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Программа Организации Объединенных Наций по окружающей среде

برنامج الأمم المتحدة للبيئة

联合国环境规划署



PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

- 1.1 Project title:** Advancing the Nagoya Protocol in countries of the Caribbean Region.
- 1.2 Project number:** GFL/
PMS:
- 1.3 Project type:** MSP
- 1.4 Trust Fund:** GEF
- 1.5 Strategic objectives:**
GEF strategic objective: BD-5
- 1.6 UNEP priority:** Ecosystem Management (expected accomplishment A), and Environmental Governance (expected accomplishment B and C)
- 1.7 Geographical scope:** Regional
- 1.8 Mode of execution:** External
- 1.9 Project executing organization:** IUCN

- 1.10 Duration of project:** 36 months
Commencing:
Technical completion:
- Validity of legal instrument:** 42 months

1.11 Cost of project		US\$	%
Cost to the GEF Trust Fund		1,826,000	32.40%
Co-financing Total		3,809,257	67.60 %
	Total Project	5,635,257	100.00%
Countries	2,520,941		
UNEP	90,000		
CBD	50,000		
IUCN	501,074		
OECS	596,871		
GIZ	50,371		
TOTAL	3,809,257		

1.12 Project summary

The Caribbean islands are of critical importance for global biodiversity conservation as large percentages of each species group are endemic to the region and often to particular islands and levels of endemism are very high in the region: thus, 50 per cent of the plant life of the Caribbean is unique (UNEP, 2010). These high valued genetic resources in the Caribbean are under threat due to land degradation, climate change, pollution from nutrients, unsustainable use and invasive alien species. The Nagoya Protocol offers the opportunity to make the best possible use of these genetic resources, generate and share benefits derived from their utilization, and return some of the revenue generated from these activities to the protection of the resources and the development of the countries where they were sourced.

The Project Goal is to support countries of the Caribbean to facilitate access to their genetic resources and benefit sharing in a fair and equitable way, in line with the Convention on Biological Diversity and the Nagoya Protocol, and more specifically, the Project Objective seeks the uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries. The project aims to overcome barriers linked to poor understanding of the Nagoya Protocol and ABS and the implications of protocol ratification and requirements for implementation.

The project consists of four components as follows. **Component 1** will build knowledge between countries of shared assets and generate technical information that can later be used to build cohesive policies at the national level and collaboratively at the regional level, such as a Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of the main Applications of Traditional Knowledge in the region, which would be used to inform the formulation of National ABS Policies and a Regional ABS Policy. The component also 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 such as a Virtual ABS Policy Forum and project website. **Component 2** will assist countries to take steps and decisions conducive to ratification of the Nagoya Protocol including support for developing the policy, legal, and regulatory frameworks governing ABS, assistance to improve their understanding of the implications of the Nagoya Protocol ratification in terms of adjustments in the legal and institutional framework, assistance in the development of draft ABS Bills and regulations, and in the development of regional strategic priorities for Nagoya Protocol implementation in the region. **Component 3** aims to assist countries in developing the tools and guidelines required to implement the basic measures of the Nagoya Protocol. These include providing assistance to build awareness among stakeholders that are key for Nagoya Protocol implementation to be effective, especially parliamentarians, officers of frontline ministries, indigenous communities and researchers. Support will also be provided for the development of institutional agreements and administrative procedures for ABS Agreements such as Prior Informed Consent, Mutually Agreed Terms, and Benefit Sharing, and capacity building to create a Roster of Caribbean ABS Experts. 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, and will support strategies that could bring sustainability to the project results, such as a regional database of research activities in the OECS and broader Caribbean region, linked to existing Clearing House Mechanisms (CHMs) or institutional web pages in the region. **Component 4** will bring together the participating countries at least twice during the life of the project to allow for the maximum level of exchange and networking, and will allow the Executing Agency, the Implementing Agency, and the executing partners in countries and regionally to better coordinate actions to deliver assistance to the countries and come together in a coherent and united front on ABS related issues. This component also covers monitoring, and evaluation activities, as well as strategic project planning and coordination. **Component 5** Project Management will include basic services needed for project execution, as well as costs related to administrative support for project activities such as the generation of financial

project reports. As well, it will include costs related to office, communication, IT services, and other logistic expenses. It represents 8.64% of the total budget.

The project will be managed centrally as one project rather than 8 separate sub-projects, but 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 project will build on an observable pattern of actions towards Nagoya Protocol implementation and a clear indication of political interests in the project countries, as expressed by numerous policy documents which fully embrace the sustainable use of biological and genetic resources, and an unequivocal commitment to obligations contracted under the CBD. The project is in full alignment with Articles 5, 6, 9 and 15 of the Nagoya Protocol and the GEF Strategic Goal #3: Sustainable Use of Biodiversity and Strategic Objective # 8: Implementing the Nagoya Protocol on Access and Benefit Sharing.

Due to its regional nature, and in order to ensure relevancy and sustainability of the project results, it is expected that the project will also work in coordination with regional entities such as the CARICOM and OECS Secretariats, which could play an important role in implementing ABS in the region, through means such as a common policy and/or strategy, harmonized procedures and criteria, or information sharing and coordination mechanisms. Similarly, relevant coordination will take place with other ABS initiatives such as the multi-donor ABS Capacity Development Initiative, hosted by the German Ministry of Economic Cooperation and Development (BMZ), and managed by the GIZ and the CBD Secretariat.

UNEP will be the Implementing Agency of the project and the IUCN will be Executing Agency. A Regional Steering Committee will be appointed with representation from all project countries, the GEF Implementing Agency, the Project's Executing Agency, and selected regional partners. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. A Mid-Term Management Review will take place at the mid-point in the project. An Independent Terminal Evaluation will take place, at the end of project implementation, determining lessons learned. Findings of these events will be analyzed jointly by UNEP, GEF, the Executing Agency, national authorities and other important Stakeholders. The GEF Activity Based Budget is US\$ 1,826,000; of which approximately 9.47% (US\$ \$173,000) of this budget is dedicated to the process of monitoring and evaluation. On top of that, approximately 1.5 % (\$ 54,482 USD) of the IUCN's co-finance is also dedicated to M&E of the project, which ensures a solid monitoring structure for the project. Counterpart cash and in kind contributions negotiated for this project is estimated at US\$ 3,809,257.

Table of Contents

Section 1: Project Identification.....	- 1 -
Acronyms and Abbreviations	- 5 -
Section 2: Background and situation analysis (baseline course of action)	- 6 -
2.1. Background and context	- 6 -
2.2. Global significance	- 6 -
2.3. Threats, root causes and barrier analysis	- 7 -
2.4. Institutional, sectoral and policy context	- 9 -
2.5. Stakeholder mapping and analysis.....	- 10 -
2.6. Baseline analysis and gaps.....	- 14 -
2.7. Linkages with other GEF and non-GEF interventions	- 23 -
Section 3: Intervention strategy (Alternative).....	- 24 -
3.1. Project rationale, policy conformity and expected global environmental benefits.....	- 24 -
3.2. Project goal and objective.....	- 25 -
3.3. Project components and expected results	- 25 -
3.4. Intervention logic and key assumptions	- 30 -
3.5. Risk analysis and risk management measures	- 32 -
3.6. Consistency with national priorities or plans.....	- 34 -
3.7. Incremental cost reasoning	- 34 -
3.8. Sustainability	- 37 -
3.9. Replication.....	- 38 -
3.10. Public awareness, communications and mainstreaming strategy	- 38 -
3.11. Environmental and social safeguards	- 39 -
Section 4: Institutional Framework and Implementation Arrangements	- 39 -
Section 5: Stakeholder participation	- 40 -
Section 6: Monitoring and evaluation Plan.....	- 41 -
Section 7: Project Financing and Budget.....	- 42 -
7.1. Overall project budget	- 42 -
7.2. Project co-financing.....	- 42 -
7.3. Project cost-effectiveness	- 43 -
References & Selected Bibliography	- 44 -
Appendix 1: Budget by project components and UNEP budget lines	- 47 -
Appendix 2: Co-financing by source and UNEP budget lines.....	- 48 -
Appendix 3: Incremental cost analysis	- 49 -
Appendix 4: Results Framework	- 52 -
Appendix 5: Work Plan and Timetable	- 70 -
Appendix 6: Key deliverables and benchmarks.....	- 87 -
Appendix 7: Costed M&E plan.....	- 93 -
Appendix 8: Summary of reporting requirements and responsibilities	- 95 -
Appendix 9: Decision-making flowchart and organizational chart	- 96 -
Appendix 10: Terms of Reference	- 97 -
Appendix 11: Co-financing commitment letters from projects partners	- 104 -
Appendix 12: Endorsement letters of GEF National Focal	- 105 -
Appendix 13: Draft procurement plan	- 106 -
Appendix 14: - 111 -Responses to reviewers. No outstanding issues. (see separate file)	- 111 -

ACRONYMS AND ABBREVIATIONS

ABS	Access and Benefit Sharing
ACP	Asia-Caribbean-Pacific
BD	Biodiversity
CARICOM	Caribbean Community
CEPF	Critical Ecosystem Partnership Fund
CBD	Convention on Biological Diversity
GEF	Global Environmental Facility
GEF-OFP	GEF Operational Focal Points
GIZ	German Technical Cooperation (Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH)
GIZ (ABS-CDI)	German Technical Cooperation (ABS – Capacity Development Initiative)
GR	Genetic Resources
ILCs	Indigenous and Local Communities
IUCN	International Union for the Conservation of Nature
IUCN-ORMACC	IUCN Regional Office for Mexico, Central America and the Caribbean
MAT	Mutually Agreed Terms
MEA	Multi-Lateral Environmental Agreement
M&EP	Monitoring and Evaluation Plan
MTE	Mid-Term Evaluation
NBSAP	National Biodiversity and Action Plan
NC	National Coordinator
NEAP	National Environmental Action Plan
NGO	Non-Governmental Organization
NMNP	New Marine Natural Product
NP	Nagoya Protocol
OECS	Organization of Eastern Caribbean States
PIC	Prior Informed Consent
PIF	Project Information Form
PIR	Project Implementation Review
PPG	Project Preparation Grant
ROLAC	UNEP's Regional Office for Latin America and the Caribbean
RSC	Regional Steering Committee
SMART	Specific, Measurable, Achievable, Relevant, Timely Indicators
TA	Technical Assistance
TOR	Terms of Reference
TNC	The Nature Conservancy
TT	Tracking Tools
UNEP	United Nations Environment Programme

SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

2.1. Background and context

1. The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity is an international agreement which aims at sharing the benefits arising from the utilization of genetic resources in a fair and equitable way. The Convention on Biological Diversity (CBD) adopted the Nagoya Protocol at its tenth meeting on 29 October 2010 in Nagoya, Japan, and the protocol entered into force in October 2014.
2. The SCBD (2010 & 2011) defines Access and Benefit-Sharing (ABS) as the way in which genetic resources may be accessed, and how the benefits that result from their use are shared between the people or countries using the resources (users) and the people or countries that provide them (providers). Access and benefit-sharing is based on prior informed consent (PIC) being granted by a provider to a user and negotiations between both parties to develop mutually agreed terms (MAT) to ensure the fair and equitable sharing of genetic resources and associated benefits. Countries are responsible for creating the legal and institutional frameworks that will allow for the development of terms and conditions governing access, use, and sharing of benefits deriving from genetic resources, consistent with the Nagoya Protocol.
3. Genetic resources provide a wide range of products and services essential to human well-being, notably in the following sectors: pharmaceuticals, personal care and cosmetics, seed and crop protection, botanicals, and horticulture. Commercial uses of genetic resources include crop protection, drug development, chemicals, detergents, and textiles among others, such as for example, the development of drugs from the use of plants components, such as compounds found in resin and latex, to treat diseases, or the commercialization of a gene sequence from wild plants to increase the resistance of food crops to agricultural pests (SCBD, 2011).
4. These high valued genetic resources in the Caribbean are under threat due to land degradation, climate change, pollution from nutrients, unsustainable use and invasive alien species. The Nagoya Protocol offers the opportunity to make the best possible use of these genetic resources, generate and share benefits derived from their utilization, and return some of the revenue generated from these activities to the protection of the resources and the development of the countries where they were sourced.

2.2. Global significance

5. The Caribbean islands are of critical importance for global biodiversity conservation as large percentages of each species group are endemic to the region and often to particular islands and levels of endemism are very high in the region: thus, 50 per cent of the plant life of the Caribbean is unique (UNEP, 2010).
6. The Caribbean is the heart of Atlantic marine diversity. Roughly 8 percent to 35 percent of species within the major marine taxa found globally are endemic to the hotspot. The shallow marine environment contains 25 coral genera, 117 sponges, 633 mollusks, more than 1,400 fishes, 76 sharks, 45 shrimp, 30 cetaceans and 23 species of seabirds. The Caribbean contains approximately 10,000 square kilometers of reef, 22,000 square kilometers of mangrove, and as much as 33,000 square kilometers of seagrass beds. The region also provides wintering and nursery grounds for many Northern Atlantic migratory species, including the great North

Atlantic humpback whale, which reproduces in the northern Caribbean seascape (CEPF, 2011). With 70% of the population living along the coast, Caribbean lives and livelihoods directly depend upon healthy marine and coastal resources (TNC, 2014). 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. nutraceuticals and biotechnology). 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.

7. The Caribbean supports a wealth of biodiversity within its terrestrial ecosystems, with a high proportion of species that are endemic, or unique, to the hotspot. It includes about 11,000 plant species, of which 72 percent are endemic. For vertebrates, high proportions of endemic species characterize the herpetofauna (100 percent of 189 amphibian species and 95 percent of 520 reptile species), birds (26 percent of 564 species) and mammals (74 percent of 69 species, most of which are bats). Species endemic to the hotspot represent 2.6 percent of the world's 300,000 plant species, and 3.5 percent of the world's 27,298 vertebrate species (CEPF, 2011). Historically, the Caribbean region has served as a bridge between the Mesoamerican and South American centers of biological diversity. As a consequence, the region is rich in plant genetic resources. Moreover, during the colonial period, plant materials of global significance were introduced from the Old World. To safeguard key resources, Trinidad and Tobago operates the International Cocoa Gene bank – considered the largest and most diverse cocoa collection in the world – and also holds a very large Caribbean collection of hot peppers (*Capsicum*). Barbados harbors one of the world's largest collections of sugarcane (Navarrete-Frias et al., 2013).
8. The Caribbean region is rich in traditional knowledge with 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.
9. Based on the above, the current project will contribute to create important capacity that could be applied to protect the region's biodiversity and its traditional knowledge.

2.3. Threats, root causes and barrier analysis

10. **Threats (Pressures):** 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. The main threats to the terrestrial biodiversity today are habitat destruction and fragmentation due to the expansion of agriculture, cities,

tourism and commercial development. Overexploitation of living resources, predation and competition by invasive alien species are also significant threats. Pollution and sedimentation have negatively affected marine environments by smothering coral reefs, killing fish and reducing the recreational value of beaches. Climate change is believed to have increased the frequency and intensity of hurricanes and droughts. Sea level rise and a general drying trend also is an important concern (CEPF, 2011).

11. **Root causes (Drivers) and Barrier Analysis:** 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. Underlying these threats is a multiplicity of root causes, including a lack of awareness of the importance of environmental protection, weak environmental legislation, limited technical information, weak environmental institutions, and insufficient funding.
12. Almost all island states have NGOs that are involved in biodiversity conservation. Furthermore, smaller community-based organizations play an increasingly important role in conservation. However, limited institutional and human resource capacity within local NGOs, community groups and government agencies remains a significant barrier to biodiversity conservation. Local organizations tend to work in relative isolation from each other and lack strong collaborative networks where synergies and lessons learned can be shared (CEPF, 2011).
13. The main barriers impeding progress in Access and Benefit Sharing (ABS) in the Caribbean are:
 - *Incomplete and insufficient knowledge of the Nagoya Protocol and ABS by all key interest groups, such as parliamentarians, researchers, indigenous peoples, and users of genetic resources;*
 - *Poor understanding of the implications of ratification of the Nagoya Protocol by Parliamentarians;*
 - *A Regional Inventory of Common Genetic Resources and Traditional Knowledge is not available upon which to base a regional enabling environment;*
 - *Institutional capacity for the most part is restricted to technical line ministries and agencies tasked with the issuing of permits to access biological resources;*
 - *Current legal framework in most Caribbean countries does not explicitly allow for PIC and participation of ILCs in biodiversity access agreements;*

- *Data collection and monitoring protocols and tools do not exist primarily due to insufficient technical capacity and finances;*
- *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.*
- *Limited regional mechanisms to promote exchange of relevant information among countries as well as harmonized guidelines to ABS policies and standard procedures.*

2.4 Institutional, sectoral and policy context

14. The countries participating in this project are signatories of the Convention on Biological Diversity (CDB) and have made consistent efforts to meet their obligations under this agreement as expressed in national strategies, plans, regulations, and laws. Most relevant to the proposed project objectives are the recent National Reports to the Convention on Biological Diversity, National Biodiversity Strategy and Action Plans (all of which make specific reference to some aspect of access and benefit sharing and traditional knowledge). Other expressions of the policy context in support of proposed project objectives include parent Acts governing the access and use of biological resources such as the Fisheries Act and the Forest Act, Wildlife Protection Acts, Natural Heritage Act, Protected Areas legislation, Species Protection Regulations, policy documents such as the Biosafety Policy, Biotechnology Policy, Natural Resources Management Plans, National Environmental Summary, and National Environmental Action Plans.
15. The institutional framework for ABS in most project countries is represented by the CBD Focal Point, the GEF Political and Operational Focal Points, and specific ABS Focal Point, as in the case of Grenada. Often the Ministry of Environment or the Ministry of Natural Resources is designated as the competent ABS authority, and in many cases one of these same ministries is also the CBD Focal Point. Due to the sectoral nature of institutional arrangements in Caribbean countries, it is common to find that a series of technical line ministries are tasked with regulating access and use of biological and genetic resources, and may include the Fisheries, Forest, Environment, Planning, and Sustainable Development ministries. Thus, responsibilities for implementing an ABS framework will require cross-sectoral and multi-ministerial collaboration. Representatives of these technical line ministries have all been exposed to recent ABS initiatives by the SCBD, the GIZ-CDI, and the CARICOM Secretariat.
16. The issuance of the relevant Endorsement Letters by the GEF Focal Points of all countries participating in the project is a clear indication of the national, and by extension the regional, political commitment in support of the project. The constructive and targeted support provided by the CARICOM Secretariat and the Organization of Eastern Caribbean States (OECS) during project preparation provides an additional level of political support to the project and will add priceless value to regional processes to be pursued by the project.
17. The research programs of the Biotechnology Center of the University of the West Indies, the region's primary tertiary level educational institution, are perfectly aligned with several of the outputs proposed under the project and will provide an attractive avenue for the participation of the academic sector.

