

THE **ABS**
CAPACITY
DEVELOPMENT
INITIATIVE



L'INITIATIVE DE
RENFORCEMENT
DES CAPACITES
POUR L'**APA**

Programme Document 2015-2020

General Assembly

**19 October 2014, Alpensia Intercontinental Hotel,
Pyeongchang, South Korea**

funded by



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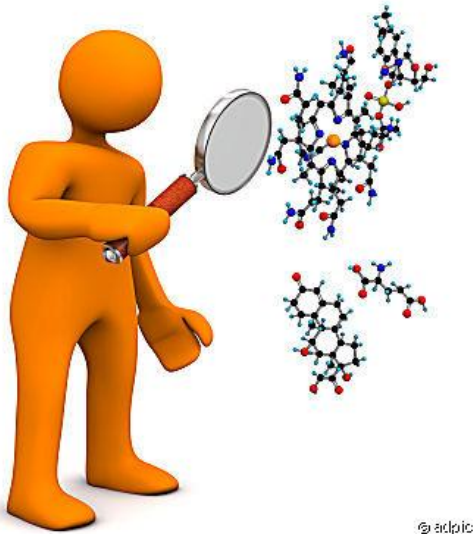


Relevance and Performance



Evaluations by Denkmodell GmbH

- **OECD-DAC** criteria for evaluating development assistance: Relevance, effectiveness, impact, efficiency, sustainability
- further issues such as gender, stakeholder participation, modes of delivery, “focus” , governance structure
- Analysis and clarification of the **existing results and monitoring framework**
- In depth analysis of **secondary data** (programme document, progress reports, etc.)
- Collection of **primary data** using both quantitative and qualitative methods



EU Results-oriented Monitoring

Implementation status of programme based on ROM in three countries: Cameroon, Guyana, Cook Islands against **OECD DAC** based standardized assessment scheme

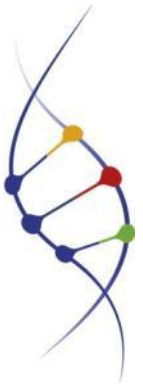
Results and Recommendations



Relevance

- The ABS mechanism is **highly relevant**
 - **Potentially powerful instrument** to leverage tangible impacts in provider countries
 - Strong desire by stakeholders to become **active players** in it
- The ABS Capacity Development Initiative is **highly relevant**
 - Yet, the successful implementation of ABS compliant value chains is still to be proven
 - The Initiative is highly appreciated for its **integrative approach** of facilitation, dialogue and capacity development on a subject that is highly complex
 - The ABS Initiative clearly meets the **demand of a high number of countries** in this regard.

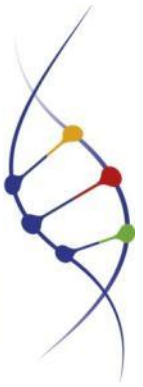
Results and Recommendations



Effectiveness

- Stakeholder survey and interviews reveal **high appreciation for the effectiveness** of the ABS Initiative
 - 15 [28] countries within the regional scope have ratified the NP while another 25 have initiated ratification related consultation processes
 - A growing number of (sub)regional organisations consider ABS as an important topic and contribute to the coordinated development of ABS implementation concepts
- **Room for improvement** of the effectiveness by
 - blending face-to-face workshops and training with, or in some cases even substituting through webinars and virtual knowledge events
 - thus freeing resources for other purposes (e.g. national support, ABS compliant value chain development) or the extension of training activities to a greater learning community.

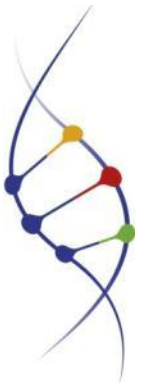
Results and Recommendations



Impact with regards to the Initiative's overall objectives

1. ACP countries have ratified the NP and benefit from its compliance mechanism
 2. National ABS policies and regulatory frameworks enable stakeholders to enter into equitable ABS partnerships
 3. Functioning ABS agreements are in place contributing to conservation & livelihoods
 4. Partners are supporting ABS implementation
 5. Approaches for implementing the Nagoya Protocol are regionally coordinated and harmonized
- Assessing impact is **premature**
 - NP not entered into force yet, which is a precondition for most of the Initiative's overall objectives
- Realization of impact requires **investment and planning beyond 2015**

