

Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal

Mid Term Review



FINAL REPORT

**Prof. Ram Prasad Chaudhary, PhD
Govinda Basnet, PhD**

August, 2018

**Strengthening Capacities for Implementation of the Nagoya Protocol in
Nepal**

Mid Term Review

FINAL REPORT

**Prof. Ram Prasad Chaudhary, PhD
Govinda Basnet, PhD**

August, 2018

Acknowledgments

The Mid Term Review Team would like to express deep sense of gratitude to the Project Management Unit/ Ministry of Forests and Environment and IUCN Nepal for entrusting this interesting assignment of conducting Mid Term Review of 'Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal'. We would like to thank National Project Director, Country Representative of IUCN, and officials of Project Management Unit and Project Execution Unit for their insight into the project and providing valuable information.

We are grateful to the community members of Lwangghalel, Kaski; officials of Western Forestry Regional Directorate, Pokhara; Annapurna Conservation Area Project, Lwang; LI-BIRD, and Radio Barahi for candidly sharing their experience and concerns. We would also like to thank the faculty members of Central Department of Botany Tribhuvan University, Kathmandu and Institute of Forestry, Pokhara and students of these institutes conducting research in the project pilot sites for their input. We thank Mr. Narayan Belbase, Expert on Environmental Law for his keen insights. Our thanks go to the Project Technical Advisor, Project Officer, Project Field Officer (Kaski), Administration/Finance Assistant (Kaski) and Social Mobiliser (Lwangghalel) for smooth conduction of field study.

The MTR Team

Abbreviations and Acronyms

ABS	Access and Benefit Sharing
ABS-GEF	Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal Project
ACAP	Annapurna Conservation Area Project
ADS	Agriculture Development Strategy
CAMC	Conservation Area Management Committee
CBD	Convention on Biological Diversity
CFUG	Community Forest User Group
CP	Community Protocol
CS	Citizen Scientist
CSO	Civil Society Organization
DAC	Development Assistance Committee
DADO	District Agriculture Development Office
DANAR	Dalit Association for Natural Resources
DFO	District Forest Office
DLSO	District Livestock Service Office
DPCC	District Project Coordination Committee
DSCO	District Soil Conservation Office
EBD	Environment and Biodiversity Division
FECOFUN	Federation of Community Forestry Users Nepal
FGD	Focused Group Discussion
FNCCI	Federation of Nepalese Chambers of Commerce and Industry
GEF	Global Environment Facility
GESI	Gender Equity and Social Inclusion
GoN	Government of Nepal
ICIMOD	International Centre for Integrated Mountain Development
IPLCs	Indigenous Peoples' and Local Communities
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
IUCN	International Union for Conservation of Nature
LI-BIRD	Local Initiatives for Biodiversity Research and Development
MAT	Mutually Agreed Terms
MoAD	Ministry of Agriculture Development
MoALRC	Ministry of Agriculture, Land Reform and Cooperative
MoFE	Ministry of Forests and Environment
MoFSC	Ministry of Forests and Soil Conservation
MTR	Mid Term Review
NARC	Nepal Agriculture Research Council
NBSAP	National Biodiversity Strategy and Action Plan 2014-2020
NEFIN	Nepal Federation of Indigenous Nationalities

NPD	National Project Director
OECD	Organization for Economic Cooperation and Development
PIC	Prior Informed Consent
PEU	Project Execution Unit
PMU	Project Management Unit
PSC	Project Steering Committee
SAWTEE	South Asia Watch on Trade, Economics and Environment
SDG	Sustainable Development Goals
SM	Social Mobiliser
TOT	Training of Trainers
TK	Traditional Knowledge
TU	Tribhuvan University
TUCDB	Tribhuvan University Central Department of Botany
TYP	Three Year Plan
UNDP	United Nations Development Programme
VDC	Village Development Committee
WDO	Women Development Office

Project Identification

Project Title	Strengthening Capacities for the Implementation of the Nagoya Protocol in Nepal	
Country	Nepal	GEF Project ID:
GEF Agency(ies):	IUCN (select) (select)	GEF Agency Project ID:
Other Executing Partner(s):	Ministry of Environment and Forest (Ministry of Forests and Soil Conservation), Government of Nepal	Submission Date: 17 February 2016
GEF Focal Area(s):	Biodiversity	Project Duration (Months): 30

Project budget

Sources financing	Type financing	Amount (\$)
GEF	In cash	1,500,000
Co-financing		0
- Ministry of Forests and Soil Conservation	In kind	3,000,000
- Federation of Nepalese Chambers of Commerce and Industries (FNCCI)	In kind	10,000
- Tribhuvan University - Central department of Botany	In kind	15,000
- IUCN Nepal	In kind	43,574
Total (cash+ kind)		4,568,574
Breakdown of GEF contribution		1,500,000
Agency fee		123,853
Available cash with the executing agency		1,376,147

Executive Summary

Project Overview

The Ministry of Forests and Environment (MoFE) initiated a two-and-half-year-long project 'Strengthening capacities for implementation of the Nagoya Protocol in Nepal', also called ABS-GEF, in late 2016 with the technical support of IUCN Nepal and financial support from Global Environment Facility (GEF). The objective of the project is to build the capacity of key stakeholders at national, sub-national and local levels to implement ABS in Nepal. The project has three components as:

- Component 1: Policy, Rules, and Regulation
- Component 2: Capacity needs and Training; and
- Component 3: Education, Public Awareness, and Communication

The project's field sites are Lwangghalel (Machhapuchhre rural municipality Ward 8 and 9) and Parche (Madi rural municipality Ward 1) in Kaski district and Jungu of Gaurishankar rural municipality (Ward 1 and 2) in Dolakha district. The total budget of the project is USD 4,578,574, which includes cash financing of USD 1,500,000 from GEF and other in-kind financing of Government of Nepal and other project partners.

Mid Term Review

As the project has completed half-way of implementation, the MoFE conducted Mid Term Review (MTR) of the project in June-July 2018 to assess progress and identify corrective measures if required to enhance project delivery for the remaining project duration.

The overall objective of the MTR, as outlined in the Term of Reference (TOR), is to conduct assessment of the progress and identify corrective measures if required to enhance project delivery for the remaining project duration. The MTR followed consultative approach and the evaluation matrix was developed following OECD (Organization for Economic Cooperation and Development) DAC (Development Assistance Committee) criteria. The methods included desk review, consultation with project officials, individual experts, partner organizations, and community members.

Findings

The MTR Team found the project's implementation is generally progressing well. The achievements of the project were reviewed against the criteria of relevancy, achievement and effectiveness, efficiency, and sustainability. Since it has been only one and half years of project implementation, criteria of impact was not used for the review. In addition to these four criteria, the project performance was also reviewed in terms of coordination and networking, factors affecting the implementation, and risk and analysis.

Summary of MTR Findings

SN	Criteria	Rating	Key features
1	Relevancy	Relevant	<p>Objectives of the project are consistent with the Aichi Target 16 and 18; Articles 51.g, 51.5, 51.10 of the Constitution of Nepal 2015; SDG 2, 5, and 15; and contributes to the National Forest Policy 2015; Agricultural Development Strategy 2016; Agro-biodiversity Policy 2014; NBSAP 2014-2020.</p> <p>Activities planned are relevant in contributing to the objectives of the project. However, reservation has been expressed in piloting the project in only two sites of same agro-climatic/physiographic zone.</p>
2	Achievement and Effectiveness	Satisfactory	<p>Most of the activities planned have been progressing well. One of the key achievements includes: Nepal acceded to Nagoya Protocol on Sept 4, 2017. Other completed major activities are baseline survey and capacity assessment; Training of Citizen scientist, TOT, exposure visit. Seven booklets on ABS in Nepali Language have been developed, 11 episodes of radio programme have been aired.</p> <p>Some achievements exceeded the target (training of citizen scientist, TOT). Activities like formulation of ABS implementation strategy and action plan, ABS guidelines have been delayed because of delay in passing of ABS Bill.</p> <p>Activities like accession to Nagoya Protocol, training of CS, publication of ABS in Nepali, alternative media have been effective. However, effectiveness of activities like radio programme is limited.</p>
3	Efficiency	Satisfactory	<p>Although there was a considerable delay for several reasons in implementation in 2017, several activities were implemented in 2018 to offset the delay of 2017. Timely passing of ABS bill would help to implement the remaining activities in component 1.</p> <p>Till date, the financial delivery has been low (only 35% of the total budget including the committed fund). Component-wise the component 3 has highest (44%) financial delivery and component 1 has lowest (15%) financial delivery. Revised implementation arrangements helped to reduce the cost under some activities.</p>
4	Sustainability	Likely	<p>As being the government led and executed project, the institutional basis for sustainability is perpetual and strong. There has been good networking with relevant institutions both at national and local level to enhance the sustainability of the effects.</p>

			<p>Some rural municipalities (Ward 9 of Machhapuchhre <i>Gaunpalika</i> in Kaski) have taken the initiative of documenting agro-biodiversity contributing to sustainability of the project effects.</p> <p>The community level institutions are yet to be formed and linked with the local level institutions and Forest Offices.</p>
--	--	--	---

The project has well developed mechanism for networking and coordination with other government and nongovernmental agencies. The implementing relationship with the agencies like ACAP and LI-BIRD has resulted in complementarity. However, low level of implementing relationship was fostered with organizations like NEFIN, HIWAMANTI, DANAR, and FNCCI as envisaged in the project design.

The political factors like the conduction of local level elections delayed the implementation of activities in 2017. Field level implementation gained momentum only in the last quarter of 2017. Similarly, delay in passing of ABS Bill has affected the implementation of other follow-up activities such as ABS Strategic and Action Plan, ABS Rules and Regulations. Enthusiasm of newly elected local bodies has contributed in smooth implementation of activities in the field.

Till date, the financial delivery has been only 35% of the total budget. Among the different components, financial delivery under inception activities has been high (70% of the total planned), and low (15%) in component 1. Under Component 2 and 3, the financial delivery has been 37% and 44% respectively. Financial delivery under components 2 and 3 has picked up in 2018. Some revised implementation arrangements have helped to reduce cost in some activities. Some implementation arrangements like conducting a comprehensive baseline study for all the components instead of separate study for each component has helped in reducing the cost.

Considering the factors like (i) delay in initiation of project at the field level, (ii) delay in passing of the ABS Bill, and (iii) needs for expansion of activities (elaborated later) for enhancing the effects of project, the project duration (until April 2019) seems short.

One of the strengths of the project implementation has been thorough exercise and development of 'Activity Description and Execution Guidelines' and 'Summary of the Project'. These documents have translated and refined the project document in 'implementable' form. Similarly, a system has been developed in reporting to incorporate the narratives of issues raised by the participants and responses to those issues.

Recommendations

Recommendations have been grouped into two categories: (i) for undertaking during the remaining project duration by the PMU and (ii) for consideration by the MoFE for longer term effects.

(i) For PMU to be considered in the remaining project period

(a) Actions as per the current plan

- Preparatory works (where possible) need to be initiated for activities like ABS Strategic and Action Plan and ABS Rules and Regulations while the process for ABS Bill continues so that these activities can be executed immediately upon passing of the Bill.
- Under the current context of ABS Bill waiting for passing from the parliament, the activities planned for formulating ABS Policy (Output 1.4) need to be expedited. Endorsement of the Policy might be faster than enactment of the ABS Bill. Further, since the National Planning Commission has begun preparation of the Fifteenth Plan, the team should also work with the NPC to make sure that key aspects of the ABS are included in the Fifteenth Plan as well.
- A directory of local level resource persons, experts, and some citizen scientist with the detail on their expertise should be developed.
- Community Protocols should incorporate the provision to allocate certain benefit for the conservation of genetic resources.
- In order to enhance its effectiveness of radio spot, possibility of linking with social network should be explored. Inclusion of local issues and concerns in these materials can aid to enhance the audience level. Alternative media means, which has been widely appreciated, should be well documented and expanded.
- While maintaining the current strength, the reporting system should be improved to incorporate GESI disaggregated data on beneficiary. The list of participants in different training programmes should distinguish the resource persons, management team, and the beneficiary participants. This should be done for the already completed activities as well.
- The PSC should promote learning from the project. Key learning like the practice of development of activity description and execution guideline of the project, publication of key documents in Nepali and English language should be promoted to other relevant partners (as those representing in PSC) as well.

(b) Revision of the plan

Although the project has already passed halfway of timeline and many activities have been completed, and yet financial delivery has been only 35 percent. The PMU should revise the plan for the remaining period as follows:

- Expand activities like orientation on ABS to officials of the relevant agencies at province level and TOT trainings to all the provinces.

- Testing of tools (CS, Community protocols, Biodiversity registers, etc.) developed by the project needs be expanded in other agro-climatic zones, preferably, one site each in Tarai and high mountain region. These new sites should also have some experience on genetic resource conservation activities.
- Incorporate additional activities for capacity strengthening of both PMU and PEU (including field staff and community resource person) human resources.
- Incorporate some activities to capture the opportunity generated by enthusiasm after the formation of local level governments which did not exist at the time of project design. A few rural municipalities (preferably in the pilot sites) could be developed as resource centers for implementation of ABS. These could draw lessons from community seed/gene banks.
- Network of domestic companies/individuals working in the field of herb processing, local seeds (like community seed banks) need to be oriented on ABS and strengthened.
- A pilot activity should be added to enhance taxonomic training to the stakeholders. It is crucial to identify biological diversity correctly and communicate accordingly. Taxonomic study provides the basic foundations of conservation practice and sustainable management of biodiversity. Different types of training package on taxonomy for different groups of stakeholders (for example district level implementing government officials, field level related staff, and para-biologist need to be developed, and these stakeholders should be trained.
- As the project period ends in April 2019 as per the Implementing Agreement signed between IUCN and MoFSC, and the addition/expansion of above activities enhance the effectiveness of the project thus requiring additional time for implementation, the project management should initiate administrative arrangement for extending the duration of the project implementation. This will also help in providing enough time for internalizing the project effects.
- Partnership with other organizations has to be reviewed to assess whether the initially planned implementing relationship need to be continued.
- Communication and dissemination on ABS should be done at larger scale covering the country.

(ii) Recommendations on longer term issues for the MoFE

- **National ABS Clearing House need to be created.** National Biodiversity/ ABS Clearing house mechanism will provide information on national regulatory requirements related to biodiversity, relevant authorities such as national focal point and competent national authority, as well as on permits issued at the time of access.
- **ABS Bill sensitization:** ABS has started with new concept and mechanism in Nepal, this project and the forthcoming projects related to biodiversity conservation should continue its sensitization programme to further upscale ABS concept, mechanism and process of benefit sharing, and formulate policy and enforce regulations.

- **Steering for operationalization of ABS legislation:** Once the ABS Bill is enacted, the project should steer towards the operationalization of legally binding ABS agreement with stakeholders and interested contracting parties on regulation on resource sustainability assessment, harvesting and management practices; commercialization, monetary benefit sharing in a fair and equitable basis, non-monetary benefits, etc..
- **Establish/foster partnership with national companies.** Access to genetic resources is not always the subject of international trade. Local access to genetic resources is often sought by domestic companies and institutions. Therefore, partnership with national companies should be established and fostered.
- **Biodiversity prospecting:** Bioprospecting should be given high priority in biodiversity conservation and ABS programme.

