Republic of Botswana

**United Nations Development Programme**

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| **Project title:** Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana | | |
| **Country(ies):** Botswana | **Implementing Partner (GEF Executing Entity):** Ministry of Environment, Natural Resources Conservation and Tourism (MENRCT) | **Execution Modality***: Full* National Implementation (NIM) |
| **Contributing Outcome (UNDAF/CPD, RPD, GPD)***:* Outcome 3: By 2026, Botswana sustainably uses and actively manages its diverse natural resources, improves food security and effectively addresses climate change vulnerability | | |
| **UNDP Social and Environmental Screening Category:** Substantial | **UNDP Gender Marker:** 2 | |
| **Atlas Award ID:** 00148126 | **Atlas Project/Output ID:** 00134484 | |
| **UNDP-GEF PIMS ID number:** 6428 | **GEF Project ID number:** 11035 | |
| **LPAC meeting date:** June 23, 2023 | | |
| **Last possible date to submit to GEF:** 09 Feb 2023 | | |
| **Latest possible CEO endorsement date:** 09 Jun 2023 | | |
| **Project duration in months:** 48 | | |
| **Planned start date:** 14 Nov 2023 | **Planned end date:** 13 Nov 2027 | |
| **Expected date of Mid-Term Review:** N/A | **Expected date of Terminal evaluation:** 14 August 2027 | |
| **Brief project description:** The project objective is to enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge in Botswana. This will be achieved through three interrelated components that will allow strengthening of the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation, enhancing capacities for research and product development based on genetic resources and associated TK, and assessing project impact. The dissemination of knowledge and experiences that will result from the implementation of this strategy will contribute to replication and upscaling of best capacity development ABS practices nationally and internationally. A total of 3,000 people (2,000 female and 1,000 male) will directly benefit from the project, which will have a duration of 4 years with a total investment of USD 11,830,982, USD 1,665,982 of which will be provided by the Global Environment Facility. | | |

| FINANCING PLAN | |
|---|---|
| GEF Trust Fund grant | USD 1,665,982 |
| UNDP TRAC resources | USD 0 |
| Confirmed cash co-financing to be administered by UNDP | USD 0 |
| **(1) Total Budget administered by UNDP** | **USD 1,665,982** |
| | |
| **(2) Total confirmed co-financing to this project not administered by UNDP** | **USD 10,165,000** |
| **(3) Grand-Total Project Financing (1)+(2)** | **USD 11,830,982** |

**SIGNATURES:**

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|---|---|---|
| **Signature:** print name below<br>PEGGY ONKATLWILE SERAME | **Agreed by Government Development Coordination Authority** | **Date/Month/Year:** *within 6 months of GEF CEO endorsement*<br>24/10/2023 |
| **Signature:** print name below<br>ABIGAIL WILLIAM ENGLETON<br>Ag PS-MET | **Agreed by Implementing Partner** | **Date/Month/Year:** *within 6 months of GEF CEO endorsement*<br>20/09/2023 |
| **Signature:** print name below<br>Kenneth Balázs<br>BALÁZS HORVÁTH UNDP Res Rep | **Agreed by UNDP** | **Date/Month/Year:** *within 6 months of GEF CEO endorsement*<br>27/10/2023 |

MINISTRY OF ENVIRONMENT AND TOURISM
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## II. LIST OF ACRONYMS

| | |
|---|---|
| ABS | Access and Benefit Sharing |
| BCP | Biocultural Community Protocol |
| BPPS NCE | Bureau for Policy and Programme Support, Nature, Climate and Energy |
| BITRI | Botswana Institute for Technology Research and Innovation |
| BIUST | Botswana International University of Science and Technology |
| BUAN | Botswana University of Agriculture and National Resources |
| CBD | Convention on Biological Diversity |
| CIPA | Companies Intellectual Property Authority |
| CoP | Community of practice |
| DEA | Department of Environmental Affairs |
| DFRR | Department of Forestry & Range Resources |
| DOA | Delegation of Authority |
| DRST | Department of Research Science and Technology |
| DSA | Daily subsistence allowance |
| DWNP | Department of Wildlife & National Parks |
| ESMF | Environment and Social Management Framework |
| ESMP | Environmental and Social Management Plan |
| FPIC | Free, prior, and informed consent |
| GEB | Global environmental benefits |
| GEF | Global Environment Facility |
| GEFSEC | Global Environment Facility Secretariat |
| GR | Genetic resources |
| GRM | Grievance Redress Mechanism |
| IPP | Indigenous Peoples Plan |
| IPPF | Indigenous Peoples Planning Framework |
| KAP | Knowledge attitude and practice |
| MAT | Mutually agreed terms |
| MEA | Multilateral Environmental Agreement |
| MENRCT | Ministry of Environment, Natural Resources Conservation and Tourism |
| MSB | Millennium Seed Bank |
| MSP | Medium Sized Project |
| MTR | Mid-Term Review |
| MTA | Material Transfer Agreement |
| M&E | Monitoring and evaluation |
| NARDI | National Agricultural Research and Development Institute |
| NBS | National Bioeconomy Strategy |
| NBDA | National Biodiversity Authority |
| NBSAP | National Biodiversity Strategy and Action Plan |
| NEF | National Environmental Fund |

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|---|---|
| NP | Nagoya Protocol |
| OAI | Office of Audit and Investigations |
| ORI | Okavango Research Institute |
| PIC | Prior informed consent |
| PIF | Project Identification Form |
| PIR | GEF Project Implementation Report |
| PM | Project Manager |
| PMC | Project Management Cost |
| PMU | Project Management Unit |
| POPP | Programme and Operations Policies and Procedures |
| PPG | Project Preparation Grant |
| R&D | Research and development |
| SADC | Southern African Development Community |
| SBAA | Standard Basic Assistance Agreement |
| SDG | Sustainable Development Goal |
| SEA | Sexual exploitation and sexual abuse |
| SES | Social and Environmental Standards |
| SESA | Strategic Environmental and Social Assessment |
| SESP | Social and Environmental Screening Procedure |
| SH | Sexual harassment |
| TE | Terminal Evaluation |
| TK | Traditional knowledge |
| ToC | Theory of Change |
| UNDP | United Nations Development Programme |
| TBWP | Total Budget and Work Plans |
| TOR | Terms of reference |
| UNEP | UN Environment Programme |
| UPP | Useful Plants Project |

## III. DEVELOPMENT CHALLENGE

*1.* Botswana is a semi-arid, landlocked country located in Southern Africa with a total area of 581,730 square kilometers ($km^2$). Botswana shares its borders with Namibia, Zambia, Zimbabwe, and South Africa. The total population is approximately 2.4 million people, making Botswana one of the world's least densely populated nations. Botswana encompasses 7 of the 14 global ecoregions (as defined by WWF) that support an abundance of biological diversity. The country has a remarkably diverse array of ecosystems and one of the greatest un-spoilt inland Deltas, the Okavango, in the world. For a country with a semi-arid climate, persistent droughts, little relief, two perennial rivers, and a largely homogenous soil of Kalahari sand, the diversity of habitats and ecosystems that exists is both unique and remarkable.

*2.* Botswana is home to a rich biodiversity including 2,800 plant species, 160 mammal species, 587 species of birds, 99 species of fish, 44 species of amphibians, and 131 species of reptiles. Botswana's population utilises genetic resources (GR) for a variety of purposes, which includes medicinal, culinary, and cosmetic purposes. Since time immemorial, Batswana have developed a wealth of traditional knowledge (TK) over these GR that was essential for their survival.

*3.* Despite having a strong economy, Botswana continues to have a high unemployment rate, which stands at 23.8%. Poverty is particularly pronounced in rural areas with youth, women, and girls mostly affected. In rural Botswana where poverty is persistent, the economy remains focused on subsistence agriculture and livestock production. The livestock and agriculture sector constitutes less than 5% of the Gross Domestic Product. Therefore, there is an urgent need to diversify the rural economy with a goal towards sustainable rural livelihoods.

*Threats to Genetic Resources and Underlying Causes*

*4.* According to the National Biodiversity Strategy and Action Plan (NBSAP) 2016, the main threats to GR and the potential impacts of their loss are: a) **Habitat destruction, habitat conversion, and disturbance**. In addition to being a principal cause for the loss of species and ecosystem services in both aquatic and terrestrial environments, habitat destruction and degradation result in the reduction of livelihoods, especially for the rural poor. The main cause for this threat is changes in land use associated with settlement expansion and agricultural expansion. Livestock production supports a significant proportion of Botswana's rural population and crop production remains the most common subsistence activity in rural areas[1]. b) **Unsustainable use of wild plant species**. This threat has localized impacts on GR, putting pressure on plant species with medicinal, cosmetic, and cultural value, due primarily to overharvesting of economically valuable plants (for example the Devils' Claw [*Harpagophytum procumbens*]). Veld products, including wild plants, are central to the livelihoods of rural communities in Botswana, particularly the dry land areas as well as the wet ecoregions of Zambezian flooded grasslands and woodlands[2]. The loss of key species will ultimately result in the reduction in availability of resources that are important to rural livelihoods. The main cause for this threat is poverty and insufficient management and enforcement of legislation. c) **Climate change**. Botswana is considered highly vulnerable to climate change. The country has observed considerable temperature increases and since the 1970s and increased temperatures are expected for Botswana by end of the century. There is also an overall reduction in precipitation for the southern Africa region, characterized by below normal rainfall and more frequent droughts. In addition, an increase in extreme weather events (floods during the rainy season and drought during the dry season) will result in the reduction of ecosystem services and natural resource availability.

*The role of ABS*

*5.* In 2013, Botswana became signatory to the Nagoya Protocol (NP) on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation (ABS). The NP has subsequently been integrated into the country's NBSAP (2016), of which the key goals to be achieved by 2025 are to "secure fair and equitable access to the benefits of biodiversity" and that "the Nagoya Protocol is domesticated and operational, and specific actions that ensure fair and equitable access and benefit sharing are implemented." By implementing the NP, Botswana will make progress in the effective implementation of the 3rd objective of the Convention on Biological Diversity (CBD), namely "the fair and equitable sharing of the benefits arising out of the utilisation of GR, including by appropriate access to GR and by

[1] National Biodiversity Strategy and Action Plan (NBSAP) 2016.
[2] Ibid.

appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding."

*6.* There is documented wide use of many species by local communities for culinary and cosmetic purposes, and for healing diseases (such as cancer, common flu, headaches, low libido, allergies, sexually transmitted infections, dislocated bones, acid reflux, diarrhoea, low and high blood pressure, stroke, animal diseases, etc.). These practices are facilitated by, among others, mostly the older generation (as knowledge holders) and traditional healers (which include traditional paediatricians, oncologists, family physicians, veterinarians, obstetricians and gynaecologists, etc). In addition, during the last decade there has been some interest in conducting research on the country's GR; this includes a study undertaken by Botswana International University of Science and Technology (BIUST) that obtained extracts from 621 plant samples representing 214 species from 71 plant families in Botswana and that were qualitatively screened for antibacterial, antifungal, and antiprotozoal activities, as well as for α-glucosidase and protease inhibitory properties. The results offered a first bioactivity profile of medicinal plants in Botswana with close to half of the samples (47%) provided by traditional healers and community members from the Kweneng and Ngamiland Districts.[3]

*7.* Despite the government's interest in implementing the NP on ABS, progress has been limited. There is still limited scientific information available on the GR and the associated TK in the country; the NBSAP (2016) indicates that there is deficiency in data on the distribution of species and hence the monitoring of effects of harvesting or other impacts on those species that have been proven to be of use and/or are already in use by communities. Despite these limitations, Botswana's biological richness, together with the associated TK, are considered a valuable basis for providing benefits through access to GR to enable economic growth and development, contributing to the livelihoods and well-being of the country, and opportunities for biodiversity conservation and its sustainable use. The project proposed herein is part of Botswana's efforts to achieve this goal.

*8.* Since the accession of NP on ABS, progress in its implementation has primarily happened within the context of the Global Environment Facility (GEF) Global ABS project *Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol* (GEF Project ID 5731) implemented with the support of the United Nations Development Programme (UNDP), which among other results included a Draft ABS Bill, which was adopted into Law in August of 2022. However, specific regulations for the implementation of the Law have not yet been discussed. Botswana also has legislation on resources management that is relevant to the NP. This includes legislation regarding land tenure (Land Control Act, State Land Act, and the Tribal Land Act), which is important because most of the GR are found on State land, tribal/customary land, and private land tenure systems governed by different pieces of legislation that give rise to varied user and ownership rights; and legislation related to biodiversity conservation and natural resources management, including the Wildlife and National Parks Act (1992), the Forest Act (2005), the Agricultural (Conservation) Resources Act (1972), and the Plant Protection Act, S.I. 85 of 2017. Other pertinent legislation includes the environmental, cultural, and heritage protection legislation such as the Environmental Assessment Act (2011) and the Monuments and Relics Act, which require due diligence for any project and due respect given to TK. Additionally, trade and development legislation is also relevant, particularly the Industrial Property Act (2010) and the Customs and Excise Duty Act.

*9.* The baseline assessment conducted for the design of this project indicated that there has not been any publicly known information on ABS agreements within the framework of the NP and the commercialisation of GR with benefit sharing and research and development (R&D) effort are still incipient. In addition, there are no mechanisms in place to protect TK if GR were to be accessed. Although non-commercial collaboration has occurred between international and national entities and communities, it was with the goal of conservation and use to improve community livelihoods through enterprise development. The most notable public collaboration was under the Useful Plants Project (UPP) with the Royal Botanical Gardens at Kew, which among other things produced a list of 352 species that are useful to local communities. The collaboration also established seed banks in the country and at the Millennium Seed Bank (MSB) administered by Kew Gardens. The UPP is part of the broader Millennium Seed Bank Project (MSBP); projects under the

[3] Andrae-Marobela, K., Ntumy, A. N., Mokobela, M., Dube, M., Sosome, A., Muzila, M., Sethebe, B., Monyatsi, K. N., & Ngwenya, B. N. (2012). "now i heal with pride"-The application of Screens-to-Nature technology to indigenous knowledge systems research in Botswana: Implications for drug discovery. In Drug Discovery in Africa: Impacts of Genomics, Natural Products, Traditional Medicines, Insights into Medicinal Chemistry, and Technology Platforms in Pursuit of New Drugs (Vol. 9783642281754, pp. 239-264). Springer-Verlag Berlin Heidelberg. https://doi.org/10.1007/978-3-642-28175-4_10.

MSBP are governed by legally binding ABS agreements negotiated between Kew and partner organizations and governments.[4]

*10.* There is a need to realize the potential that can be developed from Botswana's GR through strengthening the legal framework for implementation of the NP, developing capacity for GR-related ABS, creating opportunities for ABS-related benefit-sharing to support community livelihoods and to protect TK associated with GR.

*11.* The **long-term solution** consists of a strategy for the delivery of multiple global environmental benefits (GEBs) by strengthening the national framework and institutional capacities for ABS implementation and enhancing capacities for product R&D based on GR and associated TK. The dissemination of knowledge and experiences that will result from the implementation of this strategy will contribute to replication and upscaling of best ABS capacity development practices. This strategy builds on the opportunities and lessons learned during implementation of the Global ABS Project (GEF Project ID 5731). However, currently there are three barriers that prevent this objective from being reached.

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| Incomplete regulatory framework and weak institutional and local capacity for the implementation of the NP on ABS | As part of the GEF-UNDP Global ABS project *Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol* (GEF Project ID 5731) an ABS Bill for Botswana was drafted and became law in 2022; however, specific regulations need to be finalized for its enforcement. Therefore, without the proper regulations there will not be clear guidance, especially for providers and users on certain aspects of the law such as those related to prior informed consent (PIC), mutually agreed terms (MAT), and Material Transfer Agreement (MTA). Knowledge regarding the NP on ABS at the national and district levels continues to be limited. At the GR regulatory and management levels, capacity limitations include legal administrative (including permit/license processing), coordination of key structures, planning and budgeting resources, and the monitoring of biological resources and reporting. There is no training strategy or training tools to strengthen the capacity of key institutional stakeholders such as National ABS Committee, Customs officials, and District Councils for ABS regime implementation.<br><br>Similarly, there is limited capacity and knowledge about the NP on ABS among local communities and knowledge holders; they are not aware of the country's accomplishments to-date in strengthening the national ABS framework. There is a need for better education and awareness in the area of GR management, accessing relevant biotechnologies, trade/business measures, linkages with conservation programmes, and negotiations on ABS agreements. This limited knowledge affects the ability of local communities and knowledge holders to effectively negotiate with GR users (e.g., research institutions, universities, and private companies) and to monitor implementation of the ABS agreements and regulations. GR and associated TK are still being illegally accessed and utilised without any benefit sharing with the communities and the conservation mandates.<br><br>Although the country already has some experience developing Biocultural Community Protocols (BCPs) under the Global ABS project, (GEF ID 5731): the Kgetsi Ya Tsie Tswapong Hills Women's Resources Enterprise Community Trust BCP (morula tree – *Sclerocarya birrea*) and the Matute-a-Mongongo Women's Group (mongongo oil – *Schinziophyton rautanenii*), clear guidelines for local communities to develop BCPs related to ABS initiatives are still lacking and potential users of GR need to be made aware of the role of BCPs in providing clear terms and conditions to regulate access to TK and GR. Finally, the country lacks a mechanism that serves as a single-entry point for ABS permitting for GR users and that can facilitate inter-institutional coordination to effectively process and approve permits for monitoring compliance. |
| Limited information on GR, skills, and | Despite Botswana's rich GR, there is lack of detailed scientific information about these resources, including the location where the GR are found, potential uses and values, |

[4] Thomas Greiber, Sonia Peña Moreno, Mattias Åhrén, Jimena Nieto Carrasco, Evanson Chege Kamau, Jorge Cabrera Medaglia, Maria Julia Oliva, Frederic Perron-Welch in cooperation with Natasha Ali and China Williams 2012. An Explanatory Guide to the Nagoya Protocol on Access and Benefit-sharing IUCN, Gland, Switzerland. xviii + 372 pp.

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| opportunities for R&D and lack of mechanisms for the protection of TK | associated TK, conservation status, and most importantly the genetic material that would allow their utilisation (e.g., scientific research, and/or commercial development). In addition, more information about sharing the benefits of such utilisation, which may support economic development, community livelihoods, and strengthen and incentivise conservation is needed. Field surveys and biological/GR inventories and associated TK are lacking, as well as a centralised repository of GR-related information for easy access by different stakeholders (including providers and users of these resources) as well as by environmental authorities to help enforce their use in accordance with the NP on ABS. Current research on GR and their active compounds has been only done at low levels by academia and other research institutions; the country lacks a strategy that will guide and promote R&D. Similarly, there is a need to assess the existing technical and scientific capacities in the country to engage in R&D and to identify training and other resources needed so that the scientific community is well positioned to participate in ABS-related research and/or product development. There are, however, several biological research institutions in the country (e.g. BIUST, University of Botswana, Botswana University of Agriculture and National Resources [BUAN], etc.) that need to be better equipped for bioprospecting and conducting associated research and taxonomic studies that will provide scientific information to support the implementation of ABS agreements.<br>Despite the country's interest in R&D, there have been limited opportunities for establishing institutional, scientific and business partnerships that can result in the cooperation needed for the utilisation of GR and sharing of associated benefits. Currently, there are no publicly available ABS agreements in the country. There is a need for developing scientific criteria to guide in the selection of priority species for R&D that can potentially lead to sustainable demonstration projects (value addition) with the aim of supporting community livelihoods and re-investing in biodiversity conservation, including support for implementing management plans for key species.<br>At the local community level, skills and knowledge for participating in ABS initiatives that are gender-inclusive are lacking, including the negotiation of ABS agreements and further understating of the linkages between access to GR and TK and their utilisation and the conservation of biodiversity and the sustainable use of its components. Finally, the country lacks mechanisms to effectively protect TK. |
| Lack of mechanisms for sharing knowledge and lessons learned regarding the NP on ABS limits replication and upscaling | There is a lack of mechanisms for the exchange of information concerning experiences and lessons learned from the implementation of the NP on ABS in the country. There is a need to develop information and communication tools that will facilitate knowledge sharing in a systematic and effective manner from the local community level to the national and international levels. These gaps limit the possibility of replication and upscaling of successful experiences locally, nationally, and regionally about ABS and biodiversity conservation and its sustainable use, and gender-related issues, as well as for transboundary cooperation where the same GR may be found within the territory of more than one country in southern Africa. |

*12.* This challenge is consistent with Botswana's NBSAP 2016, which its main goals are: a) Biodiversity is mainstreamed and valued across all sectors of society; b) The pressure on biodiversity is reduced and natural resources are used sustainably; c) Ecosystems, species, and GR are protected through sound management; d) Fair and equitable access to the benefits of biodiversity is secured; and e) Participatory planning, knowledge management, and capacity-building are in place to support NBSAP implementation. Botswana has been party to the CBD since 1995.

*13.* In addition, it is consistent with the National Development Plan 2017-2023, which has among its goals the "Inclusive Growth for the Realisation of Sustainable Employment Creation and Poverty Eradication," which is relevant to most of the activities funded by the GEF. It also provides an understanding of the alignment of development interventions with the national agenda and developmental plans. The project proposed herein is fully consistent with

national development goals by contributing to the full domestication of the NP with tangible conservation and socio-economic benefits.

*14.* As indicated in the 6th National Report for the Convention on Biological Diversity, Botswana's National Target 16 under the CBD is that "By 2025, the Nagoya protocol is domesticated and operational, and specific actions that ensure fair and equitable access and benefit sharing are implemented." The project is consistent with this target and is a follow-up initiative[5] from the Government of Botswana to achieve this target, by further strengthening the national ABS framework, enhancing awareness about ABS, capacity development for R&D, and partnership development for the implementation of the NP. The project is also aligned with the National Policy on Gender and Development, which encourages an enabling environment, the adoption of affirmative measures, and capacity building on the integration of gender in all sectors of sustainable development.

## IV. STRATEGY

*15.* The project objective is to enhance the capacity for GR R&D to promote beneficiation and value addition and to protect TK. The GEF investment will reduce threats to biodiversity and GR from their utilization focusing in the Panhandle area of the Okavango Delta in northern Botswana by implementing a strategy that will allow the country to further implement the NP on ABS for the delivery of GEBs. This will be achieved through the following three interrelated components:

- Component 1. Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation
- Component 2. Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management
- Component 3. Monitoring and evaluation (M&E)

*16.* **Component 1** will address capacity barriers that currently constrain successful domestication of the NP on ABS. An ABS Law was adopted in August of 2022; to effectively implement this legislative instrument, the project will support finalization of regulations on PIC, MAT, and MTA. To enhance institutional capacity and put into place measures and mechanisms to operationalise the ABS Law of Botswana, the project will enhance awareness and understanding of the NP and of the ABS Law and its regulations among government stakeholders who are mandated to lead the domestication process (Department of Environmental Affairs [DEA], Department of Wildlife & National Parks [DWNP], Department of Forestry & Range Resources [DFRR], Companies Intellectual Property Authority [CIPA], Ministry of Health and Wellness, Agriculture Boarder Inspectors, and Local Governments). In addition, a broad-base National Bioeconomy Strategy (NBS)[6] will be developed through a coordinated effort among key government agencies, the research and academic sector, civil society, and holders of TK, among others. It will be an important contribution to promoting Botswana's economic growth and sustainable development focusing on innovation and value addition, the development of new biotechnologies and biotechnology products, bioprospecting and economic use of the GR, and the protection of the environment.

*17.* At the local level, this component will enhance the capacity of local communities, giving special attention to women and youth and other vulnerable people, to participate in monitoring and to enhance transparency about the utilisation of GR. Specifically, the project will operationalise a community monitoring programme with people trained and equipped to monitor ABS agreements, when these are established, and support the implementation of the regulations to be developed by the project. In addition, standards for developing BCPs will be agreed upon with local communities based on the guidelines for obtaining PIC and MAT. Finally, this component will develop a centralized ABS permitting procedure that enhances compliance and efficient operationalisation of the ABS regulations to be developed under the project. This will include the development of an electronic permitting system accessible to all stakeholders to

[5] A national ABS pilot under the Global ABS project (GEF Project ID 5731) was implemented between October 2017 and March 2020.

[6] Bioeconomy is defined as "activities that make use of bio innovations, based on biological sources, materials and processes to generate sustainable economic, social and environmental development." The bioeconomy innovation system includes ideas, research, product development, and commercialization (Source: The Bioeconomy Strategy. Department of Science and Technology, South Africa. 2013. Available at: www.dst.gov.za).

facilitate ease of interaction between users of GR and/or TK and an electronic interface with the CIPA's platform for registering TK.

*18.* **Component** 2 will overcome the barriers related to lack of capacity and opportunities to conduct R&D and benefit-sharing in Botswana. This component will allow the development of a national database on GR and TK and the protection of this information that would be made available to all potential providers and users of GR. Field surveys and inventories of biological resources and associated TK will be conducted in consultation with potential providers and users of GR focusing on the Panhandle area of the Okavango Delta. A National GR Research Development Plan will be developed and funding secured to increase opportunities for bioprospecting and/or commercial application. Capacities will be further enhanced through a training module to advance the national R&D agenda. In addition, research centres and universities that provide institutional knowledge about GR in the country will be better equipped for bioprospecting and product development.

