

**ENRTP STRATEGIC COOPERATION AGREEMENTS**  
**ANNEX 4 – PROGRESS PROJECT REPORT**

|                         |             |
|-------------------------|-------------|
| <b>Reporting Period</b> | <b>2012</b> |
|-------------------------|-------------|

**DESCRIPTION**

| ENRTP Priority    | Indicate relevant ENRTP SCAs Priority                           | EC Directorate General | Specify if CLIMA, DEVCO, ENV |
|-------------------|---|------------------------|------------------------------|
| Programme of Work | Access and Benefit-sharing /Convention on Biological Diversity. |                        |                              |
| Project's Title   | Support to the Nagoya Protocol on Access and Benefit-sharing    |                        |                              |
| Location          | Global  |                        |                              |
| Total duration    | 21 months   |                        |                              |

|                          |                     |
|--------------------------|---------------------|
| Responsible Entity       | SCBD                |
| UNEP/MEA Project Manager | Valerie Normand     |
| EC Project Manager       | Vassilis Koutsouris |

|                              |  |                          |        |
|------------------------------|--|--------------------------|--------|
| Date of EC Approval:         | 02/03/2012   |                          |        |
| EC Allocation (EUR):         | €500 000   |                          |        |
| Date of Allocation/Transfer: | Refer to date funds were allocated or transferred at project level |                          |        |
| Amount (USD)                 | 123,560  | Exchange Rate:           | 1,3333 |
| Total Expenditures (USD)     | 71,914.31  | Total Expenditures (EUR) | 53,937 |

**SUMMARY PROJECT STATUS**

Summarize: i) the status of implementation of the project at the time of reporting (global overview on the project implementation since its start); ii) progress towards achieving the project's objectives; iii) performance remarks and highlights.

The Open-ended Ad-hoc Intergovernmental Committee for the Nagoya Protocol (ICNP), at its first meeting held in June 2011, requested the Executive Secretary of the CBD to *inter alia*:

- Develop a pilot phase for the ABS Clearing-House; and
- Convene an expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance.

Pursuant to these requests a project proposal for funding was submitted to carry out these activities.

Implementation of the project has proceeded well, as the activity on expert meeting on cooperative procedures and institutional mechanisms to promote compliance and to address cases of non-compliance has been completed and planned outputs have been produced.

**CHALLENGES, MANAGEMENT ACTIONS, RISK MITIGATION PLAN:**

Summarize main implementing challenges, if any, and strategy/actions which have been adopted to address them. List potential risks (internal and external) that may jeopardize the implementation of activities and/or the achievement of outputs and outcomes; please explain which actions have been planned to mitigate the identified risks.

Delays have been encountered in the implementation of the development of the pilot phase of the ABS Clearing-House due to procedural delays in hiring of staff. In order to minimize the impact of these delays, the required staff members were hired on the basis of short term consultancies.

## OUTCOME SUMMARY

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Provide for each outcome listed in the project document the description, the indicator, progress made/result achieved (focus on the current reporting period only).

### Support to the Nagoya Protocol on Access and Benefit-sharing

#### Description:

The activities funded under this project were necessary for undertaking the requests made by the ICNP and advance the early entry into force and implementation of the Nagoya Protocol on Access and Benefit –sharing.

#### Indicators:

Each activity has its own specific indicator.

#### Progress made/ results achieved:

The activity on expert meeting on cooperative procedures and institutional mechanisms to promote compliance and to address cases of non-compliance has been completed and planned outputs have been produced. The activity on the development of the pilot phase for the ABS Clearing-House is carried over into 2013 as discussed below.

## OUTPUT PERFORMANCE

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Provide for each output listed in the project document the description, indicators and progress made/any result achieved (focus on the current reporting period only)

Provide brief information on main activities undertaken; reason for modifications of planned activities (if applicable) and list of activities which were planned but not implemented, explaining the reasons.

Kindly include as annexes, any supporting documents which can be provided to the donor as means of verification for each of the outputs achieved and other relevant activities' documentation (if files can be downloaded, please provide below the link).

### (a) Development of the pilot phase of the ABS Clearing-House

#### Description

For the implementation of the pilot phase of the ABS Clearing-House, the CBD Secretariat required to hire dedicated personnel, namely a Project Manager (P-3 level) that would be responsible for managing the overall development of the pilot phase and a Computer Information Systems Officer (P-2 level) to implement the IT aspects of the project. Financial contributions were received from several Parties to the Convention, including the European Union, which allowed for the recruitment of the two staff members in July 2012. The use of the EC funds for these positions was envisaged for December 2012. However due to delays encountered in the hiring process, no expenditure from EC grant could be incurred during this reporting period. Funds to be used during 2013

Indicators: Pilot phase of the ABS Clearing-House available on the CBD website.