2.5 Stakeholder mapping and analysis

18. The identification and engagement of stakeholders during project preparation was 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 1 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.

Table 1: Primary Stakeholders of the project by country

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
ANTIGUA & BARBUDA				
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.
BARBADOS				
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.
GRENADA				
Ministry of	ABS Focal Point	High	Facilitation of ratification	Participation of technical staff in

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
Agriculture, Lands, Forestry, Fisheries and the Environment	and Project Focal Point Ministry		of Nagoya Protocol by national government 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.
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.
REPUBLIC OF GUYANA				
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.
JAMAICA				
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 Change	GEF Operational Focal Point	High	Facilitation of political buy-in	Facilitation of preparation and submission of ratification instruments
National Environment and Planning Agency	Responsibility for protected areas	High	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. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
ST. LUCIA				
Ministry of Sustainable Development, Energy, Science and Technology	CBD Focal Point 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 Facilitation of political buy-in	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. Facilitation of preparation and submission of ratification instruments. Institutionalization of project results and lessons learned to allow for upscaling, replication and sustainability.
FEDERATION OF ST. KITTS & NEVIS				
Department of Physical Planning and Environment	CBD 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.
Ministry of Sustainable Development	GEF Operational Focal Point	High	Facilitation of political buy-in	Facilitation of preparation and submission of ratification instruments.
REPUBLIC OF TRINIDAD & TOBAGO				
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.

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
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.
NATIONAL AND INTERNATIONAL UNIVERSITIES & RESEARCH CENTERS				
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.

Stakeholders	Current relevance to the project	Potential impact	Synergies with the project	Potential contributions to the project
KEY INTERNATIONAL DEVELOPMENT ORGANIZATIONS AND COOPERATION AGENCIES				
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.
NGO WORKING WITH INDIGENOUS LOCAL COMMUNITIES				
Iwokrama International Centre for Rainforest Conservation and Development	Agency with exemplary experiences and lessons learned from working with ILCs in the management of biological and genetic resources in Guyanese Rainforests	Medium	A valuable source of ILCs engagement models to be explored and replicated where viable in ILC awareness efforts by the project	Technical expertise and engagement platform for ILCs in Guyana.

2.6 Baseline analysis and gaps

19. 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 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. 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.
20. 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).
 21. 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.
 22. 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 Biosafety Committees, which are in some cases tasked with addressing ABS issues.
 23. 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.

24. 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.
25. 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:

Table 2. Current ABS Baseline in Project Countries

Country	Summary of ABS Baseline Scenario by Country
Antigua & Barbuda	<p>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 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)

	<ul style="list-style-type: none"> • 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 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

	<ul style="list-style-type: none"> • 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</p>

	Sustainable Development Council functions as the Biodiversity Steering Committee. Human capacity specific to ABS and Nagoya Protocol implementation is limited.
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>
St. Lucia	<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>
St. Kitts & Nevis	<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>
Trinidad & Tobago	<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 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>
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2.7 Linkages with other GEF and non-GEF interventions

26. 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.
27. 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.
28. 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.

29. 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’.

SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

3.1 Project rationale, policy conformity and expected global environmental benefits

30. The rationale of the project lies in the fact that all 8 countries participating in the project are signatories to the Convention on Biological Diversity, and even though they may have not ratified the Nagoya Protocol, they are in some manner or the other in the preliminary stages of implementation of the NP. At least 3 countries (Guyana, Grenada, and Antigua & Barbuda) in the region have taken key steps towards revising and updating their national measures to meet the Protocol’s obligations in preparation for ratification. Countries are faced with the need to define how to regulate access to genetic resources, how to implement the fair and equitable sharing of benefits resulting from the utilization of genetic resources and traditional knowledge associated with genetic resources, what enforcement measures will be required to ensure compliance by users, and what institutional and capacity building needs must be addressed to ensure all obligations under the NP are appropriately met.
31. The project will assist countries 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 Caribbean 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. In addition to the global value of Caribbean genetic resources provided by their high level of endemism and uniqueness, these genetic resources have major option and use value as the source of nature-based products with the potential to contribute significantly to the production of pharmaceuticals, food supply, and cosmetics worldwide. Project support will build additional capacity using a participative and inclusive methodology, as well as awareness that are required to allow the countries of the Caribbean to maximize the benefits derived from the use of genetic resources.
32. 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.

33. The project is in full alignment with Articles 5, 6, 9 and 15 of the Nagoya Protocol. These articles collectively state that “benefits arising from the utilization of genetic resources as well as subsequent applications and commercialization shall be shared in a fair and equitable way with the Party providing such resources and such sharing shall be upon mutually agreed terms”; “in the exercise of sovereign rights over natural resources, and subject to domestic access and benefit-sharing legislation or regulatory requirements, access to genetic resources for their utilization shall be subject to the prior informed consent (PIC) of the Party providing such resources that is the country of origin of such resources or a Party that has acquired the genetic resources in accordance with the Convention, unless otherwise determined by that Party”; and “The Parties shall encourage users and providers to direct benefits arising from the utilization of genetic resources towards the conservation of biological diversity and the sustainable use of its components”. The above alignments illustrate the direct conformity of the objectives of the project with the overarching policies and obligations as outlined in the NP.
34. Global benefits to be generated by the project include direct contribution towards global compliance in achieving the Aichi Biodiversity 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”; and will facilitate sustainable and cost-effective use of the biological resources and ensure that the benefits will accrue to the region, the countries, and the local communities where biological and genetic resources occur, in direct support of the CBD’s third objective.
35. The project will therefore have a direct impact on safeguarding genetic diversity of global importance and will specifically contribute to the conservation and sustainable use of 2.6 percent of the world’s 300,000 plant species and 3.5 percent of the world’s 27,298 vertebrate species, all of which are endemic to the Caribbean, in addition to indirectly protecting habitats that are critical for migratory species such as the great North Atlantic humpback whale, which reproduces in the northern Caribbean region.

3.2 Project goal and objective

36. Project Goal: Support countries of the Caribbean to facilitate access to their genetic resources and benefit sharing in a fair and equitable way, in line with the Convention on Biological Diversity and the Nagoya Protocol.
37. Project Objective: Seeking uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries.

3.3 Project components and expected results

38. Project development components are fully explained in the Project Result Framework, Appendix 4. The following is a summary of each component.
39. This project is divided into four inter-dependent components. **Component 1. Identifying regional commonalities and assets, and basic elements conducive to policy formulation (US\$ 220,000).** 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 and collaboratively at regional level, such as a Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of main Applications of Traditional Knowledge in the region, which would be used to inform the formulation of National ABS Policies and a Regional ABS Policy. Apart from conducting 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 such as a Virtual ABS Policy Forum and project website. 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 identify synergies with other ABS related initiatives and to create strategic plans and country roadmaps for the implementation of the current project based on those interactions and information sharing.

40. This component has three (3) expected outcomes:

Outcome 1.1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.

Outcome 1.2: Future directions of policy development for the region are defined.

Outcome 1.3: Countries understand their national assets/values and requirements in a regional context

41. The specific outputs derived from Outcome 1.1 *Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy* are:

- a) Scientific Study on Bio-prospecting in the Caribbean Region produced and disseminated, (linked to web-based modular Regional Inventory output in Comp 3)
- b) Stocktaking of main Applications of Traditional Knowledge associated with biological resources, generated on the basis of various information sources including a survey completed by a minimum of 50 key stakeholders (linked to web-paged modular Regional Inventory output in Comp 3).
- c) Stocktaking of the expertise of non-regulatory organizations involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge in the Caribbean.
- d) Information Sheets produced on the basis of the regional stock-takings in relation to bio-prospecting, common biological resources, traditional knowledge and related institutions in the Caribbean, distributed widely at events and key locations and forums, on-line and in printed format.

The specific outputs derived from Outcome 1.2. *Future directions of policy development for the region are defined* are:

- a) ABS Policies produced as national drafts or updated versions of existing policies or strategies.
- b) Draft Regional ABS Policy that describes a common vision and shared principles for ABS in the Caribbean.
- c) Summarized information items produced to disseminate policy-related progress at the national and regional levels, through websites, bulletins, annual reports and other means as relevant.

The specific outputs derived from Outcome 1.3: *Countries understand their national assets/values and requirements in a regional context* are:

- a) Project Website and Virtual Regional ABS Forum serving as openly-accessible platforms for dissemination, exchanges, collaboration, and monitoring.

- b) CBD COP side-event on Caribbean ABS with a high level of Caribbean participation and in collaboration with partner initiatives in the region.
 - c) Roster of ABS experts for the region.
 - d) Inter-institutional coordination included in ABS National Work Plans for at least 8 project countries.
42. **Component 2: Uptake of the Nagoya Protocol (US\$ 349,784).** The objective of this component is that participating countries take steps and decisions conducive to ratification of the Nagoya Protocol. 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, including drafting the policy, legal, and regulatory frameworks governing ABS, appointing the National Focal Point, and establishing the Competent National Authority. 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 project preparation, four countries had determined their will to ratify, with Guyana already moving towards national implementation, St. Lucia intending to start as soon as possible, and Antigua and Barbuda as well as Dominica acknowledging the vantage of having ABS clauses in their environment bills. This will mean different starting points for the countries in the current project (and the possibility of clustering countries into groups), however, the need for regulators to fully understand the commitments and rights embedded in the Nagoya Protocol will need to be addressed across the board as a matter of priority. Countries will be assisted to improve their understanding of the implications of the NP ratification in terms of adjustments in the legal and institutional framework, assistance in the development of draft ABS Bills and regulations, and in the development of regional strategic priorities for NP implementation in the region.
43. This component has one (1) expected outcome:
- Outcome 2.1.:** National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation.
44. The specific outputs derived from Outcome 2.1.: *National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation* are:
- a) Assessment of existing national Legal Frameworks attending to legislative overlaps and mandates, and the implications of ratification of the Nagoya Protocol completed, and being used to prioritize interventions in project countries in support of the Nagoya Protocol.
 - b) Cabinet Papers produced to highlight legislative and regulatory needs and the benefits and opportunities of NP ratification.
 - c) Draft ABS Bill or Regulations formulated.
 - d) Nagoya Protocol ratification requests from the Executive Power to the Attorney General.
 - e) A Regional Strategy and Action Plan (2016-2021) that orients and converges regional efforts for ABS capacity building, sets common ABS capacity building goals for the Caribbean, collaboration, and fund raising opportunities.
45. **Component 3. : Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP (US\$ 739,581).** The objective of this component is to assist countries in developing the tools and guidelines required to implement the basic measures of the Nagoya Protocol. These include providing assistance to build awareness among stakeholders that are key for NP implementation to be effective, especially

parliamentarians, officers of frontline ministries, indigenous communities and researchers. Support will also be provided for the development of institutional and administrative procedures for ABS Agreements with proper Prior Informed Consent [PIC], Mutually Agreed Terms [MAT], and Benefit Sharing, in an effort to build on the baseline knowledge established by preliminary exposure received by ABS stakeholders on these topics in recent regional workshops, to reach a level of competency required for proper ABS implementation. Support also will be provided to develop administrative procedures for the monitoring of use of genetic resources, compliance with legislation and cooperation on trans-boundary issues, and capacity building to create a Roster of Caribbean ABS Experts. 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 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, linked to existing CHMs or institutional web pages in the 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.

46. This component has one (1) expected outcome:

Outcome 3.1: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol.

47. The specific outputs derived from Outcome 3.1: *An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol* are:
- a) ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bio-prospecting for awareness-raising regarding ABS and the Nagoya Protocol
 - b) Inter-institutional workshops for officials of ABS frontline ministries, as well as for consultations and awareness-raising with other relevant sectors.
 - c) Radio interviews and TV air-time discussions with researchers to highlight the risks, opportunities and challenges with ABS and bio-prospecting
 - d) Posters and banners for targeted placement in all project countries.
 - e) Local radio spots produced and aired in indigenous language for ABS awareness-raising for Indigenous Peoples.
 - f) Operational Guidelines for Implementing ABS policies at the national level (institutional roles and responsibilities).
 - g) Standardized Training Manual for ABS Implementation developed and used among key line agencies engaged in ABS throughout the region.
 - h) At least twenty (20) trainers trained, with trainers identified on a Regional ABS Experts Roster, and available to provide expertise in the development of ABS capacity in the region.
 - i) Standardized Templates for ABS agreements for use through-out the Caribbean Region
 - j) Protocols for PIC developed with indigenous communities.
 - k) Standardized Methodology for the creation of national inventories of marine and terrestrial biological resources.
 - l) Technical Assistance provided in the use of the ABS Clearing House as an exchange and monitoring mechanism (e.g. for approved permits and agreements).

- m) A searchable Regional Inventory structured as web-based modules on Research into Caribbean Biological Resources and associated Traditional Knowledge, created on existing CHMs or institutional web pages (Linked to studies of Comp 1).
 - n) Business Model for Countries of the Caribbean which highlights multiple economic scenarios possible through regulated bio-prospecting available as a tool for countries in their national ABS decision-making and negotiation processes.
48. **Component 4. Regional Coordination, technical support and capacity development (US\$358,828).** This component will bring together the participating countries at least twice during the life of the project to allow for the maximum level of exchange (e.g. learned best practices etc.), and networking facilitated by the Executing Agency – IUCN for mutual benefit during the term of the project and beyond. These meetings will also assist in assessing common issues and how to cope with them collectively. More specifically, these meetings should allow the Executing Agency, the Implementing Agency, and the executing partners in countries and regionally, to better coordinate actions and the use of the human capacity to deliver assistance to the countries and come together in a coherent and united front on ABS related issues. Efforts will be made to build on progress made during project preparation to further engage the SCBD, CARICOM, and the OECS to provide technical and political support for the project where appropriate. In this sense, this component covers regional coordination, including the facilitation of regional meetings, events as well as promoting synergies and coordination with other relevant initiatives and stakeholders to ensure complementarities and adequate leverage to reach the project objectives. Coordination and management activities as well as monitoring and evaluation will also be included. Coordination meetings plus other virtual activities will serve as communication platforms for these interactions. Draft projects plans and outputs will be shared with countries for their input on regular basis. The project will be managed centrally as one project rather than 8 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 the project timeframe; and will best facilitate the collective benefits/outputs anticipated to be produced by the project. 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 Executing Agency for this purpose will coordinate regularly with the overall Project Manager and will work with, and report to, the respective government official designated as liaison to the project. Also, gender considerations will be mainstreamed within this component, ensuring whenever possible equal opportunities for men and women.
49. This component has two (2) expected outcomes:
- Outcome 4.1:** Countries share information and gain from the experiences of other countries.
- Outcome 4.2:** Effective project coordination and delivery, meeting agreed measurable outputs and indicators
50. The specific outputs derived from Outcome 4.1: *Countries share information and gain from the experiences of other countries* are:

- a) Review to document and tally contributions and collaborations from national and regional institutions that contributed to ABS capacity building by promoting information and experience sharing and collaboration between institutions and countries.
- b) Regional Project Inception Workshop completed with all project partners introduced to detailed project work plan, project Logical Framework, implementation timeline and procedures, monitoring and evaluation functions, and overall project governance.
- c) Regional Project Closure Workshop for reviewing progress and planning of future activities, sharing lessons learned and best practices arising from the project.
- d) Collaboration agreements reached with other key actors in the region resulting in joint planning and joint implementation of activities, avoidance of duplication, and optimization in the use of resources available to the region.

The specific outputs derived from Outcome 4.2: *Effective project coordination and delivery, meeting agreed measurable outputs and indicators* are:

- a) National Work Plans (maximum 24 months) prepared and agreed for each project country on the basis of country “ABS Roadmaps”.
- b) Technical assistance and feedback provided to all project countries for implementation of their National Work Plans.
- c) Project oversight and coordination structures established and functioning throughout the project lifetime.
- d) Three (3) or more virtual or physical meetings carried out, involving Project Focal Points, national and regional organizations, and key partners, as appropriate, for project planning, coordination and oversight and to provide inputs to project implementation.
- e) End-of-Project Survey to gauge, among project beneficiaries and partners, satisfaction levels regarding project results, management and technical assistance.
- f) Mid Term Evaluation completed with project successes and lessons learned evaluated and used to inform the implementation of the rest of the project.
- g) Terminal Evaluation completed with achievement of project goals and objectives evaluated.

Component 5 Project Management (US\$157,807) Project Management will include basic services needed for project execution such as costs related to office, communication, IT services, and other logistic expenses. Also, it will include costs related to administrative support for project activities such as the generation of financial project reports by project staff. It represents 8.64 % of the total GEF budget.

