

THE ABS  
CAPACITY  
DEVELOPMENT  
INITIATIVE



L'INITIATIVE DE  
RENFORCEMENT  
DES CAPACITES  
POUR L'APA

## Progress Report 2014

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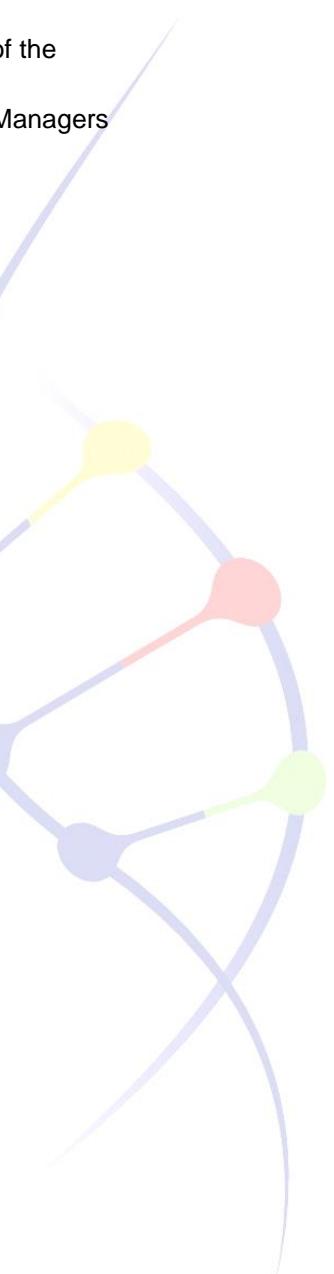
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## List of Acronyms

ABS	access and benefit-sharing
ACCN	German-Moroccan Adaptation to Climate Change and Valorisation of Biodiversity Programme
ACP	Africa, Caribbean and Pacific
AFD	Agence Française de Développement
AIDCO	EuropeAid Co-operation Office
AMCEN	African Ministerial Conference on the Environment
ARIPO	African Regional Intellectual Property Organization
aTK	traditional knowledge associated with genetic resources
AU	African Union
AUC	African Union Commission
BCP	biocultural community protocol
BCS	Beauty Care Solutions
BEST	Bahamas Environment, Science and Technology
BIOPAMA	Biodiversity and Protected Areas Management
BMCC	German-Namibian Biodiversity Management and Climate Change Programme
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung / Federal Ministry for Economic Cooperation and Development
CARICOM	Caribbean Community
CBD	Convention on Biological Diversity
CEPA	communication, education and public awareness
CeSaReN	Cercle pour Sauvegarde des Ressources Naturelles
CGRFA	Commission on Genetic Resources for Food and Agriculture
CHM	clearing-house mechanism
CI	Conservation International
CIKOD	Centre for Indigenous Knowledge and Organizational Development
CIMTECH	Cook Islands Medical Technologies (CIMTECH) Pty Ltd
CISDL	Centre for International Sustainable Development Law
CNA	competent national authority
COMIFAC	Commission des Forêts d'Afrique Centrale / Central African Forest Commission
COP	Conference of the Parties
COTED	Council for Trade and Economic Development
CSIR	Council for Scientific and Industrial Research
DEA	Department of Environment
DELCA	Division of Environmental Law & Conventions
DFG	Deutsche Forschungsgemeinschaft
DFID	Department for International Development
DGIS	Directorate-General for International Cooperation
DHRST	Department for Human Resources, Science and Technology
DST	Department of Science and Technology
DSEWPaC	Department of Sustainability, Environment, Water, Population and Communities
EDF	European Development Fund
EPA	Environmental Protection Agency
ERUDEF	Environment and Rural Development Foundation
EU	European Union
FAO	Food and Agriculture Organisation of the United Nations
FEBEA	Fédération des entreprises de la beauté
FIAB	Forum International Africaine de Beauté
FNI	Fridtjof-Nansen-Institute
FSM	Federated States of Micronesia
GEF	Global Environment Facility
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

GTBAC	Groupe de travail de la biodiversité d'Afrique Centrale / Working Group on Biodiversity in Central Africa
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH
GR	genetic resource
ICC	International Chamber of Commerce
ICNP	Intergovernmental Committee for the Nagoya Protocol
IDLO	International Development Law Organization
IEPF	Institut de l'énergie et de l'environnement de la Francophonie
IFDD	Institut de la Francophonie pour le développement durable
IGC	Intergovernmental Committee
IP	intellectual property
IPLC	indigenous peoples and local communities
IPR	intellectual property right
IPTT	Indigenous Plant Task Team
IRD	Institut de recherche pour le développement
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
IUCN	International Union for Conservation of Nature
LVMH	Moët Hennessy – Louis Vuitton S.A.
MANE	V. MANE Fils S.A.
MAT	mutually agreed terms
MET	Ministry of Environment and Tourism
MLS	multilateral system
MNHN	Muséum national d'Histoire naturelle
MINEPDED	Ministère de l'Environnement, de la Protection de la Nature et du Développement Durable
MNRE	Ministry of Natural Resources and Environment
MOP	Meeting of the Parties
MSP	medium-sized project
NBSAP	National Biodiversity Strategies and Action Plan
NCST	National Commission for Science and Technology
NEMA	National Environment Management Authority
NFP	national focal point
NGO	non-government organization
NORAD	Norwegian Agency for Development Cooperation
NP	Nagoya Protocol on
NPIF	Nagoya Protocol Implementation Fund
NTFP	non-timber forest product
OAU	Organization of the African Union
OAPI	Organisation Africaine de la Propriété Intellectuelle or OAPI / African Intellectual Property Organization
OECD-DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development
OECS	Organization of Eastern Caribbean States
OIF	Organisation internationale de la Francophonie
PGM-E	Programme Almano-Malgache pour l'environnement
PIC	prior informed consent
PPP	public-private partnership
ProPSFE	Programme Sectoriel Forêt et Environnement
R&D	research and development
RESP	Responsible Ecosystems Sourcing Platform
SADC	Southern African Development Community
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SC	steering committee
SCBD	Secretariat of the Convention on Biological Diversity
SEP2D	Sud Experts Plantes Developpement Durable

SGP	Small Grants Program
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
SIDS	small island developing states
TK	traditional knowledge
TTLE	Team of Technical and Legal Experts
UEBT	Union for Ethical BioTrade
UK	United Kingdom
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNSW	University of New South Wales
UNU	United Nations University
UNU/IAS	Institute of Advanced Science of the United Nations University
USP	University of the South Pacific
WGRI	Ad Hoc Open-ended Working Group on Review of Implementation of the Convention
WIN	World Network of Indigenous and Local Community Land and Sea Managers
WIPO	World Intellectual Property Organisation
WPC	World Parks Congress



## 1. Executive Summary

2014 was the last full year of the present project phase 2012-2015. Following the requests of the Steering Committees the Initiative underwent an external evaluation. Based on the results and further suggestions coming from the Initiative's governance bodies a new Programme Document 2015-2020 has been developed for approval by the Joint Steering Committee during the first quarter of 2015.

With the entry into force of the Nagoya Protocol in October 2014, the work of the Initiative in the new phase will focus on assisting countries in the development of national ABS frameworks, the establishment and strengthening of ABS compliant value chains and the effective participation of indigenous peoples and local communities (IPLC).

In 2014, the Initiative attended three major global events significant for its future tasks: the 3<sup>rd</sup> International Conference on Small Island Developing States (UN-SIDS 3) in August 2014, the CBD COP 12 and NP COP-MOP 1 in October 2014, and the 3<sup>rd</sup> IUCN World Parks Congress (WPC) in November 2014. At all of them the Initiative (co-)organized side events to present its work, exchange experiences with other organizations and experts and initiated new or reinforced existing partnerships.

**Established formats and tools developed by the Initiative** once again proved to have great impact on ABS capacity development in 2014. The 8<sup>th</sup> Pan-African ABS Workshop updated participants on the latest international processes relevant to the national implementation of the NP. In addition, participants explored different options for the elaboration of national valorisation strategies and implementation of sustainable ABS compliant value chains – the results also fed into the new programme.

Another successful established format is the ABS training course for young professionals in Africa preparing participants to better regulate and manage ABS in their countries. The fourth edition, co-organized with the *Environmental Evaluation Unit of the University of Cape Town*, focused on marine genetic resources and was tailored to participants of Anglophone coastal countries in Africa. To respond to the high demand from francophone countries a similar training course in French is currently being developed in cooperation with the French Museum of Natural History.

The established training on the linkages between intellectual property rights (IPRs) and ABS – developed in close cooperation with the *Fridtjof Nansen Institute* (FNI) – was repeated twice in 2014 for NFPs from francophone and lusophone African countries preparing them for the legal aspects of ABS negotiations.

**Other formats supporting the development of specific capacities on key features relevant to the implementation of the Nagoya Protocol** have been conducted for the first time. With a focus on enhancing ABS related legal skills in the ACP countries, one training focused on improving the understanding of concepts, obligations and challenges of ABS implementation at the national level. This event was part of a partnership between the *International Development Law Organization* (IDLO) and the ABS Initiative.

Also covering legal aspects, a pilot training course on mutually agreed terms (MAT) – also developed in close cooperation with the FNI – took place in the Pacific. NFPs and representatives from CNAs from almost all island countries of the region were introduced to key elements of ABS agreements, relevant aspects of contract law and negotiation strategies for successful ABS agreements.

The **experience exchange with global development partners** – amongst and with countries having started implementing the ABS provisions of CBD Article 15 in the late 1990s and early 2000s – was highly appreciated by all participating governments and other stakeholders. The first dialogue was held in South Africa in January 2014 triggering a follow-up process for an effective and ownership driven South-South-Exchange on ABS implementation. India hosted a second dialogue in August 2014 and Brazil is considering hosting a third dialogue in 2015 or 2016. While the focus of the first dialogue was to learn from past experiences with ABS implementation, the thematic priority of the second was on key challenges and instruments/approaches considered by countries for the implementation of the NP. As background information for these two dialogues the Initiative, in collaboration with the Governments of Brazil, India and South Africa, commissioned national studies to review the country's experiences



with ABS. The high demand for the studies demonstrated that they are of great value and interest to a wide range of stakeholders.

The intensified support of the Initiative for the **ratification<sup>1</sup> process** of the Nagoya Protocol through regional and national briefings of decision makers and parliamentarians – often conducted in partnership with the CBD Secretariat – is demonstrating impact: Over 50 countries had ratified the NP by 14 July 2014 which led to its entry into force in October. At CBD COP 12 and NP COP-MOP 1 the Initiative was highlighted in several statements by global and regional organisations as well as by country representatives as a backbone of this process. During COP-MOP 1, many delegates from the ACP regions called on the Initiative to continue and intensify its support in this regard.

The Initiative has facilitated consultations between governments and interest groups, which have contributed in turn to the consideration and inclusion of **stakeholder views** in national ABS strategies and policy documents. As a result, codes of conduct with users of genetic resources are under development in a couple of ACP countries, and biocultural community protocols (BCPs) are already being recognized in several (draft) ABS regulatory frameworks.

In recognition of the **role of indigenous peoples and local communities** as providers of genetic resources and associated traditional knowledge, the ABS Initiative continued to support the African BCP Initiative by *Natural Justice* and *ETC-COMPAS*. In its second and final phase, the BCP Initiative assisted communities to make use of their BCPs in consultations with governments and other stakeholders – contributing to greater national recognition of the BCP instrument and the communities in the ABS process as such. Results and recommendations will be published on the community protocols website (<http://www.community-protocols.org>) and as a series of policy briefs. With a view to support indigenous peoples and local communities in more countries, the Initiative was able to initiate GEF SGP funded ABS programmes for Benin, Cameroon and Vanuatu. Furthermore, ABS is now an explicit part of SGP's next operational phase thanks in large part to the funding provided by the Initiative for the secondment of a part-time member of Natural Justice to the SGP secretariat in New York.

As the key financial and technical partner of the African Union Commission for ABS capacity development, the ABS Initiative continued to support the development of the **AU Guidelines on the Coordinated Implementation of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation**. The policy framework and its accompanying step by step Guidelines were finally adopted and endorsed by a technical verification workshop held in August 2014. The policy framework (taking note of the accompanying Guidelines) will be formally sent to African Ministerial Conference on the Environment (AMCEN 15) for official adoption.

A series of interlinked studies were initiated to assess the **business potential for the (commercial) utilization** of genetic resources in the six pilot countries of the UNEP/GEF-4 ABS Capacity Building Project for Africa (Cameroon, Kenya, Madagascar, Mozambique, Senegal and South Africa). Parts of the studies (e.g. on biodiversity based patents) have already been validated and used by countries, others are still being reviewed. The final report, expected to be finalized in March 2015, is contributing – based on empirical data – to a **better understanding** of business models, bioprospecting patterns, intellectual property instruments, custody chains and R&D **approaches of the different sectors that utilizing genetic resources**.

The **direct interaction, mutual learning and collaboration between the ABS Initiative and commercial / non-commercial users** as well as **actors in supply chains** has been reinforced. Formats encompassed *inter alia* studies on ABS implementation (e.g. ABS Best Practices in Southern Africa by PhytoTrade Africa), concept development for ABS compliant value chains (e.g. with LVMH, BASF, MANE), presentations on ABS implementation in the ACP region at business and research conferences (e.g. by UEBT, Cosmetic Valley, UNCTAD, ICC, DFG) and the established Copenhagen ABS Business Dialogue (organized by the ABS Initiative itself in close cooperation with the Danish

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<sup>1</sup> For the sake of simplicity, the term 'ratification' is used throughout this document for all instruments (including 'accession', 'approval' and 'acceptance') that states apply to become party to a treaty, in this case the Nagoya Protocol. For further explanation about the differences see <http://www.cbd.int/world/ratification.shtml>.

Government and the Danish Industry Confederation). The learnings of the business potential studies and on the different groups using genetic resources directly feed into the different capacity development activities of the ABS initiative (technical briefs, trainings, thematic sessions, coaching of providers etc.).

For instance, Cameroonian stakeholders directly benefited from those experiences gained. Here the Initiative was asked to technically and financially support the national ABS process on the elaboration of an interim legal ABS framework and establishing a NP compliant value chain between a local community and a European aromatic products' company.

The work in the **Caribbean** and the **Pacific** continued in a more streamlined mode. In close collaboration with the Secretariats of the Caribbean Community (CARICOM), the Pacific Regional Environment Programme (SPREP) and the Pacific Community (SPC), the Initiative organized one ABS workshop for each of the two regions. The 5<sup>th</sup> Pacific ABS Workshop in November in Sydney focused on marine bioprospecting and the relevance of marine genetic resources in the different business sectors. The 3<sup>rd</sup> Caribbean ABS Workshop took place in St. Lucia in November 2014 and focused on the sharing of experiences and lessons learned in relation to the ongoing processes for ratification and implementation of the Nagoya Protocol. The major international events in 2014, such as UN-SIDS 3, CBD COP 12 / NP COP-MOP 1 and the 3<sup>rd</sup> IUCN World Parks Congress provided opportunities for the ABS Initiative and its partners to highlight the **importance of collaboration and**

**Table 1. Overview on the progress towards achievement of intended outcomes as of 31.12.2014 (against indicators as defined the Initiative's monitoring framework, Programme Document 2011-2015). Ratings of the achievement of outcomes is based on the ratings provided for the individual indicators in chapter 8. Assessment of Impacts, page 19-43.**

Outcome	Very good (almost) achieved	Good well on track in all regions	Problems (partially) delays in implementation	Deficiencies risk to fail
1.1 Partner countries of the Initiative have acquired the analytical and communication skills as well as the essential information necessary for the timely ratification of the Nagoya protocol (in close cooperation with SCBD).				
2.1 Partner countries have created and improved the necessary political, legal and institutional environments through national and regional dialogue processes involving relevant stakeholders for the valorisation of genetic and biological resources (government, private sector, research, IPLCs, etc.).				
2.2 Stakeholder views are reflected in ABS related national strategies and/or policy documents.				
3.1 Pilots and models for ABS partnerships between 'providers' and 'users' for specific value chains have been developed and disseminated.				
3.2 BCPs or equivalent community level procedures function as pilot interfaces between IPLCs and bio prospectors acknowledging local level rights.				
4.1 Government and non-government organizations including funding agencies have integrated ABS implementation in relevant sectors of their work programmes such as environment, agriculture, trade, governance, etc.				
5.1 Concepts regarding the implementation of the NP are developed, experiences, lessons learned and best practices are exchanged.				
5.2 Interfaces to ABS relevant processes are established at international and national level.				
5.3 African countries follow a coordinated approach in implementing and further developing the international regime on ABS.				

**partnership in ABS capacity development.** Together results of the joint work were presented, such as the business potential studies in six African countries together with UNEP/GEF, expert meetings were organized at the margins of the events, e.g. together with IDLO, and joint side events organized (see Annex C for a detailed list).

The partnership with Bioversity International and the Secretariat of the ITPGRFA continued in 2014. The goal of this collaboration is to give technical guidance to the relevant national actors on **mutually supportive implementation of the ITPGRFA and the Nagoya Protocol at national level**. At a tandem workshop in Italy NFPs of the IT and the NP discussed the several challenges and opportunities. One concrete outcome of the workshop was a joint proposal to the Darwin Initiative for mutually supportive implementation of the NP and the IT in Benin and Madagascar.

The Initiative continued to meet the demand for **targeted and applicable communication and knowledge management**, strengthening its role as a knowledge broker on ABS. The website and the "ABS News Digest" have been successfully established with a growing number of subscribers and visitors respectively. Scientific posters on the potential of ABS in different industrial sectors and a fact sheet on marine bioprospecting were developed by the Initiative to convey complex ABS context in a concise manner. These documents have been highly appreciated by our partners.

Donors renewed and further expanded their **financial support to the Initiative**. In 2014 the Initiative reached an actual expenditure of 3.8 Mio Euro. The **Agence Française de Développement (AFD)** joined the ABS Initiative as new donor and committed 1.5 Mio Euro for the initial funding period of 2014 and 2015. In addition to AFD, the donors of the Initiative include the governments of Denmark, Norway, Germany, the EU and IFDD. UNEP/GEF provided parallel funding for specific projects and activities.

Despite visible success, the ABS Initiative was and is facing **challenges**. In 2014, the late finalization of the new co-funding agreements with Denmark and France (which were respectively concluded in November and December) created a particular challenge for the **financial management and the operational planning** as advance funding of expenditure by GIZ is only possible to a limited extent.

**Establishing partnerships with private enterprises** is an ongoing process. The high number of participants from various business sectors at the ABS Business Dialogue held in January 2015 proved that on the part of the private sector there is a high level of awareness on the topic and increasing interest to cooperate with the ABS Initiative. For instance, concepts for establishing ABS compliant value chains in Africa have been jointly developed with French and German companies active in the cosmetic and body care sectors – and some of them are already being implemented (e.g. based on the *Echinops giganteus* ABS agreement with Cameroon).

Further, the productive exchange with business representatives during country visits and international events (e.g. FIAB in Burkina Faso) is ongoing, in many countries opportunities to work jointly with the private sector on ABS compliant bioprospecting and value chains are emerging.

While initial capacity gaps have been filled and conceptual skills have improved there is still a huge **lack of key technical expertise amongst stakeholders at country level**. As the NP is now in force, awareness at the high political level has increased and this has resulted in a growing number of requests by countries for intensified support towards national implementation. The experience of the past years convinced the Initiative that focusing on selected pilot countries is at this particular juncture necessity and this has been carefully taken into account is now reflected in the new project document.

## 2. Formation of the ABS Initiative

### 2005-2008: The Dutch-German ABS Capacity-Building Initiative for Africa

Conscious of the capacity development needs associated with negotiating and implementing an international regime on ABS, and in line with the *Action Plan for Capacity-Building for ABS* adopted by CBD COP 6 in 2002, the Directorate-General for International Cooperation (DGIS) of the Netherlands

Ministry of Foreign Affairs and GTZ<sup>2</sup> came together in 2005 to discuss the joint promotion of capacity development on ABS in Eastern and Southern Africa. As a result, DGIS co-funded GTZ's supra-regional programme "Implementing the Biodiversity Convention" in order to organize a regional ABS capacity development workshop in Addis Ababa, Ethiopia.

Based on the workshop's positive results which were presented at the 4<sup>th</sup> meeting of the CBD Ad Hoc Open-Ended Working Group on ABS in February 2006 in Granada, Spain, the participants' encouraging feedback, and the overwhelming interest of stakeholders from all over Africa, DGIS and GTZ launched the **Dutch-German ABS Capacity-Building Initiative for Africa** at CBD COP 8 in March 2006 in Curitiba, Brazil. The objective was to offer strategic capacity development to African countries regarding both, the implementation of ABS measures at national and sub-regional level as well as the negotiation of the international ABS regime "on eye level" with other negotiating parties. Main instruments at that time were consultative meetings to support necessary Africa-wide multi-stakeholder processes, as well as thematically specific and/or regionally focused studies, workshops and trainings.

### 2008-2011: The ABS Capacity Development Initiative for Africa

Besides kicking off initial national and regional ABS implementation processes in several African countries, the Initiative has significantly contributed to the increased preparedness of African delegates in the negotiations of the international regime on ABS. Already at COP 9 in May 2008 in Bonn, the African Group officially expressed its gratitude for the Initiative's assistance to the region, underlining the necessity for continuous support of the ABS capacity development in Africa. Triggered by the demand of francophone African countries, the *Institut de l'énergie et de l'environnement de la Francophonie* (IEPF)<sup>3</sup> joined the Initiative that same year to advance the integration of Francophone Africa into the Initiative's activities by contributing 100,000 Euro per year for interpretation in pan-African meetings and workshops and translation of relevant documents and studies. With the commitment of IEPF / IFDD – so far prolonged until 2018 – a first step was undertaken to develop the initially Dutch-German partnership into a multi-donor initiative for ABS capacity development for Africa. As such, the Initiative was renamed into the **ABS Capacity Development Initiative for Africa**, with a core contribution by the BMZ amounting from 500,000 to 850,000 Euro per year since 2008.

