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CONFERENCE OF THE PARTIES TO THE CONVENTION
ON BIOLOGICAL DIVERSITY SERVING AS THE
MEETING OF THE PARTIES TO THE NAGOYA
PROTOCOL ON ACCESS TO GENETIC RESOURCES
AND THE FAIR AND EQUITABLE SHARING OF
BENEFITS ARISING FROM THEIR UTILIZATION

Third meeting

Sharm El-Sheikh, Egypt, 17-29 November 2018

Item 9 of the provisional agenda*

PROGRESS REPORT ON MEASURES TO ASSIST IN CAPACITY-BUILDING AND CAPACITY DEVELOPMENT (ARTICLE 22)

Note by the Executive Secretary

I. INTRODUCTION

1. Article 22 of the Nagoya Protocol provides that Parties shall cooperate in the strengthening of human and institutional capacities to effectively implement the Protocol in developing country Parties and Parties with economies in transition. In doing so, Parties are required to fully consider the needs of developing country Parties and Parties with economies in transition and facilitate the involvement of indigenous and local communities and relevant stakeholders.

2. In decision [NP-1/8](#), the Parties to the Nagoya Protocol adopted a strategic framework for capacity-building and development to support the effective implementation of the Protocol (annex I to the decision). The Parties to the Protocol also decided to establish an Informal Advisory Committee to provide advice to the Executive Secretary, until the third meeting, on matters related to the assessment of the effectiveness of the strategic framework (para. 2) and requested the Executive Secretary to prepare updates on the status of implementation of the strategic framework (para. 10 (e)).

3. In decision [NP-2/8](#), the Parties decided that the Informal Advisory Committee would hold at least one meeting in the 2017-2018 intersessional period to complete its mandate and report on the outcomes of its work to the meeting of the Parties at its third meeting (para. 4). Parties also requested the Executive Secretary, in consultation with the Informal Advisory Committee, to prepare elements for the evaluation of the strategic framework for consideration by the Parties at their third meeting (para. 10).

4. In the same decision, the Parties requested the Executive Secretary, subject to the availability of resources, to further carry out and facilitate capacity-building activities to support the ratification and implementation of the Nagoya Protocol, as contained in the annex to the decision also as reflected in the short-term action plan (2017-2020) to enhance and support capacity-building for the implementation of the Convention and its Protocols¹ (para. 9).

* CBD/NP/MOP/3/1.

¹ Annex to decision XIII/23 of the Conference of the Parties.

5. At its thirteenth meeting (decision XIII/23), the Conference of the Parties requested the Executive Secretary to initiate the process for preparing a long-term strategic framework for capacity-building beyond 2020, ensuring its alignment with the follow-up to the Strategic Plan for Biodiversity 2011-2020 and the work of the Protocols, and ensuring its coordination with the time table for the development of this framework, with a view to the timely identification of the priority capacity-building actions. In line with this decision, the Subsidiary Body on Implementation reviewed proposals regarding the long-term strategic framework for capacity-building beyond 2020 (CBD/SBI/2/9) and adopted recommendation [SBI-2/8](#), containing a draft decision for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol² under this agenda item.

6. The findings of the first assessment and review of the effectiveness of the Protocol that will be considered by the Conference of the Parties serving as the meeting of the Parties to the Protocol under agenda item 7, are also relevant. Recommendation [SBI-2/2](#) on the assessment and review of the effectiveness of the Nagoya Protocol contains a draft decision with a number of recommendations of direct relevance to capacity-building which could usefully inform future plans and activities for capacity-building. In particular, paragraphs 5 and 7 of the draft decision provide guidance on areas where further work is needed to support implementation of the Protocol. Also, in annex I, paragraphs 18 and 19 of the draft decision contain key findings on support available for implementation. A general finding of the assessment and review is that, although a number of capacity-building and development initiatives are currently supporting ratification and implementation of the Nagoya Protocol, many Parties still lack the necessary capacity and financial resources to make the Protocol operational.³

7. Against this background, section II outlines the intersessional activities undertaken by the Secretariat as part of the short-term action plan (2017-2020) to enhance and support capacity-building for the implementation of the Convention and its Protocols. Section III provides an updated overview of capacity-building and development initiatives and resources supporting the implementation of the Nagoya Protocol and addresses lessons learned. Section IV highlights the work undertaken by the Informal Advisory Committee to facilitate the implementation of the strategic framework for capacity-building and development. Section V proposes elements for the evaluation of the strategic framework for capacity-building and development to support the effective implementation of the Nagoya Protocol. Finally, section VI contains elements for a draft decision for consideration by the Conference of the Parties serving as the meeting of the Parties to the Protocol at its third meeting.

8. A detailed list of recently completed, ongoing and planned access and benefit-sharing capacity-building and development initiatives is made available in document CBD/NP/MOP/3/INF/1 and the list of existing capacity-building tools and resources supporting the implementation of the Protocol is made available in document CBD/NP/MOP/3/INF/2. The report on the meeting of the Informal Advisory Committee on Capacity-building for the Implementation of the Nagoya Protocol held during the intersessional period has been issued as CBD/ABS/CB-IAC/2018/1/4. Finally, CBD/NP/MOP/3/INF/6 provides information on the capacity-building programme entitled “Establishing legal frameworks to implement the Nagoya Protocol”, jointly implemented by the Secretariat and International Development Law Organization (IDLO).

II. OVERVIEW OF THE INTERSESSIONAL ACTIVITIES UNDERTAKEN BY THE SECRETARIAT

9. During the biennium 2017-2018, the Secretariat implemented, facilitated and supported various capacity-building and development activities in accordance with the short-term action plan (2017-2020) to enhance and support capacity-building for the implementation of the Convention and its Protocols

² See of recommendation [SBI-2/8, section II](#).

³ The draft decision is available in the compilation of draft decisions (CBD/NP/MOP/3/1/Add.2) and will be considered under agenda item 7, on assessment and review of the effectiveness of the Protocol.

contained in the annex to decisions XIII/23 and NP-2/8. The following subsections provide an overview of these activities and the resources developed.

A. Capacity-building and development activities and resources

1. Capacity-building and development initiatives

10. With support from the Japan Biodiversity Fund, the European Union and other partners, the Secretariat and IDLO launched a new capacity-building programme to support the implementation of the Nagoya Protocol. The programme built on the experience and materials developed in a previous phase (2015-2016) that resulted in the development of eight e-learning modules and the organization of a course delivered through a blended approach in Africa, Asia and the Pacific, and Latin America. The programme used the e-learning modules developed in the previous phase and included the realization of the blended course “Establishing measures to implement the Nagoya Protocol” in six regions.