Table of Contents

ACKNOWLEDGMENTS	II
ABBREVIATIONS AND ACRONYMS	III
PROJECT IDENTIFICATION	V
EXECUTIVE SUMMARY	VI
TABLE OF CONTENTS	XII
1. INTRODUCTION	1
1.1 BACKGROUND.....	1
1.2 PURPOSE OF MTR	1
1.3 MTR METHODOLOGY	2
2. PROJECT OVERVIEW	4
2.1 INTRODUCTION	4
2.2 PROJECT OBJECTIVE AND COMPONENTS.....	4
2.3 PROJECT SITE.....	6
2.4 IMPLEMENTATION MODALITY	7
3. FINDINGS	9
3.1 RELEVANCE.....	9
3.2 ACHIEVEMENT AND EFFECTIVENESS.....	12
3.3 EFFICIENCY.....	19
3.4 SUSTAINABILITY	20
3.5 COORDINATION AND NETWORKING	25
3.6 FACTORS AFFECTING IMPLEMENTATION.....	25
3.7 RISK AND RISK MANAGEMENT MEASURE	25
3.8 IMPACT PATHWAY	26
4. CONCLUSION, LESSONS LEARNED AND RECOMMENDATIONS	28
4.1 CONCLUSION	28
4.2 LESSONS LEARNED AND OPPORTUNITIES	30
4.3. RECOMMENDATIONS	30
REFERENCES	35
ANNEXES	37
ANNEX 1: TARGETS AND ACHIEVEMENTS	37
ANNEX 2: CHRONOLOGY OF THE PROJECT	43
ANNEX 3: PROJECT PUBLICATION	45
ANNEX 4: LIST OF PROJECT DOCUMENTS REVIEWED (PRODUCED BY THE PROJECT).....	46
ANNEX 5: LIST OF PEOPLE INTERACTED.....	47
ANNEX 6: REVIEW QUESTIONS.....	49
ANNEX 7: TERM OF REFERENCE	55

1. INTRODUCTION

1.1 Background

Nepal, as a contracting party to the Convention on Biological Diversity (CBD), is committed to conservation of biodiversity, sustainable use of biodiversity components, and fair and equitable sharing of the benefits from the utilization of genetic resources (UN 1992). The CBD was ratified by the Nepalese parliament in 1993 and enforced in 1994. The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits arising from their Utilization (ABS) was adopted at the 10th Conference of the Parties (CoP) meeting on 29 October 2010 in Nagoya, Japan.

The objective of the Nagoya Protocol is fair and equitable sharing of benefits arising from the utilization of genetic resources, thereby contributing to the conservation and sustainable use of biodiversity and implementing the three objectives of the CBD. It also covers traditional knowledge (TK), skills, practices and innovations of the Indigenous Peoples and Local Communities (IPLCs) associated with genetic resources that are covered by CBD and the benefits arising from its utilization. The Parliament of Nepal acceded to the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization on 4th September 2017.

The Ministry of Forests and Environment (MoFE) initiated a two-and-half-year-long project 'Strengthening capacities for implementation of the Nagoya Protocol in Nepal', also called ABS-GEF, in late 2016 with the technical support of IUCN Nepal and financial support from Global Environment Facility (GEF). The objective of the project is to build the capacity of key stakeholders at national, sub-national and local levels to implement ABS in Nepal.

As the project has completed half-way of implementation, the MoFE conducted Mid Term Review (MTR) of the project in June-July 2018 to assess progress and identify corrective measures if required to enhance project delivery for the remaining project duration.

1.2 Purpose of MTR

The overall aim of the MTR, as outlined in the Term of Reference (TOR), is to conduct assessment of the progress and identify corrective measures if required to enhance project delivery for the remaining project duration. The principal purposes of the MTR are to:

- examine the experiences of the project that can be utilized to improve the strategy and work plan to ensure delivery of the outputs;

- make in-depth and systematic review of the progress in relation to its set objectives and expected results to identify and recommend to Project Steering Committee (PSC) for provisions for mid-course adjustments in the key elements of the project;
- assess whether modification in the project results, strategies, distribution of funds between activities, are warranted as a result of the changing context of country's structure;
- derive major lessons learned so as to improve the quality of programme implementation; and
- indicate how these lessons may be applied to the subsequent development of ABS mechanism in Nepal.

The MTR process involved the following elements:

- A stock taking of how the project is performing against the planned activities and outputs;
- Reflections with the project team and other stakeholders on the project, its activities, and achievements to date, the lessons learned so far (including on project design, technical and social outputs);
- Consideration of what is most important to achieve within the remaining project timeframe with the available resources; and
- Consideration of what (if anything) needs to change in relation to project design (including activities, outputs, milestone dates, budget allocations).

1.3 MTR Methodology

The overall methodological approach of the MTR was guided by the principal purposes of the review as outlined in the TOR. The team followed consultative approach which involved refining evaluation matrix outlining the review questions, methods of information generation; selection of site for field study done with the project team. The evaluation matrix developed through consultation is in Annex 6. The team followed the OECD (Organization for Economic Cooperation and Development) DAC (Development Assistance Committee) criteria to assess the project performance (UNDP 2012).

Field study was conducted from July 5 to 9 in Kaski district. The team conducted focus group discussions and key informant interviews in Lumre, Lwangghalel of Machhapuchhre Rural Municipality. The team interviewed government officials; Rural Municipality officials; officials of partner organizations such as ACAP, LI-BIRD; Community members including representatives of Mothers' Group, traditional healer; and FM radio station. Some of the key informants who could not be met were interviewed over the phone. Consultations were organized with the project implementing team both at PMU and PEU, and individual experts in Kathmandu. The people met in field level and Kathmandu are listed in Annex 5.

Project documents such as project proposal, logical framework, annual progress report, monthly reports, activity reports, policy briefs, joint monitoring reports, and publications on ABS were

reviewed. In addition, other relevant national and international documents such as Aichi targets, CBD, SDGs, ADS, NBSAP, and national plans were also reviewed to contextualize the project. The information generated from the consultation meetings and documents review were cross-checked and verified. The findings of the MTR relies both on primary and secondary source of information. The team adopted the rating system under different criteria from the OECD criteria (UNDP 2014).

2. PROJECT OVERVIEW

2.1 Introduction

The Ministry of Forests and Environment (then Ministry of Forests and Soil Conservation) launched a GEF-funded project 'Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal' (ABS-GEF) in November 2016. The project was launched against the backdrop of: (i) Nepal's becoming a party to the CBD in 1994 and to the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) in 2010 (Dhakal et al. 2018), (ii) Nepal's effort to develop ABS law since 2001, and (iii) the Promulgation of the Constitution of Nepal in 2015 that establishes the conservation and sustainable use of biological resources as a policy of the State (Article 51(5)). Nepal developed draft ABS law by 2001 which was revised several times but still waiting for passing by the Parliament.

The project supports the MoFE to ensure that the draft ABS law meets constitutional requirements and adequately incorporates agrobiodiversity and implementation of the ITPGRFA and will also support to advocate its enactment. The project supports Nepal's contribution to meet following two Aichi Targets:

- Aichi Target 16, which focuses on implementing the Nagoya Protocol. The project will support the process of finalizing and enacting national ABS legislation and preparing implementing regulations; and
- Aichi Target 18, which calls for respecting traditional knowledge and integrating it into national efforts to implement the CBD and Nagoya Protocol with the full participation of indigenous and local communities.

The total budget of the project is USD 4,578,574, which includes cash financing of USD 1,500,000 from GEF and other in-kind financing of Government of Nepal and other project partners. The in-kind contribution includes USD 3,000,000 from the Government of Nepal. Other partners IUCN, FNCCI, and CDB TU were expected to contribute to meet the balance.

2.2 Project objective and components

The Objective of the project is to facilitate the government of Nepal for the accession and implementation of the Nagoya Protocol in Nepal by formulating appropriate laws, regulations, policies and strategies at national, provincial, and local levels. The project also has the key objectives of building capacity of the key stakeholders at national, sub-national and local levels to implement ABS in Nepal.

The project has three major components as:

Component 1: Policy, Rules, and Regulation

Component 2: Capacity needs and Training; and

Component 3: Education, Public Awareness, and Communication

The major outputs of the project under different components are:

- Component 1: Assessments, Strategy and Action Plan for implementation of ABS, National ABS Policy, and Draft ABS rules and regulations and guidelines
- Component 2: Training materials and training, Community Protocols, and Process documentation
- Component 3: Nepali language ABS terminology, translation of international ABS documents, Radio Spots on ABS in Nepali; Videos on ABS in Nepali, and Alternative media resources on ABS in Nepali

The outcome, outputs, and activities under each component are listed in table 2.1

Table 2.1: Outcome, outputs, and activities of the project

Outcome	Outputs	Activities
The rules and regulations that will allow the implementation of the Nagoya Protocol once the ABS law is enacted.	1.1: Stakeholder identification and analysis and capacity self-assessments	1.1.1: Conduct baseline, collect and compile baseline data
		1.1.2: Stakeholder analysis and identification, and capacity self-assessments
	1.2: Gap analysis	1.2.1: Stocktaking and assessment - Conduct gap analysis and analysis of users rights
	1.3: Strategy and action plan for implementing ABS	1.3.1: Carry out consultations and develop strategy and action plan to implement ABS
	1.4: National ABS policy document which will reflect the Nagoya Protocol and the input from the policy lab process	1.4.1: Policy Labs
		1.4.2: Revise and finalize national ABS policy
1.5: Draft ABS rules and regulations	1.5.1: Advocate for and support Nepal's accession to the Nagoya Protocol	
	1.5.2: Support finalization of the draft ABS bill and advocate for its adoption	
	1.5.3: Support to Biodiversity and Environment Division to implement ABS related NBSAP activities	
Representatives of ABS stakeholder groups at all levels have sufficient skills to contribute to implementing ABS and communities have enhanced bargaining power for negotiating	2.1: Scoping and baseline data collection	2.1.1: Baseline data
	2.2: Training materials and Training of trainers and training for stakeholder groups	2.2.1: Identify existing training materials and develop new training materials as necessary
		2.2.2: Organize Training of Trainers (ToT) for selected representatives of each stakeholders group
		2.2.3: Conduct citizen scientist training
	2.2.4: Negotiation Skills Training	

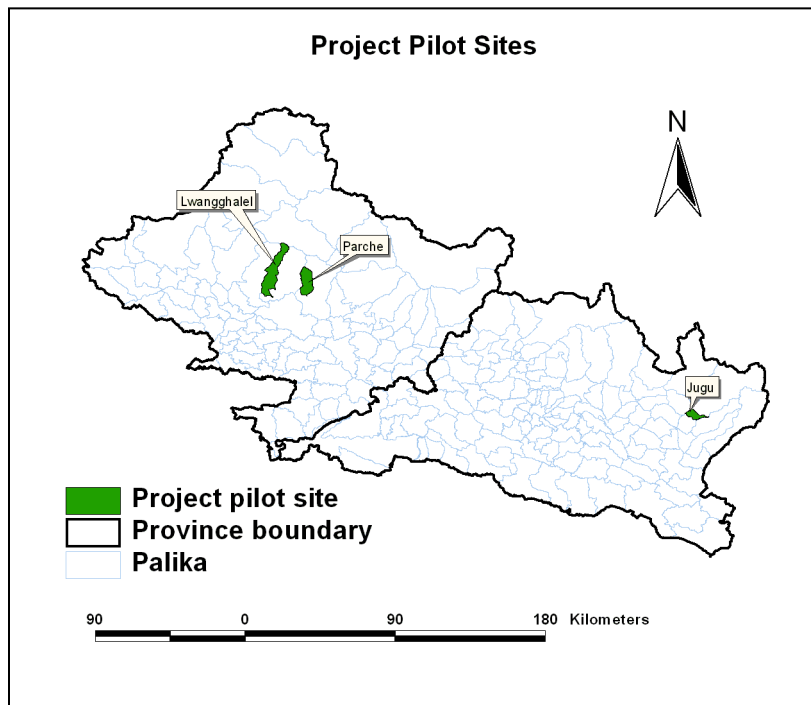
eventual agreements	ABS	2.3: Community protocols	2.3.1: Identify and support researchers and academics who can assist communities in developing community protocols
			2.3.2: Organize training programmes for community members and selected district level government officials and CSOs on developing community protocols
			2.3.3: Support communities in project sites to develop their own community protocols
	2.4: Process documentation	2.4.1: Exchange visits	
		2.4.2: Learning framework documentation	
	2.5: Monitoring and Evaluation	2.5.1: Develop and implement project joint monitoring mechanism (monitoring and reporting) and conduct project midterm and final evaluation.	
Stakeholders at all levels have greater understanding and awareness of ABS and the issues involved in implementing it.	3.1: Communications and visibility plan	3.1.1: Continuously scope, compile and systematize baseline information, on how to communicate ABS	
		3.1.2: Communications and visibility plan	
	3.2: One Publication of Nepali language ABS terminology and Translations of Seven international ABS documents	3.2.1: ABS terms in Nepali Convene an expert working group to develop Nepali definitions and translations for terms related to ABS, publish the working group's output, and promote its use	
		3.2.2 Translate 7 documents related to ABS in Nepali	
	3.3: Radio spots on ABS in Nepali	3.3.1: Develop radio spots on ABS and have them broadcast regularly	
	3.4: Videos on ABS in Nepali	3.4.1: Create videos, post them on YouTube, and arrange for them to be broadcast on TV	
	3.5: Alternative media resources on ABS in Nepali	3.5.1: Develop alternative media resources on ABS in Nepali	
		3.5.2: Publication of project communication materials (Brochures, Pamphlets and other project related publicity materials)	

2.3 Project Site

At the field level, the project is being implemented in two districts- Dolakha and Kaski. The materials and tools developed for ABS implementation are tested in these districts. In fact, the materials are developed through testing in these districts. In Kaski district, two VDCs (now incorporated into *Gaunpalika*), Lwangghalel (Machhapuchhre rural municipality Ward 8 and 9) and Parche (Madi rural municipality Ward 1) were selected. Similarly, Jungu VDC (now Gaurishankar rural municipality Ward 1 and 2) was selected in Dolakha district.

Parche, village in Madi rural municipality-1 is situated 40 km north east face of Pokhara and Lwang (Ward 8) and Ghalel (Ward 9) in Machhapuchhre rural municipality are situated 20-30 km northwest of Pokhara in Kaski district. The Lwangghalel has a population of diverse ethnicity

comprising Gurung, Chhetri, Brahmin, and Dalits whereas Parche is dominantly a Gurung village. Similarly, Jugu has mixed population of Chhetri, Brahmin, Jirel, Thami, and Dalits.



These districts were selected on the basis of previous work experience, potential for leveraging from similar other projects, experience from GEF funded project and accessibility. Biodiversity International, Nepal's National Agricultural Research Centre (NARC), Department of Agriculture, and Local Initiatives for Biodiversity, Research and Development (LI-BIRD) are currently implementing a GEF full-sized project "Integrating Traditional Crop Genetic Diversity into Technology Using a Biodiversity Portfolio Approach to Buffer Against Unpredictable Environmental Change in Nepal Himalayas" in Dolakha district. IUCN, in 2003 implemented 'Building Capacity to Protect Biodiversity and Indigenous Rights through Documentation and Registration of Traditional Knowledge in Nepal' in Kaski district among others.