In 2009, the Norwegian Ministry of Foreign Affairs joined the Initiative committing 20 Mio NOK (~2.4 Mio Euro) to the budget of the Initiative for the period 2009-2011. As integral part of this contribution the renowned Norwegian think-tank **Fridtjof-Nansen-Institute (FNI)** provides its expertise on ABS and related issues such as intellectual property rights, forest laws and linkages to relevant international instruments. Besides FNI, the ABS Initiative co-operates closely with another think-tank, the Montreal based **Centre for International Sustainable Development Law (CISDL)**, which is kindly offering analytical legal expertise and backstopping activities at special partnership rates.

In 2009, Denmark and the European Commission also expressed their interest to become permanent donors of the Initiative. To that effect, the Danish Government contributed in a first step 3 Mio DKK (~450,000 Euro) to the Initiative for the organization of a pan-African Minister Conference on ABS in partnership with the Namibian Government in 2010. With an additional 4 Mio DKK (~536,000 Euro) contribution for 2011 Denmark became a full member of the ABS Initiative in 2010.

In 2009 as well, the EuropeAid Co-operation Office (AIDCO) started to develop a project proposal which included a contribution of 5 Mio Euro over five years to the Initiative. The Biodiversity and Protected Areas Management (BIOPAMA) project was finally approved by the European Commission in December 2010 as part of the Annual Action Programme 2010 in favour of Intra-ACP<sup>4</sup> Cooperation under the 10<sup>th</sup> European Development Fund. The corresponding financing agreement between the EU and the ACP Secretariat was signed in February 2011. With the signature of the delegation agreement between the EU and GIZ in **September 2011**, the EU became a full member of the ABS Initiative

<sup>2</sup>At 1 January 2011 the Deutscher Entwicklungsdienst (DED) gGmbH (German Development Service), the Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ) GmbH (German technical cooperation) and InWent – Capacity Building International, Germany merged to Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

<sup>3</sup>IEPF was renamed early 2013 into *Institut de la Francophonie pour le développement durable* (IFDD)

<sup>4</sup>African, Caribbean and Pacific Group of States under the Cotonou Agreement of 2000

and the regional scope of the ABS Initiative was extended to include besides Africa the Caribbean and Pacific member states of the Cotonou Agreement. As a consequence, the Initiative was again renamed into **ABS Capacity Development Initiative**.

### 2012-2015: The ABS Capacity Development Initiative

Due to the extension of the regional scope of the ABS Initiative from Africa to include the Caribbean and the Pacific regions, the Steering Committee decided during its meeting in March 2012 in Limbé, Cameroon, to establish **three Regional Steering Committees** – one for each of the three regions and that the existing Steering Committee would constitute the African Steering Committee. Furthermore, with a view to facilitate exchange of experiences between the three regions and to allow for a broad discussion of capacity development needs and appropriate approaches, it was decided that a biannual General Assembly back-to-back with CBD COPs should be established.

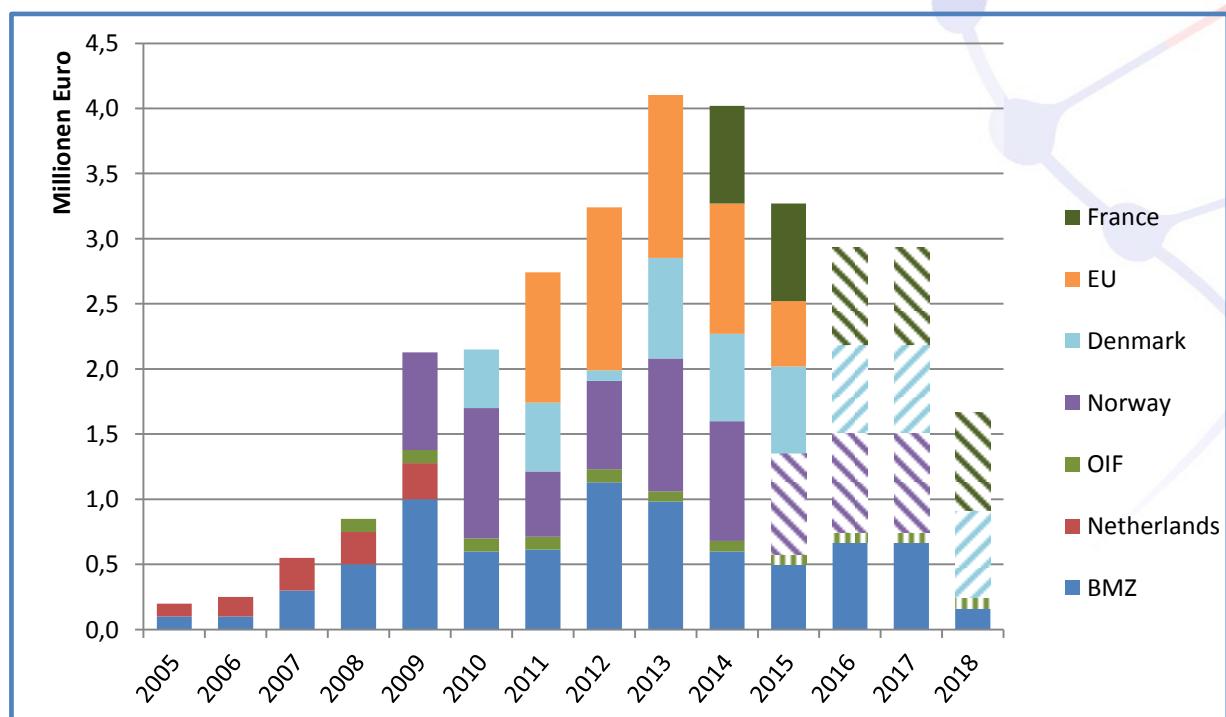
Based on an assessment by NORAD, the **Government of Norway agreed to a second funding allocation** of 20 Mio NKR (~2.6 Mio Euro) targeted for Africa in 2012-2014.

The **Government of Denmark** amended the initial financing agreement of 2009 in several steps and announced that it intends **to provide from 2013 onwards 5 Mio DKK (~670,000 Euro) per year** to the ABS Initiative:

- December 2011 - contributing 570,000 DKK (~76,000 Euro) targeted funding for organizing a business dialogue forum on ABS in mid-2012 in Copenhagen.
- December 2012 – contributing 750,000 DKK (~100,000 Euro) targeted funding for Africa.
- July 2013 – contributing an additional 5 Mio DKK (~670,000 Euro) targeted funding for Africa.
- November 2014 – contributing 10 Mio DKK (~1,340,000 Euro) targeted funding for Africa in 2014 and 2015.

The **Australian Government** committed parallel funding amounting to 300.000 AUD (~250.000 Euro) for 2012 activities of the ABS Initiative in the Pacific. Despite successful collaboration with the Australian National Focal Point for ABS and requests from National Focal Points of Pacific Island States the Australian Government decided not to continue this partnership.

Furthermore, **IFDD contributed 80,000 Euro in 2013 and 2014** to the ABS Initiative and committed the same amount for 2015.



**Figure 1 – Yearly funding commitments of the members the ABS Capacity Development Initiative since 2005. Until 2013 BMZ funds indicate the actual expenditure, from 2014 onwards estimates of minimum expenditure based on current planning cycles. Funds of other donors are included once financing agreements are signed; future commitments still lacking signed financing agreements are ruled.**

Following the decision of the Steering Committee in March 2013 in Phalaborwa, South Africa, the Secretariat of the Initiative continued the discussion with the **Agence Française de Développement (AFD)** about the intended membership of France in the ABS Initiative. These discussions led to a formal decision by AFD in late 2013 to commit **1.5 Mio Euro for 2014 and 2015** to the ABS Initiative. Both sides finally signed the corresponding financing agreement in December 2014. The funding under this agreement will be made available for the period of July 2014 to June 2016.

## Outlook 2015-2020

Based on the findings of an external evaluation which was conducted between November 2013 and February 2014, **BMZ** decided, as host of the ABS Initiative, to **allocate 2 Mio Euro** for a new project phase from **April 2015 to March 2018**.

Early 2015, **Norway** is still working towards a third allocation of 20 Mio NKR (~2.3 Mio Euro). Decisions are expected during the second quarter of 2015.

Based on the firm commitments by the Governments of Germany, Denmark, France and the EU as illustrated in Figure 1 about 2.4 Mio Euro are secured for implementation in 2015 with the prospect to reach 3.2 Mio Euro if the proposed financing agreements with Norway and IFDD can be concluded within the first 3 months of 2015.

Further it needs to be mentioned that the Governments of Denmark and France as well as the EU and IFDD indicated that they already started working to continue supporting the ABS Initiative in the coming years.

## Relevance and Recognition

As a multi-donor initiative, the ABS Capacity Development Initiative contributed to the implementation of some key aspects of the Paris Declaration and Accra Agenda for Action, notably to improve donor harmonization and aid effectiveness, and consequently to better valorise the potential for poverty alleviation at the interface of natural resources management, trade and governance. The Initiative is linked to relevant global biodiversity related environmental processes through established cooperation with the Secretariat of the Convention on Biological Diversity in Montreal and the United Nations Environmental Programme in Nairobi.

The importance of this regional capacity development initiative has officially been recognized at several occasions such as

- Statements of the African Group at relevant CBD meetings since 2006 (WGABS 5, 6, 7, 8, 9, COP 9, 10, 11, 12 and COP-MOP 1),
- letter of acknowledgement of the Executive Director of UNEP, dated 6 May 2009, on the role of the ABS Initiative in supporting the African Group in the negotiations for the Nagoya Protocol (see Progress Report 2011 of the ABS Capacity Development Initiative),
- letter of gratitude of the African chief negotiator, dated 20 November 2010, highlighting some of the positive impacts on the African negotiation team and the significance of the ABS Initiative's work (see Progress Report 2011 of the ABS Capacity Development Initiative),
- COP 10 decision on the Integration of Biodiversity into Poverty Eradication and Development (COP decision X/6, para.12),
- the statement on the ABS Initiative in the Note of the SCBD Executive Secretary on ABS capacity building measures (UNEP/CBD/ICNP/1/4, para. 37): "Although limited to the African continent, this initiative constitutes the most comprehensive attempt to build capacity and awareness on ABS."
- COP-MOP 1 decision 8 on capacity building and capacity development measures (UNEP/CBD/NP/COP-MOP/DEC/1/8) which recognizes "the wealth of experiences and lessons learned as well as the instruments and methodologies that have been developed under various access and benefit-sharing capacity development initiatives, such as (...) the ABS Capacity Development Initiative that has expanded from Africa to other regions", and further highlights in para 12(d) the ABS Initiative as an example of "regional and subregional initiatives that have been effective in building and developing capacities of countries that have similar needs and situations".

- letter of acknowledgement of the UNEP Executive Director highlighting the negotiators' capacity building for ICNP 1 / ICNP 2 and calling donors to support the ABS Initiative's work towards capacity development for national implementation of the Nagoya Protocol,
- reporting of SCBD at the meeting of the African Steering Committee, 2-3 March 2013, held in Phalaborwa, South Africa, which re-affirmed the Initiative's significant role in supporting the SCBD in its ABS capacity building workshops and being a key partner to promote ratification of the Nagoya Protocol (see Report of the African Steering Committee Meeting 2013).
- statements and feedback from various private sector and business representatives on the usefulness of the work of ABS Initiative, in particular on the Copenhagen ABS Business Dialogue between the public and private sector (see report of event).
- letter of the AU Commission to AFD dated 18 November 2013 highlighting the need for more support to African countries to implement the Nagoya Protocol reiterating "to all concerned that the ABS Capacity Development Initiative has been a reliable ally in its technical and financial support to the AU Member States in matters of ABS" and further calling "upon development partners such as the French Aid Agency to establish collaborations and/or to continue existing ones to further enable the ABS Capacity Development Initiative sustain its support to Africa thereby continuing to impact on the existing gaps towards realizing ABS in the region"
- letter of the Executive Secretary of the CBD dated 16 January 2014 expressing his "deep appreciation for the admirable and important contributions of the ABS Capacity Development Initiative in engaging countries in access and benefit-sharing activities" (see Annex A).
- opening remarks at the General Assembly of the ABS Initiative by the Executive Secretary of the CBD express his expectation that the Initiative will continue and scale up its support to countries and that donors will provide the required resources to assist Parties in the implementation of the Nagoya Protocol (see Annex A).

The high recognition is further reflected by the interest of other relevant players at the international level to collaborate with the ABS Initiative in various forms. For example, representatives of ARIPO, AUC, FAO/ITPGRFA, EU, UNDP, UNEP, UNCTAD, WIPO, GEF, SCBD, SADC, UNU, IUCN, OAPI, MNHN, or ICC are pleased to participate in the Initiative's various events and cooperate on relevant issues and projects

Further, relevant government authorities of *inter alia* Brazil, India, Malaysia, Mexico and Viet Nam expressed their interest to share their experiences and to practically exchange on ABS policies and capacity development towards the national implementation of the Nagoya Protocol. In view of making accessible the valuable experiences gained by these countries in relation to the implementation of ABS systems to Africa, the ABS Initiative co-organised in 2013 a **Dialogue on Practical Ways forward for the implementation of the Nagoya Protocol**. This event was hosted by the South African Department of Environment at the end of January 2014 in Cape Town. Country studies on **India, Brazil and South Africa** were commissioned and undertaken to provide further background information and context for the discussions during the dialogue. A second dialogue, co-organised by the Government of India and co-financed by the "Indian-German Biodiversity Programme", followed in August 2014 in Goa.

### 3. Visibility and corporate identity

In 2013 the Initiative revamped its corporate design entirely with a view to ensure higher recognition levels. In 2014, the Initiative efforts focused on producing new materials and tools and on updating existing one. As a result the interest and use of the ABS Initiative's communication tools have both increased (see also outcome 1.1)

**Website:** Measured since May 2014, each month the website has an average of about 1,000 identified visitors and 3,200 page impressions. Hence, the numbers are about **five times higher** than for they were for the old website<sup>5</sup>. The positive feedback provided by users mainly point to two

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<sup>5</sup> To compare: in its last three months of its existence the old website of The ABS initiative had about 200 visitors and 700 page impressions



aspects: (1) the fresh and professional “look and feel” of the website and the corporate design in general, and (2) the structure of the website which makes the content easy to find.

The ABS Initiative’s events and documents have been posted and disseminated on about five **partner websites**, for instance those of IDLO, Bioversity International and Natural Justice. The ABS Initiative has also been mentioned in 11 international and national press releases and media articles.

**Photos from events** have been regularly posted on the new ABS Initiative flickr photo site for download.

In 2014, the number of people receiving the **ABS News Digest** has increased by over 330 subscribers compared to 2013. After deducting those who have unsubscribed or those whose emails bounced back, the total number of subscribers is now at 1,300.

As the demand for the ABS Initiative **USB cards with films and documents** on ABS and the Initiative is still very high, an additional 1,000 have been produced and disseminated at workshops/trainings and global events.

1,900 copies of the **2014 annual wall calendar** have been produced, this time covering the relevance of ABS in business sectors and vice versa. They have been disseminated through the ABS Initiative’s Secretariat and GIZ implemented projects in Namibia, Madagascar and Georgia.

**Three posters on bioprospecting and ABS cases** in the Bahamas, Cook Islands and Ethiopia have been produced with a view to depict the opportunities the Nagoya Protocol can or could offer if effectively implemented. The calendar and the posters are communication input to one of the Initiative’s core processes: supporting the creation of ABS compliant value chains. The posters are displayed at most events organized by the Initiative and at international conferences. The government of the Bahamas asked for permission to reproduce them for their own use. Online versions for the website will be produced by end of March.

A major achievement is also a **fact sheet** developed by the Initiative on the **Relevance of Marine Bioprospecting for ABS Frameworks** which explains why and how marine genetic resources and associated traditional knowledge are of growing importance for ABS.

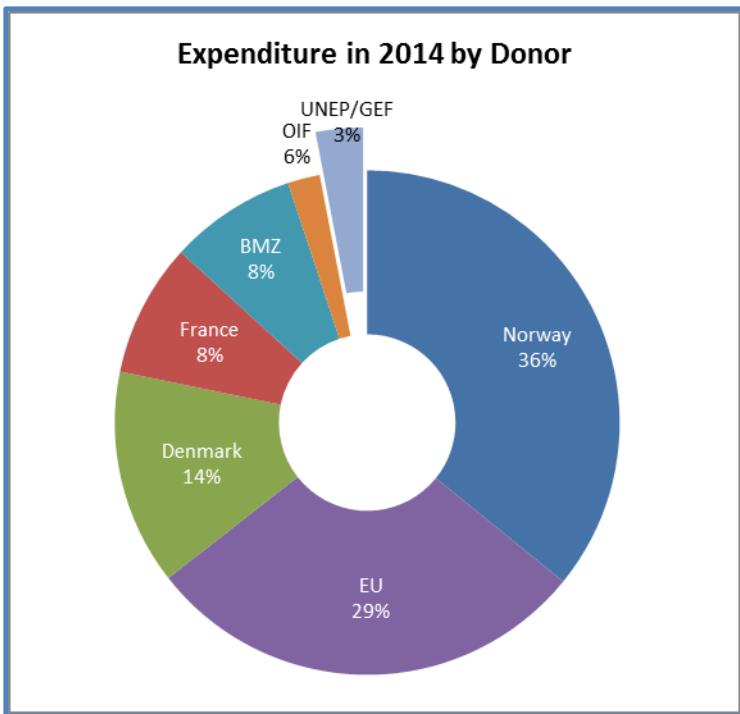
On all mentioned tools, platforms and documents the Initiative’s donors are prominently placed, with their logos and their names. Subsequently all participants of all events (co-)organized and funded by the Initiative or at which the Initiative played a prominent role (about 35 in 2014) are aware of the donors’ role. Through the new website and affiliated partner websites the donors’ online presence has been further improved.

Only at CBD COP 12 and NP COP-MOP 1, the Initiative (co-)organized or was prominently present at **nine side events** where some of the public awareness and information tools mentioned above were disseminated. In addition, these tools were displayed at the fair. At one side event the Initiative, jointly with the SCBD, shared experiences in addressing ABS key players. A focus was on communication strategies and formats, best practices and challenges.

## 4. Finances: Budget and Expenditure in 2014

The projected 2014 budget for planned activities in Africa, the Caribbean and the Pacific amounted to 4.5 Mio Euro whereas the actual **expenditure amounted to a total of 3,8 Mio Euro**, composed of:

- Core-funding contributions of BMZ and the EU.
- Funding contributions of Norway, Denmark and France targeted for Africa.
- Targeted funding contribution of IFDD for interpretation and translation.
- GIZ in-house job orders of BMZ funded bilateral development cooperation projects
- Parallel funds of the regional UNEP/GEF project for ABS capacity development in Africa.



**Figure 2 - Distribution of total expenditure (4.3 Mio €) of the ABS Initiative in 2014 by donor.** The rather uneven shares as compared to the funding commitments (see Figure 1, page 11) are resulting from the actual availability of cash by the different donors (further explanations see text). UNEP/GEF funds are managed separately, i.e. parallel funds to the ABS Initiative budget.

further operations in view of the expected French and Danish funds before the respective agreements actually had been signed.

As in previous years, the SCBD contributed in-kind to the ABS Initiative by actively participating in and contributing to a number of workshops, with logistical support in the context of different meetings and providing substantive advice on technical documents being developed by the Initiative.

Furthermore, the governments of Benin, Namibia and South Africa contributed significantly in-kind to the organisation of workshops hosted by them (see Outcome 4.1 – Amplifying ABS capacity developmentAfrica”, page 36)

## 5. Implementation of the Work Plan 2014: Challenges and Changes

As in the previous reports the major challenge of structuring the work plan for ABS capacity development lies in the fact that many activities carried out by the Initiative are designed to contribute to more than one indicator or even to more than one outcome or one objective. Responding to the discussions at the meeting of the African Steering Committee in March 2013, the majority of activities are outlined in chapter 8. ‘Assessment of Impacts’. This chapter is only highlighting activities with significant changes in either the timing or design as compared to the Work Plan 2014.

In addition, **new activities** which have not been included in the original Work Plan are also described here. All relevant details about the different activities are documented on the Initiative’s website (<http://www.abs-initiative.info>).

### National / regional implementation

Within the framework of the **UNEP/GEF-4 African ABS Capacity Building Project Cameroon, Kenya, Madagascar, Senegal and South Africa** successfully finalised the implementation of their country components by October 2014. The financing agreements with **Kenya** and **Mozambique** were

Further details about the expenditure are provided in the detailed account in Annex B. In 2014 the project was subject to a GIZ internal revision. The report will be available by end of February 2015.

A **major challenge for project implementation** was the late signing of the co-funding agreements with Denmark and France in November and December 2014 respectively. All budget allocations for activities were managed by the Secretariat in accordance with the Work Plan and Budget 2014 endorsed by the Steering Committee during its meeting held on the 15 and 16 March 2014 in Cotonou, Benin, and email silence procedure in June 2014 after the submission of a detailed costing of activities as requested by the Steering Committee. The secured budget at that time amounted to 3.5 Mio Euro as compared to the projected budget of 4.5 Mio Euro for 2014. Pre-financing by GIZ allowed the Initiative to run some limited

extended into 2014 to allow both countries to finalise the planned activities and achieve the intended outcomes. While Kenya managed to do so, administrative difficulties did not allow Mozambique to implement the foreseen activities and the project has thus been cancelled in Mozambique effective 31 December 2014.

**Role of IPLCs in national implementation of the Nagoya Protocol:** This workshop was scheduled for mid-July 2014 and had to be postponed at short notice twice due to new transit visa regulations in South Africa and finally took place in November 2014 in Windhoek, Namibia, causing unexpected costs as contractual obligations could only be cancelled partially.