Results and Recommendations



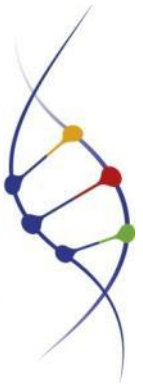
Sustainability

- Too early to fully assess the sustainability of the Initiative's effects



- Improve **institutionalisation** of knowledge and the development of national and/or regional capacities, including training capacities
- Intensify support for the formation of **interdisciplinary multistakeholder groups on ABS at national level**, leading eventually to a broader consolidation of ABS knowledge and its dissemination in targeted countries

Results and Recommendations



Gender equality

- Rather marginal role so far
- More prominent role particularly in the support for ABS compliant value chains



Stake- and rights-holder participation

- Core constituting element in the approach of the Initiative
- Highly participatory nature with regard to decision-making
- Exchange with private sector and ILC stakeholders is much desired and appreciated by interviewees

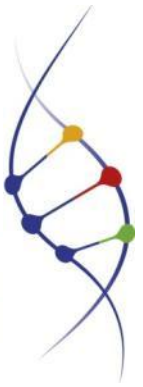
Results and Recommendations



Modes of delivery

- Workshops, training courses, CEPA, and best practices with the private sector are considered **most appropriate** by the stakeholders
- **No clear evidence** whether and which activities (information exchange, knowledge management, technical papers and studies, technical consultations) would be less important or even dispensable
- High demand for **support and advice at national level**
- Develop **process manuals** (“how to go about it at national level”) to increase the effectiveness in providing support at national level
- As **ABS compliant value chains** are the ultimate goal of all interventions, the Initiative should put their development and implementation more strongly in the focus of activities.

Results and Recommendations



Governance structure (steering committees)

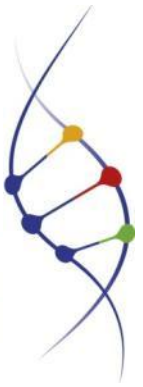
- Perceived as appropriate by stakeholders
- Respondents of the online survey suggested a **stronger involvement of private sector as well as civil society** representatives.

Learning opportunities (from / for other initiatives)

- Compile and systemize in a consistent way the Initiative's lessons learnt and best practices ("Why did we do it the way we did and what are our experiences with this?")



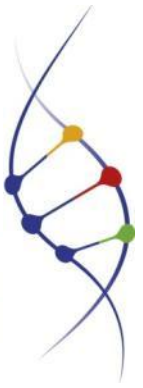
Results and Recommendations



Intervention logic and monitoring approach

- Comprehensive intervention logic
- Formulation of objectives at different levels partially too ambitious and unrealistic (attribution gap)
- Several shortcomings of the monitoring approach regarding the
 - monitoring process
 - formulation and measurement of indicators
 - format of presentation
- Reformulate programme purpose to what the ABS Initiative can be held accountable for
- Refine monitoring approach (continuous exercise, condensed overview of programme status, baseline data, qualitative assessments)

Challenges for National Implementation (1)



Building regional capacities for capacity development

National translation of NP for all concerned stakeholders

More effectively support the development of ABS compliant value chains and negotiation of ABS agreements

Improving facilitation of learning and exchange



Challenges for National Implementation (2)

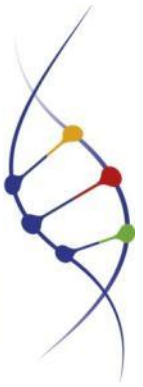


Improving facilitation of learning and exchange

- Virtual exchange and learning
- Train-the-trainers concept
- Train users on ABS compliant user agreements
- Intensify multi-stakeholder approach
- Promote exchange with private sector, ILCs and national research institutions
- Establish criteria for selection of training participants and countries to support
- Offer stakeholders basic understanding of ABS relevant business and research sectors