11. Each course comprised three components: a mandatory six-week preparatory e-learning session; a five-day intensive face-to-face workshop; and follow-up peer-to-peer learning and knowledge sharing through an online discussion and networking forum.

12. The e-learning modules developed jointly with IDLO are also available for the use of Parties, other Governments and relevant organizations in their capacity-building activities, on the biodiversity e-learning platform in English, French, Spanish and Russian.⁴

13. Regional face-to-face workshops were carried out in 2018:

(a) Central Africa (French): Douala, Cameroon, 9-13 April, with the support of the Central African Forest Commission (COMIFAC), UNDP and GIZ;

(b) Asia (English): Da Nang, Viet Nam, 28 May - 1 June, with the support of the Government of Viet Nam and UNDP;

(c) Latin America (Spanish): Santiago, Chile, 18-22 June with the support of the Economic Commission for Latin America and the Caribbean and UNDP;

(d) Pacific islands (English): Nadi, Fiji, 23-27 July, with the support of the Secretariat of the Pacific Regional Environment Programme and UNDP;

(e) Eastern Europe and Central Asia (Russian and English): Minsk, 10-14 September, with the support of the Government of Belarus and UNDP;

(f) West Africa (French): Dakar, 17-21 September, with the support of the ABS Capacity-Development Initiative and UNDP.

14. Document CBD/NP/MOP/3/INF/6 provides further details on the implementation of this programme, including the workshops carried out. The feedback provided by participants through evaluation questionnaires has been very positive and several expressed an interest in replicating the training courses at the national level. The training materials have also been used in other regional initiatives led by international organizations such as the United Nations Development Programme (UNDP) and the International Union for Conservation of Nature (IUCN).

15. The Secretariat continued to work with the Secretariat of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA), Bioversity International and the ABS Capacity Development Initiative to promote mutually supportive implementation of the Nagoya Protocol and the International Treaty. This included two tandem workshops for national focal points of the two instruments, the first for countries in South and South-East Asia, in Los Baños, Philippines, from 27 to 30 March 2018, and the second for countries in Latin America and the Caribbean, which will be held in Lima

⁴ <https://scbd.unssc.org/course/index.php?categoryid=4>

from 25 to 28 September 2018. The Secretariat's involvement in these activities was supported by the Japan Biodiversity Fund.

16. The need for capacity-building for the use of the ABS Clearing-House was stressed by Parties in decisions adopted at the thirteenth meeting of the Conference of the Parties (XIII/23) and the second meeting of the Parties to the Nagoya Protocol (NP-2/2). These decisions underscore the crucial relationship between Parties' information-sharing obligations through the ABS Clearing-House and the successful implementation of the Protocol. In this regard, the Secretariat has been carrying out capacity-building in a number of ways. These have included a proactive outreach campaign to build awareness and increase engagement as well as on demand technical support. Further information on these activities are available in document CBD/NP/MOP/3/8 on the ABS Clearing-House and will be considered under agenda item 10.

17. The Secretariat of the Convention has also provided on-demand capacity-building trainings for the use of the ABS Clearing-House. In general, these trainings are provided remotely (via webinar or Skype). In addition, and to maximize impact while minimizing costs, the Japan Biodiversity Fund supported the inclusion of an ABS Clearing-House component in 13 face-to-face trainings into relevant regional events as well as host four remote training (webinars) on the ABS Clearing-House over the last biennium. For cost-effectiveness, the Secretariat has been integrating face-to-face trainings into relevant regional events organized mainly by capacity-building partners. Of the 17 trainings (face-to-face and webinars) carried out, 8 were for Africa, 5 were for Latin America and the Caribbean, 3 were for Asia and the Pacific, and 1 was for the Western Europe and Others Group.

18. Of specific relevance to indigenous peoples and local communities, in 2017-2018, with ongoing support from the Japan Biodiversity Fund, the Secretariat implemented a "capacity development programme on national arrangements for achieving traditional knowledge elements of Targets 18 and 16 of the Strategic Plan for Biodiversity 2011-2020". The programme aims to strengthen the capacities of Parties and indigenous peoples and local communities to develop national action plans for traditional knowledge to implement obligations arising from Article 8(j) of the Convention and to achieve Aichi Target 18 on traditional knowledge. Moreover, the programme was designed to contribute to the national implementation of articles of the Nagoya Protocol that are most relevant to the indigenous peoples and local communities, especially Articles 5, 6, 7, 12, and 16. In 2018, the activities included an online forum and regional face-to-face workshops, as follows:

(a) Online Forum in Preparation for the Capacity Development Programme on national arrangements on Traditional Knowledge for achieving Target 18 and contributing to Target 16 of the Strategic Plan for Biodiversity 2011-2020, held on 30 November 2017 in English, French and Spanish. A total of 181 participants attended;

(b) Latin America and the Caribbean: Tepoztlan, Mexico, 2-6 April 2018;

(c) Pacific islands: Whangārai, New Zealand, 21 -25 May 2018;

(d) Asia: Kandy, Sri Lanka, 27- 31 July 2018;

(e) Africa: Marrakesh, Morocco, 8 -12 October 2018.

19. In October and November of 2017, the Secretariat of the Convention on Biological Diversity convened three regional Bio-Bridge Initiative round tables, for Asia and the Pacific, Africa, and Latin America and the Caribbean, to promote awareness of the initiative and facilitate interaction between Parties requiring technical assistance and Parties and/or organizations that could offer such assistance. Furthermore, in response to notification 2016-126,⁵ in which developing country Parties and Parties with economies in transition were invited to submit requests for assistance under the Bio-Bridge Initiative, 31 requests were received. After careful review, 10 proposals were selected, of which 2 are on access and benefit-sharing. The first project, to be carried out in China, aims to support the inventory and

⁵ <https://www.cbd.int/doc/notifications/2016/ntf-2016-126-bbi-en.pdf>

documentation of traditional knowledge associated with biological and genetic resources in a specific region in China, and conduct research to propose a possible ABS model contract. The second project will be carried out in Morocco and will help build up a coalition of countries willing to take up a leadership role in designing ABS legislative, administrative and policy measures. A complete description of the selected proposals is available at <https://www.cbd.int/biobridge/projects/selected>.