## Value chain establishment

A partnership concept for establishing **three ABS compliant value chains in Africa** with LVMH has been finalized. The concept further addresses in-house standards for ABS. An application for funding was submitted in summer 2014 to the BMZ funded public-private-partnership programme “develoPPP.de”. However, due to an internal restructuring at LVMH and above all the hand-over of responsibilities from LVMH environment to LVMH research and the establishment of a new R&D policy, elements of the PPP are now under reconsideration. For 2015, the adaptation and implementation of the concept are envisioned.

BASF has repeatedly expressed interest in close collaboration with the ABS Initiative in the identification of GR for potential commercialization with a view to develop ABS compliant value chains. The ABS Initiative took up the role as a broker between the company, the Moroccan government and research institutions in establishing an **ABS agreement related to a potential high value plant from the Arganeraie region**. The GIZ implemented German-Moroccan project *Adaptation to Climate Change and Valorisation of Biodiversity* (ACCN) considered supporting the possible value chain establishment based on an ABS agreement in the context of such PPP. Unfortunately, the targeted substance has not shown the expected activity and further R&D towards developing a commercial product based on a genetic resource from Morocco will most likely not be pursued. However, BASF has already identified other target countries / species for bioprospecting and reiterated its interest to collaborate with the ABS initiative in order to establish ABS compliant and value chains.

Based on a first contact at the “in-cosmetics 2013” trade fair in Paris, MANE started to collaborate with the ABS Initiative to establish **PIC and MAT for the utilization and subsequent commercialization** of *Echinops giganteus* from Cameroon. The ABS Initiative supported all stakeholders (IPLCs, government and company) in concluding an agreement for the R&D phase in 2014. A MAT signature for the commercial phase, including core elements for an agro forestry value chain, is in the planning stage for 2015.

## Amplifying ABS processes

Progress has finally been made in the integration of ABS in the **German bilateral (financial) development cooperation programme in Namibia**. The pre-feasibility study on a R&D platform targeting at the identification of active elements for the valorisation of genetic resources from Namibia and other Southern African countries has been finalized in 2013, determining a possible legal setup of the R&D platform, its management and governance options. This served as a basis for the actual feasibility study of the platform commissioned by the Namibian Ministry of Environment and Tourism, which has been agreed on in the last German-Namibian negotiations. In October/November 2014 an international team was selected and started its work conducting the feasibility study. In parallel a national multi-sector steering committee for the R&D platform was established in order to provide political and technical guidance.

## (Sub-)Regional capacity development and coordination for relevant international processes

The first step towards the finalisation of the **AU Guidelines on a Coordinated Implementation of the Nagoya Protocol in Africa** occurred during a first verification workshop held in October 2013. The delegates decided that they could not finalise the Guidelines without having discussed all parts of the document. Due to delays in writing the technical “step-by-step guide for implementation (Part B)”, the



workshop could only discuss Part A, the Policy Framework. A second expert meeting to discuss the Guidelines was held in February 2014 and the verification of both parts of the documents took place during a workshop in August 2014 in Addis Ababa, Ethiopia. The Policy Framework, i.e. Part A of the Guidelines, will be submitted for adoption to AMCEN-15 at 2-6 March 2015 in Cairo, Egypt. The technical guidelines will be published as AUC documents. All documents will be available in the four official AU languages to support African countries in implementing the Nagoya Protocol in a coordinated way.

**ABS and intellectual property rights (IPRs):** The World Intellectual Property Organisation, Traditional Knowledge Division invited the ABS Initiative to contribute practical examples to a 'Workshop for Indigenous Peoples and Local Communities on IP and TK' in December 2014 in Geneva, Switzerland. For further details see Outcome 4.1.

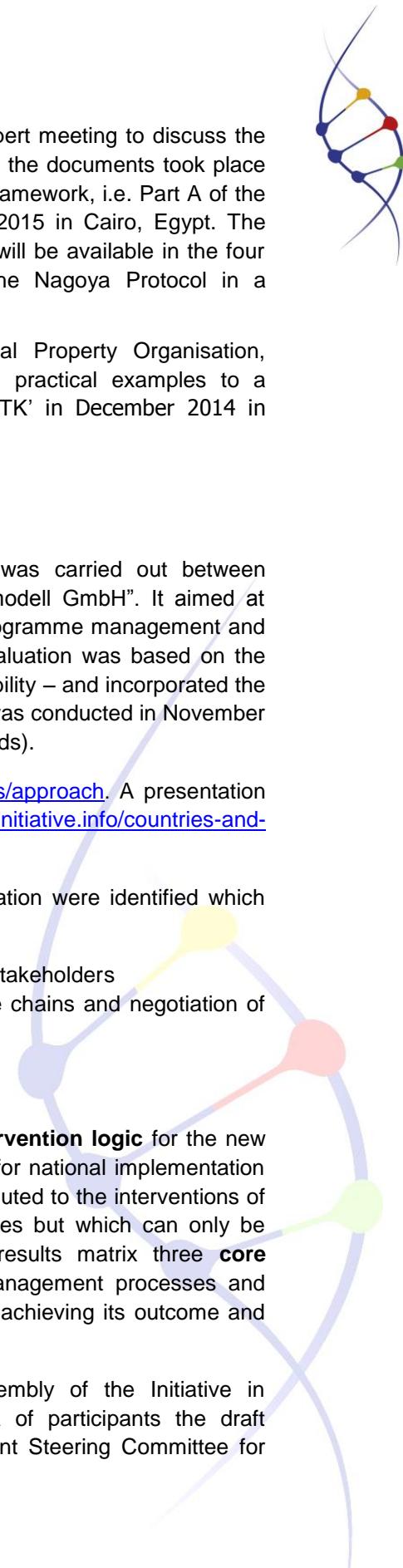
## 6. External Evaluation of the ABS Initiative

The evaluation of the ABS Initiative's programme phase 2012-2015 was carried out between November 2013 and February 2014 by the consulting company "denkmodell GmbH". It aimed at measuring the performance of the Initiative and at drawing lessons for programme management and the conceptualization of a next programme phase beyond 2015. The evaluation was based on the OECD-DAC criteria – relevance, effectiveness, impact, efficiency, sustainability – and incorporated the findings of the EU result orientated monitoring on the ABS Initiative which was conducted in November and December 2014 in three countries (Cameroon, Guyana and Cook Islands).

The evaluation report is available at <http://www.abs-initiative.info/about-us/approach>. A presentation summarizing the key findings can be downloaded at <http://www.abs-initiative.info/countries-and-regions/africa/benin/workshop-8th-pan-african-abs-workshop>.

Based on the evaluation a number of challenges for national implementation were identified which need to be addressed during the next project phase:

- National translation of the Nagoya Protocol (NP) for all concerned stakeholders
- More effectively support the development of ABS compliant value chains and negotiation of ABS agreements
- Building regional capacities for capacity development
- Improving facilitation of learning and exchange



Building on the findings and recommendations of the evaluation, the **intervention logic** for the new phase was redesigned to fully address the necessity to increase support for national implementation processes. The **results matrix** establishes an outcome which can be attributed to the interventions of the ABS Initiative and an objective to which the ABS Initiative contributes but which can only be achieved with contributions of other relevant actors. Based on the results matrix three **core implementation processes** were identified which together with the management processes and auxiliary processes explain the intervention logic of the ABS Initiative for achieving its outcome and objective.

The proposed intervention logic was presented to the General Assembly of the Initiative in Pyeongchang, South Korea (see chapter 7). Based on the feedback of participants the draft Programme Document 2015-2020 was revised and submitted to the Joint Steering Committee for adoption in February/March 2015.

## 7. Steering Committees and General Assembly

### Africa

The annual meeting of the Steering Committee (SC) for Africa took place on 15 and 16 March 2014 in Cotonou, Benin, back-to-back with the 8<sup>th</sup> Pan-African ABS Workshop. As in previous years, donor



representatives used the opportunity to participate for at least a few days in the 8<sup>th</sup> Pan-African ABS Workshop, to intensify their exchange with African stakeholders and to get first hand impressions and feedback on the capacity development needs. The full report of the SC can be downloaded at <http://www.abs-initiative.info/about-us/governance>.

Besides the standard agenda items such as the Progress Report 2013, partnerships and work plan/budget for 2014, the focus of the discussion was on (1) the external evaluation of the ABS Initiative conducted by denkmodell GmbH and (2) the reshaping of the modes of delivery for national support. Based on the evaluators' recommendations and the request of the SC members, the Secretariat revised its monitoring system to provide guidance for adaptive management and strategy modification and established criteria to decide when, how, to what extent and in which countries the Initiative should engage. For the strategic approach for 2014 and beyond, the Initiative considered the necessity of building regional capacity for training and legal and technical support and the inclusion of researchers and exporters in the development of legal frameworks. Same relevance will be given to the link between value chains, nature conservation and the development of sustainable livelihoods for communities.

After the SC meeting, work plan and budget 2014 for Africa were revised by the Secretariat of the Initiative according to the decisions of the SC and subsequently approved by the SC members via email. The revisions took the existing budget constraints (see chapter 4, page 14) into account.

As requested by the Steering Committee, a new system for monitoring staff time allocation to different activities was developed and tested. The new monitoring system will be used by all core team members with the beginning of the new phase of the Initiative.

## Caribbean

The 2<sup>nd</sup> Steering Group meeting took place in November 2014 in St. Lucia back-to-back with the 3<sup>rd</sup> Caribbean ABS Workshop. The Steering Group meeting reviewed its ToR in order to meet the work undertaken more precisely. The meeting also developed a list of activities to be conducted in 2015, amongst them a regional MAT training convened by the CARICOM Secretariat and supported by the Initiative, the adaption of the IDLO training for the region and a regional conference bringing together scientists, economists, and lawyers from public and private entities as well as regulators with a view to enhance the mutual understanding of the needs and operations of the different actors in the value chain, supporting the creation of enabling legal ABS frameworks, and supporting compliance with such frameworks by all actors.

## Pacific

Back-to-back to the 5<sup>th</sup> Pacific ABS Workshop in Sydney, Australia, the 3<sup>rd</sup> meeting of the Pacific Steering Committee took place at 13 November 2014. The discussion focused on the planning of the new phase including the recommendations of the Initiative's external evaluation (see chapter 6, page 17) as well as the work plan and budget for 2015. Based on the fact that the ACP/EU funds will be depleted by mid-2015 the SC recommended that SPREP should assess the budget implications for covering costs of regional workshops and trainings through its regional UNDP/GEF project so that the Initiative would only need covering costs for its trainers and technical resource persons. Furthermore, SPREP and the ABS Initiative agreed to explore how close coordination between the ABS related work of SPREP specifically in the context of the UNDP/GEF project and the Initiative can be ensured. The Initiative committed exploring alternative funding sources with the EU to bridge the gap between the current project phase and expected ACP/EU funding under the 11<sup>th</sup> EDF.

## General Assembly

The second meeting of the General Assembly took place at 18 October 2014 in Pyeongchang, South Korea, back-to-back with CBD COP 12 / NP COP-MOP 1. In their reflection of the outcomes of COP 12 and COP-MOP 1 participants highlighted the reference to the ABS Initiative in statements of many delegates as a **broad recognition of the relevance of the Initiatives' work** as also demonstrated by the references to the ABS Initiative in the COP-MOP decision on capacity development (UNEP/CBD/NP/COP-MOP/1/6) and its Annex 1 on the Strategic Framework for

Furthermore, the discussions during the General Assembly focused on the **draft Programme Document 2015-2020** which was presented by the Secretariat of the Initiative. Participants welcomed the general direction of the document and noted with appreciation that the recommendations of the evaluations have been sufficiently addressed. Concerns were raised by some participants that the wording of the objective and outcome might restrict the future work of the ABS Initiative on capacity development for the implementation of the NP only without being able to sufficiently address issues relevant for achieving the broader third objective of the Convention, such as the linkages to the ITPGRFA or IPR. The debate could finally be solved only by an email exchange with the concerned actors during the following weeks. In addition further comments and suggestions were submitted in writing for consideration in the next draft of Programme Document which was send early December 2014to the members of the Regional SCs and participants of the General Assembly.

## 8. Assessment of Impacts

Responding to the request of the Steering Committee, the report on the implementation of the Work Plan 2014 is structured along the outcome indicators as listed in the Programme Document 2012-2015 and thus provides directly an overview on the **project impacts achieved until the end of 2013** by the different activities supported by the ABS Initiative. Key technical and/or financial contributions by the ABS Initiative are reflected in *italics* in the narrative descriptions of the activities and processes.

### Outcome 1.1 – Support for ratification<sup>6</sup>

Objective 1: ACP countries have ratified the Nagoya Protocol and benefit after its entry into force from its compliance mechanisms at the international as well as national levels.				
Outcomes	Indicators and Status			
1.1 Partner countries of the Initiative have acquired the analytical and communication skills as well as the essential information necessary for the timely ratification of the Nagoya protocol (in close cooperation with SCBD)	<p>At least 8 African and 2 CP countries are using the CEPA material including the CEPA toolkit developed by the ABS Initiative.</p> <ul style="list-style-type: none"> <li>• <b>CEPA Guide launched and copies distributed at COP 11;</b></li> <li>• Triggered by the Multistakeholder Training in Paris (see Outcome 5.1) a process for communication and the involvement of stakeholders in the development of the national ABS strategy has been initiated in Benin (see Outcome 2.1);</li> <li>• New corporate design and information/dissemination tools: ABS News Digest, Flickr, ABS wall calendar</li> </ul> <p>At least 20 African and 6 CP countries have initiated ratification related consultation processes until 12/2013.</p> <p><b>Status of ratifications by 12/2013:</b> Botswana, Comoros, Côte d'Ivoire, Egypt, Ethiopia, Gabon, Guinea-Bissau, Mauritius, Rwanda, Seychelles, South Africa – Fiji, FS Micronesia</p> <p><b>Status of ratifications by 12/2014:</b> Benin, Burkina Faso, Burundi, Gambia, Guinea, Kenya, Lesotho, Madagascar, Malawi, Mozambique, Namibia, Niger, Sudan, Uganda – Dominican Republic, Guyana – Marshall Islands, Samoa, Vanuatu</p>			
Achievement of outcome 1.1 against indicators	<input checked="" type="checkbox"/> very good <i>(almost) achieved</i>	<input type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

As already mentioned in the chapter on visibility, 2014 was the year to keep the content on the Initiative's new CEPA tools and platforms updated and to have significantly more people using them. The **website** had an average of about 1,000 identified visitors and 3,200 page impressions – about five times higher than the figures for the old website. Users appreciate particularly the “look and feel”, the general corporate design and the structure of the website which makes content easy to find.

In 2014, the number of people receiving the **ABS News Digest** is now at 1,300, an increase of approximately 200 net in 2014. After a year of publishing the New Digest, its design was revamped to

<sup>6</sup> For the sake of simplicity, the term 'ratification' is used throughout this document for all instruments (including 'accession', 'approval' and 'acceptance') that states apply to become a party to a treaty, in this case the Nagoya Protocol. For further explanation about the differences see <http://www.cbd.int/world/ratification.shtml>.

allow for better overview. As the demand for the ABS Initiative **USB cards** with films and documents on ABS and the Initiative is still very high, an additional 1,000 have been produced and disseminated.

The following new CEPA tools became available in 2014:

- Three posters on ABS cases in the Bahamas, Ethiopia and Cook Island depicting the opportunities the Nagoya Protocol would have provided if applied.
- A 2014 wall calendar with its 1,900 copies covering the relevance of ABS in industrial sectors and vice versa.
- Fact sheet on the ‘Relevance of Marine Bioprospecting for ABS Frameworks’ explaining why and how marine genetic resources and associated traditional knowledge are of growing importance for ABS.

## Africa

Until 2013 the ABS Initiative supported numerous activities that directly aimed at initiating the ratification processes of the NP in Africa, e.g. by briefing national focal points on relevant procedures in national and international law, participating in SCBD organized ABS briefings for parliamentarians, national / regional high level meetings and targeted bilateral consultations with decision makers. By beginning of 2014 ratification processes have commenced in the majority of the African countries and were mostly at an internal administrative level where the ABS Initiative couldn't provide further support. However the *ABS initiative continued to provide support “on demand”*, e.g. by providing sensitization and information material for national consultations on the NP ratification or by advising key actors on communication and lobbying approaches (see for e.g. Outcome 2.1 Cameroon).

Further at regional level the *ABS Initiative supported the development of two complementary regional ABS projects for Central Africa* attached to the COMIFAC Secretariat, one funded by BMZ and implemented by GIZ, the other funded by the GEF and implemented by UNEP. Both projects aim *inter alia* at the finalization of the ratification of the NP by the ten COMIFAC member states and include sensitization activities for which the CEPA materials of the ABS Initiative will be used.

The *Initiative supported financially three technical AU meetings* (two in 2013 and one in 2014) designed to further the process of developing the guidelines for the coherent implementation of the Nagoya Protocol in Africa where representatives of the AU Commission repeatedly encouraged AU Member States to ratify the Nagoya Protocol, making reference to a decision of the **African Ministerial Conference on the Environment (AMCEN)** in Arusha, Tanzania, in September 2012. In their decision, ministers were calling upon member states to ratify the Nagoya Protocol and endorsed the ABS Initiative supported process of developing the above mentioned guidelines.

At all 2014 major activities conducted or organized by the ABS Capacity Development Initiative or its partners, (e.g. at the 8<sup>th</sup> Pan-African ABS Workshop, the first Dialogue on Practical Ways Forward for the Implementation of the Nagoya Protocol; the Tandem Workshop for the Coherent Implementation of the NP and the ITPGRFA), reference was made on the importance of ratifying the Nagoya Protocol as the major international legal framework on ABS.

The activities mentioned above – underpinned by the diversity of capacity development activities of the ABS Initiative before 2014 – contributed to the fact that a large number of African countries have ratified the NP. Until the end of 2014, 25 African countries had ratified the Nagoya Protocol (see list above) and ratification processes are expected to be finalized in the coming months in a number of other African countries.

## Caribbean

Based on the mandate of the **39<sup>th</sup> Special Meeting of the Council for Trade and Economic Development (COTED) - Environment and Sustainable Development** from 2012 encouraging the ratification of the Nagoya Protocol by CARICOM Member States and requesting the CARICOM Secretariat to collaborate with the ABS Initiative, *an overview of the state of ABS policies and regulations in the Caribbean states was compiled by the Initiative and presented at the 2<sup>nd</sup> regional*

**ABS workshop** in November 2013 revealing that 9 out of 16 Caribbean ACP-countries are progressing with ratification of the Nagoya Protocol. The information received during the **3<sup>rd</sup> regional ABS workshop** in November 2014 revealed that most Caribbean ACP-States entered the process of ratification of which two have ratified the NP already; only Belize and Haiti seem to be in a waiting position still. Since in general Caribbean governments would only ratify the Nagoya Protocol after having set up a national ABS framework, the planned legal and MAT trainings as well as supporting the IUCN executed regional ABS project and the Secretariat of the Organisation of East Caribbean States (OECS) in developing sub-regional ABS regulations in 2015 are directly supporting the ratification process.

## Pacific

A side event on marine bioprospecting organized by the ABS Initiative in cooperation with SPREP and GEF SGP during the 3<sup>rd</sup> UN Conference on Small Island Developing States (SIDS) in September 2014 in Apia, Samoa, triggered participants from Palau to re-engage in the ratification and implementation of the Nagoya Protocol.

The 5<sup>th</sup> Pacific ABS Workshop, co-organised by the Initiative, SCBD and SPREP, was held in Sydney, Australia in November 2014 back-to-back with the IUCN World Parks Congress. Building on previous workshop results stakeholders from all Pacific Island States had the opportunity to exchange experiences and update each other on the status of ratification and implementation of the NP.

These events and the activities of the ABS Initiative before 2014 contributed to the initiation and completion of the ratification processes by the Pacific Island States listed above in outcome table 2.1.

## Outcome 2.1 – National political, legal and institutional environments

<b>Objective 2:</b> Enabling, transparent and accountable national ABS policies and regulatory frameworks are developed and implemented which allow stakeholders of Africa and ACP countries to enter into equitable ABS partnerships with the research community and the private sector.				
<b>Outcomes</b>	<b>Indicators and Status</b>			
2.1 Partner countries have created and improved the necessary political, legal and institutional environments through national and regional dialogue processes involving relevant stakeholders for the valorisation of genetic and biological resources (government, private sector, research, IPLCs, etc.).	At least 20 African and 6 CP countries have ABS related draft policies formulated. <b>Status:</b> Benin, Cameroon, Central African Republic, Gabon, Kenya, Madagascar, Morocco, Namibia, Rwanda, – Cook Islands, Micronesia			
	At least 15 African and 4 CP countries have ABS regulations enacted. <b>Status:</b> Ethiopia, Kenya, Mozambique, Namibia (draft), Seychelles, South Africa, Uganda			
	At least 8 African and 2 CP countries are implementing ABS regulations. <b>Status:</b> Cameroon, Ethiopia, Gabon, Kenya, Madagascar, Malawi, Morocco, Namibia, Seychelles, South Africa, Uganda – Cook Islands, Micronesia			
	At least 5 African and 2 CP (sub-)regional organizations or networks have developed ABS related strategies / policy recommendations. <b>Status:</b> COMIFAC ABS strategy; SADC Biodiversity Strategy; AU Guidelines (draft under development, see Outcome 5.3); PhytoTrade Africa – SPREP			
Achievement of outcome 2.1. against indicators	<input type="checkbox"/> very good (almost) achieved	<input checked="" type="checkbox"/> good Well on track	<input type="checkbox"/> problems (partially) delays in implementation	<input type="checkbox"/> deficiencies Risk to fail

The level of progress of the national implementation of the Nagoya Protocol and the types of support processes provided by the ABS Initiative vary from country to country.