*19.* This component will also allow selecting a species/GR that has not already been subject to R&D elsewhere and for which there are already competitive, commercialized products. It will also support the establishment of partnerships for R&D and the sustainable utilisation of GR and associated TK. The project will identify international partners with interest in supporting R&D working closely with national research partners for the future commercialisation of an ABS product from the prioritised species/GR. To ensure the conservation and sustainable use of the selected priority species, a "climate-smart" management plan will be developed through a consultative process involving all relevant stakeholders. In addition, local communities, including women and other vulnerable groups from selected villages in the panhandle of the Okavango Delta, will be trained to implement ABS initiatives. To support R&D activities for the conservation and sustainable use of the selected priority species, an R&D demonstration project will be developed with women's participation and funding will be secured through national and international donors including the National Environment Fund and the Transitional National Development Plan.

*20.* This component will also support the implementation and strengthening of mechanisms for exchanging ABS-related information and knowledge. A national ABS community of practice (CoP)/platform for lesson-sharing, common priority-setting, awareness-raising will be developed and operationalized. In addition, this component will convene a virtual regional ABS dialogue among the Southern African Development Community (SADC) to enhance knowledge-sharing, partnership development, and stakeholder collaboration. Guidelines to protect TK will also be developed to ensure that access takes place with the PIC of the TK holders, and that benefits are shared. Finally, all UNDP's Social and Environmental Standards (SES)-related assessments and management plans to mitigate project risks will be implemented in line with UNDP guidelines.

*21.* **Component 3** will allow the implementation of the project's M&E strategy. The project will deliver regular monitoring of its progress and gaps, and weaknesses identified will inform adaptive management. This includes but is not limited to the preparation of quality and timely annual GEF Project Implementation Reports (PIRs), and full transparent support to the independent Terminal Evaluation (TE) with all required, core indicators and financial indicators provided.

*22.* The Theory of Change (ToC, Figure 1) describes the strategy to achieve the project's objective through three impact pathways: a) Regulatory and institutional ABS framework pathway; b) Capacity for R&D pathway; and c) M&E pathway. A central aspect to achieving the project objective will be to directly collaborate with key public and private sector stakeholders, and local communities (including women). To this end, a Comprehensive Stakeholder Engagement Plan and a Gender Action Plan will be implemented, although stakeholder participation and gender mainstreaming is embedded throughout all the impact pathways. The three identified barriers described above, the causal pathways, and their key underlying assumptions are elaborated as follows.

*23.* Barrier 1: Incomplete regulatory framework and weak institutional and local capacity for the implementation of NP on ABS. *Causal Pathway* 1: improved management and operational capacity in government agencies and local communities, including a functional national permitting system for compliance with ABS regulations by providers and users of GR, leads to more effective and gender-sensitive implementation of ABS and increased awareness about the importance of GR, TK associated with GR, and the linkages between ABS and biodiversity conservation and its sustainable use.

- Key assumptions: 1a) the ABS regulations will be timely approved to facilitate the implementation of the ABS agenda; 1b) there is stability in human resources within government agencies who benefit from training activities and they satisfactorily apply their new knowledge and skills; and 1c) there is continued interest from potential providers and users of GR to engage in ABS-related activities proposed by the project.

*24.* Barrier 2: Limited information on GR, skills, and opportunities for R&D. *Causal Pathway 2*: Availability of ABS-related data guided through documentation of GR and associated TK together with increased capacity of national research institutions and local communities' skills and alliances with national and/or international partners result in a viable opportunity for research and product development based on GR and associated TK, and for the conservation of biodiversity in the Panhandle of the Okavango Delta of Botswana.

- Key assumptions: 2a) information on GR and associated TK are available in a timely manner; 2b) conditions (legal clarity, training, equipment, etc.) are conducive for research institutions to engage in bioprospecting activities and establishing partnerships for R&D; and 2c) technical and commercial feasibility exists for the development of one demonstration R&D project with women's participation.

*25.* Barrier 3: Lack of mechanisms for sharing knowledge and protecting TK and lessons learned regarding NP on ABS limits replication and upscaling. *Causal Pathway 3*: Improved information exchange mechanisms and systematisation and dissemination of lessons learned and knowledge about the implementation of NP on ABS leads to more informed and aware scientific and local communities and about GR and about biodiversity conservation and the sustainable use of its components, and to active ABS dialogue and collaboration among countries in southern Africa.

- Key assumptions: 3a) there is willingness to share ABS-related information in a broad and timely manner; 3b) new knowledge and sharing of lessons learned among local communities contribute to their effective participation in the project and support for future R&D on GR and TK and for the replication and scaling-up of successful project experience; 3c) the project management team and the implementing agency are effective in engaging local communities, researchers, and other stakeholders, including women and other vulnerable groups.

*26.* It is also assumed that climate change and variability will be within ranges that do not significantly affect the outcomes of the project and that the COVID-19 pandemic will remain under control. The proposed pathways are based on the analysis of structural/root causes and barriers. The supporting outputs and outcomes for each pathway, and the assumptions that they are built upon, will properly address the problems and barriers described above, allowing to enhance capacities for GR R&D and to protect TK in Botswana. The project's ToC considers the active participation of public, private, and civil society stakeholders, as well as actions to contribute to gender equality and the empowerment of women in relation to the utilization of GR.

*27.* The ToC will serve multiple objectives, such as: a) improving the project's implementation and supporting adaptive management; b) engaging all stakeholders and developing ownership during project implementation; c) communicating the rationality of the project's goals, outcomes, and outputs to relevant internal and external audiences; and c) ensuring that adequate data are collected to enable sound M&E throughout the life span of the project and beyond.

*28.* The ToC is a dynamic framework that will be continually managed and appraised during project implementation.[7] This strategy will deliver GEBs as well as social and economic benefits at the local level. The interrelated components described above will be the means through which this is achieved.

*29.* The project is aligned with the GEF7 Biodiversity Focal Area Objective 3: *Further develop biodiversity policy and institutional frameworks*; more specifically with objective BD-3-9: *Further development of biodiversity policy and institutional frameworks through the Implementation of the Nagoya Protocol on Access and benefit sharing*.

[7] The ToC was constructed following the recommendations of the Theory of Change Primer (STAP document 2019).

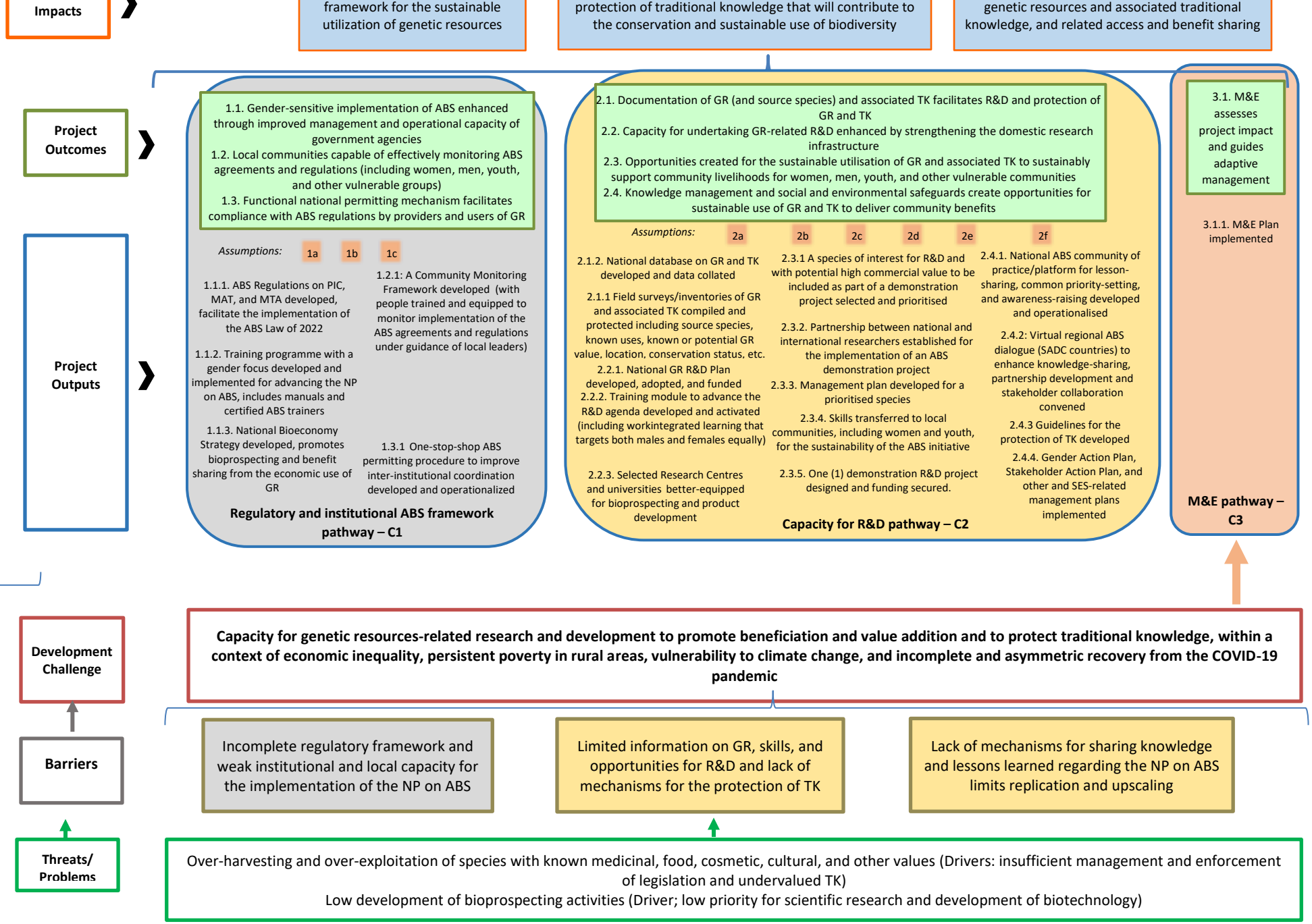



Figure 1. Theory of change (for assumptions please refer to text).

# V. RESULTS AND PARTNERSHIPS

Expected Results*:*

**Component 1. Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation**

*Outcome 1.1. Gender-sensitive implementation of ABS enhanced through improved management and operational capacity of government agencies.*

**Output 1.1.1. ABS regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA) finalized to facilitate implementation of the ABS Law enacted in 2022.**

*30.* With support of the GEF (GEF Project ID 5731), Botswana developed a Draft ABS Bill that was adopted in June 2022. In addition, the Ministry of Environment, Natural Resources Conservation and Tourism (MENRCT) has been working with the DEA's legal team on operational regulations for implementing key aspects of the ABS Bill. To effectively implement this legislative instrument, the project will support the finalization of regulations that provide operational clarity on PIC, MAT, and MTA. Therefore, and in line with Section III (*Access to, and Utilisation of Biological or Genetic Resources and Associated Traditional Knowledge*) of the ABS Bill, the project will enhance institutional capacity and put measures and mechanisms into place to operationalise Botswana's ABS Bill. Led by the DEA/MET legal team, the project will support finalizing ABS-related regulations, including: a) PIC form; b) MTA (Model Clauses); c) MAT (Model Contract); d) Form of application for access permit; e) Form of access permit; f) ABS guidelines; and, g) Schedule of fees. To this end, the following activities will be carried out:

- Assess the status of the existing regulatory texts.
- Update the existing regulatory texts and draft complementary legal and regulatory texts, as needed. This activity will be completed by the DEA/MET legal team.
- Validate the updated/final regulatory texts with key stakeholders, including the interinstitutional ABS Technical Team/National Biodiversity Authority (NBDA) [8].
- Submit the final drafts of regulations for approval.
- Conduct a Strategic Environmental and Social Assessment (SESA) of the upstream risks in line with the project's Environment and Social Management Framework (ESMF) included in Annex 8.

**Output 1.1.2. Training programme with a gender focus developed and implemented for advancing the Nagoya Protocol on ABS, including manuals and certified ABS trainers**

*31.* The project will enhance the institutional capacity and put measures and mechanisms into place to operationalise Botswana's ABS Law. At the institutional level, there is still a poor understanding of the NP among key government institutions; thus, the project will focus on enhancing awareness and understanding of the NP and the ABS Law among government stakeholders who are mandated to lead the domestication process (DEA, DWNP, DFRR Minister of Health and Wellness, Agriculture Boarder Inspectors, and Local Governments) and in line with Article 22 (Capacity) of the NP. This process will not only enable these agencies to improve operational efficiency but will also position them to adequately assist providers and users of GR. The project will build on the findings of the assessment conducted as part of the PPG phase using the UNDP ABS Capacity Development Scorecard to assess institutional capacity for ABS. The implementation of the ABS training program will make use of a "training the trainers" approach and will consider biosafety protocols associated with the COVID-19 pandemic, as needed. The following activities will be conducted:

[8] The NBDA was constituted after the country became party to the CBD in 1995 and its members contribute to biodiversity projects when required.

- Define the team of people who will be trained in ABS based on the capacity needs assessment report developed during the PPG, for training other key stakeholders.
- Identify an internationally accredited company in building capacities for the implementation the NP on ABS, which will include the development of all aspects of the training programme, including the use of their own Accredited Training Manuals.
- Develop a training action plan; taking into account the capacity needs assessment report.
- Implement the training action plan, which includes a course on "training the trainers" on the NP on ABS (Certification of Trainers).
- Conduct national and international learning exchanges on specifically identified training needs (e.g., ABS contract negotiations, E-permitting systems, associated TK documentation, and protection systems).
- Evaluate and revise the training plan using the ABS Capacity Development Scorecard applied at least once more during the life of the project (to be conducted as part of the project's M&E Plan, Section VII).

**Output 1.1.3. National Bioeconomy Strategy developed, promotes bioprospecting and benefit sharing from the economic use of genetic resources.**

*32.* The project will develop a broad-base NBS through a coordinated effort among key government agencies, including the Botswana Institute for Technology Research and Innovation (BITRI); the National Agricultural Research and Development Institute (NARDI); the Department of Agricultural Research and the Department of Agribusiness Promotion of the Ministry of Agricultural Development and Food Security; the MET Research & Development Unit; the Department of Research Science and Technology (DRST)/Ministry of Tertiary Education, Research, Science and Technology; and the Ministry of Trade and Industry, among others. The NBS will result from a countrywide consultation process with the economic sectors (agriculture, agro-industry, pharmaceutical industry, nutraceuticals industry, etc), the academic sector, civil society, and holders of TK, among others. The strategy will be an important contribution in promoting Botswana's economic growth and sustainable development focusing on innovation and value addition, the development of new biotechnologies and biotechnology products, bioprospecting and economic use of the GR, and protection of the environment. The NBS will follow principles of social inclusion (inclusion of women, youth, and other vulnerable groups) to ensure these groups' participation and the equitable distribution of economic benefits and will promote a favourable business environment focusing on the marketing and the commercialization of biological and GR-based products. The specific activities to be supported are:

- Undertake learning exchange on bioeconomy processes, such as with South Africa and members of the East African Community (Democratic Republic of Congo, Burundi, Kenya, Rwanda, South Sudan, Uganda, and Tanzania)[9].
- Develop and validate the NBS and action plan through a participatory process. The NBS will define the pathway for Botswana to use its rich biological and GR in a sustainable way though innovation and value-chain addition, while promoting economic diversification.
- Identify promising bioprospecting activities from the action plan that could contribute to enhancing R&D capacities and scaling-up in the country in line with Project Component 2.
- Publish (hard copy and online) and disseminate the NBS.
- Conduct a SESA of the upstream risks in line with the project's ESMF, which is included in Annex 8.

*Outcome 1.2. Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups).*

**Output 1.2.1. A Community Monitoring Framework developed (with guidelines to train and equip community members to monitor ABS agreements and regulations under guidance of local leaders [e.g., Kgosi, village committees, etc.]).**

[9] The East African Community has unveiled the Regional Bioeconomy Strategy 2021/22-2031/32 in 20202 (https://www.eac.int).

*33.* The project will enhance the capacity of local communities to participate in monitoring as well as enhance transparency about the utilisation of GR giving special attention to women and youth and other vulnerable groups. Specifically, the project will develop a Community Monitoring Framework focusing on the panhandle area of the Okavango Delta in northern Botswana. Local community members will be trained and equipped to monitor ABS agreements, when these are established, as well as contribute to the implementation of the regulations to be developed by the project (Output 1.1.1). This will include guiding local leaders (e.g., Kgosi village committees, etc.) and their use of local communication tools so that monitoring information is effectively shared to support local decision-making and used by national ABS authorities as part of the monitoring and reporting of the implementation of the country's obligations under the NP. All consultations and training will consider biosafety protocols associated with the COVID-19 pandemic, as needed. The activities to implemented are as follows:

- Undertake local consultations in selected communities (Shaikarawe, Shakawe, and Seronga villages) to assess expectation and needs.
- Develop the monitoring framework, including the identification of key indicators to assess the sustainable utilisation of GR and the equitable distribution of derived benefits.
- Develop monitoring guidelines, including procedures for establishing monitoring teams when ABS agreements are established.
- Develop training manuals and other tools for training monitors when ABS initiatives are developed in the future (for example within the framework of the demonstration R&D project under Output 2.3.5).
- Validate the Community Monitoring Framework with local communities.
- Deposit all products developed in the Environmental Information System that is being created under the GEF-6/UN Environment Programme (UNEP) Project *Building Core Capacity for the Implementation, Monitoring and Reporting of Multilateral Environmental Agreements (MEAs) and Relevant Sustainable Development Goals (SDGs) in Botswana* (GEF Project ID 9808). In addition, all products developed will be shared through the National ABS CoP/platform to be developed under Output 2.4.1.
- Ensure compliance with the project's ESMF/Indigenous Peoples Planning Framework (IPPF) (Annex 8), including free, prior, and informed consent (FPIC) requirements.

**Output 1.2.2. Standards for developing Biocultural Community Protocols (BCPs) agreed upon with local communities based on the guidelines for obtaining PIC and MAT.**

*34.* The project will develop guidelines for documenting BCPs with the active participation of local community leaders and representatives (including women leaders). These guidelines will enable users of GR to be aware about how customary laws, values, and local decision-making processes, particularly those concerning stewardship of their territories and natural resources, must be considered when accessing TK associated with GR and the fair and equitable sharing of benefits arising from the use of such knowledge, in line with NP Articles 12 (Traditional Knowledge Associated with Genetic Resources) and 21 (Awareness Raising). All consultations with local communities will consider biosafety protocols associated with the COVID-19 pandemic, as needed. The following activities will be implemented:

- Undertake consultations with selected local communities to assess expectations and needs, including management, ownership, and use of biological and GR.
- Develop the BCP standards using as a guide the existing tools (e.g., IUCN[10], The ABS Initiative/BMZ[11], and Natural Justice[12]) and contextualizing them according to national needs.
- Validate the BCP standards with selected local communities.

[10] https://www.iucn.org/content/biocultural-community-protocols-a-toolkit-community-facilitators-natural-justice
[11] https://www.bmz.de/en/issues/biodiversity/benefit-sharing/abs-initiative-89110
[12] https://naturaljustice.org/publication/biocultural-community-protocols/

- Deposit, disseminate, and publish the BCP standards, using both languages in a simple form (English and Setswana).
- Conduct awareness-raising activities with potential users of GR (academia, research canters, and private companies).
- Develop and implement knowledge attitude and practice (KAP) tool to assess the level of awareness of potential GR users about the role of BCPs. The KAP survey will be conducted before and after the awareness raising activities.
- Ensure compliance with the project's ESMF/IPPF (Annex 8), including FPIC requirements, and conduct a SESA of the upstream risks.

*Outcome 1.3. Functional national permitting mechanism facilitates compliance with ABS regulations by providers and users of GR.*

**Output 1.3.1. One-stop-shop ABS permitting procedure to improve inter-institutional coordination developed and operationalized including:**

*35.* **a) E-permitting system (encompassing scientific research, bioprospecting, product development, and associated TK).**

*36.* The project will develop a centralized ABS permitting procedure to enhance compliance and efficient operationalisation of the national ABS regulatory framework, including the regulations to be developed/finalized under Output 1.1.1. More specifically, an e-permitting system will be made accessible to all stakeholders to facilitate ease of interaction, including application and granting of ABS permits, between users of GR and/or TK (e.g., research institutes, universities, and private companies) and environmental authorities (e.g., DEA and District Councils). In addition, this will also serve to facilitate participation by international participants in bioprospecting and product development, ultimately strengthening efficiency in the ABS regulatory domain in Botswana. The e-permitting system will also be used so that the government may report on the implementation of the NP on ABS, in particular in regard to scientific research, bioprospecting, product development, and associated TK. The e-permitting system will be housed within the DEA/MET and its development is in line with Article 22 (Capacity) of the NP, which calls for the "employment of best available communication tools and Internet-based systems for access and benefit-sharing activities." The activities to be conducted are as follows:

- Assess system requirements (e.g., software, hardware, and human resources) based on the local needs and capacities for operation and use.
- Undertake learning exchanges with countries with similar experiences (e.g., Kenya) to build skills for the operationalisation and sustainability of the e-permitting system.
- Develop a standardized electronic platform for the ABS e-permitting system, including a user-friendly manual.
- Socialize/disseminate the ABS e-permitting system among providers and users of GR (nationally and internationally).

**b) Electronic interface with the Companies and Intellectual Property Authority (CIPA) online registration system for TK.**

*37.* The project will make available an online registration system for registering TK using an electronic interface with CIPA's online registration system. CIPA is a parastatal under the Ministry of Trade and Industry and is mandated to register businesses and protect intellectual property rights. Thus, this system will contribute to clarifying terms on benefit-sharing in relation to intellectual property when accessing GR and in line with ABS regulations and TK guidelines (refer to Output 2.4.3) and Article 6 (Access to Genetic Resources) of the NP. The specific activities to be implemented are as follows:

- Establish communication and sign a Memorandum of Understanding (MOU) between authorities of DEA and CIPA to move forward in operationalising the electronic interface for registering TK.

- Conduct workshops and meetings with technical staff from both agencies to define system needs and variables for the CIPA system that consider any other needs for the effective operation of the electronic interface.
- Conduct consultations with local communities and providers in relation to how information and TK can be shared.
- Create and design the interface by both agencies' IT, including instructions to provide and access information by the general public, particularly local communities, and restrictions of access.
- Define a mechanism for periodic reporting on TK information being shared through the electronic interface.

**Component 2. Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management.**

*Outcome 2.1. Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK.*

**Output 2.1.1. National GR database developed, data collated, and mechanisms for the protection of information in place.**

*38.* The project will invest in field surveys and inventories of biological resources and associated TK (i.e., species, known uses, known or potential GR value, location, and conservation status). This will be done in consultation with potential providers (e.g., local community members and local leaders, particularly from the panhandle of the Okavango Delta in the Northwest district) and users of GR (e.g., research institutions, universities, and private companies). There are currently some inventories of GR and TK in the country. The literature stemming from ethnobotany, scholarly articles, and other studies have documented different species and associated indigenous/traditional and community knowledge about the resources, as well as areas where they are located. However, when products are commercialised, this is done only within the framework of biotrade. The information available will be complemented with information obtained through the surveys and inventories of biological resources and associated TK, focusing on the Okavango Delta in the Northwest district, and will be collated in a national database that is made available to all potential providers and users of GR. The Okavango Delta in the Northwest district was selected as the target area because: a) it is an area rich in biodiversity; b) it is an area where a significant number of communities are directly dependent on biodiversity and wild genetic resources; and c) it is an area where many local communities directly use their TK about GR for their livelihoods and income generation. The activities to be completed are as follows:

- Confirm the host for the database; this will probably be CIPA as discussed during the PPG and a letter of agreement will be solicited from CIPA confirming the same.
- Identify needs (software and hardware) and develop variables through a consultation process for the database considering existing information such as CIPA's database on TK and intellectual property.
- Develop the national GR database and validation with key stakeholders, including a user's manual and procedures to access information and mechanisms to protect GR and TK confidential information.
- Collate data into the GR database from the inventory report of GR to be completed through Output 2.1.2 and other information available nationally.
- Define jointly with DEA and CIPA a sustainability strategy for the database, including financial resources, human resources, and maintenance.

**2.1.2. Field surveys/inventories of GR with known or potential value and associated TK compiled and protected, including source species, known uses, location, conservation status, etc.**

*39.* The project will support the development of an inventory of GR with known or potential value and associated TK focusing on the Northwest/Ngamiland District of Botswana, particularly the panhandle area of the Okavango Delta. The inventory will be completed in consultation with potential providers (e.g., local community

members and local leaders, including women), and users (e.g., research institutions, universities, and private companies) of GR. To achieve this, the following activities will be supported:

- Constitute field survey teams with the participation of local community members, including women.
- Conduct workshops and meetings to define variables with experts and to identify available information using secondary sources and existing databases, if available.
- Develop the survey plan and survey tools and define criteria for data collection.
- Train the survey team in data collection and reporting.
- Undertake field surveys/inventories of GR and compile and analyse results.
- Develop inventory report that will feed into the national GR database to be administered by CIPA (Output 2.1.2). The compiled TK data will be protected through the mechanism to access confidential information developed under Output 2.1.2.
- Ensure compliance with the project's Comprehensive Stakeholder Engagement Plan (Annex 7), the ESMF/IPPF (Annex 8), including FPIC requirements, and the Gender Action Plan (Annex 9).