20. Finally, the Secretariat is carrying out activities aimed at strengthening the capacity of Parties and relevant actors for raising awareness about the Protocol and implementing the awareness-raising strategy for the Nagoya Protocol. These include the development of an ABS awareness-raising toolkit containing templates, guidelines and examples of methodologies for creation of national awareness-raising strategies and dissemination of existing awareness-raising materials through the ABS Clearing-House. Details on these activities are provided in document CBD/NP/MOP/3/6 on awareness-raising and will be addressed under agenda item 12.

2. Capacity-building and development resources

21. In addition to the materials developed for the activities mentioned above, the Secretariat in collaboration with partners has developed the following materials:

(a) A video on monitoring the utilization of genetic resources was developed in collaboration with the ABS Capacity Development Initiative and is available in English, French, Spanish and Arabic;⁶

(b) In collaboration with Bioversity International, a fact sheet was developed in English and French on the “mutually supportive implementation of the Nagoya Protocol and the Plant Treaty”;⁷

(c) The ABS Clearing House Step-by-Step Guide Series was published to assist Parties and other users to publish information⁸.

22. Furthermore, the Secretariat is in the process of finalising the development of two e-learning modules, the first is an introduction to the Nagoya Protocol and the second is on the ABS Clearing House.

B. Participation in capacity-building and development activities of partner organizations

23. The Secretariat participated in various meetings and capacity-building workshops organized by partner organizations. Further information on cooperation with relevant organizations is contained in document CBD/NP/MOP/3/9 on cooperation with other international organizations, conventions and initiatives that will be addressed under agenda item 14.

24. The Secretariat also continued to serve on the steering committee of the multi-donor ABS Capacity Development Initiative and served on the steering committee for the GEF regional project “Advancing the Nagoya Protocol in Countries of the Caribbean Region” executed by the IUCN.

25. Additionally, the Secretariat served on the steering committees of two Darwin Initiative-funded projects, the first led by Bioversity International and the second by Botanic Gardens Conservation International. For more details, see CBD/NP/MOP/3/9.

⁶ <https://absch.cbd.int/database/VLR/ABSCH-VLR-SCBD-240572>

⁷ https://www.bioversityinternational.org/fileadmin/user_upload/research/research_portfolio/policies_for_crop/Mutually_supportive_implementation_scenarios.pdf

⁸ <https://absch.cbd.int/help/guides>

III. UPDATE ON EXISTING CAPACITY-BUILDING AND DEVELOPMENT INITIATIVES AND RESOURCES SUPPORTING THE IMPLEMENTATION OF THE NAGOYA PROTOCOL AND LESSONS LEARNED

26. In accordance with decision NP-1/8, paragraph 10(e), the present section provides an update on capacity-building and development initiatives implemented in support of the strategic framework for capacity-building.

27. Subsection A provides an overview of the known capacity-building initiatives contributing to the implementation of the strategic framework, drawing attention to capacity-building initiatives providing direct support for country-level activities related to the ratification and implementation of the Nagoya Protocol. It also provides information on the status, duration, funding level as well as the geographic and thematic coverage of existing initiatives. Subsection B presents capacity-building and development resources and subsection C addresses lessons learned in the implementation of the strategic framework.

28. A detailed overview of capacity-building and development initiatives and resources providing direct support for country-level activities in various countries is made available in information documents CBD/NP/MOP/3/INF/1 and CBD/NP/MOP/3/INF/2.

A. Capacity-building initiatives undertaken in support of the strategic framework and lessons learned

29. Since the adoption of the Nagoya Protocol, different capacity-building and development initiatives have been implemented to support its ratification and implementation. These include broad global or region-wide initiatives and activities intended to benefit all countries as well as initiatives that are intended to directly support and benefit specific countries.

30. An overview of capacity-building and development initiatives completed or initiated after the adoption of the Nagoya Protocol in 2010 that are providing or have provided direct support for country level activities contributing to the ratification and implementation of the Nagoya Protocol was submitted for consideration by the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol at its second meeting (CBD/NP/MOP/2/8).

31. Subsection 1 offers an update on the capacity-building and development initiatives that have provided or are providing direct support to countries to enable them to ratify and/or implement the Nagoya Protocol. It draws attention to the status, duration, funding level as well as the geographic and thematic coverage of existing initiatives. Moreover, subsection 2 highlights information on capacity-building from the assessment and review of the effectiveness of the implementation of the Nagoya Protocol.

1. Capacity-building and development initiatives benefiting specific countries

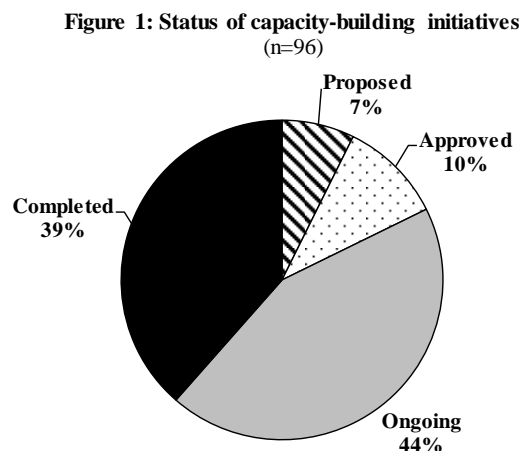
32. According to the information available to the Secretariat as of 24 August 2018, the total number of initiatives has grown to 96. It is important to note that 58 of these initiatives, representing 60 per cent, have been posted in the ABS Clearing-House. Since the second meeting of the Parties to the Protocol, in 2016, 13 new projects have been added. An overview of the 96 capacity-building initiatives, including type, status, duration, funding levels, and geographic and thematic coverage, is provided below; the complete list is available in CBD/NP/MOP/3/INF/1.

(a) Types of capacity-building initiatives

33. Of the 96 capacity-building and developing initiatives providing direct support to specific countries, 79 (82 per cent) are national projects, 15 (16 per cent) are regional or subregional projects and 2 (2 per cent) are global.

(b) Status of the capacity-building initiatives

34. In terms of status, according to the information available as of 24 August 2018, 37 initiatives (39 per cent) were completed, representing a significant increase from the 14 per cent reported during the third meeting of the Informal Advisory Committee on Capacity-building, which was held in March 2018.⁹ Moreover, 42 initiatives (44 per cent) were ongoing, 10 initiatives (10 per cent) were approved, and 7 (7 per cent) new initiatives were proposed (see figure 1).¹⁰ Regarding the 13 new projects added to the list, 3 are ongoing; 2 have been approved, and 4 remain proposed. Of the 13 new projects included in this analysis, 4 are already completed. Information on these projects was not considered in earlier analyses because it was made available only recently.