2.4 Implementation Modality

The Project Management Unit (PMU), the project implementing unit, is placed in the Environment and Biodiversity Division (EBD) of the Ministry of Forests and Environment (MoFE). The Project is executed in collaboration with IUCN Nepal as a technical Service Provider. The Project is led by the National Project Director (NPD), the joint Secretary and the Chief of the EBD at MoFE. Each Component of the Project is led by a Component Lead in PMU - Under Secretaries of MoFE. One of the Component Leads also serves as the Project Manager. The PMU

has the responsibility of overall administration and management of the project and timely and quality delivery of the outputs.

A unit called Project Execution Unit (PEU) has been established to support PMU. The PEU is housed at IUCN Nepal. The PEU is responsible for executing the project activities, providing administrative and managerial support to PMU, and manage budget and provide financial support to PMU. The PEU has three Component Experts, one for each component. Each Component Expert works in collaboration with the respective Component Lead at the PMU. In addition to three Component Experts, PEU has a Project Technical Advisor and a Project Officer to facilitate implementation of the project.

At the district level (in the Pilot districts), two Field Project Officers, one in each district, have been hired to manage the project. Each district has one Admin/Finance Assistant and two Social Mobilisers (one male and one female). The Social Mobilisers are based in the respective villages.

The Project Steering Committee (PSC), which provides strategic direction and policy guidance, is chaired by the Secretary of MoFE. The PSC comprises representatives from 14 government and civil society institutions and the NPD is the Member Secretary of the Committee. In addition to providing strategic direction to PMU and PEU for major decisions, it provides policy guidance and feedback on project plans and strategies; monitors the projects goals, outputs, and activities; provides feedback on project plans, strategies, review performance; and liaise with the government. At the district level, a District Project Coordination Committee is formed comprising representatives from DADO, DLSO, WDO and other relevant organizations. In Kaski, the DPCC is chaired by Regional Forest Directorate whereas in Dolakha it is chaired by DFO.

The project coordinates with organizations such as ACAP, LI-BIRD, FECOFUN, HIMAWANTI, and FNCCI. In addition, it has been coordinating with academic institutions such as Tribhuvan University, Central Department of Botany, Kathmandu, and Institute of Forestry, Pokhara.

The timeline of implementation of activities under different components is listed in Annex 2.

3. FINDINGS

This chapter forms the crux of the report and analyzes the project performance. This will assess the project performance in terms of the criteria of relevance, achievement and effectiveness, efficiency, and sustainability following project evaluation criteria of OECD DAC (UNDP 2012). Coordination and networking, and factors affecting the project performance are also discussed in this chapter.

3.1 Relevance

Overall, the project is consistent with the objectives of the international obligations, to which Nepal is a party; national development policies, programmes, and priorities as well as local development goals in Nepal. The project also corresponds to the changed political structure and administrative procedures of the country.

(i) International obligations. In general, the project contributes to achieve the third objective of the CBD, and Strategic Plan for Biodiversity 2011-2020 and the Aichi Targets, such as accession to Nagoya Protocol in Nepal (Target 16), and effective participation of indigenous peoples and local communities (IPLCs) at all relevant levels (Target 18). The project's specific contribution is towards development of policy, rules and regulatory framework in Nepal for fair and equitable sharing of benefits from the use of genetic resources.

(ii) National development. The project is consistent with provisions of the Constitution of Nepal, 2015, such as to: i) conserving the natural resources available in the country, its sustainable use in an environmental friendly way, and ensuring the fair distribution of the benefits generated by it by giving local people the priority and preferential rights (Article 51.g); ii) making a sustainable use of biodiversity through the conservation and management of forests, fauna and flora, and by minimizing the negative impacts of industrialization and physical development by promoting public awareness on environmental cleanliness and protection, and formulate policies and enact laws on the basis of the principle of sustainable environment development (article 51.5); iii) making special arrangements to ensure the rights of *Adivasi Janajatis* (indigenous ethnic groups) to lead a dignified life with their respective identities, and making them participate in decision making processes that concern them, and preserving and maintaining the traditional knowledge, skill, experience, culture and social practices of *Adivasi Janajatis* and local communities (article 51.10).

The project contributes to meeting Nepal Sustainable Development Goals (SDGs) (NPC 2017) especially to: (i) maintain the genetic diversity of seeds, cultivated plants and farmed and domesticated animals and their related wild species, and ensure access to and fair and equitable sharing of benefits arising from the utilization of genetic resources and associated traditional knowledge, as internationally agreed by 2020 (SDG 2, Target 2.5); (ii) undertake reforms to give

women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws (SDG 5, Target 5.a); and (iii) ensure fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources (SDG 15, Target 15.6).

The project also contributes to nature conservation national strategic framework for sustainable development (2015-2030), in particular forest, biodiversity, agriculture, GESI sectors (NPC 2016).

The project objective contributes to the realization of the Forest Sector of 14th TYP (2016/17-2018/19) of GoN (GoN-NPC 2016) to ensure fair and equitable sharing of benefits from environmental services obtained from the conservation of biological resources; plant heritage conservation, exploration and research programmes; and capacity strengthening and skill development of biodiversity conservation.

The project contributes directly towards achieving vision, goal and objectives of biodiversity conservation and sustainable use in general as listed in National Forest Policy 2015 (MoFSC 2015); and specifically to: i) the policy, such as, management of ecosystem services for fair and equitable benefit sharing (clause 10.2); strengthening, from social and economic perspectives, capacity of communities involved in forest management system for fair and equitable benefits (clause 10.4); and strengthening social justice (clause 10.7).

The project's objectives are also consistent with the clause 29 and 30 (formulation of legislation for agrobiodiversity) of Agriculture Development Strategy (ADS) of the country (MoAD 2016). It is also consistent with the clauses 346 b (implementation of biodiversity policy) and 376 b (support revision and implementation of NBSAP) of ADS. The project contributes to implementation of Agrobiodiversity Policy 2007 (first amendment 2014) (MoAD 2015). The policy covers through amendments to: (i) establish farmers' rights in genetic materials/resources and traditional knowledge (clause 4.2); and (ii) carry out fair and equitable distribution of agricultural genetic materials/resources and traditional knowledge as well as the benefit acquired from the access of it (Clause 4.3).

(iii) Synergy with GEF supported programmes. The project directly contributes in meeting several national targets of the NBSAP 2014-2020 (GoN/MoFSC 2014). The project outcome 1 relates to ABS law, and project output 1.2, 1.3, 1.4 directly contribute to achieving the national target, addressing the policy and legislative gaps (NBSAP - Strategy Section (SS) 5.5.1) and harmonization of biodiversity related international conventions (SS 5.5.4). Similarly, the project outputs 2.1, 2.2, 2.3, 2.4 and 2.5 directly contribute to national targets: Institutional strengthening (SS 5.5.2); mainstreaming biodiversity across the government, society and economy (SS 5.5.3); enhancement of national capacity for improved management of biodiversity (SS 5.5.5); integrating gender and social inclusion (SS 5.5.9); and technology development, acquisition, and

use (SS 5.5.12). The project outputs 3.1, 3.2, 3.3, and 3.4 contributes to national targets conservation of and respect to traditional knowledge, innovations and practices of indigenous and local communities (SS 5.5.10); knowledge generation and management (SS 5.5.11); and communication, extension and outreach (SS 5.5.13).

The activities planned under different components are appropriate to meet the overall objective of the project, and thus relevant. The activities planned under component 1 help in the process of development policies, rules and regulations for implementation of ABS; the activities under component 2 relate to development of training materials and conduction of training for capacity strengthening of stakeholders and those under component 3 on educating people and public awareness. The activities planned thus generate synergy.

The project objective and outcomes are relevant to the conservation, sustainable use and fair and equitable benefit sharing process in Nepal.

Box 1: Sustainable management of *Paris polyphylla* - Access to genetic resources and benefit sharing in Nepal

Paris polyphylla Smith, locally named as “Satuwa”, is a traditional medicine used in Nepal, China, and India. In Nepal, the species is harvested from wild which abundantly occurs between 1900 to 2800 m in the ABS-GEF pilot sites in Kaski and Dolakha districts and similar geographic range in the mixed broadleaf forest in Nepal. It is a slow growing herbaceous understory perennial.

Underground buds on the perennial rhizome start sprouting in early April and the plants flower in April/May. From the field sites and other parts of Nepal, ‘Satuwa’ is illegally traded. During interaction in the field in Lwangghalel, stakeholders raised the issues of pre-mature harvest as well as over-harvesting from the natural habitat leading to unsustainable harvest. In Nepal, *P. polyphylla* was ranked as a vulnerable species by IUCN-Nepal. *Paris polyphylla* is cultivated in Nepal and India in small quantity, whereas the species is cultivated in huge quantity in China (Cunningham et al. 2018). In the next phase of this project or similar projects, cultivation of *P. polyphylla* needs to be encouraged and supported, as recommended by Cunningham et al. (2018) for conservation, sustainable use, and benefit sharing.

Source: Field observation (2018); Cunningham et al. (2018).



3.2 Achievement and Effectiveness

3.2.1 Component 1: Policy, Rules, and Regulation

The expected outcome of the component 1 is the formulation of rules and regulation that will allow the implementation of Nagoya Protocol once the ABS law is enacted.

With persistent lobbying and continuous advocacy, one of the major achievements of the ABS-GEF project during the year 2017 was the accession of the Nagoya Protocol by legislature to parliament of Nepal on 4 September 2017. This accession has made Nepal a party to the Nagoya Protocol and opens the door for the enactment of the Access to Genetic Resources and Benefit Sharing (ABS) Act and subsequent regulations and strategies. However, despite continuous efforts, the ABS Bill has not yet been finalized and tabled for endorsement by the parliament. *The progress of the Outcome 1 is towards target but at an insufficient rate.*

Output 1.1. Stakeholder identification and analysis and capacity assessments. There are two activities to be conducted in the first year of the project, they are: (i) to conduct baseline, collect and compile baseline data; and (ii) stakeholder analysis and identification and 3 capacity self-assessments (initial, mid-term and final) with ABS stakeholders group.

An in-depth analysis of “Capacity Self-Assessment and Baseline study” was conducted starting from October 2017 and completed in February 2018 (Progress Report IUCN-Nepal). The project has made assessment of the existing status on the level of awareness and capacity of a six groups of stakeholders (government institutions at the central level, government institutions at the district level, academic and research institutions, the private sector, NGOs, and the communities at the village level) in the ABS context, and undertook scoping and collection of baseline data on policy, capacity, training and awareness and information and communication in ABS in six sites. The results showed that the capacity of key stakeholders varies significantly between indicators and components, majority of the stakeholders fall at the category of “Fair” level; and the communities belonging to “Poor” (lowest score) category. As per the plan, the activity one, capacity self-assessment will be carried out throughout the life of the project (two more times - mid-term and final) with the aim to provide input for all other activities in the Component 1. *The effectiveness of the activity 1.1.1 is satisfactory.*

To complement the Output 1.1, activity 1.1.2 “Stakeholders Assessment Workshop” were conducted at three levels (one national level in Lalitpur, and two district levels - one in Charikot (Dolakha) and one in Pokhara (Kaski) primarily to identify and update list of ABS Stakeholders groups working at central level and district levels, as well as tentative areas of collaboration among identified stakeholders (Progress Report IUCN-Nepal). *The effectiveness of the activity 1.1.2 is satisfactory.*

However, both studies do not reflect in-depth analysis of gender- and social- disaggregated indicators under the Output 1.1. *Overall the effectiveness of Output 1.1 is satisfactory.*

Output 1.2: Gap analysis of the existing ABS Bill and other relevant policies, laws, and regulations. This is a gap analysis of ABS related provisions in governing the rights of users of biological resources to be accomplished with one activity, "Stocktaking and assessment by conducting gap analysis and analysis of users' rights."

A review of the gap analysis of the ABS-related provisions in existing policies, laws, and regulations as well as an analysis of existing provisions governing the rights of users of biological resources in Nepal was accomplished in December 2017 (Pokharel 2017). The review identified that the existing sectoral laws, policies and strategies related with biodiversity do not adequately address the issue of access to genetic resources and benefit sharing. Against this background, the review report suggested for a specific ABS Act. The formulation of a specific ABS Act has been started since 2000. The present proposed ABS Bill in 2016 has made an attempt to cover some relevant issues related to the protection of rights of the indigenous peoples and local communities (IPLCs) over biological/genetic resources; access to genetic resources and associated traditional knowledge (TK); benefit sharing process; mechanism of access to genetic resources for preliminary scientific study; and institutional mechanism to implement the ABS Bill; etc. The report strongly concludes to discuss on further issues related to balancing rights of IPLCs, prior informed consent (PIC), benefit sharing, prior approval from the authority for Intellectual Property Rights (IPRs), and relationship with other proposed laws including Farmers' Rights Bill, etc. Therefore, there is a need to urgently finalize the ABS Bill as mentioned in the policy review through a series of consultations, policy labs, and policy discussions among the stakeholders at different levels by addressing the relevant issues, among others. However, on the basis of our evaluation, we suggest that the quality of the report need to be scaled up in terms of consistency in the use of the simple and widely accepted terminology, such as "genetic resource" used by CBD Secretariat reports, Aichi Biodiversity Targets, and national strategies; and avoid complicated terminology, such as "biogenetic resource". Other important consideration pointed in the report is to clarify IPRs (Intellectual Property Rights or Industrial Property Rights). Further, use of "Indigenous peoples and local communities (IPLCs)" has been approved and well-conceived after the decision of 12th CoP held in Pyonchang, S. Korea. *The effectiveness of Output 1.2 and activity 1.2.1 is satisfactory.*

In addition to the progress of ABS stakeholders assessment, baseline study, ABS policy gap mentioned above, closely associated three outputs are related to an effective implementation of ABS Act.

Output 1.3: Strategy and action plan for implementing ABS Act once enacted. An activity related to the output is to carryout consultations and develop strategy and action plan to implement ABS. The activity has been postponed for the year 2018 (Progress Report IUCN-Nepal); and as of May 2018, the activity has not been initiated (Progress Report IUCN-Nepal).

Output 1.4: National ABS policy document that reflect Nagoya Protocol. Two activities are planned: (i) convene four policy labs each year; and (ii) revise and finalize national ABS Policy (Progress Report IUCN-Nepal).

Two important policy discussion (Policy Lab) meetings (26 January 2018 and 23 February 2018) (out of four policy labs per year as mentioned in IUCN (2017a) OR total 3 during project tenure (Progress Report IUCN-Nepal: 14) were conducted in Kathmandu. The first meeting made important recommendations to be considered, such as formation of task group, clearly spell out fund flow mechanism and rights of IPLCs, involvement of private sectors, etc. in the process of finalization of the ABS policy.