## Africa

**Benin:** The ABS Initiative continued *financially and technically to support the national consultation process on ABS* with the objective to build capacity and develop the national ABS strategy, legislation and institutional framework. To this end, a grant agreement with the national NGO CeSaReN supports activities for awareness raising, stakeholder consultation and pilot measures with local communities. The national ABS strategy was finalized and approved. National consultations for TK documentation

were initiated. Pilot implementation activities were initiated by CeSaReN and other supporting actors in a local community (see Outcome 3.1. and 3.2.).

**Cameroon:** With *technical and financial support of the ABS Initiative* and using also parallel funds of a regional UNEP/GEF project and of the national GIZ implemented forest and environment program ProPSFE, *stakeholder consultations and ABS related studies* have been conducted since 2012, e.g. on traditional knowledge and the national legal framework. The outcomes fed into a national ABS strategy published in early 2013. Further, an ABS committee comprising various ministries and civil society representatives was established to deal with national ABS implementation issues. This committee – *being technically backstopped by the ABS Initiative* – has already started working successfully, establishing a national bioprospecting roundtable. In 2014, the *ABS Initiative technically and financially supported inclusive stakeholder consultations* with respect to the elaboration and validation of an interim ABS legislation in form of a ministerial decree. For its' political backing but also aiming also at the ratification of the NP, the *Initiative also supported an ABS briefing of the Cameroonian Parliamentarians*. A week after the briefing the parliament adopted a motion to ratify the NP and it is now in the Cameroonian governments hands to deposit the instrument of ratification at the UN in New York. Parallel to and supported by the political process, *the Initiative was providing support to the establishment of two ABS compliant value chains (Echinops gigantea and Mondia sp., see Outcome 3.1). Technical backstopping was also provided for the elaboration and validation of a GEF SGP project* aiming at the ABS compliant value chain of Echinops and to the elaboration of a medium sized GEF/UNDP project aiming at the integration of bio-cultural community protocols (BCP) into ABS compliant value chains (see Outcome 4.1).

**Madagascar:** A national ABS roundtable with over 80 participants, including from the private sector and IPLCs was *technically supported and prepared by ABS Initiative* in December 2014. Among others, the focus was on technical briefs and the status quo/gap analysis and a benchmark presentation. Participants agreed on priorities, adopted a roadmap and an approach to an interim ABS regulations and institutional arrangements as well as on the way forward and next steps towards the developing a full-fledged ABS legal frameworks In addition it was agreed to create an intersectoral ABS committee to be steered *ad interim* by the NFP (see also Outcome 3.1 and 4.1).

**Malawi:** In order to facilitate the development of ABS agreements with foreign users of genetic resources from Malawi, the Environmental Affairs Department engaged in identifying appropriate approaches for streamlining the existing research approval process under the National Commission for Science and Technology (NCST) and related collection and export permitting processes involving different government agencies. The 2012 outcomes of workshop *technically supported by the ABS Initiative* in Mangochi lead to the initiation of national ABS regulations within the framework of the draft Malawian Environment Bill which are currently under development and envisaged to be finalized by 2015. The political awareness induced by the process has led to the ratification of the Nagoya Protocol in September 2014.

**Morocco:** After having supported the fine tuning of the scope and working approach of the ABS component of the German Moroccan bilateral project *Adaptation to Climate Change and Valorisation of Biodiversity* (ACCN) in 2013, in 2014 the *Initiative engaged through technical backstopping in various activities implemented by ACCN*. These activities included the strategic planning of activities, sensitization activities for the research sector, trouble shooting for existing bioprospecting cases with ABS potential and technical review and backstopping of the drafting of the national ABS legislation. (see also Outcome 3.1 and 4.1).

**Namibia:** *Technically backstopped by the ABS Initiative* the Namibian Ministry of Environment and Tourism has finalized its draft ABS bill which has been submitted to parliament for final reading in late 2014. However, even without the legal framework formally approved, ABS agreements have already been implemented. For instance, with contributions of BMZ and technical support from the ABS Initiative, benefit sharing agreements for indigenous natural products, such as marula and commiphora, have been concluded. Others are under development. In both, regulatory and valorization regards, the ABS Initiative is closely cooperating with the GIZ implemented programme *Biodiversity Management and Climate Change, BMCC* (see also Outcome 3.1 and 4.1).



**South Africa:** Functioning ABS regulations are not only crucial for the national providers and users, but due to numerous transboundary value chains, shared genetic resources and traditional knowledge also for the entire SADC region. In this regard the ABS Initiative *sustained its exchange and cooperation with stakeholders in South Africa* and neighboring countries – reaching from government over NGOs and research institutions to the private sector. *PhytoTrade Africa conducted on behalf of the ABS Initiative in 2014 a study on ABS best practices in Southern Africa* analyzing real life value chains in relation to ABS policies and regulations being enacted or under development. (see also outcome 3.1). The findings of the study are supporting inter alia the current revision of the South African national ABS regulations – with a view to make them more practical. The Initiative *continued to support capacity building activities* for/with the Department of Environment (DEA), e.g. *experience exchanges with other countries* and for/with the Department of Science and Technology (DST) in the context of *documentation of traditional knowledge*. South Africa has requested the ABS Initiative to provide technical assistance on developing and implementing their Biodiversity Economy Strategy, fostering R&D cooperation with respect to genetic resources and promoting international as well as national ABS compliant value chains. An intensified cooperation between the ABS Initiative and DEA / DST to share their ABS implementation experiences with neighboring countries and to cooperate with in regional capacity development is being discussed. Through a *BCP process under the ABS Initiative funded African BCP Initiative* (see Outcome 3.2) Natural Justice supported the National Khoisan Council in ABS negotiations for five different genetic resources, resulting in the signing of two ABS agreements (see Outcome 3.1).

**Uganda:** In March 2014, the National Environment Management Authority (NEMA) in collaboration with the National Council for Science and Technology and the National Agricultural Research Organisation submitted a concept note to the Initiative asking to support the implementation of the Nagoya Protocol through awareness raising for decision makers about ABS, capacity development and awareness raising for the media, and developing a project proposal for GEF 6 funding. Until approval of the GEF project proposal the Initiative is requested to further support the review of the draft NBSAP, the incorporation of ABS in the National Environment Management Policy, and the existing national ABS legislation to incorporate provisions of the Nagoya Protocol on ABS. *The Initiative and NEMA developed the proposal further* but due to the lack of funding project activities could not be started in 2014. The dialogue with NEMA will be continued in the next project phase starting in 2015.

**UNEP/GEF-4 Capacity Building Project for Africa:** Within the framework of the UNEP/GEF-4 Capacity Building Project for Africa, national measures for ABS regulations have been supported in Cameroon, Kenya, Madagascar, Senegal and South Africa. Activities in the countries are implemented based on financing agreements between GIZ and the respective national executing agencies. *For the five countries the ABS Initiative has primarily been administrating the GEF funds, supported the the respective national planning processes and provided – responding to countries requests – conceptual and technical advice.*

- **Cameroon:** The focus of activities was on (i) training of government officials IPLCs and NGOs, (ii) a study on ABS, TK and IP, (iii) the development of an ABS strategy and (iv) the development of ABS tool kits/manuals and trainings. With all the project activities being completed in 2013, the Initiatives activities concerning the UNEP/GEF-4 project in 2014 were limited to the administrative closure of the project. For activities building on the outcomes of the UNEP/GEF project see Outcomes 2.1 (above), 3.1 and 4.1.
- **Kenya:** The focus of activities was on (i) the development of an ABS tool kit/manual and information material, (ii) the conduction of a national stakeholder workshop and four multi-stakeholder trainings, (iii) the conduction of a national training of trainers for IPLC representatives and (iv) the conduction of trainings for staff at the national level. For several reasons, including administrative delays, activities have only been completed in the extended project period by October 2014. For activities linked to the UNEP/GEF project see Outcomes 3.1 and 3.2.
- **Madagascar:** The focus of activities was on (i) an analysis of existing ABS regulations, (ii) the conduction of multidisciplinary trainings for officials of the ministries, (iii) the elaboration of a national framework on ABS and (iv) the development of a virtual exchange on the website of the

CHM. With the project activities being completed in 2013, the Initiatives activities concerning the UNEP/GEF-4 project in 2014 were limited to the administrative closure of the project. For activities building on the UNEP/GEF project see Outcome 3.1.

- **Mozambique:** The administrative difficulties which were thought to be resolved in 2013 persisted throughout 2014. The planned activities could thus not be implemented and due to the administrative requirements at UNEP and GIZ, the project had to be cancelled in Mozambique.
- **Senegal:** The focus of activities was on (i) the conduction of seven decentralized ABS workshops, (ii) the elaboration of an ABS strategy, (iii) the conduction of a meeting of the ABS committee and (iv) the organization of a validation workshop of the national ABS strategy. With some last activities aiming at the ratification of the NP, project activities were completed in early 2014. Currently, the ratification of the NP is still pending on government level but is thought to be completed over the course of 2015. Besides that, the Initiatives activities concerning the UNEP/GEF-4 project in 2014 were limited to the administrative closure of the project.
- **South Africa:** The focus of the activities was on (i) the development of stakeholder specific training materials, conduction of a technical training workshop and four stakeholder specific workshops on ABS, (ii) the establishment of a web-based CHM, a coordination mechanism and a information portal, (iii) the development of a national ABS management tool including best practice guidelines and case studies, (iv) the production of an ABS film and a brochure on FAQ and (v) an analysis of national policies and an amendment of regulations, as well as the conduction of a public participation process. With the project activities being completed in 2013, the Initiatives activities concerning the UNEP/GEF-4 project in 2014 were limited to the administrative closure of the project. For related activities linked to the UNEP/GEF project see Outcomes 2.1 (above), 3.1 and 3.2.

Besides these activities aiming at national measures for ABS-regulations, another major component of the project was a five-part study on the business potential of GR in the six countries (see Outcome 3.1).

### **Caribbean**

With a view to promote the agenda setting of ABS in the relevant national policy processes of the member states, the **CARICOM Secretariat** is cooperating closely with the ABS Initiative. Awareness on ABS and national implementation of the Nagoya Protocol in the Caribbean is advancing. **Antigua & Barbuda, Grenada and the Dominican Republic** signed the Nagoya Protocol, **Guyana** and the **Dominican Republic** became parties in 2014. *Initiated through the ABS Initiative's regional workshops in the Caribbean Antigua & Barbuda, Dominica, St. Lucia and the Dominican Republic* drafted ABS bills in 2013 with the support of the CARICOM Secretariat. The ABS system of Antigua & Barbuda will be adopted as part of the Environment Bill in 2015. The Dominican Republic is drafting a sectoral biodiversity bill that would be the basis for ABS regulations. With ABS regulations from the 1990s is **Cuba** the only Caribbean country with a functioning ABS system; the updating with regard to the new provisions of the Nagoya Protocol is under way. The ratification of the Nagoya Protocol is expected to happen in 2015.

The ABS Initiative was invited by the Director-General of the **Organisation of East-Caribbean States (OECS)** to support the OECS in developing an ABS policy and media campaign and finally in drafting a sub-regional ABS bill. The Initiative will start a dialogue with OECS to develop a work plan for 2015.

**The Bahamas:** At the IUCN-organized BIOPAMA inception workshop early 2013, *the ABS Initiative proposed and introduced marine bioprospecting* as a main topic in national and regional ABS support. *Background research undertaken by the ABS Initiative's staff* revealed that continued access to a soft coral species in The Bahamas with subsequent R&D, patents and successful development of cosmetic products is taking place which bear the potential for a potential case study. Further the *Initiative triggered discussions* with experts from The Bahamas and the UNEP office in Washington, USA, resulting in the decision of The Bahamas to apply for a GEF MSP on ABS and involving the ABS Initiative as partner. In January 2014, the Initiative participated in an awareness-raising workshop convened by the Bahamas Environment, Science and Technology (BEST) Commission. Most of the participants from government and stakeholder groups were informed the first time about the high



interest of foreign users in access to and utilisation of Bahamian genetic resources, the Initiative presented examples of R&D, patents and commercial products. The outcomes of this workshop triggered the support of the Ministry for the Environment for the development of a national ABS project using remaining funds under GEF-5. The project proposal was accepted by the GEF and USD 100,000 granted to run a project preparation phase starting in Jun 2014. *The ABS Initiative is a core partner of the BEST Commission to undertake several activities until May 2015 to prepare the final project document.* During a visit in Nov 2014, *the Initiative supported the BEST Commission in drafting consultancy contracts, preparing ABS pilot cases and initiating the development of an electronic databank* for past research permits and future ABS permits as basis for an IT-based monitoring and tracking system. Due to administrative delays, the project preparation phase is to begin in 2015.

**Dominican Republic:** In Sep 2014, *the Ministry for the Environment and Natural Resources was financially supported by the ABS Initiative* to conduct a workshop on capacity building for MAT negotiation as well as to conduct a conference at the Diplomacy School of the Foreign Ministry to acquaint decision-makers with the Nagoya Protocol and to support its national implementation. A second workshop on TK documentation systems is foreseen to happen in 2015.

**Guyana:** The Amerindian Act of 2006 gives indigenous peoples full land and resource rights. By consequence, their PIC is required and they have the sole mandate to negotiate MAT. The Environmental Protection Agency (EPA) is in the process to update an existing draft ABS Bill in light of the new requirements of the Nagoya Protocol, aligning it with the Amerindian Act. It was decided to implement the Nagoya Protocol through ABS Regulations. *The ABS Initiative supported the drafting of a legal study* on the existing ABS-related provisions in the current legal framework of Guyana. After a revision process, the study should be published in 2015.

**St. Lucia:** *Initial discussions on possible support by the ABS Initiative* resulted in the decision to start concrete activities supporting the implementation of the Nagoya Protocol in 2014. A first project proposal was submitted by October and *discussed at the 2<sup>nd</sup> Caribbean ABS Workshop*. The national ABS project should focus on multistakeholder consultations for ABS policy development and drafting an ABS bill. Based on the consultations targeted awareness raising and media work will be undertaken. Due to a lack of funding, the start of project activities was postponed. The discussion will be resumed in the new project phase in 2015.

## Pacific

**Cook Islands:** Triggered by discussions at the margins of the Oceania Biodiscovery Forum (see Outcome 2.2) in November 2012 the development of a *GEF NPIF proposal was initiated with technical advice of the ABS Initiative*. The project aims at adapting the draft ABS Bill (Biological Research and Benefits Bill) of 2006 to the provisions of the Nagoya Protocol based on the lessons learned from the ABS agreement negotiated between Cook Islands Medical Technologies (CIMTECH) Pty Ltd and the Koutu Nui (legally recognised assembly of traditional leaders and healers). Consecutively in November 2013 *the Initiative also supported stakeholder consultations* to inform about the Nagoya Protocol and identify gaps in the proposed access and PIC procedures. It is expected that the GEF NPIF project document will be submitted by the UNDP consultant in 2015 to the GEF for approval.

**Micronesia (Federated States of):** After the ratification of the NP in January 2013 the Department of Resources and Development conducted national stakeholder consultations and a gap analysis regarding the implementation of the Protocol. In parallel the National Focal Point requested *technical support from the ABS Initiative for formulating an ABS policy and a roadmap* for developing the federal and state level regulatory ABS framework. In August 2013 the FSM Department of Resources and Development organized with the *financial and technical support of the ABS Initiative* a national ABS Capacity and Policy Development Workshop in Pohnpei. *Workshops at state level for drafting an ABS policy were held with the support of the Initiative* in November 2013 in Chuuk and in September 2014 in Pohnpei.

**Palau:** Based on a series of *consultative meetings conducted by the ABS Initiative* together with the Australian ABS NFP in May 2012 – addressing stakeholders (government authorities, ministers, the

President, the Traditional Council of Chiefs, research institutions and civil society), *recommendations for the implementation of the Nagoya Protocol were developed and submitted* to the ABS National Focal Point of Palau. Triggered by a side event on marine bioprospecting organized by the ABS Initiative during UN-SIDS 3 (see Outcome 7.1) in September 2014 in Apia, Samoa, the Office of the President of Palau requested the ABS Initiative to further support the NP ratification and implementation process. A national consultation workshop is scheduled for early 2015.

**Samoa:** Briefing meetings with representatives of the Ministry of Natural Resources and Environment and the Scientific Research Organization of Samoa were held in March and May 2012 jointly with representatives of the SCBD and the Institute of Advanced Science of the United Nations University (UNU/IAS). With the support of UNU/IAS Samoa continued in 2013 the ratification and national implementation process. At the margins of UN-SIDS 3 in September 2014 *a representative of the ABS Initiative met with the legal drafter in the Ministry of Natural Resources and Environment (MNRE) to discuss the latest draft of the ABS bill*. Several topics requiring political decisions before finalising the legal provisions were identified.

**Vanuatu:** A series of consultative meetings with relevant government authorities was held in March 2012 jointly with a representative of UNU/IAS and a researcher of the University of New South Wales (UNSW) in order to identify support needs in Vanuatu on its way towards ratification and implementation of the Nagoya Protocol. Further consultative meetings were jointly held with civil society organisations, the Department of Environment and Conservation and a representative of the GEF Small Grants Programme (GEF SGP)<sup>7</sup> in November 2012 leading to the development of a GEF SGP funded ABS CEPA programme for Vanuatu's local communities which was approved in 2013. Project implementation started 2014.

## Outcome 2.2 – Stakeholder views are reflected

<b>Objective 2:</b> Enabling, transparent and accountable national ABS policies and regulatory frameworks are developed and implemented which allow stakeholders of Africa and ACP countries to enter into equitable ABS partnerships with the research community and the private sector.				
Outcomes	Indicators and Status			
2.2 Stakeholder views are reflected in ABS related national strategies and/or policy documents.	BCPs or equivalent community level procedures are recognized in ABS regulatory frameworks in at least 5 African / 2 CP countries. <b>Status:</b> Benin, Cameroon (draft), Ethiopia, Kenya, Liberia (draft), Morocco (ongoing elaboration of draft), Namibia (draft), South Africa, AU Guidelines (for endorsement by AMCEN in 2015) – Cook Islands (draft), Micronesia, Palau, Vanuatu (draft)			
	Interests of national research organisations, academia and the private sector are reflected in ABS regulatory frameworks in at least 5 African and 2 CP countries. <b>Status:</b> The active participation of the above mentioned interest groups in the elaboration of ABS regulatory frameworks Cameroon (IPLC, academia and legislators) and Morocco (academia) is ensuring the reflection of their interests in the regulatory frameworks. Informal interviews in Cameroon for example revealed a high satisfaction of the above mentioned stakeholder groups. Also, the development of the national ABS strategy in Benin was a highly participative process, based on the ABS Initiative's moderation. In most Pacific Island States IPLC own at least 80% of the land. ABS agreements without the involvement of the traditional authorities are not possible in the above mentioned countries.			
Achievement of outcome 2.2 against indicators	<input checked="" type="checkbox"/> very good <i>(almost) achieved</i>	<input type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

In partnership with GEF SGP, the *ABS Initiative strengthened the capacity of national SGP focal points and committees regarding ABS and community level procedures*, such as BCPs, in order to generate SGP-funded projects at community level (see Outcome 4.1):

- In Africa, grants were approved in Benin and Cameroon.
- In the Pacific, a strategic grant was approved in Vanuatu (see Outcome 2.1) and grants are under discussion for Micronesia and Cook Islands.

<sup>7</sup> See Outcome 4.1 on the collaboration between the ABS Initiative and the UNDP implemented GEF Small Grants Programme (SGP)

- In the Caribbean, a draft proposal is under discussion in Saint Lucia.

## Africa

*Financially supported by the ABS Initiative, Natural Justice and ETC-COMPAS implemented the African BCP Initiative.* In its second phase, this BCP Initiative increasingly supported communities to use their BCPs in dialogue with the government and other stakeholders, thereby contributing to greater recognition of the instrument (see Outcome 3.2).

As a growing number of African countries are now in the process of developing their domestic ABS policies and legislations, IPLCs need support in strategy development, coordination and activities at the national level. Responding to these demands, *the Initiative organized a workshop on ABS implementation for IPLCs in Namibia in November 2014.* The workshop aimed to strengthen ILPCs' coordination and engagement in ABS policy development and implementation. It initiated the formation of national IPLC networks for ABS implementation and aimed to kick off continuous and longer-term involvement of the participants at country level. Hence, in an application process teams of two to four people were selected for each participating country whose activities could be further accompanied in the Initiative's upcoming programme phase.

Furthermore, **support activities undertaken by the ABS Initiative at national and regional level** are directed towards a better understanding of stakeholder perspectives and interests in regulatory ABS frameworks. Examples are:

- In 2014, the multi-stakeholder process of developing the national ABS strategy and policy in Benin continued and the strategy was finalized and approved (see outcome 2.1). A national consultation process about TK documentation was initiated with a meeting of TK holders.
- **Dialogue/negotiation meetings** between user, providers, civil society and national authorities took place in Cameroon in view of negotiating an ABS agreement on the utilisation of Echinops (see outcome 3.1). These exchanges were taking place in parallel to the development of a national ABS regulatory framework and were informing that process.
- **Consultative meetings with relevant stakeholders in Morocco**, such as a national meeting of all major research institutions and local cooperatives took place in the framework of the GIZ implemented bilateral project *Adaptation to Climate Change – Implementing the Nagoya Protocol* (see outcome 4.1).
- To provide guidance to the feasibility study on the **Research and Development Platform in Namibia** a steering committee was created comprising relevant Namibian government authorities, and further stakeholders from research, private sector and civil society
- In the SADC region **public-private sector exchanges** were intensified and **specific fora** (e.g. the South African **Biodiversity Indaba**, mid-2014) were actively attended to consider **stakeholder views** in the context of the study *ABS Best Practices in Southern Africa* (see Outcome 3.1).

## Caribbean

At the 2<sup>nd</sup> Caribbean ABS Workshop *the ABS Initiative invited the Jamaican SGP representative* to participate. This laid the basis to an agreement between the ABS initiative and CARICOM that national **SGP representatives and organisers of biodiversity-related SGP projects** will be invited for future workshops and activities. At the 3<sup>rd</sup> Caribbean ABS Workshop in St. Lucia the national SGP representative played a crucial role, especially in integrating the Secretariat of the OECS into the regional ABS discussions. If the work on Saint Lucia's project proposal will be continued in 2015, the SGP coordinator will be included in the working group.