51. The main difference between component 4 and component 5 is that component 4 embraces the overall project coordination through facilitation of regional meetings, promoting synergies among relevant initiatives and stakeholders as well as networking opportunities. Because this projects relays on important interaction with key stakeholders and other initiatives, at both, regional and national levels, a full component is dedicated to facilitate this interaction. This approach is expected to increase the possibilities of success and leverage of the project, since often regional coordination is considered as an extra activity underestimating its importance and the time required for it. On the other hand, component 5, as described above, will include financial and administrative management.

3.4 Intervention logic and key assumptions

52. While uptake of the Nagoya Protocol has been slow in the Caribbean region, there is an observable pattern of actions towards its implementation and a clear indication of political

interests, as expressed by numerous policy documents which fully embrace the sustainable use of biological and genetic resources, and an unequivocal commitment to obligations contracted under the CBD. The project will build on this ‘fertile’ enabling environment which exists in project countries and will further support the countries to strengthen their policy, legal, and institutional frameworks to maximize their readiness for NP ratification. Actions and processes on the ground in the Caribbean which increase the possibility of success of the proposed project intervention include the fact that Caribbean institutions (such as Iwokrama in Guyana working with the use of biodiversity and traditional knowledge in tropical rainforests, the National Herbarium and the International Cacao Gene Bank of Trinidad & Tobago, the St. Lucia Herbarium, the Jamaica Virtual Herbarium, and the Caribbean Chapter of the Society for Economic Botany) are actively involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge; all project countries have NBSAPs which make varying degrees of reference to traditional knowledge, genetic resources, benefit sharing and the need for an ABS policy framework. Project countries recently defined “ABS Road- Maps” which point to the need for national ABS policies and some countries have identified critical legal, institutional and capacity development steps that must be fulfilled before definitive steps towards NP accession /ratification are taken, including the need for detailed analysis of the legal framework and the need to further educate parliamentarians on the NP and ABS issues.

53. Countries have also established National Biodiversity Committees and are in the process of establishment of National Biosafety Committees which are functional examples of institutional arrangements which can be further developed to accommodate ABS issues. 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 obligations and support the development of models for protocols, minimum requirements for MATs, among others. Given the existence of this initial enabling environment, there is a significant opportunity for the project intervention to be effective both nationally and regionally.
54. During the project preparation phase (PPG), a series of one-on-one project design consultation meetings were held with the CBS, ABS, and GEF Focal Points in project countries, all of whom have expressed their support for the full design and implementation of the project. Similarly, consultations were also held with the CARICOM Secretariat, the OECS, the University of the West Indies, the GIZ ABS Capacity Development Initiative, UNEP-ROLAC and the SCBD, all of who expressed their support and desire to coordinate and collaborate with the proposed project as much as in possible to further develop the process of NP ratification in the Caribbean region. The project countries’ submission of endorsement letters and subsequent co-finance letters further consolidates the enabling environment required for the successful implementation of the project.
55. Key assumptions for the project are:

- a. Counterpart organizations are willing to share information and recognize the usefulness of the data to be produced and knowledge to be generated.
- b. National governments prioritize policy formulation as an essential first step and stakeholders and decision-makers are receptive to incorporating project results into policy formulation processes and value the importance of inter-institutional coordination for policy success.
- c. The identification of common genetic resources can act as a driver for regional policy formulation and integration talks at the OECS and CARICOM levels.
- d. Project stakeholders embrace online forum as a user-friendly, interactive and effective means of communication and information exchange.
- e. Countries recognize the value of COP Side Event and network with each other to maximize presence and participation in same.
- f. Executive Power and Legislature exhibit political leadership in the NP ratification process such that Parliamentarians show interest in ABS and NP and participate in Parliamentary Dialogues.
- g. Entities such as IUCN, OECS, CARICOM, the GIZ ABS Capacity Development Initiative, and the CBD Secretariat contribute to the Regional Strategy to achieve common ABS capacity building goals in the region.
- h. Scientists and researchers volunteer to participate in live on-air discussions on ABS and bio-prospecting.
- i. Local communities and indigenous peoples take an interest in ABS, trust the awareness- raising message and embrace its content.
- j. Countries fully embrace the outputs of the project and institutionalize required processes and strategies in all ABS related activities, including facilitation of personnel participation in training and capacity building opportunities.
- k. Institutions in the region take steps to institutionalize postings and updates of all ABS matters on ABS CH and institutional web pages as part of a permanent internal activity geared towards information exchange.

3.5 Risk analysis and risk management measures

56. Risks that affect the delivery of project outcomes and sustainability over which the project has little or no control are summarized in Table 3 below. Possible mitigation strategies for these risks are also mentioned.

Table 3. 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 8 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

3.6 Consistency with national priorities or plans

57. 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.
58. 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; while Dominica's Second National Communication to UNFCCC defined measures for strengthening the management of forest resources under the Policy on Planning for Adaptation to Climate Change prepared by the Government of Dominica under the regional Caribbean Planning for Adaptation to Climate Change (CPACC) project.
59. The UNEP Regional Office for Latin America and the Caribbean (ROLAC) will support the promotion and integration of the outcomes from this project in the Planning Processes and UNDAFs of target countries, through the UNDAF for Barbados and OECS 2012-2016, as well as provide a platform for dissemination of results, and provision of technical support to countries.

3.7 Incremental cost reasoning

60. **Baseline analysis:** Of the ten countries participating in this Caribbean ABS Project, Grenada has signed the NP, Guyana has acceded to the NP, and the other eight countries have neither signed nor acceded to the NP. However, there have been several efforts in the Caribbean Region, nationally and regionally to advance an understanding of matters concerning access to

genetic resources and benefit sharing. Recent initiatives on ABS in the region have sought to facilitate the understanding of the importance of functional ABS systems and identify main challenges as well as potential opportunities for the development of future ABS agreements. All countries have some level of legislation, policies and strategies that indirectly address access to biological resources, and most countries have ABS/NP roadmaps produced in regional CBD and GIZ ABS workshops during the last 3 years and have been exposed in a very limited way, to varying levels of introduction to ABS/NP implementation requirements. There is a clear interest and an established momentum on the part of Caribbean countries in taking concrete steps towards ratifying the NP, as evidenced by their dedicated and sustained official participation in at least five recent ABS regional events, in addition to having officially endorsed this GEF Caribbean ABS Project. It also is clear, however, that there exists a poor understanding of the implications of ratification of the Nagoya Protocol by Parliamentarians; the current legal framework in the region does not explicitly allow for PIC and participation of ILCs in biodiversity access agreements; the cost-benefit of ABS implementation is poorly understood especially as it relates to bio-prospecting; and there is very limited knowledge of current bioprospecting in the region and of the opportunities and benefits being lost as a consequence of lacking ABS legal and governance structures. These challenges and barriers have made actual ratification of the NP and implementation of an ABS framework in Caribbean countries extremely slow. It is also important to mention that other initiatives such those described on section 2.6 will take place simultaneously with this project; which means that the baseline for this intervention offers substantial opportunities for cooperation, sharing of lessons, and creation of strategic alliances that will contribute to the achievement of project outcomes. In this respect GEF support will come as an increment to current interventions on ABS in the Caribbean region, and will complement important efforts done by actors such as GIZ, UNEP, the participating countries and the CBD.

61. **Without GEF's intervention**, it is anticipated that countries of the Caribbean region would still work towards the ratification of the NP and the implementation of functional ABS systems, but the process would take considerably longer, and it would be more difficult for these countries to fully meet their commitments under the CBD. It would further reduce the understanding and convincing of policy makers that appropriate legal, regulatory, and institutional frameworks are crucial for effective NP-ABS implementation and for the intended benefits to accrue to the countries of the region and the global community. The countries of the Caribbean themselves lack technical expertise in ABS systems and without the provision of technical support, the development of required ABS frameworks may be deficient and weak, resulting in an ineffective implementation of the NP. This would also result in low investor confidence on the part of international biotechnology and pharmaceutical companies, who may interpret an inappropriate legal and institutional ABS framework as a high risk environment for investments in biotechnology development. The serious lack of human capacity in ABS issues, and especially among the personnel of line ministries dealing with access and permitting of biological and genetic resources will remain low, and the broader need to create a regional cadre of Caribbean ABS Experts may be far-fetched. Additionally, technical expertise and negotiation skills required to address the development of PIC, MAT and benefit-sharing agreements will continue to be deficient, with the imminent effect of continued weak regulation of bio-

prospecting and the use of traditional knowledge, i.e., ILCs in the region will be exposed to exploitation and being incapable of protecting their interests to ensure that they receive fair benefits to be accrued from the commercial use of biological and genetic resources and of traditional knowledge. In summary, despite the efforts being made by the countries of the region, there are still substantial barriers to be removed before the NP is widely ratified in the region and ABS implementation systems are in place. Without the GEF's intervention, the existing momentum towards ABS implementation will be lost and countries of the region will not move beyond the current baseline scenario. Other initiatives will continue to provide support and create capacity on ABS for the region; nonetheless the amount of resource, time and expertise needed to make a tangible change in the baseline will require collaborative actions from various donors/institutions/actors.

62. **GEF Alternative:** The GEF alternative will help to develop the readiness of the project countries for ABS implementation and eventual ratification of the Nagoya Protocol, with the clear recognition of the fact that some countries may be in a position to ratify /accede faster than others, based on their own legal systems and national procedures. Support will be provided for a Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of main Applications of Traditional Knowledge in the region, as a baseline against which National ABS Policies and a Regional ABS Policy will be developed. The legal framework will be strengthened through the preparation of Draft ABS Bills and Regulations to facilitate ABS implementation at the national level, while support will be provided to build the necessary institutional and human capacity within key agencies crucial for the implementation of the ABS framework, with particular attention to steps necessary that will lead to the designation of Competent National Authorities and National Focal Points where these have not been officially designated. Capacity will be further strengthened through awareness building and training to stakeholders that are key for NP implementation to be effective, especially parliamentarians, officers of frontline ministries, indigenous communities and researchers, in addition to training in the drafting of methodologies that could be used by the countries for creating Traditional Knowledge and Genetic Resources inventories. Support will also be provided for the development of 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, and capacity building to create a Roster of Caribbean ABS Experts.
63. The GEF alternative will increase the region's attractiveness for biotechnology development and investment through well-structured ABS regimes that are organized, professional and fair, and are inclusive of mechanisms to facilitate access applications, the protection of the region's traditional knowledge, and will strengthen the case for more assertive biodiversity conservation. Likewise it will contribute to a more effective and transparent use of genetic resources that are currently being used in the region. GEF contribution would remove critical barriers through technical advice, capacity building, and strengthening of the legal and institutional framework, in order to maximize the global and local benefits that may be derived from proper ABS implementation.

64. **Global Benefits:** The project will contribute directly toward global compliance in achieving the Aichi Biodiversity 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.”. Strengthening of ABS systems and eventual ratification of the Nagoya Protocol by countries in the Caribbean will create a suitable environment for genetic resource protection and conservation, and the proper sharing of benefits will improve the environmental conditions in the region, thus the global environment will benefit from the general safeguard of natural resources and associated traditional knowledge, and from enhancing the regional recognition and acceptance for the value of biodiversity in such a unique hotspot as the Caribbean.
65. The development of national ABS frameworks and the definition and implementation of regional ABS priorities will facilitate sustainable and cost-effective use of the biological resources and ensure that the benefits will accrue to the region, the countries, and the local communities where biological and genetic resources occur, in direct support of the CBD’s third objective. The project will therefore have a direct impact on safeguarding genetic diversity of global importance and the overall implementation of the CBD, and will specifically contribute to the conservation and sustainable use of 2.6 percent of the world’s 300,000 plant species and 3.5 percent of the world’s 27,298 vertebrate species, all of which are endemic to the Caribbean. Additionally, enhanced conservation of marine biodiversity will inevitably translate into to better protection of habitats that are critical for migratory species such as the great North Atlantic humpback whale, which reproduces in the northern Caribbean region.

3.8 Sustainability

66. The project will identify, and where possible set up, sustainability mechanisms for supporting countries in the future, well past the life of the project by creating networks, policy frameworks, operational guidelines, regional strategies that could be implemented by regional entities such as CARICOM and OECS as well as national government agencies. In this sense, OECS has already provided a co-financing letter committing not only resources, but also its political willingness to promote within OECS countries an enabling environment for ABS policies and instruments. As well, CARICOM has expressed its support to the project, which will be further explored in the near future to specify more concrete areas of coordination.
67. The project will also promote the creation of coordination mechanisms such as a Virtual ABS Policy Forum and project website, which could be used as tool to provide relevant ABS information such as 1. Contacts of international/regional experts on issues related to ABS so that countries have access to this roster, 2. Stocktaking of genetic resources and traditional knowledge at regional level, 3. To share project products and other useful information, 4. A regional database of research activities in the Caribbean region, linked to existing CHMs such as the one administered by the CBD or institutional web pages in the region, and the promotion of public-private sector interactions on Caribbean ABS platforms.
68. The project will further assist the region in the definition of regional strategic priorities and actions for NP implementation that will be relevant way beyond the life of the project, through a Regional ABS Strategic Plan, with country-specific ABS roadmaps which will seek to guide the continuation of interventions in countries as they seek to consolidate their ABS implementation mechanisms.

69. The development of a suitable framework for ABS, inclusive Draft ABS Bills, regulations, strengthening of the institutional framework, ABS awareness to all stakeholders including Parliamentarians and ILCs, and capacity building for the Competent National Authorities, ABS Focal Points and line ministries will provide a robust legal and institutional foundation for the appropriate development and consolidation of ABS implementation systems. Additionally, a well-developed ABS framework will enhance the country's attractiveness for biotechnology development such as pharmaceuticals and cosmetics, with proceeds being produced to further strengthen the framework and refine the ABS Business Model of the region, providing an incremental level of sustainability to the project's outcomes. The very fundamental principle of ABS implementation is fair and equitable distribution of benefits, therefore an appropriate ABS framework will bring positive socioeconomic impacts to the countries and region, and especially to ILCs, adding to the socioeconomic sustainability of project outcomes.

3.9 Replication

70. The outcomes of the project will be made available for replication through the systematization and dissemination of project results, lessons learned and experiences in the development of ABS implementation systems in the Caribbean. Successful examples of processes employed in the development of ABS agreements such as MAT and PIC inclusive of the participation of ILCs will be extremely useful for countries and regions around the world that are in the process of or are yet to develop their ABS implementation systems. This will be achieved by making project information available through the project's website, the websites of the project's Focal Point Ministries, regional CHMs, the ABS Policy Forum, and Informative Media Programs for researchers and scientists, through participation in international fora such as a Caribbean Side Event at the CBD Conference of the Parties and through regional project coordination meetings. Geographically, the project's best practices and lessons learned can be easily extrapolated to the wider Caribbean to include Spanish, Dutch and French speaking countries, through alliances and partnerships with other key players active in ABS in the region, through bilateral agreements between individual governments, or through regional integration mechanisms such as CARICOM, CARIFORUM, and the OECS. Moreover, because of the holistic approach of the project, where various issues related to policy and regulatory frameworks development, strategic planning and coordination, capacity building, amongst other; the project could serve as a model not only for future ABS intervention, but for other projects on different areas that may benefit from a similar approach. For instance, implementation of biosafety frameworks, creation of regional strategies, and compliance with other CBD elements.

3.10 Public awareness, communications and mainstreaming strategy

71. This project has identified increased public awareness as to the implications of NP ratification and the requirements for ABS implementation as a specific goal. Targeted communication and outreach to CBD Focal Points, ABS Focal Points, Parliamentarians, researchers, ILCs, and representatives from ABS line ministries and agencies tasked with managing the permitting process and access to biological and genetic resources will be conducted with the explicit purpose of building ABS capacity, as part of a broader objective to develop an ABS framework. Stakeholder public awareness, outreach and participation at the country level will include the 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 (CARICOM, GIZ CDI, SCBD) and the sub-regional (OECS) levels, stakeholder engagement

will feature 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.

72. The project will work to mainstream ABS implementation into the development plans and work programs of public institutions responsible for ABS and for access to biological and genetic resources, initially through the Regional ABS Strategic Plan and through national country roadmaps, and then through the provision of support for the development of Draft ABS Policies, ABS Bills, ABS Regulations, and Implementation Guidelines. The development and implementation of standardized protocols and training manuals of key personnel from a variety of institutions relevant for ABS implementation will also assist to mainstream ABS across institutions.

3.11 Environmental and social safeguards

73. This project is expected to achieve positive environmental and social 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 and 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.
74. The monitoring and evaluation of project impacts will enable the Project Management Team to reassess project intervention strategies and make revisions as needed to strengthen environmental and social outcomes.

SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS

75. **Institutional framework:** Project internal and external structure diagrams are presented in detail in Appendix 9. The project has a two-tier approach concerning institutional arrangements. The first tier is composed of the Implementing and Executing agencies (UNEP and IUCN respectively). The regional coordination and overall project supervision will be responsibility of the abovementioned organizations; and project execution at a regional level will be responsibility of IUCN as the project's EA. Along the same lines, UNEP's TM will provide support and work closely with EA's personnel, who will carry out all project management related issues. The second tier is composed by the national counterparts, represented by a national project focal point, which has been designated at the PIF stage and reconfirmed during the PPG process. The national teams will be then responsible for ensuring that project outputs related to national interventions are produced. Moreover, the national project focal points will liaise with the local coordination consultants, guiding them and providing the necessary means to execute activities at a national level.