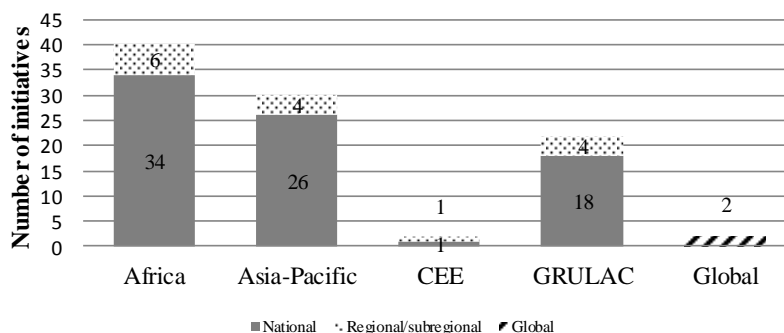
(c) Geographic coverage of the initiatives

35. In terms of geographic coverage, the African region has the largest number of initiatives, with 34 national and six regional/subregional projects. This is followed by Asia and the Pacific, with 26 national and four subregional projects. In Latin America and the Caribbean, there are 18 national and four regional/subregional projects. In Central and Eastern Europe, there is 1 national project and 1 regional. Furthermore, there are two global initiatives that are also providing support to a number of countries from these regions (see figure 2).

⁹ See [CBD/ABS/CB-IAC/2018/4](#).

¹⁰ Donors use different terminology to reflect the status of projects. For the purposes of this analysis, the status of projects has been classified as follows: proposed, approved, ongoing and completed. “Proposed” refers to projects for which concepts have been developed but not yet submitted to a donor(s) or are submitted but not yet accepted/approved. “Approved” refers to projects whose concepts or documents have, in principle been accepted by the donor(s) and are being developed into full project documents. “Ongoing” refers to projects that are under implementation and “completed” refers to projects that have finalized.

Figure 2: Capacity-building initiatives by type and region
(n=96)



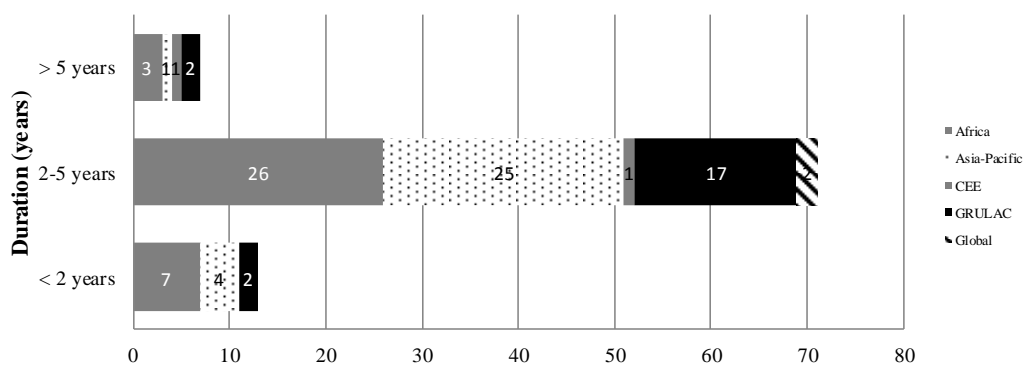
36. The geographic coverage of existing capacity-building projects continues to be uneven with CEE being the least covered region. Since the last meeting of the Conference of the Parties, there has not been a change in the number of projects implemented in this region. Only five countries (22 per cent) — Albania, Armenia, Belarus, Bosnia and Herzegovina, and Georgia — have received direct support from an ABS capacity-building project.

37. During the Informal Advisory Meeting the development of regional projects was suggested as a way forward to address the capacity-building gaps in certain regions, such as Central and Eastern Europe.

(d) Duration of the initiatives

38. With respect to the duration of the initiatives, information is currently available for 95 out of the 96 projects.¹¹ The majority of the initiatives (75 per cent) have a planned duration of two to five years; 14 per cent have a duration of less than two years and only 7 per cent have a duration of more than five years (see figure 3).

Figure 3: Capacity-building initiatives by duration
(n= 95)



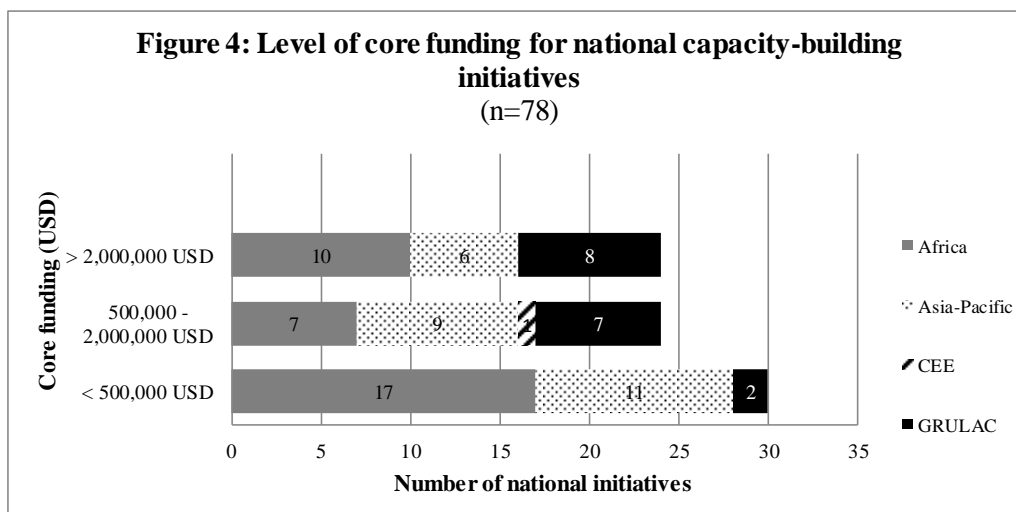
(e) Level of funding

39. Regarding the level of funding for the initiatives,¹² information is available on the core funding for 78 out of the 79 national projects. Of these, 30 projects (38 per cent) are small-sized with funding of less than US\$ 500,000; 24 projects (31 per cent) are medium sized, with funding between US\$ 500,000 and

¹¹ Information is unavailable for one initiative which is still at the proposal stage.