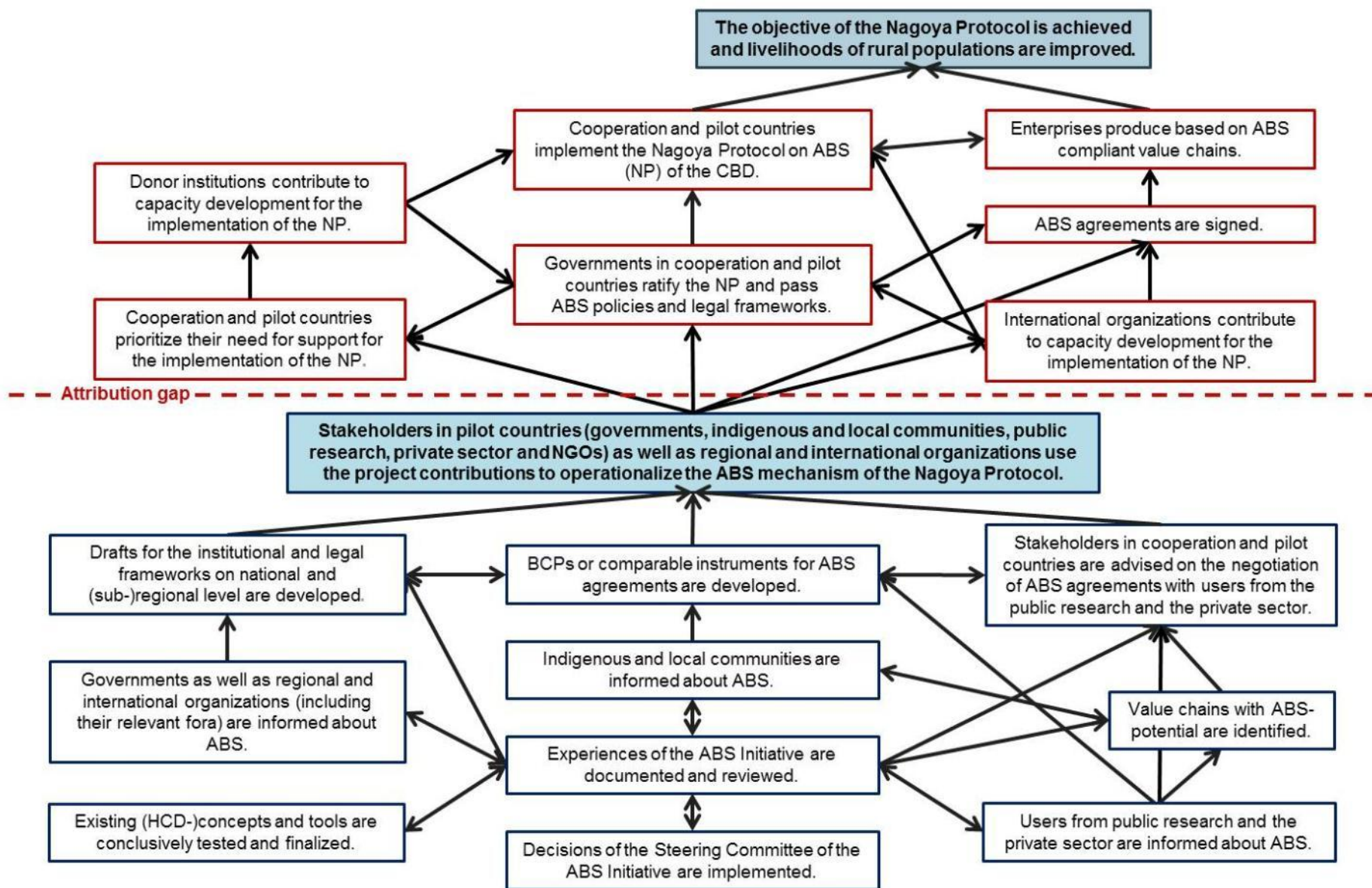
Challenges for National Implementation (3)



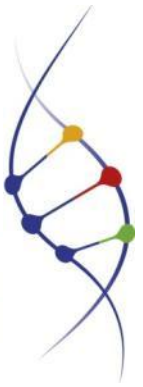
- Strengthen gender equality in the establishment of ABS compliant value chains
- More attention to non-monetary benefits
- Standardized monitoring system
- Develop exit strategy
- Addressing funding uncertainty



Intervention Logic Graph

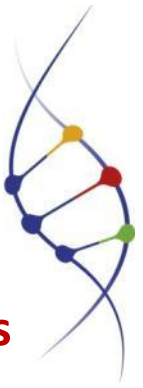


Requirements to Achieve Objective



- Countries are actively engaged to ratify and implement NP
- Further identify capacity development needs
- Funding needs to be identified, prioritized and met
- International and (sub-)regional organization are engaged
- Public research and business utilize GR & aTK based on MAT with providers
- Sufficiently large number of countries becomes parties to NP
- Parties develop and implement regulatory frameworks
- ABS agreements bw. public research and private sector and providers

