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UNDP/GEF Project on “*Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan*”

(2014-2018)

## **INCEPTION REPORT**

NATIONAL BIODIVERSITY CENTRE  
ROYAL GOVERNMENT OF BHUTAN

OCTOBER 2014

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## ***List of Acronyms used***

ABS	Access and Benefit Sharing
APR	Annual Progress Report
ARR	Annual Review Report
AWP	Annual Work Plan
BAFRA	Bhutan Agriculture and Food Regulatory Authority
BTFC	Bhutan Trust Fund for Environmental Conservation
CoRRB	Council of RNR Research of Bhutan
CSOs	Civil Society Organizations
DAMC	Department of Agriculture Marketing Cooperatives
DoA	Department of Agriculture
DoFPS	Department of Forest and Park Services
DoL	Department of Livestock
DTMS	Department of Traditional Medicine Services
GCCA	Global Climate Change Adaption Project
GEF	Global Environment Facility
GNHC	Gross National Happiness Commission
GRPI	Genetic Resources Policy Initiatives
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
MoAF	Ministry of Agriculture and Forests
MoFA	Ministry of Foreign Affairs
MoH	Ministry of Health
MoU	Memorandum of Understanding
MSP	Menjong Sorig Pharmaceuticals
NBC	National Biodiversity Centre
NPIF	Nagoya Protocol Implementation Fund
NGO	Non Government Organization
PPDs	Policy and Planning Divisions
PMU	Project Management Unit
PSC	Project Steering Committee
RDC	Research Development Centres
RNR	Renewable Natural Resources
RSPN	Royal Society for Protection of Nature
SRC	Scientific Review Committee
TAG	Technical Advisory Group
TK	Traditional Knowledge
UNDP	United Nations Development Programme

# 1. Project Inception Update

## 1.1 Overview

The UNDP/GEF Project on “Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan” was signed between UNDP CO, the Gross National Happiness Commission (GNHC) and the Ministry of Agriculture and Forests (MoAF) on September 22, 2014.

The inception meeting (which also served as the First Project Steering Committee meeting) was held at the MoAF Conference Hall on 30<sup>th</sup> October, 2014 (See Annex A for the Minutes). Before the inception, the implementing partners discussed on modalities for implementation of the project, and prepared the annual workplan in line with approved project document for the project. The Project Steering Committee Meeting then reviewed the annual workplan as well as four year workplan for the project and endorsed it for implementation (See Minutes of the Project Inception Workshop and Project Steering Committee Meeting attached as Annex A).

## 1.2 Account of Project Progress

Till date the following activities have been completed:

- The Project document was signed between UNDP CO, the Gross National Happiness Commission and the Ministry of Agriculture and Forests on September 22, 2014.
- The Project Steering Committee was constituted and the first Project Steering Committee Meeting held on October 30, 2014 at MoAF Conference Hall, coinciding with the Inception Meeting of the Project.
- Project Managers of the Implementing Partners for the project component on Piloting Access and Benefit Sharing (ABS) agreements were identified and MoU drafted for implementation modalities between the two Implementing Partners and the National Biodiversity Centre.
- A Project Support Officer was recruited through the Ministry of Agriculture and Forests and is currently attached with the Project Management Unit (PMU) at the National Biodiversity Centre with effect from December 4, 2014.
- TK documentation and ABS awareness activities, procurement of furniture and equipments for the new recruits and PMU staff, and initial works on the pilot ABS led Agreement projects including mobilizing communities has already been initiated.

## 2. Stakeholder Involvement Plan

The table below provides an outline of the key stakeholder agencies and their role in the project:

Outcome/ Output	Stakeholder	Role in Project
<b>Outcome 1:</b> An operational national regulatory and institutional framework on ABS		
<b>Output 1.1:</b> An approved national ABS policy in place and disseminated	PPD/ Ministry of Agriculture and Forests	Review of the draft ABS policy and endorsement for submission to GNHC and Lhengyel Zhuntshog for onward review and final approval
	Gross National Happiness Commission	Review of the draft ABS policy and feedback, and securing final approval from the Lhengyel Zhuntshog (Cabinet)
	Scientific Review Committee comprising representatives from DoA, DoFPS, DoL, DAMC, Policy and Planning Division of MoAF, CoRRB, MSP, Intellectual Property Division of MoEA, and NBC	Review of the comments from MoAF and GNHC, and inputs to NBC to address these comments
	Lhengyel Zhuntshog	Review and final approval
<b>Output 1.2:</b> Biodiversity Rules and Regulations developed and promulgated in compliance with the approved ABS policy, Biodiversity Act and Nagoya Protocol	PPDs of all relevant government ministries and line agencies, representatives from the Parliamentary Environmental Committee, representatives from the central judiciary, CSOs (specifically RSPN and Tarayana Foundation), private sector and academia, regulatory agencies (e.g. BAFRA and DoFPS)	Review of, and feedback on, the process plan and skeletal framework for the Biodiversity Rules and Regulations at the National Inception Workshop, and subsequently review of, and feedback on, iterative drafts of the Biodiversity Rules and Regulations circulated in hard copy as well as final draft presented at the National Consultation.
	Dzongkhag officials from agriculture, forestry, livestock development, and environment sectors, dzongkhag judiciary, protected area management authorities, researchers in the area of natural resources management, academicians from colleges and training institutes, and local business community involved in biodiversity use	Participation and inputs at the regional consultative workshops on the formulation of the Biodiversity Rules and Regulations
	Regional RNR Research and Development Centers (Yusepang, Bajo, Jakar, and Wengkhar)	Collaboration in organizing the regional consultative workshops for the Biodiversity Rules and Regulations

<b>Output 1.3:</b> Institutional mechanisms for ABS established and operational	BAFRA, DoFPS and other relevant regulatory agencies	Coordination and collaboration in setting up institutional mechanisms for the implementation of Biodiversity Rules and Regulations for ABS implementation
<b>Outcome 2:</b> Strengthened stakeholder capacity and awareness supports implementation of the national ABS framework		
<b>Output 2.1:</b> Upgraded facility and staff skills for bio-prospecting laboratory work and TK documentation	Menjong Sorig Pharmaceuticals (besides NBC)	Recipients of training on bio-prospecting laboratory techniques for bio-activity tests up to the level of fractionation, and subsequent technical cooperation in bio-prospecting laboratory work
	Regional RNR Research and Development Centers	Technical cooperation and information/knowledge-sharing
	Local governments (Dzongkhag and Gewog Administrations)	Mobilization of local communities for TK survey and documentation
	Local communities	Holders of TK
<b>Output 2.2:</b> Improved technical capacity for implementing ABS activities	Training institutes (e.g. College of Natural Resources and Ugyen Wangchuck Institute for Conservation and Environment)	Collaboration in organizing training programs related to ABS
<b>Output 2.3:</b> Increased awareness of ABS and associated national regulatory and institutional framework among a wide range of people	Training institutes (e.g. College of Natural Resources and Ugyen Wangchuck Institute for Conservation and Environment)	Potential collaboration in organizing sensitization programs related to ABS
	Regional RNR Research and Development Centers	Potential collaboration in organizing sensitization programs related to ABS
	Civil Society Organizations (RSPN and Tarayana Foundation)	Potential collaboration in organizing sensitization programs related to ABS
	Local governments (Dzongkhag and Gewog Administrations)	Mobilization of local communities for sensitization programs
	Media agencies (Bhutan Broadcasting Service, and press companies)	Planning and dissemination of mass media programs on ABS
<b>Outcome 3:</b> Best Practice ABS Processes are Demonstrated		
<b>Output 3.1:</b> Three pilot ABS agreements/ schemes compliant with the approved ABS Policy and Nagoya Protocol developed and operationalized	National Biodiversity Center	Implementation of one of the pilot ABS agreements/ schemes
	Menjong Sorig Pharmaceuticals	Implementation of one of the pilot ABS agreements/ schemes
	Bio-Bhutan	Implementation of one of the pilot ABS agreements/ schemes
	Nimura Genetic Solutions	Potential international collaborator for the pilot ABS agreements/ schemes

<b>Output 3.2:</b> Knowledge resources on ABS, emanating from Bhutan's experience, developed and disseminated	Quantum Pharmaceuticals Limited	Potential international collaborator for the pilot ABS agreements/ schemes
	Primavera	Potential international collaborator for the pilot ABS agreements/ schemes
	Local governments (Dzongkhag and Gewog Administration)	Mobilization of local communities and facilitation of participatory planning for the pilot ABS agreements/ schemes
	Local communities	Local partners of pilot ABS agreements/ schemes, immediate custodians of genetic resources and associated TK, and targeted key beneficiaries of ABS
	Private consulting firms	Knowledge resources development research and studies
	Regional RNR-RDCs	Potential cooperation in knowledge resources development research and studies
<b>Project Management and Co-financing</b>		
National Biodiversity Center, Ministry of Agriculture and Forests	The PMU will be housed in the NBC for overall project management and coordination, including monitoring of project progress and reporting of project implementation. NBC will coordinate disbursement of funds to other implementing partners as per approved AWP	
Gross National Happiness Commission Secretariat	Overall monitoring of the delivery of UNDP/GEF/NPIF funds and ensuring that project is in accordance with national policies	
UNDP CO and A/P Regional Office	Oversight and monitoring as the GEF international implementing agency, backstopping in monitoring and evaluation matters, coordination of delivery of UNDP/GEF/NPIF funds, and co-financing	
Bhutan Trust Fund for Environmental Conservation	Co-financing via related projects	
European Union RNR Sector Support Project	Co-financing via NBC implemented project	
Chanel, Nimura Genetic Solutions, BBPL	Co-financing via private sector investments and in kind support under NBC agreements	
GRPI, ITPGRFA, GCCA	Co-financing via NBC implemented projects	

### 3. Annual Workplan

The annual workplan (October 2014-December 2014 and January 2015-June 2016) was prepared between the project implementing stakeholders and then endorsed by the first Project Steering Committee Meeting held on 30<sup>th</sup> October 2014. The said workplan is attached as part of the Minutes of the Project Steering Committee Meeting.

### 4. Project Management Arrangements

#### 4.1 Project Steering Committee

A **Project Steering Committee (PSC)** is set up to provide high-level guidance and oversight to the project. The PSC is chaired by the Honorable Secretary of MoAF and made up of senior representatives from Gross National Happiness Commission Secretariat, Department of Forest and Park Services, Department of Agriculture, Department of Traditional Medicines, Bhutan Trust Fund for Environmental Conservation, UNDP and Bio-Bhutan. The Project Director based at NBC is the member secretary to the Committee.

The PSC will be responsible for high-level management decisions and guidance required for implementation of the project, including recommendations and approval of annual work plans and revisions.