Concrete *support activities of the ABS Initiative* in Guyana started in 2013 with a cooperation of the non-governmental **Justice Institute Guyana** jointly convening a workshop on **empowering indigenous people and local communities to use the Nagoya Protocol** in December 2013. Despite several attempts by the Initiative, the planned follow-up processes could not be realised in 2014 (see Outcome 3.2).

As in previous years, the Initiative invited various stakeholders to attend the 3<sup>rd</sup> Caribbean ABS Workshop. With a view to broaden the basis for future collaboration the Initiative regards the presence of a representative of the newly founded Caribbean Chapter of the International Society for Economic Botany, of the Caribbean Agricultural Research & Development Institute, and some other academic institutions as significant. The preparation of the scientific conference in 2015 should profit from the increasing contact of the Initiative to academic institutions in the region, since valorisation and development of value chains start usually with research activities.

## Pacific

The **Oceania Biodiscovery Forum** in 2012 which was *jointly organized and funded by the ABS Initiative and the Department of Sustainability, Environment, Water, Population and Communities (DSEWPaC)*, the Competent National Authority for ABS in Australia provided National Focal Points and other stakeholders from Pacific Islands with the opportunity to better understand the bioprospecting activities of mainly Australian research institutes and biotech companies. For more details on the events refer to the Progress Report 2012.

The 5<sup>th</sup> *Pacific ABS Workshop*, co-organised by the Initiative, SCBD and SPREP, in Sydney, Australia in November 2014 exposed stakeholders to **marine bioprospecting activities** of regional (USP, IRD Polynesia) and national (Palau International Coral Reef Center) research organisations in the Pacific as well as the **business model and bioprospecting experiences** and successes of Nimura Genetic Solutions, a business-to-business oriented Japanese biotech company.

## Outcome 3.1 – ABS partnerships between providers and users

Objective 3: Valuation of genetic resources in provider countries is improved and functioning ABS agreements contribute to biodiversity conservation and livelihoods of rural populations.				
Outcomes	Indicators and Status			
3.1 Pilots and models for ABS partnerships between 'providers' and 'users' for specific value chains have been developed and disseminated.	ABS agreements are in place in at least in 5 African and 2 CP countries. <b>Status:</b> Malawi (draft), Cameroon (Memorandum for the research-phase signed and MAT negotiations for the commercialization phase are ongoing), Namibia, South Africa (non-disclosure agreement), PPP for ABS agreements in Morocco/Namibia under consultation; PPP development for Burkina Faso, Gabon and Madagascar currently on hold as company is re-orientating its R&D approach CEPA material is being used in the negotiation of a MAT (Echinops) in Cameroon and has been used in the sensitization of the research sector in Morocco.			
Achievement of outcome 3.1 against indicators	<input checked="" type="checkbox"/> very good <i>(almost) achieved</i>	<input type="checkbox"/> good <i>Well on track</i>	<input checked="" type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

The ABS initiative continued the **dialogue with users of genetic resources** from the private sector and from applied research during 2014 with companies from all relevant user sectors and business associations (German Biotech Association, French Cosmetic Association, Natural Resources Stewardship Circle, Danish Industry Confederation, International Chamber of Commerce, etc.) in order to better understand the different R&D and business models, to support trust building and to screen opportunities for bioprospecting, developing ABS agreements and ABS compliant value chains with providers in ACP countries. Besides these individual exchanges the ABS Initiative supported and organized targeted workshops with the private sector such as the *Public-Private Sector Exchange in Southern Africa* (February 2014) or the *Copenhagen Business Dialogue* (January 2015) which has become a renowned and demanded exchange forum for users and providers.

In 2014, these processes led to first (pilot) project approaches on ABS compliant value chains with the private sector: on a basis of open exchange with corporate industry facilitating the negotiation and signature of a bioprospecting agreement (research phase) and the validation of an GEF SGP funded ABS project in Cameroon (see Outcome 2.1 and below); in supporting the preparation of a GEF-NPIF project for the Cook Islands (see Outcome 2.1) and in developing a comprehensive GIZ supported public-private partnership agreement between Morocco / Namibia and a French aromatic products company .

Other evidence of private sector demand for cooperation with the ABS Initiative in order to partner on ABS compliance in bioprospecting and R&D in 2014 include for example:

- The invitation of a French natural pharmaceutical/cosmetics leader to the management of the initiative to join from 2014 onwards their advisory board in order to recommend on corporate ABS issues,
- The request of the Danish Industry Confederation to – jointly with the ABS Initiative – sketch out an explorative visit of their members to the Southern African region in 2015 in order to identify possible ABS partnership projects.
- The request of the Responsible Ecosystems Sourcing Platform (RESP) for a cooperation with the ABS Initiative to compile and assess key standard processes within R&D of the cosmetic and bodycare sector with respect to scope and definitions of the Nagoya Protocol and national regulatory ABS frameworks.
- The suggestion by the International Chamber of Commerce and the German Biotechindustry Association to develop in cooperation with the ABS Initiative technical briefing papers that explain sectoral R&D and business models for better informed MAT negotiations.

An important step towards facilitating the partnerships between providers and users was the Initiative's participation at the 4<sup>th</sup> International Forum "Africa and Beauty" in February 2014 in Ouagadougou, Burkina Faso. The forum was a great opportunity to exchange with representatives of global companies, such as LVMH, and representatives from provider countries about the valorization of biodiversity and ABS compliant value chains.

## Africa

Further progress has been made regarding dialogue and co-operation with the private sector on ABS.

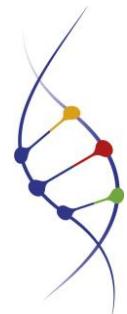
In January 2015 the *Initiative organized the 4<sup>th</sup> ABS Business Dialogue* "The Nagoya Protocol on ABS – Implementing the Green Economy" in Copenhagen, Denmark. Regulators of mainly provider countries, representatives of collections, research organisations and private sector exchanged about the status of national implementation of the NP and approaches developed by users to comply with the NP leading to jointly developed recommendations on how to address 'access' and 'benefit-sharing' in national regulatory ABS frameworks.

On the other hand the *ABS Initiative* with its trust based relationship to key actors in provider countries, knowledge and involvement in regulatory developments, stakeholder network, ABS and capacity development expertise *has been invited to attend and present at numerous private sector related events, e.g.*

- Forum International Africaine de Beauté (FIAB) – Ouagadougou, Burkina Faso, February 2014
- UEBT Beauty of Sourcing with Respect – Paris, France, April 2014
- Side event at 'in-cosmetics fair' – Hamburg, Germany, April 2014
- Business and Natural Capital: Dialogues for a Sustainable Partnership – Brasilia, Brazil, May 2014
- International Cosmetopé Congress, Cosmetic Valley – Chartres, France, May 2014
- Fédération des entreprises de la beauté (FEBEA) consultative meeting on ABS – Paris, France, May 2014
- PhytoTrade Africa Annual General Meeting – Harare, Zimbabwe, June 2013
- Global Partnership Meeting on Business and Biodiversity – Pyeongchang, South Korea, October 2014
- International Chamber of Commerce: Working out ABS – Paris, November 2014

The continuous exchange with the private sector resulted in a number of processes exploring possibilities of collaboration with the ABS Initiative and provider countries.

In 2013 and during 2014 a **public-private-partnership (PPP)** between the French cosmetic and luxury goods holding **LVMH** and **GIZ** on the establishment of ABS compliant value chains for cosmetic products – including bioprospecting elements – in four African countries (Morocco, Burkina Faso, Gabon, and Madagascar) **was elaborated with technical support from the ABS Initiative**. A further



element of the PPP was the elaboration of ABS guidelines and standards for the entire LVMH group and their supplying small and medium sized companies. The proposal was submitted by LVMH to the GIZ DeveloPPP unit in September 2014 for consideration. A concrete work plan was to be established by end of 2014. Due to changes at LVMH the PPP is currently on hold (see chapter 5, page 15).

The *ABS Initiative conducted in 2014 several meetings with BASF Beauty Care Solutions (BCS)* in Paris on to establish a second PPP project on the utilization of a GR from Morocco. Unfortunately the R&D was not successful, i.e. low commercialisation potential of the GR, and this option for a PPP was dropped. Based on the good working relations, BASF BCS is requesting the facilitation of ABS compliant value chain establishment in other provider countries.

Further, **numerous cosmetics and body care companies** are asking for facilitation by the ABS Initiative to establish ABS compliant value chains and to negotiate ABS agreements with actors in ACP countries. So far many of these requests are not specified yet as companies in these sectors are generally requiring the signature of a confidentiality agreement with the ABS Initiative before disclosing specific genetic resources and potential provider countries. Thus to be able to engage in these concrete collaborations with users the ABS Initiative is currently developing a standard confidentiality and non – disclosure agreement form.

In order to develop hands-on recommendations for decision makers in administration, research and private sector in the region *the ABS Initiative supported financially and technically PhytoTrade Africa*, to conduct the study **ABS in Southern Africa – Developing Policy and Implementing Best Practices**. The project started 2013 with an empirical phase and is being finalized end of 2014, the publication of the study is planned for spring 2015. Its objective is to support the development of regulations and procedures for the national implementation of the Nagoya Protocol based on practical case studies on current value chains (kigelia, baobab, marula, devil's claw) as well as utilisation schemes of biological and genetic resources in the Southern African region. In this context ABS relevant regulations were assessed in Botswana, Madagascar, Malawi, Mozambique, Namibia, South Africa, Swaziland and Zambia. Particular attention is given to transboundary aspects of value chains and the resulting challenges for national ABS systems and regulators. Based on country and utilisation assessments, as well as a gap analysis on existing relevant laws and regulations in the Southern African region a workshop was held mid-February 2014 in Pretoria, South Africa, to elaborate recommendations for an improved cooperation between the private sector, research, national governments and the SADC Secretariat.

In **Benin**, the *Initiative financially supported pilot activities carried by the NGO CeSaReN towards the development of a BCP, documentation of GR and aTK, and the building of potential value chains for medicinal resources held by a specific community*. A first scoping of GR and aTK in the community revealed a dozen genetic resources with active components, of which two were deemed of high potential for further R&D. The National Laboratory of Pharmacognosy in Porto Novo, Benin, conducted first analyses.

In **Cameroon**, the *ABS Initiative supported dialogue, negotiations and the signature of an ABS agreement for the research phase for an ABS compliant utilization of the globe thistle species *Echinops giganteus* between the provider community, the user (the French fragrance and flavours producer MANE) and the Cameroonian Minister of Environment*. In parallel, *the Initiative facilitated the establishment of the respective value chain which included the clarification of the interplay between existing research and exportation permits and ABS procedures*. The processes to which the *ABS Initiative provided technical and legal advice as well as limited financial support* were an opportunity for national authorities to reflect on institutional arrangements to be put into place for granting access to GR in the future. This in turn was informing the drafting and validation of a national interim decree regulating ABS until legislation can be enacted.

In parallel *the ABS Initiative is technically supporting the development of a GEF Medium-Sized Project by UNDP and Natural Justice*, entitled: “*A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon*”. The Initiation Plan Template for this project has been signed in November 2014 and the respective consultations will start in January 2015, so that project activities are expected to start towards the end of 2015.



In **Kenya** the ABS Initiative was invited to provide input to a workshop on research activities in the Soda Lakes in December 2013 – a hotspot for extremophile bioprospecting by public research and industry. Access to these genetic resources and subsequent R&D are not sufficiently addressed by the current Kenyan ABS regulations and only partially covered by ABS agreements. In order to unfold the ABS potential of these and other Kenyan ecosystems the Kenya Wildlife Service (KWS) and the National Environmental Management Authority (NEMA) have requested the ABS Initiative to technically and financially support the revision of the national regulations and the elaboration of sound and tailor made ABS agreements with academic and industrial users. *The proposal is under consideration by the ABS Initiative and subject to the availability of funds.* The Initiative has further been asked to advise on the implementation of a GEF-NPIF project supporting an ABS agreement covering microbial biotechnology and its industrial application (see also Outcome 2.1). While it was not possible to attend the inception workshop of the GEF-NPIF project in December 2014, the ABS Initiative supported technically in the ‘National Key Stakeholder Dialogue on ABS’ in January 2015 in Naivasha, Kenya. The resolutions of the meeting encompass strategic and farsighted technical policy recommendations on national ABS implementation supporting sustainable development through conservation and utilization of the country’s genetic resources.

At the request of the national ABS Focal point of **Madagascar** the *Initiative has provided strategic and technical advice* on responding to bioprospecting applications and draft ABS agreements elaborated by European companies – taking into account the non-existence of national ABS regulations. Further in 2014, *the ABS Initiative started with the support of the GIZ implemented Programme Almano-Malgache pour l’environnement (PGM-E) and in cooperation with UEBT to organize a sustainable harvesting and ABS round table between malagasy stakeholders and European companies that are actively sourcing biological / genetic resources in the country.* The round table was scheduled to take place in February 2015 but had to be postponed due to inaccessibility of the sourcing terrain due to cyclones. (see also Outcome 1.2 and 4.1).

In **Namibia** the Ministry of Environment and Tourism (MET) requested in 2014 the ABS Initiative to strengthen capacities of key national institutions such as the Interim Bioprospecting Committee (IBPC) and the Indigenous Plant Task Team (IPTT) on legal and economic aspects that are key for the negotiation of fair and equitable ABS agreements with academia and/or enterprises currently undertaking bioprospecting and R&D on Namibian genetic resources. *The outline sketched by the ABS Initiative in spring 2014 aims at developing a plant biodiversity valorisation strategy owned by all relevant Namibian stakeholders.* The GIZ implemented programme Biodiversity Management and Climate Change (BMCC) has flagged willingness to co-finance such an approach (see also 4.1).

In **South Africa**, as a result of the African BCP Initiative, Natural Justice supported the National Khoisan Council in dialogues and negotiations concerning five different genetic resources with associated traditional knowledge. One ABS agreement has been signed on the use of buchu (*Agathosma spp.*) between the Council and a national business, Cape Kingdom, and a second agreement is being negotiated on rooibos (*Aspalathus linearis*) with Nestlé.

Besides support to national ABS implementation in the six country **UNEP/GEF-4 Capacity Building Project for Africa** (Cameroon, Kenya, Madagascar, Mozambique Senegal and South Africa see outcome 2.1) the ABS Initiative also focused on gathering and providing information about the relevance of the countries biodiversity for the valorization in the context of ABS. A series of analyses and studies were conducted exploring (i) *the countries biodiversity in the global patent system*, (ii) *the national actors involved in activities related to the utilization of GR*, (iii) *the links between patent documents, values chains and markets*, (iv) *country specific recommendations* to inform the development of national ABS frameworks and the valorization of GR and (v) *four sector reports* on the GR, users, R&D trends and requirements. While the part (i) on patents has been validated at country level and its final version has been made available for the countries, inter alia at a COP-MOP 1 side event in October 2014, the analyses of the remaining parts (ii) to (iv) have been communicated to the countries in December 2014 for review. Part (v) analyzing the four major business sectors dealing with GR is currently being finalized and expected to be available in spring 2015. After that, a final workshop for the presentation, discussion and dissemination of the projects results is foreseen to take place

during the second quarter of 2015 at the UNEP headquarter in Nairobi depending on the availability of funding.

## Caribbean

The basis for future work with the industry using soft corals from The Bahamas under an ABS agreement from 2001 was laid during the *visit in The Bahamas in January 2014*. Based on the ground work of the Bahamian lawyer who drafted the ABS agreement, the ABS Initiative was able to partner with the coral harvesting company Marsh Harbour Import & Export. The owner of the company agreed to take part in future activities of the national UNEP/GEF ABS project. *Initial contacts were established* with the second partner of the ABS agreement, the U.S. company LipoChemicals who also showed interests in future collaborations. Due to the delays in the UNEP/GEF project, concrete activities and the development of a business ABS pilot case will only be discussed in 2015.

*The Initiative started in 2014 to establish contacts with the government of the Cayman Islands to receive more information about the commercial use of coral extracts through the U.S. company Cayman Chemicals, so far not with much success.*

## Pacific

Triggered by discussions at the margins of the Oceania Biodiscovery Forum (see Outcome 2.2) the development of a **GEF NPIF proposal for the Cook Islands** was initiated *with technical advice of the ABS Initiative* (see also Outcome 2.1)

- to adapt the draft ABS Bill (Biological Research and Benefits Bill) of 2006 to the provisions of the Nagoya Protocol based on the lessons learned from the ABS agreement negotiated between Cook Islands Medical Technologies (CIMTECH) Pty Ltd.
- to revisit the ABS agreement between CIMTECH and the Koutu Nui – council of traditional leader and healers – to ensure that it is compliant with the new ABS Bill ensuring technology transfer top the Cook Islands and investment of monetary benefits in biodiversity conservation (see also Outcome 2.1).

It is expected that the GEF NPIF project document will be submitted by the UNDP consultant in 2015 to the GEF for approval.

Building on the 'ABS and IPR training' which was conducted by the ABS Initiative in July 2013 a training on 'ABS and contracts' was organized in partnership with SPREP in August 2014 in Nadi, Fiji. NFPs and representatives of CNAs of Pacific Islands States were trained in negotiation processes and key elements for consideration in ABS contracts. Other relevant stakeholders for the Pacific region, such as UNDP, SPC, USP and IUCN participated as well.

## Outcome 3.2 – BCPs or equivalent community level procedures

Objective 3: Valuation of genetic resources in provider countries is improved and functioning ABS agreements contribute to biodiversity conservation and livelihoods of rural populations.				
Outcomes	Indicators and Status			
3.2 BCPs or equivalent community level procedures function as pilot interfaces between IPLCs and bio prospectors acknowledging local level rights.	ABS relevant BCPs or equivalent community level procedures are in place in at least 5 African and 2 CP countries. <b>Status: Ethiopia, Ghana, Kenya, Namibia, South Africa</b>			
Achievement of outcome 3.2 against indicators	<input type="checkbox"/> very good <i>(almost) achieved</i>	<input checked="" type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

## Africa

With the financial support of the ABS Initiative Natural Justice, ETC-COMPAS and CIKOD are currently finalising the **African BCP Initiative** with the goal to support further development of biocultural community protocols in Africa and to work towards their legal recognition. In its second phase, this initiative has been able to support local communities in dialogues and negotiations with governments and other actors based on first (draft) documents:

- In **South Africa**, the **Kukula Traditional Healers Association** is using its BCP in negotiations with Park authorities to regain access to traditional harvesting areas of medicinal plants. An initial non-disclosure agreement signed 2013 with a local cosmetics company for research based on TK unfortunately did not develop into a fully-fledged ABS agreement. Further, the Association will approach entities such as the Council for Scientific and Industrial Research (CSIR) and the DFID funded Multi-sectoral HIV & AIDS Support Programme to propose agreements on the use of their TK. The process has also demonstrated the importance of instruments such as BCPs to ensure the resilience of local structures when a first agreement with a user is discontinued. At the national level, the **Khoi-San Council**, who is authorised by the government to negotiate on behalf of its member communities, is using a BCP-process to get a locally legitimized mandate for this leadership from the communities. One ABS agreement has been signed on the use of buchu (*Agathosma spp.*) between the Council and a national business, Cape Kingdom, and a second agreement is being negotiated on rooibos (*Aspalathus linearis*) with Nestlé.
- In **Namibia**, the **Khwe communities** in Bwabwata National Park are mapping their resources and associated TK as part of their BCP-process and are exploring the possibilities of ABS agreements based on this TK. A second phase of this process, aiming to consolidate the BCP in a broad consultation process, is currently in the planning stage, applying for funds from the GIZ-implemented BMCC programme in Namibia.
- In **Kenya** and **Ethiopia**, several BCP processes have revolved mostly around issues of community lands and land tenure and have supported dialogue on recognition with government entities. Important lessons are emerging regarding proper BCP processes in situations with urgent timelines (such as large-scale development projects but also private sector interest in GR and associated TK).
- In **Ghana**, the BCP process in **shea** (*Vitellaria paradoxa*) **harvesting communities** in northern Ghana is continuing with the inclusion of larger groups of farmers and will be exploring opportunities in biotrade and ABS in 2014.

A final workshop in Nairobi in November 2014 brought together representatives of the involved communities and their supported organizations to share lessons learned. The lessons and experiences of the BCP Initiative will be published as multimedia materials at [www.community-protocols.org](http://www.community-protocols.org) and as a series of policy briefs.

With the financial support of the ABS Initiative Natural Justice is currently conducting a scoping process in francophone African countries to identify local NGOs as cooperation partners for initiating BCP processes with local communities involved in existing or emerging ABS value chains.

Largely as a result of the *partnership of the ABS Initiative GEF SGP* (see outcome 4.1) grants have been approved in **Benin** (for the development of BCPs, documentation of TK and ABS capacity development of custodians in two sacred forests), **Niger** (for TK documentation through the national association of traditional healers) and in **Cameroon** for ABS capacity building in the community involved in the value chain based on *Echinops sp.* (see Outcomes 3.1 and 4.1).

## Caribbean

**Guyana:** The **training “Empowering indigenous and local communities to use the Nagoya Protocol”** took place in December 2013 in Georgetown; *the workshop was supported financially and technically by the ABS Initiative*. It was hosted by the country's Justice Institute and focused on procedures for Free and Prior Informed Consent related to access to genetic resources and associated traditional knowledge, as well as how to obtain a fair share of the benefits. A key outcome

of the event was the recommendation from participants that Guyana should accede to the Nagoya Protocol and a list of ABS elements to be integrated into national and local activities strengthening indigenous and local communities. The following meeting of the Executive Committee of the National Toshao Council – elected representatives of indigenous communities – acknowledged the role of the ABS Initiative in capacity building for indigenous and local communities. While the suggested follow-up activities could not be realised in 2014, for the first time two representatives of the National Toshao Council and the Indigenous Peoples Commission as well as the Iwokrama Centre attended the 3<sup>rd</sup> Caribbean ABS Workshop. The Initiative continues to engage with the relevant IPLC organisations in Guyana to establish a good working relation with them.