76. Highly trained, UNEP professionals have experience in a wide variety of interventions related to this project. The Task Manager for this project is stationed in Panama and will remain in constant communication with the PM and the project team during its execution period. Moreover the UNEP TM will also be in contact with countries focal points through the meetings of the regional steering committee. The project management unit will be based in IUCN-Mesoamerica offices in San José, Costa Rica, where local personnel possess great experience in ABS interventions, which is an asset for proper project implementation and backstopping.
77. **Implementation arrangement:** Project internal and external structure diagrams are presented in Appendix 9. Project Headquarters (PH) will be located in Costa Rica. Staff working out of the office include the Project Manager (PM), supervisor, Finance Officer, and Project Administrative Assistant. Local and international consultants will be hired to support project execution.
78. It is important to mention that despite the fact that neither UNEP nor IUCN have their main regional offices based in the Caribbean, both institutions have the necessary means and institutional capacity to implement actions beyond the territory where their main offices are, as has been the case of similar projects for the region. Additionally, UNEP will be opening a sub-regional office in Jamaica, and therefore alternative channels for cooperation, and or interaction will be eventually assessed at the time of the inception workshop. The project has however been designed in a way that the main actions will take place in the Caribbean region, mainly through country visits, the national coordination consultants, and the time that the regional project manager will spend in the region.
79. The Regional Steering Committee (RSC): In practical terms the RSC is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. Conclusions and recommendations produced by the SC will be taken into consideration by UNEP and the PM to improve implementation strategies, annual work plans and resources allocation budget and, when necessary, to adjust the project's Result Framework. This committee will meet every six months, either physically or virtually.
80. A decision-making flowchart and organizational scheme is presented in Appendix 9.

SECTION 5: STAKEHOLDER PARTICIPATION

81. Stakeholders participated in the identification of project priorities and in the definition of planned outputs and outcomes during interviews, consultations and teleconferences. All project countries had the opportunity to review and comment on proposed project activities and to provide specific inputs to the project formulation process. As mentioned elsewhere in this project document, 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.

SECTION 6: MONITORING AND EVALUATION PLAN

82. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.
83. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome. These indicators along with the key deliverables and benchmarks included in Appendix 6 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, Appendix 4.
84. A costed first draft of project M&E Plan is presented in Appendix 7. Costs mentioned in this tool are fully integrated in the project budget, presented in Appendix 1.
85. 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.
86. 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.
87. 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.
88. 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 finalized. 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.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1 Overall project budget

89. The overall project budget is presented in detail in Appendix 1 (budget by project components, by year and UNEP budget lines) and Appendix 2 (co-financing by source and UNEP budget lines).

Cost to the GEF Trust Fund	1,826,000	32.40%
Co-financing Total	3,809, 257	67.60%

7.2 Project co-financing

90. Co-financing by project budget lines is presented in Appendix 2.

7.3 Project cost-effectiveness

91. 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.
92. 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.

93. 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.
94. 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.

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List of Appendices

- Appendix 1:** Budget by project components and UNEP budget lines
- Appendix 2:** Co-financing by source and UNEP budget lines
- Appendix 3:** Incremental cost analysis
- Appendix 4:** Results Framework
- Appendix 5:** Workplan and timetable
- Appendix 6:** Key deliverables and benchmarks
- Appendix 7:** Costed M&E plan
- Appendix 8:** Summary of reporting requirements and responsibilities
- Appendix 9:** Decision-making flowchart and organizational chart
- Appendix 10:** Terms of Reference
- Appendix 11:** Co-financing commitment letters from project partners
- Appendix 12:** Endorsement letters of GEF National Focal
- Appendix 13:** Draft procurement plan
- Appendix 14:** Responses to reviewers

Appendix 1: Budget by project components and UNEP budget lines

See separate excel file

Appendix 2: Co-financing by source and UNEP budget lines

See separate excel file

Appendix 3: Incremental cost analysis

BASELINE	ALTERNATIVE	INCREMENT
(B)	(A)	(B) – (A)
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation		
<u>Outcome 1.1:</u> Without the GEF intervention, regional assessments on common biological resources subject to bio-prospecting or shared ABS assets and values will continue to be lacking to identify specific gaps, and to guide ABS policy formulation in the region, and the documentation of the Use of Biological Resources and associated Traditional Knowledge will continue to be limited.	Scientific Study on Bio-prospecting in the Caribbean Region and Stocktaking of main Applications of Traditional Knowledge in the region will provide baseline knowledge against which National ABS Policies and a Regional ABS Policy will be developed, and providing an expanded knowledge base.	Knowledge base needed for National ABS Policies and a Regional ABS Policy addressed; Draft National and Regional Policies developed; Caribbean ABS Experts trained, ABS communication networks established, and Inter-institutional coordinating mechanisms for ABS created.
<u>Outcome 1.2:</u> The lack of an ABS enabling environment at both the national and regional levels will restrict the pace at which active ABS implementation can evolve from being only ‘statements of good intentions’ in NBSAPs and other national strategies and plans.	National ABS Policies and a Regional ABS Policy for the Caribbean will create an enabling framework for the strengthening of ABS implementation across the region based on a common vision.	
<u>Outcome 1.3:</u> The absence of specific ABS communication and coordination networks and trained Caribbean ABS Experts will continue to limit countries’ understanding of their national assets/values and requirements for ABS implementation in a regional context.	A Project Website and Virtual Regional ABS Policy Forum that is fully functional and hosted within an established Caribbean institution, a cadre of Caribbean ABS Experts and Caribbean-specific ABS events will help to maximize understanding of the strategic advantages of embracing ABS implementation within a regional context.	
COMPONENT 2: Uptake of the Nagoya Protocol		
<u>Outcome 2.1:</u> Without the GEF intervention, countries will not fully understand and appreciate the critical legal, institutional and capacity development steps that must be fulfilled before definitive steps towards NP accession /ratification are taken, thus delaying political buy-in by Parliamentarians, and the region will continue to lack a cohesive approach to address ABS at a	A detailed analysis of the legal framework in project countries will improve the level of understanding by national legislators of the legal and institutional reforms needed to prepare countries for NP ratification, and a Regional ABS Strategy and Action Plan, that orients and converges regional efforts for ABS capacity building will support regional prioritization for on-the-ground actions and a	Knowledge gap of the legal, institutional and capacity development steps that must be fulfilled before definitive steps towards NP accession is addressed and strategy for coordinated on-the-ground ABS capacity building defined.

BASELINE	ALTERNATIVE	INCREMENT
(B)	(A)	(B) – (A)
regional scale.	coordinated and strategic approach to ABS capacity building.	
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the basic provisions of the NP		
<p><u>Outcome 3.1:</u> Without targeted awareness-raising support, the broader ABS stakeholder groups beyond Parliamentarians, including officers from frontline ministries, staff of key institutions, researchers, scientists, and indigenous peoples will continue to lack the level of appreciation required to ensure their participation for successful ABS implementation.</p> <p>Similarly, there is substantial lack of administrative and technical tools to facilitate the effective implementation of ABS on the ground in the countries of the project.</p>	<p>Support to develop and implement a series of awareness raising interventions including Parliamentary Dialogues, Inter-Institutional Workshops, Radio & TV Discussions on ABS by Researchers, and Radio & TV Spots in English and Indigenous Languages will bridge the awareness and knowledge gap of stakeholders that are crucial to successful ABS implementation.</p> <p>Also, GEF support in the development of essential tools such as ABS operational guidelines, Standardized Training Manual/Protocols for capacity building, Standardized Templates for ABS Agreements, Protocols for PIC & MAT developed with ILCs, Standardized methodology for ABS inventories, and an ABS Business Model will create the institutional capacity needed to enhance the readiness of project countries for NP uptake and their attractiveness for biotechnology development.</p> <p>Support for the creation of ABS information management systems and Web-based regional informational modules of Caribbean Biological Resources and associated Traditional Knowledge of potential bio-prospecting value will contribute significantly to the sustainability of the project outcomes.</p>	<p>An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol and will place countries on a solid path towards consolidating their ABS Implementation Systems.</p>
COMPONENT 4: Regional Coordination, technical support and capacity development		
<p><u>Outcome 4.1:</u> ABS is not currently seen as a multi-sector and multi-disciplinary theme which cuts across many different instances of government, non-government organizations, and local communities, and unless the project creates the spaces and the opportunities for all interests to</p>	<p>Provisions in the project for operational collaboration agreements to be reached with other partner(s) and for ABS activities to be jointly organized and implemented in the region will optimize the use of resources available to the region for ABS implementation, will maximize the</p>	

BASELINE	ALTERNATIVE	INCREMENT
(B)	(A)	(B) – (A)
<p>come together, including other regional actors, ABS implementation will meet many obstacles and perceptions of duplication, and project implementation itself will be difficult.</p>	<p>return on investment, and will enhance the impact of project outcomes in the best interest of the region and of the global environment.</p>	<p>Countries share information and gain from the experiences of other countries, the need for multi-stakeholder participation addressed and project constituents satisfied with overall project outputs and outcomes.</p>
<p><u>Outcome 4.2:</u> Without strategic coordination, technical support and capacity development of all project stakeholders, the timely and quality delivery of project outputs and their mainstreaming into national ABS implementation work plans may be limited, seriously affecting anticipated project impact and sustainability.</p>	<p>Support for one-on-one interactions between project countries, project partners, and other ABS actors in the region will facilitate the integration and mainstreaming of ABS into National Institutional Work Plans and will allow for timely coordination and oversight of project activities, with the achievement of satisfactory project performance and outputs, and ultimately a satisfactory project terminal evaluation.</p>	

Appendix 4: Results Framework

<i>Project Objective: Seeking uptake of the Nagoya Protocol and implementation of key measures to make the protocol operational in Caribbean countries</i>						
OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.						
Outcome 1.1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.	1.1.1 bio-prospecting activities, and common biological resources and traditional knowledge identified in the Caribbean region.	<p>Regional assessments on common biological resources subject to bio-prospecting or shared ABS assets and values are not available to identify specific gaps, and to guide ABS policy formulation.</p> <p>Several Caribbean institutions are actively involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge</p>	<p>Scientific Study documenting past and current Bio-prospecting in the project countries completed and disseminated by PY1</p> <p>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.</p>	<p>At least three (3) Information Sheets are being used to disseminate: (a) common biological resources and Traditional Knowledge applications (b) expertise of non-regulatory Caribbean institutions that address the Use of Biological Resources and associated Traditional Knowledge Stocktaking of Applications of Traditional Knowledge associated with</p>	<p>Bio-prospecting records (licenses & agreements) and interview records used in preparation of Scientific Study</p> <p>Survey (blank and completed formats) and study report on common biological resources/assets and applications of traditional knowledge</p> <p>Information Sheets in printed and digital format</p> <p>Stocktaking reports on non-regulatory organizations and Traditional Knowledge applications</p>	<p>Counterpart organizations are willing to share information and recognize the usefulness of the data to be produced and knowledge to be generated.</p> <p>National governments prioritize policy formulation as an essential first step</p> <p>Stakeholders and decision-makers are receptive to incorporating project results into policy formulation processes and value the importance of inter-institutional</p>

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.						
		GIZ's ABS Capacity Development Initiative has produced a newsletter on the Relevance of Marine Bio-prospecting for ABS Frameworks focusing on Articles 2 & 51 of the Nagoya Protocol, and highlighting a few source species for pharmaceuticals.	Stocktaking of Applications of Traditional Knowledge associated with biological resources completed by PY2 Contract local consultants assistance	biological resources		coordination for policy success. The identification of common genetic resources can act as a driver for regional policy formulation and integration talks at the OECS and CARICOM levels. Project stakeholders embrace online forum as a user-friendly, interactive and effective means of communication and information exchange.
Outcome 1.2: Future directions of policy development for the region are defined	1.2.1 Number of new Draft ABS Policies formulated or updated and means used to disseminate them.	Only Guyana has a formal ABS policy. All project countries have NBSAPs which make varying degrees of reference to traditional knowledge, genetic resources, benefit sharing and the need for an ABS policy framework.	At least two (2) new Draft ABS Policies formulated by end of PY 2. One Draft Regional Policy for the Caribbean which creates an enabling framework for	At least five (5) new Draft ABS Policies formulated, or existing policies updated.	Drafts of new and updated ABS Policies Official communications and cover letters from technical ministry to the Cabinet for consideration	Countries recognize the value of COP Side Event and network with each other to maximize presence and participation in same.

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.						
		<p>Countries' recently defined "ABS Road-Maps" point to the need for national ABS policies.</p> <p>Common policy for ABS undefined in the Caribbean Region.</p> <p>Few organizations (e.g. CARICOM Secretariat and GIZ ABS Capacity Development Initiative) are disseminating information on ABS policy progress in the Caribbean</p>	ABS based on a common vision formulated and disseminated by PY2.	<p>One Draft Regional Policy which creates an enabling framework for ABS formally presented to the CARICOM Secretariat, by at least two (2) project countries, requesting initiation of a regional political consultation on same.</p> <p>At least five (5) institutions have published ABS policy-related information on their websites, annual reports or bulletins.</p>	<p>Draft Regional Policy document</p> <p>Official communications from countries to the CARICOM Secretariat regarding the Draft Regional Policy.</p> <p>Contents of institutional websites, annual reports or bulletins in relation to ABS.</p>	Potential experts from the region show interest in being on a regional roster and part of an experts network.

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.						
Outcome 1.3: Countries understand their national assets/values and requirements in a regional context	1.3.1 Number countries participating of regional initiatives such as the Virtual Regional ABS Forum, Caribbean ABS side-event at COP, and nomination of regional ABS experts.	<p>While the countries of the Caribbean work closely through regionally established mechanisms such as the CARICOM and the OECS, specific ABS communication and coordination networks do not exist.</p> <p>Countries have participated in regional ABS events organized by the CBD or the GIZ ABS Capacity Development Initiative</p> <p>A formally recognized list of Regional ABS Experts is needed in order to promote South-South cooperation and build capacity within the Caribbean region.</p>	<p>Project Website and Virtual Regional ABS Forum established under IUCN management initially.</p> <p>A list of priority topics defined by PY1 to orient contents and dynamics of the Project Website and Virtual Regional ABS Forum</p> <p>At least 10 experts have been identified as ABS experts for the Caribbean region by the end of PY2.</p>	<p>Virtual Regional ABS Forum is fully functional, hosted within an established Caribbean institution and has achieved at least 200 registrations, enquiries, and hits.</p> <p>At least 1 side-event is organized at CBD COP attracting at least 50% Caribbean participants</p>	<p>Registration records, enquiries, and hits on the Project website and Virtual Regional ABS Forum</p> <p>List of prioritized topics for uptake into the Project Website and Virtual Regional ABS Forum</p> <p>Official IUCN and/or UNEP communications on CBS COP Side Event.</p> <p>Agenda, invitation list, participants' list written and photographic</p>	

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.						
				At least 30 experts have been nominated as ABS experts for the wider Caribbean region.	records of the CBD COP side- event Letters of nomination of ABS experts from Caribbean countries	
	1.3.2 Number of countries with inter-institutional coordination reflected in ABS National Work Plans	Inter-institutional coordinating mechanisms for ABS absent or minimal in project countries and at regional level.	By PY2 at least 4 project countries show leadership in actively coordinating with relevant national and regional institutions	Project countries are active in coordinating with relevant national and regional institutions.	Institutional communications, meeting minutes and TORs for work relating to inter-institutional coordination	

COMPONENT 1 - OUTPUTS:

For Outcome 1.1:

1. Scientific Study on Bio-prospecting in the Caribbean Region produced and disseminated
2. Stocktaking of main Applications of Traditional Knowledge associated with biological resources, generated on the basis of various information sources including a survey completed by a minimum of 50 key stakeholders (linked to web-paged modular Regional Inventory output in Comp 3).
3. Stocktaking of the expertise of non-regulatory organizations involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge in the Caribbean
4. Information Sheets produced on the basis of the regional stock-takings in relation to bio-prospecting, common biological resources, traditional knowledge and related institutions in the Caribbean, distributed widely at events and key locations and forums, on-line and in printed format.

For Outcome 1.2:

1. ABS Policies produced as national drafts or updated versions of existing policies or strategies.
2. Draft Regional ABS Policy that describes a common vision and shared principles for ABS in the Caribbean.
3. Summarized information items produced to disseminate policy-related progress at the national and regional levels, through websites, bulletins, annual reports and other means as relevant.

For Outcome 1.3:

1. Project Website and Virtual Regional ABS Forum serving as openly-accessible platforms for dissemination, exchanges, collaboration, and monitoring.
2. CBD COP side-event on Caribbean ABS with a high level of Caribbean participation and in collaboration with partner initiatives in the region.
3. Roster of ABS experts for the region.
4. Inter-institutional coordination included in ABS National Work Plans for at least 5 project countries

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 2: Uptake of the Nagoya Protocol.						
Outcome 2.1: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation	2.1.1 Number of Draft ABS Bills or Regulations formulated.	Some countries have identified critical legal, institutional and capacity development steps that must be fulfilled before definitive steps towards NP accession /ratification are taken, but detailed analysis of the legal framework ¹ is still lacking in most countries for legislators to fully understand NP. A Model ABS Legislation was developed for the Caribbean by the CARICOM Secretariat in 2013.	Assessment of Legal Framework to identify legislative overlaps and implications for NP ratification initiated for eight (8) project countries by PY1. Draft ABS Bills or Regulations formulated in at least two (2) countries by end of PY2.	Assessment of Legal Framework to identify legislative overlaps and implications for NP ratification completed for eight (8) project countries. Draft ABS Bills or Regulations formulated in at least five (5) countries.	Reports of, and comments to, the Assessments of Legal Frameworks Cabinet Papers that highlight legislative and Regulatory needs and the benefits and opportunities of NP ratification. Draft Bills presented to the National Assembly or Congress	National authorities are receptive to recommendations produced in the assessments of existing legal frameworks for ABS and embrace these recommendations. Executive Power and Legislature exhibit political leadership in the NP ratification processes. Entities such as IUCN, OECS, CARICOM, the GIZ ABS Capacity Development Initiative, and the CBD Secretariat contribute to the Regional Strategy to achieve common ABS capacity building goals in the region.
	2.1.2 Number of Nagoya Protocol ratification/accession requests from the Executive Power to the Attorney General.	Only Jamaica has made a ratification/ accession request to the Attorney General.	At least one (1) country submitted Nagoya Protocol Ratification Requests from the Executive Power to the Attorney General by project mid- term.	At least three (3) countries have submitted Nagoya Protocol ratification /accession requests from the Executive Power to the Attorney General.	Regulations presented by the Executive to the Cabinet for endorsement. Cover letters from the Executive with a ratification request to the Attorney General.	