The following are the members of the Project Steering Committee:

- Dasho Tenzin Dendup, Secretary, MoAF (Chairperson)
- Ms. Hideko Hadzialic, Resident Representative, UNDP
- Mr. Dorjee Tshering, Director General, DTMS, MoH
- Dr. Sangay Wangchuk, Specialist, DoFPS, MoAF
- Ms. Kesang Tshomo, Program Director, NOP, DoA, MoAF
- Mr. Norbu Wangchuk, Head, PMCD, GNHC
- Mr. Dorji, Program Officer, BTFEC
- Mr. Ugyen, Managing Director, Bio-Bhutan
- Dr. Tashi Yangzome Dorji, Program Director, NBC, MoAF (Member Secretary)



## 4.2 Technical Advisory Group (TAG)

At the operational and programmatic level, the project will be supported by a **Technical Advisory Group (TAG)**, chaired by the National Project Director. The TAG will be a multi-disciplinary team of technical people primarily consisting members of the existing Scientific Review Committee established for the ABS Agreements. They include experts from the Department of Agriculture, Department of Forests and Park Services, Department of Livestock, Department of Agriculture Marketing and Cooperatives, Policy and Planning Division of the MoAF, Council for RNR Research of Bhutan, Menjong Sorig Pharmaceuticals Intellectual Property Division of Ministry of Economic Affairs and NBC. Additional members will be drawn from Bio-Bhutan and UNDP-CO.

Key tasks of this group will be to: ensure the technical soundness of the planned activities; promote inter-institutional coordination, where such coordination is necessary and where opportunities for synergy exist; provide guidance, and/or clarification, where technical and inter-institutional issues are confronted; ensure that the project activities are carried out in accordance with the desired standards and norms; review and endorse proposals for ABS schemes/agreements.

## 4.3 Project Management Unit

The National Biodiversity Centre will host the Project Management Unit (PMU). The PMU will be responsible for overall coordination with the other implementing agencies for the delivery of project outputs in a timely and effective manner. It will be responsible for overall project monitoring and reporting.

The PMU is made up of the following positions:

- **National Project Director:** Dr. Tashi Yangzome Dorji, Program Director, National Biodiversity Centre is the Project Director. The Project Director is responsible for operational direction, supervision and management of the project.
- **National Project Manager:** Mr. Chenchu Dorji, Head, BP and ABS Division under the National Biodiversity Centre has been appointed as the Project Manager. The Project Manager is responsible for coordination, monitoring and reporting of project activities.
- **National Project Support Officer:** Additional staff has been recruited for this position on contract for the duration of two years with provision for extension for another two years till the duration of the project. Mr. Kunzang Nima, the Project support Officer is responsible for project administration and day-to-day support to project management as well as for the coordination of communication and awareness-raising activities planned under the project.

- **National Project Accountant:** Ms. Sonam Tshomo, Accountant under the National Biodiversity Centre has been appointed as the Project Accountant. The Project Accountant is responsible for management of project funds and expenditures.

## 4.4 Responsible Parties

NBC is directly responsible for the implementation of all the activities pertaining to project **outcomes 1 and 2** consisting of **output 1.1, output 1.2, output 1.3, output 2.1, output 2.2 and output 2.3**. It will be also responsible for implementation of a pilot ABS agreement under **output 3.1.1 and output 3.2** of **outcome 3**. However, the following agencies designated as Responsible Parties, also known as Implementing Partners will bear direct responsibility for the achievement of pilot ABS led agreements under **outcome 3 (output 3.1.2 and 3.1.3)**.

### 4.4.1 Menjong Sorig Pharmaceuticals

Menjong Sorig Pharmaceuticals (MSP), a government organization with the mandate for research and production of traditional medicines, has a team of 46 staff, both technical and non-technical. It is currently headed by the Deputy Chief Pharmacist and is made up of six sections, namely Administration and Management, Research and Development, Quality control/Quality Assurance, Marketing and Procurement, Production, and Maintenance and Engineering. It will be responsible for the implementation of pilot ABS led agreement under **output 3.1.2 of outcome 3**.

### 4.4.2 Bio-Bhutan

Bio-Bhutan, a private sector enterprise which develops products from biological resources with the involvement of local community groups, is run by a small team of nine full-time staff, headed by a manager. Field operations are community-based and, therefore, run by the local community themselves. A company board comprising a representative from Helvetas (as Swiss NGO that helped establish Bio-Bhutan) and private individuals provide guidance and oversight to the company. It will be responsible for the implementation of pilot ABS led agreement under **output 3.1.3 of outcome 3**.

## 4.5 Project Managers at respective Implementing Partners

Responsible Parties (also known as the Implementing Partners) have each identified a Project Manager for effective implementation of the project. The details of the Project Managers are as follows:

1. Mr. Ugyen Dhendup, Head, Menjong Sorig Pharmaceuticals, Ministry of Health
2. Mr. Ugyen, Managing Director and Mr. Nobin Gurung, Account Officer, Bio-Bhutan

## 5. Monitoring and Evaluation

To ensure that the project objectives are met and results achieved; tracking implementation progress; and promote feedback, learning and knowledge, the following tools and monitoring methodology will be used:

- Field trips
- Progress report through Quarterly Progress Report (QPR), Annual Project Report (APR)/Project Implementation Review (PIR), Technical Reports, Project Publications and Periodic Thematic Reports (PTR)
- Finance Reports (FACE)/ UNDP ATLAS Monitoring Reports
- Audits (Annual)
- Evaluations (Mid-term and Terminal)

Besides the above monitoring and evaluation plan, the project will adhere to the following meetings to provide proper guidance and oversight to the project management:

- Project Steering Committee Meetings to be held at least once a year and when necessary
- Technical Advisory Group Meetings to be held once a year and when necessary

## 6. List of Annexes

### **Annex A. Minutes of the Project Inception and Project Steering Committee Meeting**

## **Annex A: Minutes of Project Inception and Project Steering Committee Meeting**

### **Minutes of the Project Inception and Project Steering Committee meeting of “Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan”**

**Venue: MoAF Hall**

**Date: 30th October, 2014**

#### **Participants:**

1. Dr. Sangay Wangchuk, DoFPS (Offtg. Chairperson, PSC member)
2. Mr. Dorji Tshering, DTMS, MSP (PSC Member)
3. Mr. Karma Rapten, UNDP (PSC Member representing Ms. Hideko Hadzialic)
4. Ms. Kesang Tshomo, NOP, DoA (PSC Member)
5. Dr. Tashi Yangzome Dorji, NBC (PSC Member)
6. Mr. Nobin Gurung, Bio- Bhutan (PSC Member representing Mr. Ugyen)
7. Mr. Jigme Dorji, Portfolio Manager, UNDP
8. Mr. Tashi Dorji, Programme Implementation Analyst, UNDP
9. Mr. Ugyen Dhendup, MSP
10. Mr. Chencho Dorji, NBC
11. Ms. Sonam Tshomo, NBC
12. Ms. Jamyang Choden, NBC

#### **PSC Members Not Present:**

1. Dasho Tenzin Dendup, Secretary, MoAF (Chair)
2. Mr. Norbu Wangchuk, Head, PMCD, GNHC
3. Mr. Dorji, Program Officer, BTFEC

#### **Minutes of the Meeting:**

- Dr. Tashi Yangzome Dorji, Program Director, National Biodiversity Centre and Project Director for the NPIF Project welcomed the Project Steering Committee members as well as all the participants to the first inception and Project Steering Committee meeting. She briefed the floor on the background of the project including how the project was secured in partnership with UNDP and the relevance of Project to the Bioprospecting program of the Centre. Furthermore, she introduced the three key components of the project, namely institutionalization of the national framework for ABS, building national capacities and awareness for implementation of the national ABS framework and piloting of ABS agreements with the communities. She also introduced Menjong Sorig Pharmaceuticals and Bio-Bhutan as partners for piloting ABS agreements. She informed the meeting that the vision of the project, apart from implementing the ABS Regime in the country, is to add to the bigger vision of supporting conservation and sustainable utilization through access to biological resources for research and commercialization and ploughing back the benefits accrued into conservation, as a sustainable means of financing conservation in the country.
- The Offtg. Chairperson also welcomed all the Project Steering Committee members and the participants to the meeting. He conveyed regrets on behalf of the Secretary, MoAF for not being able to attend the meeting. Furthermore, he congratulated NBC and UNDP for securing the project and then endorsed the tentative agenda after consulting with the participants.

- Mr. Karma Lodey Rapten from UNDP in his opening remarks conveyed regrets on behalf of Ms. Hideko Hadzialic, Deputy Resident Representative, UNDP for not being able to attend the meeting. In his capacity as the Dy. RR a.i. welcomed all the participants to the meeting. He also congratulated Program Director, NBC and her team for completing the project formulation in a record time of less than six months. He affirmed strong commitment from UNDP as a partner for implementing the project till the end.
- Mr. Chencho Dorji, Project Manager presented the overview of the project including backgrounds, outcomes, outputs, activities and indicative budget. He also presented the implementation structure and terms of reference for Project Steering Committee (PSC), Technical Advisory Group (TAG) and the Project Management Unit (PMU).
- Mr. Tashi Dorji, Program Officer, UNDP presented on the process and requirement of Monitoring and Evaluation framework for the project. He emphasized on specific gender concerns to be addressed in the project while demonstrating best practice PIC processes & ABS agreements through the pilots. As part of the M & E requirement of project, PMU and partners should maintain gender dis-aggregated data for any community-based activities, including training & awareness conducted through the project. M&E studies will examine, and describe, the benefits and challenges of the project activities on men and women. The project will carry out a study of gender-based behavior and attitude towards ABS as a part of knowledge resources development.
- The Project Manager presented the workplan and budget for the duration of the project (2014-2018) that was prepared in consultation with the implementing partners.
- The respective implementing partners (NBC, MSP and Bio-Bhutan) presented their annual work plan and budget (2014-2015) to the participants.

**Key Decisions:**

- The meeting endorsed the implementation structure and the formation of the Project Steering Committee, Technical Advisory Group and the Project Management Unit.
- The meeting deliberated on the similarities of roles between the Technical Advisory Group (TAG) and the Scientific Review Committee (SRC) and, unanimously decided the current SRC to carry out the functions of the Technical Advisory Group with an additional relevant ex-officio as members.
- The meeting endorsed the ToRs of PSC, TAG and PMU as per the approved project document. However, on the frequency of the meeting for both PSC and TAG, it was decided to meet at least once a year and when necessary instead of the frequency in the ToRs.
- The meeting highlighted issue of compliance amongst the project implementers (i.e. NBC, MSP & Bio-Bhutan) for implementing the pilot ABS projects. For effective compliance in implementing the pilot & executing ABS agreements, the meeting endorsed signing a Memorandum of Understanding (MoU) between the implementing partners.