## Pacific

Triggered by the *consultative meetings of the ABS Initiative with relevant government authorities and civil society organisations* in 2012 and 2013 (see Outcome 2.1) the GEF SGP<sup>8</sup> approved in 2013 a **strategic small grant for Vanuatu** for awareness raising on ABS including the need to define community procedures including BCPs. Implementation started in 2014 and is slowly progressing.

At the **Regional Capacity-Building Workshop for the Pacific Region on Traditional Knowledge and Customary sustainable use under the CBD** which was organized by the SCBD in August 2014 in Apia, Samoa, back-to-back with UN-SIDS 3 the ABS Initiative provided input on the IPLC relevant provisions of the Nagoya Protocol highlighting the specific importance of BCPs and equivalent community procedures.

## Outcome 4.1 – Amplifying ABS capacity development

Objective 4: National, bilateral and international partners are supporting ABS implementation at national and (sub-) regional level.				
Outcomes	Indicators and Status			
4.1 Government and non-government organizations including funding agencies have integrated ABS implementation in relevant sectors of their work programmes such as environment, agriculture, trade, governance, etc.	X institutions / organisations recognize ABS as an opportunity for (supporting) sustainable development. <b>Status:</b> AUC, AMCEN, SADC, SPREP, IUCN, CI, Danish Industry Confederation, German Biotechindustry Association, PhytoTrade Africa, SEP2D, UEBT, RESP, COMIFAC,			
	x institutions / organisations conduct support activities for ABS implementation <b>Status:</b> AUC, COMIFAC, CARICOM, SADC, SPREP, PhytoTrade Africa, SEP2D, UEBT; UNEP, UNDP,			
	x institutions / organisations are cooperating with the ABS initiative <b>Status:</b> GEF/UNEP, GEF/UNDP, GEF SGP, WIPO, SCBD, KfW Development Bank, Bioversity International, Gov. India, Gov. South Africa, GIZ, RESP,			
Achievement of outcome 4.1 against indicators	<input type="checkbox"/> very good <i>(almost) achieved</i>	<input checked="" type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

**Linking up with the GEF Secretariat and the GEF Implementing Agencies:** Concrete options for aligning technical support activities of the ABS Initiative and financial support under GEF 5, NPIF and GEF 6 have been developed for projects in the Bahamas, Cameroon, Cook Islands and Morocco as well as the regional projects for the COMIFAC UNDP and the Pacific. Working relations with the GEF Secretariat, UNDP and UNEP are continuously being strengthened.

- The ABS Initiative presented its CEPA Guide ‘Strategic Communication for ABS’ and approaches for sectoral capacity development during the **inception workshop** in May 2013 in Addis Ababa, Ethiopia, for the regional UNEP/GEF Medium-Sized Project for Africa to support the ratification and entry into force of the Nagoya Protocol. ABS Initiative has been invited as member of the UNEP project steering committee.

<sup>8</sup> See Outcome 4.1 on the collaboration between the ABS Initiative and the UNDP implemented GEF Small Grants Programme (SGP)

- As already done during the 4<sup>th</sup> Pacific ABS Workshop, the *ABS Initiative provided space for UNEP and SPREP* during the 5<sup>th</sup> Pacific ABS Workshop in November 2014 in Sydney, Australia, to consult with Pacific stakeholders about the national priorities to be addressed under the **regional UNEP/GEF Medium-Sized Project for the Pacific** targeted at supporting ratification and implementation of the Nagoya Protocol.
- The *ABS Initiative provided advice during the project identification phase of the global UNDP/GEF project* for supporting ratification and implementation of the Nagoya Protocol. Furthermore, the Initiative is invited as member of the project steering committee with a view to ensuring exchange of experiences and complementarity of activities in the countries participating in the project.
- The collaboration between the ABS Initiative and the UNDP implemented **GEF Small Grants Programme (SGP)** was continued in 2014, *including the ABS Initiative funded secondment of a New York based staff member of Natural Justice* on part time basis (one day per week) to the GEF SGP Head Quarter. The objective of the secondment is to integrate ABS capacity development into the national of GEF SGP and to fund national and regional NGOs which can provide the necessary support to indigenous and local communities to actively participate in a meaningful manner in the national implementation of the Nagoya Protocol, including by developing ABS relevant BCPs or equivalent community level procedures. As a direct result of the secondment **ABS is now integrated into the Strategic Plan of the next Operational Phase (OP6 2015-2017) for SGP** as a possible community livelihood strategy. This will further mainstream ABS into SGP funding as its national offices will now be encouraged to integrate ABS into their own strategic plans. SGP headquarters is currently working on an **e-learning module that will capacity national SGP staff**, grantees and other interested parties to further support the development of ABS projects. For further impacts refer to Outcomes 2.2 and 3.2 and to the MSP proposal mentioned above. At the regional and international level, SGP national coordinators participated *in several events of the ABS Initiative* including side and parallel events at UN-SIDS 3 in Apia, Samoa, and COP-MOP 1 in Pyeongchang, South Korea.

**Linking up with capacity development processes for the ITPGRFA:** Coherent implementation of the International Treaty for Plant Genetic Resources for Food and Agriculture (ITPGRFA) and the Nagoya Protocol at the national level is essential for the establishment of transparent regulatory ABS frameworks, which minimize transaction costs and contribute to legal certainty for providers and users. At the expert workshop on mutual implementation of the NP and the ITPGRFA in January 2013 participants agreed on joint workshops and capacity development activities at national and (sub-) regional level.

- Subsequently, the Initiative, in collaboration with Bioversity International, the Secretariats of the CBD and the Treaty, *conceptualized and organized a Tandem Workshop for National Focal Points* on mutually supportive implementation of the International Treaty and the Nagoya Protocol in June 2014 in Rome, Italy. The workshop brought together tandems of national focal points of both treaties from 20 countries triggering direct discussions and concrete cooperation. A joint fact sheet providing technical information to relevant national actors on mutually supportive implementation of the NP and the ITPGRFA is in the making.
- In *cooperation with the ABS Initiative* Bioversity International submitted a **proposal for joint capacity development in Madagascar and Benin** to the Darwin Initiative, a UK government grants scheme. If the proposal will be accepted, implementation can start in April 2015.
- At a side event organized by Bioversity International the ABS Initiative presented progress, experiences, plans and perspectives on mutually supportive national-level implementation.

The **World Intellectual Property Organisation, Traditional Knowledge Division** invited the ABS Initiative to provide input at the 'Practical Workshop for Indigenous Peoples and Local Communities on IP and TK', held in December 2014 in Geneva, Switzerland. The *ABS Initiative held together with WIPO a session* introducing the Nagoya Protocol and presenting ABS cases where IP components and TK played a major role. Based on the positive feedback received by the IPLC representatives further conjoint activities between WIPO and the Initiative are under discussion for 2015 such as



regional trainings for African IPLCs or common national support processes – both with respect to IP and TK related issues linked to genetic resources

The large international events in 2014, such as UN-SIDS 3, CBD COP 12 / COP-MOP 1 and the 3<sup>rd</sup> IUCN World Parks Congress provided opportunities for the ABS Initiative and its partners to highlight the **importance of collaboration and partnership in ABS capacity development**. Together results of the joint work were presented, such as the business potential studies in six African countries together with UNEP/GEF, expert meetings were organized at the margins of the events, e.g. together with IDLO, and joint side events organized (see Annex C for a detailed list).

## Africa

As a result of the Gap Analysis of the OAU Model Law for the Protection of the Rights of Local Communities, Farmers and Breeders, and for the Regulation of Access to Biological Resources and based on a request of the **Department for Human Resources, Science and Technology (DHRST) of the African Union Commission (AUC)** the *ABS Initiative extended its financial and technical support to fund and coordinate the drafting of Guidelines for a Coordinated Implementation of the Nagoya Protocol in Africa* (see Outcome 5.3). The Initiative supported the DHRST in developing a proposal to support the integration of biodiversity issues and ABS into the German-AU bilateral cooperation. While this request by DHRST was not successful – the German side does not support the uptake of a new topic in the cooperation portfolio – the 9<sup>th</sup> Pan-African Workshop in 2015 will discuss other approaches to enable the DHRST to support the AU member states in implementing the Nagoya Protocol in a coordinated way through the AU ABS Guidelines.

In the increasing interest in ABS issues in Africa is also reflected by the *co-funding of regional and international activities of the Initiative by African governments*:

- The **Government of Benin** co-funded the 8<sup>th</sup> Pan-African ABS Workshop in March 2014 in Cotonou.
- The **Government of South-Africa** contributed financially to the Dialogue on Practical Way of Implementing the Nagoya Protocol in Cape Town in January 2014 with a focus on exchanging – besides with India and Brazil – with fellow African countries (see Outcome 5.1), and supported the organization of the Workshop on ABS Best Practices in Southern Africa in February 2014 in Pretoria (see Outcome 3.1).
- The **Government of Namibia** provided technical, logistical and financial support to the Workshop on ABS Implementation for IPLCs in November in Windhoek 2015 (see Outcome 5.1).

The *ABS Initiative continued – 2014 with some lower degree of intensity - to provide technical input to the meetings of the Central African Working Group on Biodiversity (GTBAC) and advice for the national implementation of the Regional ABS Strategy for the COMIFAC* (see Outcome 5.3).

In order to support African scientists undertaking research on genetic resources, as well as to foster ABS compliant cooperation with academia and private sector in Europe, the *ABS Initiative is partnering with the French funded research cooperation programme Sud Experts Plantes Développement Durable (SEP2D)* which is scheduled to start in early 2015. The *ABS Initiative is invited on the advisory board of SEP2D to exchange experiences and expertise and to ensure mutually supportive work programmes in Francophone Africa*.

**Integrating ABS in bilateral development cooperation programmes:** Triggered by awareness raising and activities of the ABS Initiative in the context of German bilateral development cooperation, ABS is being integrated in the following technical and/or financial cooperation programmes:

- **Cameroon:** Sparked by a multi-stakeholder kick-off meeting in July 2011 (*advised by the ABS Initiative, financed by UNEP/GEF*) an interministerial process on ABS between the Ministry of Environment, Nature Protection and Sustainable Development and all other relevant sector ministries (including the Ministry of Forests and Wildlife) was initiated. The GIZ implemented project ProPSFE, which is counterpart to both ministries (environment and forest), has agreed in 2013 to integrate in its workplan the facilitation of an inter-governmental ministerial process of

establishing a legal framework and the possible application of ABS mechanisms in the NTFP value chains supported by ProPSFE, including the consideration of PPPs. In early 2014, a workshop for the integration of comments of the various stakeholders into the draft ABS Ministerial decree as well as into the draft Memorandum of Understanding concerning the research phase of the *Echinops giganteus* exploitation, were logically, technically and financially supported by ProPSFE. A new phase of the programme will start in 2015 and it is currently being considered to include further ABS activities into the programme. Since the regional GIZ implemented COMIFAC support project (see "COMIFAC" hereafter) is also based in Yaoundé and just incorporated a regional component on ABS, focusing on the national implementation, into the larger programme, GIZ support for the Cameroonian ABS process could be provided by the national and/or from the regional programme. Over the course of 2014 additional funding for the Cameroonian ABS process made available by the French Embassy (channelled through the local NGO ERUDEF), UNDP SGP and of course by the user of *Echinops*, MANE, himself, while additional funding from UNDP MSP and IUCN are in the pipeline. *The Initiative's networking around and showcasing of the Echinops case triggered a lot of interest in that particular process and it became an important task for the Initiative to coordinate the various stakeholders and respective approaches*, in order to ensure a harmonious and focused interplay of all relevant actors.

- **COMIFAC:** Having successfully supported the development of a regional ABS strategy in the context of the GIZ implemented COMIFAC Support Programme (see Progress Report 2012 of the ABS Capacity Development Initiative) *the Initiative is backstopping the translation of the regional strategy into national ABS implementation programmes* in the 10 member countries. Based on a *preparation mission of the Initiative for a new ABS component of the GIZ implemented project in support of the COMIFAC in June 2013*, funds of 4.5 Mio € were allocated by BMZ in 2014. The respective activities will start in 2015 and aim at large scale capacity development and dialogue and the implementation of ABS in the ten COMIFAC member countries. Parallel to the GIZ activity, UNEP developed a complementary regional ABS-project for the COMIFAC-region which will launch activities in early 2015. The ABS-Initiative's role around these two regional projects was *to feed in the latest international developments into the elaboration of the project documents, to arrange for the exchange with all relevant ABS-stakeholders in the region and to ensure the development of harmonized intervention strategies of the two projects*.
- **Madagascar:** The further integration of ABS components in the ***Programme Almano-Malgache pour l'environnement (PGM-E)*** is based on the results of a national ABS roundtable in December 2014 which was *technically supported and prepared by ABS Initiative*, incl. technical briefs and a gap analysis (see outcome 1.2). Proposed intervention areas are: (a) Support to regulatory frameworks and the development of an interim regulation, (b) fostering ABS compliant value chains and supporting malgache actors such as IPLCs, public research and private sector, (c) documentation of aTK, and (d) CEPA for ABS. Concrete Reflection of ABS In programme dependent on outcomes of the operational planning workshop of PGM-E during the first Quarter of 2015 will determine to which extent ABS will be integrated in 2015.
- **Morocco:** Building on a *continuous support and advisory services of the ABS Initiative* to Morocco, the country has integrated ABS in the German-Moroccan development portfolio. In 2013, the project ***Adaptation to Climate Change and Valorisation of Biodiversity (ACCN)*** started with two components targeting the implementation of the Nagoya Protocol (2 Mio € for ABS out of 6 Mio € of the BMZ contribution for the entire ACCN). The ABS component supports the development of an administrative/legal framework at national level and the establishment of ABS compliant value chains in the pilot regions of the Arganeraie and Grand Atlas Mountains (see also 3.1). In 2014, *the ABS Initiative supported ACCN consultative meetings with governments, research institutions and private sector representatives*.
- **Namibia:** *Besides backstopping the creation of the national Namibian ABS Bill* (see objective 2.1) *the Initiative provides advice for the establishment of a R&D platform targeting at the identification of active elements for the valorisation of genetic resources* from Namibia and other Southern African countries. In this regard a pre-feasibility study on determining a possible legal setup of the platform, management and governance options has been finalized in August 2013. This served as a basis for the currently conducted feasibility study of the platform in 2014,

commissioned by the Namibian Ministry of Environment and Tourism.(MET). The R&D platform is foreseen to be financed by BMZ through the German KfW Development Bank, accompanying continuous technical advice with respect to ABS is considered to be provided by the GIZ Programme Biodiversity Management and Climate Change (BMCC).

## Caribbean

Due to lack of financial resources, the planned MAT negotiation training convened by the CARICOM Secretariat and supported by the ABS Initiative was postponed to 2015.

Responding to a request of the **Dominican Republic** to support initial activities for the implementation of the Nagoya Protocol *the ABS Initiative agreed to provide financial and technical support of two workshops on negotiation training and documentation of traditional knowledge*. The first was held in 2014, the latter is scheduled for early 2015. The **GIZ Country Office** in the Dominican Republic cooperated with the Ministry for the Environment and Natural Resources in technical matters.

## Pacific

Based on the initial exchange in 2011 the **Department of Sustainability, Environment, Water, Population and Communities (DSEWPAC)**, the Competent National Authority for ABS in Australia, developed a proposal for parallel funding of the *activities of the ABS Initiative encompassing the joint organization of two Pacific ABS Workshops* (see Outcome 5.1) and the *Oceania Biodiscovery Forum in 2012* (see Outcome 3.1). For details on the events refer to the Progress Report 2012. Despite the successful collaboration in 2012 and requests from National Focal Points of Pacific Island States the Australian Government decided not to continue this partnership.

Since 2011, the **Secretariat of the Pacific Regional Environment Programme (SPREP)** became strongly involved in the capacity development activities in the region: *Based on a financing agreement with the ABS Initiative* SPREP is organising the regional workshops and trainings which the ABS Initiative is offering for the Pacific region (see Outcome 5.1) giving SPREP significant visibility as relevant actor for the implementation of the Nagoya Protocol in the region. Initiated by the GEF Secretariat in 2012, SPREP will be executing agency for a regional ABS MSP in the Pacific. Furthermore, with its headquarters in Apia, SPREP is organizing national consultations and briefing meetings in Samoa on the ratification and implementation of the Nagoya Protocol.

## Outcome 5.1 – Skills of relevant stakeholders improved

<b>Objective 5:</b> Approaches for implementing the Nagoya Protocol are regionally coordinated and harmonized with other processes and fora relevant to ABS in order to increase transboundary cooperation and to address legal gaps.					
Outcomes	Indicators and Status				
5.1 Concepts regarding the implementation of the NP are developed, experiences, lessons learned and best practices are exchanged.	Policy briefs on at least 5 ABS relevant topics. <b>Status:</b> BCPs (Natural Justice), IPRs (FNI), forests and ABS (CISDL), several briefs by UEBT, sectoral briefs (People and Plants International, under development)				
	At least 3 ABS relevant analyses and background studies. <b>Status:</b> Various publications and research papers by CISDL, FNI, IDLO (draft), Natural Justice, UNSW, Justice Institute Guyana (draft), not yet published country studies on national ABS implementation (India, Brazil, South Africa), published patent analyses for 6 African countries on use of BR/GR				
	Stakeholders are capacitated on ABS relevant topics. <b>Status:</b> to be assessed				
Achievement of outcome 5.1 against indicators	<table border="1"> <tr> <td><input checked="" type="checkbox"/> very good <i>(almost) achieved</i></td><td><input type="checkbox"/> good <i>Well on track</i></td><td><input type="checkbox"/> problems <i>(partially) delays in implementation</i></td><td><input type="checkbox"/> deficiencies <i>Risk to fail</i></td></tr> </table>	<input checked="" type="checkbox"/> very good <i>(almost) achieved</i>	<input type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>
<input checked="" type="checkbox"/> very good <i>(almost) achieved</i>	<input type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>		

At COP 11 the ABS Initiative was invited to participate in the **Global Initiative on Legal Preparedness for Achieving the Aichi Biodiversity Targets** which is implemented by the International Development Law Organization (IDLO) and the CISDL. In order to build the ABS related legal capacity in ACP countries, the ABS Initiative entered into a financing agreement with IDLO in

March 2013 to support the work of IDLO and CISDL towards Aichi Target 16 in 2013 and 2014. *The ABS Initiative is represented at the Expert Advisory Panel of the Global Initiative and the Target 16 Expert Review Committee.*

- Based on a series of initial country studies (including Ethiopia, Kenya, Namibia and South Africa) about pre-Nagoya ABS implementation experiences the curriculum for a legal training course was developed. The **training course for selected lawyers from 16 ACP countries** was held in July 2014 in Rome, Italy. Triggered by the encouraging positive feedback of the participants the training course will be further refined by the partners for roll-out in the coming years to broaden globally the legal expertise for developing functioning regulatory ABS frameworks in the countries.
- IDLO organized several side events and expert meetings at the margins of relevant international meetings such as ICNP, WGRI and COP-MOP (see Annex C) to present and discuss preliminary results and receive feedback on the draft capacity development materials.
- A **legal tool kit** based on the analysis of the country experiences will be published by IDLO by the end of February 2015.

As part of its support of the **South-South exchange** on experiences with pre-Nagoya ABS implementation and adapting existing regulatory ABS frameworks to be compliant to the Nagoya Protocol, the Initiative, in collaboration with the governments of **Brazil, India and South Africa** commissioned studies to national consultants for reviewing each country's experiences with ABS. These studies – download at <http://www.abs-initiative.info/knowledge-center/publications> – provided background information for two dialogue meetings:

- The first 'Dialogue on Practical Ways Forward for the Implementation of the Nagoya Protocol' was held in January 2014 in Cape Town, South Africa. The meeting provided the opportunity for many African countries to learn from pre-Nagoya ABS experiences of the three further advanced countries thus informing the national implementation of the Nagoya Protocol in these countries. With a view to continue the productive and successful dialogue format the government representatives of India and Brazil expressed their interest to host follow-up meetings.
- The second 'Dialogue on Key Challenges and Practical Ways Forward for the Implementation of the Nagoya Protocol', was held in August 2014 in Goa, India. The meeting was financially supported by the Indo-German Biodiversity Programme and offered African delegates to benchmark their national ABS implementation approaches as well as the draft African Union Guidelines on the harmonized implementation of the Nagoya Protocol.
- The substantial outcomes of the dialogue meetings were presented at ICNP 3 in February 2014 in a side event organized in partnership with the SCBD. At COP-MOP 1 a side event with high level participation from Brazil, India, South Africa and the SCBD provided feedback from the Goa dialogue meeting and presented the methodological approach of the dialogue format. The ABS Initiative was strongly encouraged by the participants to continue capacity and skill development based on this facilitated South-South exchange in a peer-to-peer format.

In the context of the different capacity development processes the ABS Initiative produced in 2014 several **guides and factsheets** which can be downloaded at <http://www.abs-initiative.info/knowledge-center/publications>:

Bavikatte, Kabir, Morten Walløe Tvedt, Valerie Normand and Susanne Heitmüller (2014). How (Not) to Negotiate Access and Benefit-Sharing Agreements. Eschborn (Germany), ABS Capacity Development Initiative, 20 p.

Heitmüller, Susanne, Hartmut Meyer, Kabir Bavikatte, Morten Walløe Tvedt, Valerie Normand and Pierre du Plessis (2014). The ABS Agreement Key Elements and Commentary. Eschborn (Germany), ABS Capacity Development Initiative, 11 p.

