbean region’s traditional knowledge, which entails a great variety of traditions that 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.

Additionally, 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.

As well, gender mainstreaming is incorporated in the implementation of all capacity building processes, this includes for example design and implementation of gender oriented methodology to promote inclusive spaces within the existing governance structure of indigenous peoples and local communities, in which women particularly have an active presence as well as the challenges they face regarding their participation and decision making, in order to identify opportunities that will lead to more inclusive processes.

B.3. Explain how cost-effectiveness is reflected in the project design:

Cost effectiveness of this project is based on maximizing technical and financial complementarities and leverage in order to improve the impact of current investments while attending national and regional priorities on ABS.

The project is expected to be cost-effective, in the first instance, as a result of its ability to bring together various partners from the environment, education, capacity building and national economic development sectors. These sectors bring their own different perspectives, experiences and skills to the Project and their collaboration will ensure that the ABS agenda is addressed in ways that reflect the experience, interests and concerns of the widest possible range of stakeholders.

The promotion of the Prior Informed Consent (PIC) approach and participatory methods (country and community based) will ensure that the outputs reflect the realities on the ground and are not as a routine response to a need to national policies and regulations. Likewise, the cost-effectiveness of the investment by the Project will be supported through the development of a set of proposed policies and regulations, which take account of the perspectives of the different stakeholders, involved in execution, and will be developed in a collaborative way with the support of the project personnel, the national consultants and the focal points.

The Project envisages to learn from and to use methods and approaches developed in similar projects that have been executed in the Caribbean and/or elsewhere. This will reduce repetition of certain actions and will reinvent some methods which will greatly add to the cost-effectiveness of the Project.

Finally, the cost-effectiveness of the Project is further strengthened through the involvement of IUCN as the Executing Agency together with the National Ministries of the region. This ensures that an international partner with experience in managing UNEP GEF projects is able to support project execution and, as part of its co-funding commitment, strengthen the administrative, financial and technical oversight of the Project.

C. DESCRIBE THE BUDGETED M & E PLAN:

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures, with substantive technical and financial project reporting requirements. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework includes SMART indicators for each expected outcome. These indicators along with the key deliverables and benchmarks will be the main tools for assessing project implementation progress and whether project expected results are being achieved. The means of verification of these elements are summarized in the Project Result Framework.

The estimated cost of Monitoring and Evaluation activities is USD 217,482 (GEF and Co-finance). This cost is fully integrated in the project budget.

An inception workshop will be held at the onset of project implementation to ensure all actors understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the project management team. It is the responsibility of the PM to inform UNEP of any delays or difficulties faced during project implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The RSC will issue reports every 6 months on progress by the project and make recommendations concerning the need to revise any aspects of the Project Results Framework, or the M&E plan. Supervision to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the UNEP-GEF Task Manager. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of project outputs in close collaboration with the PM.

The Task Manager will develop an initial supervision plan that will be communicated to the project partners during the inception workshop for comments. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed by the RSC. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

UNEP will be responsible for managing the mid-term review/evaluation and the terminal evaluation. The Project Manager and partners will participate actively in the process.

The project will be reviewed or evaluated at mid-term. The purpose of the Mid-Term Review (MTR) or Mid-Term Evaluation (MTE) is to provide an independent assessment of project performance at mid-term, to analyze whether the project is on track, what problems and challenges the project is encountering, and which corrective actions are required so that the project can achieve its intended outcomes by project completion in the most efficient and sustainable way.

The project Steering Committee will participate in the MTR or MTE and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UNEP Task Manager to monitor whether the agreed recommendations are being implemented. An MTR is managed by the UNEP Task Manager. An MTE is managed by the Evaluation Office (EO) of UNEP. The EO will determine whether an MTE is required or an MTR is sufficient.

An independent terminal evaluation (TE) will take place at the end of project implementation. The EO will be responsible for the TE and liaise with the UNEP Task Manager throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes:

- (i) to provide evidence of results to meet accountability requirements, and
- (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and executing partners.

While a TE should review use of project funds against budget, it would be the role of a financial audit to assess probity (i.e. correctness, integrity etc.) of expenditure and transactions.

The TE report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the EO in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six point rating scale. The final determination of project ratings will be made by the EO when the report is finalised. The evaluation report will be publically disclosed and will be followed by a recommendation compliance process.

The direct costs of reviews and evaluations will be charged against the project evaluation budget.


See appendix 7 of UNEP's project document.

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 form. For SGP, use this [OPF endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Leonie Barnaby (Jamaica)	GEF-OPF	Ministry of Water, Land, Environment and Climate Change	7-FEBRUARY- 2014
Indarjit Ramdass (Guyana)	GEF-OPF	Environmental Protection Agency	10-FEBRUARY 2014
Lavern Queeley (St. Kitts and Nevis)	GEF-OPF	Ministry of sustainable development	3-February- 2014
Caroline Eugene (St. Lucia)	GEF-OPF	Ministry of Sustainable Development, Energy, Science and Technology	24-january- 2014
Diann Black-Layne (Antigua and Barbuda)	GEF-OPF	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	Telephon e	
Brennan VanDyke; Director, GEF Coordination		25/05/201 5	Marianela Araya Task Manager	+(507)- 305-31- 69	Marianela.araya@unep.org

ANNEX A: Project Results Framework

Please see appendix 4 of UNEP's project document.

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

No outstanding issues for CEO-Approval milestone as per review sheet. See appendix 14 of UNEP's project document.

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

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF: \$90,000.00			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
National consultations, baseline analysis, and project proposal development, office supplies, sundries.	61,000.00	50,463.36	10,537.00
Travel	20,000.00	20,000.00	0
Meetings/Conferences	4,000.00	2,035.33	1,964.67
Inclusion of comments, reporting, Validation workshop, and final meeting	5,000.00	4,700.00	30.00
Total	90,000.00	77,198.69	12,531.67

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

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

N/A