- The meeting decided that NBC in partnership with UNDP would assist MSP and Bio-Bhutan in the implementation of the pilot ABS projects and also conduct timely monitoring of the project progress.
  - The meeting discussed on procurement of laboratory equipments for MSP and recommended exploring support from UNDP for direct procurement by sending a formal request from MSP to UNDP.
  - The meeting decided that NBC will arrange to release the fund to MSP and Bio-Bhutan following appropriate mechanism.
  - The meeting endorsed internal adjustments of budget made within the different components of the yearly allocation as the total allocation was within the approved ceiling were off the project budget.
1. The meeting ended after approving the work plan for the remaining period of 2014 & the 18 month rolling work plan (January 2015-June 2016). The meeting also agreed on the Project's objective, outcome, co-financing, workplan and results framework as detailed below:

**Project Objective-** To develop and implement a national ABS framework, build national capacities and facilitate the discovery of nature-based products

**Project Outcome 1:** An operational national regulatory and institutional framework on ABS

Output 1.1: National ABS Policy approved and disseminated

Output 1.2: Biodiversity Rules and Regulations developed and promulgated in compliance with the approved ABS policy, Biodiversity Act and Nagoya Protocol

Output 1.3: Institutional mechanism for ABS established and operational

**Co-financing:** US\$ 539,750

GEF funding: US\$90,000

**Project Outcome 2:** Strengthen stakeholder capacity and awareness to support implementation of the national ABS framework

Output 2.1: Upgraded facility and staff skills for bio-prospecting laboratory work and TK Documentation

Output 2.2: Improved technical capacity for implementing ABS activities

Output 2.3: Increased awareness of ABS and associated national regulatory and institutional framework among a wide range of stakeholders

**Co-financing:** US\$ 1,218,000

GEF funding : US\$290,000

**Project Outcome 3:** Pilot ABS agreements schemes compliant with the approved ABS Policy and Nagoya Protocol developed and operationalized

Output 3.1: Pilot ABS agreement projects (I, II &III)

Output 3.2: Knowledge resources emanating from Bhutan's experience of ABS are developed and disseminated

**Co-financing: US\$ 1,067,000**

GEF funding : US\$530,000

### **Project Management**

**Co-financing: US\$ 180,000**

GEF funding : US\$90,000

2. Annual work plan of the project from Oct 2014-Dec 2014 and Jan 2015-June 2016, as contained in Annex 1.
3. Project Work Plan for the duration of the project period (2014-2018) as contained in Annex 2.
4. Project Results Framework- as attached in Annex 3.
5. Management of the project and implementation arrangements- as contained in Annex 4.

### **Annexes:**

Annex 1. Annual work plan of the project from Oct 2014-Dec 2014 and Jan 2015-June 2016

Annex 2. Project Work Plan and Budget for the duration of the project (2014-2018)

Annex 3. Project Results Framework

Annex 4. Management of the Project and implementation arrangements

Annex 5. List of Participants

Annex 6. Meeting Agenda

## Work Plan [October—December 2014]

### Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan

UNDAF

<b>One Programme Outcome:</b>	By 2018, sustainable and green economic growth that is equitable, inclusive, climate and disaster resilient and promotes poverty reduction, and employment opportunities particularly for vulnerable groups enhanced.
<b>Expected CT Output (s):</b>	1.1: Policies and studies for integrated natural resource management, climate change adaptation/mitigation and poverty-environment nexus developed.
<b>Implementing partner:</b>	National Bio-diversity Center (Ministry of Agriculture & Forests); Menjong Sorig Pharmaceuticals Ltd. (Ministry of Health); Bio-Bhutan.

NARRATIVE

1. The work plan aims to: a) develop and implement a national ABS framework; and b) contribute to the long term solution of enabling the people and government to access genetic resources based on sound science and accrue tangible national & local economic benefits from commercial utilization in a fair, equitable and sustainable manner.
2. In collaboration with implementing partner (IP) and UN agencies, the Gross National Happiness Commission coordinates the overall Work Plan implementation and progress review through quarterly, mid-year and annual review meetings. The IP is responsible for ensuring the achievement of work plan results through day-to-day management, implementation, monitoring of the activities, proper use of funds and submission of quarterly financial and standard progress reports (SPRs). The UN agencies are responsible for monitoring, timely release of funds, and technical support to implementation.
3. The partners adopt HACT procedures for fund request, release and reporting. Quarterly Direct Cash Transfer modality is applied and Reimbursements or Direct Payment when necessary with prior agreement between all the parties. Assurance activities such as joint field monitoring, on-site reviews and scheduled audits will be conducted after agreement with the GNH Commission and the IP based on the micro-assessment recommendations.

<b>Programme Period:</b>	2014-2018
<b>Work Plan Title:</b>	Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan.
<b>Duration:</b>	Three Months (October—December 2014)

#### Allocated resources for 2014: US\$ 59,400

▶ UNDP	US\$ 27,500
▶ UNDP GEF-NPIF	US\$ 31,900



## Work Plan [October—December 2014]

### Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan


Agreed by Implementing Partner (s):

  
Secretary  
Ministry of Agriculture & Forests  
Date:

Agreed by Royal Government of Bhutan:

  
Secretary  
Gross National Happiness Commission  
Date:

Agreed by UN Agencies:

  
Ms. Hideko Hadzialic  
UNDP Resident Representative a.i  
Date: 10 NOV 2014

Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period October - December 2014

One Programme OUTPUT indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&T to be undertaken	TIME FRAME	RESPONSIBLE PARTY			PLANNED BUDGET				
						2014	Implementing Partner	UN	Source of Funds	Budget Description (UN)	Budget Description (RGoB)	Amount (US\$)	
												2014	Total
Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan													
Output 1.1: Policies and studies for integrated natural resource management, climate change adaptation/mitigation and poverty-environment nexus.													
Project Outcome 1: An operational national regulatory and institutional framework on ABS.													
1.1.1	EE	11	1	1.1 An approved national ABS policy in place and disseminated									
				1.1.1	Conduct screening of ABS policy with the MoAF screening team.	X	NBC	UNDP	GEF-NPIF	75700	17.08	1,000	1,000
				1.1.2	Present MoAF screening report to GNHC.	X	NBC	UNDP	GEF-NPIF	75700	17.08	1,000	1,000
				1.1.3	Present ABS policy to GNHC for policy screening by GNHC screening team.	X	NBC	UNDP	GEF-NPIF				
				1.1.4	Organize review meeting on the ABS Policy with the SR, member and relevant stakeholders to revisit the comments from screening teams.	X	NBC	UNDP	GEF-NPIF				
				1.1.5	Conduct high level presentation of ABS policy to the Cabinet for endorsement.	X	NBC	UNDP	GEF-NPIF				
				1.1.6	Review comments of the cabinet and incorporate changes.	X	NBC	UNDP	GEF-NPIF				
				1.1.7	Recruit consultant (firms) for translation, designing, proof reading, printing and distribution of the ABS policy (500 copies)	X	NBC	UNDP	GEF-NPIF	71300	55.01	1,500	1,500
						74200	14.01	4,300	4,300				
						72400	12.02	200	200				
Sub-total I										8,000	8,000		
Outcome 2 : Strengthen stakeholder capacity and awareness support implementation of the national ABS framework													
1.1.5	SS	25	5	2.1 Facilities and staff skills enhanced for bioprospecting and TK documentation									
				2.1.1	Conduct documentation of TK in 20 Dzongkhags	X	NBC	UNDP	UNDP	71600	17.08/13.02/11.01	23,500	23,500
Sub-total II										23,500	23,500		
1.1.5	DP	25	3	2.1	Increased awareness on ABS and national regulatory and institutional framework among a wide range of stakeholders.								

Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period October - December 2014

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List of activities including M&E to be undertaken	TIME FRAME	RESPONSIBLE PARTY				PLANNED BUDGET		
					2014	Implementing Partner	UN	Source of Funds	Budget Description (UN)	Budget Description (GoB)	Amount (US\$)	
					Q4						2014	Total
<b>Project Indicator:</b> Percentage of parliamentarians, researchers, LGs and communities, private companies, etc. that are aware of the national ABS policy and associated regulatory and institutional frameworks.  <b>Baseline:</b> The current level of awareness is expected to be extremely low as the				2.3.1 Procure equipment and tools for facilitating awareness and advocacy programs	X	NBC	UNDP	GEF-NPFF	72400	32.08	2,000	2,000
<b>Target:</b> 1) At least 250 participants including 50% women, covered through the targeted training seminars.				2.3.1 Conduct awareness and advocacy workshop on ABS in 20 Dzongkhags.	X	NBC	UNDP	GEF-NPFF	71800	17.08/ 13.02/ 11.01	1,500	1,500
<b>Sub-total III</b>											3,500	3,500
<b>Outcome 3: Pilot ABS agreements schemes compliant with the approved ABS Policy and Nagoya Protocol developed and operationalized</b>												
<b>One Prog. Indicator:</b> No. of green industries, services and products promoted.				3.1.1 Pilot Project I: ABS agreements led and executed by NBC								
<b>Project Output 3.1:</b> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.  <b>Project Indicator:</b> 1) Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol.	DP	0	1	3.1.1.1 Conduct consultation with LG and community to identify project site and sensitize the community on ABS.	X	NBC	UNDP	GEF-NPFF	75700	17.08/ 11.01	1,500	1,500
<b>Sub-total IV</b>											1,500	1,500
<b>One Prog. Indicator:</b> No. of green industries, services and products promoted.	DP	0	1	3.1.2 Pilot Project II: ABS agreements led and executed by Menjong Sorig Pharmaceuticals Limited								

Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period October - December 2014

One Programme OUTPUT indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	TIMEFRAME		RESPONSIBLE PARTY			PLANNED BUDGET				
					2014	2015	Implementing Partner	UN	Source of Funds	Budget Description (UN)	Budget Description (GoB)	Amount (US\$)		
					Q4							2014	Total	
<b>Project Output 3.1:</b> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.  <b>Project Indicator:</b> 1) Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol.				3.1.2.1	Sign MoU between DTMS (MSP) & MPU in line with ABS Principles for collaboration.	X		NBC	UNDP	GEF-NPIF	71600	55.01	10,000	10,000
	<b>Sub-total V</b>												10,000	10,000
<b>One Prog. Indicator:</b> No. of green industries, services and products promoted.  <b>Project Output 3.1:</b> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.  <b>Project Indicator:</b> 1) Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol				3.1.3	<b>Pilot Project III: ABS agreements led and executed by Bio-Bhutan</b>									
				3.1.3.1	Conduct resource inventory survey at Naro, Soe and Lingphi under Lingphi Drungkhag and Dagala under Thimphu Dzongkhag	X		NBC	UNDP	GEF-NPIF	71600	11.01/17.08	400	400
				3.1.3.2	Project Mgt. Cost (Assurance activities: Attending and organizing coordination meetings, in-house meetings, field visits, committee meetings and other Misc. cost)	X		NBC	UNDP	GEF-NPIF	71600	17.08/19.02/1.00	500	500
				3.1.3.3	Procure IT equipment.			NBC	UNDP	GEF-NPIF	72800	34.00		-
	<b>Sub-total VI</b>													900
				4	<b>Project Management</b>									
				4.1	Project mgt. Cost (project steering committee meeting, TA group meetings, field visits, institutional cost and other Misc. cost)	X		NBC	UNDP	GEF-NPIF	71600	17.08/19.02/1.00	4,000	4,000
				4.2	Purchase of IT equipments	X		UNDP NIM	UNDP	UNDP	72200	34.02/34.03	4,000	4,000
				4.3	Purchase office equipment	X		NBC	UNDP	GEF-NPIF	72200	34.01/34.02	4,000	4,000
				4.4	Project Assurance (Mid-year & annual review meetings; joint field monitoring and advocacy visits)			UNDP NIM	UNDP	UNDP				-
				4.5	On-site reviews			UNDP	UNDP					
<b>Sub-total VII</b>													12,000	12,000
<b>Overall Total</b>													59,400	59,400
										<b>Source of Fund</b>				
												GEF-NPIF	31,900	31,900
												UNDP RR	27,500	27,500
												CO support to NIM	4,000	4,000

## 18 Months Rolling Work Plan for the Project on “Implementing Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan” for the period January 2015 – June 2016

### Work Plan for the project on “Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan” for the period January 2015 - June 2016