The second discussion meeting made important comments to use of terminology, and pay an attention to the harmonization of existing legislations. A draft policy has been shared on May 3, 2018 for inputs and suggestions. Regarding activity (ii) 'Revise and finalize national ABS Policy', as of July 2018; the activity is still progressing. *The effectiveness of Output 1.4 and activity 1.4.1 is moderately satisfactory.*

Output 1.5: Draft ABS rules and regulations. There are three activities: (i) to advocate for and support Nepal's accession to the Nagoya Protocol; (ii) to support finalization of National ABS Bill and advocate for its adoption; and (iii) to draft ABS Rules and Regulations. Activity 1.5.1 'Nepal's accession to the Nagoya Protocol' was completed on 4 September 2017. *The progress of the activity is highly satisfactory.* Regarding activity 1.5.2 as of July 2018, ABS Bill discussion is an ongoing process. *The progress of activity 1.5.2 is moderately satisfactory.* The activity 1.5.3 related to draft of ABS Rules and Regulations has not yet initiated. *Overall, the effectiveness of Output 1.5 is satisfactory.*

The project has been seriously making attempts to incorporate the relevant issues in the National ABS Bill and get endorsement by the Parliament of Nepal; however, added efforts should be needed to finalize and pass the bill. If the ABS Bill is passed on time, then it would be an outstanding achievement; however, if the ABS Bill is not passed within the project period, then the project would suffer. Endorsement of the ABS Policy might be faster than enactment of the ABS Bill. Further, since the National Planning Commission (NPC) has begun preparation of the Fifteenth Plan, the team should also work with the NPC to make sure that key aspects of the ABS is included in the Fifteenth Plan as well. So, to be on the safe side, the project team should consider the drafting of ABS Policy seriously rather than make a delay. Also some fundamental preparatory works on ABS policy (on the basis of monthly reports submitted to the IUCN-Nepal) have already been initiated. In this case the ABS Bill, once enacted, it would provide legal foundation for the policy.

Another issue that is very important is that unless the ABS Rules and Regulations are developed and promulgated, the ABS Act cannot enter in force. Format of the biodiversity register, procedures relating to obtaining prior and free informed consent, registration and record of

imported genetic resources or material, and other issues are mentioned under different sections of the Bill. Thus, utmost priority should be given to development of the Regulations and the ABS Policy.

It is uncertain when the legislature will pass the Bill as it is outside the control of the project. Nevertheless, it is highly recommended to initiate, in parallel, the preparatory works/drafts of ABS Strategic and Action Plan, ABS Policy and ABS Rules and Regulations, to achieve the unfinished activities in a more efficient manner.

3.2.2. Component 2: Capacity Needs and Training

The major outputs of the component are training materials and training, community protocols, and process documentation.

One of the activities is to "Identify existing training materials, undertake gap analysis, and suggest content to design and develop new training materials". The existing materials were reviewed by the project team and four external reviewers. The existing training materials reviewed were: (i) Training of the Trainers Manual on Access and Benefit Sharing from Genetic Resources and Associated Traditional Knowledge (Oli and Dhakal 2009); (ii) Biodiversity and traditional knowledge documentation training resource book (MoFSC 2010); (iii) Training manual for documentation of biological resources and traditional knowledge for district resource persons (IUCN 2004); and (iv) Training manual for documentation of biological resources and traditional knowledge for local resource persons (IUCN 2004). The reviewers found that the existing training materials should be updated and new materials should be developed. The identified area to be included are national and international conventions/treaties; updating formats for biodiversity and TK documentation, community protocols; formats for PIC and MAT; and inclusion of terminologies in Nepali etc. Based on the analysis, the project has initiated development of two training manuals: (i) TOT manual on ABS and (ii) Training manual for documentation of biodiversity and traditional knowledge and preparation of community protocol.

One of the means to strengthen the capacity of the stakeholders has been identified as development and training of 'Citizens' Scientist'. Criteria were developed to identify the citizen scientist as knowledge of local person about biodiversity, traditional knowledge and cultural context, willingness to participate voluntarily in project activities, and willingness to interact/cooperate with the project team including researchers and communities. The individuals were identified by snowball method. The group included traditional healers, social workers, school teachers, volunteers, youth clubs, and women's group. Generally, 25 to 30 individuals were identified as citizen scientists in each place. Three-day long trainings were organized in Jungu (Dolakha), Lumre and Saidighatta (Lwangghalel, Kaski) and two-day trainings were organized in Khilang and Sikles in Parche (Kaski). The training aimed to build local resource persons on Nagoya implementation, to sensitize them on the process and procedure of Community Protocol preparation, update the Community Biodiversity Registers format, and

orient on the importance of access to genetic resources and benefit sharing. The training covered the topics of essential knowledge of biodiversity and traditional knowledge documentation. Experts from PMU/PEU and TU served as resource persons. Altogether, 125 community members (29 in Lumre, 31 in Saidighatta, 33 in Khilang, and 32 in Sikles) were trained as citizen scientists in Kaski district and 23 people were trained in Jungu, Dolakha. The training sessions also provided feedback for improvement of Community Protocol (CP). Second round of training for Citizen Scientist has been already done in Dolakha.

Training of Trainers: A four- day long Training of Trainers (TOT) was organized in Pokhara for the officials of Province 4. The participants included officials from DFO, DSCO, DADO, DLDO within the province, ACAP, and IOF. Altogether 30 officials from different agencies and staffs of the project participated in the training. A similar training has been already completed in Province 3 with the participation of 29 officials.

The Project has reached agreements with the Tribhuvan University Central Department of Botany Kirtipur and Institute of Forestry, Pokhara to support 8 students to document biodiversity and traditional knowledge in the project pilot sites. The students have done fieldwork and the reports are expected to be submitted by September 2018.

Achievement in terms of number of participants in the training has been more than planned. The project planned to train 48 citizen scientists but 148 citizen scientists were trained. TOT has yet to be conducted at the national level. Overall, these trainings were found to be highly satisfactory. Training on negotiation skill has yet to begin.

Training for development of Community Protocol were included in the Citizen Scientist training and the formats are in final stage of preparation.

The activities planned for Process documentation are exchange visits and learning framework documentation. The project organized exposure visit for the community members to make them aware of the ongoing initiatives and practices on biodiversity, traditional knowledge, and ABS at local level in different parts of the country. The visit aimed to provide the opportunities for the community members to get the first hand idea on documentation of traditional knowledge, preparation of Biodiversity Register and Community Bio-cultural Protocol, and formation of Biodiversity Management Committees in the districts of Kanchanpur, Banke, and Kailali. A six-day visit was organized for 17 community members (six from Dolakha and 11 from Kaski). The participants included Chairpersons/Vice Chairpersons of Rural Municipalities, Ward Chairs, and Chairpersons of CFUGs. Attention was paid to ensure that females are represented in the visit. In addition to the community members, Social Mobilizers and projects officials also participated in the visit.

A team of 5 officials from the MoFE visited Australia from March 15 to March 22, 2018 to enhance the capacity of the Ministry officials by learning from Australia's experience in approach to ABS, ABS mechanism adopted by state laws, procedures for accessing biological resources, and minimum requirements for benefit sharing agreement. The team visited School of Law at the University of Queensland, University of Southern Queensland, University of Sunshine Coast, and University of New South Wales.

Although the project planned and envisaged 'exchange' visits, so far these activities have been more of 'exposure' visits as there are only 'one-way' visits.

Overall the achievement under this output (Output 2.4) has progressed as planned and the effectiveness is satisfactory.

Another output (Output 2.5) under the component is Monitoring and Evaluation. A joint monitoring of the project was done in May 2018 by a Joint Monitoring Team. The team comprised representatives from MoFE (Chief of Monitoring and Evaluation Division and Under Secretary of Foreign Aid Division), Ministry of Finance, MoALRC (Biodiversity and ITPGRFA focal point), and NEFIN. The team assessed the progress of each activity and found that the activities and outputs of the project have progressed satisfactorily. Similarly, the project has undertaken the Mid Term Review on timely basis.

3.2.3. Component 3: Education, Public Awareness, and Communication

The major outputs of the component are: Nepali language ABS terminology, translations of international ABS documents, Radio sports on ABS in Nepali, Videos on ABS in Nepali, and Alternative media resources on ABS in Nepali.

The project planned to develop communication and visibility plan. The plan is under preparation and intends to match with the ABS Communication plan of the Ministry.

ABS terminology in Nepali has been finalized and ready for publication. Although it was planned to be published in the first year of the project implementation, it will be published in the second year of project implementation. The project planned to publish seven documents on ABS in Nepali language. Following seven documents have been published in Nepali language. These booklets contain both English and Nepali version.

1. Introduction to Access and benefit-sharing
2. Access and Benefit Sharing Fact Sheet
3. Uses of Genetic Resources
4. Traditional Knowledge
5. The Bonn Guidelines
6. ABS National Implementation
7. Nagoya Protocol on Access and Benefit Sharing

Publishing documents containing both Nepali and English helps in capturing the subtle nuances contained in the document which otherwise might be lost in the process of translation.

Initially, the project planned to translate 'Strategic Communication for ABS' as well, but it has now modified the plan to publish only the abbreviated version as it will be more relevant and meaningful. Some of the core contents of this publication will feed into the ABS Communication Plan. The achievement is progressing well toward the target. The effectiveness is satisfactory.

The Project planned to develop and air 24 episodes on ABS through FM radios. The radio spots have been developed by the consultant Nature Media Network, chosen through competitive bidding. These spots are being aired by Radio Barahi in Kaski, Radio Sailung in Dolakha, and nationally through Image FM in Kathmandu. The project will air the 30 episodes of programme on ABS. The radio episodes are aired fortnightly for fifteen minutes on Saturdays. However, Radio Barahi has been airing the programme every week. To make the mass media activities more effective, the project now intends to conduct the dialogue in the national level and develop and air the major discussion through Radio Sagarmatha as well.

It was found that, over the years, the number of people listening to FM radio has declined sharply. With the access to television and social network like Facebook in the rural area, the audience of FM radio for such programme has declined. Incorporating local specific issues, covering local level experts, community people in the radio spot and informing local people through social network about the programme could help widen the audience. There has not been any specific feedback mechanism on the radio programme. Overall, the effectiveness of this activity is moderately satisfactory.

The project planned to produce 3 videos on ABS in Nepali language at three (initial, mid, and completion) phases of the project. It has developed two (one each in English and Nepali language) introducing the concept and practice of ABS and uploaded on Youtube. The process is underway to broadcast it through national television.

Another activity planned is execution of 28 events of alternative media. The alternative media include activities like street drama, quiz contest, art competition, poem competition, speech competition, song competition etc. These activities are designed at local level in consultation with school teachers, village leaders, youth clubs etc. and organized during the local events like *Chaiti dashain*, *Teej*, or Environment Day, and Biodiversity Day. These activities have been well appreciated at local level. Linking of alternative media with radio was very effective. Effectiveness of alternative media is highly satisfactory.

3.3 Efficiency

(a) Financial

The analysis of the financial performance shows that there was only 36% delivery in financial terms in 2017. The delivery in programme component in 2017 is only 29% and that in administrative component it is 45%. There are several reasons (described later) for this slow financial delivery in 2017. However, the delivery has picked up in 2018. Out of the total planned budget till June in 2018, the delivery has been 107% in programme component and 61% in administrative component. Till date, the financial delivery has been only 35% of the total budget. Initially, the project document allocated budget into three components, and the Project Management has developed a system to book the expenses under the headings of human resources, travel cost, programme management cost, and activities cost under different components for effective administrative and financial management. Following this system, the ratio of budgeted programme and administrative cost is 59 and 41 respectively and that of actual expenses till date is 64 and 36 respectively.

Among the different components, till date, financial delivery under inception activities has been high (70% of the total planned), and low (15%) in component 1. Under Component 2 and 3, the financial delivery has been 37% and 44% respectively. Financial delivery under components 2 and 3 has picked up in 2018 as many activities have been completed.

Some implementation arrangements also helped to save the cost. For example, baseline studies planned for each component (expected to be executed separately) was done jointly by one team thereby reducing the cost and making the study more comprehensive. Some of the activities like capacity self- assessment tool, development of biodiversity registration format, editing of publication materials though initially planned to be done by hiring consultants were done by the PEU experts thereby reducing the cost. The human resource cost in 2017 was under-spent as most of the field staffs were hired only after August while the budget was planned for the whole year.

(b) Timeliness of Implementation

Several activities planned in all the three components for 2017 could not be completed in the year. Activities like orientation workshop at national, district, and pilot site levels; meeting of PSC; DPCC, PMU and PEU; Initiation of Baseline Survey; Conduction of Gap analysis; Review of training materials; Identification of Citizen scientist; exposure visits; development of ABS terminology in Nepali; Process of developing radio and videos were done in 2017 (Annex 3). One of the important achievements in 2017 has been that Nepal acceded to Nagoya Protocol in September 4, 2017. Some of the activities planned for 2017 like formulation of strategy and action plan for implementing ABS, policy labs, draft rules and regulations; citizen scientist training, publication of training materials, training of trainers, citizen scientist training, production of ABS documents in Nepali, Radio programmes, Videos, etc. were postponed for 2018.

Some activities like strategy and action plan for implementation of ABS, formulation of rules and regulations are dependent on the passing of ABS Bill by the parliament. And as such this could not be initiated. Project could initiate most of the activities only after August of 2017 as early parts of the year were affected by the local level election in the country. The project offices in the districts were set up around August, Field Officers were hired in August, and local staff were hired only in October. These administrative delays affected the implementation of the activities as well as the financial performance in 2017.

As observed from the financial performance analysis, it is likely that fund will remain balance after the completion of most of the activities.

3.4 Sustainability

Sustainability of the project is viewed in relation to institutional basis and continuity of the effects of the project. As the project is implemented by the Government of Nepal, the institutional base of the project is perpetual. Upon passing of the ABS Bill, the government has interest to continue the outcomes of the project. At the local level, the project plans to form Biodiversity Management Committees. As these institutions will be new, they have to be networked with the local level governments (Rural Municipalities) and Forest Offices. There has been already instances of Rural Municipality taking initiative for documenting agro-biodiversity. For example, Ward 9 of Machhapuchhre Rural Municipality in Kaski district has already documented agro-biodiversity in its area on its own expenses. Expansion of such local level initiatives would further reinforce the initiatives of the project. Linking with the academic institutions (IOF and TU) and institutions working on biodiversity conservation such as ACAP and LI-BIRD will also contribute towards ensuring the sustainability.

However, there is one possible threat that the local communities in the pilot site have high expectation that they will get benefit from utilization of genetic resources in immediate future. If such expectations are not met or the perception is not changed/corrected, it might lead to resentment ultimately affecting the continuation of the project.

Continuation of the project's effects would not require large sum of monetary resources hence the effects of the project are financially sustainable.