*Outcome 2.2. Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure.*

**Output 2.2.1. National GR R&D Plan developed, adopted, and funded.**

*40.* There is limited information available on the scientific research on species in Botswana, in particular research leading to development into commercial products under ABS agreements. There is minimal information about the compounds or extracts within the country's GR; among the 36 species of plants identified in the baseline assessment during the PPG, only three species (*Harpagophytum procumbens, Adansonia digitata*, and *Croton megalobotrys*) are being actively researched in Botswana and have known active compounds. However, these species have been researched extensively elsewhere; thus, there are limited opportunities for the identification of additional active compounds or extracts that may lead to innovative R&D and benefit-sharing. To overcome this limitation and promote opportunities for conducting R&D, the project will develop a National GR R&D Plan through a participatory process that brings together regulators (national and local authorities), providers (e.g., local communities) and users (e.g., botanical gardens, research institutions, universities, and private companies) of GR and associated TK. The following activities will be implemented to develop the National GR R&D Plan:

- Constitute an interdisciplinary team and working groups from national and local institutions to conduct consultations and to support the development of the Plan.
- Undertake a situational analysis, including the identification or R&D bottlenecks, and consultations with regulators, providers, and users of GR and associated TK through workshops and meetings at the national and local levels.
- Develop the National GR R&D Plan, including a resource plan, that includes institutional arrangements to improve coordination and collaboration nationally and internationally, and efforts to complement R&D and to share R&D results and scientific information, data management, and short-term and long-term action plans, among other aspects.
- Validate the Plan through stakeholder workshops.
- Publish (hard copy and online) and roll out the Plan.
- Conduct a SESA of the upstream risks in line with the project's ESMF, which is included in Annex 8.

**Output 2.2.2. Training module to advance the R&D agenda developed and activated (including work-integrated learning that targets both males and females equally, and institutional arrangements for coordination).**

*41.* The project will develop a training module specifically for users of GR and associated TK (e.g., research centres, universities, and private sector companies) as part of the strategy to enhance the national capacity for R&D.

The project will make use of an accredited institution to develop the module and bring together the people interested in R&D and promote institutional coordination and collaboration in R&D efforts. The development of the training module will build on the capacity assessment conducted during the PPG. All training will consider biosafety protocols associated with the COVID-19 pandemic, as needed. The following activities will be considered to develop the training module:

- Undertake a capacity needs assessment of additional needs and expectations.
- Develop the training module using an international accredited institution in R&D.
- Implement the training module, which will include an internship program, short courses (e.g., eLearning and instructor-led training), case studies, and professional exchanges at the national and international levels, among other options.
- Assess the impact of training using a gender-sensitive survey (to be conducted as part of the project's M&E Plan, Section VII) and considering the project's Gender Action Plan (Annex 9).

**Output 2.2.3. Selected research centres and universities better equipped for bioprospecting and product development.**

*42.* The project will contribute to better prepare national research centres and universities (e.g., BIUST, University of Botswana, University of Botswana-Okavango Research Institute (ORI), BUAN, BITRI, and National Agricultural Research and Development Institute) to conduct R&D. More specifically, the project will provide infrastructure laboratory and field equipment (e.g., laboratory space, chromatographic and spectroscopy equipment commonly used to identify compounds and obtain active extracts associated with GR, growing chambers, computer hardware and software, etc.) and training in their use, as needed, to selected institutions for conducting bioprospecting and product development. During the PPG a needs assessment was conducted to determine the most cost-effective approach to strengthen research institutions. The following activities will be completed for this task:

- Undertake a situational analysis/needs assessment for selected research centres and universities; this will include undertaking a learning exchange experience (e.g., South Africa) to acquire the knowledge needed to conduct the situational analysis.
- Prioritise institutions for project support through a transparent process and based on the results of the situational analysis.
- Implement the recommendations and action plan for the situational analysis, including applicable procurement (and permitting when needed) of relevant laboratory infrastructure and equipment and related training of research teams.
- Comply with standards and request institutional accreditation from the Botswana Bureau of Standards (BOBS), including specifications or codes of practice of selected laboratories for conducting R&D.

*Outcome 2.3. Opportunities created for the sustainable utilisation of GR and associated TK to sustainably support community livelihoods for women, men, youth, and other vulnerable communities.*

**Output 2.3.1. A species of interest for R&D and with high potential for commercial value included as part of a demonstration project selected and prioritised.**

*43.* Based on the information obtained from field surveys and inventories of GR and associated TK (Output 2.1.), the project will select and prioritise one species within the Okavango Delta in the Northwest district with known GR and exploitable properties for future R&D. A species will be chosen that has not already been subject to R&D elsewhere and for which there are already competitive, commercialized products; this will ensure that there is room for research and innovation for adding value to the selected species/GR and potential for sharing benefits, particularly among local communities. To this end, the following activities will be implemented:

- Develop criteria for undertaking species prioritization. The selection of a species will be done considering the following: a) information included in the national database, and b) a decision-making matrix based

socio-economic and ecological criteria (including climate vulnerability) and R&D potential that will identify a high-value GR with associated TK.

- Identify stakeholders to undertake the prioritisation of a species in partnership with DEA and the project team; this will include local communities, research teams, and the private sector.
- Map the value chain of the prioritized species/GR and identify potential for adding value and product development.
- Adopt the recommendations from the species/GR prioritisation exercise for its inclusion in a demonstration R&D project (Output 2.3.5) and communicate results to relevant stakeholders, including local communities.

**Output 2.3.2. Partnership between national and international researchers established for the implementation of an ABS demonstration project.**

*44.* The project will identify international partners with interest in supporting R&D to work closely with national research partners for the future commercialisation of an ABS product from the prioritised species/GR. This is in line with the first part of NP Article 23 (Technology Transfer, Collaboration and Cooperation), which calls for Parties to cooperate in technical and scientific R&D programmes, including bioprospecting activities. PPG assessments indicated that the national capacity to advance R&D is limited; thus, establishing partnerships with international researchers will be fundamental for promoting innovation and as a means to achieve the fair and equitable sharing of the benefits arising from the utilisation of GR in Botswana. In addition, establishing partnerships between national and international researchers will be a key aspect for designing and securing funding for a demonstration ABS initiative to be developed under Output 2.3.5. The specific activities to be implemented are the following:

- Assess already existing collaboration efforts as well as new opportunities and interest for joint scientific research and the commercialisation of ABS products.
- Identify national and international researchers interested in R&D associated with a prioritised species/GR, making use of existing diplomatic channels in collaboration between DEA/MET and the Ministry of Foreign Affairs.
- Establish communication (or strengthen communication mechanisms where partnerships already exist) between national and international researchers, discuss expectations, and identify shared R&D goals.
- Define terms and establish collaborations through MOUs or other type of agreement.

**Output 2.3.3. Management plan developed for a prioritised species.**

*45.* To ensure the conservation and sustainable use of the selected priority species/GR, the project will develop a "climate-smart" management plan through a consultation process involving all relevant stakeholders. The "climate-smart" management plan will be endorsed with the participation of local communities, including women and other vulnerable groups, and will include at least the following: a) assessing the current conservation status of the species/GR selected and the population to be sampled/collected, as well as their habitat and/or associated ecosystem(s) in the Okavango Delta; b) obtaining information about TK associated with the species/GR and habitat conservation, use, and management; c) defining collection/harvesting protocols; d) outlining monitoring activities to periodically assess the conservation status of the selected species/GR and its habitat/ecosystems; and d) defining funding mechanisms for its sustainability. This will include the following activities:

- Constitute a national team to develop the "climate-smart" management plan.
- Conduct rapid conservation, including climate change threats, and TK status assessment with the participation of local communities.
- Develop and validate the "climate-smart" management plan in consultation with local communities holding TK associated with the prioritised species/GR. The development of the management plan will consider the guidelines for a Biodiversity Management Plan in the UNDP SES Toolkit (https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx), and existing applicable national guidelines.

- Publish (electronically and in hard copy) and distribute the "climate-smart" management plan and collection/harvesting protocols among key stakeholders.
- Ensure compliance with the project's Comprehensive Stakeholder Engagement Plan (Annex 7), the ESMF/IPPF (Annex 8), including FPIC requirements, and the Gender Action Plan (Annex 9).

**Output 2.3.4. Skills (ABS project and financial management, marketing, negotiation of ABS agreements, biodiversity conservation and sustainable use, access to genetic resources and TK associated with GR, etc.) transferred to local communities, including women and youth, for the sustainability of the ABS initiative.**

*46.* The project will train local communities, including women and other vulnerable groups from the villages of Shaikarawe, Shakawe, and Seronga in the panhandle of the Okavango Delta, in ABS project management, negotiation of ABS agreements, biodiversity conservation, access to GR and associated TK, among other topics. The skills developed will allow local communities to be active participants in opportunities for the sustainable utilisation of GR and associated TK to sustainably support their livelihoods. Capacity development under this output is in line with NP Article 22 (Capacity), which calls for "special measures to increase the capacity of indigenous and local communities with emphasis on enhancing the capacity of women within those communities in relation to access to genetic resources and/or TK associated with genetic resources." All training activities will consider biosafety protocols associated with the COVID-19 pandemic, as needed. The following activities will be conducted:

- Identify the trainers, which will be part of those trained under Output 1.1.2.
- Conduct community skills inventory and assess needs using as a basis the capacity assessment conducted during the PPG.
- Develop and implement the skills/training programme, including the use of workshops, field visits, exchanges, etc.
- Assess changes in capacity using the ABS Capacity Assessment Scorecard for indigenous and local communities (ILCs) at least once more during the life of the project (to be conducted as part of the project's M&E Plan, Section VII).
- Ensure compliance with the project's Comprehensive Stakeholder Engagement Plan (Annex 7), the ESMF/IPPF (Annex 8), including FPIC requirements, and the Gender Action Plan (Annex 9).

**Output 2.3.5. One (1) demonstration R&D project designed, and funding secured.**

*47.* To promote R&D in Botswana, the project will design a demonstration ABS project (project proposal) with local participation, including women and the private sector, for a species of interest for R&D and with high potential for commercial value prioritised under Output 3.2.1. The project team and DEA/MET (i.e., Executing Entity) will define a funding strategy to ensure that the required financial resources (financing different from that of the GEF-7 for the project proposed herein) are in place for the implementation of the demonstration ABS project. The following activities will be performed as part of this output:

- Constitute a team to develop the proposal, with women's participation (including local community/holders of TK, and national and international researcher collaborators).
- Draft and validate the ABS/R&D proposal with providers and users of the GR/species prioritised, including outlining and implementing a plan for the proposal development, facilitating proposal writing sessions, engaging ABS, R&D experts, and the private sector, identifying and pursuing sources of co-funding, and developing a budget that align with R&D needs, etc.
- Identify and submit the ABS/R&D proposal to the National Environment Fund, the National Transitional Development and international donors for funding.
- Sign the funding agreement or acceptance of funding letter, as needed.
- Ensure compliance with the project's ESMF/IPPF (Annex 8), including screening for social and environmental safeguard risks (including appropriate guidelines measures for further risk assessment and mitigation) and FPIC requirements, and considering the project's Gender Action Plan (Annex 9).

*Outcome 2.4. Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to deliver community benefits.*

**Output 2.4.1. National ABS community of practice (CoP)/platform for lesson-sharing, common priority-setting, and awareness-raising developed and operationalised.**

*48.* The project will support the implementation and strengthening of mechanisms for exchanging ABS-related information and knowledge. To this end, a national ABS CoP/platform for lessons and knowledge-sharing, common priority-setting, and awareness-raising will be developed and operationalised. The platform will be designed through a participatory consultation process, addressing the needs of decision-makers, local communities, research institutions, and the private sector in terms of information-sharing. To promote participation of local communities and transparency, information-sharing will make use of a format that is community-friendly and in both English and Setswana (other local languages will be used when needed). Members of the CoP will be informed periodically about information updates through social media (Facebook, WhatsApp, etc.), text messages, and other mechanisms that are commonly used. The platform will also be used as a space for discussion of issues related to the NP on ABS and for sharing information about the progress of the project. The CoP/platform will operate as part of the Environmental Information System being developed under the GEF-6/UNEP Project (GEF Project ID 9808). The following activities will be carried out as part of the output:

- Identify ABS experts and interested parties and across multiple sectors and formalise the group of people that will constitute the CoP, noting that additional people interested in being part of the CoP during the life of the project will be welcomed.
- Assess system requirements (software, hardware) to effectively integrate the CoP platform into the Environmental Information System administered by MET.
- Establish modalities of operation to periodically update the CoP/platform (e.g., e-forums, in-person meetings, development of publications, etc.)

**Output 2.4.2. Virtual regional ABS dialogue (SADC countries) to enhance knowledge-sharing, partnership development, and stakeholder collaboration convened.**

*49.* The project will convene a virtual regional ABS dialogue among the SADC countries (Angola, Botswana, Comoros, Democratic Republic of Congo, Eswatini, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Tanzania, Zambia, and Zimbabwe) to enhance knowledge-sharing, partnership development, and stakeholder collaboration. Considering that the SADC Secretariat already coordinates efforts under the CBD, the project will make use of this collaboration mechanism to insert ABS dialogue as part of these efforts. More specifically, the following activities will be completed:

- Develop a concept note and initiate and discuss rules for engagement with the SADC office to serve as mechanism for the coordination of dialogue on ABS.
- Identify countries within the SADC implementing or developing ABS projects or implementing the NP on ABS.
- Develop an action plan for the operationalisation of virtual regional ABS dialogue.
- Establish discussion groups and hold virtual meetings periodically (at least twice a year), under the leadership of DEA/MET and support from the project team, to discuss issues related to the implementation of the NP on ABS, and areas for cooperation/exchange of information and lessons learned between projects.
- Establish links with the ABS Clearing-House platform to further enhance discussion and sharing of information.

**Output 2.4.3. Guidelines for the protection of TK developed.**

*50.* The project will develop guidelines to further protect TK associated with GR. Building on the Code of Conduct on Researching Traditional Knowledge Associated with Genetic Resources developed as part of the Global

GEF-UNDP ABS project (*Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol* - GEF Project ID 5731), and in line with Botswana's ABS Bill and NP Articles 7 (Access To Traditional Knowledge Associated With Genetic Resources) and 12 (Traditional Knowledge Associated with Genetic Resources), the project will develop specific guidelines to protect TK. This will include defining measures to ensure the illegal appropriation of TK (e.g., obtaining patents over GR and associated TK, which do not fulfil requirements of innovation), and to ensure that access to GR that involves TK is done considering PIC and agreeing to fair and equitable benefit sharing. To this end, the following activities will be executed:

- Constitute a national team consisting of regulators (e.g., DEA/MET and CIPA), local community representatives, research agencies and academia, and the private sector to develop the guidelines to protect TK.
- Consult with holders of TK in selected communities around the country to ensure their views and expectations for protecting TK are fully considered.
- Draft the guidelines for protection of TK (e.g., general guidelines and sector-specific guidelines), in line with regulations develops under Output 1.1.1, the ABS Bill, and other regulatory instruments.
- Validate with holders of TK and other key stakeholders the drafted guidelines.
- Publish and disseminate the guidelines among providers and user of GR and associated TK.
- Adoption by regulators of the guidelines as a mandatory instrument in granting access to GR resources and associated TK.
- Ensure compliance with the project's ESMF/IPPF (Annex 8), including FPIC requirements and conduct a SESA of the upstream risks.

**Output 2.4.4. Gender Action Plan, Stakeholder Engagement Plan, and other SES-related management plans implemented.**

*51.* UNDP's SES require that the project enhances positive social and environmental opportunities and benefits, and that it ensures that adverse social and environmental risks and impacts are avoided, minimized, mitigated, and managed. Social and environmental safeguards have been incorporated into the project design in line with the risk assessment conducted using UNDP's Social and Environmental Screening Procedure (SESP) and the ESMF/IPPF developed during the PPG. Appropriate risk management measures have been defined and additional risk assessments have been identified in line with UNDP's SES. In line with UNDP SES Standard 6, the FPIC process was begun during the PPG phase and will continue during project implementation with the aim of achieving consent from the specific rights-holders, as needed. Project activities that cannot start until specific risk mitigation measures are in place (SESA/ Environmental and Social Management Plan [ESMP]) and that are required to comply with FPIC have been identified as part of the ESMF.

*52.* Principle 2 of the UNDP's SES indicates that the project must promote gender equality and empower women. In addition, the project seeks to reduce gender inequalities in access to and control over resources and the benefits of development, and will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to project resources, and receive comparable social and economic benefits. A Gender Action Plan was developed during the PPG following a gender analysis to ensure equitable participation of women and men in the project and effective gender mainstreaming. In addition, a Stakeholder Engagement Plan was developed during the PPG, which will allow for the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. It will also enhance project acceptance and ownership, ensure the delivery of benefits of project interventions, and will strengthen its social and environmental sustainability.

*53.* These steps will ensure that all activities under project Components 1 and 2 comply with UNDP and GEF requirements regarding social and environmental safeguards. More specifically, the following activities will be carried out:

- Periodically update the SESP to assess existing risks and identify potential new risks.

- Conduct a detailed assessment of the cumulative project-wide risks under the upstream planning, policy, and strategic components (SESA), focusing on the impacts of Outputs 1.1.1, 1.1.3, and 2.2.1.
- Develop and implement SES-related management plans (e.g., ESMP and IPP) in line with ESMF/IPPF.
- Implement the Gender Analysis and Action Plan and the Stakeholder Engagement Plan and update them as needed.
- Fully design, operationalise and disseminate the project Grievance Redress Mechanism.
- Openly disclose and disseminate all new SES-related plans developed (e.g., ESMP and IPP).
- Periodically monitor and evaluate all risk management measures as part of the project's M&E Plan (Section VII).

**Component 3. Monitoring and evaluation (M&E)**

*Outcome 3.1. M&E assesses project impact and guides adaptive management.*

**Output 3.1.1. M&E Plan implemented.**

*54.* Project monitoring will be guided by the project's M&E Plan in Section VII of this Project Document, which was developed in compliance with UNDP requirements for project-level M&E. The implementation of the project will be launched during a project inception workshop with the participation of the key project stakeholders from the national and local government, the private sector, research centres and academia, NGOs, and local communities, among others. Project results as described in the Project Results Framework (PRF) will be monitored annually and periodically evaluated during project implementation to ensure that the project achieves these results, including gender-related indicators. The M&E Plan will also be used to support adaptive management in such a way that the experiences resulting from the implementation of activities can be integrated into the annual project programming, including the adaptation of the PRF (including indicators and targets), organisational structure and/or PMU, gender and stakeholder participation approach, timelines and work plans, and of priorities that result from changes in context and needs, including evolving and/or new social and environmental risks or other risks.

*55.* Annual GEF Project Implementation Reports (PIRs) will be delivered, which will allow for periodically monitoring of project progress toward its development objective/outcomes and implementation. In addition, they will identify difficulties as they arise during implementation and ensure that the required corrective actions are taken. An independent Terminal Evaluation (TE) will be conducted at end of project implementation, with GEF core indicators and financial indicators assessed. Since this is a Medium sized projects (MSP) it is not required by the GEF to conduct a Mid-Term Review (MTR). TE and PIR quality ratings are expected to be satisfactory (S) or better.

<u>Partnerships</u>:

*56.* The project will be fully coordinated with a number of ongoing relevant GEF-financed initiatives to avoid duplication and increase synergies and effectiveness. Botswana is currently implementing the following ongoing and planned projects that this project will coordinate with:

*57.* The project proposed herein will coordinate actions with GEF-UNEP Project *Building Core Capacity for the Implementation, Monitoring and Reporting of Multilateral Environmental Agreements (MEAs) and Relevant Sustainable Development Goals (SDGs) in Botswana* (GEF Project ID 9808). Currently under implementation by the MET, this GEF-6 project aims at strengthening the national capacity for environmental information and knowledge management for the implementation, monitoring and reporting of MEAs and relevant SDGs in Botswana. It will allow operationalization of a system for the management of environmental information and knowledge and its use in decision-making, assessment, planning, and reporting. Coordination will be directed to ensuring that all relevant information produced under this GEF-7 project is fed into the system for the management of environmental information and knowledge for its storage and to make it available to all system users.

*58.* The project will build on the Global GEF-UNDP ABS project *Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol* (GEF Project ID 5731) to assist countries in the development and strengthening of their national ABS frameworks, human resources, and administrative

capabilities to implement the NP. This will include developing specific regulations for the implementation of the ABS Law drafted as part of the Global ABS project, defining guidelines for developing BCPs considering the experiences for the Kgetsi Ya Tsie Tswapong Hills Women's Resources Enterprise Community Trust BCP (morula tree – *Sclerocarya birrea*) and the Matute-a-Mongongo Women's Group (mongongo oil – *Schinziophyton rautanenii*), and consolidating partnerships for R&D based on previous efforts for building trust between users and providers of GR to facilitate the identification of biodiscovery efforts, etc.

*59.* The project will build on, and partner with, the National Environmental Fund (NEF). The NEF has supported the domestication of the NP through provision of grants to community organisations involved in ABS-related projects. The NEF is a financing mechanism established by the Government of Botswana to provide grants to legally established community organisations pursuing environmental management projects. The NEF has supported projects on natural resources management, capacity building, and awareness raising. The NEF is replenished through resource royalties, plastic levy, pollution fines, and other national taxes.

*60.* The project will build on awareness- and capacity-building activities of the DEA, who are the national focal points for the CBD. The DEA has, since acceding to the NP, been involved in national awareness-raising activities. The activities have been targeted at communities, community organisations, and research entities. Though there are more stakeholders that need to be capacitated and informed of the NP and its implications for Botswana, the awareness-raising activities of the DEA have made an impact on some resource owners and users. Through these awareness activities, the DEA established a National ABS committee, which is an interim multi-stakeholder committee that convenes every quarter to consider ABS requests and guide the overall national implementation of the NP.

| **Co-financing source**[13] | **Co-financing type** | **Co-financing amount** | **Included in project results?** | **If yes, list the relevant outputs** |
|---|---|---|---|---|
| Government of Botswana/ Ministry of Environment, Natural Resources Conservation and Tourism | In-kind | 6,000,000 | No | |
| | Grant | 3,000,000 | No | |
| Botswana University of Agriculture and Natural Resources | In-kind | 700,000 | No | |
| BirdLife Botswana | In-kind | 150,000 | No | |
| Companies Intellectual Property Authority | In-kind | 15,000 | No | |
| Kalahari Conservation Society | In-kind | 150,000 | No | |
| UNDP | In-kind | 150,000 | No | |

Risks*:*

*61.* The project activities are designed to ensure that there is minimal or no risks of adverse social or environmental impacts, and those risks to project success are identified and duly managed. During the project design stage, the social and environmental screening (UNDP SESP) was updated (see Annex 4) and an ESMF was developed (see Annex 8), for the purpose of guiding the assessment and management of the identified social and environmental risks during the implementation of the project. The overall project risk categorization is Substantial. An IPPF was prepared to set out the requirements of UNDP SES Standard 6, organizational arrangements, and design criteria to be applied to the project components that are not yet defined and will be prepared during project implementation. The ESMF identifies the steps for detailed screening and assessment (e.g., SESA) for the project's potential social and environmental risks, and for preparing and approving the required management plans (e.g., ESMP and IPP) for

[13] Letters of financial commitments are included in Annex 11.

avoiding, and where avoidance is not possible, reducing, mitigating and managing these potential adverse impacts. In addition, a Comprehensive Stakeholder Engagement was developed (see Annex 7) and a Grievance Redress Mechanism (GRM) will be in place to provide an avenue for stakeholders to voice any concerns or objections that may arise related to the project.

*62.* As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk register. Management responses to high risks, as well as environmental and social grievances will also be reported to the GEF in the annual PIR. The detailed risk management strategy for the project is included in Annex 5.

*63.* Climate change risks: Botswana has observed considerable temperature increases and since the 1970s and average temperatures have increased by 1.5°C, with central, arid parts of the country's interior observed to have increased by as much as 2°C. Increased temperatures are expected for Botswana, with mean monthly temperature changes expected to increase by 2.5°C by 2050s and by 5.0°C by end of the century. Although trends in precipitation for Botswana remain highly variable, there is an indication of overall reduction in precipitation for the southern Africa region, characterized by below normal rainfall and more frequent droughts. While Botswana's projected precipitation has a high degree of inter-annual variability and high degrees of uncertainty, it is expected that overall, average rainfall will decrease across the country[14]. Increases in daily temperatures will likely have negative impacts on ecosystems, particularly over the dryland ecoregions, especially the Kalahari xeric savannahs. In addition, an increase in extreme weather events (floods during the rainy season and drought during the dry season) will result in the reduction of ecosystem services and natural resource availability, bringing about negative consequences for rural livelihoods; women and children are among the highest at-risk groups[15]. For biodiversity, linkages between wet and dry season ranges will become increasingly important. Botswana is believed to be a net sink for greenhouse gases[16].

- Vulnerability and exposure. The project's vulnerability to climate change is limited considering that it will focus in strengthening capacities for implementing the national ABS agenda, including R&D. Accordingly, the exposure of the project to climate change is classified as moderate.
- The likelihood of the occurrence of climate-related events has been rated as moderate (Likelihood = 2; Impact = 3, on a scale of 1 to 5 according to UNDP SES rating scale to assess the impact of risk)[17]. This rating considers primarily the threats climate change may pose to the survival of the species from which GR can potentially be sourced.