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015		2016		RESPONSIBLE PARTY			PLANNED BUDGET							
					Q1	Q2	Q3	Q4	Q1	Q2	Implementing Partner	UN	Source of Funds	Budget Description (if)	2015	2016	Total		
Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan																			
Output 1.1: Policies and studies for integrated natural resource management, climate change adaptation/mitigation and poverty-environment nexus.																			
Project Outcome 1: An operational national regulatory and institutional framework on ABS.																			
1.1.1	EE	11	1	1.1	An approved national ABS policy in place and disseminated														
				1.1.1	Conduct screening of ABS policy with the MoAF screening team.							NBC	UNDP	GEF-NPIF	75700			-	
				1.1.2	Present MoAF screening report to GNHC.								NBC	UNDP	GEF-NPIF	75700			-
				1.1.3	Present ABS policy to GNHC for policy screening by GNHC screening team.								NBC	UNDP	GEF-NPIF				
				1.1.4	Organize review meeting on the ABS Policy with the SRC member and relevant stakeholders to revisit the comments from screening teams.	X							NBC	UNDP	GEF-NPIF				
				1.1.5	Conduct high level presentation of ABS policy to the Cabinet for endorsement.	X							NBC	UNDP	GEF-NPIF				
				1.1.6	Review comments of the cabinet and incorporate changes.	X							NBC	UNDP	GEF-NPIF				
				1.1.7	Recruit consultant (firms) for translation, designing, proof reading, printing and distribution of the ABS policy (500 copies)	X							NBC	UNDP	GEF-NPIF	71300			-
											74200			-					
											72400			-					
Sub-total I														-					
1.1.1	EE	11	1	1.2	Biodiversity rules and regulations developed and promulgated in compliance with the approved ABS policy, Biodiversity Act and Nagoya Protocol														
				1.2.1	Recruit international ABS expert to develop Biodiversity Rules and Regulation.		X				X	NBC	UNDP NIM	GEF-NPIF	71600	25,000	15,000	30,000	
															71200	3,000	3,000	6,000	
				1.2.2	Recruit national consultant to develop biodiversity rules and regulation.		X				X	NBC	UNDP NIM	GEF-NPIF	71300	2,000	2,000	4,000	
															71600	16,000	16,000	32,000	
				1.2.3	Conduct series of in-house meeting with the international ABS experts and national consultant to develop framework for Biodiversity Rules and Regulations and prepare plan of action.		X						NBC	UNDP	GEF-NPIF	75700	1,000		1,000
															71600	500		500	
				1.2.4	Conduct national inception workshop to present context and rationale, framework of the Rules and Regulations.		X						NBC	UNDP	GEF-NPIF	75700	1,300		1,300
				1.2.5	Conduct series of expert group meeting to review the outcome of the national stakeholder workshop and formulate the draft Rules and Regulations.		X						NBC	UNDP	GEF-NPIF	75700	1,000		1,000
1.2.6	Present the draft rules and regulation to the SRC for feedback and guidance.							X	NBC	UNDP	GEF-NPIF	75700		1,000	1,000				
1.2.7	Organise national stakeholder workshop to present the draft Rules and Regulations.							X	NBC	UNDP	GEF-NPIF	75700		3,500	3,500				
1.2.8	Conduct four regional consultation workshops with relevant stakeholders to present the draft Rules and Regulations.							X	NBC	UNDP	GEF-NPIF	75700		39,000	39,000				

**WORK PLAN for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016**

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015						2016		RESPONSIBLE PARTY		PLANNED BUDGET											
					Q1		Q2		Q3		Q4		Q1	Q2	Implementing Partner	UN	Source of Funds	Budget Breakdown (USD)	2015	2016	Total					
				1.2.9	Conduct series of in-house meeting with the national consultant & ABS experts to analyze and incorporate feedbacks on draft Rules and Regulations.								X	NBC	UNDP	GEF-NPIF	75700		1,000	1,000						
				1.2.10	Present the final draft Biodiversity Rules and Regulation to the SRC members, RNR GNHC committee, Parliamentary Committee for Environment and to MoAF.								X	NBC	UNDP	GEF-NPIF	75700		700	700						
				1.2.11	Recruitment of consultant (firms) for translation, designing, proof reading, printing and distribution of the Biodiversity Rules and Regulations (500 copies)									NBC	UNDP	GEF-NPIF	71300		2,000	2,000						
																74200		7,000	7,000							
																72430		500	500							
				Sub-total II														39,800	90,700	130,500						
<b>Outcome 2 : Strengthen stakeholder capacity and awareness support implementation of the national ABS framework</b>																										
1.1.5	SS	25	5	2.1	<b>Facilities and staff skills enhanced for bioprospecting and TK documentation</b>																					
				2.1.1	Procure R&D equipments (HPLC and bioassay sets)				X										NBC	UNDP	GEF-NPIF	72300	39,000		39,000	
																			NBC	UNDP	UNDP	72300	25,000		25,000	
				2.1.2	Conduct documentation of TK in 20 Dzongkhags				X	X	X	X	X	X	X	X	X	X	NBC	UNDP	UNDP	71600				-
				2.1.3	Organize seminar for TK holders.									X	X			NBC	UNDP	GEF-NPIF	71600		20,000		20,000	
				2.1.4	Recruit international/regional lab expert for training on bio-activity and bio-chemical analysis.							X						NBC	UNDP	GEF-NPIF	71200	7,500		7,500		
																						71600	3,300		3,300	
				2.1.5	Conduct in-country training of lab technicians in bio-activity and bio-chemical analysis.							X						NBC	UNDP	GEF-NPIF	71600	1,500		1,500		
				2.1.6	Enhance capacity of project personnel (conduct ex-country training for laboratory personnel, project accountant)				X		X							NBC	UNDP	GEF-NPIF	71600	5,000		5,000		
				2.1.7	Procure chemicals and laboratory consumables for extract preparation.					X				X				NBC	UNDP	GEF-NPIF	72300	1,500	1,500		3,000	
				2.1.8	Conduct ex-country training for laboratory personnel for plant composition analysis and toxicity testing.								X					NBC	UNDP	GEF-NPIF	71600		7,000		7,000	
				2.1.9	Procure chemical and extract storage equipments.				X									NBC	UNDP	GEF-NPIF	72200	4,000		4,000		
2.1.10	Organize institutional visit to study the international extract library system and current practices in plant extraction and fractionation process in the development of trial products.										X			NBC	UNDP	GEF-NPIF	71600		10,000		10,000					
2.1.11	Upgrade the current extract library system								X	X				NBC	UNDP	GEF-NPIF	72200		4,000		4,000					
																72800		2,000		2,900						

## Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016

One Programme OUTPUT indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including MBE to be undertaken	2015		2016		RESPONSIBLE PARTY		PLANNED BUDGET									
					Q1	Q2	Q3	Q4	Q1	Q2	Implementing Partner	UN	Source of Funds	Budget Description (K)	2015	2016	Total			
<b>Sub-total III</b>																				
1.1.5	SS	25	2	2.2	<b>Technical capacity for implementing ABS activities strengthened.</b>															
				2.2.1	Organize institutional visit representing relevant government agencies and private sector companies to observe bio-prospecting and bio-products development activities and study market potential to countries in South Asia/South-east Asian region.	X									NBC	UNDP	GEF-NPIF	71600	57,000	57,000
				2.2.2	Organise echo-seminar for the study tour group to share their findings	X									NBC	UNDP	GEF-NPIF	75700	500	500
				2.2.3	Training on ABS negotiations, MoU and legal ABS agreement drawings				X						NBC	UNDP	GEF-NPIF	71600	6,000	6,000
<b>Sub-total IV</b>																				
1.1.5	DP	25	3	2.3	<b>Increased awareness on ABS and national regulatory and institutional framework among a wide range of stakeholders.</b>															
				2.3.1	Conduct 6 training seminar on ABS for national relevant stake holders				X		X			NBC	UNDP	GEF-NPIF	71600	1,500	1,500	3,000
				2.3.2	Design and produce communication and awareness-raising materials for use in mass media and at public events.	X				X				NBC	UNDP	GEF-NPIF	71300	200	500	700
																74200	1,800	2,500	4,800	
				2.3.3	Conduct awareness-raising through mass media (TV, radio and press)				X					NBC	UNDP	GEF-NPIF	74200	800	1,000	1,800
				2.3.4	Conduct perception study on awareness of ABS at the start of the project and end of the project	X								NBC	UNDP	GEF-NPIF	71300	2,000	2,000	2,000
												71600	2,000	2,000	2,000					
				2.3.5	Procure equipment and tools for facilitating awareness and advocacy programs	X							NBC	UNDP	GEF-NPIF	72400			-	

## Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015		2016		RESPONSIBLE PARTY		PLANNED BUDGET												
					Q1	Q2	Q3	Q4	Q1	Q2	Implementing Partner	UN	Source of Funds	Budget (USD)	2015	2016	Total						
<b>Target:</b> 1) At least 250 participants including 50% women, covered through the targeted training seminars. 2) An increase of at least 50% over baseline survey results from the first year of the project.				2.3.6	Conduct awareness and advocacy workshop on ABS in 20 Dzongkhags.	X	X	X	X	X	X	NBC	UNDP	GEF-NPIF	71600	6,000	6,000	12,000					
<b>Sub-total V</b>																<b>14,300</b>	<b>11,500</b>	<b>25,800</b>					
<b>Outcome 3: Pilot ABS agreements schemes compliant with the approved ABS Policy and Nagoya Protocol developed and operationalized</b>																							
<b>One Prog. Indicator:</b> No. of green industries, services and products promoted.  <b>Project Output 3.1:</b> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.  <b>Project Indicator:</b> 1) Number of pilot ABS agreements developed and operationalized for initial commercialization of trial products. 2) Number of PIC processes with RLCs implemented in accordance with the planned PIC/community protocol  <b>Baseline:</b> 1) Two ABS agreements exist that pre-date Bhutan's ratification of the Nagoya Protocol 2) Some preliminary engagement with local communities is there but no full-fledged processes have been undertaken  <b>Target:</b> a) At least three ABS agreements developed and operationalized for initial commercialization of at least 3 trial products incorporating PIC, MAT and fair and equitable benefit sharing provisions.	DP	0	1	3.1.1	<b>Pilot Project I : ABS agreements led and executed by NBC</b>																		
				3.1.1.1	Collection of Zingiber cassumara Rhizome and extract oil from it.	X										NBC	UNDP	GEF-NPIF	71600	1,000		1,000	
																				72300	500		500
				3.1.1.2	Processing for analysis of Zingiber cassumara to QPL	X										NBC	UNDP	GEF-NPIF	71600	500		500	
				3.1.1.3	Conduct consultation with LG and community to identify project site and sensitize the community on ABS.											NBC	UNDP	GEF-NPIF	75700				-
				3.1.1.4	Coordinate farmers' group formation.											NBC	UNDP	GEF-NPIF	71600				-
				3.1.1.5	Formalize partnership & sign scoping agreement with bioprospecting company.		X									NBC	UNDP	GEF-NPIF	75700	6,000		6,000	
				3.1.1.6	Conduct bio-activity test on Z. cassumara to validate traditional claims.	X	X	X								NBC	UNDP	GEF-NPIF	72100	3,000		3,000	
				3.1.1.7	Conduct farmers study tour to explore the success stories of other farmers groups	X										NBC	UNDP	GEF-NPIF	71600	6,000		6,000	
				3.1.1.8	Procure and distribute seedlings, tools for sustainable mgt of genetic resources.			X								NBC	UNDP	GEF-NPIF	72300	2,500		2,500	
				3.1.1.9	Conduct farmers training on cultivation and harvesting techniques.			X								NBC	UNDP	GEF-NPIF	71600	4,000		4,000	
				3.1.1.10	Conduct workshop to develop community protocol and initiate PIC process with the community			X								NBC	UNDP	GEF-NPIF	71600	3,000		3,000	
				3.1.1.11	Recruit legal consultant for negotiating and drawing ABS agreements					X						NBC	UNDP	GEF-NPIF	71300	2,000		2,000	
																			71600	4,000		4,000	
				3.1.1.12	Develop preliminary common framework for an ABS agreement along with the community				X							NBC	UNDP	GEF-NPIF	75700	2,000		2,000	
3.1.1.13	Negotiation, finalization and execution of ABS agreement.						X					NBC	UNDP	GEF-NPIF	71600		3,000	3,000					
3.1.1.14	Conduct advance laboratory testing with identified collaborator and process for trial product development.					X	X					NBC	UNDP	GEF-NPIF	72100		15,000	15,000					



## Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015				2016		RESPONSIBLE PARTY		PLANNED BUDGET										
					Q1	Q2	Q3	Q4	Q1	Q2	Implementing Partner	UN	Source of Funds	Budget Description (M)	2015	2016	Total						
				3.1.1.15	Conduct meeting with identified collaborator to draw plan of action for launching and marketing the trial product.						X	NBC	UNDP	GEF-NPIF	71600		10,000	10,000					
				Sub-total VI												34,500	28,000	62,500					
<b>1.1.4</b>  <b>One Prog. Indicator:</b> No. of green industries, services and products promoted.  <b>Project Output 3.1:</b> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.  <b>Project Indicator:</b> 1) Number of pilot ABS agreements developed and operationalized for initial commercialization of trial products. 2) Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol  <b>Baseline:</b> 1) Two ABS agreements exist that pre-date Bhutan's ratification of the Nagoya Protocol 2) Some preliminary engagement with local communities is there but no full-fledged processes have been undertaken  <b>Target:</b> a) At least three ABS agreements developed and operationalized for initial commercialization of at least 3 trial products incorporating PIC, MAT and fair and equitable benefit sharing provisions.	DP	0	1	<b>3.1.2 Pilot Project II : ABS agreements led and executed by Menjong Sorig Pharmaceuticals Limited</b>																			
				3.1.2.1	Sign MoU between DTMS (MSP) & MFU in line with ABS Principles for collaboration.											NBC	UNDP	GEF-NPIF	71600				
				3.1.2.2	Recruit TA to assess and conduct baseline study (1 week)	X											NBC	UNDP	GEF-NPIF	71200	3,000		3,000
				3.1.2.3	Recruit TA to conduct in-country training on toletary and fragrance science (1week).		X										NBC	UNDP	GEF-NPIF	75700	3,000		3,000
				3.1.2.4	Initiate signing of Scoping Agreement with NBC for exploring the Genetic resources.	X											NBC	UNDP	GEF-NPIF	74000	5,500		5,500
				3.1.2.5	Initiate discussion with community groups in Lingzhi, Dagala, Langthel on ABS/ farmers coordination meeting	X											NBC	UNDP	GEF-NPIF	71600	2,800		2,800
				3.1.2.6	Strengthen capacity of MSP in the development of anti-wrinkle cream (capacity building on screening techniques, safety and quality testing and production scale up).	X		X		X							NBC	UNDP	GEF-NPIF	75700	4,750	2,800	7,050
				3.1.2.7	Strengthen capacity of MSP in the development of anti-fungal cream (capacity building on screening techniques, safety and quality testing and production scale up).	X			X		X						NBC	UNDP	GEF-NPIF	75700	4,750	2,800	7,050
				3.1.2.7	Assessment and development of essence and fragrance and aroma component for the product development			X									NBC	UNDP	GEF-NPIF	75700	2,300		2,300
				3.1.2.8	Develop capacity of MSP in the development of soap (capacity building on safety and quality testing of soap, production scale up).				X	X							NBC	UNDP	GEF-NPIF	75700	2,300	2,300	4,600
				3.1.2.9	Develop capacity of farmers for ABS negotiation and ABS awareness program.						X						NBC	UNDP	GEF-NPIF	71600		2,000	2,000
				3.1.2.10	Sign ABS Agreement with the communities.					X							NBC	UNDP	GEF-NPIF	71600		2,000	2,000
				3.1.2.11	Procure and distribute harvesting tools to the farmers (Tarpaulin, pots,buckets, handgloves,sickles, spade,pickaxe, sacks)						X						NBC	UNDP	GEF-NPIF	72200		6,000	6,000
3.1.2.12	Procure R&D equipments ( SPF Analyzer, Vaccum dryer, Homogenizer, Cutometer, Colorimeter, Triple sense and chamview, essential oil extraction plant)				X								NBC	UNDP	GEF-NPIF	72200	50,000		50,000				
				Sub-total VII													77,900	16,900	94,800				
				3.1.3	Pilot Project III: ABS agreements led and executed by Bio-Bhutan.																		

**Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016**

One Programme OUTPUT indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015		2016		RESPONSIBLE PARTY		PLANNED BUDGET						
					Q1	Q2	Q3	Q4	Q1	Q2	Implementing Partner	UN	Source of Funds	Budget (USD/Year)	2015	2016	Total
1.1.4				One Prog. Indicator: No. of green industries, services and products promoted.													
				Project Output 3.1: Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized.													
				Project Indicator: 1) Number of pilot ABS agreements developed and operationalized for initial commercialization of trial products. 2) Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol													
				Baseline: 1) Two ABS agreements exist that pre-date Bhutan's ratification of the Nagoya Protocol 2) Some preliminary engagement with local communities is there but no full-fledged processes have been undertaken													
	DP	0	1	Target: 1) At least three ABS agreements developed and operationalized for initial commercialization of at least 3 trial products incorporating PIC, MAT and fair and equitable benefit sharing provisions.													
				3.1.3.1 Conduct resource inventory survey at Naro, Soe and Linghi under Linghi Drungkhag and Dagala under Thimphu Dzongkhag	X	X					NBC	UNDP	GEF-NPIF	71600	9,000		9,000
				3.1.3.2 Collection of plants for trial distillation and prepare voucher specimen for validation of the plant identity.	X						NBC	UNDP	GEF-NPIF	72300	700		700
				3.1.3.3 Conduct laboratory trial distillation of R. anthopogon			X				NBC	UNDP	GEF-NPIF	72300	400		400
				3.1.3.4 Select project site and initiate formation of community or farmers group through consultative process and identification of site to install distillation units.			X	X			NBC	UNDP	GEF-NPIF	71600	1,600		1,600
				3.1.3.5 Undertake study visit to Nepal to study the oil extraction process and initiate technology transfer.			X				NBC	UNDP	GEF-NPIF	71600	6,000		6,000
				3.1.3.6 Develop and print manual for distillation techniques.			X				NBC	UNDP	GEF-NPIF	74200	400		400
				3.1.3.7 Recruit essential oil expert from Nepal to advise on type of distillation equipment and other technical aspects.				X			NBC	UNDP	GEF-NPIF	71200	1,500		1,500
													71800	5,000		5,000	
				3.1.3.8 Develop, print and distribute guidelines for sustainable and good harvest practices of R. anthopogon.			X				NBC	UNDP	GEF-NPIF	74200	400		400
				3.1.3.9 Develop and execute contract agreement with the community and scoping agreement with NBC.	X	X					NBC	UNDP	GEF-NPIF	74000	6,000		6,000
				3.1.3.10 Procure distillation unit and its accessories.				X			NBC	UNDP	GEF-NPIF	72200		15,000	15,000
				3.1.3.11 Transportation and installation of the distillation unit with support of the expert (TA) and conduct trial production					X		NBC	UNDP	GEF-NPIF	71200		1,500	1,500
													71600		6,300	6,300	
													75700		4,200	4,200	
				3.1.3.12 Construct distillation shed.				X	X		NBC	UNDP	GEF-NPIF	72300		1,400	1,400
				3.1.3.13 Conduct training for community members on sustainable harvest, quality control and distillation methods.				X	X		NBC	UNDP	GEF-NPIF	75700		3,000	3,000
				3.1.3.14 Develop and execute ABS agreement with the community.				X			NBC	UNDP	GEF-NPIF	71600		2,000	2,000
				3.1.3.15 Procure and distribute harvesting tools					X		NBC	UNDP	GEF-NPIF	72300		1,200	1,200
				3.1.3.16 Conduct laboratory assessment of physico chemical properties and composition in R. anthopogon essential oil.				X	X		NBC	UNDP	GEF-NPIF	72100		2,000	2,000
				3.1.3.17 Project Mgt. Cost (Assurance activities: Attending and organizing coordination meetings, in-house meetings, Field visits, committee meetings and other Misc. cost)	X	X	X	X	X	X	NBC	UNDP	GEF-NPIF	71600	2,000	2,000	4,000
				3.1.3.18 Procure IT equipment.	X						NBC	UNDP	GEF-NPIF	72800	2,000		2,000

**Work Plan for the project on "Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan" for the period January 2015 - June 2016**

One Programme OUTPUT Indicators	Equity	Baseline	Target	PLANNED ACTIVITIES List all activities including M&E to be undertaken	2015						2016		RESPONSIBLE PARTY		PLANNED BUDGET						
					Q1		Q2		Q3		Q4		Q1	Q2	Implementing Partner	UN	Source of Funds	Fund Allocation (US\$)	2015	2016	Total
Sub-total VIII																	35,000	38,600	73,600		
1.1.5 One Prog. Indicator: No. of capacity programs on integrated NIM CC adaptation/mitigation & PL needs. Project Output 3.2: Knowledge resources on ABS developed and disseminated. Project Indicator: 1) Number of knowledge resources developed and disseminated. 2) Percentage of the population of ICCs aware of the existence, use and option values of the biological resources under their stewardship. Baseline: 1) No Bhutan-specific knowledge resources on ABS available. 2) Current level of awareness expected to be extremely low as the subject is new. Target: 1) Baseline study to find out the level of awareness on ABS in Year 1.				3.2 Knowledge resources on ABS developed and disseminated.																	
				3.2.1 Participate in the side event of CBD COP or interseasonal meeting on ABS, as a means of disseminating experiences and lessons learned to a wider global audience.	X	X	X	X	X	X		NBC	UNDP	GEF-NPFF	71600		4,000	6,000	10,000		
				3.2.2 Participate in other ABS-related regional/ international workshops, seminars and conferences to facilitate sharing of information and experience, and establishment of institutional contacts for potential collaboration.	X	X	X	X	X	X		NBC	UNDP	GEF-NPFF	71600		4,000	6,000	10,000		
				3.2.3 Conduct comparative study of ABS Policy Approaches and Practices.					X	X		NBC	UNDP	GEF-NPFF	71300			10,000	10,000		
				3.2.4 Conduct gender-differentiated study on Community Behaviour and Attitude towards ABS.					X	X		NBC	UNDP	GEF-NPFF	71300			15,000	15,000		
				Sub- total IX														8,000	37,000	45,000	
			4 Project Management																		
			4.1 Project mgt. Cost (project steering committee meeting, TA group meetings, field visits, institutional cost and other Mis. cost)	X	X	X	X	X	X		NBC	UNDP	GEF-NPFF	71600		4,000	4,000	8,000			
			4.2 Mid term Evaluation						X		NBC	UNDP	GEF-NPFF				20,000	20,000			
			4.3 Purchase field kits for staffs	X	X						NBC	UNDP	GEF-NPFF	72300		4,000		4,000			
			4.4 Institutional support for project implementation (Recruit project support officer).	X	X	X	X	X	X		NBC	UNDP	GEF-NPFF	71400		5,500	6,000	11,500			
			4.5 Purchase office equipment	X	X						NBC	UNDP	GEF-NPFF	72200		4,000		4,000			
			4.6 Project Assurance (Mid-year & annual review meetings; joint field monitoring and advocacy visits).	X	X	X	X				UNDP NIM	UNDP	UNDP	71600		5,000	2,500	7,500			
			4.7 On-site reviews				X				UNDP	UNDP									
			4.8 Cost Recovery for UNDP services (Direct Project Cost)	X	X	X					UNDP	UNDP	GEF-NPFF	74588		1,000	500	1,500			
			Sub- total X														23,500	33,000	56,500		
			Overall Total														383,300	300,200	683,500		
														Source of Fund	GEF-NPFF	353,300	297,700	651,000			
															UNDP RR	30,000	2,500	32,500			
															CO support to NIM	6,000	3,000	9,000			