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 2: Uptake of the Nagoya Protocol.						
	2.1.3 Number of regional strategic actions and country specific targets identified for 2016-2021 and prioritized for implementation through 2018.	A Regional Strategy and Action Plan, that orients and converges regional efforts for ABS capacity building, is lacking	Regional Strategy and Action Plan to guide future ABS actions, collaboration and fund raising opportunities, formulated and agreed with regional partners by PY1.	2018 targets of Regional Strategy and Action Plan attained, with an overall implementation of 20%.	2017 & 2018 targets of the Regional Strategy and Action plan reflected in National Work Plans for project implementation.	

COMPONENT 2 - OUTPUTS:

For Outcome 2.1:

1. Assessment of existing national Legal Frameworks attending to legislative overlaps and mandates, and the implications of ratification of the Nagoya Protocol completed, and being used to prioritize interventions in project countries in support of the Nagoya Protocol.
2. Cabinet Papers produced to highlight legislative and regulatory needs and the benefits and opportunities of NP ratification.
3. Draft ABS Bill or Regulations formulated.
4. Nagoya Protocol ratification requests from the Executive Power to the Attorney General.
5. A Regional Strategy and Action Plan (2016-2021) that orients and converges regional efforts for ABS capacity building, sets common ABS capacity building goals for the Caribbean, collaboration and fund raising opportunities.

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 3: Implementation of the Nagoya Protocol and establishing an enabling environment for the basic provisions of the NP.						
Outcome 3.1: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol	3.1.1 Number of awareness raising mechanisms used to target parliamentarians, institutions, researchers, and indigenous peoples, including indigenous women.	<p>GIZ produced a Conceptual Guide and Toolkit for Practitioners called “Strategic Communications for ABS”, which defines what needs to be communicated, strategizing the communication, negotiations, message content, and monitoring & evaluation of ABS communication strategies.</p> <p>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 throughout the region, with few exceptions.</p>	<p>By PY2, at least one (1) awareness-raising dialogue for parliamentarians inclusive of in-situ exposure to bio-prospecting.</p> <p>At least ten (10) inter- institutional workshops for ABS consultations and awareness raising held by project mid-term.</p> <p>Radio and TV discussion on ABS with scientists, lawyers, and researchers held by PY2 in at least two (2) countries.</p> <p>ABS Awareness Raising for Indigenous Peoples through local radio spots produced and aired in indigenous language in at least two (2) countries by PY2</p>	<p>At least two (2) awareness- raising dialogues for parliamentarians inclusive of in- situ exposure to bio-prospecting.</p> <p>At least twenty (20) national inter- institutional workshops for ABS consultations and awareness-raising.</p> <p>Radio and TV discussion on ABS with scientists and researchers held in at least four (4) countries.</p> <p>At least two (2) batches of posters and banners produced for targeted placement in all project countries.</p>	<p>Invitation letters, agenda, completed registration forms, photos, videos, and written report of Parliamentary Dialogues.</p> <p>Invitation letters, agenda, completed registration forms, photos, videos, and written report of Inter-Institutional Workshops.</p> <p>Copy of TV and Radio scripts, audio copy, and video copy of ABS Scientific Discussions.</p> <p>Posters and banners available to all project countries.</p> <p>Copy of Radio Spot script and audio copy of Radio Spot.</p>	<p>Parliamentarians show interest in ABS and NP and participate in Parliamentary Dialogues.</p> <p>Executive leadership recognizes the value of ABS awareness for frontline officers and facilitate their participation in workshops.</p> <p>Scientists and researchers volunteer to participate in live on-air discussions on ABS and bio-prospecting.</p> <p>Local communities and indigenous peoples take an interest in ABS, trust the awareness-raising message and embrace its content.</p>

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP.						
		<p>No country has ABS developed operational guidelines.</p> <p>Countries have established National Biodiversity Committees and National Biosafety Committees, some of which are tasked with addressing ABS.</p>	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.	<p>ABS Awareness Raising for Indigenous Peoples through local radio spots produced and aired in indigenous language in at least five (5) countries</p> <p>Operational Guidelines for Implementing ABS policies at the national level with institutional roles and responsibilities adopted in at least five (5) countries, and presented to relevant institutions through workshops.</p>	<p>Operational guidelines in draft and finalized versions</p> <p>Workshop agenda, participants list and minutes for presenting Operational Guidelines for relevant institutions</p>	<p>Countries fully embrace the outputs of the project and institutionalize required processes and strategies in all ABS related activities, including facilitation of personnel participation in training and capacity building opportunities.</p> <p>Indigenous communities have confidence in ABS processes driven by the governments and the project, and embrace project support in the fullest.</p>

OBJECTIVES , OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP.						
	3.1.2 Number of key stakeholders (including indigenous communities and indigenous women) and line agencies using clear ABS procedures and guidelines, with knowledge of the instruments and ABS matters.	<p>A Standardized Training Manual/Protocols for ABS capacity building has not been developed tailored to the Caribbean.</p> <p>ABS Training of Trainers has not been carried out in the Caribbean.</p> <p>Standardized Templates for ABS Agreements have not been produced tailored to the Caribbean.</p> <p>No indigenous communities of the Caribbean have developed Protocols for PIC & MAT.</p>	<p>At least three (3) key line agencies in the Caribbean region have used the Standardized Training Manual for ABS by PY2.</p> <p>At least three (3) countries in the region adopted Standardized Templates for ABS Agreements by PY2.</p>	<p>At least five (5) key line agencies in the Caribbean region have used the Standardized Training Manual for ABS.</p> <p>At least twenty (20) Caribbean trainers trained.</p> <p>At least six (6) countries in the region adopted Standardized Templates for ABS Agreements.</p> <p>At least two (2) indigenous communities with Protocols in place for PIC & MAT.</p>	<p>National training course agenda, material and evaluations clearly reflecting use of content from standardized training manual.</p> <p>Training registration forms; copies of certificates issued; final training course participants lists.</p> <p>Postings on institutional web pages and/or ABS Clearing House illustrate commonality in templates being used by project countries.</p>	<p>Institutions in the region take steps to institutionalize postings and updates of all ABS matters on ABS CH and institutional web pages as part of a permanent internal activity geared towards information exchange.</p> <p>Researchers are amenable to sharing information on which Biological Resources and associated Traditional Knowledge are being researched, and to being approached by bio-prospectors.</p>

OBJECTIVES , OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP.						
	.	Standardized methodology for ABS inventories does not exist in the region.		Standardized Methodology for the creation of national registers developed and available for use by countries.	PIC and MAT Protocols available on the internet (e.g. ABS Virtual Forum or ABS Clearing House) and in printed format Standardized methodology is available on project website for download by the public and is mentioned by scientists and researchers on TV and radio programs.	
	3.1.3 Number of countries using the ABS Clearing House as an information exchange and monitoring mechanism.	ABS networks and information management systems, as key sustainability elements, are absent in project countries, even though general Biodiversity CHMs exist on institutional webpages for some countries.	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.	All countries received technical assistance and use the ABS Clearing House as an information exchange and monitoring mechanism.	Registration and other records of country ABS information found on CHMs, institutional web pages or ABS Clearing House.	

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP.						
	3.1.4 Number of users that are accessing web-based modules of regional desktop studies based on published data on Caribbean Biological (Genetic) Resources and associated Traditional Knowledge of potential bio-prospecting value	Web-based regional informational modules of Caribbean Biological Resources and associated Traditional Knowledge of potential bio-prospecting value do not exist in the region.	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.	At least fifty (50) users are tallied as accessing web-based inventory modules on Research into Caribbean Biological Resources and associated Traditional Knowledge	Searchable web-based modules accessible through institutional web sites and/or existing CHMs, and include hits count.	
	3.1.5 Number of countries using a Business Model for Regulated Bio-prospecting to inform their decisions on ABS agreements.	The cost-benefit of regulated bioprospecting and ABS implementation is poorly understood.	Business Model for regulated bio-prospecting developed by PY2.	At least two (2) countries using ABS Business Model as a guide for negotiations and decisions with users.	ABS Business Model posted on project website and commented on through the ABS Virtual Forum. ABS Agreements (templates or actual agreements) clearly reflect principles and strategies defined in ABS Business Model.	

COMPONENT 3 - OUTPUTS:

For Outcome 3.1:

1. ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bio-prospecting for awareness-raising regarding ABS and the Nagoya Protocol
2. Inter-institutional workshops for officials of ABS frontline ministries, as well as for consultations and awareness-raising with other relevant sectors.
3. Radio interviews and TV air-time discussions with researchers to highlight the risks, opportunities and challenges with ABS and bio-prospecting
4. Posters and banners for targeted placement in all project countries.
5. Local radio spots produced and aired in indigenous language for ABS awareness-raising for Indigenous Peoples.
6. Operational Guidelines for Implementing ABS policies at the national level (institutional roles and responsibilities).
7. Standardized Training Manual for ABS Implementation developed and used among key line agencies engaged in ABS throughout the region.
8. At least twenty (20) trainers trained, with trainers identified on a Regional ABS Experts Roster, and available to provide expertise in the development of ABS capacity in the region.
9. Standardized Templates for ABS agreements for use through-out the Caribbean Region
10. Protocols for PIC developed with indigenous communities.
11. Standardized Methodology for the creation of national registers of marine and terrestrial biological resources.
12. Technical Assistance provided in the use of the ABS Clearing House as an exchange and monitoring mechanism (e.g. for approved permits and agreements).
13. A searchable Regional Identification structured as web-based modules on Research into Caribbean Biological Resources and associated Traditional Knowledge, created on existing CHMs or institutional web pages (Linked to studies of Comp 1).
14. Business Model for Countries of the Caribbean which highlights multiple economic scenarios possible through regulated bio-prospecting available as a tool for countries in their national ABS decision-making and negotiation processes.

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 4: Regional Coordination, technical support and capacity development.						
Outcome 4.1: Countries share information and gain from the experiences of other countries	4.1.1 Number of country representatives and regional institutions involved in generation and review of project outputs, planning of future activities, and sharing of lessons learnt and best practices, including gender oriented methodology.	Only at project end can a full estimation be made of the extent to which information and experiences were shared across institutions and across countries	One Inception Workshop held in PY1 back-to-back with an ABS induction session, involving key national and regional institutions	A review is produced on the extent to which national and regional institutions contributed to ABS capacity building, and promoted collaboration. One Project Closure Workshop involving key national and regional institutions, with exchanges on ABS lessons learnt and milestones, and recommendations for moving forward in ABS.	System to document and tally contributions and collaborations arising during the project lifetime Agendas, reports, participant lists and photos from Project Inception and Project Closure Workshops	National agencies, beneficiaries, and relevant stakeholders take an interest in promoting collaboration, and participate in the exchange of lessons learned and experiences. Formal collaboration agreements are conducive to joint planning /implementation of ABS capacity building, and result in avoidance of duplication and optimize information and experience sharing opportunities.
	4.1.2 Number of joint activities organized and collaboration agreements signed with other key actors in the region.	The main regional and international players active in ABS matters in the Caribbean are CARICOM, OECS, the GIZ ABS Capacity Development Initiative, and the CBD Secretariat, demanding clear strategies for regional coordination and collaboration.	At least one (1) formal collaboration agreement reached with other partner(s) in the region by PY1.	At least three (3) formal collaboration agreements reached with other partner(s) in the region by PY3. At least six (6) activities are organized jointly with other key players.	Draft and signed versions of the collaboration agreements. Communications and exchange of documents between IUCN and key players denoting joint organization of activities.	

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 4: Regional Coordination, technical support and capacity development.						
Outcome 4.2: Effective project management and delivery, meeting agreed Measurable outputs and indicators.	4.2.1 Number of National Work Plans prepared based on country roadmaps, and % implementation achieved.	While national implementation and follow-up under the GIZ ABS Capacity Development Initiative are at the inception or scoping stage, country "ABS Roadmaps" were produced at a regional CBD and GIZ ABS workshop in 2014.	8 National Work Plans prepared, agreed and initiated by PY1. National Work Plans at least 40% implemented (average) by PY2.	National Work Plans implemented at 80% (average)	National Work Plans posted on Project Website. Project reports reflect priorities as agreed in National Work Plans, and % implementation achieved.	Technical and administrative support provided by the project is effective, timely and responsive to national and regional needs. Country Focal Points for the project collaborate opportunistically with technical and financial reporting, as well as project monitoring and evaluation.
	4.2.2 Number of project coordination and oversight meetings and number of recommendations for improved project delivery.	During the project inception phase, coordination and oversight structures and procedures must be established and clarified among project partners.	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.	At least three (3) coordination and oversight meetings (virtual or physical) held that provided inputs and recommendations for project implementation	Agendas, participant lists and reports of coordination and oversight meetings	A reasonable number of users registered in the ABS Virtual Forum participate in the survey.

OBJECTIVES, OUTCOMES AND OUTPUTS	INDICATORS	BASELINE CONDITIONS	MID TERM TARGETS	End-of-Project TARGETS	MEANS OF VERIFICATION	ASSUMPTIONS
COMPONENT 4: Regional Coordination, technical support and capacity development.						
	4.2.3 Percentage of project partners and Beneficiaries surveyed that express satisfaction with project results, management and technical assistance.	Total number of project partners and beneficiaries will be determined during the project closure phase.		At least 70% of those surveyed through the ABS. Virtual Forum express their satisfaction with project results, management and technical assistance.	Survey and results obtained available on the ABS Virtual Forum, during project closure phase.	
	4.2.4 Ratings and % of project implementation obtained in Project Implementation Reviews (PIRs) and external evaluations.		The results of the mid-term evaluation are favorable, showing at least 40% of project activities completed or on schedule.	All PIRs obtain a progress rating of Satisfactory or higher The terminal evaluation shows the project attained satisfactory results and impacts, and completed at least 80% of planned activities.	PIR reports to UNEP as GEF Agency. Mid Term and Terminal Evaluation Report.	
	4.2.5 Number of gender sensitive focus groups established particularly with indigenous people and local communities.					

COMPONENT 4 OUTPUTS:

Outcome 4.1:

1. Review to document and tally contributions and collaborations from national and regional institutions that contributed to ABS capacity building by promoting information and experience sharing and collaboration between institutions and countries.
2. Regional Project Inception Workshop completed with all project partners introduced to detailed project work plan, project Logical Framework, implementation timeline and procedures, monitoring and evaluation functions, and overall project governance.
3. Regional Project Closure Workshop for reviewing progress and planning of future activities, sharing lessons learned and best practices arising from the project.
4. Collaboration agreements reached with other key actors in the region resulting in joint planning and joint implementation of activities, avoidance of duplication, and optimization in the use of resources available to the region.

Outcome 4.2:

1. National Work Plans (maximum 24 months) prepared and agreed for each project country on the basis of country “ABS Roadmaps”.
2. Technical assistance and feedback provided to all project countries for implementation of their National Work Plans.
3. Project oversight and coordination structures established and functioning throughout the project lifetime.
4. Three (3) or more virtual or physical meetings carried out, involving Project Focal Points, national and regional organizations, and key partners, as appropriate, for project planning, coordination and oversight and to provide inputs to project implementation.
5. End-of-Project Survey to gauge, among project beneficiaries and partners, satisfaction levels regarding project results,
6. management and technical assistance
7. Mid Term Evaluation completed with project successes and lessons learned evaluated and used to inform the implementation of the rest of the project.
8. Terminal Evaluation completed with achievement of project goals and objectives evaluated.