*64.* COVID-19 risk: In Botswana, from 3 January 2020 to 28 November 2022, there have been 326,353 confirmed cases of COVID-19 with 2,782 deaths. As of 20 November 2022, a total of 3,099,433 vaccine doses have been administered (about 70% of the population has received at least one dose).[18] [19] Although the pandemic has receded in Botswana there is a risk of new related outbreaks. The risk mitigation strategy includes mitigation measures related to risks associated with the COVID-19 pandemic. This means that COVID-19 may pose a risk to project implementation. Accordingly, the project design has considered the following: a) during project implementation, various mechanisms will be used, depending on the degree of involvement required of the stakeholders and their role in the project; these may include workshops, meetings, field visits, and interviews, etc.; the Project Management Unit (PMU) in coordination with DEA/MET will determine if these methods involving stakeholders will be held in-person or virtually, depending on how the COVID-19 pandemic evolves in the project target landscape (i.e., Panhandle of the Okavango Delta); b) the project budget includes resources to purchase biosafety supplies to minimize exposure to COVID-19, as needed (hand sanitizers, masks and face shields, disinfectant sprays, disposable gloves, etc.); c) videoconferencing equipment (also budgeted) will be used for virtual meetings and workshops; and d) the annual work plans/timelines will be adjusted to allow some activities to be conducted in virtual mode and travel restrictions for technical experts because of COVID-19.

Stakeholder engagement and south-south cooperation:

[14] Climate Risk Profile: Botswana (2021): The World Bank Group
[15] Climate Risk Profile: Botswana (2021): The World Bank Group.
[16] https://www.adaptation-undp.org/explore/africa/botswana
[17] Guidance Note. UNDP Social and Environmental Standards (SES): Social and Environmental Screening Procedure. 2019.
[18] https://covid19.who.int/region/afro/country/bw
[19] https://coronavirus.jhu.edu/region/botswana

*65.* The successful implementation of the project will largely depend on effective communication and coordination with the multiple project stakeholders and the implementation of mechanisms to ensure their participation in project's activities. The key national and sub-national stakeholders include DEA, the Department of Rural Development/Ministry of Local Government and Rural Development, the Department of Wildlife and National Parks/MET, the Department of Forestry and Range Resources/MET, the Department of Agricultural Research, Department of Gender Affairs/ Ministry of Nationality, Immigration & Gender Affairs, and CIPA/Ministry of Investment, Trade and Industry. At the local level the main stakeholders are the District Development Committees, the District Land Use Planning Units, chiefs representing tribal structures and customary courts, Village Development Committees, Trusts, and local communities / providers of TK: women, men, and youth including from the villages of Shaikarawe, Shakawe, and Seronga. Academic and research institutions include the University of Botswana/ORI, BIUST, BUAN, and BITRI.

*66.* As part of the PPG, a stakeholder analysis was conducted, which served as the basis for the development of the Comprehensive Stakeholder Engagement and Communications Plan (Annex 7) and where the main stakeholders of the project, participation mechanisms and consultations during project formulation, governance aspects of the project, the communication and information management strategy, dispute resolution mechanisms, among others, are identified. In addition, the role of each stakeholder in project implementation is detailed. Stakeholder engagement during the PPG included multiple virtual and face-to face consultations. A Validation Workshop was held on 19 January 2023 during which the project components, activities, budget, management arrangements, and social and environmental safeguards were discussed and validated. During project implementation, various mechanisms depending on the degree of involvement required of the stakeholders and their role in the project will be used, these may include workshops, meetings, field visits, and interviews, etc.

*67.* To present opportunities for replication in other countries, the project will promote south-south and triangular cooperation by participating in international platforms such as the UN South-South Galaxy knowledge sharing platform[20]; Panorama – Solutions for a Healthy Planet[21]; and the ABS Clearing-House platform[22] for exchanging information on ABS established by Article 14 of the NP, as part of the Clearing-House of the CBD established under Article 18, paragraph 3 of the CBD. In addition, to bring the voice of Botswana to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on ABS. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on the NP on ABS in geopolitical, social and environmental contexts relevant to the proposed project in Botswana.

Gender equality and Women's Empowerment:

*68.* According to the UNDP Gender Marker Rating, the project is categorized as GEN2: gender equality as a significant objective; results address differential needs of men or women and equitable distribution of benefits, resources, status, and rights, but do not address root causes of inequalities in their lives. The project will contribute to gender equality by improving women's ability to access GR and to the fair and equitable sharing of benefits arising from their utilization.

*69.* During the PPG, a gender analysis and a detailed Gender Action Plan (included as Annex 9) were developed to ensure gender mainstreaming in the project. The Project Results Framework includes gender-sensitive indicators (see Section VI) and specific gender-based indicators will be used for monitoring.

Innovativeness, Sustainability and Potential for Scaling Up:

*70.* Innovation. This project is innovative in several ways, and the following will be undertaken for the first time in Botswana: a) ABS Information system on national GR and associated TK will be in place; b) an e-based permitting system will be developed; c) a National R&D Plan will be adapted and funding secured that will guide priorities for scientific research based on the GR and product development with local participation; d) National Bioeconomy

[20] https://www.unsouthsouth.org/south-south-galaxy/
[21] https://panorama.solutions/en
[22] https://www.cbd.int/abs/theabsch.shtml

Strategy will be developed for the first time, which will be an important contribution in promoting Botswana's economic growth and sustainable development focusing on innovation and value addition, the development of new biotechnologies and biotechnology products, bioprospecting and economic use of the GR, and protection of the environment; e) a local ABS CoP/platform will be in place for knowledge and lesson-sharing, and increase awareness about to support the implementation of the NP and the conservation and sustainable use of biodiversity; and f) a demonstration ABS project proposal for a species of interest for R&D will be an opportunity for the country for implementing a biodiscovery project.

*71.* Financial sustainability. First, the transition from a paper-based to a web-based system is expected to cut operational costs for all relevant stakeholders; this should further enhance the financial sustainability of this project. Second, all participating government agencies and research institutions may leverage additional funds (from national or international sources) for national or local action respectively, as part of their work plans for project implementation. This will not only bring in additional funds during the project, but it will also practically enhance their capacities for project proposal development, writing, budgeting, and marketing. Furthermore, it will boost networking with their national donor communities and potentially elsewhere, thus making their organizations more sustainable. Finally, a fully-funded demonstration R&D project will serve as a direct means for the sustainability of project outcomes, especially those directed to promoting bioprospecting and product development based on GR and associated TK.

*72.* Environmental sustainability. Stronger regulations (PIC, MAT, and MTA) and monitoring of bioprospecting will contribute to environmental sustainability. In addition, the project will create awareness about the relationship between access to GR and their utilisation and the conservation of biodiversity and the sustainable use of its components. It will showcase the linkages involved in community livelihoods and GR. The project will also impart knowledge on ABS across all stakeholders. Through the project, a list of high-value and important species will be identified and prioritized for sustainable conservation measures, without being over-utilised. As an example, a species "climate-smart" management plan will be developed to sustain a prioritized species/GR, even after GEF support ends. The transition from a paper-based to electronic-web-based system is expected to reduce demand for printing paper and associated GHG emissions avoided, further enhancing environmental sustainability.

*73.* Replicability. This project is highly replicable. The project outputs and outcomes can be replicated by any country and some by any entity in Botswana. The ABS information system on GR and associated TK, e-permitting system, legislative frameworks, and capacity development approaches are replicable and can be used as case studies to assist other parties. The Training Manual can be used in other countries, as well as the process/methodology of developing biocultural community protocols. During this proposed project, knowledge materials will be continuously developed. They will be shared, for ease of access, through web-based platforms, and through established platforms for local communities. There will be opportunities for exchanges with regional and global interested entities to showcase the process and achievements of this proposed project, for example among the SADC.

## VI. PROJECT RESULTS FRAMEWORK

| | | | | |
|---|---|---|---|---|
| **This project will contribute to the following Sustainable Development Goal (s):** 5 (Gender Equality), 8 (Decent work and economic growth), 9 (Industry, Innovation and Infrastructure), and 15 (Life on Land) | | | | |
| **This project will contribute to the following country outcome (UNDAF/CPD, RPD, GPD):** Outcome 3: By 2026, Botswana sustainably uses and actively manages its diverse natural resources, improves food security and effectively addresses climate change vulnerability. | | | | |
| | **Objective and Outcome Indicators** | **Baseline** | **Mid-term Target** | **End of Project Target** |
| **Project Objective:** | **To enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge** | | | |
| | **Mandatory** Indicator 1 (GEF Core Indicator 11): # direct project beneficiaries disaggregated by gender (individual people) | 0 | 1,050 (700 female; 350 male) | 3,000 (2,000 female; 1,000 male) |
| | Indicator 2: # Indirect project beneficiaries disaggregated by gender (individual people) | 0 | 2,100 (1,050 female; 1,050 male) | 6,000 (3,000 female; 3,000 male) |
| **Project component 1** | **Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation** | | | |
| **Project Outcome 1.1 Gender-sensitive implementation of ABS enhanced through improved management and operational capacity of government agencies** | Indicator 3: Improved capacity of relevant government agencies as measured using an ABS Capacity Development Scorecard<br>Rating:<br>0 – Non existent<br>1 – Low<br>2 – Low- Medium<br>3 – Medium<br>4 – Medium high<br>5 – High | DEA: low<br>DWNP: low-medium<br>DFRR: low | DEA: low-medium<br>DWNP: medium<br>DFRR: low-medium | DEA: medium-high<br>DWNP: high<br>DFRR: medium |
| **Outputs to achieve Outcome 1.1** | 1.1.1. ABS regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA) finalized to facilitate implementation of the ABS Law enacted in 2022.<br>1.1.2. Training programme with a gender focus developed and implemented for advancing the Nagoya Protocol on ABS, including manuals and certified ABS trainers.<br>1.1.3. National Bioeconomy Strategy developed, promotes bioprospecting and benefit sharing from the economic use of genetic resources. | | | |
| **Outcome 1.2. Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups).** | Indicator 4: Functional Community Monitoring teams (comprising of 50% women and 50% men and with equitable representation of vulnerable groups, such as remote-area rural dwellers) | 0 | 1 | 3 |
| | Indicator 5: Number of potential users of GR (50% women and 50% men), who are aware of the role of BCPs in providing clear terms and conditions to regulate access to TK and GR by local communities (measured through an awareness survey). | Academia: 0<br>Research Centers: 0<br>Private companies: 0 | Academia: 10<br>Research Centers: 10<br>Private companies: 5 | Academia: 20<br>Research Centers: 20<br>Private companies: 10 |

| | | | | |
|---|---|---|---|---|
| | (Targets to be confirmed during project implementation) | | | |
| **Outputs to achieve Outcome 1.2** | 1.2.1. A Community Monitoring programme established and operationalized (with monitors trained and equipped to monitor ABS agreements and regulations under guidance of local leaders [e.g., Kgosi, village committees, etc.]).<br>1.2.2. Standards for developing Biocultural Community Protocols (BCPs) agreed upon with local communities based on the guidelines for obtaining PIC and MAT. | | | |
| **Outcome 1.3. Functional national permitting mechanism facilitates compliance with ABS regulations by providers and users of GR** | Indicator 6: One-stop-shop ABS permitting system established and functional | None | System established and functional | System established and functional |
| **Outputs to achieve Outcome 1.3** | 1.3.1. One-stop-shop ABS permitting procedure to improve inter-institutional coordination developed and operationalized including:<br>a) E-permitting system (encompassing scientific research, bioprospecting, product development, and associated TK).<br>b) Electronic interface with the Companies and Intellectual Property Authority (CIPA) online registration system for TK. | | | |
| **Project component 2** | **Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management** | | | |
| **Outcome 2.1. Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK** | Indicator 7: Restricted searchable National database of GR and associated TK available via a web platform | CIPA's database on TK and intellectual property with limited access | National GR database under development | National GR database developed and operational |
| **Outputs to achieve Outcome 2.1** | 2.1.1 National GR database developed, data collated, and mechanisms for the protection of information in place.<br>2.1.2. Field surveys/inventories of GR and associated TK compiled and protected, including source species, known uses, known or potential GR value, location, conservation status, etc. | | | |
| **Outcome 2.2. Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure** | Indicator 8: Increased technical research capacity as measured through a gender-sensitive survey | Stakeholder 1: X<br>Stakeholder 2: X<br>Stakeholder 3: X<br>(Baseline and targets will be determined during project implementation) | Stakeholder 1: baseline + X<br>Stakeholder 2: baseline + X<br>Stakeholder 3: baseline + X | Stakeholder 1: baseline + X<br>Stakeholder 2: baseline + X<br>Stakeholder 3: baseline + X |
| | Indicator 9: Number of extracts or compounds identified with potential for product development from a prioritized GR | 0 | 3 extracts<br>0 compounds<br>(Target will be validated during project implementation) | 9 extracts<br>3 compounds<br>(Target will be validated during project implementation) |
| **Outputs to achieve Outcome 2.2** | 2.2.1. National GR R&D Plan developed, adopted, and funded.<br>2.2.2 Training module to advance the R&D agenda developed and activated (including work-integrated learning that targets both males and females equally, and institutional arrangements for coordination).<br>2.2.3. Selected research centres and universities better equipped for bioprospecting and product development. | | | |

| | | | | |
|---|---|---|---|---|
| **Outcome 2.3. Opportunities created for the sustainable utilisation of GR and associated TK to sustainably support community livelihoods for women, men, youth, and other vulnerable communities.** | Indicator 10: Improved skills of local community members (50% women 50% men) measured by a local community ABS Capacity Development Scorecard.<br>Rating:<br>0 – Non existent<br>1 – Low<br>2 – Low- Medium<br>3 – Medium<br>4 – Medium high<br>5 – High | Samuchima Community: Low- Medium<br>Seronga Community: Low-Medium<br>Shaikarawe Community: Low- Medium<br>Shakawe Community: Low | Samuchima Community: Low-Medium<br>Seronga Community: Low-Medium<br>Shaikarawe Community: Low-Medium<br>Shakawe Community: Low-Medium | Samuchima Community: Medium<br>Seronga Community: Medium<br>Shaikarawe Community: Medium<br>Shakawe Community: Medium |
| **Outputs to achieve Outcome 2.3** | 2.3.1 A species of interest for R&D and with high potential for commercial value included as part of a demonstration project.<br>2.3.2. Partnership between national and international researchers established for the implementation of an ABS demonstration project.<br>2.3.3. Management plan developed for a prioritised species.<br>2.3.4. Skills, (ABS project and financial management, marketing, negotiation of ABS agreements, biodiversity conservation and sustainable use, access to genetic resources and TK associated with GR, etc.) transferred to local communities, including women and youth, for the sustainability of the ABS initiative.<br>2.3.5 One (1) demonstration R&D project designed, and funding secured. | | | |
| **Outcome 2.4. Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to deliver community benefits.** | Indicator 11: Number of documents (e.g., guide, handbook) for the replication and scaling-up of successful project experiences. | 0 | 0 | At least one (1) |
| | Indicator 12:Level of implementation of risk mitigation plans related to UNDP's Social and environment safeguards (SES) | SESP, ESMF development; Stakeholder engagement plan; Gender Action plan<br>IPPF | Required SES instruments developed:<br>FPIC undertaken and consent secured; IPP GRM, SESA, ESIA<br>ESMPs developed and implemented<br>Safeguards risks tracked and reported in PIR<br>Satisfactory >50% | Required SES instruments fully implemented<br>Satisfactory=100 |
| **Outputs to achieve Outcome 2.4** | 2.4.1. National ABS community of practice (COP)/platform for lesson-sharing, common priority-setting, and awareness-raising developed and operationalised<br>2.4.2: Virtual regional ABS dialogue (SADC countries) to enhance knowledge-sharing, partnership development, and stakeholder collaboration convened.<br>2.4.3 Guidelines for the protection of TK developed.<br>2.4.4. Gender Action Plan, Stakeholder Engagement Plan and other SES-related management plans implemented. | | | |
| **Project component 3** | **Monitoring and evaluation (M&E)** | | | |
| **Outcome 3.1. M&E assesses project impact and guides adaptive management** | Indicator 13: M&E targets that are met. | 0 | 50% | 100% |
| | Indicator 14: TE and PIR quality rating | 0 | S or better | S or better |
| **Outputs to achieve Outcome 3.1** | 3.1.1. M&E Plan implemented. | | | |

## VII. MONITORING AND EVALUATION (M&E) PLAN

*74.* Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy. **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

*75.* Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[23]. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

*76.* In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed – including during the Project Inception Workshop - and will be detailed in the Inception Report.

**Minimum project monitoring and reporting requirements as required by the GEF:**

*77.* Inception Workshop and Report: A project inception workshop will be held within 2 months from the First disbursement date, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF Operational Focal Point and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework (where relevant) and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan. Finalize the terms of reference (TOR) of the Project Board.
h. Formally launch the Project.

*78.* GEF Project Implementation Report (PIR): The annual GEF PIR covering the reporting period July (previous year) to June (current year) will be completed for each year of project implementation. UNDP will undertake quality assurance of the PIR before submission to the GEF. The PIR submitted to the GEF will be shared with the Project Board. UNDP will conduct a quality review of the PIR, and this quality review and feedback will be used to inform the preparation of the subsequent annual PIR.

*79.* GEF Core Indicators: The GEF Core indicators included as Annex 12 will be used to monitor global environmental benefits and will be updated for reporting to the GEF prior to the TE. Note that the project team is responsible for updating the indicator status. The updated monitoring data should be shared with TE consultants prior to required evaluation missions, so these can be used for subsequent ground truthing. The methodologies to be used in data collection have been defined by the GEF and are available on the GEF website.

[23] See https://www.thegef.org/gef/policies_guidelines

*80.* Terminal Evaluation (TE): An independent TE will take place upon completion of all major project outputs and activities. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance for GEF-financed projects available on the UNDP Evaluation Resource Center. TE should be completed 3 months before the estimated operational closure date, set from the signature of the ProDoc and according to the duration of the project. Provisions should be taken to complete the TE in due time to avoid delay in project closure. Therefore, TE must start no later than 6 months to the expected date of completion of the TE (or 9 months prior to the estimated operational closure date).

*81.* The evaluation will be 'independent, impartial and rigorous'. The evaluators that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

*82.* The GEF Operational Focal Point and other stakeholders will be actively involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the Bureau for Policy and Programme Support, Nature, Climate and Energy (BPPS)/ Nature, Climate and Energy (NCE)-VF Directorate.

*83.* The final TE report and TE TOR will be publicly available in English and posted on the UNDP ERC by 14 August 2027. A management response to the TE recommendations will be posted to the ERC within six weeks of the TE report's completion.

*84.* Final Report: The project's terminal GEF PIR along with the TE report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

*85.* Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**:** To accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[24] and the GEF policy on public involvement[25].

[24] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/
[25] See https://www.thegef.org/gef/policies_guidelines

*86.* **Monitoring Plan: The** project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the PMU annually, and will be reported in the GEF PIR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| **Project objective:**<br>To enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge | ***Indicator 1***<br>**Mandatory**<br>Indicator 1 (GEF Core Indicator 11)*:* # direct project beneficiaries disaggregated by gender (individual people) | Mid-term: 1,000 (1,000 female; 500 male)<br>End: 3,000 (2,000 female; 1,000 male) | Direct beneficiaries are defined as individual people who measurably benefit from the existence of the project, or who use the specific resources that the project maintains or enhances. Direct beneficiaries must be aware that they are receiving this project support.<br>Direct beneficiaries by project end include:<br>a) Government: 200 women, 100 men<br>b) Researchers (staff and students): 150 women, 300 men | Surveys / interviews with members of local communities and other stakeholders<br>GEF 7 Core Indicator | Annually | Project manager<br>Gender/ Safeguards Expert | Results of surveys/interviews with members of local communities and other stakeholders (unstructured and/or semi-structured)<br>Updated Gender Action Plan | Risks:<br>The project team and Implementing Partner fail to involve all key project partners and stakeholders<br>Assumptions:<br>There is willingness on the part of local communities, research centres, and other stakeholders to participate in the project |

[26] Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | | | c) Local communities: 1650 women, 600 men | | | | | |
| | ***Indicator 2***<br># Indirect project beneficiaries disaggregated by gender (individual people) | Mid-term: 2,100 (1,050 female; 1,050 male)<br>End: 6,000 (3,000 female; 3,000 male) | Wider stakeholders of the project (e.g., local villagers and researchers/ students not directly involved in capacity development activities, etc.)<br>Indirect beneficiaries are individual people who are not directly connected to the project but will still benefit from it either through a connection to the direct beneficiary such as the family members of the direct beneficiaries, or because they live within the project's geographical area of influence. Unlike direct beneficiaries, indirect beneficiaries may or may not be aware | Surveys / interviews | Annually | Project manager<br>Gender/ Safeguards Expert | Results of surveys / interviews<br>Updated census data | Risks:<br>The project team and the IP fails to involve all project stakeholders<br>Assumptions:<br>Optimal sampling |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | | | that they are receiving project support.<br>Indirect beneficiaries by project end include:<br>a) Government: 400 women, 200 men<br>b) Researchers (staff and students): 300 women, 600 men<br>c) Local communities: 3300 women, 1200 men | | | | | |
| | ***Indicator 3***<br>Improved capacity of relevant government agencies as measured using an ABS Capacity Development Scorecard | Mid-term:<br>DEA: from low to low-medium<br>DWNP: from low-medium to medium<br>DFRR: from low to low-medium<br>End:<br>DEA: from low to medium-high<br>DWNP: from low-medium to high<br>DFRR: from low to medium | Measures progress to implement the ABS agenda at the national level. Scores based on a ABS Capacity Development Score card for national level institutions<br>Targets estimated considering Project activities for capacity development to implement the ABS agenda.<br>Categories assessed: | ABS Capacity Development Scorecard | Mid point ant end of project | M&E Expert | Updated ABS Capacity Development Scorecard and report | Risks:<br>Loss of capacities due to personnel changes in government agencies<br>Assumptions:<br>Beneficiaries apply acquired knowledge and use available tools and resources<br>Sampling efforts are optimal |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | | | 1. Capacity to conceptualize and formulate policies, laws, strategies and programmes<br>2. Capacity to implement policies, legislation, strategies and programmes<br>3. Capacity to engage and build consensus among all stakeholders<br>4. Capacity to mobilize information and knowledge<br>5. Capacity to monitor, evaluate, report and learn<br><br><u>Rating</u>:<br>0 – Non existent<br>1 – Low<br>2 – Low- Medium<br>3 – Medium<br>4 – Medium high<br>5 – High | | | | | |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| **Project Outcome 1.2**<br>Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups) | ***Indicator 4***<br>Functional Community Monitoring teams (comprising of 50% women and 50% men and with equitable representation of vulnerable groups, such as remote-area rural dwellers) | Mid-term: 1<br>End: 3 | End of project target estimated considering that the project will work in three villages (Shaikarawe, Shakawe, and Seronga) in the panhandled of the Okavango Delta; one monitoring team per village will be established and equipped | Surveys and interviews | Midpoint ant end of project | M&E Expert | Meetings and monitoring reports | Risks:<br>The project team and the Implementing Partner fail to effectively involve local communities<br>Assumptions:<br>Interest among local communities to participate and skills for monitoring place ABS agreements and other related processes |
| | ***Indicator 5***<br>Number of potential users of GR (50% women and 50% men), who are aware of the role of BCPs in providing clear terms and conditions to regulate access to TK and GR by | Mid-term:<br>Academia: 10<br>Research Centers: 10<br>Private companies: 5<br>End:<br>Academia: 20<br>Research Centers: 20 | Assesses the level of awareness from potential users of GR about how to engage with local communities and accessing their GR and TK.<br>The awareness survey (KAP) will measure an increase in level of awareness before and after the | Survey to measure level of awareness | Midpoint ant end of project | M&E Expert | Survey results | Risks:<br>The PMU and Implementing Partner fail to effectively inform about the role of BCPs<br>Assumptions:<br>Optimal sampling |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | local communities | Private companies: 10<br>(Targets to be confirmed) | awareness raising activities to be implemented as part of Output 1.2.2. | | | | | |
| **Project Outcome 1.3**<br>Functional national permitting mechanism facilitates compliance with ABS regulations by providers and users of GR | ***Indicator 6***<br>One-stop-shop ABS permitting system established and functional | Mid-term: System established and functional<br><br>End: System established and functional | Assesses that new e-based ABS permitting system will be functional by mid-point of project implementation. | Permit reports issued by authorities<br>Interviews with potential users | Midpoint and end of project | M&E Expert | Permit reports and verification of permits issued | Risks:<br>Limited coordination among institutions with responsibilities related to ABS makes the permitting process difficult<br>Assumptions:<br>Timely reporting and permit issuing |
| **Project Outcome 2.1**<br>Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK | ***Indicator 7***<br>Restricted searchable database of GR and associated TK available via web platforms | Mid-term:<br>National GR database under development<br>End:<br>National GR database developed and operational | Assess how information about GR and associated TK is processed and made available to providers and uses | Database assessment / content analysis | Midpoint and end of project | M&E Expert<br>Project Manager | Database entries<br>Database reports | Risks:<br>Limited cooperation between institutions to share and access GR and associated TK information<br>Assumptions:<br>Information timely collated, |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | systematized, and available |
| **Project Outcome 2.2** Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure | ***Indicator 8*** Increased technical research capacity as measured through a gender-sensitive survey | Mid-term: To be determined during project implementation<br><br>End: To be determined during project implementation | Assess the level of capacity of national research to participated in bioprospecting and product development | Gender-sensitive survey | Midpoint and end of project | M&E Expert | Results from gender-sensitive survey<br>Consultations with research | Risks:<br>PMU fails to develop and apply the gender-sensitive survey in a timely manner<br>Assumptions:<br>Optimal sampling |
| | ***Indicator 9*** Number of extracts or compounds identified with potential for product development from a prioritized GR | Mid-term:<br>3 extracts<br>0 compounds<br>End:<br>9 extracts<br>3 compounds | Assess the level of development in capacity for bioprospecting by national research institutions | Interviews with researchers<br>Technical reports/ document content analysis | Midpoint ant end of project | M&E Expert | Technical reports and publications | Risks:<br>Bottlenecks associated with equipment import processes<br>Assumptions:<br>Technical feasibility |
| **Project Outcome 2.3** Opportunities created for the sustainable utilisation of GR and associated TK to sustainably | ***Indicator 10*** Improved skills of local community members (50% women 50% men) measured by a local community ABS Capacity | Mid-term:<br>Samuchima Community: from Low-Medium to Low- Medium<br>Seronga Community: from Low- | Measures progress to implement the ABS agenda at the local level/priority's communalities in the panhandle of the Okavango Delta. Quantitative assessment using an ABS Capacity | Interviews/ qualitative assessment | Midpoint ant end of project | M&E Expert | Field reports/interviews | Risks:<br>Training opportunities are limited due to delay in implementation and other |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| support community livelihoods for women, men, youth, and other vulnerable communities | Development Scorecard (or survey). | Medium to Low- Medium<br>Shaikarawe Community: from Low-Medium to Low- Medium<br>Shakawe Community: from Low to Low- Medium<br><br><u>End</u>:<br>Samuchima Community: from Low-Medium to Medium<br>Seronga Community: from Low-Medium to Medium<br>Shaikarawe Community: from Low-Medium to Medium<br>Shakawe Community: | Development Scorecard. Categories assessed:<br>1. Capacity to conceptualize and formulate and negotiate contractual agreements based on the ABS legal principles.<br>2. Capacity to partake in ABS initiatives.<br>3. Capacity to mobilise community members and other stakeholders in ensuring stewardship over biological resources<br>4. Capacity to mobilize information and knowledge<br>5. Capacity to monitor, evaluate, report and learn<br><u>Rating</u>:<br>0 – Nonexistent | | | | | management constraints<br><u>Assumptions:</u><br>Interest from local communities |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| | | from Low to Medium | 1 – Low<br>2 – Low- Medium<br>3 – Medium<br>4 – Medium high<br>5 – High | | | | | |
| **Project Outcome 2.4**<br>Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to deliver community benefits. | ***Indicator 11***<br>Number of documents (e.g., guide, handbook) for the replication and scaling-up of successful project experiences. | Mid-term: 0<br>End: At least one (1) | Assesses knowledge management products for specific topics related with the project that could be used for replication of successful experiences | Document content analysis | End of project | Knowledge Management Expert<br>M&E Expert<br>Project Manager | Publication and draft of documents | Risks:<br>Limited project execution<br>Assumptions:<br>Broad and timely dissemination of information |
| | ***Indicator 12***<br>Level of implementation of risk mitigation plans related to UNDP's environment and social safeguards (SES) that are met | Mid-term: 50%<br>End: 100% | Assesses the level of implementation of the different management plans to mitigate social and environmental risks as per the ESMF included as Annex 8 | Surveys / interviews with local community members | Annually | Gender /Safeguards Expert | Results of surveys / interviews<br>Updated management plans to mitigate social and environmental risks, including the SESP | Risks:<br>Measures implemented are not sufficient to avoid, minimize, mitigate, or manage irks<br>Assumptions:<br>Project implemented in in line with the implementation schedule of the ESMF |
| **Project Outcome 3.1** | ***Indicator 13*** | Mid-term: 50%<br>End: 100% | Assesses the level of implementation of the M&E Plan | M&E reports /Document | Annually | Project Manager | M&E reports | Risks: |