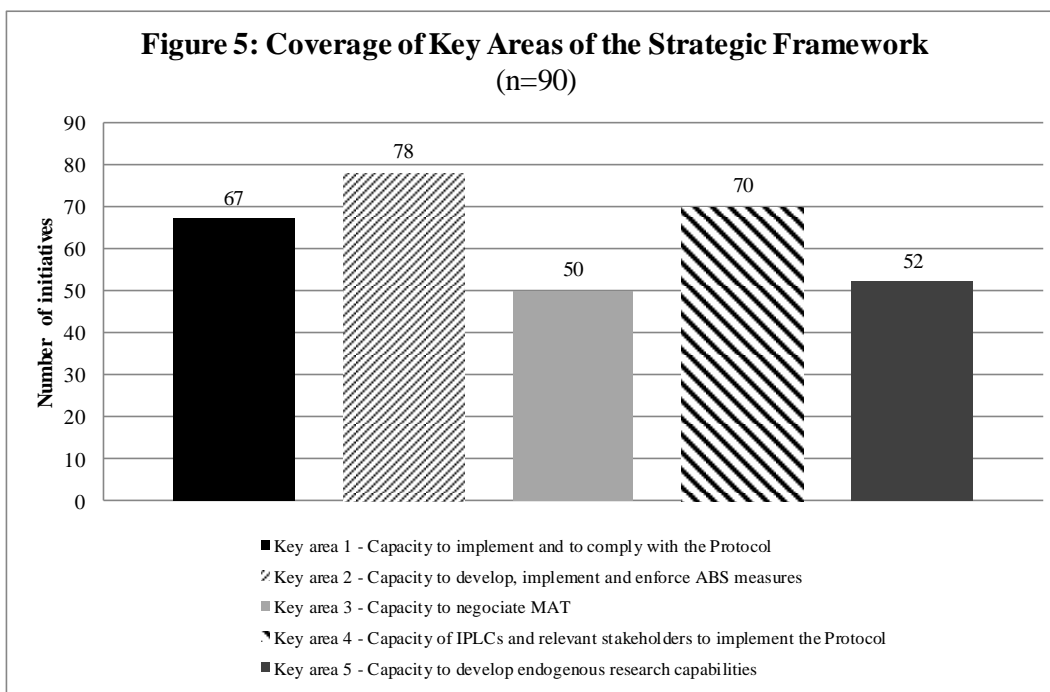
¹² For the purposes of the present document, the analysis is based on information available on core funding; it does not include co-financing or in-kind contributions. It is important to note that co-financing in some cases may equal or surpass core funding.

US\$ 2,000,000; and 24 projects (31 per cent) are full sized, with funding of over US\$ 2,000,000 (see figure 4).



(f) Thematic coverage by existing initiatives

40. In terms of the key thematic areas¹³ being covered by the capacity-building initiatives, information is available for 90 of the 96 projects (see figure 5).



41. The majority of the projects (87 per cent) focus on key area 2 (capacity to develop, implement and enforce ABS measures) followed by 78 per cent key area 4 (capacity of indigenous peoples and local communities and relevant stakeholders to implement the Protocol) and 74 per cent on key area 1 (capacity

¹³ In [decision NP-1/8](#), the Conference of Parties serving as the meeting of the Parties to the Nagoya Protocol adopted a strategic framework for capacity-building and development to support the implementation of the Nagoya Protocol (para. 1 and annex I to the decision). The framework identifies five key areas for capacity-building and development.

to implement and to comply with the Protocol. Approximately 56 per cent of the projects have focused on key area 3 (capacity to negotiate mutually agreed terms) and 58 per cent on key area 5 (capacity to develop endogenous research capabilities). The main focus on key areas 1 and 2 is in line with efforts to achieve Aichi Biodiversity Target 16, which calls for the Nagoya Protocol to be in force and operational, consistent with national legislation by 2015.

(g) Organizations supporting ABS capacity-building initiatives

42. Of the 96 capacity-building initiatives, 44 (46 per cent) have or are being funded by the [Global Environmental Facility](#) (GEF). Based on the information compiled by the Secretariat for the present report, the GEF has invested more than US\$ 90 million in core funding for capacity-building initiatives on ABS and leveraged more than \$160 million in co-financing in over 100 countries.¹⁴

43. As can be observed in table 1 below, the [United Nations Development Programme](#) carried out the greatest number of ABS capacity-building initiatives, followed by the [United Nations Environment Programme](#). The [ABS Capacity Development Initiative](#) is providing support for national-level capacity-building activities in 15 countries and collaborating with the [German Agency for International Cooperation \(GIZ\)](#) in supporting an additional seven projects.

Table 1. Number and proportion of projects implemented/executed by international organizations

Organization	Africa	Asia-Pacific	GRULAC	CEE	Global	No. of projects	Percentage
ABS Initiative ¹⁵	10	6	3	-	-	19	20 per cent
ABS Initiative/GIZ	5	-	-	-	-	5	5 per cent
Biodiversity International/ABS Initiative	1	-	-	-	-	1	1 per cent
Botanic Gardens Conservation International	1	-	-	-	-	1	1 per cent
GIZ	1	3	4	1	-	9	9 per cent
Inter-American Development Bank	-	-	1	-	-	1	1 per cent
IUCN	-	1	-	-	-	1	1 per cent
JICA/COMIFAC	1	-	-	-	-	1	1 per cent
UNDP	12	12	8	-	1	33	34 per cent
UNEP ¹⁶	9	3	4	1	1	18	20 per cent
UNEP/IUCN	-	1	2	-	-	3	3 per cent
UNEP/ACB	-	3	-	-	-	3	3 per cent
UNEP/SPREP	-	1	-	-	-	1	1 per cent
Total	40	30	22	2	2	96	100 per cent

¹⁴ Estimate made based on available information published in the following documents: Building Capacity to Implement the Nagoya Protocol: A Review of GEF Support (2014); and the Report of the Global Environment Facility to the Fourteenth Meeting of the Conference of the Parties to the Convention on Biological Diversity (2018).

¹⁵ The ABS Capacity-Development Initiative through its global project is providing direct national support to 15 countries.

¹⁶ This refers only to projects implemented by UNEP and directly executed by national Government agencies.

(h) Analysis of information on capacity-building initiatives published in the ABS Clearing-House

44. As of 24 August 2018, 77 records in the ABS Clearing House have been published under “capacity-building initiatives”. Of these records, 10 relate to capacity-building workshops on ABS which, in most cases, are part of larger ABS initiatives and have been classified as ABS activities or components. With regard to projects or programmes exclusively dedicated to ABS, there are 45 records in the ABS Clearing-House. Of these, 21 have been classified as national projects, 8 as regional/subregional and 3 are global. Finally, there are 19 records that are classified as an ABS component and another 3 records that did not indicate the type of initiative. It is worth noting that 50 per cent of the national projects report they are being co-funded using national budget allocations.

45. The analysis of the information recorded in the ABS Clearing-House has limitations due to missing information and the lack of timely updates.