Table 3.1 a: Detail budget and expenses till date

SN	Description	2017			2018 (till June)			Total		
		Budgeted	Expenses	%	Budgeted	Expenses	%	Budgeted	Expenses	%
1	Human Resources	266,195.53	119,094.83	45	93,426.94	56,569.07	61	570,419.00	175,663.90	31
2	Travel	114,361.33	18,056.28	16	32,561.21	54,194.02	166	245,060.00	72,250.30	29
3	Project Management Cost	58,381.87	63,343.39	108	19,244.70	22,734.35	118	125,104.00	86,077.74	69
4	Activities (different components)									
	4.1.1 Inception Activities	10,290.00	13,049.23	127	3,500.00	3,089.07	88	22,050.00	15,435.50	70
	4.1.2 Component 1.	51,268.00	1,351.23	3	30,835.00	15,230.96	49	109,860.00	16,582.19	15
	4.2 Component 2.	84,771.87	5,646.03	7	63,900.73	60,898.04	95	181,654.00	66,544.07	37
	4.3 Component 3	56,933.33	8,161.83	14	37,903.00	45,640.69	120	122,000.00	53,802.52	44
5	Total (1 + 2+ 3+ 4)	642,201.93	228,702.82	36	281,371.58	258,356.20	92	1,376,147.00	486,356.22	35

Table 3.1 b: Financial delivery in programme and administration

SN	Description	2017			2018 (till June)			Total		
		Budgeted	Actual	%	Budgeted	Actual	%	Budgeted	Actual	%
1	Programme	376,006.40	109,607.99	29	187,944.64	201,787.13	107	805,728.00	310,692.32	39
2	Administration	266,195.53	119,094.83	45	93,426.94	56,569.07	61	570,419.00	175,663.90	31
	Total	642,201.93	228,702.82	36	281,371.58	258,356.20	92	1,376,147.00	486,356.22	35

Table 3.1c: Ratio of Programme and administration components

SN	Description	Planned	Ratio	Actual	Ratio
1	Programme	805,728	58.55	310,692.32	63.88
2	Administration	570,419	41.45	175,663.90	36.12
	Total	1,376,147.00		486,356.22	

Table 3.2 Performance Rating

Output/ Activities	Achievement till date	Performance ranking
1.1 Stakeholder identification and analysis and capacity assessments		
1.1.1 Continuously scope, compile and systematize baseline data on issues involved in mainstreaming ABS in national policy and its implementation	Baseline completed to assess existing status on awareness level of six groups of stakeholders	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA
1.1.2 Stakeholder identification and analysis and capacity self-assessments	Stakeholder identification and capacity self-assessment done at national, two district level, and local level (in pilot sites)	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA
1.2 Gap analysis		
1.2.1 Conduct gap analysis and analysis of user rights	Gap analysis of the ABS-related provisions in existing policies, laws and regulations conducted	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA
1.3 Strategy and action plan for implementing ABS		
1.3.1 Carry out consultations and develop strategy and action plan	Activity not initiated	
1.4 National ABS Policy		
1.4.1 Four policy Labs/year	Two policy labs have been conducted	Effectiveness: Moderately satisfactory Efficiency: Moderately satisfactory Sustainability: NA
1.4.2 Revise and finalize national ABS policy	Activity not yet initiated	
1.5 Draft ABS Rules and Regulations and Guidelines		
1.5.1 Advocate for and support the Government of Nepal to accede to the Nagoya Protocol	Accession to the Nagoya Protocol on 4 September 2017	Effectiveness: Highly Satisfactory Efficiency: Satisfactory Sustainability : NA
1.5.2 Support finalization of the draft ABS Bill and advocate for its adoption	As of May 2018, ABS Bill discussion is an ongoing process	Effectiveness: Moderately satisfactory Efficiency: Moderately satisfactory Sustainability : NA
1.5.3 Draft ABS Rules and Regulations and Guidelines	Activity not yet initiated	
2.1 Continuously scope, compile and systematize information to support training and raising awareness on ABS		
2.1.1 Conduct baseline	Baseline completed	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA
2.2 Training materials and training of trainers and training for stakeholder groups		

2.2.1. Identify existing training materials and develop new training materials as necessary	Currently existing four training materials were reviewed and two new training materials are under preparation.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
2.2.2 Training of trainers and stakeholders	Two TOTs in province 3 and 4 completed and altogether 59 individuals trained.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
2.2.3 Citizen scientist training	Total 125 community members trained as a citizen scientists in Kaski and about 23 citizen scientists trained in Dolakha.	Effectiveness: Highly Satisfactory Efficiency: Satisfactory Sustainability: Likely
2.2.4 Negotiation skills training	Negotiation skills training not yet initiated	
2.3 Community protocols		
2.3.1 Identify and support researchers and academics who can assist communities in developing community protocols	Agreements reached with CDB TU and IOF. Eight students are being supported to conduct research on documenting Biodiversity and traditional Knowledge	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
2.3.2 Organize training programmes for community members and selected district level government officials and CSOs on developing community protocols	Community biodiversity registers were discussed during CS training and the final format of Community Protocol is being prepared. Second round of training has begun in Dolakha	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
2.3.3 Support communities in project sites to develop their own community protocols	Not yet begun	
2.4 Process documentation		
2.4.1 Exposure visits	17 participants (6 from Dolakha and 11 from Kaski) visited for 6 days at six places in Nepal; 5 PMU officials visited Australia	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability : NA
2.4.2 Develop and use an ABS learning framework	The process documentation is going on.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability:
2.5 Monitoring and Evaluation		
2.5.1 Develop and implement project joint monitoring mechanism (monitoring and reporting) and conduct project mid-term and final evaluation	Detailed Activity description and execution guidelines prepared.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA

	Joint monitoring conducted in May 2018 and MTR is ongoing.	
3.1 Communications and visibility plan		
3.1.1 Continuously scope, compile and systematize baseline information on how to communicate ABS	Baseline survey completed	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: NA
3.1.2 Develop communication and visibility plan	Communication and visibility plan under preparation to match with Ministry's plan	Process has just begun
3.2 Nepali language ABS terminology and translations of international ABS documents		
3.2.1 Convene group of experts that will develop ABS terminology in Nepali	Experts group formed and the booklet containing terminology has been finalized and ready for publication.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
3.2.2 Translate 7 documents	The documents have been published except 'Strategic Communication for ABS'	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
3.3 Radio spots on ABS in Nepali		
3.3.1 Develop radio spots and arrange for them to be broadcast	So far, 11 episodes have been broadcast and materials for 15 episodes have been developed	Effectiveness: Moderately satisfactory Efficiency: Satisfactory Sustainability: Moderately likely
3.4 Videos on ABS in Nepali		
3.4.1 Create videos, post them on YouTube, and arrange for them to be broadcast on TV	Two videos (about 9 min long) introducing ABS in English and Nepali language have been developed and uploaded in YouTube.	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Moderately likely
3.5 Alternative media resources on ABS in Nepali		
3.5.1 Develop alternative media resources on ABS in Nepali	12 events (eight in Kaski and four in Dolakha) have been completed	Effectiveness: Highly satisfactory Efficiency: Satisfactory Sustainability: Likely
3.5.2: Publication of project communication materials (Brochures, Pamphlets and other project related publicity materials)	ongoing	Effectiveness: Satisfactory Efficiency: Satisfactory Sustainability: Likely
<p>Rating scales (UNDP 2012): Relevance (1. Not relevant; 2. Relevant). Effectiveness, Efficacy (1. Highly Unsatisfactory (HU); 2. Unsatisfactory (U); 3. Moderately Unsatisfactory (MU); Moderately Satisfactory (MS); Satisfactory (S); Highly Satisfactory (HS). Impact (1. Negligible; 2. Minimal; 3. Significant). Sustainability (1. Unlikely (U); 2. Moderately Unlikely (MU); 3. Moderately Likely (ML); and 4. Likely (L). Additional rating: Not applicable (NA); Unable to access (UA).</p>		

3.5 Coordination and networking

The Project has put strong emphasis on strengthening coordination with several relevant agencies. Several committees formed at the different tiers of governance contribute in coordinating with relevant agencies. For example, at the central level, PSC comprises representatives from Ministries of Agriculture; Livestock; Local Development; Women, Children, and Social Welfare; FNCCI, NEFIN etc. The district level coordination committees also have representatives from these sectoral line agencies. Although such committees help to keep abreast the members of the initiatives of the project, it is not clear whether the learning from the project are adopted by other agencies and vice versa.

Coordination with agencies like ACAP and LIBIRD was found effective and these agencies contributed in project implementation. A relationship characterized by synergy has developed. Although project document stresses on coordination with agencies like FNCCI, NEFIN, HIMAWANTI in project implementation, such level of coordination/cooperation was not observed.

3.6 Factors affecting implementation

Several factors affected the implementation of the project by either facilitating or detracting. The project implementation in the first year was largely affected by the local elections. As the whole political/administrative set up of the country focused on conducting the election, the project launching was delayed in the field. The setting up of project office in the district and hiring of staffs was completed only by October which significantly delayed the project implementation.

'Passing of ABS Bill' in the parliament is largely affected by the overall political priority of the country. As the parliament has long lists of bills (such as those on fundamental rights) the ABS Bill could not be passed on time as expected. This affected implementation of other activities like strategy and action plan, formulation of guidelines as well. These issues are beyond the project's implementation sphere.

The enthusiasm shown by newly elected local level governments (rural municipalities) has contributed in smooth functioning of the project at the local level. Some of the wards have already taken initiatives which are in line with the project objectives.

3.7 Risk and risk management measure

One of the major risks identified by the project document was another earthquake strike, but risk mitigating measures could not be proposed for such a risk in the context of project implementation. The project document identified three potential risks and their risk levels. Some of these risks can be revised now.

By the time of MTR, level of some risks could be lowered as elaborated in the table below.

Table 3.3: Risk and risk management measures

Potential Risk	Risk rating at project preparation	Risk rating at MTR	Risk Management Measure
The MoFSC has limited capacity for implementing this ABS project	High	Moderate	The risk has been reduced since IUCN Nepal has been supporting MoFE in all aspects implementing and managing this project
Political instability and demands of political groups dissatisfied with the new constitution result in strife/strikes	High	Moderate	The risk has been reduced with new constitution followed by province and local level elections. There has been political stability and elected government has cooperated in the implementation process at the pilot sites
Communities become disenchanted with the process of creating the mechanisms needed to implement ABS because they do not receive benefits in short-term	Moderate	Moderate	Local communities have cooperated in the implementation process at the pilot sites; however they have high expectation for benefit in immediate future. fair and equitable benefit sharing immediately

In retrospect, implementation of project implementation was delayed in the first year partly because of the local level elections. Currently, the delay in passing of the ABS bill has affected implementation of some activities. Local level election has brought new leadership in the local level and a new dimension of enthusiasm in local level resource governance. The project can cash in this emerging opportunity.

3.8 Impact pathway

ABS is a new concept and mechanism in Nepal. Evidence of the impact of implementation of Nagoya Protocol in Nepal is not available. In the absence of information on the project impact pathways, it is difficult to understand a clear impact pathway of the project. However, on the basis of achievements made so far in strengthening capacities for implementation of Nagoya Protocol in Nepal and work plan 2018, indicative impact pathway has been assessed whether the project activities was operating as planned (in terms of design, delivery, and utilization), and identify ways in which the project might need to be strengthened in order to increase its potential for impact.

The project was designed with the objective to build capacity of key stakeholders at national, sub-national and local levels to implement ABS-GEF project in Nepal. It comprises three components with three synergistic outcomes as: (i) ABS Bill in place, (ii) enhancing capacity of the stakeholders groups at all levels, and (iii) enhancing greater understanding and awareness of ABS with pilot sites testing. The project document was well conceived and internalized by developing two separate documents, such as *Summary of the Project* that deals with activities proposed to be executed and guideline on the execution of the project activities; and *Activity Description and Execution Guidelines Project Activities for the year 2017*; both documents have added value to the

implementation of the project activities in terms of clear implementation approach and achievement.

The project components were being delivered and utilized as planned. However, there are challenges with some of the key activities to be initiated on time to improve timely delivery of outputs. Among these were gaps in the expected pathway from legal preparedness of ABS legislation, community protocol development, and developing an effective alternative media resources on ABS in Nepali.

This MTR highlights the importance of developing project documents for internalizing implementation of the project and assessing the activities and outputs that lie along the project impact pathways to optimize project delivery and fund utilization and, in turn, potential for impact. The PMU needs to make endeavours to enhance initiation of activities.

4. CONCLUSION, LESSONS LEARNED AND RECOMMENDATIONS

4.1 Conclusion

Summary of the progress

The MTR found the project is generally progressing well. The achievements of the project were reviewed against the criteria of relevancy, achievement and effectiveness, efficiency, and sustainability. Since it has been only one and half years of project implementation, criteria of impact was not used for the review. Based on the detail discussions presented in the previous chapter, the summary of performance of the project is presented in table 4.1.

Table 4.1: Summary of MTR Findings

SN	Criteria	Rating	Key features
1	Relevancy	Relevant	<p>Objectives of the project are consistent with the Aichi Target 16 and 18; Articles 51.g, 51.5, 51.10 of the Constitution of Nepal 2015; SDG 2, 5, and 15; and contributes to the National Forest Policy 2015; Agriculture Development Strategy 2016, Agro-biodiversity Policy 2014, NBSAP 2014-2020.</p> <p>Activities planned are relevant in contributing to the objectives of the project. However, reservation has been expressed in piloting the project in only two sites of same agro-climatic/physiographic zone.</p>
2	Achievement and Effectiveness	Satisfactory	<p>Most of the activities planned have been progressing well. One of the key achievements includes: Nepal acceded to Nagoya Protocol on Sept 4, 2017. Other completed major activities are baseline survey and capacity assessment; Training of Citizen scientist, TOT, exposure visit. Seven booklets on ABS in Nepali have been developed, 11 episodes of radio programme have been aired.</p> <p>Some achievements exceeded the target (training of citizen scientist, TOT). Activities like formulation of ABS implementation strategy and action plan, ABS guidelines have been delayed because of delay in passing of ABS Bill.</p> <p>Activities like accession to Nagoya Protocol, training of CS, publication of ABS in Nepali, alternative media have been effective. However, effectiveness of activities like radio programme is limited.</p>
3	Efficiency	Satisfactory	<p>Although there was a considerable delay for several reasons in implementation in 2017, several activities were implemented in 2018 to offset the delay of 2017. Timely passing of ABS bill would help to implement the remaining activities in component 1.</p>

			Till date, the financial delivery has been low (only 35% of the total budget including the committed fund). Component-wise the component 3 has highest (44%) financial delivery and component 1 has lowest (15%) financial delivery. Revised implementation arrangements helped to reduce the cost under some activities.
4	Sustainability	Likely	As being the government led and executed project, the institutional basis for sustainability is perpetual and strong. There has been good networking with relevant institutions both at national and local level to enhance the sustainability of the effects. Some rural municipalities (Ward 9 of Machhapuchhre <i>Gaunpalika</i> in Kaski) have taken the initiative of documenting agrobiodiversity contributing to sustainability of the project effects. The community level institutions are yet to be formed and linked with the local level institutions and Forest Offices.

In addition to these four criteria, the project performance was also reviewed in terms of coordination and networking, factors affecting the implementation, and risk and risk management measures. The project has well developed mechanism for networking and coordination with other government and non-governmental agencies. The implementing relationship with the agencies like ACAP, LI-BIRD has resulted in complementarity. However, low level of implementing relationship was fostered with agencies like NEFIN, HIWAMANTI, DANAR, and FNCCI as envisaged in the project design.

The political factors like the conduction of local level elections delayed the implementation of activities in 2017. Field level implementation gained momentum only in the last quarter of 2017. Similarly, delay in passing of ABS Bill has affected the implementation of other follow up activities such as ABS Policy, ABS Strategic and Action Plan, ABS Rules and Regulations. Enthusiasm of newly elected local bodies has contributed in smooth implementation of activities in the field.

Considering the factors like (i) delay in initiation of project at the field level, (ii) delay in passing of the ABS Bill, (iii) needs for expansion of activities (elaborated in recommendation section) for enhancing the effect of project, the project duration (until April 2019) seems short.

Strength of project implementation

One of the strengths of the project implementation has been thorough exercise and development of 'Activity Description and Execution Guidelines' and 'Summary of the Project'. These documents have translated and refined the project document in 'implementable' form minimizing the confusions. Similarly, a system has been developed in reporting to incorporate the narratives

of issues raised by the participants and responses to those issues. Such documentation provides good feedback mechanism and facilitates adaptive management.