Appendix 5: Work Plan and Timetable

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
Component 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.													
1.1 Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.	Output 1.1.1 Scientific Study on Bio-prospecting in the Caribbean Region produced and disseminated												
	Activities:												
	Terms of Reference for Scientific Study on Bio-prospecting												
	International Consultancy to conduct Scientific Study on Bio-prospecting												
	Printing & Publishing												
	Output 1.1.2 Stocktaking of Applications of Traditional Knowledge associated with biological resources												
	Activities:												
	Terms of Reference for Stocktaking consultancy												
	International Consultancy to conduct Stocktaking												
	Local Consultation Workshops in 5 indigenous communities												
	Printing & Publishing												
	Output 1.1.3 Information Sheets produced on the basis of the regional stock-takings in relation to bio-prospecting, common biological resources, and traditional knowledge of the Caribbean.												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Activities:												
	Terms of Reference for Graphic Design Consultancy												
	Consultancy for Graphic Design and Preparation of Information Sheets												
	Printing & Publishing												
1.2 Future directions of policy development for the region are identified	Output 1.2.1 ABS Policies produced as national drafts or updated versions of existing policies or strategies in at least five (5) countries.												
	Activities:												
	Terms of Reference for Local Consultancies to Draft or Update National ABS Policy												
	Local Consultancies to produce Draft or Updated ABS Policy												
	National Consultation Workshops (5)												
	Output 1.2.2 Draft Regional ABS Policy that describes a common vision and shared principles for ABS in the Caribbean												
	Activities:												
	Terms of Reference for Consultancy to Formulate Draft Regional ABS Policy												
	Regional Consultancy to produce Draft Regional Policy												
	Regional Policy Consultation Workshop												
	Printing & Publishing of Regional ABS Policy												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Output 1.2.3 Summarized information items produced to disseminate policy-related progress at the national and regional levels, through websites, bulletins, annual reports and other means as relevant												
	Production and distribution of Information Items												
1.3. Countries understand their national assets/values and requirements in a regional context	Output 1.3.1 Project Website and Virtual Regional ABS Forum serving as openly-accessible platforms for dissemination, exchanges, collaboration, and monitoring												
	Activities:												
	Terms of Reference for Graphic Design Consultancy												
	Consultancy for Graphic and Content Design of Project Website, structured to include Virtual ABS Policy Forum												
	Launching of website & Virtual ABS Policy Forum (Provisions for Web hosting and frequent updates of content)												
	Output 1.3.2 Caribbean ABS COP side-event takes place with a high level (50% or more) of Caribbean participation and in collaboration with partner initiatives in the region.												
	Activities:												
	Travel Arrangements for Caribbean Delegates and Project Staff to COP Caribbean ABS Side Event												
	Output 1.3.3 Roster of ABS experts for the region												
	Activities:												
	Development of Criteria for Nomination of Regional Experts through online consultation process.												
	Nomination of experts to Regional ABS Experts Roster.												
	Output 1.3.4 Inter-institutional coordination included in ABS national agendas for all project countries												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Activities:												
	Terms of Reference for Local Consultancy												
	Local Consultant to Plan and Facilitate Inter-Institutional ABS Forum												
	National Inter-Institutional ABS Forum												
Component 2: Uptake of the Nagoya Protocol.													
2.1 National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation	Output 2.1.1 Assessment of Existing Legal Framework attending to legislative overlaps and mandates and implications of ratification of the Nagoya Protocol completed, and being used to prioritize interventions in project countries in support of the Nagoya Protocol.												
	Activities:												
	Terms of Reference for Consultancy to Assess Legal Framework & Implications of Ratification of the NP												
	Local Consultancy for Assessment of Legal Framework & Implications of Ratification of NP												
	Local Consultation Workshops												
	Printing & Publishing												
	Output 2.1.2 Draft ABS Bill or Regulations formulated for at 5 project countries.												
	Activities:												
	Terms of Reference for Local Consultancy to develop Draft ABS Bill												
	Local Consultancy to Develop Draft ABS Bill or Regulations												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Local Consultation Workshops												
	Printing & Publishing												
	Output 2.1.3 Nagoya Protocol Ratification Requests from the Executive Power to the Attorney General by at least three (3) countries.												
	Activities:												
	Working meetings between competent authority, executive power, and project principals to discuss progress of ratification process												
	Output 2.1.4 Awareness Raising through ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bio-prospecting, inter-institutional workshops for officials of ABS frontline ministries, radio interviews and TV air-time discussion fora with researchers, and posters and banners for targeted placement in all project countries.												
	Activities:												
	Terms of Reference for planning and facilitation of Regional Parliamentary Dialogue												
	Regional Consultancy to plan and facilitate Parliamentary Dialogue inclusive of in-situ parliamentary exposure to bio-prospecting												
	Regional Parliamentary Dialogue												
	Terms of Reference for Local Consultancy to Facilitate Inter-institutional workshop												
	Local consultancy to plan and facilitate national inter-institutional workshop or forum.												
	National inter-institutional workshop or forum												
	Radio and TV Airtime for Researchers for ABS Discussion												
	Terms of Reference for Graphic Design Consultancy												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Consultancy for Graphic and Content Design of ABS Posters and Banners												
	Acquisition/Rental of Strategic Exhibit Spaces for Posters and Banners												
	Printing & Publishing of Parliamentarian Dialogue Report, National Inter-institutional Workshop Report, and Posters and Banners												
	Output 2.1.5 ABS Awareness Raising for Indigenous Peoples through local radio spots produced and aired in indigenous language in at least five (5) countries												
	Activities:												
	Terms of Reference for Local Consultancies												
	Local consultancies to design and produce ABS radio spots in indigenous language in 5 countries												
	Airing of ABS radio spots in indigenous language in 5 countries												
Component 3: Implementation of the Nagoya Protocol establishing an enabling environment for the implementation of basic provisions of the NP.													
3.1 An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol	Output 3.1.1 Regional Strategy and Action Plan (2016-2021) for the Implementation of ABS Measures with Country-specific targets produced, and with at least 20% implementation by EOP and achievement of 2017 targets.												
	Activities:												
	Terms of Reference for Regional Consultancy												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Regional Consultancy to produce Regional ABS Strategy & Action Plan (2016-2021)												
	Regional Consultation Workshop (possibly tied to Inception Meeting)												
	Printing & Publishing												
	Output 3.1.2 Operational Guidelines for Implementing ABS policies at the national level (institutional roles and responsibilities) for at least five (5) countries												
	Activities:												
	Terms of Reference for Operational Guidelines Consultancy												
	Regional Consultancy to Develop Operational Guidelines for ABS Policy Implementation												
	Printing & Publishing												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Output 3.1.3 Standardized Training Manual for ABS Implementation developed and used among key line agencies engaged in ABS through-out the region.												
	Activities:												
	Terms of Reference for Consultancy to Develop Standardized Training Manual for ABS Implementation												
	Regional Consultancy to develop Standardized Training Manual for ABS Implementation												
	Printing & Publishing												
	Output 3.1.4 Caribbean Regional ABS Training of Trainers with at least twenty (20) trainers trained, with trainers identified on a Regional ABS Experts Roster, and available to provide expertise in the development of ABS capacity in the region												
	Activities:												
	Terms of Reference for Training of Trainers Workshop												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Consultancy to Conduct & Deliver Caribbean Training of Trainers Workshop												
	Caribbean Regional ABS Training of Trainers Workshop												
	Output 3.1.5 Standardized Templates for ABS agreements for use through-out the Caribbean Region finalized and adopted by Caribbean countries												
	Activities:												
	Terms of Reference for Consultancy to develop Standardized Templates for ABS agreements												
	Regional Consultancy to develop Standardized Templates for ABS agreements												
	Output 3.1.6 Protocols for PIC developed with indigenous communities of at least three (3) countries												
	Activities:												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Terms of Reference for Local consultancies to develop Protocols for PIC in Indigenous Language												
	Local Consultancies to develop Protocols for PIC in Indigenous Language												
	Printing & Publishing												
	Output 3.1.7 Standardized Methodology for the creation of national registers of marine and terrestrial biological resources finalized												
	Activities:												
	Terms of Reference for the development of a Standardized Methodology for national inventories of marine and terrestrial biological resources												
	Consultancy for the development of a Standardized Methodology for national inventories of marine and terrestrial biological resources												
	Regional Workshop and Training in Use of Standardized Methodology for National Inventories												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Output 3.1.8 Regional Identification of Common Genetic Resources produced and widely disseminated through-out the Caribbean region												
	Activities:												
	Terms of Reference for Consultancy to develop a Regional Inventory of Common Genetic Resources of the Caribbean region												
	International Consultancy to develop a Regional Inventory of Common Genetic Resources of the Caribbean region												
	Printing, Publishing and Distribution												
	Output 3.1.9 Technical Assistance provided to at least eight (8) countries in the use of the ABS Clearing House as an exchange and monitoring mechanism (e.g. for approved permits and agreements)												
	Activities:												
	Terms of Reference for ABS Clearing House Consultant												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Consultancy to provide Technical Assistance in use of ABS Clearing House												
	Output 3.1.10 Searchable web-based modules on research on biological resources created on existing CHM or institutional web pages for at least eight (8) countries												
	Activities:												
	Terms of Reference for Consultant to produce and train countries in use of web-based modules created on CHM or institutional web pages												
	Consultancy to produce and train countries in use of web-based modules created on CHM or institutional web pages												
	Output 3.1.11 Business Model for Countries of the Caribbean which highlights multiple economic scenarios possible through regulated bio-prospecting developed and available as a tool for countries in their national decision-making processes on ABS												
	Activities:												
	Terms of Reference of consultancy to develop an ABS Business Model for Countries of the Caribbean												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Consultancy to develop an ABS Business Model for Countries of the Caribbean												
	Printing, Publishing and Distribution												
Component 4: Regional Coordination, technical support and capacity development.													
4.1 Countries share information and gain from the experiences of other countries	Output 4.1.1 National Work Plans (maximum 24 months) prepared and agreed for each project country on the basis of country roadmaps.												
	Activities:												
	Production of Work Plan Templates												
	Production of Draft Work Plans												
	Output 4.1.2 Project Inception Meeting completed with all project partners introduced to detailed project work plan, Project Logical Framework, implementation timeline, administrative procedures, monitoring and evaluation functions, and overall project governance.												
	Activities:												
	Regional Inception Meeting												
	Preparation, Printing and Publishing of Inception Meeting Report												
	Output 4.1.3 One Regional Project Closure Meeting for reviewing progress and planning of future activities, sharing lessons learned and best practices arising from the project.												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	<u>Activities:</u>												
	Regional Project Closure Meeting												
	Preparation, Printing and Publishing of Project Closure Meeting Report												
	<u>Output 4.1.4</u> Collaboration agreements reached with other key actors in the region resulting in joint planning and implementation of activities, avoidance of duplication, and optimization in the use of resources available to the region												
	<u>Activities:</u>												
	Negotiation, Signing and Implementation of Collaboration Agreements												
4.2 Effective management and delivery of projects meeting agreed measurable outputs and indicators	<u>Output 4.2.1</u> Project staff hired and Regional Steering Committee and Monitoring & Evaluation Committee established to ensure appropriate institutional arrangements are in place for project start-up.												
	<u>Activities:</u>												
	Terms of Reference for Staff and Terms of Reference for Steering Committee, and for Monitoring & Evaluation Committee												
	Hiring of Staff and Appointment of Committees												
	<u>Output 4.2.2</u> Three (3) virtual or physical Meetings of the Monitoring & Evaluation Committee and the Steering Committee conducted to provide inputs to project implementation.												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	<u>Activities:</u>												
	Preparation of Meeting Agenda												
	Facilitation/presiding of Meeting												
	Printing & Publishing of Minutes of Meeting												
	<u>Output 4.2.3</u> Technical Assistance and feedback provided to all project countries on implementation of their National Work Plans.												
	<u>Activities:</u>												
	Preparation of Project Progress Reports												
	Printing & Publishing												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
	Output 4.2.4 Mid Term Evaluation completed with project successes and lessons learned evaluated and used to inform the implementation of the rest of the project.												
	Activities:												
	Terms of Reference for Consultancy to conduct Project Mid-Term Evaluation												
	International Consultancy to conduct Project Mid-Term Evaluation												
	Printing & Publishing												
	Output 4.2.5 Terminal Evaluation completed with achievement of project goals and objectives evaluated, interpreted, published and disseminated.												
	Activities:												
	Terms of Reference for Consultancy to conduct Project Terminal Evaluation												

Component/Outcomes	Outputs & Activities	PY1				PY2				PY3			
		1	2	3	4	1	2	3	4	1	2	3	4
Component 5 Project Management	International Consultancy to conduct Project Terminal Evaluation												
	Printing & Publishing												
	Project management activities (costs of project staff and other administrations costs),												
	Activities:												
	Terms of Reference of the main project staff (Project Supervisor, Project Manager, M&E and Financial and administrative personnel)												
	Setting up of the project administrative structure,												
	Formulation of project reports, audits												

Appendix 6: Key deliverables and benchmarks

Components/Outcomes	Activity	Outputs	Deliverables	Benchmarks
COMPONENT 1: Identifying regional commonalities and assets, and basic elements conducive to policy formulation.				
Outcome 1.1: Countries have a common understanding of shared assets/values, issues and needs on which to base ABS policy.	Consultancy to conduct Scientific Study on Bio-prospecting	Scientific Study on Bio-prospecting in the Caribbean Region produced and disseminated	Bio-prospecting activities conducted and currently undergoing identified in the Caribbean region	Scientific Study documenting past and current Bio-prospecting in the eight (8) project countries completed and disseminated by PY1
	Consultancy to develop stocktaking of TK and involvement of regulatory organizations	Stocktaking of main Applications of Traditional Knowledge associated with biological resources generated	Stocktaking of main Applications of Traditional Knowledge	At least three (3) Information Sheets are being used to disseminate: (a) common biological resources and Traditional Knowledge applications (b) expertise of non-regulatory Caribbean institutions that address the Use of Biological Resources and associated Traditional Knowledge Stocktaking of Applications of Traditional Knowledge associated with biological resources by EOP.
		Stocktaking of the expertise of non-regulatory organizations involved in promoting, protecting or documenting the Use of Biological Resources and associated Traditional Knowledge in the Caribbean generated	Caribbean institutions identified that address non-regulatory issues relating to Use of Biological Resources and associated Traditional Knowledge	
	Consultancy to develop Graphic Design and Preparation of Information Sheets	Information Sheets on the regional stock-takings of bio-prospecting, common biological resources, traditional knowledge in the Caribbean, distributed widely at events and key locations and forums, on-line and in printed format	Common biological resources and Traditional Knowledge applications disseminated using Information Sheets.	
Outcome 1.2: Future directions of policy development for the region are defined	Consultancies to draft or update national ABS Policies and to Draft Regional ABS Policy	ABS Policies produced as national drafts or updated versions of existing policies or strategies	New Draft ABS Policies formulated, or existing ABS policies updated	At least two (2) new Draft ABS Policies formulated by end of PY 2 and at least five (5) new Draft ABS Policies formulated, or existing policies updated by EOP.
		Draft Regional ABS Policy	Countries support the	One Draft Regional Policy for

	Regional Policy Consultation Workshop	that describes a common vision and shared principles for ABS in the Caribbean	preparation of a Draft Regional Policy for the Caribbean Region	the Caribbean which creates an enabling framework for ABS based on a common vision formulated and disseminated by PY2, and formally presented to the CARICOM and OECS Secretariats, by at least two (2) project countries, requesting initiation of a regional adoption process.
	Production and distribution of Information Items	Summarized information items produced to disseminate policy-related progress at the national and regional levels, through websites, bulletins, annual reports and other means as relevant	Information items produced on policy-progress and means used to disseminate them	At least five (5) institutions have published ABS policy-related information on their websites, annual reports or bulletins
Outcome 1.3: Countries understand their national assets/values and requirements in a regional context	Consultancy for Graphic and Content Design of Project Website, structured to include Virtual ABS Forum and launching of website and forum	Project Website and Virtual Regional ABS Forum serving as openly-accessible platforms for dissemination, exchanges, collaboration, and monitoring	Virtual Regional ABS Forum used as an interactive platform	Project Website and Virtual Regional ABS Forum established under IUCN management initially by PY1 and fully functional under an established Caribbean institution with at least 200 registered users by EOP
	Travel Arrangements for Caribbean Delegates and Project Staff to COP Caribbean ABS Side Event	CBD COP side-event on Caribbean ABS with a high level of Caribbean participation and in collaboration with partner initiatives in the region	Project countries and Caribbean representatives attending Caribbean ABS side-event at COP	At least 1 side- event is organized at CBD COP attracting at least 50% Caribbean participants by EOP
	Development of Criteria for Nomination of Regional Experts and actual nomination of experts.	Roster of ABS experts for the region	Nomination of regional ABS experts	At least 10 experts have been identified as ABS experts for the Caribbean region by the end of PY2 and at least 30 by EOP
	Local Consultant to Plan and	Inter-institutional	Inter-institutional coordination	By PY2 at least

	Facilitate Inter-Institutional ABS Forum	coordination included in ABS National Work Plans for at least 8 project countries	reflected in ABS National Work Plans	5 project countries show leadership in actively coordinating with relevant national and regional institutions and at least eight (8) doing so by EOP
COMPONENT 2: Uptake of the Nagoya Protocol.				
Outcome 2.1: National authorities take informed decisions on, and steps towards, the ratification of the protocol and future implementation	Consultancies for: (1) Assessment of Legal Framework & Implications of Ratification of NP, (2) Draft ABS Bill and Regulations, (3) to develop Regional ABS Strategy and action Plan Working meetings between competent authority, executive power, and project principals to discuss progress of ratification process	Assessment of existing national Legal Frameworks attending to legislative overlaps and mandates, and the implications of ratification of the Nagoya Protocol completed, and being used to prioritize interventions in project countries in support of the Nagoya Protocol Cabinet Papers produced to highlight legislative and regulatory needs and the benefits and opportunities of NP ratification Draft ABS Bill or Regulations formulated Nagoya Protocol ratification requests from the Executive Power to the Attorney General A Regional Strategy and Action Plan (2016-2021) that orients and converges regional efforts for ABS capacity building, sets common ABS capacity building goals for the	National legal frameworks assessed to identify legislative overlaps and implications for NP ratification Draft ABS Bills or Regulations Nagoya Protocol ratification/accession requests from the Executive Power to the Attorney General	Assessment of Legal Framework to identify legislative overlaps and implications for NP ratification initiated for eight (8) project countries by PY1 and completed by EOP Draft ABS Bills or Regulations formulated in at least two (2) countries by end of PY2 and in five (5) by EOP At least one (1) country submitted Nagoya Protocol Ratification Requests from the Executive Power to the Attorney General by project mid- term and at least three (3) by EOP Regional Strategy and Action Plan formulated and agreed with regional partners by PY1 with 2018 targets of Regional Strategy and Action Plan attained, with an overall implementation of 20%
			Regional strategic actions and country specific targets identified for 2016-2021 and prioritized for implementation through 2018	