#### Progress made/results achieved

Significant progress has been made in the development of the pilot phase as reported to the second meeting of the ICNP (UNEP/CBD/ICNP/2/8) and to the eleventh meeting of the Conference of the Parties (UNEP/CBD/COP11/11). A side event was also organized during COP-11 to provide an overview of progress made and to demonstrate a prototype version of the ABS CH.

According to the priorities set for the pilot phase, draft common formats have been developed for enabling the submission of information by Parties (namely, legislative, administrative and policy measures on ABS, national focal point and competent national authority(ies) and national ABS website or database).

In addition draft modalities of operation were prepared for their consideration by the second meeting of the ICNP (UNEP/CBD/ICNP/2/9).

COP11 in decision XI/1, endorsed the indicative work plan and timeline for activities to take place until the first meeting of the Parties to the Protocol, as contained in document UNEP/CBD/COP/11/11 and decided to establish an informal advisory committee (IAC) to assist the Executive Secretary with the implementation of the pilot phase and to provide

technical guidance with respect to the resolution of technical issues. It also requested the Executive Secretary to revise the draft modalities of operation for its consideration by the third meeting of the ICNP.

The indicator for this activity was met. The prototype version of ABS CH is available at: <http://absch.cbd.int/>

**(b) Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance**

Description

The first meeting of the ICNP requested the Executive Secretary to convene an expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance in accordance with Article 30 of the Protocol. The expert meeting was held from 28 February - 1 March 2012 in Montreal, Canada. A total of 30 experts, five experts per region and 5 observers, including two representatives from indigenous and local communities' organizations attended the meeting.

Indicator: Report of the expert meeting available on the CBD website

Progress made/results achieved

The ICNP 2 considered the outcomes of the expert and adopted recommendation 2/7. In this recommendation, the ICNP decided that the draft "Cooperative Procedures and Institutional Mechanisms to Promote Compliance with the Protocol and to Address Cases of Non-compliance", as contained in the annex to the recommendation, would serve as the basis for future consideration of this issue. The eleventh meeting of the COP forwarded the draft compliance procedures and mechanisms to the third meeting of the ICNP, to enable the first meeting of the Parties to the Protocol to consider and approve them.

The indicator for this activity was met. The report of the expert meeting including background documents for the meeting are available at : <http://www.cbd.int/doc/?meeting=ABSEM-COMP-01>.

**CHALLENGES, MANAGEMENT ACTIONS, RISK MITIGATION PLAN:**

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Summarize main implementing challenges, if any, and strategy/actions which have been adopted to address them. List potential risks (internal and external) that may jeopardize the implementation of activities and/or the achievement of outputs and outcomes; please explain which actions have been planned to mitigate the identified risks.

Delays have been encountered in the implementation of the development of the pilot phase of the ABS Clearing-House due to procedural delays in hiring of staff. In order to minimize the impact of these delays, the required staff members were hired on the basis of short term consultancies.

**OUTCOME SUMMARY**

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Provide for each outcome listed in the project document the description, the indicator, progress made/result achieved (focus on the current reporting period only).

- (a) *Development of the pilot phase of the ABS Clearing-House:* N/A. The project has not yet finalised. Progress made in its implementation is summarized in the section above "Summary project status". The prototype version of the ABS Clearing-House can be found at: <http://absch.cbd.int/>.
- (b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance.* The Project output for this activity is the completion of the report of the expert meeting which was made available to the second meeting of the ICNP as document UNEP/CBD/ICNP/2/12.

**OUTPUT PERFORMANCE**

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Provide for each output listed in the project document the description, indicators and progress made/any result achieved (focus on the current reporting period only)

Provide brief information on main activities undertaken; reason for modifications of planned activities (if applicable) and list of activities which were planned but not implemented, explaining the reasons.

Kindly include as annexes, any supporting documents which can be provided to the donor as means of verification for each of the outputs achieved and other relevant activities' documentation (if files can be downloaded, please provide below the link).