4.2 Lessons learned and opportunities

Stakeholders Collaboration and Partnership

The 'access and benefit sharing' provisions of the CBD and the Nagoya Protocol are particularly complex to implement. They interact with a number of law and policy, broad range of academic and commercial activities, and extremely diverse groups of individuals and organizations. The resource rights of indigenous peoples and local communities are critical to the effective distribution of the benefits to the communities, and to the conservation of biodiversity. Stakeholders' collaboration provide opportunities to contribute to strengthening capacities for implementation of the Nagoya Protocol and enhancing the process of passing of the ABS Bill in Nepal.

Capacity strengthening

Capacity strengthening under the project covers a range of stakeholders. The stakeholders in the government sector and at the pilot sites acknowledge that the Project has increased their knowledge and skills on the concept of ABS and sustainable harvest of genetic resources. However, further capacity strengthening in negotiation skills, MAT, PIC may be required to effectively implement the ABS process on the ground.

Unrealistic expectations for benefit sharing

There is a common perception among local level stakeholders and community organizations, particularly among those who are the custodians of biological resources, that there will be high demand for genetic resources and they would get benefit in short term from benefit sharing. It is not clear to them that a commercial market product development involves a lengthy process of investment in research and development (see for details ten Kate and Laird 2002). A large number of bioprospecting companies feel unable to agree to the demands of the provider country on one hand; on the other hand, stakeholders at the national level do not comply with domestic rules and regulations, if any. A proper understanding of intricacies and complex process would minimize the false expectation.

4.3. Recommendations

Based on the analysis presented in previous sections following recommendations are made. Recommendations have been grouped into two categories: (i) for undertaking during the remaining project duration by the PMU; and (ii) for consideration by the MoFE for longer term effects.

(i) For PMU to be considered in the remaining project period.

(a) Actions as per the current plan

- Implementation of some activities like ABS Strategic and Action Plan, ABS Rules and Regulations has not been initiated because the ABS bill is yet to be passed by the parliament. Since it is beyond the means of the project to assume when the bill would be passed, it can work on preparatory works so that these activities can be executed immediately upon passing of the bill.
- A directory of local level resource persons, experts, and some citizen scientist with the detail on their expertise should be developed.
- Community Protocols should incorporate the provision to allocate certain benefit for the conservation of genetic resources.
- It transpired that the public awareness measures like radio programme does not have the audience level for it to be effective. In order to enhance its effectiveness possibility of linking with social network should be explored. Inclusion of local issues and concerns in these materials can aid to enhance the audience level.
- Alternative media means, which has been widely appreciated, should be well documented and expanded.
- Although the current reporting system has some strength (elaborated earlier), it should be improved in some aspects. The list of participants in different training programmes should distinguish the resource persons, management team, and the beneficiary participants. Similarly, these reports should disaggregate data on GESI basis. The disaggregation of data can be done retroactively for already compiled reports as well. This should help in impact assessment in later stage. The reporting should also need to be more comprehensive and facts and figures should be cross-checked.
- The PSC should promote learning from the project. Key learning like the practice of development of activity description and execution guideline of the project, publication of key documents in Nepali and English language should be promoted to other relevant partners (as those representing in PSC) as well.

(b) Revision of the plan

Although the project has already passed halfway of timeline and many activities have been completed, and yet financial delivery has been only 35 percent. The Project Management Unit should revise the plan for the remaining period for enhancing the effectiveness of the project including financial delivery as outlined below.

- Under the current context of ABS Bill waiting for passing from the parliament, the activities planned for formulating ABS Policy (Output 1.4) need to be expedited. The team should develop the policy and make arrangement for its endorsement by the GoN. Endorsement of the Policy might be faster than enactment of the ABS Bill. Further, since the National Planning Commission has begun preparation of the Fifteenth Plan, the team should also work with the NPC to make sure that key aspects of the ABS is included in the Fifteenth Plan as well.

- Implementation of some activities like ABS Strategic and Action Plan (Output 1.3), ABS Rules and Regulations (Output 1.5) has not been initiated because the ABS Bill is yet to be passed by the parliament. Since it is beyond the means of the project to assume when the Bill will be passed, it can initiate preparatory works including the development of the ABS Regulations so that these activities can be initiated and the implementation of the ABS Act begins immediately upon passing of the Bill.
- The revision needs to expand some activities in other provinces as well. Orientation on ABS to officials of the relevant agencies at province level, TOT trainings should be conducted in all the provinces.
- Testing of tools (CS, Community protocols, and Biodiversity registers) developed by the project needs to be expanded in other agro-climatic zones with diverse ethnic setups. Preferably, one site should be selected each from Tarai and high mountain region. These new sites should also have some experience on genetic conservation such as Kachorba in Bara, and Jumla district where the NARC/LI-BIRD consortium has been implementing a project related to agrobiodiversity. This will help in wider applicability of the tools/materials developed and adoption of the project effect.
- Capacity strengthening of both PMU and PEU should be emphasized. It was observed that capacity strengthening component did not cover the staffs of PEU and field staffs (other than participating in the trainings organized for the community members or officials). Capacity strengthening of PMU/PEU staff and community resource persons could help in effective implementation of ABS in future as well.
- The project needs to incorporate some activities to capture the opportunity generated by enthusiasm after the formation of local level governments which did not exist at the time of project design. A few rural municipalities (preferably in the pilot sites) could be developed as resource centers for implementation of ABS. These could draw lessons from community seed/gene banks.
- Network of domestic companies/individuals working in the field of herb processing, local seeds (like community seed banks) need to be oriented on ABS and strengthened.
- A pilot activity should be added to enhance taxonomic training to the stakeholders. It is crucial to identify biological diversity correctly and communicate accordingly. Taxonomic study provides the basic foundations of conservation practice and sustainable management of the biodiversity. Different types of training package on taxonomy for different groups of stakeholders (for example district level implementing government officials, field level related staff, and para-biologist) need to be developed and these stakeholders should be trained.
- As the project period ends in April 2019 as per the Implementing Agreement signed between IUCN and MoFSC, and the addition/expansion of above activities enhance the effectiveness of the project thus requiring additional time for implementation, the project management should initiate administrative arrangement for extending the duration of the project implementation. This should also help in providing enough time for internalizing the project effects.

- Partnership with other organizations has to be reviewed to assess whether the initially planned implementing relationship need to be continued.
- Communication and dissemination on ABS should be done at larger scale covering the country. Some important ABS related documents published by CBD and international organizations have been translated into Nepali Language and are available in print. A wide variety of communication materials including project documents need to be published in Nepali Language. Additional ABS related materials, if published in Nepali Language, such as: (i) ABS concept in Nepal; (ii) Plant Genetic Resources (wild, wild relatives from pilot sites); (iii) Animal Genetic Resources (from pilot sites); etc. would help communication and dissemination of ABS process at larger scale. While preparing communication materials on ABS, certain information, such as knowledge, innovations, skill, practices of the individuals and communities that qualify the state of trade secret, patent rights, etc. need to be kept confidential and not disclosed until ABS process reaches at the stage of fair bioprospecting.

(ii) Recommendations on longer- term issues for the MoFE

- **National ABS Clearing House:** Clearing house mechanism is a web-based framework designed to provide information on national regulatory requirements related to biodiversity, on relevant authorities such as national focal point and competent national authority, as well as on permits issued at the time of access. This is further complemented by National Clearing House Mechanism (NCHM) at the national level. Therefore, a national ABS/biodiversity clearing house mechanism with up-to-date, complete and accurate information is essential to enabling mechanism for the implementation and functioning of the Nagoya Protocol.
- **ABS Bill sensitization:** ABS has started with new concept and mechanism in Nepal, this project and the forthcoming projects related to biodiversity conservation should continue its sensitization programme to further upscale ABS concept, mechanism and process of benefit sharing; and formulate policy and enforce regulations.
- **Resource inventory:** The protocol needs to integrate sustainable use of genetic resources through quantitative resource inventory, monetary benefit ploughing back to the communities, as well as a part of benefits utilized for conservation purpose.
- **Steering for operationalization of ABS legislation:** Once the ABS Bill is enacted, the project should steer towards the operationalization of legally binding ABS agreement with stakeholders and interested contracting parties on regulation on resource sustainability assessment, harvesting and management practices; commercialization, monetary benefit sharing in a fair and equitable basis, non-monetary benefits, etc..
- **Establish/foster partnership with national companies.** Access to genetic resources is not always the subject of international trade. Local access to genetic resources is often sought by domestic companies and institutions which is evident in case of '*Jeevani*' developed from a plant species used traditionally by the Kani tribe by the Arya Vaidya Pharmacy (ten Kate and Laird 2002). There exist promising opportunities in Nepal to establish/ foster partnership with national companies.

- **Biodiversity prospecting:** The exploration of biodiversity for commercially valuable and socio-culturally important genetic resources is the most important aspect of giving natural biodiversity an economic value (Eisner 1992; Chaudhary 1998). It is necessary to ensure long-term conservation in Nepal which is rich in biodiversity and cultural diversity, but weak in technological capacity particularly at the genetic level. Bioprospecting should be given high priority in biodiversity conservation and ABS programme.

References

- Chaudhary, R.P.
1998 Biodiversity in Nepal – Status and Conservation: S, Devi, Saharanpur, India & Tecpress Books, Bangkok, Thailand, 325p.
- Constituent Assembly Secretariat
2015 Constitution of Nepal 2015. Kathmandu, Nepal: Constituent Assembly Secretariat.
- Cunningham, A.B., et al.
2018 Paris in the spring: A review of the trade, conservation and opportunities in the shift from wild harvest to cultivation of *Paris polyphylla* (Trilliaceae). *Journal of Ethnopharmacology* 222 (2018): 208–216.
- Dhakal, M., et al., eds.
2018 25 Years of Achievements on Biodiversity Conservation in Nepal Kathmandu, Nepal: Ministry of Forests and Environment.
- Eisner, T.
1992 Chemical prospecting: A proposal for action. . *In Ecology, Economics and Ethics: The Broken Circle*. F.H. Bormann and S.R. Kellert, eds. Pp. 196-202. New Haven, CT: Yale University Press.
- GoN/MoFSC
2014 Nepal National Biodiversity Strategy and Action Plan 2014-2020. Kathmandu, Nepal: Government of Nepal, Ministry of Forests and Soil Conservation.
- IUCN
2004 Training manual for documentation of biological resources and traditional knowledge for district resource persons. Kathmandu: IUCN.
- MoAD
2016 Agriculture Development Strategy (ADS) 2015 to 2035. Kathmandu: GoN, Ministry of Agricultural Development.
- MoFSC
2010 Biodiversity and traditional knowledge documentation training resource book. Kathmandu: Government of Nepal, Ministry of Forests and Soil Conservation.
- 2015 Forest Policy (in Nepali language). Kathmandu, Nepal: Ministry of Forests and Soil Conservation.
- NPC
2015 Nature conservation national strategic framework for sustainable development (2015-2030). Kathmandu: National Planning Commission, Government of Nepal, Singha Durbar.
- 2016 Fourteenth Plan (2016/17-2018/19). Singha Durbar, Kathmandu: National Planning Commission.
- 2017 Sustainable Development Goals: Status and Roadmap 2016-2030. Kathmandu, Nepal: Government of Nepal, National Planning Commission.
- Oli, K.P., and T.D. Dhakal
2009 Training of the Trainers manual on Access and Benefit sharing from Genetic Resources and Associated Traditional Knowledge. Kathmandu: ICIMOD.

Pokharel, D.M.

2017 Policy Review on Access to Genetic Resources and Benefit Sharing in Nepal. Kathmandu, Nepal: IUCN, Nepal.

ten Kate, K., and S.A. Laird

2002 The commercial use of biodiversity - Access to genetic resources and benefit sharing. London: Earthscan Publications Ltd., 398p.

UNDP

2012 Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects New York: UNDP Evaluation Office.

United Nations

1992 Convention on Biological Diversity. United Nations.

Annexes

Annex 1: Targets and Achievements

Output	Activities	Target	Achievement till date
Outcome 1: The rules and regulations that will allow the implementation of the Nagoya Protocol once the ABS law is enacted.			
1.1 Stakeholder identification and analysis and capacity assessments		1.1 Documented results of stakeholder analysis and of 3 capacity self assessments: initial, mid-term, and final	
	1.1.1 Continuously scope, compile and systematize baseline data on issues involved in mainstreaming ABS in national policy and its implementation		Baseline completed to assess existing status on awareness level of six groups of stakeholders
	1.1.2 Stakeholder identification and analysis and capacity self-assessments		Stakeholder identification and capacity self-assessment done at national, two district level, and local level (in pilot sites)
1.2 Gap analysis		1.2 Documented analysis of gaps in ABS-related provisions in existing policies, laws and regulations and an analysis of existing provisions governing the rights of users of biological resources	
	1.2.1 Conduct gap analysis and analysis of user rights		Gap analysis of the ABS-related provisions in existing policies, laws and regulations conducted
1.3 Strategy and action plan for implementing ABS		1.3 Document that sets out the government's intentions, goals, and timetable for implementing ABS	

	1.3.1 Carry out consultations and develop strategy and action plan		Action Plan for ABS implementation is waiting the promulgation of ABS bill by the parliament.
1.4 National ABS Policy		1.4 Finalized national ABS policy which incorporates the input from project Policy Lab discussions	
	1.4.1 Policy Labs		Two policy labs have been conducted
	1.4.2 Revise and finalize national ABS policy		Work on policy formulation is ongoing
1.5 Draft ABS Rules and Regulations and Guidelines		1.5 Draft ABS Rules and Regulations and Guidelines available to be issued	
	1.5.1 Advocate for and support the Government of Nepal to accede to the Nagoya Protocol		Accession to the Nagoya Protocol on 4 September 2017
	1.5.2 Support finalization of the draft ABS bill and advocate for its adoption		As of July 2018, ABS Bill discussion is an ongoing process
	1.5.3 Draft ABS Rules and Regulations and Guidelines		Not yet initiated
Outcome 2: Representatives of ABS stakeholder groups at all levels have sufficient skills to contribute to implementing ABS and communities have enhanced bargaining power for negotiating eventual ABS agreements			
2.1 Continuously scope, compile and systematize information to support training and raising awareness on ABS		Documented results of Scoping and baseline data collection and of 3 capacity self-assessments: initial, mid-term, and final	
	2.1.1 Conduct baseline		Baseline completed

2.2 Training materials and training of trainers and training for stakeholder groups		2.2.1 Training materials identified and adapted or new materials developed that are used in general ABS training, training citizen scientists, and negotiation skills training	
	2.2.1. Identify existing training materials and develop new training materials as necessary		Currently existing four training materials were reviewed and two new training materials are under preparation.
	2.2.2 Training of trainers and stakeholders	20 stakeholders at national level and 15 stakeholders at district level given general training on ABS issues	59 trainers trained in Province 3 and 4.
	2.2.3 Citizen scientist training	48 citizen scientists trained, 24 from each project site	Total 125 community members trained as a citizen scientists in Kaski (29 in Lumre-8, Machhapuchhre Rural Municipality; 31 in Saidighatta-9, Machhapuchhre Rural Municipality; 33 in Khilang-1, Madi Rural Municipality and 32 in Sikles-1, Madi Rural Municipality). About 23 citizen scientists took trained in Dolakha.
	2.2.4 Negotiation skills training	150 community members trained in negotiating skills (Training completed before the final quarter of project implementation)	Negotiation skills training not yet begun
2.3 Community protocols		At least 2 community protocols developed	
	2.3.1 Identify and support researchers and academics who can		Agreements reached with CDB TU and IOF. Eight students are being supported

	assist communities in developing community protocols		to conduct research on documenting Biodiversity and traditional Knowledge
	2.3.2 Organize training programmes for community members and selected district level government officials and CSOs on developing community protocols		Community biodiversity registers were discussed during CS training and the final format of Community Protocol is being prepared. Second round of training has begun in Dolakha
	2.3.3 Support communities in project sites to develop their own community protocols		Not yet begun
2.4 Process documentation		Systematized documentation on the process of developing community protocols, the issues that arise in training community members in negotiation skills, and what communities learn as they interact with each other in the context of ABS (Document each project process as it is being carried out and have the documentation available in Nepali within 1 month of completing each process)	
	2.4.1 Exposure visits		17 participants (6 from Dolakha and 11 from Kaski visited for 6 days at six places in Nepal; 5 PMU officials visited Australia
	2.4.2 Develop and use an ABS learning framework		The process documentation is going on.
2.5 Monitoring and Evaluation		Midterm and Final Evaluation Report	

	2.5.1 Develop and implement project joint monitoring mechanism (monitoring and reporting) and conduct project mid-term and final evaluation		Detailed Activity description and execution guidelines prepared. Joint monitoring conducted in May 2018, and MTR is ongoing.
Outcome 3: Stakeholders at all levels have greater understanding and awareness of ABS and the issues involved in implementing it.			
3.1 Communications and visibility plan		3.1 Communication and visibility plan	
	3.1.1 Continuously scope, compile and systematize baseline information on how to communicate ABS		Baseline survey completed
	3.1.2 Develop communication and visibility plan		Communication and visibility plan under preparation to match with the plan of the Ministry.
3.2 Nepali language ABS terminology and translations of international ABS documents		Nepali language ABS terminology published	
	3.2.1 Convene group of experts that will develop ABS terminology in Nepali		The group convened and the booklet containing terminology has been finalized and ready for publication.
	3.2.2 Translate 7 documents	Nepali translations of 7 international documents related to ABS	The documents have been translated and published except 'Strategic Communication for ABS'
Outputs 3.3 Radio spots on ABS in Nepali			
	3.3.1 Develop radio spots and arrange for them to be broadcast	24 radio spots developed and broadcast on a monthly basis through two local FM stations at project sites and one FM station at the national level.	So far, 11 episodes have been broadcast and materials for 15 episodes have been developed. A total of 30 episodes will be aired.