| Results Monitoring | Indicators | Targets | Description of indicators and targets | Data source/ Collection Methods[26] | Frequency | Responsible for data collection | Means of verification | Risks/ Assumptions |
|---|---|---|---|---|---|---|---|---|
| M&E assesses project impact and guides adaptive management | M&E targets that are met | | included in Section VII of the ProDoc | content analysis | | M&E Expert | | Low project level of project execution including technical and budget deficiencies<br>Assumptions:<br>Project outcomes satisfactorily delivered within the expected timeline |
| | ***Indicator 14***<br>TE and PIR quality rating | Mid-term: S or better<br>End: S or better | Assess the quality of the PIRs and TE as per GEF requirements | PIRs<br>TE report/ Document content analysis | Annually (PIRs)<br>End of the project (evaluations) | Project Manager<br>UNDP CO<br>UNDP Regional Technical Advisor | PIRs scoring reports<br>TE scoring report | Risks:<br>Low project level of project implementation, including technical and budget deficiencies<br>Assumptions:<br>Project outcomes satisfactorily delivered within the expected timeline |

| Monitoring and Evaluation Budget for project execution | | |
|---|---|---|
| **GEF M&E requirements to be undertaken by Project Management Unit (PMU)** | **Indicative costs (US$)** | **Time frame** |
| **Inception Workshop and Report** | 3,000 | Inception Workshop within 2 months of the First Disbursement |
| **M&E required to report on progress made in reaching GEF core indicators and project results included in the project results framework** | 16,000 | Annually and at mid-point and closure. |
| **Preparation of the annual GEF Project Implementation Report (PIR)** | No cost (covered by the salary of the Project Manager) | Annually typically between June-August |
| **Monitoring of Gender Action Plan, Comprehensive Stakeholder Engagement Plan, Environmental and Social Management Plan, and Indigenous Peoples Plan** | 23,000 | On-going. |
| **Supervision missions** | No cost | Annually |
| **Learning missions** | No cost | As needed |
| **Independent Mid-term Review (MTR)** | N/A | N/A |
| **Independent Terminal Evaluation (TE):** costs associated with conducting the independent evaluation to be commissioned by UNDP not the Implementing Partner or the PMU. | 35,130 | 14 August 2027 |
| **TOTAL indicative COST** | **77,130** | |

# VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

**Section 1: General roles and responsibilities in the projects' governance mechanism**

*87.* Implementing Partner: The Implementing Partner for this project is the Ministry of Environment, Natural Resources Conservation and Tourism (MENRCT) through the Department of Environmental Affairs (DEA).

*88.* The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

*89.* The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources.
- Financial management, including overseeing financial expenditures against project budgets.
- Approving and signing the multiyear workplan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

*90.* Responsible Parties: Responsible Parties will be selected during implementation based on specific needs to implement project outputs. Any Responsible Party will be designated in compliance with UNDP rules and procedures.

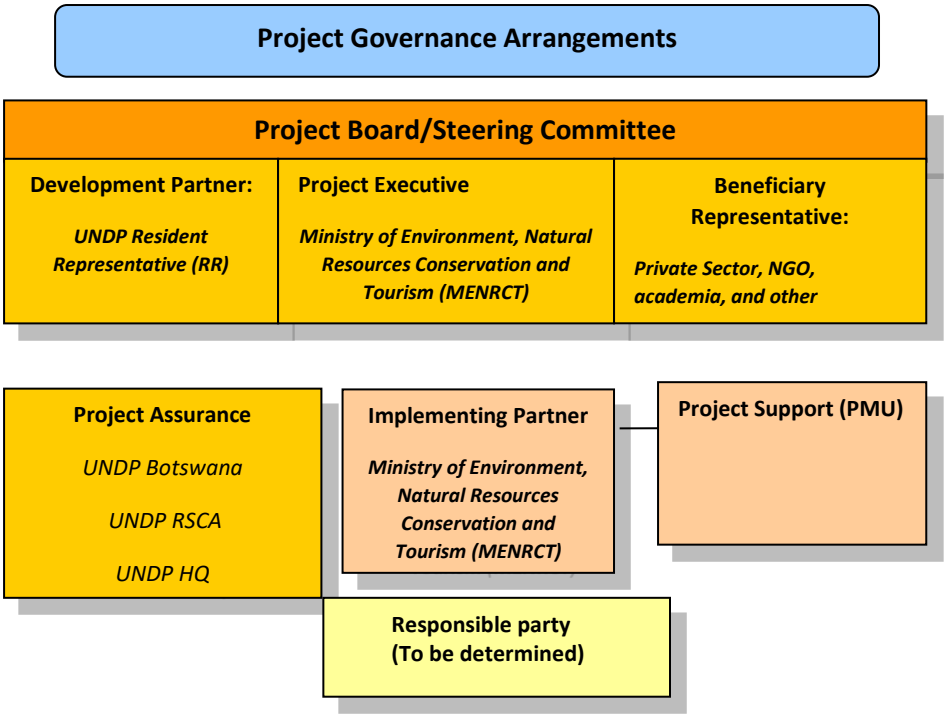
*91.* Project stakeholders and target groups: National Government: DEA, members of the National Biodiversity Authority (Department of Rural Development/ Ministry of Local Government and Rural Development, Department of Wildlife and National Parks/MET, Department of Forestry and Range Resources/MET, Department of Agricultural Research, Department of Gender Affairs/Ministry of Nationality, Immigration & Gender Affairs, and CIPA/Ministry of Investment, Trade and Industry); academic and research institutions: NARDI, University of Botswana/ORI, BIUST, BUAN, and BITRI; local Government: District Development Committees, District Land Use Planning Units, chiefs, Village Development Committees, and Trusts; and Local communities/providers of TK: women, men and youth including from the villages of Shaikarawe, Shakawe, and Seronga.

*92.* Project target groups will be engaged in decision making for the project through their participation in the development of ABS regulations (PIC, MAT, and MTA), a community monitoring framework, and standards for developing BCPs; as beneficiaries of training activities to implement the ABS agenda and for R&D; and through the design of a demonstration R&D project with providers and users of a selected GR/species. Additional engagement mechanisms are detailed in the project's Comprehensive Stakeholder Engagement and Communications Plan (Annex 7).

*93.* UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureau for Africa and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

**Section 2: Project governance structure**

### Full NIM with Government as Implementing Partner




**Second line of defense**

- Regional Bureau oversees RR and Country Office compliance at portfolio level
- BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPPS NCE PTA oversees RTA function
- UNDP GEF Executive Coordinator and Regional Bureau Deputy Director can revoke DOA/cancel /suspend project or provide enhanced

*94.* The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

**Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:**

*95.* As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

*96.* In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

**Section 4: Roles and Responsiblities of the Project Organization Strucutre:**

**a) Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

*97.* The two main (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

**Requirements to serve on the Project Board**:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

**Responsibilities of the Project Board**:

- ✓ Consensus decision making:
  - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
  - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report.
  - The project board is responsible for making management decisions by consensus.
  - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.
  - In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.
- ✓ Oversee project execution:
  - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
  - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
  - Address any high-level project issues as raised by the project manager and project assurance.
  - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies);
  - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.

- Track and monitor co-financed activities and realisation of co-financing amounts of this project.
- Approve the Inception Report, GEF annual project implementation reports, mid-term review and terminal evaluation reports.
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

✓ Risk Management:
- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
- Address project-level grievances.

✓ Coordination:
- Ensure coordination between various donor and government-funded projects and programmes.
- Ensure coordination with various government agencies and their participation in project activities.

*98.* **Composition of the Project Board**: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** is Principal Secretary Ministry of Environment, Natural Resources Conservation and Tourism (MENRCT) through the Department of Environmental Affairs (DEA).
2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfill this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: representatives from ministries (MET, Ministry of Health and Wellness, Ministry of Agricultural Development and Food Security, Ministry of Tertiary Education, Research, Science and Technology, Ministry of Nationality, Immigration & Gender Affairs, and Ministry of Trade and Industry), regional government local communities and women groups from the villages of Shaikarawe, Shakawe, and Seronga in the Panhandle of the Okavango Delta, and national research centres and universities (NARDI, BIUST, BUAN, BITRI, University of Botswana, and ORI).
3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is: UNDP Resident Representative.

**b)** **Project Assurance:** Project assurance is the responsibility of each project board member. However, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

*99.* A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The

UNDP representative playing the main project assurance function is the Programme Specialist-Environment and Climate Change.

**c)** **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

*100.* A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

*101.* The primary PMU representative attending board meetings is the Project Manager.

## IX. FINANCIAL PLANNING AND MANAGEMENT

*102.* The total cost of the project is USD 11,830,982. This is financed through a GEF grant of USD 1,665,982 administered by UNDP, USD 0 in cash co-financing to be administered by UNDP and additional support of USD 10,165,000. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

*103.* **Co-financing**: The actual realization of project co-financing amounts will be monitored by the UNDP Country Office and the PMU on an annual basis in the GEF PIR and will be reported to the GEF during terminal evaluation process as follows:

| **Co-financing source**[27] | **Co-financing type** | **Co-financing amount** |
|---|---|---|
| Government of Botswana/ Ministry of Environment, Natural Resources Conservation and Tourism | In-kind | 6,000,000 |
| Government of Botswana/ Government of Botswana/ Ministry of Environment, Natural Resources Conservation and Tourism | Grant | 3,000,000 |
| Botswana University of Agriculture and Natural Resources | In-kind | 700,000 |
| BirdLife Botswana | In-kind | 150,000 |
| Companies Intellectual Property Authority | In-kind | 15,000 |
| Kalahari Conservation Society | In-kind | 150,000 |
| UNDP | In-kind | 150,000 |

*104.* Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

*105.*

[27] Letters of financial commitments are included in Annex 11.

*106.* Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is strongly encouraged to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

*107.* UNDP is not in a position to increase the total budget above the amount approved by the donor, therefore any over-expenditure would have to be absorbed from non-GEF resources by the Implementing Partner (GEF Executing Entity)

*108.* **Project extensions:** The UNDP-BPPS-NCE team Executive Coordinator must approve all requests for extension of the Project Completion Date and for other milestone extensions with hard deadlines. All extensions impose additional time and cost burdens at all levels and the GEF project budget cannot be increased beyond its originally approved amount. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP. The project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs shall be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's policy as set out in UNDP POPP.

*109.* For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS-NCE Executive Coordinator will consult the Regional Bureaux (RBX) and may reject the extension request if no (external co-financing by the IP or internal UNDP CO resources) can be identified.

*110.* All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies in UNDP POPP.

*111.* **Audit:** The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

*112.* **Transfer or disposal of assets**: In consultation with the Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project, however, must be done before the operational closure date. In all cases of transfer, a transfer document must be prepared and kept on file28. The transfer should be done before Project Management Unit complete their assignments.

[28] See https://popp.undp.org/ https://popp-prod.acquia.undp.org/policy-page/close-and-transition.

*113.* **Completion Date:** The project completion date is the date of Project Document Signature plus project duration. This date can only be extended through a formal extension request. Prior to completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

*114.* **Project Closure:** Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

- **Operational Closure**: **Operational closure must happen within 9 months from project completion date.** Prior to operational closure, the Terminal Evaluation must have been submitted and the corresponding TE management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP.
- **Financial Closure: Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project will be financially closed when the following conditions have been met: a) the project is operationally completed or has been cancelled; b) the Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).
  Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to BPPS/NCE for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

*115.* **Cancellation and Suspension:** All projects considering going through cancellation or suspension must follow UNDP and GEF requirements. Guidance can be found in the UNDP POPP (SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator and Guidance for GEF project revisions).

*116.* **Refund to GEF:** Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE team Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF. Unspent project balance is not permitted to be transferred to any other projects.

# X. TOTAL BUDGET AND WORK PLAN

| Total Budget and Work Plan | | | |
|---|---|---|---|
| Quantum Business Unit | UNDP-BWA | | |
| Quantum Project ID: | 00134484 | Quantum Project Title: | *As in Quantum* |
| Quantum Award ID: | 00148126 | Quantum Award Title: | *As in Quantum* |
| UNDP-GEF PIMS No. | 6428 | | |
| Implementing Partner | Ministry of Environment, Natural Resources Conservation and Tourism | | |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| *Component 1. Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation* | *Outcome 1.1. Gender-sensitive implementation of ABS enhanced through improved management and operational capacity of government agencies* | *Output 1.1.1. ABS regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA) finalized to facilitate implementation of the ABS Law enacted in 2022* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *72500* | *Supplies* | 325 | 325 | | | 650 | 5 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 1,500 | | | | 1,500 | 7 |
| | | ***Total Output 1.1.1*** | | | | | | **1,825** | **325** | | | **2,150** | |
| | | *Output 1.1.2. Training programme with a gender focus developed and implemented for advancing the Nagoya Protocol on ABS, including manuals and certified ABS trainers.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71600* | *Travel* | 7,500 | 7,500 | | | 15,000 | 3 |
| | | | | *62000* | | *72100* | *Contractual Services - Companies* | 25,000 | 25,000 | | | 50,000 | 4 |
| | | ***Total Output 1.1.2*** | | | | | | **32,500** | **32,500** | | | **65,000** | |
| | | *Output 1.1.3. National Bioeconomy Strategy developed, promotes bioprospecting and benefit sharing from the economic use of genetic resources* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | 18,000 | 18,000 | | | 36,000 | 1 |
| | | | | *62000* | | *71600* | *Travel* | 3,055 | | | | 3,055 | 3 |
| | | | | *62000* | | *72500* | *Supplies* | 325 | 325 | | | 650 | 5 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | 5,000 | | | 5,000 | 6 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 1,750 | 1,750 | | | 3,500 | 7 |
| | | ***Total Output 1.1.3*** | | | | | | **23,130** | **25,075** | | | **48,205** | |
| | ***Total Outcome 1.1*** | | | | | | | **57,455** | **57,900** | **0** | **0** | **115,355** | |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | *Outcome 1.2. Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups).* | *Output 1.2.1 A Community Monitoring programme established and operationalized (with monitors trained and equipped to monitor ABS agreements and regulations under guidance of local leaders [e.g., Kgosi, village committees, etc.]).* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | 18,000 | 18,000 | | | 36,000 | 1 |
| | | | | *62000* | | *72500* | *Supplies* | 325 | 325 | | | 650 | 5 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | 5,000 | | | 5,000 | 6 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 2,500 | 2,500 | | | 5,000 | 7 |
| | | ***Total Output 1.2.1*** | | | | | | **20,825** | **25,825** | | | **46,650** | |
| | | *Output 1.2.2. Standards for developing Biocultural Community Protocols (BCPs) agreed upon with local communities based on the guidelines for obtaining PIC and MAT* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71800* | *Contractual Services - Individuals* | 23,345 | 13,340 | | | 36,685 | 2 |
| | | | | *62000* | | *72500* | *Supplies* | 325 | 325 | | | 650 | 5 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | 5,760 | | | 5,760 | 6 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 3,000 | 3,000 | | | 6,000 | 7 |
| | | ***Total Output 1.2.2*** | | | | | | **26,670** | **22,425** | | | **49,095** | |
| | ***Total Outcome 1.2*** | | | | | | | **47,495** | **48,250** | **0** | **0** | **95,745** | |
| | *Outcome 1.3. Functional national permitting mechanism facilitates compliance with ABS regulations by providers and users of GR.* | *1.3.1. One-stop-shop ABS permitting procedure to improve inter-institutional coordination developed and operationalized* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *72100* | *Contractual Services - Companies* | | 30,000 | | | 30,000 | 4 |
| | | ***Total Output 1.3.1*** | | | | | | | **30,000** | | | **30,000** | |
| | ***Total Outcome 1.3*** | | | | | | | | **30,000** | **0** | **0** | **30,000** | |
| ***Total Component 1*** | | | | | | | | **104,950** | **136,150** | **0** | **0** | **241,100** | |
| *Component 2. Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management* | *Outcome 2.1. Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK* | *Output 2.1.1. National GR database developed, data collated, and mechanisms for the protection of information in place.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | | 18,000 | 18,000 | | 36,000 | 9 |
| | | | | *62000* | | *72800* | *Information Technology Equipmt* | | 10,000 | | | 10,000 | 16 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | 7,594 | | | 7,594 | 18 |
| | | ***Total Output 2.1.1*** | | | | | | | **35,594** | **18,000** | | **53,594** | |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *Output 2.1.2. Field surveys/inventories of GR and associated TK compiled and protected, including source species, known uses, known or potential GR value, location, conservation status, etc.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | 4,000 | 4,000 | 4,000 | 12,000 | 8 |
| | | | | *62000* | | *71800* | *Contractual Services - Individ* | | 6,670 | 10,005 | 8,338 | 25,013 | 10 |
| | | | | *62000* | | *71600* | *Travel* | | 10,000 | | | 10,000 | 11 |
| | | | | *62000* | | *72200* | *Equipment and Furniture* | | 6,000 | | | 6,000 | 13 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 1,250 | | | 1,250 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 375 | 375 | 375 | 1,125 | 15 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | 15,000 | | | 15,000 | 18 |
| | | ***Total Output 2.1.2*** | | | | | | | **43,295** | **14,380** | **12,713** | **70,388** | |
| | ***Total Outcome 2.1*** | | | | | | | **0** | **78,889** | **32,380** | **12,713** | **123,982** | |
| | *Outcome 2.2. Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure.* | *Output 2.2.1. National GR R&D Plan developed, adopted, and funded.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | 4,000 | 4,000 | 4,000 | 12,000 | 8 |
| | | | | *62000* | | *71300* | *Local Consultants* | | 27,000 | 27,000 | | 54,000 | 9 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 625 | | | 625 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 188 | 188 | 188 | 563 | 15 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | | 10,000 | | 10,000 | 17 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | 3,750 | 3,750 | | 7,500 | |
| | | ***Total Output 2.2.1*** | | | | | | | **35,563** | **44,938** | **4,188** | **84,688** | |
| | | *Output 2.2.2 Training module to advance the R&D agenda developed and activated (including work-integrated learning that targets both males and females equally, and institutional arrangements for coordination).* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *72100* | *Contractual Services - Companies* | | 25,000 | 25,000 | 25,000 | 75,000 | 12 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 625 | | | 625 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 188 | 188 | 188 | 563 | 15 |
| | | ***Total Output 2.2.2*** | | | | | | | **25,813** | **25,188** | **25,188** | **76,188** | |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *Output 2.2.3. Selected research centres and universities better equipped for bioprospecting and product development.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *72200* | *Equipment and Furniture* | | 137,560 | 137,560 | 137,560 | 412,680 | 13 |
| | | | | *62000* | | *72800* | *Information Technology Equipmt* | | 10,000 | 10,000 | 10,000 | 30,000 | 16 |
| | | ***Total Output 2.2.3*** | | | | | | | **147,560** | **147,560** | **147,560** | **442,680** | |
| | ***Total Outcome 2.2*** | | | | | | | **0** | **208,935** | **217,685** | **176,935** | **603,555** | |
| | *Outcome 2.3. Opportunities created for the sustainable utilisation of GR and associated TK to sustainably support community livelihoods for women, men, youth, and other vulnerable communities.* | *Output 2.3.1. A species of interest for R&D and with high potential for commercial value included as part of a demonstration project.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | 1,333 | 1,333 | 1,333 | 4,000 | 8 |
| | | | | *62000* | | *71800* | *Contractual Services - Individ* | | 3,335 | 5,003 | 4,169 | 12,506 | 10 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | | 3,500 | | 3,500 | 18 |
| | | ***Total Output 2.3.1*** | | | | | | | **4,668** | **9,836** | **5,502** | **20,006** | |
| | | *Output 2.3.2. Partnership between national and international researchers established for the implementation of an ABS demonstration project.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | 1,333 | 1,333 | 1,333 | 4,000 | 8 |
| | | | | *62000* | | *71600* | *Travel* | | 7,000 | 7,000 | 7,000 | 21,000 | 11 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | 2,000 | 2,000 | 2,000 | 6,000 | 18 |
| | | ***Total Output 2.3.2*** | | | | | | | **10,333** | **10,333** | **10,333** | **31,000** | |
| | | *Output 2.3.3. Management plan developed for a prioritised species.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71800* | *Contractual Services - Individ* | | 3,335 | 5,003 | 4,169 | 12,506 | 10 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 417 | | | 417 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 125 | 125 | 125 | 375 | 15 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | | | 5,000 | 5,000 | 18 |
| | | ***Total Output 2.3.3*** | | | | | | | **3,877** | **5,128** | **9,294** | **18,298** | |
| | | *Output 2.3.4. Skills, (ABS project and financial management, marketing, negotiation of ABS agreements, biodiversity conservation and sustainable use, access to genetic resources and TK associated with GR, etc.)* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | | | 40,500 | 40,500 | 81,000 | 9 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 417 | | | 417 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 125 | 125 | 125 | 375 | 15 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | | | 5,000 | 5,000 | 17 |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *transferred to local communities, including women and youth, for the sustainability of the ABS initiative.* | | *62000* | | *75700* | *Training, Workshops and Confer* | | | 5,000 | 5,000 | 10,000 | 18 |
| | | ***Total Output 2.3.4*** | | | | | | | **542** | **45,625** | **50,625** | **96,792** | |
| | | *Output 2.3.5. One (1) demonstration R&D project designed, and funding secured.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | 1,333 | 1,333 | 1,333 | 4,000 | 8 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 417 | | | 417 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 125 | 125 | 125 | 375 | 15 |
| | | | | *62XXX* | | *75700* | *Training, Workshops and Confer* | | | | 5,000 | 5,000 | 18 |
| | | ***Total Output 2.3.5*** | | | | | | | **1,875** | **1,458** | **6,458** | **9,792** | |
| ***Total Outcome 2.3*** | | | | | | | | **0** | **21,295** | **72,380** | **82,213** | **175,888** | |
| | *Outcome 2.4. Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to deliver community benefit* | *Output 2.4.1. National ABS community of practice (COP)/platform for lesson-sharing, common priority-setting, and awareness-raising developed and operationalised.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | 6,000 | 6,000 | 6,000 | 6,000 | 24,000 | 9 |
| | | | | *62000* | | *72400* | *Communic & Audio Visual Equip* | | 1,250 | | | 1,250 | 14 |
| | | | | *62000* | | *72500* | *Supplies* | | 375 | 375 | 375 | 1,125 | 15 |
| | | ***Total Output 2.4.1*** | | | | | | **6,000** | **7,625** | **6,375** | **6,375** | **26,375** | |
| | | *Output 2.4.2. Virtual regional ABS dialogue (SADC countries) to enhance knowledge-sharing, partnership development, and stakeholder collaboration convened.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | 6,000 | 6,000 | 6,000 | 6,000 | 24,000 | 9 |
| | | ***Total Output 2.4.2*** | | | | | | **6,000** | **6,000** | **6,000** | **6,000** | **24,000** | |
| | | *Output 2.4.3 Guidelines for the protection of TK developed.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71300* | *Local Consultants* | | | 36,000 | | 36,000 | 9 |
| | | | | *62000* | | *71600* | *Travel* | | | 10,000 | | 10,000 | 11 |
| | | | | *62000* | | *74200* | *Audio Visual&Print Prod Costs* | | | 5,000 | | 5,000 | 17 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | | | 10,000 | | 10,000 | 18 |
| | | ***Total Output 2.4.3*** | | | | | | | | **61,000** | | **61,000** | |