- (a) *Development of the pilot phase of the ABS Clearing-House:* The prototype version of the ABS Clearing-House can be found at: <http://absch.cbd.int/>
- (b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance:* The expert meeting report can be found at <http://www.cbd.int/doc/?meeting=ABSEM-COMP-01>

## RESOURCES AND BUDGET

Provide: i) any remark on the overall budget based on the financial report for the current reporting period; ii) indicate if there is a delay in spending the funds, please clarify reasons; iii) mention resources to be mobilized yet, if any; ii) additional resources leveraged by UNEP and/or partners as a result of the project

- (a) *Development of the pilot phase of the ABS Clearing-House:* Hiring of technical personnel for the implementation of the pilot phase of the ABS Clearing-House using the ENTRP funds was envisaged from December 2012. However due to delays encountered in the hiring process, no expenditure from ENTRP grant could be incurred during this reporting period. The funds will be used during 2013. Thanks to the additional financial contributions of Germany and Switzerland, funding was secured for the two positions (P-3 and P2) until the end of 2013. At COP 11, the European Commission offered to cover the costs of the P-2 programme officer for 2014 in order to continue working on the development of the pilot phase until the first meeting of the COP-MOP for the Nagoya Protocol, planned to be held concurrently with COP 12, and funding has been requested to that end in the ENRTP project proposal for 2013. In addition, with a view to ensuring the continuation of the P-3 programme officer pledges have been made by the Japan Biodiversity Fund and Switzerland.
- (b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance:* 90 950 USD were allocated to this activity and a total of 71, 914.31 USD were finally spent. The remaining funds have been reallocated to the 2013 project proposal.

The expenditures are summarized in the table below.

| Activity                                     | Budget (US \$) | Expenditure (US \$) | Balance (US \$) | Notes  |
|--|----------------|---------------------|-----------------|--|
| Development of the pilot phase of the ABS CH | 32,610         | 0                   | 32,610          | Funds to be used during 2013                                       |
| Expert meeting on compliance                 | 90,950         | 71,914.31           | 19,035.69       | Activities completed-Remaining funds included in the 2013 proposal |

## WORK PLAN FOR THE NEXT REPORTING PERIOD:

Summarize: i) activities scheduled – including any key milestones\*<sup>1</sup> and lead responsibilities; ii) main outputs to be achieved in the upcoming reporting period and iii) forecast of expected expenditures.

- (a) *Development of the pilot phase of the ABS Clearing-House:* Disbursement of the 9 months of salary of the Project Manager (P-3) and the Computer Information Systems Officer (P-2) will start in the 2013. The indicative work plan and timeline for activities is contained in document UNEP/CBD/COP/11/11.

## VISIBILITY:

Describe communication, visibility and outreach activities undertaken at project level, if any.

- (a) *Development of the pilot phase of the ABS Clearing-House:* The visibility of the project has been ensured through the relevant documents prepared and during the meetings of the ICNP and the eleventh meeting of the

<sup>1</sup> A milestone is not equal to a summation of tasks or activities. Rather it represents the achievement of a feasible project management stage and be strictly answerable as yes or no answer.

COP. In addition, a side event (flyer attached) was held during COP11 to provide an overview on progress made and to demonstrate a prototype version of the ABS CH (<http://absch.cbd.int/>).

- (b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance.* Appropriate visibility has been ensured by means of notification (see notifications SCBD/ABS/VN/AS /78523; SCBD/ABS/VN/SG/77814, and SCBD/ABS/SG/VN/78056) and during the meetings of the ICNP and COP11 as well as in the relevant documents prepared for these meetings.

#### FINAL REMARKS:

Describe: i) lessons learned during project design and implementation; ii) stakeholder participation and level of engagement/satisfaction; iii) where applicable, outline any links and synergies developed with other projects; i) main issues and recommendations for the attention of the donor; iv) overall observations on project performance and whether the projects has had any unforeseen positive or negative results.

- (a) *Development of the pilot phase of the ABS Clearing-House:* The developments made in the ABS CH received a positive feedback during ICNP and COP11.
- (b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance.* The report of the expert meeting was welcomed at the second meeting of the ICNP. At the meeting Parties agreed to use the report as basis for developing the draft compliance procedures and mechanisms.

#### ANNEXES:

Please list supporting documents included as annexes, if any.

- a) *Development of the pilot phase of the ABS Clearing-House:*
- a. UNEP/CBD/ICNP/2/8
  - b. UNEP/CBD/ICNP/2/9
  - c. UNEP/CBD/COP/11/11
  - d. Flyer of the side event held during the eleventh meeting of the COP
- b) *Expert meeting to review cooperative procedures and institutional mechanisms to promote compliance with the Protocol and to address cases of non-compliance*
- a. UNEP/CBD/ICNP/2/12
  - b. Notifications: SCBD/ABS/VN/AS /78523, SCBD/ABS/VN/SG/77814, and SCBD/ABS/SG/VN/78056

UNEP/MEA Project Manager: \_\_\_\_\_

Signature: \_\_\_\_\_

Date of Submission: \_\_\_\_\_