Outputs 3.4 Videos on ABS in Nepali			
	3.4.1 Create videos, post them on YouTube, and arrange for them to be broadcast on TV	3.4.1 Three videos on ABS in Nepali language developed and broadcast at least six times on national television. 3.4.2 At least 10 videos on ABS uploaded to YouTube	Two videos (about 9 min long) introducing ABS in English and Nepali language have been developed and uploaded in Youtube.
3.5 Alternative media resources on ABS in Nepali			
	3.5.1 Develop alternative media resources on ABS in Nepali	At least 28 events using alternative media such as street drama, art competition, and quiz contests, among other things, will be organised at local level	12 events (eight in Kaski and four in Dolakha) have been completed.
	3.5.2 Publication of project communication materials (Brochures, Pamphlets and other project related publicity materials)		Brochures, flyers produced and the activity is ongoing

Annex 2: Chronology of the Project

SN	Activity	Date
1	Project Agreement	November 24, 2016
2	Inception workshop, Central level at Kathmandu	February 7, 2017
3	PSC meeting (first)	April 5, 2017
4	District Convening Meeting at Kaski	May 30, 2017
5	District Inception Workshop Kaski	June 22, 2017
6	District Inception Workshop, Dolakha	July 21, 2017
7	Hiring of project Field Officer	August 2017
8	Common Understanding Meeting among Project team	August 10 and 11, 2017
9	Office set up district level/ hiring of local staff	Sept/Oct 2017
10	Implementing agreement with TU-CDB for research activities	11 Sept. 2017-10 Sept. 2018
11	Stakeholders' Assessment at Kathmandu	September 26, 2017
12	Baseline Study	Oct 2017- Feb 2018
13	Initial Orientation Workshop at Site Level, Kaski	November 20-23, 2017
14	Implementing Agreement with IoF for Research Activities	November 30, 2017- November 30, 2018
15	Initial Orientation Workshop at Site Level, Dolakha	31 October 2017
16	Stakeholder Assessment in Dolakha	December 2nd week 2017
17	Exposure visit	December 17-24, 2017
18	Publication of Fact Sheet on ABS Nagoya Protocol in Nepali	January, 2018
19	Gap Analysis on Existing Training Manuals	21-26 January 2018
20	Discussion on ABS related Laws and Policies (Policy Lab)	January 26, 2018
21	PSC meeting (Second)	Feb 22, 2018
22	ABS Bill Discussion, Kathmandu (Policy Lab)	February 23, 2018
23	Citizen Scientist Training, Dolakha	February 4-6, 2018
24	Citizen Scientist Training, Lumre, Lwangghalel, Kaski	Feb 19-21, 2018
25	Citizen Scientist Training, Saidighatta, Lwangghalel, Kaski	Feb 26-28, 2018
26	Develop ABS Orientation Manual for sensitization at community level	February, 2018
27	Stakeholder Assessment in Kaski	March 16, 2018
28	Citizen Scientist Training, Khilang, Kaski	March 18-19, 2018
29	Citizen Scientist Training, Sikles, , Kaski	March 20-21, 2018
30	Initiation of Radio Broadcast	March, 2018
31	Development of Alternative Media strategy/plan, Implementation	March, 2018
32	Biodiversity Documentation of Gaurishankar Rural Municipality-1, 2	March- July, 2018
33	Initiation of Citizen Scientist Profiling	April, 2018
34	Video production on ABS in Nepali	April, 2018
35	Training of Trainers in state 4, Pokhara	April, 24-27, 2018
36	Video production on ABS in Nepali	April, 2018
37	Joint Monitoring meeting	May 4, 2018

38	Joint Monitoring	May 3- 23, 2018
39	Launching of long video on ABS	May 22, 2018
40	Citizen Scientist training II, Dolakha	May 22, 2018
41	Training of Trainers in State 3, Hetauda	May 28-31, 2018
42	Develop New training materials based on gap analysis of existing training materials	April-July, 2018
43	Policy Brief based on gap analysis of ABS related Laws and Policies	July, 2018

Annex 3: Project Publication

Booklets

1. Introduction to Access and benefit-sharing (English and Nepali):
2. Access and Benefit Sharing Fact Sheet (English and Nepali)
3. Uses of Genetic Resources (English and Nepali)
4. Traditional Knowledge (English and Nepali)
5. The Bonn Guidelines (English and Nepali)
6. ABS National Implementation (English and Nepali)
7. Nagoya Protocol on Access and Benefit Sharing (English and Nepali)

Flyer

1. Project on Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal (Nepali)
2. Project on Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal (English)

Annex 4: List of Project Documents Reviewed (Produced by the Project)

- Project Document (Project Proposal)
- Implementing Agreement IUCN and MoFSC
- Capacity Self-Assessment and Baseline Study – Baseline Report, 2018
- Proceedings of the Stakeholders’ Assessment Workshop, 2018
- Review report: "Identify existing training materials on ABS and undertake gap analysis to design and develop new training materials", April 2018
- Report of Citizen Scientist Training, Feb 2018
- Citizen scientists training/ workshop-Report, Feb/March 2018
- Exposure Visit of Community Members to Tarai districts - Report, December 2017
- Joint Monitoring Report, May 2018
- Activity Description and Execution Guidelines: Project Activities for Year 1 (2017)
- Annual Progress Report: (Period covered: January 2017 - December 2017); 2018
- Annual Work Plan 2018
- Project Progress Report of May, 2018
- Project Progress Report of April, 2018
- Project Progress Report of March, 2018
- Project Progress Report of February, 2018
- Project Progress Report of January, 2018
- Activity Description and Execution Guidelines: Project Activities for Year 1 (2017)
- Summary of the Project, 2017
- Exchange Visit Report, Australia (March 15-22 2018)

Annex 5: List of people interacted

Group meeting

SN	Name	SN	Name
Meeting at LI-BIRD			
1	Bharat Bhandari	2	Rajeev Dhakal
3	Rita Gurung		
Meeting at Lumre, Lwang Ghalel, Machhapuchhre			
4	Om Prasad Gurung, CAMC Chair	5	Kul Prasad Adhikari, Teacher , Siding
6	Krishna Prasad Dawadi, Chair Ward 8	7	Durga B. Chhetri, Chair Ward 9
8	Hari Lal Adhikari	9	Durga Bahadur Gurung
10	Aita Bahadur Chhetri, SM	11	Bigya Gyawali
12	Khagendra Raj Baral, Forest Regional Directorate	13	Bijaya Baral
14	Lekhnath Gautam, Senior Ranger, ACAP	15	Tikaram Acharya, Ward Secretary
16	Suk B Tamanag, Secretary, CAMC	17	Anil Gurung
Meeting at Radio Barahi			
18	Ramesh Poudel, CEO	19	Priyanka Verma
Meeting with Professors at CDB TU			
20	Prof Mohan Siwakoti	21	Prof. Mohan Panthi
22	Prof. Sangeeta Rajbhandai	23	Dr. Suresh K Ghimire
Meeting with Professors at CDB TU			
24	Bijay Khadga	25	Dhruba Khakurel
26	Ashish Prakriti Dhital	27	Sangram Karki

Individuals met

SN	Name/ institution
1	Dambar Kumari Gurung, Chair, Mothers Group, Lwang, Kaski
2	Pancha Bahadur Gurung, Citizen Scientist, Lwang, Kaski
3	Aita Bahadur Chhetri, Social Mobilizer, Lwangghalel, Kaski
4	Madhav Baral, Focal Point, Regional Directorate, Pokhara, Kaski
5	Dr. Buddhi Sagar Poudel, Secretary State 4, Ministry of Industry, Tourism, Forests, and Environment
6	Bigya Gyawali, Project Field Officer, Kaski
7	Bijaya Baral, Admin/Finance Assistant
8	Narayan Belbase, PANI Project
9	Madhu Ghimire, MoFE (Lead Component 1)
10	Dhananjaya Lamichhane, MOFE (Lead Component 2)
11	Sagar Rimal, MoFE (Lead Component 3)
12	Dr. Maheshwar Dhakal, MOFE, NPD
13	Dr. Din Mani Pokhrel, Policy Expert, IUCN
14	Dr. Yadav Uprety, Capacity Building Expert, IUCN
15	Amit Poudel, Communication Expert, IUCN
16	Rachya Shah, Project Technical Advisor, IUCN
17	Uma Sigdel, Project Officer, IUCN
18	Dr. Prahlad Thapa, Country Representative, IUCN
19	Sharad Adhikari, Finance Officer

People interviewed over the Phone

SN	Name
1	Til Shova Gurung, SM, Sikles, Kaski
2	Ramesh Pradhan, Admin/Finance Asst, IUCN, Dolakha
3	Manju Chhetri, Student, IoF, Pokhara

Annex 6: Review Questions

SN	Review Questions	How the questions are perceived by Reviewers	Data Collection Methods; #Indicators for Analysis
1	Relevance	The extent to which the objectives/results, outcomes, outputs are consistent with related national policies and the local requirement/ needs? Appropriateness of the activities planned? <i># Level of coherence between project design and priority, outcomes and outputs</i>	
1.1	To what extent is the project contributing to the strategic policies and programme of the country?	To what specific components of the strategic policies (CBD, Nagoya Protocol, NBSAP, National Plans, etc.) does the project contribute?	* Analysis/Listing of the specific policy points which the project intends to contribute * Review of the policies and the project documents
1.2	What needs to be done to make thing work better? <ul style="list-style-type: none"> Assess the contribution of the project towards the achievement of national objectives and contribution in the implementation of the Nagoya Protocol in Nepal Analyse whether the project’s approach addresses the needs and demands of the stakeholders. Assess the relevance of the tools / instruments / inputs applied by the project for enabling policy environment for implementation of the Nagoya Protocol in Nepal 	* The extent of the project contribution in meeting the national objectives in relation to the implementation of Nagoya Protocol * Are the Project approaches, implementation modalities consistent with the objectives? * Are the activities planned/implemented appropriate and comprehensive enough to meet the project objectives	* Juxtaposing project objectives against the national objectives in relation to the Implementation of Nagoya Protocol ; Review of project Document; Teasing connectivity between objectives, outcomes, outputs, and activities *Review of the needs and aspirations of the groups of stakeholders (Gap analysis, capacity assessment report) Analysis of logical framework matrix and connectivity in different elements
2	Effectiveness	The extent to which the objectives and expected outcomes of the project have been achieved	

		# Status of implementation of Nagoya Protocol and ABS Bill	
2.1	What has worked well and not worked well as expected?	<p>* The degree of achievement under different components (achievements under each planned activities and outputs)</p> <p>* How effective have these achievements been in meeting the expectation of the stakeholders?</p> <p>* How effectively have these achievements contributed to the project objectives?</p>	<p>* comparison of target and achievement # Number of stakeholders trained</p> <p>* Interviewing the different groups of stakeholders in relation to respective project objective</p>
2.2	Are the activities implemented in accordance with the project plans? If not, why?	<p>* If the actual implementation schedule, scale followed or had to deviate the planned implementation</p> <p>* What are the facilitating and detracting factors for effective implementation?</p>	<p>Review of timeline of implementation schedule, modality</p> <p>Identification of factors and the degree of effect of these factors with the stakeholders</p>
2.3	What outputs have been achieved? To what extent do they contribute to the objectives?		The question is addressed in 2.1
2.4	How effective are the approaches and structures in delivering the desired outputs? How can they be improved?	<p>Effectiveness of implementation approach, modality, and structures (related to 2.2)</p> <p>What features of implementation mechanism could be proved</p>	<p>Review of implementation structure; inquiry of what could be easily implemented; level of adaptive management; Identification of improvement points</p>
2.5	<p>Do the collaborative organizations work together effectively? Is the structure effective in achieving the desired outputs?</p> <ul style="list-style-type: none"> • Review whether the project has accomplished its outputs. In particular the reviewers should review outputs delivery of; <ul style="list-style-type: none"> i. Component 1. Policy Rules and Regulation ii. Component 2. Capacity Needs and Training 	<p>Again this is related to 2.1</p>	

	<p>iii. Component 3. Education, Communication and Awareness</p> <ul style="list-style-type: none"> Assess the performance of the project so far with particular reference to qualitative and quantitative achievements of outputs and targets as defined in the project documents and work-plans and with reference to the project baseline Assess the effectiveness of the co-funding arrangements: 	<p>Related to 2.1</p> <p>How effective have been the co-funding arrangement?</p>	<p>Identification of the aspects of co-funding arrangement which enhanced or detracted the implementation</p>
3	Efficiency	<p>how economically resources/inputs (funds, expertise, time, etc.) are converted to results? <i># Timely and quality delivery of product services (reports, technical and financial support, communication, risk mitigation</i></p>	
3.1	<p>Are the available technical and financial resources adequate to fulfill the project plans? Assess whether the project has utilized project funding as per the agreed work plan to achieve the projected targets.</p>	<p>Assessing the adequacy of the human and financial resources for implementation of the work plan as per the plan</p>	<p>*Review of progress reports for timeliness of project implementation; Analysis of expenses and fund allocated under different component/activities; Assessment of Change in the plan (if any) in relation to resources availability;</p> <p>*Technical expertise required for implementation and availability</p> <p>Justification for financial allocation</p> <p>Timeliness of the activities, decision</p>
3.2	<p>Are the funds being spent in accordance with project plans and using the right procedures?</p>	<p>The level of deviation in project expenses (if any) from the plan and if the procedure is adequately followed</p>	<p>Comparison of planned and actual expenses under different component/activities</p>

3.3	Have there been any unforeseen problems? How well were they dealt with?	If there has been any unforeseen problem that was not listed in risks/assumptions?	Identification of any unforeseen problems through interview with the project team
3.4	<p>Is there an effective process, built into the management structure for self-monitoring and assessment, reporting and reflection?</p> <ul style="list-style-type: none"> • Analyse the role of the Project Steering Committee (PSC) and whether this forum is optimally being used for decision making. • Assess the timeline and quality of the reporting followed by the project • Assess the qualitative and quantitative aspects of management and other inputs (such as equipment, technical assistance and budgetary inputs) provided by the project vis-à-vis achievement of outputs and targets. • Identify factors and constraints which have affected project implementation including policy related, technical, managerial, organizational, institutional and socio-economic issues in addition to other external factors unforeseen during the project design. 	<p>Effectiveness and efficiency of monitoring and reporting</p> <p>* Role and effectiveness of PSC</p> <p>How effectively the existing reporting mechanism helps in making management decisions (including monitoring)</p> <p>This is answered by 3.1</p> <p>Factors identified in 2.2 will address this question</p>	<p>Interaction with PSC to understand expected and actual roles played; types of decision made by PSC</p> <p>Review of the reporting mechanism; how effectively the timeline is followed; monitoring mechanism; changes made in management (if any) based on reporting/monitoring</p>
4	Sustainability	the extent to which effects/ benefits are likely to continue, within or outside the project domain, when the assistance has come to an end.	