## Annex 2. Project Work Plan and Budget for 2014-2018

<b>Short Title:</b>	<b>Implementing Nagoya Protocol in Bhutan</b>
<b>Award ID:</b>	<b>00080806</b>
<b>Project ID</b>	<b>00090375</b>
<b>Business Unit:</b>	<b>BTN 10</b>
<b>Project Title:</b>	<b>Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan</b>
<b>PIMS#:</b>	<b>5239</b>
<b>Implementing Partners:</b>	<b>National Biodiversity Centre (NBC), Ministry of Agriculture and Forests</b>

GEF Outcome/ Atlas Activity	Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Acct Code	Atlas Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	Budget Note
<b>COMPONENT 1: Strengthened National Regulatory and Institutional Framework on ABS</b>	NBC	62000	GEF	71200	International Consultants	13,000.00	0.00	0.00	0.00	<b>13,000.00</b>	1
				71300	Local Consultants	17,500.00	0.00	0.00	0.00	<b>17,500.00</b>	2
				71600	Travel	2,000.00	1,000.00	1,000.00	1,000.00	<b>5,000.00</b>	3
				74200	Audio-visual and printing production costs	8,000.00	18,000.00	0.00	0.00	<b>26,000.00</b>	4
				75700	Training, workshops	11,700.00	4,200.00	8,400.00	4,200.00	<b>28,500.00</b>	5
					<b>Total</b>	<b>52,200.00</b>	<b>23,200.00</b>	<b>9,400.00</b>	<b>5,200.00</b>	<b>90,000.00</b>	
<b>COMPONENT 2: Capacity building and awareness raising for implementation of the National ABS Framework</b>	NBC	62000	GEF	71200	International Consultants	33,300.00	71,200.00			<b>104,500.00</b>	6
				71600	Travel	4,500.00	6,200.00	6,200.00	4,500.00	<b>21,400.00</b>	7
				72100	Contractual Services - Company	7,000.00	0.00	0.00	5,000.00	<b>12,000.00</b>	8
				74200	Audio-visual and printing production costs	24,000.00	5,000.00	5,000.00	4,800.00	<b>38,800.00</b>	9
				75700	Training, workshops	1,500.00	87,800.00	12,000.00	12,000.00	<b>113,300.00</b>	10
					<b>Total</b>	<b>70,300.00</b>	<b>170,200.00</b>	<b>23,200.00</b>	<b>26,300.00</b>	<b>290,000.00</b>	

<b>COMPONENT 3: Pilot ABS Agreements</b>	NBC	62000	GEF	71400	Contractual Services - Individual	0.00	15,000.00	9,000.00	0.00	<b>24,000.00</b>	11
				71600	Travel	28,000.00	16,500.00	9,900.00	24,900.00	<b>79,300.00</b>	12
				72100	Contractual Services - Company	54,000.00	89,000.00	91,000.00	104,000.00	<b>338,000.00</b>	13
				72200	Equipment	15,000.00	0.00	0.00	0.00	<b>1,500.00</b>	14
				72300	Materials and goods	5,000.00	5,000.00	5,000.00	0.00	<b>1,500.00</b>	15
				74200	Audio-visual and printing production costs	0.00	6,000.00	9,000.00	6,000.00	<b>21,000.00</b>	16
				75700	Training, workshops	6,300.00	18,400.00	6,000.00	7,000.00	<b>37,700.00</b>	17
					<b>Total</b>	<b>108,300.00</b>	<b>149,900.00</b>	<b>129,900.00</b>	<b>141,900.00</b>	<b>530,000.00</b>	
<b>PROJECT MANAGEMENT</b>	NBC	62000	GEF	71300	Local Consultants	9,000.00	9,360.00	9,720.00	10,080.00	<b>38,160.00</b>	18
				71600	Travel	2,000.00	2,000.00	2,000.00	2,000.00	<b>8,000.00</b>	19
				72200	Equipment	6,000.00	0.00	2,000.00	0.00	<b>8,000.00</b>	20
				74200	Audio-visual and printing production costs	1,000.00	5,000.00	6,000.00	6,000.00	<b>18,000.00</b>	21
				74500	UNDP Cost Recovery Charges	6,180.00	1,125.00	0.00	1,685.00	<b>8,990.00</b>	22
				74500	Miscellaneous	5,000.00	2,000.00	1,000.00	850.00	<b>8,850.00</b>	23
					<b>Total</b>	<b>29,180.00</b>	<b>19,485.00</b>	<b>20,720.00</b>	<b>20,615.00</b>	<b>90,000.00</b>	
<b>TOTAL PROJECT</b>						<b>259,980.00</b>	<b>362,785.00</b>	<b>183,220.00</b>	<b>194,015.00</b>	<b>1,000,000.00</b>	

<b>Summary of Funds and Co- Financing</b>					
Source	Year 1	Year 2	Year 3	Year 4	Total
GEF	259,980.00	362,785.00	183,220.00	194,015.00	1,000,000.00
Government (cash)	157,795.50	157,795.50	157,795.50	157,795.50	631,182.00
Government (in kind)	470,262.00	470,262.00	470,262.00	470,264.00	1,881,050.00
Private Sector	96,359.00	96,359.00	96,359.00	96,359.00	385,436.00
UNDP	26,500.00	26,500.00	26,500.00	26,500.00	106,000.00
<b>Total</b>	<b>1,010,896.50</b>	<b>1,113,701.50</b>	<b>934,136.50</b>	<b>944,933.50</b>	<b>4,003,668.00</b>

Budget Notes	
Component 1	
1	Output 1.2: International ABS legal expert (3 weeks at \$3000) plus international flights, DSA and related costs for two visits (\$4000); total \$13,000
2	Output 1.2: National legal expert for promulgation of the Biodiversity Rules and Regulations with specific attention to implementation of ABS (14 weeks at \$1250). Total: \$17,500
3	Output 1.2: Vehicle hire for travel to organize and conduct regional workshops (\$2,000); Output 1.3: Vehicle hire for field travel to coordinate with regulatory agencies to establish initial network of checkpoints for ABS permits, and subsequently to strengthen coordination (\$3,000). Total: \$5000
4	Output 1.1: Printing/ production of 800 copies of the approved ABS Policy in bilingual format (\$8,000); Output 1.2: Printing/ production of 1500 copies of the approved Biodiversity Rules and Regulations in bilingual format (\$18,000). Total \$26,000.
5	Output 1.1: Workshops to review and address GNHC comments on the draft ABS Policy (\$1000); Meeting to present the revised ABS policy to GNHC and other relevant policy-level decision makers (\$500). Output 1.2: National Inception Workshop to initiate the process of formulating the Biodiversity Rules and Regulations (\$1300); Regional consultative workshops (\$6,900); National Consultation to present the draft Biodiversity Rules and Regulations and elicit feedback (\$1300); Presentation of the final draft Biodiversity Rules and Regulations to the high-level decision makers in MOAF (\$700). Output 1.3: Coordination meetings with relevant agencies to set up and operationalize the institutional mechanisms for implementation of the approved ABS policy and Biodiversity Rules and Regulations (\$8400); Meetings with relevant agencies to strengthen coordination and collaboration in the implementation of the approved ABS policy and Biodiversity Rules and Regulations (\$8400). Total: \$28,500.
Component 2	
6	Output 2.1: International/ regional bio-prospecting lab expert for training Bhutanese lab technicians in bio-activity tests and bio-chemical analysis using the upgraded lab facility (3 weeks at \$2500 = \$7500), plus airfare, DSA and other travel costs (\$3300); Output 2.2: International expert for development of toolkit and training course on ABS Regime Management (5 weeks at \$3500 = \$17500) plus airfare, DSA and other travel costs (\$5,000); International experts/ trainers for training on ABS Regime Management (16 weeks at \$3500 = \$56,000) plus airfare, DSA and other travel costs for 4 experts (\$15,200). Total: \$104,500
7	Output 2.1: DSA for NBC staff for field travel for TK documentation (\$14,400); vehicle hire for TK documentation (\$7,000); Total \$21,400

8	Awareness Assessment Subcontract: As part of the project's monitoring and evaluation system, knowledge, attitudes and practices (KAP) assessment surveys will be conducted targeting specific groups (parliamentarians, ILCs, researchers and relevant industries) that may use or benefit from ABS transactions to determine the project's impact on awareness levels. These would include baseline surveys at the start up of the awareness raising activities for specific target groups, and repeat surveys following the same methodologies at project completion. This work will be contracted to a service provider, with requirements to liaise closely with the project's implementing partners in the design and implementation of activities. The methodological approach is outlined in Annex 4. (\$2,000 to elaborate the methodology; \$5,000 for baseline assessments, analysis and reporting (Y1); \$5,000 for final assessments, analysis and reporting (Y4); total \$12,000).
9	Output 2.2: Printing/ production of ABS Regime Management Toolkit (\$4000); Output 2.3: Printing/ production of awareness-raising and communication materials (\$34,800); Total \$38,800.
10	Output 2.1: In-country training of lab technicians in bio-activity tests and bio-chemical analysis using the upgraded facility (\$1500); Output 2.2: Training on ABS Regime Management (\$18,000); institutional visit to South / Southeast Asia on bio-prospecting, ABS, and bio-products development (\$57,300); echo-seminar for the study tour group to present their observations, learnings and recommendations upon return from the study tour on bio-prospecting, ABS and bio-products development (\$500); Output 2.3: Awareness and advocacy workshops on ABS (\$36,000). Total: \$113,300
<b>Component 3</b>	
11	Contractual Services - individual - Output 3.1: Service contract (for legal services in negotiating and drawing ABS agreements for three pilots) \$24,000.
12	Output 3.1: Estimated travel for project staff related to pilot projects, including international airfares for staff of NBC, MSP and BioBhutan to meet collaborators and assess market potential (\$15,000); vehicle hire and DSAs for local travel for community consultations and fieldwork (\$49,300). Output 3.2: Airfare, DSA and other travel costs to support Bhutanese participants for ABS-related Bhutan ABS side event at CBD COP (\$15,000); Total: \$79,300.
13A	Contractual Services - companies - Output 3.1: Advanced laboratory test and analysis of genetic materials, safety and efficacy tests, bioprospecting technical assistance, etc for three ABS pilots (\$220,000)
13B	Contractual Services - companies - Output 3.2: Comparative Study of ABS Policy Approaches and Practices (\$10,000)
13C	Contractual Services - companies - Output 3.2: Gender-differentiated Study on Community Behaviour and Attitude towards ABS (\$15,000)
13D	Contractual Services - companies - Output 3.2: Stock-taking and Analysis of Best Practices and Lessons from Bhutan's ABS Experience (\$15,000)
13E	Monitoring and evaluation costs (see Table 4 of CEO Endorsement and Prodoc Part IV for details), including: Contracted services for Midterm and Terminal Evaluations including: International Project Evaluators, National Project Evaluators and associated travel for evaluators (total \$45,000); specific studies and monitoring associated with MoU for project indicators (\$17,000); PSC and TAG meeting costs (\$16,000). Total \$78,000