46. During the Informal Advisory Committee meeting these challenges were discussed and the following suggestions were made:

(a) To examine with donors, including the GEF Secretariat, the possibility of incorporating in their project templates fields to specify the key strategic areas of capacity-building as well as a requirement to submit the project information to the ABS Clearing-House;

(b) To send regular reminders to users of the ABS Clearing-House to ensure that information submitted is up to date;

(c) To explore further the opportunities to make databases interoperable with the ABS Clearing-House so that information can be automatically updated.

B. Capacity-building and awareness raising resources

47. Pursuant to requests made in paragraphs 10(a) and 10(b) of [decision NP-1/8](#) and paragraph 12 of [decision NP-1/2](#), and on the basis of advice provided by the Informal Advisory Committee, the Secretariat established a database for capacity-building resources, accessible through the Virtual Library of the [ABS Clearing-House](#), which is meant to display existing ABS tools and resources (including training materials, toolkits/guidelines, good practice case studies, etc.).

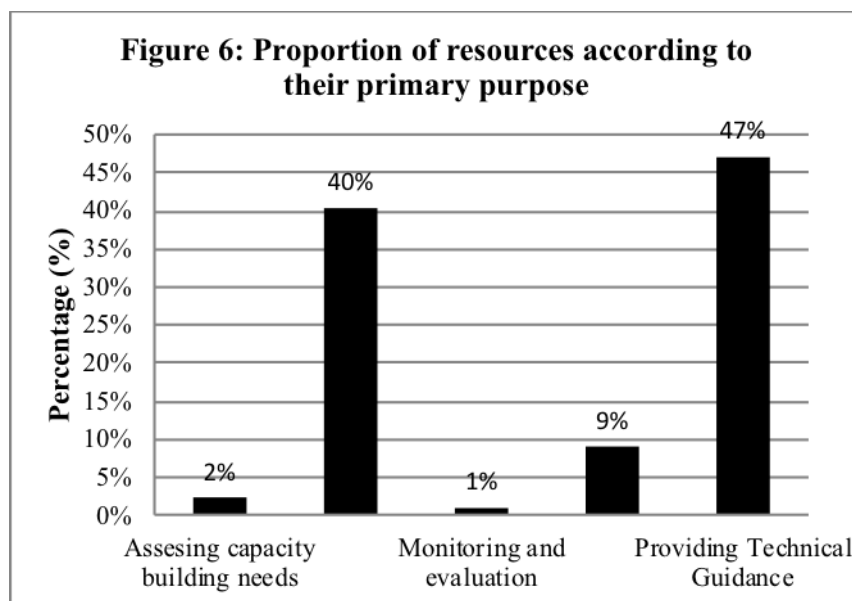
48. The following subsection provides an update on existing capacity-building tools and resources¹⁷ on access and benefit-sharing that the Secretariat has compiled, including their primary purpose and thematic coverage. A list of all the resources is contained in CBD/NP/MOP/3/1/Add.2.

49. According to information gathered by the Secretariat by 24 August 2018, there are 89 resources related to capacity-building and awareness-raising on access and benefit-sharing. An additional 34 resources have been added to the list since the update prepared for the second meeting of the Parties to the Protocol, in September 2016. It is important to note that only 41 or 46 per cent of these resources have been published in the ABS Clearing-House.

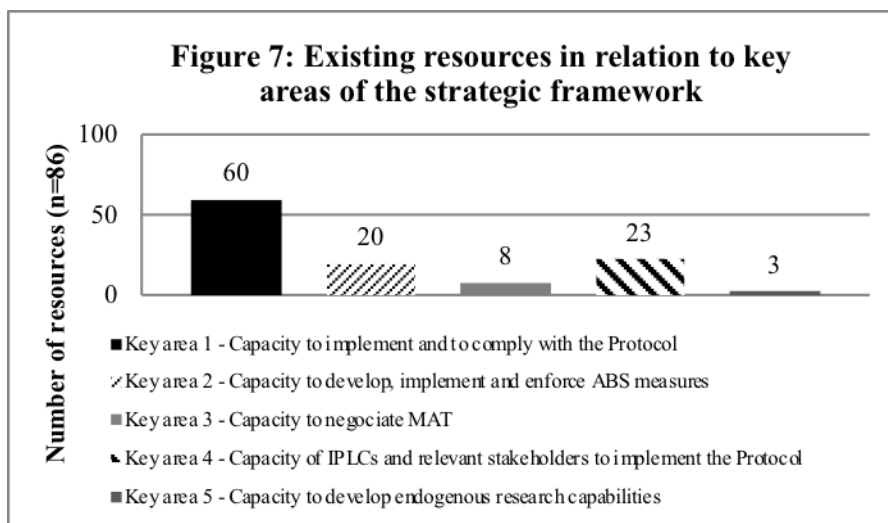
50. The majority of the resources are devoted to providing technical guidance (47 per cent) and raising awareness (40 per cent). Only 9 per cent of resources are designed as training or self-paced materials, while 2 per cent is intended to assist Parties and stakeholders in assessing capacity-building needs and/or designing capacity-building initiatives and 1 per cent for monitoring and evaluating capacity-building initiatives and products (see figure 6). There has been no change in the composition of the collection of

¹⁷ Capacity-building tools and resources are considered those whose primary intent is to facilitate structured learning, to impart new knowledge and skills through systematic instructive steps and/or to provide guidance on how to perform specific tasks related to access and benefit-sharing.

resources since the latest update provided for the Conference of the Parties serving as the meeting of the Parties to the Protocol, with the new resources also falling into technical guidance and raising awareness categories.



51. In relation to thematic coverage, key areas 1, 2 and 4 of the strategic framework continue to be well covered by existing capacity-building and awareness-raising resources, while key areas 3 and 5 remain underrepresented (see figure 7). It is important to recognize that, in several cases, one resource may be covering more than one area.



52. During the Informal Advisory Committee, the need for translation of existing tools and resources into local languages was highlighted. Participants also noted that more capacity-building resources needed to be developed for key areas 3 and 5. The following suggestions were made regarding the types of additional resources that would be useful:

- (a) Handbooks for the negotiation of mutually agreed terms along with guidance on how to access justice under mutually agreed terms;
- (b) Guidance material on how to draft enforceable mutually agreed terms;
- (c) Templates for indigenous peoples and local communities to negotiate mutually agreed terms;

- (d) Guidance material on how to monitor the utilization of genetic resources and associated traditional knowledge;
- (e) Awareness-raising material for specific groups, such as high-level officials, indigenous peoples and local communities and relevant stakeholders;
- (f) Audio-visual material and info graphics for Governments, indigenous peoples and local communities and other stakeholders.