		Caribbean, collaboration, and fund raising opportunities		
COMPONENT 3: Implementation of the Nagoya Protocol establishing an enabling environment for the basic provisions of the NP.				
Outcome 3.1: An enabling environment is created which will lead to the implementation of the basic provisions of the Nagoya Protocol	Regional Consultation Workshop (possibly tied to Inception Meeting)	ABS Dialogues for Parliamentarians and In-Situ Exposure of Parliamentarians to Bio-prospecting for awareness-raising regarding ABS and the Nagoya Protocol	Awareness raising mechanisms for parliamentarians, institutions, researchers, and indigenous peoples developed and implemented.	By PY2, at least one (1) awareness- raising dialogue for parliamentarians inclusive of in-situ exposure to bio-prospecting and at least two (2) by EOP
	Consultancies: to Develop Operational Guidelines for ABS Policy Implementation, to develop Standardized Training Manual for ABS Implementation, to Conduct & Deliver Caribbean Training of Trainers Workshop, to develop Standardized Templates for ABS agreements, to develop Protocols for PIC in Indigenous Language, for the development of a Standardized Methodology for national inventories of marine and terrestrial biological resources, to develop a Regional Inventory of Common Genetic Resources of the Caribbean region, to provide Technical Assistance in use of ABS Clearing House, to produce and train countries in use of web-based modules created on CHM or institutional web pages, and to	Inter-institutional workshops for officials of ABS frontline ministries, as well as for consultations and awareness-raising with other relevant sectors		At least ten (10) inter-institutional workshops for ABS consultations and awareness raising held by project mid- term and at least twenty (20) by EOP
		Radio interviews and TV air-time discussions with researchers to highlight the risks, opportunities and challenges with ABS and bio-prospecting		Radio and TV discussion on ABS with scientists, lawyers, and researchers held by PY2 in at least two (2) countries and at least four (4) by EOP
		Posters and banners for targeted placement in all project countries		At least two (2) batches of posters and banners produced and installed in all project countries by EOP
		Local radio spots produced and aired in indigenous language for ABS awareness-raising for Indigenous Peoples	Institutional strengthening and capacity building for ABS implementation addressed through the development of Operational Guidelines, Standardized Training Manual, training of trainers, Standardized Templates for	ABS Awareness Raising for Indigenous Peoples through local radio spots produced and
		Operational Guidelines for Implementing ABS policies at the national level (institutional roles and responsibilities)		
		Standardized Training Manual for ABS Implementation developed		

	develop an ABS Business Model for Countries of the Caribbean.	and used among key line agencies engaged in ABS Through-out the region	ABS Agreements, Protocols for PIC & MAT methodology developed for inventories, and creation of the ability to use ABS Clearing House in Caribbean institutions, Use of web- based modules of regional desktop studies.	aired in indigenous language in at least two (2) countries by PY2 and at least five (5) by EOP 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 and at least five (5) by EOP At least three (3) key line agencies in the Caribbean region have used the Standardized Training Manual for ABS by PY2 and at least five (5) by EOP At least three (3) countries in the region adopted Standardized Templates for ABS Agreements by PY2 and at least six (6) by EOP 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 and at least eight (8) by EOP
	Regional Workshop and Training in Use of Standardized Methodology for National Inventories	Trainers trained, with trainers identified on a Regional ABS Experts Roster		
		Standardized Templates for ABS agreements for use through-out the Caribbean Region		
		Protocols for PIC developed with indigenous communities		
		Standardized Methodology for the creation of national inventories of marine and terrestrial biological resources		
		Technical Assistance provided in the use of the ABS Clearing House as an exchange and monitoring mechanism (e.g. for approved permits and agreements).		
		A searchable Regional Inventory structured as web-based modules on Research into Caribbean Biological Resources and associated Traditional Knowledge, created on existing CHMs or institutional web pages (Linked to studies of Comp 1).		
		Business Model for Countries of the Caribbean which highlights multiple	Business Model available for use by countries	Business Model for regulated bio-prospecting developed by

		economic scenarios possible through regulated bio-prospecting available as a tool for countries in their national ABS decision-making and negotiation processes		PY2 and at least two (2) countries using the said model as a guide for negotiations and decisions with users.
COMPONENT 4: Regional Coordination, technical support and capacity development				
Outcome 4.1: Countries share information and gain from the experiences of other countries and the definition of measurable outputs and indicators agreed	Project inception workshop	Project planning agreed with all stakeholders	Results Framework adjusted and 10 National work plans defined by PY1	One Project Closure Workshop involving key national and regional institutions conducted by PY3 At least three (3) formal collaboration agreements reached with other partner(s) in the region by PY3 and at least six (6) activities are organized jointly with other key players
	Review of logical framework and establishing national work plans			
	Project Closure Meeting	Regional Project Closure Meeting for reviewing progress and planning of future activities, sharing lessons learned and best practices arising from the project	Information and lessons learned from project shared among all countries and partners in the region	
	Negotiation, Signing and Implementation of Collaboration Agreements	Collaboration agreements reached with other key actors in the region	Joint planning and implementation of activities, avoidance of duplication, and optimization in the use of resources available to the region	
COMPONENT 5: Project Management				
Outcome 5.1: Effective project management, coordination, and delivery with project impacts and global benefits assessed	Establishing the Project Team	Project personal hired	Contracts executed	M&E System implemented and generating information At least one (1) coordination and oversight meeting (virtual or physical) held by mid-term and at least three (3) by EOP that provided inputs and recommendations for project implementation PY2Q4: Mid-term report PY4Q4: Final report
	Development of the Project M&E System	GEF Tracking Tools incorporated into Results Framework	Monitoring & Evaluation Systems in place	
	Meetings of the Regional Steering Committee and the Monitoring & Evaluation Committee	Virtual or physical Meetings of the Monitoring & Evaluation Committee and the Steering Committee conducted to provide inputs to project implementation		
	Mid-Term and final M&E of Project activities	Project evaluation reports	Mid Term and Final Evaluation Reports	

Appendix 7: Costed M&E plan.

M&E activity	Responsible Parties	Aprox. Budget from GEF (US\$)	Budget co-finance	Time Frame
Inception Workshop	Project Management Unit (PMU) UNEP	40,000		Within 2 months of project start-up
Inception Report	PMU	3,000	3,000	1 month after project inception meeting
Measurement of project indicators (outcome, progress and performance indicators, GEF tracking tools) including baseline data collection	<ul style="list-style-type: none"> Project Coordinator PMU/ Project team Consultants 	8,000	2,000	<p>Outcome indicators: start, mid and end of project Progress/perform. Indicators: Within 1 month of the end of reporting period i.e. on or before 31 January and 31 July (through progress reports)</p> <p>Baseline data collection: within the 1st year.</p>
Project Steering Committee (PSC) meetings	Project Coordinator <ul style="list-style-type: none"> PMU UNEP 	40,000	3,000	Once a year Minimum (VIRTUAL)
Reports of PSC meetings	Project Coordinator with inputs from partners	2,000	3,000	

M&E activity	Responsible Parties	Aprox. Budget from GEF (US\$)	Budget co-finance	Time Frame
PIR	Project Coordinator PMU UNEP	5,000	2,000	annually
Monitoring visits to field sites, countries, and main project offices	Project Coordinator PMU UNEP	10,000	5,000	
Mid Term Evaluation	UNEP TM/ UNEP Evaluation Office PMU	25,000	3,000	At mid-point of project
Terminal Evaluation	UNEP TM/ UNEP Evaluation Office PMU	40,000	3,000	At project end
Total M&E Plan Budget		173,000	54,482	

Appendix 8: Summary of reporting requirements and responsibilities

Reporting requirements	Due date	Format appended to legal instrument as	Responsibility of
Procurement plan (goods and services)	2 weeks before project inception meeting	N/A	PM
Inception Report	1 month after project inception meeting	N/A	PM
Expenditure report accompanied by explanatory notes	Quarterly on or before 30 April, 31 July, 31 October, 31 January	Annex 11	PM
Cash Advance request and details of anticipated disbursements	Quarterly or when required	Annex 7B	PM
Progress report	Half-yearly on or before 31 January	Annex 8	PM
Audited report for expenditures for year ending 31 December	Yearly on or before 30 June	N/A	Executing partner to contract firm
Inventory of non-expendable equipment	Yearly on or before 31 January	Annex 6	PM
Co-financing report	Yearly on or before 31 July	Annex 12	PM
Project implementation review (PIR) report	Yearly on or before 31 July	Annex 9	PM, TM
Minutes of steering committee meetings	Yearly (or as relevant)	N/A	PM
Mission reports and “aide memoire” for executing agency	Within 2 weeks of return	N/A	TM
Final report	2 months of project completion date	Annex 10	PM
Final inventory of non-expendable equipment		Annex 9	PM
Equipment transfer letter		Annex 10	PM
Final expenditure statement	3 months of project completion date	Annex 11	PM
Mid-term review or Mid-term evaluation	Midway through project	N/A	TM
Final audited report for expenditures of project	6 months of project completion date	N/A	Executing partner to contract firm
Independent terminal evaluation report	6 months of project completion date	Appendix 9 to Annex 1	EOU

Appendix 9: Decision-making flowchart and organizational chart

DIVISION OF RESPONSIBILITIES

This project will be operated under the supervision UNEP as Implementing agency, and IUCN as executing agency; as well as through country respective (national focal points); as part of the Steering Committee (SC). (see project's governance structures here below)

INTERNAL STRUCTURE

Project Headquarters (PH) will be located in IUCN Mesoamerica, in Costa Rica. Staff working from this office includes the Project Manager (PM), Project supervisor, Monitoring & Evaluation Supervisor, administrative and financial staff

OVERSIGHT MECHANISMS

The Steering Committee (PSC) will consists of Country representatives, UNEP as IA, IUCN as EA, and the project co-financiers (ABS CDI (GIZ), OECS, and CB). To the PSC meetings CARICOM and UNEP's ROLAC office; which could provide important support to the project and ensure synergies with other initiatives will also be invited. Likewise, the project team of the UNEP-GEF Bahamas project on ABS will also be invited to participate in order to support the integration of the Bahamas in the regional approaches that will be established under this initiative.

The PSC is responsible for ensuring that the project meets goals announced in the Project Result Framework by helping to balance conflicting priorities and resources. The PSC will be chaired by the one of the participating countries on rotational basis. The PM will act as the Committee Secretary. This committee will meet every six months (virtual and face to face meetings, depending on the case).

This PSC will issue reports 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 scientific and technical outputs and publications.

PROJECT GOVERNANCE – STRUCTURES

REGIONAL LEVEL

Project Management Unit:

- Main project coordination and execution mechanism
- Will consist in (at minimum):
 - o Project supervisor (part time): Head of Biodiversity & Rights Unit at IUCN ORMACC, based in Costa Rica will supervise and monitor the technical and strategic implementation of the project.
 - o Project Manager (Full time): Person to be hired to implement the project, comply with project reporting and coordinate with relevant stakeholders at national (ABS focal points, government agencies, etc) and at regional level (CARICOM, OECS, etc). As well as to promote synergies with other relevant ABS initiatives (GIZ, CBD).

- Monitoring and Evaluation supervisor (back-stopping) (part time): Staff of IUCN ORMACC involved in technical and strategic project related activities. Based in Costa Rica.
- Project Administrative and financial Staff (part time): Support to logistics, administrative and financial procedures, financial reporting, among others.
- Will be responsible for ensuring the project meets its expected targets and objectives through: planning, supervising technical consultants, reviewing and ensuring quality of project outputs, keeping project accounts, generating project reports, carrying out procurements, positioning and strategic alliances of the project, as well as general coordination and communications between all project stakeholders.

Steering Committee:

- Main project monitoring and oversight mechanism
- Project Manager acts as the Committee Secretary and the committee chair is a representative from one of the participating countries.
- Will comprise representatives from:
 - IUCN ORMACC (*Project supervisor*)
 - UNEP (*Task Manager*)
 - GIZ ABS Capacity Development Initiative
 - CBD Secretariat
 - OECS
 - Each country's project authority (*8 Project Focal Points*)
- Will meet at least twice a year, combining virtual and physical meetings (minimum one physical meeting per year), with 60% of the membership quorum can be achieved.
- Will be tasked with: monitoring project progress, reviewing yearly Project Implementation Reports presented to UNEP, suggesting improvements to project management and planning, raising key issues (opportunities and concerns), coordinating with other ongoing ABS efforts, and contributing to strategic actions (including budgetary measures) to maximise project impacts.
- The Steering Committee, may invite on *ad hoc* basis, regional organizations (such as UNEP ROLAC, CARICOM, UWI, among other) to its meetings in order to address specific and relevant issues to the project.

NATIONAL LEVEL

Project Focal Points (Govt):

- One person per project country. Countries will be requested to either re-confirm persons named at the time of project endorsement (PIF stage) or to make a new nomination
- Will be in charge of planning, coordinating and overseeing project actions at the national level and will act as the conduit for feeding issues up to the regional level
- Will be able to review and provide inputs into all regional project outputs
- Will contribute to project reports, including co-financing reports, and M&E efforts as a member of the project Steering Committee

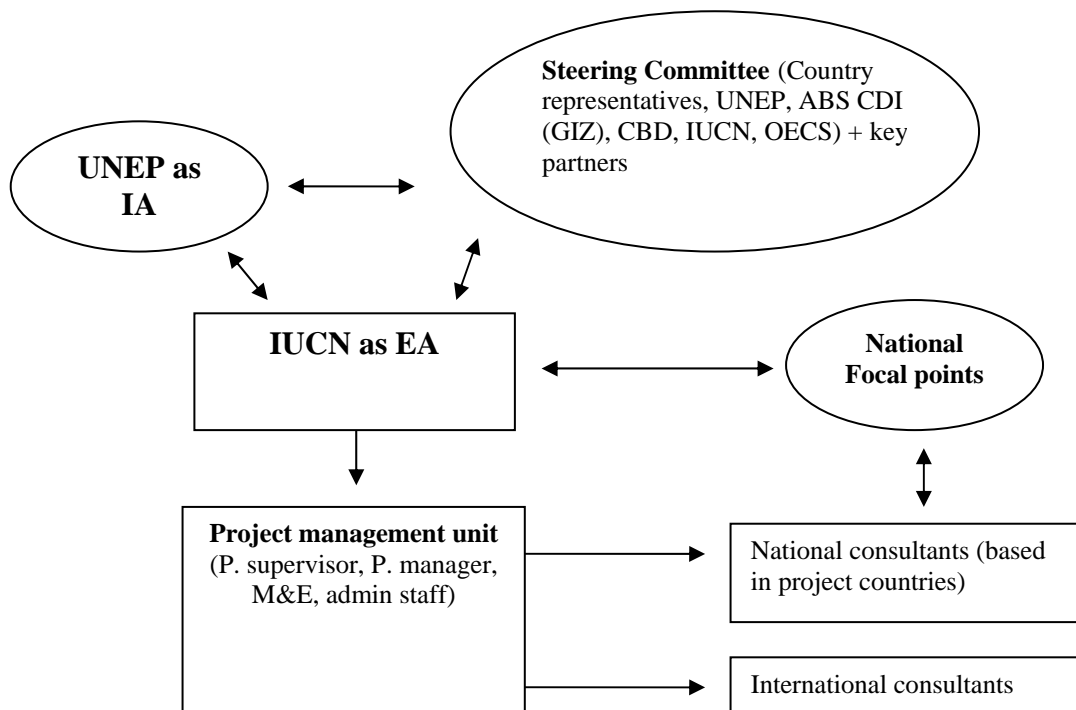
- Will liaise with National Consultants

Project Focal Points are not considered project staff, so that their participation on the project can be considered as country co – financing.

National Coordination Consultants:

- Will provide coordination support for Project Focal Points, on a needs basis
- A total of 10 months, distributed across 24 months, is available to each country for National Coordination Consultants to support the organization of specific events, streamline processes, identify experts, prepare briefs, workshop agendas and minutes, and facilitate discussions.
- TORs for Coordination Consultants will be agreed between the Project Manager and the Project Focal Points; contracts and payments for these consultants will be managed by IUCN, once their work has been approved by the Project Focal Points.
- Additional and separate technical consultants will also be available to deliver technical studies and products that are different from coordination actions.

Project coordination diagram



Appendix 10: Terms of Reference

Terms of Reference Job Description

Project: Advancing the Nagoya protocol in countries of the Caribbean Region.

Post title: *Project supervisor (time allocated to project 30%)*

Duration: 36 months

Duty station: IUCN Regional Office for Mexico, Central America and The Caribbean (ORMACC) San Jose, Costa Rica.

Duties: Head of the Biodiversity & Rights Unit at IUCN ORMACC will supervise and monitor the technical and strategic overall implementation of the project.

	Main Duty	Output	Timing
	Ensuring that the project meets its expected targets and overall objectives.	Project manager and project staff's work plans and evaluation performance.	20%
	Reviewing and approval of project technical reports.	Quality and timely submission of project reports to UNEP/ GEF.	10%
	Ensuring that procurements are carried out according to IUCN and GEF requirements.	Consultancy contracts and acquisitions.	10%
	Formalizing strategic alliances of the project, as well as general coordination and synergies among relevant stakeholders.	MoU's, Letters of Intend, Strategic Alliances/partnerships.	20%
	Positioning and representing the project in regional and international events as well as above regional entities such as CARICOM and OECS.	International/regional meetings attended including COP's side events and workshops.	20%
	Representing IUCN ORMACC as a member of the Steering Committee of the Project.	Steering Committee meetings.	20%

Expected Outputs/Outcomes

Outputs:

1. Project manager and project staff work plans and evaluation performance.
2. Quality and timely submission of project reports and outputs.
3. Consultancy contracts and acquisitions.
4. MoU's , Letters of Intends, Strategic Alliances/partnerships.
5. International/regional meetings attended including COP's side events and workshops.