Meyer, Hartmut, Lena Fey and Wilma Brinkmeyer (2014). Relevance of Marine Bioprospecting for ABS Frameworks. Factsheet, Eschborn (Germany), ABS Capacity Development Initiative, 4 p.



With a view to inform the Intergovernmental Technical Working Group on Animal Genetic Resources (ITWG-AnGR) under the FAO Commission on Genetic Resources for Food and Agriculture (CGRFA) the *ABS Initiative funded and jointly conducted a study about the significance of the Nagoya Protocol for the conservation and sustainable use of animal genetic resources* which can be downloaded at <http://www.abs-initiative.info/knowledge-center/publications>:

Koehler-Rollefson, Ilse and Hartmut Meyer (2014). Access and Benefit-sharing of Animal Genetic Resources - Using the Nagoya Protocol as a Framework for the Conservation and Sustainable Use of Locally Adapted Livestock Breeds. Eschborn (Germany), ABS Capacity Development Initiative & Darmstadt (Germany), League for Pastoral and Endogenous Livestock Development, 44 p.

Based on the *funding support of the ABS Initiative* a further **background study** has been published by the Fridtjof Nansen Institute in 2014 and can be downloaded from the FNI website [http://www.fni.no/projects/abs\\_research\\_project.html](http://www.fni.no/projects/abs_research_project.html):

Prip, Christian, G. Kristin Rosendal, Steinar Andresen and Morten Walløe Tvedt (2014). The Australian ABS Framework: A Model Case for Bioprospecting?. FNI Report 1/2014. Lysaker (Norway), FNI, 42 p.

## Africa

**Basic ABS Training Course:** This course was organized for the fourth time by the Bio-Economy Research Chair at the University of Cape Town *with the financial support of the ABS Initiative* in May 2014 in Zanzibar, Tanzania. The one week course was tailored to participants from Anglophone coastal African countries and provided newcomers to the topic of ABS an opportunity to learn about the different aspects relevant for implementing ABS in the national context. Bioprospecting of marine genetic resources was introduced in this course for the first time as a topic. A training course for French speaking African countries is currently under development,

**Workshop on ABS Implementation for IPLCs:** The workshop was *organized by the Initiative* and hosted by the Ministry of Environment and Tourism of Namibia in November 2014 in Windhoek, Namibia and provided a platform for IPLCs to discuss policies and strategies for a more coordinated and effective engagement of IPLCs in the national ABS implementation processes (see also Outcome 2.2).

**ABS and intellectual property rights (IPRs):** After initial support in the previous years for the coordination of African negotiators in the WIPO IGC process, *two training courses on ABS and IPRs were conducted by the ABS Initiative* for lusophone countries in January 2014 in Praia, Cape Verde, and for francophone countries in March/April 2014 in Dakar, Senegal, respectively. This training which was developed in close cooperation with the FNI combines theoretical learning with practical group exercises and increased the awareness and understanding of the participants, mainly National Focal Points, of the opportunities and challenges of IPRs and their embedding in ABS contracts.

Building on the success and high demand in the past *the Initiative offered again the training course “Managing Multistakeholder Processes in the ABS Arena* to teams of participants from five / six countries each. One course was held in French in January 2014 in Frankfurt a.M., Germany.

The project ‘**ABS in Southern Africa – Developing Policy and Implementing Best Practices**’ was concluded end of 2014. The project was implemented by PhytoTrade Africa *with financial and technical support of the ABS Initiative* and focused on the implications of transboundary value and supply chains for national regulatory ABS frameworks and specifically how to ensure coordinated regulatory and permitting systems. The project contributed to improved stakeholder cooperation in the region and highlighted the need for developing a regional ABS approach and for defining the role of the SADC Secretariat (for details see Outcome 3.1). The legal and economic studies produced under this project are expected to be published in March 2015.

## Caribbean

The ABS Initiative jointly organized the 3<sup>rd</sup> Caribbean ABS Workshop in cooperation with the Secretariat of the CARICOM and the SCBD in Rodney Bay, Saint Lucia and hosted by the Ministry of Sustainable Development, Energy, Science and Technology. Representatives from 17 Caribbean states discussed opportunities for the implementation of the Nagoya Protocol. The workshop took stock of progress made towards the ratification and national implementation of the Nagoya Protocol and improved the understanding of key issues to consider when developing national ABS regulatory frameworks, how different sectors use genetic resources, and about key issues for consideration when negotiating ABS agreements.

## Pacific

**ABS Contract Training:** As contracts or mutually agreed terms (MATs) play a central role in any functioning ABS system the ABS Initiative organized in partnership with SPREP this training course in August 2014 in Nadi, Fiji. National Focal Points and representatives of UNDP, SPC, USP and IUCN were trained in negotiation processes and key elements which need to be considered in ABS contracts. The training was developed in close cooperation with FNI and is based on the above mentioned guide 'How (Not) to Negotiate Access and Benefit-Sharing Agreements' which was developed by team members of the Initiative. Based on the positive feedback of participants the training contents will be further developed and repeated in other regions.

The 5<sup>th</sup> Pacific ABS Workshop was co-organised by the Initiative, SCBD and SPREP and held in November 2014 in Sydney, Australia. Building on previous workshop results stakeholders from all Pacific countries had the opportunity to exchange experiences and update each other on the status of ratification and implementation of the Nagoya Protocol. Special focus was set to enhance the understanding of the potentials of marine bioprospecting and relevant challenges. In addition, participants got a better understanding on business models of sectors engaged in marine bioprospecting and the related implications for PIC and MAT.

## Outcome 5.2 – Interfaces to ABS relevant processes

Objective 5: Approaches for implementing the Nagoya Protocol are regionally coordinated and harmonized with other processes and fora relevant to ABS in order to increase transboundary cooperation and to address legal gaps.				
Outcomes	Indicators and Status			
5.2 Interfaces to ABS relevant processes are established at international and national level	Joint training programmes are established with at least 2 ABS relevant international organisations. <b>Status: IUCN/JRC (under consideration), IDLO, WIPO (under consideration)</b>			
	Coordination meetings are taking place between negotiators of relevant fora. <b>Status: WIPO, CGRFA</b>			
	Approaches for the design and implementation of regulatory frameworks among relevant sectors at national level are developed. <b>Status: Algeria, Benin, Cameroon, Côte d'Ivoire, Kenya, Madagascar, Morocco – Cook Islands</b>			
Achievement of outcome 5.2. against indicators	<input type="checkbox"/> very good <i>(almost) achieved</i>	<input checked="" type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

The EU funded BIOPAMA Project provides a platform to cooperate with IUCN and the Joint Research Center of the European Commission to deepen the understanding of the **interface between ABS and protected areas management** and to integrate ABS into capacity development programmes for PA managers. Implementation of capacity development activities for protected area managers in the regions has not yet reached a level where joint activities between the two components seem useful. It was however reiterated at the BIOPAMA Steering Committee in September 2014 that linkages and synergies should be further explored.

The Initiative organized a session at the 'WIN and Pacific Community Dialogue Pavillion' at the 3<sup>rd</sup> IUCN World Parks Congress in November 2014 in Sydney, Australia, to discuss how ABS can link local conservation objectives and local business potentials. The examples from Brazil, Kenya,

India and Fiji presented by community representatives triggered a lively discussion with the conservation oriented audience of the session.

Informal discussion with the Traditional Knowledge Division of the World Intellectual Property Organisation about potential cooperation on **ABS and IPR related capacity development** led to the invitation of the ABS Initiative to contribute practical examples to a ‘Workshop for Indigenous Peoples and Local Communities on IP and TK’ in December 2014 in Geneva, Switzerland. For further details see Outcome 4.1.

The *ABS Initiative and its partners are actively involved in, and in some cases even trigger, the development of practical approaches for the implementation of the Nagoya Protocol at (sub-)regional and national level*. The studies listed under Outcome 5.1 provide the analytical and scientific basis for this work: The Initiative’s dialogue fora – especially with the private sector, as mentioned under Outcome 3.1 – as well as the work under the African BCP Initiative (see Outcome 3.2), provide valuable input, e.g. on business and R&D models in different user sectors or the practicality and transparency of proposed PIC procedures. At the same time, the Initiative is receiving useful feedback on the practicality of the proposed approaches.

## Africa

*African ABS negotiators have been financially and technically supported by the Initiative to participate in relevant meetings under WIPO and FAO to coordinate positions with their African colleagues.*

### Outcome 5.3 – Coordinated approaches in Africa

<b>Objective 5:</b> Approaches for implementing the Nagoya Protocol are regionally coordinated and harmonized with other processes and fora relevant to ABS in order to increase transboundary cooperation and to address legal gaps.				
<b>Outcomes</b>	<b>Indicators and Status</b>			
5.3 African countries follow a co-ordinated approach in implementing and further developing the international regime on ABS.	Guidelines for a regionally harmonized approach approved by relevant regional bodies. <b>Status: COMIFAC ABS Strategy, AU Guidelines (draft under development)</b>			
	Strategies for coordinated implementation of the NP are developed by relevant national institutions/organisations. <b>Status: Côte d'Ivoire, Morocco, Rwanda, South Africa, Cameroon</b>			
	Joint positions are developed and articulated in relevant fora. <b>Status: Coordination meetings prior to ICNP 2, ICNP 3 and COP 11, ILC Preparatory WS prior to COP, GTBAC preparation for COP 12</b>			
Achievement of outcome 5.3 against indicators	<input type="checkbox"/> very good <i>(almost) achieved</i>	<input checked="" type="checkbox"/> good <i>Well on track</i>	<input type="checkbox"/> problems <i>(partially) delays in implementation</i>	<input type="checkbox"/> deficiencies <i>Risk to fail</i>

Based on the feedback on ‘A Gap Analysis Report on the African Model Law on the Protection of the Rights of Local Communities, Farmers and Breeders, and for the Regulation of Access to Biological Resources’ (download at <http://www.abs-initiative.info/knowledge-center/publications>) at the 7<sup>th</sup> Pan-African ABS Workshop in 2013 *the Initiative supported financially and technically the drafting of an AU Policy Framework for the Coherent Implementation of the Nagoya Protocol on ABS*, which was then modified at a technical workshop in October 2013. The modified Policy Framework and its accompanying Step-by-step Guide were circulated for further national and regional consideration and consultation in December 2013 and were subject of an Expert Workshop in February 2014. At the 8<sup>th</sup> Pan-African ABS Workshop in March 2014 the further developed guidelines were presented and discussed. The formal technical validation meeting took place in August 2014. Political endorsement of the Guidelines is planned through the adoption by AMCEN 15, originally scheduled for September 2014 and postponed to March 2015. DHRST will submit the Policy Framework to AMCEN for adoption while the Guide will be published as AUC document. The AU Heads of State Summit in June 2015 is expected to officially take note of the document, thus contributing to profile and raise awareness on ABS at the highest political level.

*Technical support, particularly on the interface with the Nagoya Protocol, was provided by the Initiative to African Group negotiators at the 23<sup>rd</sup> meeting of WIPO IGC in February 2013, dealing with genetic resources, and 25<sup>th</sup> meeting in July 2014, dealing with traditional cultural expressions and stocktaking for the way forward. This support helped creating momentum for the African approach to disclosure of origin and source in intellectual property applications involving GR and associated TK.*

**Supporting the coordination of the African Group:** A new *financial agreement* was concluded between the ABS Initiative and the AUC giving the latter the full responsibility to prepare and organize a coordination meeting of the African Group in February 2014 before ICNP-3 in South Korea. The above mentioned activities on concluding the AU Guidelines on ABS which are being led by the AUC are also covered by this agreement.

## 9. Lessons Learned

Lessons learned by the Secretariat of the ABS Initiative highlight the need to focus support more towards national implementation (regulatory and institutional frameworks), human capacity development and understanding of different stakeholder perspectives:

The very timely external evaluation (see chapter 6, page 17) provided useful guidance for improving the intervention logic as well as the monitoring framework while confirming the usefulness of the general capacity development approach of the Initiative. Based on the evaluation and experiences in several countries with *ad hoc* support the Secretariat of the Initiative is proposing to base its future intervention logic on **focused support in selected partner countries** and share experiences and best practises at (sub-)regional and international level.

Taking into account the increasing number of national and regional projects funded by the GEF and bilateral donors for supporting ratification and implementation of the Nagoya Protocol **coordination of ABS capacity development efforts** is not only necessary at international level (e.g. through the informal advisory committee established by decision UNEP/CBD/NP/COP-MOP/1/6 on ABS capacity building and development) but also at national level in order to avoid duplication and ensure synergies between projects funded by different donors. To this end the ABS Initiative will base its support in partner countries on **national road maps jointly developed** with the national focal point and/or competent national authority.

The **multi-stakeholder approach** remains useful to develop a common understanding and create an open, productive and bridge building learning environment. With national implementation in the focus, this approach has to be supplemented by **specific training elements**, building the relevant management and technical skills at personal and institutional levels. By establishing links to other relevant topics, such as protected area management or ABS under the ITPGRFA, key issues at the specific interface could be identified and initial ideas on how to address these in future work developed, e.g by **tandem workshops**, bringing together national administrators / regulators from different sectors. As legal and technical advice needs to be very specific when developing national regulatory systems, **tailored analytical studies** are becoming more relevant.

**Awareness** on ABS at the high political level is **significantly higher** as compared to the beginning of the Initiative. However, political instability has delayed ABS implementation in some countries significantly, hence, political stability is one of the relevant criteria for selecting partner countries.

The **AUC** has been mandated to take a stronger role in political coordination of biodiversity related negotiations and is taking a **stronger role in political coordination and guidance** for the harmonized implementation of the Nagoya Protocol in Africa.

The engagement with the **private sector** is slowly but steadily developing to a point where the ABS Initiative is accepted as facilitator in the process of developing concrete ABS agreements as well as in the public-private dialogues on regulating and implementing ABS both at international and national level. In this regard – in order to enable providers to negotiate successfully ABS agreements with adequate monetary and non-monetary benefits – **enhanced understanding of the R&D and the**



**business models** of the different user sectors of genetic resources is indispensable. Thus, further and increased capacity development on private sector “functioning” for ILCs, academia and governments of ACP countries is required.

An interesting GR and/or an ABS regulation in place is not necessarily sufficient to trigger an ABS partnership. Experiences demonstrate that even if GR with initial high potential are identified this does not always lead to ABS agreements. Relevant **issues influencing the establishment of an ABS agreement** are R&D success, market developments, relationships between potential user and administration and/or sourcing partners in the provider country, and transaction costs. If negotiation processes take (too) long also altering of corporate policies and budget allocations, e.g. due to changes of key staff at the user end might become critical factors. One approach to deal with these factors is building trust between stakeholders and **developing long-term partnerships**, ideally not only with one commercial user in a country, but with several enterprises – and on different GR and aTK. Furthermore, collections and basic R&D infrastructure in provider countries are key supportive factors for bioprospecting and developing ABS compliant value chains. Therefore, **supporting the development of enabling environments** in provider countries needs to be stronger considered by the ABS Initiative.

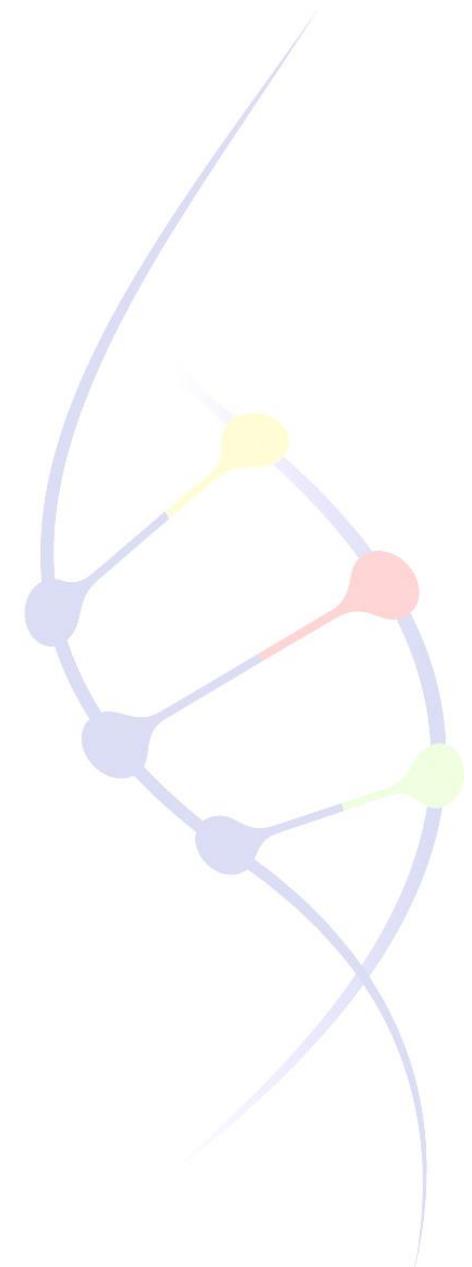
**National ABS processes** are time-consuming and require considerable backstopping, while slowly moving away from a focus on the ratification of the Nagoya Protocol and more towards the drafting of national ABS regulatory frameworks and the negotiation of actual ABS agreements. Especially during the negotiation phase of the Nagoya Protocol the ABS Initiative almost exclusively dealt with representatives of the CBD focal ministries, in most case with ministries of environment. With the focus now on national implementation **inter-ministerial coordination processes are becoming more relevant** and the ABS Initiative is challenged not only to provide technical expertise but also to facilitate the coordination of stakeholders with different interests requiring a **high degree of intercultural sensitivity and political communication skills**.

It has been recognized that in some cases countries wish to receive input from the Initiative going as far as actually drafting legal text – for regulatory ABS frameworks and ABS agreements. Here, a clear line has to be drawn and **modes of delivery of the Initiative have to be formulated precisely**. Some “old” ABS experts have left their positions (retirement or new assignments) causing **capacity gaps** in relevant line institutions, while actors with little or no experience in this matter, for example representatives of Foreign Affairs, Treasury or Parliamentarians, who are involved in the relevant decision-making processes, have stepped in. They need to be briefed and informed accordingly. This entails generally lengthy and intensive consultation and decision making processes in the development phase of ABS frameworks, which makes it often difficult for the private sector to engage effectively. This remains a challenge.

In the **Caribbean and Pacific** any capacity development programme must consider that due to the small populations and economies, a **very limited number of experts** are working on biodiversity related issues and governments exercise a high degree of priority setting. The regional and country experts for biodiversity related issues are in general well trained, but in both regions the process of regional integration is not as advanced as in Africa.

During the various coordination efforts and activities with the **Secretariat of the CARICOM and the Caribbean ACP-countries** in 2013, it became clear that due to the constitutional setups the experiences gained and specifically the approaches developed in Africa can only be transferred to a limited extent to the Caribbean region. Efforts to put ABS higher on the political agenda have resulted in some, but limited success in 2013. During 2014, an increasing number of governments engaged in working on ratification and implementation of the Nagoya Protocol. A further advancement of the ABS agenda is expected through the meeting of the Council for Trade and Economic Development (COTED) – Environment and Sustainable Development in early 2015 where the Nagoya Protocol is included in the agenda. Also the preparation of the regional IUCN-managed UNEP/GEF ABS project in 2015 will foster the ABS-agenda at national level. Finally the planned cooperation with the OECS in drafting sub-regional ABS regulations should lead to tangible results in the next two years.

The capacity development work in the **Pacific**, in contrast, is benefitting substantively from the African experiences and provides new opportunities for South-South exchange. Unique is the high level of community governance and presence of traditional governance schemes in most of the Pacific countries which offers opportunities to learn and showcase how the ILC related provisions of the Nagoya Protocol can be implemented in a politically enabling environment.



## Annex A: Opening Remarks at the General Assembly by Braulio Ferreira de Souza Dias, Executive Secretary of the CBD



### OPENING REMARKS

BY

MR. BRAULIO FERREIRA DE SOUZA DIAS

EXECUTIVE SECRETARY OF THE  
CONVENTION ON BIOLOGICAL DIVERSITY

ON THE OCCASION OF

THE GENERAL ASSEMBLY OF THE ABS CAPACITY DEVELOPMENT INITIATIVE

ALPENSIA INTERCONTINENTAL HOTEL, PYEONGCHANG, SOUTH KOREA  
18 OCTOBER 2014



Convention on  
Biological Diversity

Secretariat of the Convention on Biological Diversity  
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Distinguished participants,  
Ladies and Gentlemen,

It is a pleasure to convey my warm regards to you all on the occasion of the General Assembly of the ABS Capacity Development Initiative in Pyeongchang, Republic of Korea. I regret that the CBD Secretariat could not be represented at this important meeting due to other commitments.

This General Assembly takes place at a critical moment in the life of the Nagoya Protocol. As you are aware, the Protocol entered into force on the 12<sup>th</sup> of October and the first meeting of the Conference of the Parties serving as the meeting of the Parties to the Protocol (COP MOP 1) concluded last evening with very good outcomes.

The COP-MOP adopted thirteen key decisions which provide a strong foundation for the full implementation of the provisions of the Protocol. These include, among others, the comprehensive strategic framework for capacity-building and development and an awareness-raising strategy for the Protocol. The Parties also adopted the modalities of operation for the ABS Clearing-house and a reporting format for interim national report under the Protocol. Most importantly, the Parties approved cooperative procedures and institutional mechanisms to promote compliance with the provisions of the Protocol and to address cases of non-compliance, including the establishment of a Compliance Committee.

*Ladies and Gentlemen,*

The entry into force of the Protocol and the conclusion of the first COP-MOP are but just the first step of a long journey ahead. A lot more work has to be done to support the effective implementation of the Nagoya Protocol and to ensure timely and full achievement Aichi Biodiversity Target 16. This will require collaboration and partnerships among various stakeholders.

In this regard, we are pleased to note the work that the ABS Capacity Development Initiative is undertaking in collaboration with other partners, which has also been highlighted and recognized in various decisions adopted during COP MOP 1 meeting. I hope that the Initiative, given its wealth of experience on ABS issues, will continue and scale up its support to countries as they work towards developing new or updating existing legislative, administrative and policy measures to meet the obligation set out in the Nagoya Protocol and thus contribute the achievement of the second part of Aichi Target 16. I am also hopeful that donors will provide additional resources to enable key players, such as the ABS Capacity Development Initiative, UNEP, UNDP and others, to assist Parties in the implementation of the Nagoya Protocol.