53. The meeting of the Parties to the Protocol may wish to encourage Parties, other Governments and relevant organizations to develop the additional guidance materials mentioned above and make them available through the ABS Clearing-House.

C. Overview of experiences and lessons learned

54. At its second meeting, the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol requested that the Executive Secretary continue to gather and compile information on experiences and lessons learned from capacity-building and development initiatives and seek the advice of the Informal Advisory Committee on how these could best be packaged and disseminated in order to assist in improving the design and implementation of future capacity-building initiatives (NP-2/8, para. 8).

55. A general discussion of the Informal Advisory Committee identified lessons learned for the development of future capacity-building initiatives and in the implementation of ongoing projects. These lessons are available in the report of the Informal Advisory Committee on its third meeting and will be taken into account in the evaluation of the strategic framework with a view to inform further capacity-building to support the implementation of the Nagoya Protocol.

IV. INFORMAL ADVISORY COMMITTEE ON CAPACITY-BUILDING FOR THE IMPLEMENTATION OF THE NAGOYA PROTOCOL

56. Further to decision NP-2/8, the third meeting of the Informal Advisory Committee on Capacity-building for the implementation of the Protocol was held in Montreal, Canada, from 20 to 22 March 2018. The report of the Committee is available for the information of the meeting of the Parties ([CBD/ABS/CB-IAC/2018/1/4](#)).

57. The Informal Advisory Committee considered an update on existing capacity-building initiatives and resources supporting the implementation of the Nagoya Protocol along with lessons learned. Participants also shared information on initiatives and resources currently under development and discussed ways of enhancing the sharing of information on capacity-building and development through the ABS Clearing-House. In addition, the Informal Advisory Committee considered elements for the evaluation of the strategic framework for capacity-building and development to support the effective implementation of the Nagoya Protocol as described in section IV.¹⁸

58. Given that the assessment of the strategic framework, on which the Informal Advisory Committee had been called upon to provide advice, was scheduled to take place in 2019 and the results would be reported to the Parties to the Nagoya Protocol at their fourth meeting, in 2020, the Committee considered that its mandate should be extended until the fourth meeting of the Parties to the Protocol.

V. ELEMENTS FOR THE EVALUATION OF THE STRATEGIC FRAMEWORK FOR CAPACITY-BUILDING AND DEVELOPMENT TO SUPPORT THE EFFECTIVE IMPLEMENTATION OF THE NAGOYA PROTOCOL

¹⁸ For the summary of outcomes of the third meeting, see CBD/NP/COP-MOP/3/INF/1.

59. At its second meeting, the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol requested the Executive Secretary, in consultation with the Informal Advisory Committee, to prepare during the intersessional period elements for the evaluation of the strategic framework, in accordance with decision NP-1/8, paragraph 10(f), for consideration by the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol at its third meeting ([decision NP-2/8](#), para. 10).

60. Draft elements developed by the Secretariat were considered by the Informal Advisory Committee and suggestions for improvements were offered, which are included in its report. These included revising the objectives to better communicate the scope and focus of the evaluation. It was suggested that, in reviewing the progress of implementation of the strategic framework, it would be helpful to evaluate against the objectives of the strategic framework. It would also be useful to look at the main achievements by key area of the strategic framework and whether the measures and capacity-building activities proposed in appendix II of the strategic framework had been used in capacity-building initiatives.

61. In terms of the methodology, Committee members recommended the development of detailed terms of reference for the evaluation to specify what information would be collected and from whom and for what purpose. It was clarified that, for the most part, the evaluation exercise would consist of a document review of factual information with some qualitative input (opinions and recommendations) to be provided through a targeted online survey and interviews with representatives of key organizations involved in capacity development. Regarding the information to be used in the evaluation, participants suggested more specificity regarding the types of documents that would be used and recommended the use of project implementation reports and evaluations when available.

62. In response to the recommendations, a revised version of proposed elements for the evaluation is contained in Annex for consideration by the meeting of the Parties. They cover the objectives, scope, the methodology and the sources of information to be used in the evaluation.

VI. ELEMENTS FOR A DRAFT DECISION FOR CONSIDERATION BY THE CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE NAGOYA PROTOCOL

63. As indicated above, Subsidiary Body on Implementation recommendation SBI-2/2 on the assessment and review of the Nagoya Protocol, which will be addressed under agenda item 7, on assessment and review of the Protocol, contains a number of recommendations of particular relevance to capacity-building, in particular paragraphs 5 and 7 of the draft decision and paragraphs 18 and 19 in annex I to the draft decision, which contains key findings on support available for implementation.

64. Under this agenda item, the Conference of the Parties serving as the meeting of the Parties will be invited to consider the draft decision regarding a long-term strategic framework for capacity-building beyond 2020 contained in section II of recommendation SBI-2/8.

65. In addition, the Conference of the Parties serving as the meeting of the Parties may wish to consider the following additional elements of a draft decision:

The Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol

1. *Takes note* of the progress made in the implementation of the strategic framework for capacity-building and development for the implementation of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from Their Utilization;¹⁹

¹⁹ CBD/NP/MOP/3/4.

2. *Invites* Parties, other Governments and relevant organizations to expand their efforts to implement the strategic framework and further share information about their capacity-building initiatives, including emerging experiences, best practices and lessons learned, and capacity-building resources through the Access and Benefit-sharing Clearing-House, using the relevant common formats;

3. *Invites* Parties, other Governments and relevant organizations to consider developing regional projects as a way forward to support regional cooperation and address the capacity-building gaps in certain regions;

4. *Takes note* of the report of the meeting of the Informal Advisory Committee on Capacity-building for the Implementation of the Nagoya Protocol held during the intersessional period,²⁰ and *decides* to extend the mandate of the Informal Advisory Committee until the fourth meeting of the Conference of the Parties serving as the meeting of the Parties to the Nagoya Protocol, so that it can continue to support the implementation of the strategic framework for capacity building and development in accordance with the terms of reference contained in decision [NP-1/8](#);

5. *Decides* that the Informal Advisory Committee will hold one meeting, and online consultations as needed, and *requests* the Informal Advisory Committee to provide inputs for the evaluation of the strategic framework through a review of preliminary findings and by providing additional information and recommendations;

6. *Also decides* to evaluate the strategic framework for capacity-building and development to support the effective implementation of the Nagoya Protocol²¹ on the basis of the elements in the annex to the present decision;