Outcomes:

1. Effective supervision of the project components, as well as representation of the project at international and regional level.

- Promotion of strategic alliances of the project, as well as general coordination and synergies among relevant stakeholders and ABS initiatives in the Caribbean.

Reporting: Responsible for reviewing, approving and ensuring quality of technical reports.

Qualifications:

- Master degree in Environmental Law,
- At least 5 years' experience supporting the design and formulation of legal tools and policies to implement the rights based approach in conservation processes, mainly referring to the implementation of Multilateral Environmental Agreements (MEA's) particularly the Convention on Biological Diversity (CBD), the Nagoya Protocol as well as other international instruments such as the ILO 169 treaty to enhance public participation of vulnerable groups.
- At least 5 years' experience supervising, monitoring and assessing projects and/or programs.
- Experience working in multicultural and multidisciplinary environment.
- Willing to travel within the Caribbean and internationally whenever is required.

Language: English and Spanish

Background: Relevant experience on designing legal instruments to enhance public participation of vulnerable groups, including indigenous peoples, local communities, women and youth in decision making processes, particularly experienced on the development of methodology for the implementation and contextualization of Consultations and Free Prior and Informed Consent (FPIC) processes as a key principle to ensure participation as well as benefit sharing in the governance of natural resources.

**Terms of Reference
Job Description**

Project: Advancing the Nagoya protocol in countries of the Caribbean Region.

Post title: *Project Manager (full time)*

Duration: 36 months

Duty station: The Caribbean.

Duties: Responsible for the overall implementation of the project and effective deliverables of projects outcomes/outputs as well as project reporting and national liason.

	Main Duty	Output	Timing
	Technical duties		
	Liason and Coordination with relevant stakeholders at national (ABS focal points, government agencies, etc) and at regional level (CARICOM, OECS, etc)	Workshops , meetings, trainings, materials and other relevant national and regional ABS products.	20%

	Main Duty	Output	Timing
	Exploring and promoting synergies with other relevant existing ABS initiatives (GIZ, CBD) and potential.	MoU's , Letters of Intend, Strategic Alliances/partnerships.	15%
	Drafting TOR's and interviewing local /regional consultants according to the project procurement plan.	Consultancy contracts, services and acquisitions.	20%
	Coordination for the execution of all work plan activities to ensure timely and smart implementation of the project components.	Level of technical and financial implementation.	30%
	Administrative tasks		
	Organizing Steering Committee (SC) meetings and acting as SC's secretary	SC's meetings, <i>aide-mémoire</i> .	3%
	Drafting and presenting progress and year reports for IUCN and partners, as well as regional context updates.	PIRs and HYPRs	12%

Expected Outputs/Outcomes

Outputs:

1. Level of technical and financial implementation.
2. Quality and timely submission of project reports and outputs to project supervisor.
3. Workshops, meetings, trainings, materials and other relevant national and regional ABS products.
4. MoU's , Letters of Intent, Strategic Alliances/partnerships.
5. Consultancy contracts, services and acquisitions.
6. SC's meetings, aide-mémoire.

Outcomes:

1. Effective implementation and deliverables of the project components, as well as timely project reporting.
2. Coordination with national ABS focal points and synergies among relevant regional stakeholders and ABS initiatives in the Caribbean.

Reporting: Responsible for drafting and presenting technical reports (periodical and yearly) as well as regional context update reports.

Qualifications:

1. Master Degree in social, legal, environmental and/or related fields,
2. At least 5 years' experience coordinating, implementing and monitoring projects and/or programs in the Caribbean region,
3. Thematic experience on ABS issues as well as international and national policy and legislation is a plus.
4. Experience working in multicultural and multidisciplinary environment.
5. Willing to travel within the Caribbean and internationally whenever is required.

Language: English and Spanish (desirable)

Background: Relevant experience on project/program coordination, knowledge on Multilateral Environmental Agreements (MEA's), particularly Convention on Biological Diversity and the Nagoya Protocol. Knowledge on enhancing participation of vulnerable groups, including indigenous peoples, local communities, women and youth in decision making processes. Good knowledge of the Caribbean region and regional institutions.

Terms of Reference Job Description

Project: Advancing the Nagoya protocol in countries of the Caribbean Region.

Post title: *Monitoring & Evaluation Supervisor* (time allocated to project 20%)

Duration: 36 months

Duty station: IUCN Regional Office for Mexico, Central America and The Caribbean (ORMACC) San Jose, Costa Rica.

Duties: Responsible for monitoring and evaluation throughout the implementation of the project as well as providing strategic backstopping to ensure political visibility and positioning of the project.

	Main Duty	Output	Timing
	Progress monitoring and evaluation of the project components	M&E reports, field visits, interview with national and regional relevant stakeholders.	50%
	Strategic backstopping for project implementation and political visibility and coordination.	Strategic Alliances/partnerships, Meetings, High level political events.	25%
	Follow up of agreements and decisions of the Steering Committee (SC) meetings.	Follow up SC progress reports.	25%

Expected Outputs/Outcomes

Outputs:

1. M&E reports, field visits, interview with national and regional relevant stakeholders.
2. Strategic Alliances/partnerships, Meetings, High level political events.
3. Follow up SC progress reports.

Outcomes:

1. Timely monitoring and evaluation to ensure effective implementation of the project
2. Strategic backstopping to ensure political visibility and positioning of the project.

Reporting: Responsible for drafting and presenting M&E reports (progress and yearly).

Qualifications:

1. At least 4 years' experience on monitoring projects and/or programs in the Caribbean region,
2. Thematic experience on ABS issues as well as international and national policy and legislation is a plus.
3. Experience working in multicultural and multidisciplinary environment.
4. Willing to travel within the Caribbean and internationally whenever is required.

Language: English and Spanish

Background: Relevant experience on project/program M&E, coordination, knowledge on Multilateral Environmental Agreements (MEA's), particularly Convention on Biological Diversity and the Nagoya Protocol. Good knowledge of the Caribbean region and regional institutions.

Terms of Reference Job Description

Project: Advancing the Nagoya protocol in countries of the Caribbean Region.
Post title: Administrative & Financial Staff (time allocated to project 40%)
Duration: 36 months
Duty station: IUCN Regional Office for Mexico, Central America and The Caribbean (ORMACC) San Jose, Costa Rica.
Duties: Responsible to facilitate logistic support as well as administrative and financial procedures and procurements to ensure the implementation of the project.

	Main Duty	Output	Timing
	Drafting and presenting financial progress and year reports according to UNEP- GEF requirements.	Quality and timely submission of financial reports.	40%
	Providing logistics and administrative support to organize meetings, staff and consultants travel, among other relevant project activities.	Meetings, staff travel, consultant travel.	30%
	Ensuring adequate implementation of procurements for contracts, services and acquisitions.	Good and services contracts.	30%

Expected Outputs/Outcomes

Outputs:

1. Quality and timely submission of financial reports.
2. Meetings, staff travel, consultant travel.
3. Good and services contracts.

Outcomes:

1. Timely and effective financial and administrative support to the project.

Reporting: Responsible for drafting and presenting financial reports (progress and yearly).

Qualifications:

- At least 3 years' experience on financial and administrative aspects of projects and/or programs, particularly on GEF projects.
- Experience working in multicultural and multidisciplinary environment.
- Willing to travel within the Caribbean and internationally whenever is required.

Language: English and Spanish

Background: Relevant experience on financial and administrative management, knowledge of GEF procedures. Good knowledge of the Caribbean region and regional institutions is a plus.

Appendix 11: Co-financing commitment letters from project partners

Separate pdf file

Appendix 12: Endorsement letters of GEF National Focal

Separate pdf file

Appendix 13: Draft procurement plan

UNEP Budget Line		List of Goods and Services required	Budget (USD)	Year (Note 1)	Brief description of anticipated procurement process {Note 2}
1200	Consultants				
1201	International Consultants				
	Communications Specialists (Regional) Component 3	Specialists for the design of communication materials such as information sheets, posters and banners; to generate periodic contents for webpage, bulletins, and ABS forum; and to develop contents of radio spots. These services could be provided by one or more specialists located in different countries of the Caribbean. Related to Outputs 3.1.4 and 3.1.5.	40,000.00	Y1, Y2 and Y3 13,333.00 USD per Year	Assignments will be between 1 and 5 months, to cover a maximum of 5 months per year. Due to the value of each contract (between 2,000 and 10,000 USD) the selection of consultants will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews.
	Regional Consultancy to produce Draft Regional Policy. Component 1	Specialist for design and formulation of an ABS regional policy draft. This professional will review, complement and make recommendations to formulate and harmonize, as much as possible, an ABS policy draft at regional level based on the revision, inputs and identification of specific and common countries context and demands. Inclusive of travel costs (ticket and per diems) Related to outputs: 1.2.1, 1.2.2	25,000.00	Y2	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews.
	Regional Consultancy to produce Regional ABS Strategy & Action Plan (2016-2021). Component 2	Specialist for the formulation of a Regional ABS Strategy & Action Plan to be used as guide for involved Caribbean countries into ABS matters. This professional will review and formulate a regional ABS Strategy and Action Plan taking into consideration common needs and demands of Caribbean countries involved in the project. Inclusive of travel costs (ticket and per diems) Related to Output 2.1.4	35,000.00	½Y1, Y2	A request for offers is published on IUCN's website and distributed across networks, providing TORs and deadline for offers as well as evaluation criteria. A minimum of 3 technical and financial offers, with corresponding CVs, will be reviewed. The consultant will be selected based on qualifications, relevant experience, proposed methodological approach, price, and other specific criteria.
	Regional Consultancy to develop	Specialist(s) for the formulation of operational guidelines for ABS policy implementation at national and regional	40,000.00	Y1, Y2 and Y3	A request for offers is published on IUCN's website and distributed

	<p>(a) Operational Guidelines for ABS Policy Implementation.</p> <p>(b) Standardized Training Manual for ABS Implementation. Component 3.</p>	<p>level with institutional roles and responsibilities. The operational guidelines will take into consideration the results of the Draft Regional Policy as well as the Regional ABS Strategy & Action Plan</p> <p>As well, the same consultancy may include the formulation of a standardized training manual/protocols for ABS Implementation at regional/national level.</p> <p>Inclusive of travel costs (ticket and per diems)</p> <p>Related to outputs: 3.1.2, 3.1.5</p>			<p>across networks, providing TORs and deadline for offers as well as evaluation criteria. A minimum of 3 technical and financial offers, with corresponding CVs, will be reviewed. The consultant will be selected based on qualifications, relevant experience, proposed methodological approach, price, and other specific criteria.</p>
	Consultancy to Conduct & Deliver Caribbean Training of Trainers Workshop. Component 3	<p>Specialist(s) to design and deliver methodology and the technical content to implement a Caribbean Training of Trainers Workshop including key line government agencies, and relevant stakeholders to understand ABS concepts, policies and ABS implementing tools and guidelines developed within the framework of this project.</p> <p>Inclusive of travel costs (ticket and per diems)</p> <p>Related to output: 3.1.4</p>	27,500.00	Y1, Y2 and Y3	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
	Regional Consultancy to update/adapt standardized templates for ABS agreements PIC and MAT. Component 3.	<p>Legal Specialist to update adapt standardized templates/ protocols for ABS agreements for Prior, and Informed Consent (PIC) as well as for Mutually Agreed Terms (MAT) to be used as guidelines at regional/national level.</p> <p>Inclusive of travel costs (ticket and per diems)</p> <p>Related to output: 3.1.5</p>	27,500.00	Y2 and Y3.	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
	Consultancy to develop an ABS Business Model for Countries of the Caribbean. Component 3	<p>Economist Specialist (preferable) to formulate an ABS Business Model for Countries of the Caribbean to be used as a guideline at regional/national level to regulate access to bio-prospecting as well as benefit sharing among key involved stakeholders in ABS negotiations.</p> <p>Inclusive of travel costs (ticket and per diems)</p> <p>Related to output: 3.1.14</p>	35,000.00	½ Y2	A request for offers is published on IUCN's website and distributed across networks, providing TORs and deadline for offers as well as evaluation criteria. A minimum of 3 technical and financial offers, with corresponding CVs, will be reviewed. The consultant will be selected based on qualifications, relevant experience, proposed methodological approach, price, and other specific criteria.

1202	National Consultants				
	Consultancies to provide Local Coordination Support Components 1,2,3 and 4	<p>This person will provide coordination/technical/ logistical support for project national Focal Points, on a needs basis, including support the organization of specific events, streamline processes, identify experts, prepare briefs, workshop agendas and minutes, logistics and facilitate discussions, among others.</p> <p>TORs for local coordination support consultants will be agreed between the Regional Project Coordinator and the National Project Focal Points; to ensure that main local needs are addressed; and also in recognition that the participating countries are at different stages of implementation of ABS measures on their respective territories. These consultants will answer to the Project National Focal Points and will also interact directly with Regional Project Coordinator to support the execution of key project activities in the countries of intervention.</p> <p>Related to outputs: 1.3.2, 1.3.4, 1.3.1, 3.1.1, 2.1.5, 3.1.2, 4.1.2, 4.1.3</p>	240,000.00	½ Y1, Y2 and ½ Y3	In each of the countries, assignments will cover 10-12 months across 2 years. Due to the value of each contract (between 2,000 and 12,000 USD) the selection of consultants will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
	Consultancies to produce Draft or Updated National ABS Policies. Component 1	<p>National Specialist for design and policy formulation. This professional will review specific ABS country policies, complement and make recommendations to formulate/update an ABS national policy draft, which will also be taking into consideration as an input for the formulation of the regional ABS Policy Draft.</p> <p>Related to Output 1.2.1</p>	51,500.00	Y1, Y2 and Y3	Each country assignment will have an estimated value (between 4,000 and 6,000 USD) the selection of consultants will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews.
	Local Consultancy to develop Protocols for PIC with Indigenous Peoples. Component 3.	<p>Local Legal Specialists to formulate protocols for ABS Prior, and Informed Consent (PIC) as well as Mutually Agreed Terms (MAT) in at least two indigenous communities. The protocols will be taken into consideration as inputs for the formulation of the regional agreements for Prior, and Informed Consent (PIC) as well as for Mutually Agreed Terms (MAT).</p> <p>Inclusive of travel costs (ticket and per diems)</p> <p>Related to output: 3.1.6</p>	40,536.00	½ Y1, Y2	Each country assignment will have an estimated value (between 6,000 and 10,000 USD) the selection of consultants will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
2100	Sub-contracts (MOUs/LOAs for cooperating agencies)				
2101					
2102					
2200	Sub-contracts (MOUs/LOAs for supporting organizations)				
2201					

2202					
2300	Sub-contracts (for commercial purposes)				
2301	Consultancy for Graphic Design, information sheets, Web Site and ABS forum, ABS Posters and Banners. Radio Spots. Component 3	Printing and graphic design firm to produce information material for each Caribbean country involved in the project as well as at regional messages. Related to outputs: 3.1.4 , 3,1,5	50,000.00	Y1, Y2 and Y3	A request for offers is published on IUCN's website and distributed across networks, providing TORs and deadline for offers as well as evaluation criteria. A minimum of 3 technical and financial offers, with corresponding CVs, will be reviewed. The consultant will be selected based on qualifications, relevant experience, proposed methodological approach, price, and other specific criteria.
2301	International Consultancy to conduct: Scientific study on Bio-prospecting. Component 1	International/regional specialized firm to conduct regional study on mapping main bio-prospecting areas and resources in the Caribbean, produce a road map and recommendations to improve access and benefit sharing. Related to output 1.1.1	20,000.00	½Y1, ½ Y2	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
2301	Stocktaking of Traditional Knowledge. Component 1	International/regional specialized firm to conduct regional study on identifying and stocktaking main traditional knowledge and customary activities that need to be taking into consideration when ABS negotiations are taking place over particular areas and resources. Related to Outputs 1.1.2 and 1.1.3	20,000.00	Y1	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
2301	Development of Standardized Methodology for national registers of marine and terrestrial biological resources. Component 3	Regional/national specialized firm to design and developed a methodology to formulate inventories of marine and terrestrial biological resources to be implemented in involved project countries. Related to Output 3.1.11.	22,500.00	Y2	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews.
2301	Regional Identification and bibliographic compilation of Common Genetic Resources of the Caribbean region.	International/regional specialized firm to conduct regional identification of common genetic	22,500.00	Y2	Due to the value of the contract, the selection of the consultant will not

	Component 3	resources of the Caribbean region, produce recommendations to improve access and benefit sharing. Related to Output 3.1.13			require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews.
2301	Regional Consultancy for Assessment of Legal Framework & Implications of Ratification of NP. Component 2.	Legal regional firm to develop an assessment of at least 5 national ABS legal frameworks in order to identify legislative overlaps and analyze the implications of Ratification of NP. Related to Output 2.1.1	30,000.00	Y2, Y3	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
2301	Regional Consultancy to Develop Draft ABS Bill or Regulations Component 2	Legal regional firm to formulated a regional Draft ABS Bill or Regulation based on the inputs collected by at least 5 countries. Related to Output 2.1.2	34,163.00	½ Y3	Due to the value of the contract, the selection of the consultant will not require a competitive process, and will be based on qualifications, relevant experience and other specific criteria, as determined through CVs and interviews
4200	Non-expendable equipment				
4201	Equipment for Field Office	4 Laptops and 1 data show	8,000.00	Y1	
	GRAND TOTAL		769,199.00		

Appendix 14:

Responses to reviewers. No outstanding issues. (see separate file)