Requirements to Achieve Outcome



Ultimate goal: establishment of functioning ABS agreements / value chains bw. providers and users

- Support of carefully selected pilot countries
- Target groups: government, ILCs, public research, private sector
- Understanding the role of intermediaries
- Promoting non-monetary benefits
- Building on: experiences and lessons learned (human capacity development and awareness raising)

Strategic Process Management



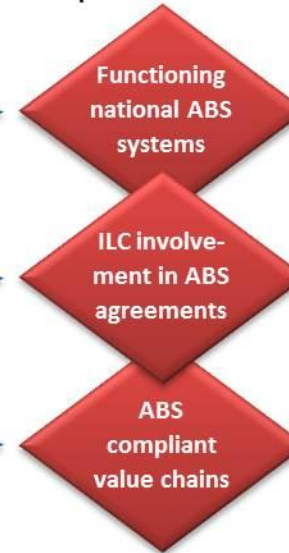
Steering and guiding



*Core implementation processes:
supporting pilot countries:*




Outcomes in
pilot countries



Auxiliary processes



Summary	Indicators	Means of verification
<p>Objective</p> <p>The objective of the Nagoya Protocol is achieved and livelihoods of rural populations are improved.</p>		
<p>Outcome</p> <p>Stakeholders in pilot and cooperation countries (governments, indigenous and local communities, national research organisations, private sector and NGOs) as well as regional and international organizations use contributions of the ABS Initiative for the operationalization of the Nagoya Protocol on Access and Benefit-sharing (ABS).</p>	<p>1. In Y pilot countries of the ABS Initiative the ABS National Focal Points have submitted drafts to the relevant decision makers for the institutional and legal framework of ABS on the national level.</p> <p>Target: Drafts in Y pilot countries</p> <p>All indicator baselines will be provided based on the Progress Report 2014 of the ABS Initiative. Targets will be provided accordingly and updated upon availability of additional co-financing contributions.</p>	<p>Documents of the drafts, documentation of notification to decision-makers</p>
	<p>2. In X pilot countries of the ABS Initiative Y ABS agreements with indigenous and local communities (ILCs) are based on “Biocultural Community Protocols (BCPs) or comparable instruments and explicitly include the participation of women in benefit-sharing.</p> <p>Target: Y ABS agreements in X countries with participation of ILCs are finalized</p>	<p>Documents of the drafts, signed ABS agreements with ILCs.</p>
	<p>3. In X pilot countries of the ABS Initiative Y ABS agreements with enterprises and public research organizations have been signed.</p> <p>Target: Drafts for Y ABS agreements in X cooperation countries</p>	<p>Documents of the drafts, signed ABS agreements.</p>
	<p>4. The Steering Committee of the ABS Initiative rates its satisfaction level in regard to the contributions of the program for steering the Initiative on a scale from 1 to 6 with 4 or higher.</p> <p>Target: Rating 4 to 6</p>	<p>Survey of the members of the Steering Committee</p>

Supporting the Implementation of the CBD Strategic Framework

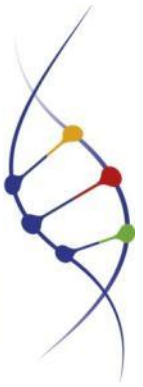


- Improving cooperation and coordination among actors
- Developing tools/products for capacity building
- Making available experience and lessons learned for scaling-up and utilization by actors



**Convention on
Biological Diversity**

Assumptions and Risks



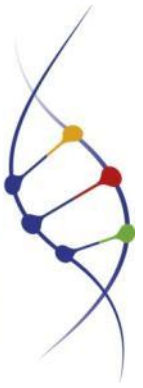
TIMO: Trust, Interest, Motivation, Ownership

Medium Level Risks

- Changes of government
- High transaction costs for negotiating ABS agreements and getting permits
- Questioning of legitimate representation of ILCs

To be addressed by carefully selecting pilot countries and targeted consultation with stakeholders and gatekeepers

Approaches and Mode of Delivery



Step-by-Step approach for:

**Providing support to the implementation of NP in selected pilot countries
and scaling-up to cooperation countries**

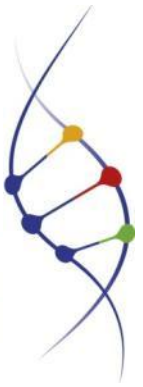
Short term: 1 – 2 years

Medium term: 3 years

Long term: 4 -5 years



Approaches: Short Term (1-2 years)



National level

- Country level diagnostic
- National roadmap and related timeframe/milestones
- Delivery mechanisms
- Country support team
- Capacity development support (institutional and human capacities)
- Regular monitoring (follow-ups, annual assessment)

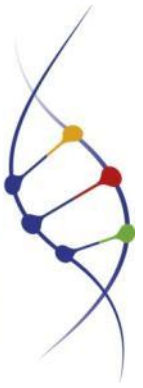
Regional level

- Share of experiences: trainings
- Support coordinated approach: e.g., regional guidelines

International level

- Follow international developments and ensure coordinated approach
- Help create mutual understanding and ABS partnerships

Approaches: Medium Term (3 years)



National level

- Assessment against milestones
- Country reports/case studies
- Remaining challenges/lessons learned
- New/additional pilot countries
- Assessment of delivery mechanisms (tools and trainings)
- Capacity Building

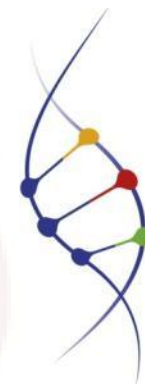
Regional level

- Exchange of experience bw. pilot and cooperation countries based on progress (e.g., regional workshops)
- Regional champions

International

- Support coherent implementation of NP: exchange of experience with countries and stakeholders from regions

Approaches: Long Term (4-5 years)



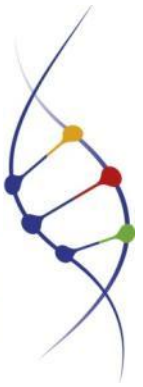
Assessment and dissemination of progress/achievements in pilot countries

- ABS national strategies
- Legislative and regulatory framework
- Institutional and human capacity
- Establishment of ABS agreements and ABS compliant value chains

Development of ABS best practices

Identification of next steps

Delivery Mechanism



Dynamic support

Direct Country support: 2-3 person country teams (ABS Initiative staff, experts, partners) for support and guidance:

- Developing ABS frameworks
- Establishing ABS compliant value chains
- Ensuring continuity and propose tools/mechanisms
- Monitoring progress and drawing lessons learned

Formats, Tools and Products

- Established and new: based on lessons learned for exchange of experience bw. countries and stakeholders (e.g., dialogues, workshops, peer to peer exchanges, country reports)
- Trainings/workshops easily replicable, facilitate development of a core group at national level, supporting exchange

Assessing, documenting and making available developments of frameworks and value chains

International level

- Support coordinated approach
- Share experiences among ACP countries and with other regions
- Support coherent implementation of NP across regions and in different sections

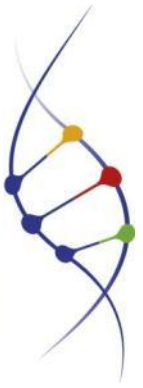
Role of ABS Initiative



- Coordinator in pilot countries
- Lead for country teams (ensure continuity, oversight, respond to demand and changing needs)
- Coordinate and oversee the work of partners (ensure policy coordination, coherence, consistency in delivery of ABS capacity building by the Initiative)
- Broker/Networker
- Policy guidance
- Assess/monitor progress
- Incubator to initiate innovative processes
- Amplifier (sharing lessons, contribute to development of best practices)



Role of Partners



Partners in Delivery

- Intervene in specific area of expertise
- Respond to particular needs of countries/stakeholders
- Delivering national support, development of products/trainings

Regional Organisations

- Support the implementation of NP in respective regions
- AUC, COMIFAC, SADC, SPREP, SPC, CARICOM
- Organizing regional experience exchange and development of regional ABS policies and guidelines

International Organisations

- ABS project development and implementation
- GEF Secretariat, UNDP, UNEP, IUCN, WIPO, ITPGRFA,
- Coherent approach to the implementation of the CBD Strategic Framework
- Contribution to conceptualize GEF funded projects ---> to be explored



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