7. *Requests* the Executive Secretary:

(a) To continue to carry out and facilitate capacity-building activities to support the ratification and implementation of the Nagoya Protocol as set out in the short-term action plan (2017-2020) annexed to decision [NP-2/8](#) of the Conference of the Parties serving as the meeting of the Parties to the Protocol and decision [XIII/23](#) of the Conference of the Parties to the Convention to enhance and support capacity-building for the implementation of the Strategic Plan for Biodiversity 2011-2020 and its Aichi Biodiversity Targets;

(b) To prepare an evaluation of the strategic framework for capacity-building and development in accordance with decision NP-1/8, paragraph 9(f), and submit the evaluation report for the consideration of the Subsidiary Body on Implementation at its third meeting, with a view to ensuring an effective approach to capacity-building under the Nagoya Protocol that is consistent with the post-2020 global biodiversity framework;

8. *Requests* the Subsidiary Body on Implementation at its third meeting to review the evaluation report submitted by the Executive Secretary and submit its recommendations to the Conference of the Parties serving as the meeting of the Parties to the Protocol at its fourth meeting.

Annex

²⁰ [CBD/ABS/CB-IAC/2018/1/4](#).

²¹ Decision [NP-1/8](#), annex I.

**ELEMENTS FOR THE EVALUATION OF THE STRATEGIC FRAMEWORK FOR
CAPACITY-BUILDING AND DEVELOPMENT TO SUPPORT THE EFFECTIVE
IMPLEMENTATION OF THE NAGOYA PROTOCOL**

A. Scope and objectives of the evaluation

1. It is proposed that the exercise focus on evaluating the relevance and effectiveness of the strategic framework in guiding the capacity-building and development efforts during the short and medium term (2014-2020) and offering recommendations that could be useful for the possible revision of the strategic framework beyond 2020. In other words, the objective of the evaluation will be to assess the framework's contribution in helping foster a strategic, coherent and coordinated approach to capacity-building and development for the effective implementation of the Nagoya Protocol.
2. Specific objectives of the evaluation will be threefold:
 - (a) To take stock and review progress made in the implementation of the strategic framework, including the main achievements by key area of the strategic framework, limitations and lessons learned since its adoption in 2014;
 - (b) To review the relevance and effectiveness of the strategic framework in guiding and facilitating capacity-building efforts while fostering coordination and cooperation in the short and medium term;
 - (c) To propose options and make recommendations for further capacity-building to support the implementation of the Nagoya Protocol that could be taken into consideration for the preparation of the long-term strategic framework for capacity-building and development beyond 2020 pursuant to decision XIII/23 of the Conference of the Parties.

B. Methodology and sources of information

3. The Secretariat will be responsible for carrying out the evaluation in 2019 with inputs from Parties, international organizations and other relevant stakeholders. Three main data collection methods will be used: (a) documentation review; (b) an online survey; and (c) interviews with representatives of key organizations working on capacity-building and development.
4. To guide the review, the following set of questions and sub-questions is proposed:
 - (a) What progress has been made in the implementation of the strategic framework?
 - (i) What have been the main achievements relating to the implementation of the strategic framework?
 - (ii) What progress has been made in strengthening capacities in the five key areas²² identified by the strategic framework?
 - (iii) Are there any gaps (thematic and/or geographic) in the implementation of the strategic framework?
 - (iv) Have the measures and capacity-building activities proposed in appendix II of the strategic framework been used in capacity-building initiatives?
 - (v) What have been the main challenges/obstacles?
 - (vi) What have been the most successful approaches and lessons arising from the capacity-building initiatives?
 - (b) To what extent has the strategic framework been effective in fostering a systematic, coherent and coordinated approach to capacity-building and development?

²² See [decision NP-1/8](#), annex I, para. 19.

- (i) To what extent is the framework being used as a reference to guide the policies and actions of Parties, organizations and donors in relation to capacity-building for access and benefit-sharing (ABS)? If so, how? If it has not been used as a reference, please explain why.
 - (ii) What have been the most useful mechanisms to facilitate coordination of the implementation of the strategic framework and how?
 - (iii) To what extent are Parties and relevant organizations cooperating on capacity-development?
- (c) In what way has the strategic framework been effective in guiding and facilitating capacity-building activities?
- (i) How has the strategic framework been used to guide capacity-building activities at the national, regional and international levels?
 - (ii) Was the strategic framework used to guide resource mobilization by Parties and has it influenced donor financing?
 - (iii) To what extent was the strategic framework taken into account by eligible countries in the design of their ABS capacity-building projects submitted to the Global Environment Facility?
- (d) Are the elements of the strategic framework (i.e. key areas, objectives, proposed activities) still relevant?
- (i) To what extent are the objectives of the strategic framework still valid?
 - (ii) Are the key areas and indicative activities for capacity-building²³ still consistent with the overall strategic goals, objectives and desired changes in capacity-building and development to support the implementation of the Nagoya Protocol?
- (e) Recommendations for the preparation of the long-term strategic framework for capacity-building and development beyond 2020:
- (i) Which are the priority capacity-building actions related to ABS that should be included in the long-term strategic framework for capacity-building and development beyond 2020?
 - (ii) What key recommendations can you make for enhancing capacity-building and development on ABS beyond 2020?
5. Information for the review will be drawn from various sources including the following:
- (a) The assessment and review of the effectiveness of the Nagoya Protocol and related decisions of the Conference of the Parties serving as the meeting of the Parties to the Protocol;
 - (b) Information published in the interim national reports;
 - (c) Information published in the ABS Clearing-House;
 - (d) Progress reports on capacity-building and development initiatives supporting the implementation of the Nagoya Protocol prepared by the Secretariat;
 - (e) Reports of the Informal Advisory Committee;
 - (f) Project reports, evaluations and submissions from the Global Environment Facility and its implementing agencies, as well as from other key organizations involved in capacity-building (e.g. ABS Capacity Development Initiative);
 - (g) Needs assessments carried out by Parties and international organizations;

²³ See decision NP-1/8, appendix II, of the strategic framework.

- (h) Information gathered in an online survey and targeted interviews with key stakeholders.

C. Expected output and outcomes

6. The strategic framework is a flexible and living document. From its inception, it was intended to be used, adapted and updated on the basis of emerging experiences and lessons learned. As per paragraph 44 of the strategic framework, the main output of the review will be a report to be used by the Conference of the Parties serving as the meeting of the Parties to the Protocol to review, and, as appropriate, revise the strategic framework for capacity-building and development in conjunction with the consideration and adoption of a post-2020 global biodiversity framework.