The CBD Secretariat looks forward to continuing and strengthening our collaboration with the Initiative and other partners, particularly in assisting Parties to operationalise the strategic framework for capacity-building and capacity development and other decisions adopted by COP-MOP 1. Let us continue our collective efforts to make the Nagoya Protocol fully operational and make access to and the fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge a reality for the benefit of all.

I wish you all the best in your deliberations and look forward to receiving the outcomes of the General Assembly.

Thank you.



## Annex B: Expenditure for the implementation of the ABS Capacity Development Initiative in 2014

Expenditures listed in sections '0.1' and '0.2' include the secretariat's staff time for the implementation of activities which are listed in sections 1 to 4 of the table of expenditures, i.e. in this budget line all activity related costs for staff time of the Secretariat are "deducted".

Expenditure line '0.4' refers to travel costs of Secretariat staff which is not related to the activities listed in sections 1 to 4 of the table of expenditures; this line covers travel costs for e.g. team and coordination meetings, donor meetings and international events listed in chapter 5 of the workplan.

	Overall expenditure (€)	Expenditure (€) ABS Initiative						Parallel funds (€) UNEP/GEF
		BMZ	OIF	Norway	Denmark	EU	France	
<b>0 Secretariat / Management</b>								
<b>0.1 Staff</b>								
Manager (80%)	65.019	64.603						416
Project Officers (2 x 100%, 2 x 80%)	205.932	35.184		86.056	42.730	38.946		3.016
Travel and Workshop Manager (2 x 100%)	150.125			29.573		104.106	16.446	
Finance administrator (100%)	57.144	56.432						712
<b>Sub-total: Staff</b>	<b>478.221</b>	<b>156.219</b>	<b>0</b>	<b>115.629</b>	<b>42.730</b>	<b>143.052</b>	<b>16.446</b>	<b>4.144</b>
<b>0.2 Consultants</b>								
Co-Management by GeoMedia GmbH	69.637			7.434		45.308	16.895	
Evaluation	24.521			22.536	1.872	113		
<b>Sub-total: Consultants</b>	<b>94.158</b>	<b>0</b>	<b>0</b>	<b>29.971</b>	<b>1.872</b>	<b>45.421</b>	<b>16.895</b>	<b>0</b>
<b>0.3 Running costs:</b>								
Office rent, communication,..(month)	55.565	12.827		20.037	7.640	13.448	1.540	73
<b>Sub-total: Running costs</b>	<b>55.565</b>	<b>12.827</b>	<b>0</b>	<b>20.037</b>	<b>7.640</b>	<b>13.448</b>	<b>1.540</b>	<b>73</b>
<b>0.4 Travel secretariat:</b>								
Travel secretariat staff	5.370			3.727		792	852	
<b>Sub-total: Travel Secretariat</b>	<b>5.370</b>	<b>0</b>	<b>0</b>	<b>3.727</b>	<b>0</b>	<b>792</b>	<b>852</b>	<b>0</b>
<b>0.5 Procurement:</b>								
Office equipment (server, computer..)	1.531			1.481		50		
<b>Sub-total: Procurement</b>	<b>1.531</b>	<b>0</b>	<b>0</b>	<b>1.481</b>	<b>0</b>	<b>50</b>	<b>0</b>	<b>0</b>
<b>0 Sub total: Secretariat / Management</b>	<b>634.845</b>	<b>169.046</b>	<b>0</b>	<b>170.845</b>	<b>52.242</b>	<b>202.762</b>	<b>35.733</b>	<b>4.217</b>
- share of Africa	508.720	135.237	0	136.676	41.794	162.209	28.586	4.217
- share of Caribbean (funded by BMZ, IFDD and EU)	63.063	16.905	0	17.085	5.224	20.276	3.573	
- share of Pacific (funded by BMZ, IFDD and EU)	63.063	16.905	0	17.085	5.224	20.276	3.573	
<b>1 AFRICA</b>								
<b>1.1 Support to ratification</b>								
Support for national consultation processes	1.000			1.000				
<b>Sub-total: Support to ratification</b>	<b>1.000</b>	<b>0</b>	<b>0</b>	<b>1.000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1.2 National / regional implementation</b>								
Consultants: General support for national implementation	24.809			26.581	-9.000	7.228		
Benin: ongoing national consultation process and pilots for implementation	62.626					62.626		
Kenya: revision of Kenyan ABS laws and regulations	36.750					5.320	349	31.082
Malawi: ABS agreements and support development of regulatory framework	78						78	
Workshop on ABS Implementation for ILCs	141.489		17.983	110.424	24	7.595	5.464	
Natural Justice: African BCP Initiative	110.767			110.767				
IDLO: Legal preparedness for Aichi Target 16	69.078			67.927		1.151		
FNI: Country studies on ABS experiences in Australia and India	64.452			64.452				
Natural Justice: BCPs in Francophone West Africa	1.938						1.938	
Senegal	-140							-140
Mozambique	20.036							20.036
<b>Sub-total: National / regional implementation</b>	<b>531.883</b>	<b>0</b>	<b>17.983</b>	<b>380.151</b>	<b>-8.976</b>	<b>83.920</b>	<b>8.370</b>	<b>50.978</b>
<b>1.3 Value chain establishment</b>								
Training on IPR and preparatory meeting for ILC prior to COP 11 (2012)	32.806				32.806			
International Forum Africa and Beauty, Burkina Faso	4.873				2	4.871		
ABS and Business Dialogue Forum ("Copenhagen 4")	44.819			5.286	25.347	7.023	7.162	
Developing business and research partnerships (e.g. in MAD, NAM)	34.331			11.163		19.176	3.991	
Understanding the business potentials of GR and aTK: various studies	91.707			5.096	374	32.791	6.975	46.471
FNI: Legal study and practical handbook on ABS contracts	64.862			64.862				
UEBT: Engaging business in ethical sourcing	2.209					1.783	426	
PhytoTrade Africa: ABS in Southern Africa	11.669			4.000	574	6.513	581	
Tools for Negotiating and Concluding ABS Agreements	24.013	20.000					3.858	155
Cameroon: national ABS regulations and valorisation of NTFPs	49.082			10.491	1.247	20.804	16.540	
Ethiopia: ABS contract training for national providers of GR and aTK								
* Morocco: development of ABS measures and agreements	47.650	47.650						
* Madagascar: national ABS regulations and valorisation of NTFPs	35.530	35.530						
<b>Sub-total: Value chain establishment</b>	<b>443.550</b>	<b>103.180</b>	<b>0</b>	<b>100.898</b>	<b>60.351</b>	<b>96.818</b>	<b>35.831</b>	<b>46.471</b>

<b>1.4</b>	<b>Amplifying ABS processes</b>							
	Integrating ABS in the country programming of GEF-SGP	7.373			12.300	-9.000	3.608	465
	<b>Sub-total: Amplifying ABS processes</b>	<b>7.373</b>	<b>0</b>	<b>0</b>	<b>12.300</b>	<b>-9.000</b>	<b>3.608</b>	<b>465</b>
<b>1.5</b>	<b>(Sub-)Regional capacity development and coordination for relevant international processes</b>							
	Consultants: Advice to African Group, reporting, translations etc.	778			778			
	AUC: Integrating ABS at the (sub-)regional policy level: AU Guidelines	223.596		3.602	52.222	16.661	24.184	126.927
	AUC: African Coordination Meetings for ICNP 3 and COP 12 (/ MOP 1)	101.928		588	56.330	20.291	7.320	17.399
	COMIFAC: Implementing the Regional ABS Strategy	2.170					310	1.860
	BIOPAMA: Linking ABS with PA Management	670					670	
	Tandem workshop "Coherent National Implementation of the NP and the Trainings "Integrating IPRs in the ABS process"	97.629		17.024	68.695		11.910	
	Trainings "ABS contracts"	217.884			213.895	2.844	1.145	
	Trainings "Basic ABS training Course – Legal and Technical Skills	4.393			195		4.198	
	Trainings "Management of Multistakeholder Processes in the ABS Arena"	92.566			6.171	6.339	80.056	
	8th Pan-African ABS Workshop incl. RSC Africa Meeting	49.821			48.863		958	
	9th Pan-African ABS Workshop incl. RSC Africa Meeting	393.821		29.790	49.606	256.406	58.019	
	Harmonizing national and regional approaches on ABS, IPR and aTK	21.570				13.805		7.765
	WS TK Dokumentation	20.999			9.194	7.675	3.808	322
		10.261		220			10.041	
	<b>Sub-total: (Sub-)Regional capacity development and coordination for relevant international processes</b>	<b>1.238.088</b>	<b>0</b>	<b>51.224</b>	<b>505.950</b>	<b>324.021</b>	<b>202.620</b>	<b>154.273</b>
	<b>Sub total: AFRICA incl. costs of the secretariat</b>	<b>2.730.614</b>	<b>238.417</b>	<b>69.206</b>	<b>1.136.975</b>	<b>408.190</b>	<b>549.176</b>	<b>256.214</b>
								<b>101.666</b>
<b>2.2</b>	<b>National / regional implementation + value chain establishment</b>							
	Dominican Republic							
	Bahamas	1.243					1.243	
	Guyana, Justice Institute	-447					-447	
<b>2.3</b>	<b>Regional capacity development, training and coordination for relevant international processes</b>							
	2nd Caribbean ABS Workshop, 11/2013, Jamaica	24.284					24.284	
	3rd Caribbean ABS Workshop, 11/2014, St. Lucia	77.254			2.358		74.780	116
<b>2</b>	<b>Budget Caribbean incl. costs of the secretariat</b>	<b>165.396</b>	<b>16.905</b>	<b>0</b>	<b>19.442</b>	<b>5.224</b>	<b>120.135</b>	<b>3.690</b>
<b>3.1</b>	Support to ratification							
	Awareness raising at relevant international (e.g. UN SIDS Conference) and regional meetings	3.972					3.972	
<b>3.2</b>	<b>National / regional implementation + value chain establishment</b>							
	Support to SPREP (intern position)	10.000					10.000	
	Initial support to selected countries	31.398			3.390		28.008	
<b>3.3</b>	<b>(Sub-)Regional capacity development and coordination for relevant international processes</b>							
	4th Pacific ABS Workshop, 11/2013, Suva	100.072					100.072	
	ABS Contract Training, 08/2014, Nadi	41.441			-21.761		63.203	
	5th Pacific ABS Workshop, 11/2014, Sydney	27.886					27.886	
<b>3</b>	<b>Budget Pacific incl. costs of the secretariat</b>	<b>277.831</b>	<b>16.905</b>	<b>0</b>	<b>-1.287</b>	<b>5.224</b>	<b>253.416</b>	<b>3.573</b>
<b>4</b>	<b>Supra-regional (AFRICA, CARIBBEAN, PACIFIC)</b>							
<b>4.1</b>	South-South Exchange on Monitoring and Compliance Obligations	117.862			69.211	1.097	34.910	12.644
<b>4.2</b>	CEPA and knowledge management by the ABS Initiative	70.259			809	44.273	10.782	10.370
	<b>Sub total: Supra-regional (AFRICA, CARIBBEAN, PACIFIC)</b>	<b>188.121</b>	<b>0</b>	<b>0</b>	<b>70.020</b>	<b>45.370</b>	<b>45.693</b>	<b>23.014</b>
								<b>4.025</b>
	<b>Projekt costs</b>	3.361.961	272.226	69.206	1.225.150	464.008	968.420	286.490
	<b>Overhead costs (co- and parallel funding donor *)</b>	<b>253.925</b>		<b>9.917</b>	<b>80.617</b>	<b>45.666</b>	<b>64.016</b>	<b>42.973</b>
	<b>Overhead costs (BMZ)</b>	<b>195.370</b>	<b>40.834</b>		<b>74.950</b>	<b>22.454</b>	<b>57.132</b>	
	<b>Total overhead costs</b>	<b>449.295</b>	<b>40.834</b>	<b>9.917</b>	<b>155.567</b>	<b>68.119</b>	<b>121.148</b>	<b>42.973</b>
	<b>Total project costs</b>	<b>3.811.256</b>	<b>313.060</b>	<b>79.124</b>	<b>1.380.717</b>	<b>532.128</b>	<b>1.089.568</b>	<b>329.463</b>
								<b>116.426</b>

\* expenditure by job orders of GIZ implemented bilateral cooperation projects

## Annex C: List of workshops, trainings and conferences organized, (co-)financed and attended by the ABS Initiative

*Events not organized and financed by the Initiative are listed in blue italics.*

- 13.01.14      *National Workshop "Consultation and Project design for GEF Support to: Development of a legislative and operational framework for access and benefit-sharing (ABS) of genetic resources and bioprospecting for The Bahamas", Nassau, The Bahamas*
- 13.-15.01.14    Multi-stakeholder Workshop for Francophone African Countries, Frankfurt, Germany
- 30.-31.01.14    1<sup>st</sup> Dialogue on Practical Ways Forward for the Implementation of the Nagoya Protocol, Cape Town, South Africa
- 10-14.01.14**    *4<sup>th</sup> International Forum “Beauty and Africa”, Ouagadougou, Burkina Faso*
- 20.-24.01.14    Training “ABS and Intellectual Property Rights for National Focal Points of Lusophone African Countries”, Praia, Cape Verde
- 05.-07.02.14    Expert workshop on the AU Guidelines for a Coordinated Implementation of the Nagoya Protocol on Access and Benefit Sharing, Addis Ababa, Ethiopia, co-organised with AUC-DHRST
- 13.02.14        Workshop "Schutz und Erhalt der biologischen Vielfalt im Kosmetiksektor [Protection and maintainance of biological diversity in the cosmetic sector]" at Biofach 2014 / Vivaneiss 2014; Nürnberg, Germany, co-organised with Global Nature Fund and WALA Heilmittel GmbH
- 13.-14.02.14    Regional Dialogue on The Nagoya Protocol on ABS in Southern Africa - Developing Policy and Implementing Best Practice, hosted by the Department of Environmental Affairs, Republic of South Africa - facilitated by the ABS Capacity Development Initiative and PhytoTrade Africa
- 22.-23.02.14    Coordination Meeting of African Negotiators to ICNP 3, Pyeongchang, Republic of Korea – organized by AUC-DHRST
- 25.02.2014      Side event “Lessons Learnt from Existing National ABS Systems – Challenges for the Implementation of the Nagoya Protocol” at ICNP 3, Pyeongchang, Republic of Korea
- 10.-14.03.14     8<sup>th</sup> Pan-African ABS Workshop, Cotonou, Benin
- 31.03.-04.04.14    Training “ABS and Intellectual Property Rights for National Focal Points of Francophone African Countries”, Dakar, Senegal
- 04.04.14**        *'in-cosmetics' trade show, Hamburg, Germany*
- 07.04.2014**      *Fédération des Entreprises de la Beauté International Working Group on Natural Ingredients, Paris, France*
- 05.-09.05.14     Basic Training Course in Access and Benefit Sharing from Genetic Resources and Associated Traditional Knowledge, Zanzibar, Tanzania
- 23.05.14**        *Signing ceremony of the ABS agreement for the research phase of the exploitation of Echinops giganteus between the local community, MINEPDED and the French fragrance and flavour producer MANE, Yaoundé, Cameroon*
- 28.05.14**        *11<sup>th</sup> Meeting of the DFG Working Group „Access and Benefit Sharing“ of the Commission for Biodiversity Research to the Senate of the DFG (SKBDF), Bonn, Germany*
- 03.-06.06.14     The International Treaty and the Nagoya Protocol – A tandem workshop for National Focal Points, Rome, Italy

- 04.-06.06.14 Annual Meeting, PhytoTrade Africa, Harare, Zimbabwe
- 09.-13.06.14 Regional SCBD capacity building workshop on the Nagoya Protocol for Sub-Saharan Africa, Kampala, Uganda
- 21.06.14 IDLO Roundtable on "Legal Preparedness for the Implementation and Mainstreaming of National Biodiversity Strategies and Action Plans (NBSAPs)", Montreal, Canada
- 08.-11.07.14 FAO 2<sup>nd</sup> Session of the Team of Technical and Legal Experts on Access and Benefit-Sharing (CGRFA TTLE on ABS), Rome, Italy
- 23.-28.06.14 Side event "ABS and non-commercial research" co-organised with Sud Experts Plantes Developpement Durable (SEP2D) at SBSTTA 18, Montréal, Canada
- 28.07.-01.08.14 IDLO Training "Building Legal Frameworks to Implement the Nagoya Protocol", Rome, Italy – co-organised with CISDL
- 04.-06.08.14 2<sup>nd</sup> ABS Dialogue on Key Challenges and Practical Ways Forward for the Implementation of the Nagoya Protocol, Goa, India
- 05.-08.08.14 Training "Mutually Agreed Terms: Contracts to Make ABS Functional", Nadi, Fiji
- 11.-14.08.14 Validation Workshop for the AU Guidelines for a Coordinated Implementation of the Nagoya Protocol on Access and Benefit Sharing, Addis Ababa, Ethiopia – organized by AUC-DHRST
- 26.-28.08.14 *Regional Capacity-Building Workshop for the Pacific Region on Traditional Knowledge and Customary Sustainable Use under the CBD*, Apia, Samoa
- 28.08.14 WIPO Workshop "IPR for ILPCs", Apia, Samoa
- 02.09.14 Parallel session "ABS Capacity Development Needs in SIDS: Dimensions and Potentials of Marine Bioprospecting" at UN-SIDS 3, Apia, Samoa – co-organised with SPREP and GEF-SGP
- 02.-05.09.14 ABS Policy Development Workshop for Pohnpei State, Pohnpei, Federated States of Micronesia
- 12.09.14 Briefing for the Moroccan delegation to CBD COP 12 and NP COP-MOP 1, Rabat, Morocco
- 06.-17.10.14 Side and parallel events at CBD COP 12 / NP COP-MOP 1, Pyeongchang, Republic of Korea
- 06.10.14 GEF Support to Building Capacity for Implementation of the Nagoya Protocol
  - 06.10.14 Mutually Supportive Implementation of the CBD/NP and ITPGRFA/MLS: Capacity Building for Implementation
  - 11.10.14 Experts' Retreat: Promoting Laws for Biodiversity - Defining Priorities, Actions and Partnerships, organized by IDLO
  - 12.10.14 3<sup>d</sup> UNCTAD BioTrade Congress "Promoting Sustainable use through Business Engagement"
  - 13.10.14 Expert discussion "ABS Key Players in Communication – Challenges, Experiences, Solutions"
  - 13.10.14 Building Legal Frameworks for the Nagoya Protocol, organized by IDLO
  - 14.10.14 Approaches for Identifying Business Potentials for Genetic Resources Under ABS in Africa: Outcomes of a 6 Country ABS Capacity Building Project (Senegal, Cameroon, South Africa, Mozambique, Kenya, Madagascar) Under GEF-4, organized in cooperation with UNEP DELC

- 15.10.14 Developing Capacities in Africa and ACP Countries to Make the Nagoya Protocol Operational – with partner inputs
- 16.10.14 *The Rule of Law for Biodiversity***
- 17.10.14 International Cooperation and Exchange for Biodiversity Conservation: Dialogue Formats on ABS and TEEB
- 12.10.14 African Coordination Meeting for COP-MOP 1, Pyeongchang, Republic of Korea – organized by AUC-DHRST
- 18.10.14 2<sup>nd</sup> General Assembly of the ABS Initiative, Pyeongchang, Republic of Korea
- 05.-07.11.14 Workshop of the African Biocultural Community Protocol Initiative, Nairobi, Kenya, organized by Natural Justice
- 10.-13.11.14 5<sup>th</sup> Pacific Sub-regional Workshop on Access and Benefit-Sharing, Sydney, Australia – co-organised with SPREP and SCBD
- 10.-14.11.14 Workshop “ABS Implementation for Indigenous Peoples and Local Communities”, Windhoek, Namibia
- 11.-12.11.14 *The Nagoya Protocol: Role and consideration of R&D in the implementation of the Protocol in Morocco, Rabat, Morocco***
- 17.11.14 Session “From Global to Local: Linking Conservation Objectives and Local Business Potentials Through ABS” in the ‘WIN and Pacific Community Dialogue Pavilion’ at the 3<sup>rd</sup> IUCN World Parks Congress, Sydney, Australia
- 18.-21.11.14 *Bahamas Environment, Science, and Technology Commission: Stakeholder consultations to support the development of the UNEP/GEF ABS project, Nassau, The Bahamas***
- 24.-27.11.14 3<sup>rd</sup> Caribbean ABS Workshop, Rodney Bay, St. Lucia – co-organised with CARICOM Secretariat and SCBD
- 9.-10.12.14 *National Stakeholder Consultation Forum on the Blue Economy, Victoria, Seychelles***
- 03.-05.12.14 *WIPO Practical Workshop for Indigenous Peoples and Local Communities on IP and TK, Geneva, Switzerland***
- 10-11.12.14 *1<sup>st</sup> Roundtable of stakeholders involved in the implementation of the Nagoya Protocol, Antananarivo, Madagascar***
- 21.01.15 *National key stakeholder dialogue: The road towards domestication and development of effective ABS laws, Naivasha, Kenya***
- 28.-29.1.15 4<sup>th</sup> ABS Business Dialogue, Copenhagen, Denmark – co-organised with the Danish Ministry of Environment and the Danish Industry Confederation
- 03.-05.02.15 *National ABS Workshop, Koror, Palau***
- 17.-19.02.15 Side event “ABS and its integration in GEF country portfolios” at the GEF Workshop for CBD and GEF Operational Focal Points in the Southern African Region, Windhoek, Namibia
- 23.-27.02.15 9th Pan-African ABS Workshop, Addis Ababa, Ethiopia