14	Output 3.1: Steam distillation units (3 at \$5,000 each) for establishment in communities under pilot 3 in order to distil essential oils from raw materials for sanitary product development (\$15,000)
15	Output 3.1: Tools and implements for local communities in support of sustainable management of genetic resources at source (\$15,000)
16	Output 3.1: Printing of bi-lingual community protocols and contracts for all 3 pilot projects (\$9,000); Output 3.2: costs for final reports and case studies arising from demonstration projects (\$12,000); Total: \$ 21,000.
17	Output 3.1: Community training on ABS at pilot sites (\$16,000); Community meetings for sensitization, mobilization, and consultations to draw up community protocols and contracts for all three pilots (\$14,700); Output 3.2: National Seminar on Bhutan's ABS Experience: Policy Approach, Best Practices, Lessons Learnt and the Way Forward (\$7,000); Total: \$37,700.
<b>Project Management Costs</b>	
18	Project Support Officer (\$750 x 12 months = \$9,000 Y1; 780x12m = \$9360 Y2; 810 x 12m=\$9720 Y3; 840x12m=\$10080 Y4). Total: \$38,160. Other project management positions are co-financed.
19	Travel associated with project management. Total: \$ 8,000
20	Office equipment for project management unit, including computers (2), printer (1), fax (1), digital camera (1), IT accessories, software, etc. Total: \$ 8,000.
21	Development and management of knowledge resources (case studies, best practices, lessons learnt, etc) - \$1000 in Y1, \$4,000 in Yr2,\$5,000 Y3 and \$5,000 Yr4 - including production, translation and printing of a project completion report in popular full colour format, documenting key project achievements, best practices and lessons learned. Preparation of project status reports (\$3000). Total \$18,000.
22	Estimated UNDP Direct Project Service/Cost recovery charges for international and national consultant recruitment services requested by NBC to UNDP for executing services as indicated in the Agreement in <b>Annex 3</b> of the Project Document. In accordance with GEF Council requirements, the costs of these services will be part of the executing entity's Project Management Cost allocation identified in the project budget In accordance with GEF Council requirements, the costs of these services will be part of the executing entity's Project Management Cost allocation identified in the project budget. DPS costs would be charged at the end of each year based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost. The amounts here are estimations based on the services indicated, however as part of annual project operational planning the DPS to be requested during the calendar year would be defined and the amount included in the yearly project management budgets and would be charged based on actual services provided at the end of that year. Total: \$ 8,990.
23	Costs associated with inception meeting planning and reporting (\$4,000). Contingency for possible exchange rate fluctuations and miscellaneous costs associated with project management operations (\$ 4,850). Total: \$ 8,850.



### Annex 3. Project Results Framework

**Project Title:** Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit-sharing from their Utilization in Bhutan

**Project's Development Goal:** To contribute to the conservation and sustainable use of globally significant biodiversity in Bhutan

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Objective:</b> To develop and implement a national ABS framework, build national capacities and facilitate the discovery of nature-based products	Existence and use of regulatory and institutional frameworks for implementation of ABS in compliance with the Nagoya Protocol	Draft ABS policy in place and under review, and interim institutional measures in place in anticipation of the approval of draft ABS policy. Biodiversity Act in place but there are no rules and regulations detailing procedures and institutional mechanisms for implementation	National ABS Policy approved, and regulatory and institutional frameworks developed and operationalized	<ul style="list-style-type: none"> <li>▪ ABS Policy document;</li> <li>▪ Biodiversity Rules and Regulations document;</li> <li>▪ 11<sup>th</sup> Five-Year Plan Review Reports</li> <li>▪ Websites of NBC, MoAF and GNHC;</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports;</li> </ul>	<p><u>Risks:</u> Potential delay in approval of the draft ABS Policy would delay the development and operationalization of the regulatory and institutional frameworks. Lack of consensus among the stakeholders during the promulgation of detailed rules and regulations</p> <p><u>Assumption:</u> The Royal Government of Bhutan is fully committed to the conservation and sustainable use of the country's biological resources and the introduction of a national framework for ABS.</p>
	Level of institutional and personnel capacity for implementation of the national ABS framework as indicated by an increase in the GEF ABS Tracking Tool score	34 out of a possible 69 = 33.33% Basic to moderate capacity within government agencies but virtually no capacity in the private sector.	Improved institutional and personnel capacity indicated by an increase of at least 25% over the GEF ABS Tracking Tool baseline score	<ul style="list-style-type: none"> <li>▪ Periodic progress reports;</li> <li>▪ Project evaluation reports;</li> <li>▪ Training reports;</li> <li>▪ Key informant interviews</li> </ul>	

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 1:</b> An operational national regulatory and institutional framework on ABS	<b>Outputs:</b> <u>Output 1.1:</u> National ABS Policy approved and disseminated <u>Output 1.2:</u> Biodiversity Rules and Regulations encompassing ABS implementation promulgated and disseminated <u>Output 1.3:</u> Institutional framework compliant with the national ABS policy and regulations and Nagoya Protocol is in place and operational				
	Approval of ABS policy and Biodiversity Rules and Regulations, and their use in establishing the institutional mechanisms for ABS implementation	Draft ABS Policy in place, Biodiversity Rules and Regulations not promulgated, and existing institutional mechanisms are interim and basic	ABS Policy approved within the first year of the project, followed by promulgation of the Biodiversity Rules and Regulations encompassing ABS implementation in the second year.	<ul style="list-style-type: none"> <li>▪ Approved policy and regulatory documents;</li> <li>▪ Websites of NBC, MoAF and GNHC;</li> <li>▪ Periodic progress reports;</li> <li>▪ Project evaluation reports;</li> <li>▪ Workshop and meeting reports</li> </ul>	<u>Risks:</u> Potential delay in approval of the draft ABS Policy would delay the development and operationalization of the regulatory and institutional frameworks. Lack of consensus among the stakeholders during the promulgation of detailed rules and regulations  <u>Assumption:</u> MoAF and Royal Civil Service Commission are supportive of the staffing structure required for establishing and operationalizing the institutional mechanisms required for ABS implementation
Operational national ABS institutional framework indicated by: <ul style="list-style-type: none"> <li>▪ Existence, and the number, of Competent Authorities designated at national (and sub-national) level</li> <li>▪ Number of exit/ entry points designated for checking ABS information/ permits</li> <li>▪ Existence of a system of internationally-recognized certification of origin and compliance and issuance of certificates</li> </ul>	NBC designated as the National Focal Point based on Government Executive Order; no Competent Authorities designated at national/ sub-national levels; no checkpoints designated for checking ABS information/ permits	<ul style="list-style-type: none"> <li>▪ Competent authorities designated at national level and, if necessary, at sub-national level based on the approved Biodiversity Rules and Regulations</li> <li>▪ A network of 4-5 exit/entry points designated for checking ABS information/ permits</li> <li>▪ System of internationally-recognized certification of origin and compliance in place and operational</li> </ul>	<ul style="list-style-type: none"> <li>▪ Inter-agency coordination meeting reports;</li> <li>▪ Periodic progress reports;</li> <li>▪ Project evaluation reports;</li> <li>▪ Official correspondences/ government circulars;</li> <li>▪ Internationally-recognized certificate of origin and compliance</li> </ul>		

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 2:</b>  Increased national capacities and awareness for the implementation of the national ABS framework	<ul style="list-style-type: none"> <li>▪ <b>Outputs:</b></li> <li><u>Output 2.1:</u> Upgraded facility and staff skills for bio-prospecting laboratory work and TK documentation</li> <li><u>Output 2.2:</u> Improved knowledge and skills among the staff of NBC and partner agencies for ABS regime management encompassing technical, legal, administrative and social aspects</li> <li><u>Output 2.3:</u> Increased awareness among various stakeholders for supporting and participating in ABS initiatives</li> </ul>				
	Increased technical capacity for bio-prospecting laboratory analysis indicated by: <ul style="list-style-type: none"> <li>▪ Type and number of equipment procured and installed at the NBC bio-prospecting laboratory facility;</li> <li>▪ Number of staff with knowledge and skills in specific bio-prospecting laboratory techniques using the upgraded facility;</li> <li>▪ Number of crude extracts identified for bio-activity tests and number of compounds fractionated from the extracts</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing laboratory facility and staff skills cover only crude extraction;</li> <li>▪ 250 crude extracts are preserved in NBC's extract library for bio-activity test and no compounds have been fractionated for development of trial products</li> </ul>	<ul style="list-style-type: none"> <li>▪ Laboratory facility and staff skills will be upgraded for bio-activity tests up to the level of fractionation;</li> <li>▪ 1,250 crude extracts preserved in NBC's extract library;</li> <li>▪ 25 compounds fractionated from the extracts for development of trial products</li> </ul>	<ul style="list-style-type: none"> <li>▪ Direct observation of laboratory facility</li> <li>▪ NBC extract library</li> <li>▪ Interviews of lab staff</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> </ul>	<u>Risks:</u> Government staff turn-over, especially trained technical staff, may affect the project negatively  <u>Assumption:</u> More staff will be added to the bio-prospecting program as projected in the 11 <sup>th</sup> Five-Year Plan, and there will be little or no turnover of trained staff
	Number of staff at NBC and partner agencies with improved knowledge and skills on the full cycle of ABS regime management	Less than 20 staff have basic and partial knowledge and skills for ABS regime management	At least 25 staff in NBC and partner agencies have improved knowledge and skills for the full cycle of ABS regime management	<ul style="list-style-type: none"> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> <li>▪ Training evaluation reports</li> <li>▪ Interviews of training recipients</li> </ul>	