		(financial, institutional, socio-economic, environmental) risks to sustaining long-term project results)	
4.1	Is the approach used likely to ensure a continued benefit after the end of the project?	Has the approach adopted by the project incorporated sustainability component?	Assessment of institutional basis, financial basis of the sustainability for different components across different levels (Some activities are related with central level government institutions while others are at local levels)
4.2	Are all key stakeholders sufficiently and effectively involved? Are their expectations met and are they satisfied with their level of participation?	Meaningful participation of different stakeholders (Level and nature of participation)	Development of matrix of different groups of stakeholders in different phases of project activities planning, implementation, reporting/monitoring, fund management) Assessment of level of satisfaction through FGD
4.3	Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and a positive impact? <ul style="list-style-type: none"> • Assess preliminary indications of the degree to which the project results are likely to be sustainable beyond the project's lifetime (both at the community and government level), and provide recommendations for strengthening sustainability. • Assess the sustainability of the project interventions in terms of its effect on policy, capacities and awareness 	Identification of additional measures to enhance the sustainability Assessment of effect sustainability (how likely are the project effects to continue)	Assessment of the sustainability of the effects in relation to ownership, quality/effectiveness, addressing of the needs, future aspirations etc
5	Impact	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.	
5.1	What are the long- term positive/negative, intended/unintended effects of the project	Identification of longterm effects of the project that go beyond the project domain	Identify long term effects through review of the documents and interaction with different groups of stakeholders

6	Network /linkages	The extent to which the formal/informal networking have been developed with the different groups of stakeholders at different spheres of influence at different levels # ABS Clearing House mechanism	
6.1	Evaluate the level, degree and representation by the stakeholders, (government and civil societies, indigenous peoples' and local communities (IPLCs), gender and social inclusion, academic and research institutions etc.) in the execution of the project	*The extent and nature of representation (participation, influencing etc) at different tiers and different phases of the project implementation by different groups of stakeholders *How has the network developed/strengthened contributed in implementation of the plan and achieving the objectives?	Development of matrix/ maps of linkages/network in project implementation * Assessment of contribution of networks (Complimentary/Synergies, hindering)
6.2	Assess the alignment of the project with the other projects and identifying linkages and opportunities for achievement of objectives/targets;	Assessment of network developed with other projects and its contribution	Review of the documents/interviews with the project team and partner institutions for identifying these network and contribution in achievement
7	Lessons learnt/ Recommendation		
7.1	Analyze areas for improved programme planning, especially with respect to setting targets, relevance and capacity of institutions for project decision making and delivery.	Identification of the strength and what could be improved and how in relation to planning and design	Generated through analysis of above components
7.2	Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking	Lessons learnt from different components across the aforesaid criteria	

Annex 7: Term of Reference



Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal
Terms of Reference
For
Mid Term Review

Background

The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS) was adopted at the tenth meeting of the Conference to the Parties on 29 October 2010, in Nagoya, Japan. Its objective is the fair and equitable sharing of benefits arising from the utilization of genetic resources, thereby contributing to the conservation and sustainable use of biodiversity and implementing the three objectives of the CBD. The Nagoya Protocol also covers traditional knowledge (TK) associated with genetic resources that are covered by the CBD and the benefits arising from its utilization. Nepali Parliament acceded to the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization (ABS) on the 4th of September 2017.

Strengthening capacities for implementation of the Nagoya Protocol in Nepal also called ABS-GEF project is being executed by Ministry of Forests and Environment (MoFE) with technical support from IUCN Nepal. The objective of the project is to build the capacity of key stakeholders at national, sub-national and local levels to implement ABS in Nepal. The project has three broad components and thus it has to bring synergy while implementing activities; Component 1: Policy, Rules and Regulations; Component 2: Capacity needs and training; and Component 3: Educations, public awareness and communications.

The Mid Term Review for GEF ABS project will be conducted in Nepal in May 2018. The review is being undertaken at the midpoint of project implementation to assess progress and identify corrective measures if required to enhance project delivery for the remaining project duration. The corrective measures could include changes if required to some aspects of the project design, implementation arrangements and/or institutional structure. The Mid-Term Review (MTR) will assess the progress of the project against the approved Project proposal document including the logframe. It will also highlight issues and challenges affecting effective and efficient implementation of outputs and their contribution to project outcomes and impact and recommend whether results obtained thus far warrant any changes in project design and period.

The principal purposes of the MTR are to:

- examine how the experiences of the Project, at approximately its mid-point, can be used to improve project strategy and workplan to ensure delivery of the outputs.
- based on a systematic and in-depth review of progress in relation to original objectives and expected results, identify and make provisions for mid-course adjustments in the key elements of the project design as approved by the Project Steering Committee and agreed in the Project Management Unit;

- assess whether modification in the project results, strategies, distribution of funds between activities, the project are warranted as a result of the changing context of country's structure
- derive major lessons learned so as to improve the quality of programme implementation;
- indicate how these lessons may be applied to the subsequent development of ABS mechanism in Nepal

The mid-term review will be undertaken through an appreciative enquiry process rather than using a traditional evaluative process, which will facilitate collaborative reflection and learning. The mid-term review process involves the following components:

1. A stock taking of how the project is performing against the planned activities and outputs;
2. Reflections with the project team and other stakeholders on the project, its activities and achievements to date, the lessons learned so far (including on project design, technical and social outputs);
3. Consideration of what is most important to achieve within the remaining project timeframe with the available resources;
4. Consideration of what (if anything) needs to change in relation to project design (including activities, outputs, milestone dates, budget allocations etc)

The review will involve the following processes:

1. Desk based review of project documents, including preparing an updated table of progress against the planned activities, information on capacity building activities and any relevant output reports (done before the review)

The project document, contracts and related agreements

- Annual workplans and budgets
- Progress Reports
- Technical reports
- Project supervision report

2. Mid-Term Review Workshop in Kathmandu involving all implementing partners and major stakeholders. The workshop will focus on gauging project's progress, involve presentations of activities, interim results and any issues under each of the three components, discussion of the project team's reflections, work towards reaching agreement on desired achievements, and identify preliminary recommendations;
3. Field visit to Kaski District to gain understanding of the implementation of project field pilot activities, and District stakeholders;
4. Preparation of a draft Mid-Term Review report;

Key Focus Areas

The MTR Mission will assess the ABS GEF Project in line with the OECD DAC Evaluation criteria, as elaborated below.

Relevance

1. To what extent is the project contributing to the strategic policies and programmes?
2. What needs to be done to make thing work better?

- Assess the contribution of the project towards the achievement of national objectives and contribution in the implementation of the Nagoya Protocol in Nepal
- Analyse whether the project's approach addresses the needs and demands of the stakeholders.
- Assess the relevance of the tools / instruments / inputs applied by the project for enabling policy environment for implementation of the Nagoya Protocol in Nepal

Effectiveness

1. What has worked well and not worked well as expected?
2. Are the activities implemented in accordance with the project plans? If not, why?
3. What outputs have been achieved? To what extent do they contribute to the objectives?
4. How effective are the approaches and structures in delivering the desired outputs? How can they be improved?
5. Do the collaborative organizations work together effectively? Is the structure effective in achieving the desired outputs?
 - Review whether the project has accomplished its outputs. In particular the reviewers should review outputs delivery of;
 - i. Component 1. Policy Rules and Regulation
 - ii. Component 2. Capacity Needs and Training
 - iii. Component 3. Education, Communication and Awareness
 - Assess the performance of the project so far with particular reference to qualitative and quantitative achievements of outputs and targets as defined in the project documents and work-plans and with reference to the project baseline
 - Assess the effectiveness of the co-funding arrangements:
 - Based on the progress so far and ground situations, suggest / recommend any changes to the above criteria

Efficiency

1. Are the available technical and financial resources adequate to fulfill the project plans? Assess whether the project has utilized project funding as per the agreed work plan to achieve the projected targets.
2. Are the funds being spent in accordance with project plans and using the right procedures?
3. Have there been any unforeseen problems? How well were they dealt with?
4. Is there an effective process, built into the management structure for self-monitoring and assessment, reporting and reflection?
 - Analyse the role of the Project Steering Committee (PSC) and whether this forum is optimally being used for decision making.
 - Assess the timeline and quality of the reporting followed by the project
 - Assess the qualitative and quantitative aspects of management and other inputs (such as equipment, technical assistance and budgetary inputs) provided by the project vis-à-vis achievement of outputs and targets.
 - Identify factors and constraints which have affected project implementation including policy related, technical, managerial, organizational, institutional and socio-economic issues in addition to other external factors unforeseen during the project design.

Sustainability and Impact

1. Is the approach used likely to ensure a continued benefit after the end of the project?
2. Are all key stakeholders sufficiently and effectively involved? Are their expectations met and are they satisfied with their level of participation?
3. Are alternative or additional measures needed and, if so, what is required to ensure continued sustainability and a positive impact?
 - Assess preliminary indications of the degree to which the project results are likely to be sustainable beyond the project's lifetime (both at the community and government level), and provide recommendations for strengthening sustainability.
 - Assess the sustainability of the project interventions in terms of its effect on policy, capacities and awareness

Network /linkages

- Evaluate the level, degree and representation by the stakeholders, (government and civil societies, indigenous groups and local communities, academic and research institutions etc.) in the execution of the project
- Assess the alignment of the project with the other projects and identifying linkages and opportunities for achievement of objectives/targets;

Lessons learnt/ Conclusions

- Analyze areas for improved programme planning, especially with respect to setting targets, relevance and capacity of institutions for project decision making and delivery.
- Identify significant lessons or conclusions which can be drawn from the project in terms of effectiveness, efficiency, sustainability and networking

Reviewers

The review will be conducted jointly by a two member team of consultants comprising of a national reviewer and an international reviewer.

The national reviewer will be responsible for the following tasks:

- Analysis of project context and progress over the 17 months of project execution;
- Identification of key lessons learned (from an ABS GEF Project perspective);
- Overall findings from the Mid-Term Review;
- Articulation of the recommendations from the Mid-Term Review.

The International Reviewer (Nepali national with international experience) will be responsible for the following tasks in the mid-term review:

- Review and analysis of project reports and papers completed to date;
- Reflections on the appropriateness of the original project design and approaches;
- Consideration of the project methodologies in policy ;
- Engagement of partners and key stakeholders in project activities;
- Reflection on the expected impact pathway for project activities;
- Identification of approaches and systems used in this project that might have future implications

Outputs

The mission will complete and submit a draft final report in both hard and soft copy at the end of the mission. The national consultant will finalize the report addressing all the comments provided on the draft report. The key outputs of the MTR are:

- Draft Report Template: Submission of a draft report format containing Table of Contents
- The MTR Draft and Final Report: The report should be logically structured, contain evidence-based findings, conclusions, lessons and recommendations, and should be free of information that is not relevant to the overall analysis. The report should respond in detail to the key focus areas described above. It should include a set of specific recommendations formulated for the project, and identify the necessary actions required to be undertaken, who should undertake those and possible time-lines (if any).

Time Frame: The review will be undertaken in a 14 days period, the international consultant will be involved for 8 days and national consultant will be involved for 14 days to complete the project mid-term review.

Knowledge, Skills and Abilities of Reviewer

The two experts will have complementary skills covering programme design and implementation, programme review and have specialization in natural resources management especially policy and institutional processes more so in access and benefit sharing. The reviewers should have at least a Master’s degree with minimum fifteen years of experience at both field and policy level and good understanding of participatory natural resource management, environmental policy and ABS. Additionally, past experience in monitoring and evaluation will be necessary.

Selection of Service Providers

The ToR will be shared through open call for proposal for interested service providers to prepare and submit the proposal. The proposal will be evaluated based on Quality Cost Based Selection (QCBS). The technical proposal that cross 70% will qualify for financial proposal assessment. The composition of full proposal is as follows:

- Technical Proposal – 80%
- Financial Proposal – 20%

The Technical proposal will be assessed on following criteria:

I. Approach and Methodology		15
A	Quality of Approach	5
B	Personnel Schedule	5
C	Proposal Presentation	5
II. Organizational Experience on ABS/biodiversity/natural resources management /Agriculture/environment related review and monitoring		15
III. CV of Reviewers		70
A	Team Leader/ Producer	35
B	Technical Expert	35

Maximum Available Budget

NPR 10,00,000 (In words: Ten lakhs only including all taxes and travel expenses)

How to Apply

The project management unit reserves the rights to reject any or all applications. Interested applicants/institutions should send their application at info-np@iucn.org by 27, 2018.

- If firm then, Registration Certificates (Organization/ Firm, VAT and Tax Clearance), Firm/Organization track record (profile),
- Approach and Methodology

- Curriculum Vitae of proposed reviewer team,

The interested applicants/firm/organization should submit Technical and Financial Proposal in separate sealed envelope and a cover letter explaining their interest for the consultancy service to the IUCN Nepal Country Office (info-np@iucn.org), Kupondole, Lalitpur by 15 May 2018.

Annex 1. Tentative Format: Mid Term Review Report

DESCRIPTION AND ASSESSMENT OF PROJECT DESIGN

- Framework conditions
- Project strategic approach

PRESENTATION OF REVIEW METHOD USED INCLUDING DATA SOURCES AND QUALITY

ASSESSMENT OF THE PROJECT RESULTS

SUMMARY OF THE ASSESSMENT

- **ASSESSMENT OF SMARTNESS OF OUTPUT INDICATORS**
- **ASSESSMENT OF RELEVANCE**
- **ASSESSMENT OF EFFECTIVENESS**
- **ASSESSMENT OF IMPACT**
- **ASSESSMENT OF EFFICIENCY**
- **ASSESSMENT OF SUSTAINABILITY**

KEY RECOMMENDATIONS