| Quantum Outcome (GEF Component) | Quantum Output (GEF Component) | Quantum Activity (GEF Component) | Quantum Responsible Party (UNDP, IP, or Responsible Party ) | Quantum Fund ID | Quantum Donor ID | Quantum Budgetary Account Code | Quantum Budget Account Description | Amount Year 1 (USD) | Amount Year 2 (USD) | Amount Year 3 (USD) | Amount Year 4 (USD) | Total (USD) | See Budget Note: |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | *Output 2.4.4. Gender Action Plan, Stakeholder Engagement Plan and other SES-related management plans implemented.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | 72,000 | | | | 72,000 | 8 |
| | | | | *62000* | | *71300* | *Local Consultants* | 36,500 | 14,000 | 14,000 | 14,000 | 78,500 | 9 |
| | | | | *62000* | | *71600* | *Travel* | 13,500 | 1,500 | 1,500 | 1,500 | 18,000 | 11 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 7,500 | 2,500 | 1,500 | 1,500 | 13,000 | 18 |
| | | ***Total Output 2.4.4*** | | | | | | **129,500** | **18,000** | **17,000** | **17,000** | **181,500** | |
| | ***Total Outcome 2.4*** | | | | | | | **141,500** | **31,625** | **90,375** | **29,375** | **292,875** | |
| ***Total Component 2*** | | | | | | | | **141,500** | **340,744** | **412,820** | **301,235** | **1,196,299** | |
| *Component 3. Monitoring and Evaluation (M&E)* | *3.1: M&E assesses project impact and guides adaptive management.* | *3.1.1. M&E Plan, implemented.* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71200* | *International Consultants* | | | | 21,000 | 21,000 | 19 |
| | | | | *62000* | | *71300* | *Local Consultants* | 8,750 | 8,750 | 8,750 | 17,750 | 44,000 | 20 |
| | | | | *62000* | | *71600* | *Travel* | 1,000 | 1,000 | 1,000 | 5,000 | 8,000 | 21 |
| | | | | *62000* | | *75700* | *Training, Workshops and Confer* | 3,000 | | | 1,130 | 4,130 | 22 |
| ***Total M&E*** | | | | | | | | **12,750** | **9,750** | **9,750** | **44,880** | **77,130** | |
| *Project Management Cost (PMC)* | *PMC* | *PMC* | *Ministry of Environment, Natural Resources Conservation and Tourism* | *62000* | *10003* | *71800* | *Contractual Services - Individ* | 34,035 | 34,035 | 34,035 | 34,035 | 136,140 | 23 |
| | | | | *62000* | | *72200* | *Equipment and Furniture* | 850 | | | | 850 | 24 |
| | | | | *62000* | | *72500* | *Supplies* | 740 | 740 | 740 | 740 | 2,960 | 25 |
| | | | | *62000* | | *72800* | *Information Technology Equipmt* | 3,503 | | | | 3,503 | 26 |
| | | | | *62000* | | *74100* | *Professional Services* | 2,000 | 2,000 | 2,000 | 2,000 | 8,000 | 27 |
| ***Total Project Management Cost*** | | | | | | | | **41,128** | **36,775** | **36,775** | **36,775** | **151,453** | |
| ***Total Project Grant*** | | | | | | | | **300,328** | **523,419** | **459,345** | **382,890** | **1,665,982** | |

**Budget Notes**

| Budget Note No. | Project Output (Description) |
|---|---|
| | **Component 1: Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation** |
| 1 | **71300 - Local Consultants: $72,000**<br>• Bioeconomy Expert to develop the National Bioeconomy Strategy - Output 1.1.3 ($36,000; 300 daily rate x 120 days; years 1 and 2)<br>• M&E Expert to support the development of a Community Monitoring Framework and to develop training manuals and other tools for training of community monitors - Output 1.2.1 ($36,000; 300 daily rate x 140 days; years 1 and 2) |
| 2 | **71800 - Contractual Services-Imp Partn: $36,685**<br>• ABS Technical Expert to support the development of BCP standards and to conduct a related KAP assessment - Output 1.2.2 ($36,685; $3,335 per month for 11 months; years 1 and 2) |
| 3 | **71600 – Travel: $18,055**<br>• Travel cost associated with national and international learning exchange visits on specific ABS training needs (e.g., ABS contract negotiations, E-permitting systems, aTK documentation, and protection systems) - Output 1.1.2 ($15,000; years 1 and 2)<br>• Travel cost associated with learning exchange on bioeconomy processes - Output 1.1.3 ($3,055; year 1) |
| 4 | **72100 - Contractual Services-Companies: $80,000**<br>• International accredited company to develop and implement an ABS training program with a gender focus and certification of ABS trainers - Output 1.1.2 ($50,000; years 1 and 2)<br>• Company to develop and E-permitting system and an electronic interface with the CIPA online registration system for TK Output 1.3.1 ($30,000; year 2) |
| 5 | **72500 – Supplies: $2,600**<br>• Stationeries and supplies in support of strengthening the national framework and institutional capacities for ABS implementations, including biosafety supplies to minimize exposure to COVID-19, as needed - Outputs 1.1.1, 1.1.3, 1.2.1, and 1.2.2 ($2,600; years 1 and 2) |
| 6 | **74200 - Audio Visual&Print Prod Costs: $15,760**<br>• Printing of the National Bioeconomy Strategy - Output 1.1.3 ($5,000; year 2)<br>• Printing of training manuals and other tools for training of community monitors - Output 1.2.1 ($5,000; year 2)<br>• Printing of BCP Standards, using both languages in a simple form (English and Setswana) - Output 1.2.2. ($5,760; year 2) |
| 7 | **75700 - Training, Workshops and Confer: $16,000**<br>• Workshops to validate the updated/final regulatory texts with key stakeholders Outputs 1.1.1 ($1,500; year 1)<br>• Workshops and meetings for the development and validation of the National Bioeconomy Strategy - Output 1.1.3 ($3,500; years 1 and 2)<br>• Workshops and meetings for consultations, development, and validation of the Community Monitoring Framework Output 1.2.1 ($5,000; years 1 and 2)<br>• Workshops and meetings for consultations and validation of standards for developing BCPs and to raise awareness among potential users of GR - Output 1.2.2 ($6,000; years 1 and 2) |
| | **Component 2: Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management** |
| 8 | **71200 - International Consultants: $108,000**<br>• ABS Expert to provide ABS backstopping related to enhancing capacities for R&D. Outputs 2.1.2, 2.2.1, 2.3.1, 2.3.2, and 2.3.5 ($36,000; $600 daily rate x 60 days = years 2 to 4).<br>• International SES Expert to conduct the SESA and develop the ESMP, IPP and other related plans - Output 2.4.4 ($72,000; $600 daily rate x 120 days; year 1) |
| 9 | **71300 - Local Consultants: $333,500** |

| Budget Note No. | Project Output (Description) |
|---|---|
| | • Database Design Expert for the development of the National GR database in coordination with CIPA (including the development of the user's manual and procedures to access and protect information) and collate data into the GR database - Output 2.1.1 ($36,000; $300 daily rate x 120 days; years 2 and 3)<br>• GR R&D Expert to support the development of the National GR R&D Plan and a resource plan - Output 2.2.1 ($54,000; $300 daily rate x 180 days; years 2 and 3)<br>• Trainers (3) to develop skills/train local communities, including women and youth, in ABS aspects for the sustainability of the ABS initiative: conduct community skills inventory and develop and implement training program - Output 2.3.4 ($81,000; $300 daily rate x 90 days per trainer; years 3 and 4)<br>• ABS/TK Expert to draft the guidelines for protection of TK - Output 2.4.3 ($36,000; $300 daily rate x 120 days; year 3)<br>• Knowledge Management (KM) Expert for the development of the National ABS community of practice (COP)/platform and the KM Plan/systematization of lessons learned, and to operationalise a virtual regional ABS dialogue - Outputs 2.4.1 and 2.4.2 ($48,000; $3,000/month; 16 months during years 1 to 4)<br>• Gender /SES Expert to implement all safeguards plans, as appropriate (ESMP/IPP; Gender Action Plan; Comprehensive Stakeholder Engagement Plan, GRM, etc.) - Output 2.4.4 ($48,000; $3,000/month; 16 months during years 1 to 4)<br>• National SES Expert to support locally the development of safeguards assessments and plans - Output 2.4.4 ($22,500; $250 daily rate x 90 days; year 1)<br>• Local translators to support local consultations for the development and implementation of SESP-related assessments and plans, including achieving FPIC. Output 2.4.4 ($8,000; $100 daily rate x 80 days; year 1 to 4) |
| 10 | **71800 - Contractual Services-Imp Partn: $50,025**<br>• ABS Technical Expert to: a) lead field surveys/inventories of GR (including training of survey team); b) support the selection of a species of interest for R&D; and c) develop management plan for a selected ABS species/GR - Outputs 2.1.2, 2.3.1, and 2.3.3 ($50,025; $3,335 per month for 15 months; years 2 to 4). |
| 11 | **71600 – Travel: $59,000**<br>• Travel expenses related to field surveys/inventories of GR - Output 2.1.2 ($10,000; year 2)<br>• Travel expenses related to establishing partnerships between national and international researchers - Output 2.3.2 ($21,000; years 2 to 4)<br>• Travel expenses related to consultations with local communities for the development of guidelines for the protection of TK - Output 2.4.3 ($10,000; year3)<br>• Travel expenses and daily subsistence allowance (DSA) related to the development of social and environmental safeguard related assessments and plans - Output 2.4.4 ($12,000; year 1)<br>• Travel expenses related to the implementation of SES-related management plans - Output 2.4.4 ($6,000; $2,000/yr.; years 1 to 4) |
| 12 | **72100 - Contractual Services-Companies: $75,000**<br>• International accredited company(s) to develop and implement a training module for users of GR and associated TK (research centres, universities, and private sector companies) to enhance the national capacity for R&D - Output 2.2.2 ($75,000; years 2 to 4) |
| 13 | **72200 - Equipment and Furniture: $418,680**<br>• Field equipment for surveys/inventories of GR - Output 2.1.2 ($6,000; year 2)<br>• Laboratory infrastructure and equipment for bioprospecting and product development - Output 2.2.3 ($$412,680; $137,560/yr.; years 2 to 4) |
| 14 | **72400 – Communic & Audio Visual Equip: $5,000**<br>• Audio visual equipment (e.g., video projectors; digital cameras; projection screens, etc.) in support of workshops, meetings, training, etc. for enhancing capacities for R&D based on GR, associated TK - Outputs 2.1.2, 2.2.1, 2.2.2, 2.3.3, 2.3.4, 2.3.5, and 2.4.1 ($5,000; year 2) |
| 15 | **72500 – Supplies: $4,500**<br>• Stationeries and supplies in support of enhancing capacities R&D based on GR, associated TK and knowledge management, including biosafety supplies to minimize exposure to COVID-19, as needed - Outputs 2.1.2, 2.2.1, 2.2.2, 2.3.3, 2.3.4, 2.3.5, and 2.4.1 ($4,500; $1,500/yr.; years 2 to 4) |
| 16 | **72800 - Information Technology Equipment: $40,000**<br>• Software and hardware for the development of the National GR database - Output 2.1.1 ($10,000; year 2)<br>• Software and hardware related to bioprospecting and product development - Output 2.2.3 ($30,000; $10,000/yr.; years 2 to 4) |

| Budget Note No. | Project Output (Description) |
|---|---|
| 17 | **74200 - Audio Visual&Print Prod Costs: $20,000**<br>• Printing costs of the National GR R&D Plan - Output 2.2.1 ($10,000; year 3)<br>• Printing costs of the management plan for a prioritised species - Output 2.3.3 ($5,000; year 4)<br>• Printing costs of the guidelines for the protection of TK - Output 2.4.3 ($5,000; year 3) |
| 18 | **75700 - Training, Workshops and Confer: $82,594**<br>• Workshops and meetings for the development and validation of the National GR database through a consultation process, including defining the sustainability strategy - Output 2.1.1 ($7,594; year 2)<br>• Workshops and meeting to define variables with experts for conducting field surveys/inventories of GR in the Northwest/Ngamiland district of Botswana - Output 2.1.2 ($5,000; year 2)<br>• Workshops and meeting to train survey team in GR data collection and reporting, including local community members and women - Output 2.1.2 ($5,000; year 2)<br>• Workshops and meeting to compile and analyse results of field surveys/inventories of GR - Output 2.1.2 ($5,000; year 2)<br>• Workshops and meeting for the situation analysis and the development, consultations, and validation of the National GR R&D Plan - Output 2.2.1 ($7,500; $3,750/yr.; years 2 and 3)<br>• Workshops and meetings for the selection of a species of interest for R&D and with high potential for commercial value - Output 2.3.1 ($3,500; year 3)<br>• Workshops and meetings for establishing partnership between national and international researchers - Outputs 2.3.2 ($6,000; $2,000/yr.; years 2 to 4)<br>• Workshops and meetings for conservation and TK status assessments, and the development and validation of a management plan for a prioritised species - Output 2.3.3 ($5,000; year 4)<br>• Workshops and meetings for transferring skills to local communities, including women and youth, for the sustainability of an ABS initiative. - Output 2.3.4 ($10,000; $5,000/yr.; years 3 and 4)<br>• Workshops and meetings for the design and funding of one demonstration R&D project - Output 2.3.5 ($5,000; year 4)<br>• Workshops and meetings for consultation and validation or guidelines for protection of TK - Output 2.4.3 ($10,000; year 3)<br>• Training the PMU, institutional partners, and research institutions, and private sector companies on environmental and social safeguards as per UNDP standards - Output 2.4.4 ($5,000; year 1)<br>• Workshops for SES-related public consultations and to ensure stakeholder engagement - Output 2.4.4 ($6,000, $1,500/yr.; years 1 to 4)<br>• Workshops on gender mainstreaming - Output 2.4.4 ($2,000, $1,000/yr.; years 1 and 2) |
| | **Component 3: Monitoring and evaluation (M&E)** |
| 19 | **71200 - International Consultants: $21,000**<br>• International consultant for Terminal Evaluation - Output 3.1.1 ($21,000; $700 daily rate x 30 days; year 4) |
| 20 | **71300 - Local Consultants: $44,000**<br>• M&E of GEF core indicators and the PRF - Output 3.1.1 ($14,000; $350 daily rate x 40 days; years 1 to 4)<br>• Monitoring of ESMP/IPP, Gender Action Plan, and Comprehensive Stakeholder Engagement Plan, GRM, and other related plans - Output 3.1.1 ($21,000; $350 daily rate x 60 days; years 1 to 4)<br>• National consultant for Terminal Evaluation - Output 3.1.1 ($9,000; $375 daily rate x 24 days; year 4) |
| 21 | **71600 – Travel: $8,000**<br>• Travel expenses for Terminal Evaluation - Output 3.1.1 ($4,000; year 4)<br>• Travel expenses related to the monitoring of GEF core indicators and PRF, and social and environmental safeguards - Output 3.1.1 ($4,000; $1,000/yr.; years 1 to 4) |
| 22 | **75700 - Training, Workshops and Confer: $4,130**<br>• Project Inception Workshop - Output 3.1.1 ($3,000; year 1) |

| Budget Note No. | Project Output (Description) |
|---|---|
| | • Terminal Evaluation workshop - Output 3.1.1 ($1,130; year 4) |
| | **Project Management Cost** |
| 23 | **71800 - Contractual Services-Imp Partn: $136,140**<br>• Project Manager - ($73,260; $3,330 per month for 22 months; years 1 - 4)<br>• Project Assistance/Finance Assistant - ($62,880; $1,310 per month for 48 months; years 1 - 4) |
| 24 | **72200 - Equipment and Furniture: $850**<br>• Office furniture - ($850; year 1) |
| 25 | **72500 – Supplies: $2,960**<br>• Office and IT Supplies and Consumables ($2,960; $740/year; years 1 to 4) |
| 26 | **72800 - Information Technology Equipmt: $3,503**<br>• Computer (2)- ($3,000; $1,500/unit; year 1)<br>• Printer (1) - ($503; year 1) |
| 27 | **74100 – Professional Services: $8,000**<br>• Project audits - ($8,000; $2,000/year; years 1 to 4) |

## XI. LEGAL CONTEXT

*117.* This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of Botswana and UNDP, signed on signed on 14 May 1975. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

*118.* This project will be implemented by the Ministry of Environment, Natural Resources Conservation and Tourism through the Department of Environmental Affairs (DEA) ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

## XII. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
   a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
   b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list.

4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

   (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

   (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

    i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

    ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;

    iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;

    iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

    v. Promptly and confidentially, record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

    b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds.

10. In the implementation of the activities under this Project Document, UNDP places reasonable reliance upon the Implementing Partner for it to apply its laws, regulations and processes, and applicable international laws regarding anti money laundering and

countering the financing of terrorism, to ensure consistency with the principles of then in force the UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy.

11. The Implementing Partner will ensure that its financial management, anti-corruption, anti-fraud and anti-money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

12. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

13. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

14. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

    Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

15. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularity, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

    *Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

16. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

17. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

18. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk

Management Standard Clauses" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

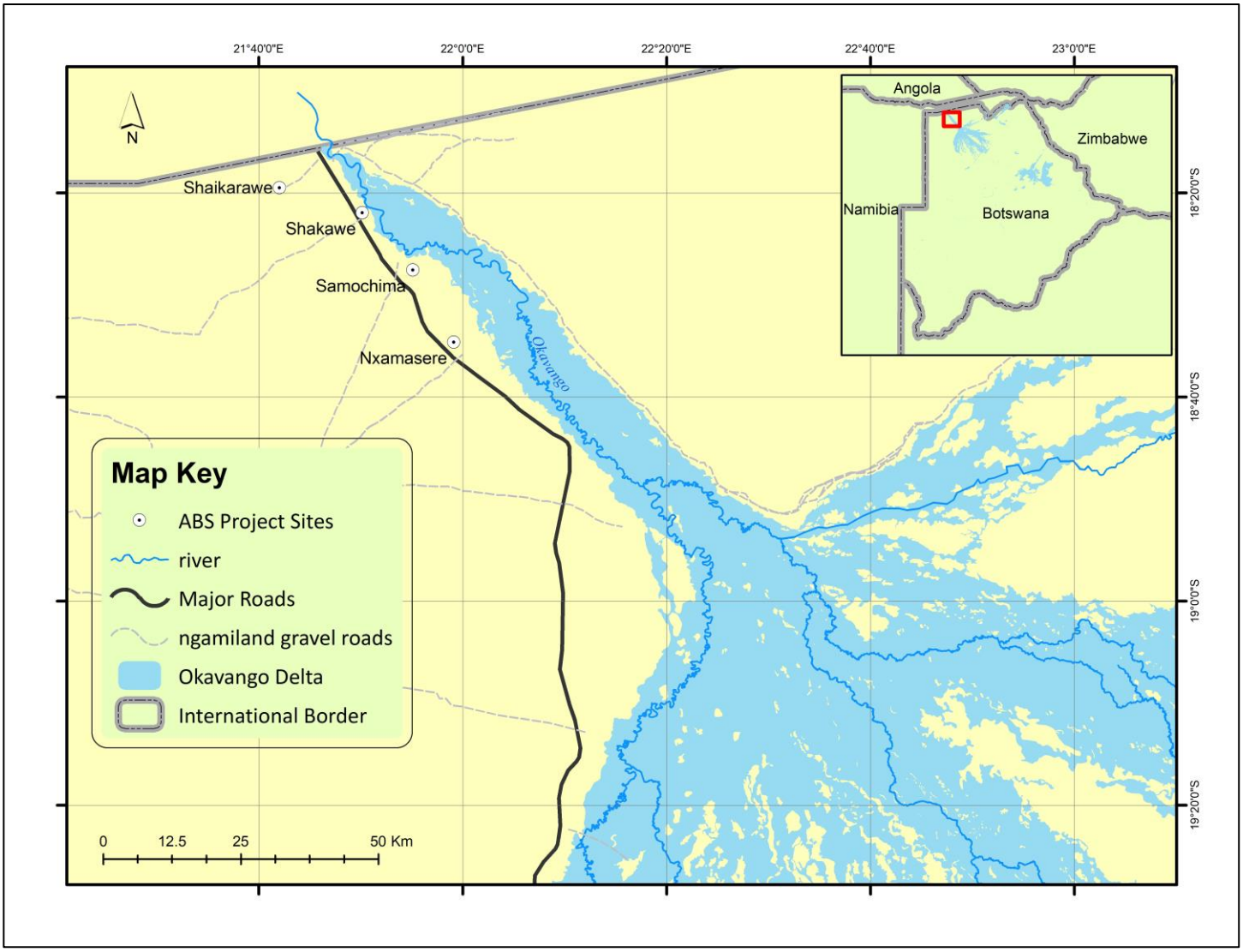
## XIII. MANDATORY ANNEXES

1. GEF Budget Template
2. Project Map and geospatial coordinates of the project area
3. Multiyear Workplan
4. Social and Environmental Screening Procedure (SESP)
5. UNDP Atlas Risk Register
6. Overview of technical consultancies/subcontracts
7. Comprehensive Stakeholder Engagement Plan
8. Environmental Social Management Framework (ESMF)
9. Gender Analysis and Gender Action Plan
10. Procurement Plan – for first year of implementation
11. Additional agreements: letters of financial commitments
12. GEF Core indicators
13. GEF Taxonomy