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
	Percentage of parliamentarians, researchers, academia, local governments and communities, private sector companies, and other groups targeted by the project awareness campaign that are aware of the national ABS policy and associated regulatory and institutional frameworks	The current level of awareness is expected to be extremely low as the subject is new. A baseline survey will be conducted for the identified target groups in the first year <sup>1</sup> .	<ul style="list-style-type: none"> <li>▪ At least 250 participants, including 50% women, covered through the targeted training seminars</li> <li>▪ An increase of at least 50% over the baseline survey results from the first year of the project</li> </ul>	Baseline survey and end-of-the project awareness surveys (see <b>Annex 4</b> for methodology)	
<b>Outcome 3.</b>  Best practice ABS processes are demonstrated recognizing the principles of biodiversity conservation, Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits.	<b>Outputs:</b> <u>Output 3.1:</u> Three pilot ABS agreements compliant with Nagoya Protocol developed and operationalized <u>Output 3.2:</u> Knowledge resources on ABS developed and disseminated				
	Number of pilot ABS agreements developed and operationalized for initial commercialization of trial products	Two ABS agreements exist that pre-date Bhutan's ratification of the Nagoya Protocol	At least three ABS agreements developed and operationalized for initial commercialization of five trial products incorporating PIC, MAT and fair and equitable benefit sharing provisions. The agreements should also include <i>in situ</i> and/or <i>ex situ</i> conservation measures for the concerned biological resources.	<ul style="list-style-type: none"> <li>▪ ABS agreement documents</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> </ul>	<u>Risks:</u> Commercial confidentiality restrictions may limit information sharing on development process  Active ingredients investigated in pilot projects fail to show promise for commercialization

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
	Number of PIC processes with ILCs implemented in accordance with the planned PIC/community protocol	Some preliminary engagement with local communities is there but no full-fledged processes have been undertaken	At least one PIC process with ILCs implemented in accordance with the planned PIC /community protocol	<ul style="list-style-type: none"> <li>▪ ABS agreement documents</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> </ul>	The period of the project may be too short to result in bio-discovery despite multiple agreements.
	Number of knowledge resources developed and disseminated	No Bhutan-specific knowledge resources on ABS available	<ul style="list-style-type: none"> <li>▪ At least 3 studies on ABS carried out, published and disseminated;</li> <li>▪ National seminar on ABS experience in Bhutan conducted towards the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Study reports</li> <li>▪ Report of the national seminar</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> </ul>	Local communities may not be willing to provide PIC during the lifetime of the project
	Percentage of the population of ILCs participating in the pilot projects aware of the existence, use and option values of the biological resources under their stewardship.	Current levels of awareness expected to be extremely low as the subject is new, with the possible exception of those communities already engaged in bio-exploitation initiatives. A baseline survey will be conducted for the identified communities in the first year.	At least 80% awareness level among participating communities	<ul style="list-style-type: none"> <li>▪ Awareness surveys of the participating ILCs</li> <li>▪ Periodic progress reports</li> <li>▪ Project evaluation reports</li> <li>▪</li> </ul>	<p>Some international partners may prove to be uncommitted to work under Bhutan's ABS Policy framework</p> <p><u>Assumption:</u></p> <p>Key stakeholders are willing to participate in this project and there is consensus to go ahead with the ABS agreements</p>

## **Annex 4. Management of the Project and implementation arrangements**

### **Management and Implementation Arrangements**

#### **Project Execution and Oversight**

The project's implementation and execution arrangements will focus on maintaining strong collaboration and cooperation, and avoid duplication of effort, among ABS related initiatives in Bhutan during the four year implementation period. The National Biodiversity Centre (NBC) under the Ministry of Agriculture and Forests (MoAF) is the government institution responsible for the daily execution and coordination of the project and will serve as the government *Executing Agency* (EA). UNDP is the sole *GEF Implementing Agency* (IA) for the project.

The project will be nationally executed in accordance with the National Execution (NEX) Manual agreed between the UNDP and Royal Government of Bhutan (RGoB). National execution is an arrangement whereby the government, in principle, assumes full ownership and responsibility for the formulation and effective management, or execution, of all aspects of UNDP-assisted projects and programmes. It implies that all management aspects of the project are the responsibility of the national authority. However, the national authority remains accountable to UNDP for production of the outputs, achievement of objectives, use of resources provided by UNDP, and financial reporting. UNDP Bhutan in turn remains accountable for the use of resources to the UNDP Executive Board and the project donors.

Oversight of project activities will be the responsibility of the Project Steering Committee (PSC). Day-to-day operational oversight will be ensured by UNDP, through the UNDP Country Office in Thimphu, and strategic oversight by the UNDP/GEF Regional Technical Advisor (RTA) responsible for the project. This oversight will include ensuring that the project practices due diligence with regard to UNDP's Environmental and Social Screening Procedure.

#### **Project Steering Committee**

The project will be implemented over a period of four years beginning in the first quarter of 2015. At the policy and upstream management level, a **Project Steering Committee** (PSC) will be established to provide high-level guidance and oversight to the project. The PSC will be chaired by the Honorable Secretary of the Ministry of Agriculture and Forests, and the NBC will serve as the secretary to the Committee. Members will consist of senior representatives from the Gross National Happiness Commission Secretariat, Department of Forests and Park Services (MoAF), Department of Agriculture (MoAF), Department of Traditional Medicines (Ministry of Health), Bhutan Trust Fund for Environmental Conservation, UNDP, and from the private sector. The Committee will be responsible for high-level management decisions and guidance required for implementation of the project, including recommendations and approval of annual work plans and revisions. The PSC decisions are to be made in accordance to standards that ensure efficiency, cost-effectiveness, transparency, effective institutional coordination, and harmony with overall development policies and priorities of the Royal Government of Bhutan, UNDP and their development partners.

The PSC will meet at least once a year and when necessary. Specific functions will include:

At the initiation of the project:

- Review and endorse the ToRs of the Project Management Unit
- Appraise the overall project plan;
- Review and approve the Annual Work Plan and budget for the first project year;
- Delegate any project assurance function as appropriate.

After the initiation of the project:

- Provide overall guidance and direction to the project, ensuring it remains consistent with national policies and the planned activities are in line with the project objectives and timeframe;
- Address project issues raised by the PMU for the PSC's attention and guidance;
- Appraise Annual Project Review Reports and offer recommendations for the subsequent Annual Work Plan;
- Review and approve Annual Work Plans and budgets;
- Commission Mid-term Evaluation of the project, appraise the MTE Report and provide direction to the project to address the recommendations emanating from the MTE Report;
- Review project progress reports submitted by the PMU and notify, or provide guidance to, the PMU for corrective actions should they find any issue with the project progress.

At the close of the project:

- Assure that all project deliverables have been produced satisfactorily;
- Commission the Terminal Evaluation of the project, and appraise and endorse the TE Report;
- Provide recommendations for follow-up actions;
- Notify operational completion of the project.

### **Technical Advisory Group**

At the operational and programmatic level, the project will be supported by a **Technical Advisory Group** (TAG), guided by the Program Director of NBC/ National Project Director. The TAG will primarily consist of the members of the existing Scientific Review Committee established for the ABS Agreements. Additionally members will be drawn from Bio Bhutan and UNDP-CO.

The TAG will meet at least once a year and when necessary and will have the responsibility for the following specific functions:

- Ensure that the planned activities are technically sound and in line with the project objectives and time frame;
- Promote inter-institutional coordination, where such coordination is necessary and where opportunities for synergy exist;
- Provide guidance, and/or clarifications, where technical and inter-institutional issues are confronted;
- Ensure that the project activities are carried out in accordance with the desired standards and norms;
- Review and endorse proposals for ABS schemes/ agreements. This process will exclude members should they belong to a proponent agency to prevent conflict of interest;
- Review and endorse ToRs for consulting tasks, participate in selection of project consultants, review consulting reports/ deliverables and provide feedback on them.

## **Project Management Unit**

The NBC will house the project management unit (PMU). The PMU will be made up of the following positions (see Part III – Terms of Reference for Key Project Staff):

- **National Project Director** for operational direction, supervision and management of the project. This position will be held by the Program Director of the NBC (co-financed);
- **National Project Manager** for coordination, monitoring and reporting of project activities. The head of the Bio-prospecting Division at NBC will assume this responsibility (co-financed);
- **National Project Support Officer** for project administration and day-to-day support to project management as well as for the coordination of communication and awareness-raising activities planned under the project. An additional staff, with development management and/or development communication background, will be recruited for this position on a contract basis for the full duration of the project (GEF financed);
- **National Project Accountant** for management of project funds and expenditures. An accountant with the NBC will be appointed as the Project Accountant (co-financed).

## **Project Management for Pilot Projects**

NBC will be directly responsible for the implementation of all the activities pertaining to project outcomes 1 and 2. It will be also responsible for implementation of a pilot ABS agreement under project outcome 3. Menjong Sorig Pharmaceuticals and Bio-Bhutan will be the implementing agencies for the other two pilot ABS agreements with coordination support and operational oversight from the NBC.



## Annex 5. List of Participants

Sl. No	Name	Organization	Email ID	Contact Number
1.	Dr. Sangay Wangchuk	DoFPS	<a href="mailto:sangaywangchuk@yahoo.com">sangaywangchuk@yahoo.com</a>	17637867
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3	Mr. Karma L Rapten	UNDP	<a href="mailto:karma.rapten@undp.org">karma.rapten@undp.org</a>	17114108
4	Ms. Kesang Tshomo	NOP, DoA	<a href="mailto:kesang.tshomo@gmail.com">kesang.tshomo@gmail.com</a>	17610467
5	Dr. Tashi Y Dorji	NBC	<a href="mailto:tyangzome@moaf.gov.bt">tyangzome@moaf.gov.bt</a>	17619329
6	Mr. Nobin Gurung	Bio Bhutan	<a href="mailto:thenobin@gmail.com">thenobin@gmail.com</a>	17875747
7	Mr. Jigme Dorji	UNDP	<a href="mailto:jigme.dorji@undp.org">jigme.dorji@undp.org</a>	17613780
8	Mr. Tashi Dorji	UNDP	<a href="mailto:tashi.dorji@undp.org">tashi.dorji@undp.org</a>	17777105
9	Mr. Ugyen Dendup	MSP,DTMS,MoH	<a href="mailto:ugyendendup@health.gov.bt">ugyendendup@health.gov.bt</a>	17990696
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12	Ms. Sonam Tshomo	NBC	<a href="mailto:tshogs2004@gmail.com">tshogs2004@gmail.com</a>	17565455
13	Ms. Tandin Zangmo	NBC	<a href="mailto:tandinz95@gmail.com">tandinz95@gmail.com</a>	16909161
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## Annex 6. Meeting Agenda

### Programme for the inception and PSC meeting of “Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Bhutan”

Date: 30<sup>th</sup> October 2014

Venue: MoAF Conference Hall

Time	Agenda Item	Presenter
09:00–09:30	Registration	
09:30-09:40	Welcome address	Programme Director, NBC
09:40-09:50	Opening remarks and adoption of agenda	Chair
09:50-10:00	Opening Remarks	PSC member from UNDP (Dy. Resident Representative)
10:00-10:10	Introduction of participants	
10:10-10:50	Overview of the project: <ul style="list-style-type: none"> <li>- Brief on the pro doc [background &amp; outcomes; activities under each outcome, indicative budget]</li> <li>- Implementation structure [Project steering committee, technical advisory group, project management unit, and TORs]</li> </ul>	Chencho Dorji, Project Manager, NBC
10:50-11:10	Project Monitoring & Evaluation – UNDP/GEF reporting requirement	Tashi Dorji, Programme Officer, UNDP
11:10-11:20	<b>COFFEE BREAK</b>	
11:20- 12:00	Work plan & Budget for 2014-2018	NBC
12:00- 1:00	Work plan and budget for 2014-2015	NBC, MSP and Bio-Bhutan
	Discussion and endorsement of work plan by PSC	
	Any other business	
	Wrap-up and close of meeting	
1:00	<b>LUNCH</b>	