**Annex 1: GEF Budget Template**

Attached separately

**Annex 2: Project map and Geospatial Coordinates of project sites**



**Annex 3: Multi Year Work Plan**

| | Outcomes | Outputs | Year 1 | | | | Year 2 | | | | Year 3 | | | | Year 4 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| **Component 1** Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation | 1.1 Gender-sensitive implementation of ABS enhanced through improved management and operational capacity of government agencies | 1.1.1. ABS regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA) developed to facilitate implementation of the ABS Law enacted in 2022 | | | | | | | | | | | | | | | | |
| | | 1.1.2. Training programme with a gender focus developed and implemented for advancing the Nagoya Protocol on ABS, including manuals and certified ABS trainers | | | | | | | | | | | | | | | | |
| | | 1.1.3. National Bioeconomy Strategy developed, promotes bioprospecting and benefit sharing from the economic use of genetic resources | | | | | | | | | | | | | | | | |
| | 1.2. Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups) | 1.2.1. A Community Monitoring programme established and operationalized (with monitors trained and equipped to monitor ABS agreements and regulations under guidance of local leaders [e.g., Kgosi, village committees, etc.]) | | | | | | | | | | | | | | | | |
| | | 1.2.2. Standards for developing Biocultural Community Protocols (BCPs) agreed upon with local communities based on the guidelines for obtaining PIC and MAT | | | | | | | | | | | | | | | | |
| | 1.3. Functional national | 1.3.1. One-stop-shop ABS permitting procedure to improve | | | | | | | | | | | | | | | | |

| | Outcomes | Outputs | Year 1 | | | | Year 2 | | | | Year 3 | | | | Year 4 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| | permitting mechanism facilitates compliance with ABS regulations by providers and users of GR | inter-institutional coordination developed and operationalized including: | | | | | | | | | | | | | | | | |
| | | a) E-permitting system (encompassing scientific research, bioprospecting, product development, and associated TK). | | | | | | | | | | | | | | | | |
| | | b) Electronic interface with the Companies and Intellectual Property Authority (CIPA) online registration system for TK | | | | | | | | | | | | | | | | |
| **Component 2** Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management | 2.1. Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK | 2.1.1 National GR database developed, data collated, and mechanisms for the protection information in place | | | | | | | | | | | | | | | | |
| | | 2.1.2. Field surveys/inventories of GR and associated TK compiled and protected, including source species, known uses, known or potential GR value, location, conservation status, etc. | | | | | | | | | | | | | | | | |
| | 2.2. Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure. | 2.2.1. National GR R&D Plan developed, adopted, and funded | | | | | | | | | | | | | | | | |
| | | 2.2.2 Training module to advance the R&D agenda developed and activated (including work-integrated learning that targets both males and females equally, and institutional arrangements for coordination) | | | | | | | | | | | | | | | | |
| | | 2.2.3. Selected Research Centres and universities better equipped for bioprospecting and product development | | | | | | | | | | | | | | | | |

| | Outcomes | Outputs | Year 1 | | | | Year 2 | | | | Year 3 | | | | Year 4 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| | 2.3. Opportunities created for the sustainable utilisation of GR and associated TK to sustainably support community livelihoods for women, men, youth, and other vulnerable communities | 2.3.1 A species of interest for R&D and with high potential for commercial value included as part of a demonstration project | | | | | | | | | | | | | | | | |
| | | 2.3.2. Partnership between national and international researchers established for the implementation of an ABS demonstration project | | | | | | | | | | | | | | | | |
| | | 2.3.3. Management plan developed for a prioritised species | | | | | | | | | | | | | | | | |
| | | 2.3.4. Skills, (ABS project and financial management, marketing, negotiation of ABS agreements, biodiversity conservation and sustainable use, access to genetic resources and TK associated with GR, etc.) transferred to local communities, including women and youth, for the sustainability of the ABS initiative | | | | | | | | | | | | | | | | |
| | | 2.3.5 One (1) demonstration R&D project designed and funding secured | | | | | | | | | | | | | | | | |
| | 2.4. Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to | 2.4.1. National ABS community of practice (COP)/platform for lesson-sharing, common priority-setting, and awareness-raising developed and operationalised | | | | | | | | | | | | | | | | |
| | | 2.4.2: Virtual regional ABS dialogue (SADC countries) to enhance knowledge-sharing, partnership development, and | | | | | | | | | | | | | | | | |

| | Outcomes | Outputs | Year 1 | | | | Year 2 | | | | Year 3 | | | | Year 4 | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| | deliver community benefits | stakeholder collaboration convened | | | | | | | | | | | | | | | | |
| | | 2.4.3 Guidelines for the protection of TK developed | | | | | | | | | | | | | | | | |
| | | 2.4.4. Gender Action Plan, Stakeholder Engagement Plan and other SES-related management plans implemented. | | | | | | | | | | | | | | | | |
| **Component 3** Monitoring and evaluation (M&E) | 3.1. M&E assesses project impact and guides adaptive management | 3.1.1. M&E Plan implemented. | | | | | | | | | | | | | | | | |

**Annex 4: UNDP Social and Environmental Screening Procedure (SESP)**

## Social and Environmental Screening Template (2022 SESP Template, Final)

*The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.*

### Project Information

| ***Project Information*** | |
|---|---|
| 1. Project Title | Promoting Beneficiation and Value Addition from Genetic Resources through enhanced capacity for research and development and the protection of traditional knowledge in Botswana |
| 2. Project Number (i.e., Atlas project ID, PIMS+) | PIMS 6428 |
| 3. Location (Global/Region/Country) | Botswana (Africa) |
| 4. Project stage (Design or Implementation) | Design |
| 5. Date | December 2022 |

## Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

| **QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?** |
|---|
| ***Briefly describe in the space below how the project mainstreams the human rights-based approach*** |
| UNDP consistently applies the Human Rights Based approach (HRBA) in all project programming, taking into account the responsibilities of the duty-bearers and the obligations of the rights-holders.<br><br>This project seeks to promote beneficiation and value addition from Genetic Resources (GR) through enhanced capacity for research and development, protection of traditional knowledge (TK), and strengthening of the national legal and regulatory framework for implementation of the Nagoya Protocol (NP) on Access and Benefit Sharing (ABS), to which Botswana is a signatory. Although the NP does not include specific textual references to 'human rights', several of its provisions include elements that can be traced back to widely ratified human rights instruments – for example, the purpose of Prior and Informed Consent (PIC, which is required under the NP) is to ensure that custodians/suppliers of GR and holders of related traditional knowledge (TK), are able to exercise their rights to give or withhold their consent to share information about GR/TK or to enter into agreements with users of these GR and secure equitable benefits from doing so. The concept of PIC also overlaps broadly, though not entirely, with that of Free, Prior and Informed Consent (FPIC) which underpins human rights-based approaches to protecting the rights of access of communities – especially indigenous peoples and other differentially-affected rights-holders or 'collectives' - to land and/or natural resources to support their livelihoods, practices, traditions, knowledge and cultural identity.<br><br>The HRBA in this project is premised on recognition of the rights of Botswana and all of their peoples to protect their GR from the threat of biopiracy, protect the source species from which GR are derived and which people may depend on for their livelihoods or traditions; benefit from value addition arising from commercialization of ABS products developed through R&D, without erosion of their rights of access to land or natural resources, or erosion of their cultural heritage. The project will do this by, inter alia: |

(i) Supporting the Government to develop ABS regulations on PIC, Mutually Agreed Terms (MAT) and Material Transfer Agreements (MTA) (Output 1.1.1) and Guidelines for development of Biocultural Protocols (BCPs) (Output 1.2.2), with associated training (Outputs 1.1.2, 1.2.1 and 2.3.4)

(ii) Establishing an inclusive local ABS community of practice to enable continual learning and mutual priority setting (Output 2.4.1)

(iii) Ensuring that the project activities do not impact negatively on cultural heritage, including TK, or the rights of communities and other resource-user collectives who may be affected, through implementation of appropriate risk avoidance and mitigation plans (as per this SESP), and through the development of guidelines for the protection of traditional knowledge (Output 2.4.3)

During the PPG appropriately experienced were contracted as part of the project development team to develop a suite of assessments, frameworks and plans to maximise positive human rights outcomes, as follows:

- A Stakeholder Analysis and Comprehensive Stakeholder Engagement Plan, following the principles of equality and FPIC, and including specific engagement plans for any relevant 'special interest' groups (e.g., remote area rural dwellers and other community groups triggering SES Standard 6, traditional healers, collectors and traders of veldt products and others to be confirmed during the analyses)
- A Gender Analysis and Action Plan (see below)
- A Grievance Redress Mechanism
- An initial Cultural Heritage Impact Assessment.

During implementation**, Strategic Environmental and Social Assessment**(s) (SESAs) will inform the development of outputs with upstream impacts relevant to human rights, including (provisionally): ABS Regulations on FPIC, MAT, and MTA (Output 1.1.1); the National Bioeconomy Strategy (Output 1.1.3); Standards for developing BCPs (Output 1.2.2); Guidelines for Protection of Traditional Knowledge (Output 2.4.3), and the National GR R&D Plan (Outputs 2.2.1).

***Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment***

The proposed project, which carries a Gender Marker rating of 2, has been designed to be generally consistent with the GEF Policy on Gender Mainstreaming which aims to "promote the goal of gender equality through GEF operations" and specifically aligned with the UNDP Guidance on Mainstreaming Gender into ABS – Mind your Step, which addresses ABS-specific gender mainstreaming issues.

All project components are envisioned to have a positive impact on gender equality and participation through the development and inclusion of specific criteria, indicators and targets in the related project activities. The project will also increase women's voice and participation in community and women's organizations by mainstreaming gender concerns into decision-making, business development, and benefit sharing mechanisms.

Specific gender mainstreaming instruments developed during PPG include: A Gender Analysis and Gender Action/Mainstreaming Plan, developed by a Gender Expert, following the guidance in the 'Mind your Step' ABS Gender Mainstreaming Guidelines.

The Gender Mainstreaming Plan informs: (i) the design of gender-sensitive project outputs that meaningfully address gender equality issues and remediate cultural, social, religious and other constraints on women's participation and benefit-sharing; (ii) the framing of SMART indicators with gender disaggregated targets that can measure the impact the project has on gender equality and women's empowerment – these indicators and targets will be included in the Project Results Framework; (iii) indicators, means of collection and verification, to be incorporated into the project's M&E Framework; (iv) allocation of adequate budget in the TBWP to ensure that gender will be explicitly addressed in the project implementation phase.

***Briefly describe in the space below how the project mainstreams sustainability and resilience***

The proposed project aims to strengthen the national legal and regulatory framework and capacity for implementation of the NP by developing laws/regulations, capacity, mechanisms and tools for implementation, monitoring, and enforcement of national ABS legislation; enhanced capacity and infrastructure for GR-related research and development (R&D) to strengthen ABS value chains and enable beneficiation through diversified local livelihoods; and effective, socially inclusive knowledge-sharing and collaboration. The project will mainstream sustainability and resilience at three levels – at local levels by building awareness about sustainable resource use and ecosystem management by rural population; at district levels by training district government institutions on these matters and by integrating them into district development plans; and at the national level by integrating sustainability more strongly into the emerging ABS framework.

At the local level, the project will enhance the capacity of local communities, giving special attention to women and youth and other vulnerable people, to participate in monitoring

and to enhance transparency about the use of GR. Specifically, the project will operationalize a community monitoring programme with people trained and equipped to monitor ABS agreements, when these are established, and the implementation of the regulations to be developed by the project. At national level, the project will support development of a National Bioeconomy Strategy to promote the sustainable use of biological and GR to deliver economic, social and environmental benefits. The bioeconomy strategy will address the country's socio-economic development goals of poverty reduction and improved quality of life, while ensuring continued economic growth. In particular, the project will develop a centralized ABS permitting procedure that enhances compliance and efficient operationalisation of the ABS Regulations to be developed under the project, to reduce or eliminate biopiracy, and will develop a model climate-smart, species management plan for one targeted species to avoid over-exploitation. This management plan will form the prototype for others to be developed in future, as species are selected for R&D and commercialization.

Environmental and social sustainability outcomes will be further enhanced by: (i) Using **Strategic Environmental and Social Assessment**(s) to shape the development of plans that will have upstream impacts – including, at least, ABS Regulations; the National Bioeconomy Strategy; Guidelines for establishment of Biocultural Protocols, and the National R&D Plan; (ii) Including basic guidelines in the **ProDoc** for the development of a "climate smart' management plan for a species prioritized for future R&D and commercialization of ABS products.

The project addresses environment-development linkages (e.g., poverty-environment nexus, environmental dimensions of disaster and crisis prevention) and supports implementation of national environmental sustainability priorities identified in the UNDAF, country analysis, and/or country commitments under Multilateral Environmental Agreements (MEAs).

***Briefly describe in the space below how the project strengthens accountability to stakeholders***

In line with UNDP principles, the project will promote all aspects of accountability to stakeholders during implementation by: (i) enabling active, meaningful and culturally appropriate local community engagement and participation in project planning and decision-making, particularly targeted at those at risk of being left behind; (ii) ensuring transparency through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and measures for their management; (iii) ensuring stakeholders can communicate their concerns and have access to a rights-compatible complaints-redress process; and (iv) ensuring effective results monitoring—and, where appropriate, participatory monitoring with stakeholders —and reporting on implementation of social and environmental safeguard risk management measures.

The project's key instruments for strengthening accountability, that were developed during PPG include: a **Grievance Redress Mechanism**, Gender **Action Plan**, and **Comprehensive Stakeholder Engagement Plan**. And Environmental and Social Management Framework ESMF) also includes Planning Frameworks for specific stakeholder groupings, including those to which Standard 6 applies, and other special interest groups (such as traditional healers).

*Participation and inclusion*: The project's Comprehensive Stakeholder Engagement Plan embraces the principles of **Free, Prior, Informed Consent (FPIC)** and identifies appropriate ways of involving stakeholders in project activities that maximize inclusion. The ProDoc includes a detailed description of the stakeholder engagement processes followed during the development phase (including a report on preliminary FPIC consultations). The Stakeholder Engagement Plan further identifies measures for documenting and reporting on stakeholder engagement throughout the lifespan of the project, and these have been incorporated into the project's M&E Framework in the ProDoc.

*Grievance redress*: The project will at all times, during implementation, work through existing, mandated local governance structures and mechanisms that have legitimacy and credibility among the communities. During PPG, a locally-appropriate **Grievance Redress Mechanism** was developed. The GRM describes operational procedures for addressing conflicts and concerns that are familiar to local communities. The GRM must be operationalized during the first two months of project implementation. Project stakeholders will also be informed of their options for accessing UNDP's Stakeholder Response Mechanism if there are issues that cannot be addressed through the project-level GRM

*Monitoring:* **The Project Steering Committee** will monitor the project's accountability measures at intervals during the lifespan of the project and will also report on project progress, at intervals, to project stakeholders.

*Transparency*: The safeguards screening report (SESP) and all associated safeguards frameworks and plans that developed during the PPG will be posted for **public disclosure**, in line with UNDP's SES Policy for Substantial Risk projects. Further safeguards risk screening and assessments and resulting risk management plans, as described in the full SESP, will also be publicly disclosed, in line with UNDP policy and commensurate with the identified risks. The **Project Board (Steering Committee)** will be mandated, *inter alia*, with ensuring that the project is implemented in accordance with standards that ensure management for development results, best value for money, fairness, and transparency.

## Part B. Identifying and Managing Social and Environmental Risks

| **QUESTION 2: What are the Potential Social and Environmental Risks?** *Note: Complete SESP Attachment 1 before responding to Question 2.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5below before proceeding to Question 5* | | | **QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High** |
|---|---|---|---|---|
| ***Risk Description (Broken down by event, cause, impact)*** | ***Impact and Likelihood (1-5)*** | ***Significance (Low, Moderate Substantial, High)*** | ***Comments (optional)*** | ***Description of assessment and management measures for risks rated as Moderate, Substantial or High*** |
| **Risk 1:** By promoting commercialization of genetic resources, and introducing tighter regulation of bioprospecting and harvesting of source materials, the project could inadvertently lead to adverse impacts on human rights, and restrictions on access to resources by the local communities that are custodians of GR and its associated traditional knowledge (TK). These impacts and restrictions may differentially impact marginalized and vulnerable groups, such as remote area rural dwellers (indigenous people) and other specific community groups, women, the elderly, and other special interest groups such as traditional healers and collectors and traders of veldt products of health, cosmetic, spiritual or cultural value.<br><br>This risk cuts across all components of the project, but is most directly linked to Outputs 1.1.3 (the National Bioeconomy Strategy); 1.3.1 (ABS permitting system), 2.1.1 and 2.1.2 (field surveys and inventories of species with potential GR value and the associated database), 2.2.1 (development of a National R&D Plan) and all outputs under Outcome 2.3 (especially 2.3.1, selection and prioritization of species with high GR value for further R&D, identification of commercialization partners), and guidelines for protection of TK (Output 2.4.3) | I = 3<br>L = 3 | Moderate | The intent of the project is to protect the rights of GR holders in Botswana through operationalizing the country's ABS Law (awaiting promulgation), developing ABS regulations under the Nagoya Protocol (Prior and Informed Consent; Mutually Agreed Terms; and Material Transfer Agreements), developing guidelines for Biocultural Protocols, establishing a permitting system to regulate bioprospecting and to train communities in monitoring the implementation of these ABS-related instruments. However, there remains the risk that through lack of knowledge (at least initially), or possible exclusion from consultation processes and decision making processes, or other factors that may influence participation, implementation of these regulations and protocols may result in some communities, or special interest groups or affected individuals being unable to access resources in ways that they were previously accustomed to, or to exercise their rights (particularly with regards to their traditional knowledge) in the face of rising commercial interests in GR. | This risk was addressed through the development during PPG of the following:<br>- A **Stakeholder Analysis and Comprehensive Stakeholder Engagement Plan** and Capacity Needs Assessment (included as Annex 8 to this ProDoc) –follows the UNDP SES supplemental guidance on Stakeholder Engagement, and identifies and caters for all individuals and groups including particular resource-user ' collectives' or special interest groups, such as remote area rural dwellers and other communities relevant under SES Standard 6, traditional healers, collectors and traders of veldt products, women's co-operatives, other vulnerable individuals or groups (e.g. youth, the elderly). The Comprehensive Stakeholder Engagement Plan to be used during project implementation, follow the principles of **Free, Prior and Informed Consent**. Because SES Standard 6 is triggered, Because SES Standard 6 is triggered, an Indigenous Peoples Planning Framework (IPPF) has been designed during PPG and annexed to the ESMF. The IPPF sets all steps to design an FPIC protocol, which will need to be done on a participatory basis in the first six months of project implementation, before any substantial risk activity starts.<br>- The stakeholder analysis and engagement plan are also aligned with the gender analysis and action plan (see below)<br>- **Gender Analysis and Gender Action/Mainstreaming Plan** (see further description under Risk 3, below) – included as Annex 10 to this ProDoc.<br>- **The Environmental and Social Management Framework**, designed during PPG, plans for all adequate assessments and plans to be designed during project implementation (and before any substantial risk activity starts), including:<br>o **The Strategic Environmental and Social Assessment (SESA)** which will be built into the scope of work |

| | | | | |
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| Principle: Human Rights - P4, P6<br>Also: Gender Quality and Human Empowerment – P.11<br>And<br>Standard 6 (Indigenous Peoples)[29]: 6.3, 6.4, 6.5<br>Standard 4: Cultural Heritage : 4.1, 4.3, 4.5 | | | | undertaken to develop all project outputs that may have upstream impacts on the full enjoyment of human rights by all stakeholders. The full SESP developed during the PPG confirmed that the following outputs will require SESA: ABS Regulations on FPIC, MAT, and MTA (Output 1.1.1); the National Bioeconomy Strategy (Output 1.1.3); Standards for developing BCPs (Output 1.2.2); the National GR R&D Plan (Outputs 2.2.1), and Guidelines for Protection of Traditional Knowledge (Output 2.4.3).<br>○ **The scoped ESIA/ESMP** covering all field activities, especially on the demonstration site<br>○ An IPP for SES compliance during project implementation has been confirmed as indicated in the IPPF-developed during the PPG. The Indigenous Peoples Planning Framework is included as Annex 1 in the Environmental and Social Management Framework. A Cultural Heritage Plan was developed during the PPG. |
| **Risk 2:** The holders of genetic resources and associated traditional knowledge might not have enough knowledge of the provisions of the Nagoya Protocol to claim their rights in relation to GR and associated TK, and government agencies and other duty bearers may not have the knowledge or operational experience to recognize these rights or ensure that they are upheld in the development and implementation of the project outputs<br>Human Rights: P2, P3<br>Also:<br>Gender Equality and Women's Empowerment: P.11<br>And<br>Standard 6 (Indigenous Peoples): 6.3 | I = 3<br>L = 3 | Moderate | ABS is a highly technical field involving legal complexities. One of the major barriers to effective domestication of the Nagoya Protocol (NP), realizing the potential for beneficiation and value addition from Botswana's GR through ABS agreements, and protecting people's TK, is limited knowledge of the NP on ABS, especially among local communities and knowledge holders, who are not aware of the country's accomplishments to-date in strengthening the national ABS framework and have limited capacity to effectively negotiate with GR users or monitor implementation of ABS agreements and regulations. GR and associated TK are often still illegally accessed and utilised without any benefit sharing with communities. Equally, despite strong national commitment, officials at the various levels of government in departments mandated with implementation of the Nagoya Protocol, still have limited knowledge of what this entails. Whilst the project seeks to address this, it can be reasonably expected that there will | In keeping with Article 22 of the Nagoya Protocol, the project will ensure that the **design and implementation of training programmes** to be provided under **Outputs 1.1.2, 1.2.1, 2.2.2 and 2.3.4** will effectively enhance the knowledge and understanding of local communities and specific resource-user collectives to empower them to exercise their rights, and that government officials will be able to effectively implement the ABS Laws in support of this. The Comprehensive Stakeholder Engagement Plan and the IPPF includes guidelines for ensuring that all stakeholders are able to benefit equitably from access to the training provided through the project. The ESMF and IPPF address the issues pertaining to compliance with Standard 6 of the UNDP on Indigenous Peoples<br><br>Further, the **analyses, plans and frameworks described under Risk 1** will ensure that all relevant stakeholders are properly engaged during the implementation phase to inform/lead, at least:<br>(i) The development of appropriate regulations and standards to protect the rights of GR custodians and knowledge holders (Outputs 1.1.1, 1.2.1 and 1.2.2) and equip them to monitor implementation (Outputs 1.2.1 and 2.3.4)<br>(ii) Establishment of the ABS Community of Practice to ensure ongoing learning and lesson-sharing (Output 2.4.1) |

[29] Note: Although the term ' indigenous peoples' as per the UN system and other international declarations and policies is not used in Botswana, and all community groupings are recognized as having equal rights, there are communities and collectives of resource users who fit the criteria described under Standard 6 in the UNDP Social and Environmental Standards Policy. The Policy therefore requires that Standard 6 applies.

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| | | | be a lag phase in which both rights holders are ill-equipped to claim their rights and duty bearers may have limited capacity to meet their obligations to the project or implement its outputs. | (iii) Development of Guidelines for the protection of GR-related Traditional Knowledge (Output 2.4.3)<br><br>During implementation, the TORs for developing project outputs with upstream impacts (Outputs 1.1.1, 1.1.3, 1.2.2, 2.2.1 and 2.4.3) must include **SESA**, to ensure that measures for protecting the rights of GR custodians and knowledge holders is hardwired into their design and implementation.<br><br>In addition, the project should put a solid and accessible GRM in place and provide access to SRM/SECU mechanisms. The GRM is expected to be set up in the first three months of project implementation.<br><br>Further, the design of the demonstration R&D project (Output 2.3.5) to be implemented after this MSP, must be subjected to screening for social and environmental safeguard risks, and must include appropriate guidelines measures for further risk assessment and mitigation. |
| **Risk 3:** Women may not be able to participate fully in decision-making around use, benefit-sharing and protection of the natural resources from which GR are sourced, taking into account the differential roles of men and women in accessing environmental goods and services.<br><br>This risk applies to all project activities and outputs.<br><br><u>Gender Equality and Women's' Empowerment</u> – P9, P10, P11, P12 | I = 3<br>L = 2 | Moderate | Botswana is fully committed to the empowerment of women and seeks to advance gender equality and eliminate discrimination through implementation of its National Policy on Gender and Development. In rural communities, women and women's groups play a key role in natural-resource based livelihoods, and increasingly are participating in decision-making around their management. Women, especially in older age groups, are also important holders of traditional knowledge. However, the women consulted during the development of the project identified more than 20 issues that may represent impediments to their full participation and empowerment in accessing these resources and sharing equitably in benefits derived from their use of commercialization. | Consistent with Article 5 of the Nagoya Protocol, and with UNDP's SES Policy, during the PPG phase the a **Gender** Analysis was carried out and **a Gender Action/Mainstreaming Plan** was developed to ensure that the needs and rights of women are fully addressed and built into all project activities, and to ensure that the project outputs better enable women to participate meaningfully in decision-making around use, benefit sharing and protection of the natural resources from which GR are sourced.<br><br>The gender analysis and action/mainstreaming plan was developed following the recommendations in the **UNDP Guidelines for Mainstreaming Gender into ABS (' Mind your Step')**, which can be accessed at: https://www.undp.org/publications/mainstreaming-gender-abs-value-chains-gender-toolkit<br><br>The Gender Action/Mainstreaming Plan (included as Annex 10 to this ProDoc) was used to **inform the identification of appropriate indicators and gender disaggregated targets** that were included in the **Project Results Framework** and the Monitoring **and Evaluation Plan.** |
| **Risk 4**: Stakeholder consultations may not be fully inclusive, especially of marginalized groups and other vulnerable individuals, or special interest groups (such as traditional healers, collectors and traders of veldt | I=3<br>L=2 | Moderate | There are well-established systems for ensuring inclusive community engagement through established structures and processes in Botswana. However, it may occur that some interest groups and project-affected persons | As described under Risk 1, fully inclusive and meaningful stakeholder engagement will be ensured through:<br>- A **Stakeholder Analysis** and a **Comprehensive Stakeholder Engagement Plan** included in the ProDoc package, following the UNDP SES Policy Supplemental Guidance on Stakeholder |

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| products, the elderly), or may not be culturally appropriate, and this could result in grievances or objections from these stakeholders.<br><br>This risk applies to all project outputs and activities<br><br>Principle: Accountability – P13 and P14<br><br>Also<br>Gender Equality and Women's Empowerment: P10<br><br>Standard 6: 6.3, 6.3 | | | may not be represented in existing leadership structures or that the outcomes of consultations with community leadership structures may not filter down effectively to all individuals. Project consultations must take into consideration all stakeholders and special interest groups including community leaders (Kgosi), Community Trusts and other village representatives, women, youth, elders, traditional healers and other specific resource-user collectives (who may not be represented in local governance structures). | Engagement and consistent with the requirements of an IPPF under SES Standard 6. The Comprehensive Stakeholder Engagement Plan includes specific provisions for engagement with specific resource-user collectives such as traditional healers. Stakeholder engagement during project implementation must follow the principles **of Free, Prior and Informed Consent** and consultations carried out during PPG (initial FPIC) are part of the Comprehensive Stakeholder Engagement Plan Annex 8, Table 2: Local Government Stakeholders Consulted).<br>- A **Gender Analysis** and development of a **Gender Action/Mainstreaming Plan** (as described under Risk 3) Further, the project will ensure that an appropriate **Grievance Redress Mechanism (GRM)** is in place to provide an avenue for stakeholders to voice any concerns or objections that may have related to the project. The GRM is described in the Comprehensive Stakeholder Engagement Plan and will be operational within the first two months of project implementation. |
| **Risk 5:** The project outputs will promote the collection/harvesting and commercial development of genetic resources from naturally-occurring species, which might result in over-exploitation, with adverse impacts on biodiversity, species and ecosystems. This is of particular concern for species which may be rare or threatened, or may occur in or adjacent to critical habitats or environmentally sensitive areas (including legally protected areas or areas proposed for protection or recognized as valuable or deserving of protection by local communities).<br><br>Standard 1: BD Conservation and Sustainable Natural Resource Management<br>1.1, 1.2, 1.3, 1.4, 1.8, 1.13<br><br>Also<br><br>Standard 6: 6.5 | I=3<br>L=2 | Moderate | Site-based collection of GR will not take place during this project. However, its outputs will promote beneficiation and value addition from GR through increased research and development on selected, prioritized species. The project also seeks to identify and make known species with GR of commercial potential, to equip facilities to carry our R&D, and to set up partnerships with companies to commercialize GR-related products (at least for I demonstration project). The project must, therefore, ensure that appropriate safeguards are built into the design of project outputs and the plans for their implementation to avoid or minimize environmental harm. | It is not possible to assess this risk more fully at this stage since the species that might be selected for R&D of GR are not yet known, and will only become known during the final stages of project implementation.<br><br>The future risk that might arise from over-harvesting, and its knock-on impacts, will be managed through development of a model climate-smart Species Management Plan for a prioritized species (Output 2.3.3) – this will serve as a prototype to guide the development of management plans for all species selected in future for bioprospecting, R&D and commercialization of ABS products.<br><br>**Guidelines on criteria for selection and prioritization of species for selection for R&D, and for development of the species management plan,** will be based on the template for a Biodiversity Management Plan in the UNDP SES Toolkit (https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx, and any applicable national guidelines that may exist. The demonstration R&D project to be developed under Output 2.4.3 will consider the same species |
| **Risk 6**: The project entails the use of GR-related traditional knowledge and practices (including for commercial benefit by external parties), which could erode or have adverse | I=4<br>L=4 | Substantial | It is not possible to accurately assess the impact of this risk at this stage since no species have yet been selected for R&D and commercialization of ABS products. However, since TK and practices | The **baseline assessments** undertaken during the PPG phase included a preliminary **Cultural Heritage Impact Assessment*** (incorporating TK related to potential GR), which included: early and meaningful consultation with relevant stakeholders (e.g., Chief [Kgosi], women's |

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| impacts on the cultural heritage and identity of affected peoples (including those that fit with the characteristics described under UNDP SES Standard 6)<br><br>Standard 4: Cultural Heritage – 4.1, 4.3, 4.5<br><br>Also<br><br>Standard 6: 6.5 | | | will be a critical informant in identification of species with potentially valuable, and even though the project sets out to develop guidelines for protection of TK, it is anticipated that there is high likelihood that the risk may be triggered (in the absence of measures to avoid or mitigate it) and that its impact on CH/TK will be severe should it occur. | groups, and female and male head of households); desktop review of any relevant inventories, maps or survey, and a review of relevant national legislation and regulations relating to management of Cultural Heritage (including TK). This assessment informed the development of Output 2.4.3, Guidelines for the Protection of GR-related Traditional Knowledge.<br><br>Based on this assessment, it was initially determined during the PPG **that this risk can be managed through the SESA(s)** noted above.<br><br>FPIC consultations will be conducted during the inception phase of the project in order to further explore the risks linked to the implementation of project activities. This may lead to an updated SESP. If aspects of this risk area are determined to be "downstream", then: i) where the risks and impacts are well understood and limited, and of low-moderate impact and likelihood, **simple mitigation measures as per international best practice should be built into an updated SESP and an annual work plans**; (ii) where the risks are rated as Moderate but are complex or less well understood, the updated SESP should detail if any **further targeted Cultural Heritage Impact Assessments or Management Plans** must be developed during project implementation; (iii) if the risks to cultural heritage are determined to be High or Substantial, updated SESP should specify whether a **targeted or full Cultural Heritage Impact Assessment and Management Plan** is needed as part of a **scoped or full ESIA during implementation**.<br><br>*All consultations with communities regarding cultural heritage and TK or practices must observe the rights of communities and the FPIC protocols to be developed as part of the IPP, to withhold information they regard as sensitive if disclosure may pose any risks to the holders of information or the cultural resources themselves. All requests to observe confidentiality must be observed. This is in line with the ESMF/IPPF. The FPIC survey will be done during the project's implementation<br><br>This risk cuts across all project components. |
| **Risk 7**: The outputs of the project will have impacts on the rights, lands, natural resources and traditional livelihoods and practices of peoples and resource-user collectives who fit with the definition of 'indigenous peoples', including through collection and commercialization of resources on their lands | I = 4<br>L= 4 | Substantial | The targeted project domain (Panhandle area of the Okavango Delta) and is home to communities, including Remote Area Rural Dwellers (Basarwa/San and Nama) and other community groups who would be suppliers of GR and holders of associated TK, or on whose lands and territories bioprospecting may be carried out | As this risk is primarily expected to stem from upstream activities, it will be managed through the SESA(s) that has been built into the project's design.<br><br>The Comprehensive **Stakeholder Analysis** undertaken during PPG assessed the presence of all communities and resource-user collectives to whom the provisions of UNDP SES Standard 6 apply, and provisions |

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| and their traditional knowledge.<br><br>Standard 6 Indigenous peoples – 6.1, 6.2, 6.3, 6.4, 6.5, 6.9 | | | in future. Many of the people in this area currently have livelihoods or practices that involve collection and use of plants and other natural resources for a variety of purposes. | for meaningful and culturally appropriate engagement were built into the **Comprehensive Stakeholder Engagement Plan**, along with all other elements of an IPPF which is Annex 1 to the ESMF**.**<br><br>Stakeholder engagement must meet the requirements of **Free, Prior and Informed Consent, as appropriate** (following the guidance in the UNDP SES Supplemental Guidance on Standard 6 – available at https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx and the process and outcomes of these consultations is documented as part of the Comprehensive Stakeholder Engagement Plan (included as Annex 8 to this ProDoc). The villages of Shakawe, Shaikarawe (made up predominantly of Khwe San) and Seronga were selected for initial consultations during the PPG phase; consultations will continue during project implementation.<br><br>The project will ensure that a **Grievance Redress Mechanism** (that meets the standards specified in the UNDP SES Policy and guidance on GRMs) is put in place within two months of project inception. |
| **Risk 8:** The implementation of benefit-sharing agreements between providers and users of genetic resources, and of restrictions on access to resources through tighter bioprospecting regulations and species management plans--which the project aims to "lead to"—may result in economic displacement for some communities or individuals or changes in community or customary rights to GR-related resources.<br><br>Standard 5: Displacement and Resettlement – 5.2, 5.4 | I=3<br>L=2 | Moderate | This risk may not be triggered during the project as benefit-sharing agreements may not be concluded during its lifespan but should however still be considered – the project will deliver the regulations, training, plans, permitting systems, information and potential partnerships required to establish these agreements. However, implementation of the outputs of the project could potentially trigger this risk, so mitigation measures must be planned now and built into the design of project activities and outputs. | The likelihood and impact of this risk was re-assessed during PPG during development of the **SESP**. The implementation of benefit-sharing agreements will only happen within the framework of the demonstration R&D project (Output 2.3.5); the need for appropriate safeguards will build into the design of demonstration project. A livelihood Action Plan will be developed.<br><br>Further, the **SESA(s)** to be undertaken during implementation will assess, *inter alia*, the socio-economic status and vulnerability of affected persons, and who the relevant rights-holders are for specified GR and what their current livelihoods options are and how they might be affected. The findings will be used to ensure that risk mitigation is built into the regulations for PIC, MAT and MTA, and other relevant project outputs that will influence the establishment of benefit-sharing agreements in future.<br><br>The SESA may conclude on the need to develop a **Livelihood Action Plan**, as per the ESMF.<br><br>Mitigation of this risk will also be through:<br>- Ensuring **Free, Prior and Informed Consent** (FPIC, as per the UNDP SES Policy) of project-affected communities for activities to develop project outputs that will inform/govern the development of benefit-sharing agreements (e.g., inventories of species with GR value, and their associated TK; the national permitting system)<br>- Ensuring that communities and other custodians of GR are |

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| | | | | properly **trained in relevant provisions of the Nagoya Protocol** (Prior and Informed Consent, PIC; Mutually Agreed Terms, MAT, and Material Transfer Agreements) and are fully empowered to exercise their rights during negotiation of agreements. |
| **Risk 9:** The outcomes and realization of the broader development objective of the project may be vulnerable to/undermined by the impacts of climate change, due to the threat's climate change may pose to the survival of the species from which GR are sourced.<br><br>Standard 2: Climate Change and Disaster Risks – 2.2 | L=2<br>I=3 | Moderate | Climate change has been identified as one of the threats to Botswana's genetic resources. It is not possible to assess this risk accurately at this stage, since the species on which GR-related R&D, and ABS product-development will be carried out, have not yet been identified. Since the overall development objective of the project is to promote value addition and beneficiation from ABS value chains with livelihood benefits for the people of Botswana, and this would be compromised if climate change poses a threat to the GR-base of the country, this risk has been rated as Moderate, out of an abundance of caution. | A preliminary climate risk screening was carried out during PPG; this assessment will be completed during project inception.<br><br>The SESA will take into account climate-related risks.<br><br>The scoped ESIA/ESMP will equally address climate change and disaster risks.<br><br>During PPG attention was given to including climate vulnerability as a criterion for the selection of species for R&D and the model species management plan will be 'climate smart.' |
| **Risk 10:** COVID-19 could pose a risk to the health of project duty bearers and beneficiary communities during project development and implementation, especially for activities that involve community consultation<br><br>Standard 3: Community Health, Safety and Security – 3.4<br><br>Also:<br><br>Standard 7: Labour and Working Conditions – 7.6 | L=3<br>I=3 | Moderate | The success of this project, and ongoing implementation of its outputs, depends on regular and extensive consultations with communities and other stakeholders. Community health and safety issues could be triggered during project implementation, if COVID-19 persists or undergoes resurgence. | The project has been designed to use agreed COVID-19 protocols (in line with measures stipulated by the Government of Botswana and UNDPs Duty of Care Guidelines), as necessary – for example, use of masks, smaller sized meetings, social distancing, and giving the option to communities to decide if they are comfortable with participating. If the COVID-19 pandemic resurges such that face-to-face meetings are not possible, or travel restrictions are re-imposed, the project will employ virtual means of engagement. The project budget includes resources to purchase biosafety supplies to minimize exposure to COVID-19, as needed (hand sanitizers, masks and face shields, disinfectant sprays, disposable gloves, etc.), as well videoconferencing equipment for virtual meetings and workshops, as needed.<br><br>The data obtained from 3 January to 20 November 2022 reveals 2,782 deaths due to COVID -19. 3,099,433 vaccine doses were administered covering some 70% of the population receiving at least one dose. COVID -19 rates were declining but picked up again in December 2022. |

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| **Risk 11:** Women may become more vulnerable to gender-based violence as a result of their participation in the project and realization of benefits from ABS agreements.<br><br>Standard 2 Gender Equality and Women's Empowerment: P12<br><br>Standard 7 Labour and Working Conditions: 7.6 | L=2<br>I=3 | Moderate | Consultations led during PPG concluded that women who are in the field collecting natural resources have been harassed by other individuals and some have been assaulted. There is a possibility that while working in the project, women (both staff and beneficiaries) are made more vulnerable to GBV. | The Gender Action Plan also: (i) includes measures for avoiding or mitigating the risk of women becoming targets of gender-based violence as a result of being project beneficiaries or benefiting from future ABS agreements; (ii) Specify gender dimensions that should be built into the SESA(s) to be undertaken during project implementation. |
| **Risk 12:**<br><br>There is a risk of harvesting of natural forests, plantation development, or reforestation as a result of the activities led in the demonstration site<br><br>Standard 1 Biodiversity Conservation and Sustainable Natural Resource Management: 1.8 | L=2<br>I=2 | Low | Consultations during PPG highlighted the risk of harvesting of natural forests, plantation development or reforestation, likely to happen at a very small scale | |

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| | **QUESTION 4: What is the overall project risk categorization?** | | |
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| | ***Low Risk*** | ☐ | |
| | ***Moderate Risk*** | ☐ | |
| | ***Substantial Risk*** | **X** | There are 12 risks, 8 of which are rated as Moderate, 2 as Low, and 2 of which as Substantial (both of these triggering Standard 6, including 6.3) |
| | ***High Risk*** | ☐ | |

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| | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)** | | | |
| | Question only required for Moderate, Substantial and High Risk projects | | | |
| | ***Is assessment required? (check if "yes")***<br>*if yes, indicate overall type and status* | **X** | | ***Status? (Completed, planned)*** |

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| | | X | Targeted assessment(s) | Cultural Heritage impact assessment: to be updated upon inception |
| | | X | ESIA (Environmental and Social Impact Assessment) | Planned |
| | | X | SESA (Strategic Environmental and Social Assessment) | Planned |
| | ***Are management plans required? (Check if "yes)*** | **X** | | |
| | *If yes, indicate overall type* | X | Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) | - IPPF: completed<br>- GAP: completed<br>- SEP: completed<br>- IPP: Planned<br>- BAP: Planned<br>- Cultural Heritage Management Plan: to be updated upon inception |
| | | X | ESMP (Environmental and Social Management Plan which may include range of targeted plans) | Planned |
| | | X | ESMF (Environmental and Social Management Framework) | Completed |
| | ***Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?*** | | **Comments (not required)** | |
| | ***Overarching Principle: Leave No One Behind*** | | | |
| | ***Human Rights*** | ☐**X** | | |
| | ***Gender Equality and Women's Empowerment*** | ☐**X** | | |
| | ***Accountability*** | ☐**X** | | |
| | ***1. Biodiversity Conservation and Sustainable Natural Resource Management*** | ☐**x** | | |
| | ***2. Climate Change and Disaster Risks*** | ☐**X** | | |
| | ***3. Community Health, Safety and Security*** | ☐**x** | | |
| | ***4. Cultural Heritage*** | ☐**x** | | |
| | ***5. Displacement and Resettlement*** | ☐**x** | | |
| | ***6. Indigenous Peoples*** | ☐**x** | | |
| | ***7. Labour and Working Conditions*** | ☐**x** | | |
| | ***8. Pollution Prevention and Resource Efficiency*** | ☐ | | |

## Final Sign Off

*Final Screening at the design-stage is not complete until the following signatures are included*

| ***Signature*** | ***Date*** | ***Description*** |
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| QA Assessor | | UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms that they have "checked" to ensure that the SESP is adequately conducted. |
| QA Approver | | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC. |
| PAC Chair | | UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC. |

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

| Checklist Potential Social and Environmental Risks | | |
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| INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions. | | |
| **Overarching Principle: Leave No One Behind**<br>**Human Rights** | | **Answer (Yes/No)** |
| P.1 | Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | N |
| P.2 | Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project? | Y |
| P.3 | Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? | Y |
| *Would the project potentially involve or lead to:* | | |
| P.4 | adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | Y |
| P.5 | inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [16] | N |
| P.6 | restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities? | Y |
| P.7 | exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals? | Y |
| **Gender Equality and Women's Empowerment** | | |
| P.8 | Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)? | N |
| *Would the project potentially involve or lead to:* | | |
| P.9 | adverse impacts on gender equality and/or the situation of women and girls? | Y |
| P.10 | reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Y |
| P.11 | limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?<br>*For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | Y |
| P.12 | exacerbation of risks of gender-based violence?<br>*For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*. | Y |

[16] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

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| **Sustainability and Resilience:** Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below | | |
| **Accountability** | | |
| *Would the project potentially involve or lead to:* | | |
| P.13 | exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them? | Y |
| P.14 | grievances or objections from potentially affected stakeholders? | Y |
| P.15 | risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project? | N |
| **Project-Level Standards** | | |
| **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** | | |
| *Would the project potentially involve or lead to:* | | |
| 1.1 | adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?<br>*For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | Y |
| 1.2 | activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Y |
| 1.3 | changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | Y |
| 1.4 | risks to endangered species (e.g. reduction, encroachment on habitat)? | Y |
| 1.5 | exacerbation of illegal wildlife trade? | N |
| 1.6 | introduction of invasive alien species? | N |
| 1.7 | adverse impacts on soils? | N |
| 1.8 | harvesting of natural forests, plantation development, or reforestation? | Y |
| 1.9 | significant agricultural production? | N |
| 1.10 | animal husbandry or harvesting of fish populations or other aquatic species? | N |
| 1.11 | significant extraction, diversion or containment of surface or ground water?<br>*For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | N |
| 1.12 | handling or utilization of genetically modified organisms/living modified organisms?[17] | N |
| 1.13 | utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[18] | Y |
| 1.14 | adverse transboundary or global environmental concerns? | N |
| **Standard 2: Climate Change and Disaster Risks** | | |
| *Would the project potentially involve or lead to:* | | |

[17] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

[18] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

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| 2.1 | areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions? | N |
| 2.2 | outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?<br>*For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes* | Y |
| 2.3 | increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?<br>*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding* | N |
| 2.4 | increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change? | N |
| **Standard 3: Community Health, Safety and Security** | | |
| *Would the project potentially involve or lead to:* | | |
| 3.1 | construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams) | N |
| 3.2 | air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation? | N |
| 3.3 | harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)? | N |
| 3.4 | risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health? | Y |
| 3.5 | transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | N |
| 3.6 | adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)? | N |
| 3.7 | influx of project workers to project areas? | N |
| 3.8 | engagement of security personnel to protect facilities and property or to support project activities? | N |
| **Standard 4: Cultural Heritage** | | |
| *Would the project potentially involve or lead to:* | | |
| 4.1 | activities adjacent to or within a Cultural Heritage site? | Y |
| 4.2 | significant excavations, demolitions, movement of earth, flooding or other environmental changes? | N |
| 4.3 | adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | Y |
| 4.4 | alterations to landscapes and natural features with cultural significance? | N |
| 4.5 | utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes? | Y |
| **Standard 5: Displacement and Resettlement** | | |
| *Would the project potentially involve or lead to:* | | |
| 5.1 | temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)? | N |

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| 5.2 | economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | Y |
| 5.3 | risk of forced evictions?[19] | N |
| 5.4 | impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | Y |
| **Standard 6: Indigenous Peoples** | | |
| *Would the project potentially involve or lead to:* | | |
| 6.1 | areas where indigenous peoples are present (including project area of influence)? | Y |
| 6.2 | activities located on lands and territories claimed by indigenous peoples? | Y |
| 6.3 | impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?<br>*If the answer to screening question 6.3 is "yes", then Standard 6 requirements apply, and the potential significance of risks related to impacts on indigenous peoples must be Moderate or above.* * | Y |
| 6.4 | the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | Y |
| 6.5 | the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | Y |
| 6.6 | forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?<br>*Consider, and where appropriate ensure, consistency with the answers under Standard 5 above* | Y |
| 6.7 | adverse impacts on the development priorities of indigenous peoples as defined by them? | N |
| 6.8 | risks to the physical and cultural survival of indigenous peoples? | N |
| 6.9 | impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?<br>*Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.* | Y |
| **Standard 7: Labour and Working Conditions** | | |
| *Would the project potentially involve or lead to: (note: applies to project and contractor workers)* | | |
| 7.1 | working conditions that do not meet national labour laws and international commitments? | N |
| 7.2 | working conditions that may deny freedom of association and collective bargaining? | N |
| 7.3 | use of child labour? | N |
| 7.4 | use of forced labour? | N |
| 7.5 | discriminatory working conditions and/or lack of equal opportunity? | Y |
| 7.6 | occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle? | Y |

[19] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

* Note: revised February 2022 modifying presumption of risk significance from Substantial to Moderate.

| **Standard 8: Pollution Prevention and Resource Efficiency** | | |
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| *Would the project potentially involve or lead to:* | | |
| 8.1 | the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts? | N |
| 8.2 | the generation of waste (both hazardous and non-hazardous)? | N |
| 8.3 | the manufacture, trade, release, and/or use of hazardous materials and/or chemicals? | N |
| 8.4 | the use of chemicals or materials subject to international bans or phase-outs?<br>*For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention* | N |
| 8.5 | the application of pesticides that may have a negative effect on the environment or human health? | N |
| 8.6 | significant consumption of raw materials, energy, and/or water? | N |

**Annex 5: UNDP Risk Register**

| # | Description | Risk Category | Impact & Probability | Risk Treatment / Management Measures | Risk Owner |
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| 1 | Lack of coordination between different stakeholders | Institutional Strategic | Ineffective coordination among stakeholders may limited the delivery of project outcomes<br><br>L = 3<br>I = 3<br><br>Moderate | The project will require a high level of understanding, interaction, joint planning, and collaboration among the Project Management Unit, Implementing Agency, government agencies, local communities, research institutions and universities, and private sector entities. The project preparation emphasized the building of partnerships, common agenda, and alignment of objectives and interests among project partners. The institutional arrangement of the project reflects this. | DEA/MET PMU |
| 2 | Limited commitment of funds by Government and other lead agencies (due to changes in macro-economic climate, global economic drivers, competing priorities, lack of investor interest, etc.) may limit the amount of funds available to scale up implementation post-project | Financial | Not being able to scale up implementation post-project will jeopardize the sustainability of project outcomes<br><br>L = 3<br>I = 3<br><br>Moderate | In addition to an increase in the amount of co-financing (from USD 8,650,000 to USD 10,165,000 which reflects the commitment of the Government of Botswana with the Project and for the implementation of the Nagoya Protocol on ABS), the design of the project includes different mechanisms to ensure the sustainability of project outcomes and its potential for scaling-up, including: a) Defining jointly with DEA and CIPA a sustainability strategy for the National GR database interface for registering TK; b) defining a funding mechanisms for the sustainability of the management plan developed for a prioritised species; and c) a fully-funded demonstration R&D project that will serve as a direct means for the sustainability of project outcomes. | DEA/MET CIPA |
| 3 | Delayed approval of regulations for the implementation of the ABS Law approved in 2022. | Political | An incomplete legal framework will limit advancing the national ABS agenda<br><br>L = 2<br>I = 3<br><br>Moderate | Botswana enjoys a stable democratic environment, which is positive for the implementation of the project. The project directly addresses national priorities and as such it will increase the political will to see it through. Importantly, political structures, especially parliamentary committee on Environment and Climate, will be continuously engaged through different means of communication throughout the project. In addition, future parliamentary elections may result in delays in the approval of the ABS law related regulations. High-level engagement of decision-makers viaMET and UNDP and dissemination of existing and new drafts among key stakeholders will aim to secure the timely approval of regulations (PIC, MAT. And MTA) for the implementation of the ABS law. | DEA/MET |
| 4 | Limited engagement of local | Social Strategic | Limited engagement of local communities | During consultations conducted during the project design, local communities from | DEA/MET PMU |

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| | communities to effectively participate in the project | | may limited the delivery of project outcomes<br><br>L = 2<br>I = 3<br><br>Moderate | the panhandle of the Okavango Delta showed interest, willingness, and are eager to engage in the project implementation. Through the project awareness will be raised, information made available, and community structures strengthened for effective participation in the decision-making process and implementation. A Comprehensive Stakeholder Engagement Plan has been developed and consultations were held with community leaders and members to guarantee their participation in the implementation project. The project will ensure that a Grievance Redress Mechanism (that meets the standards specified in the UNDP SES Policy and guidance on GRMs), is put in place within two months of project inception. In additional FPIC will be required and an IPPF includes the mechanisms by which this will be achieved. | |
| 5 | SESP Risk 1: By promoting commercialization of genetic resources, and introducing tighter regulation of bioprospecting and harvesting of source materials, the project could inadvertently lead to adverse impacts on human rights, and restrictions on access to resources by the local communities that are custodians of GR and its associated TK. These impacts and restrictions may differentially impact marginalized and vulnerable groups, such as remote area rural dwellers (indigenous people) and other specific community groups, women, the elderly, and other special interest groups such as traditional healers and | Regulatory | There remains the risk that through lack of knowledge (at least initially), or possible exclusion from consultation processes and decision making processes, or other factors that may influence participation, implementation of these regulations and protocols may result in some communities, or special interest groups or affected individuals being unable to access resources in ways that they were previously accustomed to, or to exercise their rights (particularly with regards to their traditional knowledge) in the face of rising commercial interests in GR.<br><br>I = 3 | This risk was addressed through the development during PPG of the following: A Stakeholder Analysis and Comprehensive Stakeholder Engagement Plan (included as Annex 7 to this ProDoc) – follows the UNDP SES supplemental guidance on Stakeholder Engagement, and identifies and caters for all individuals and groups including particular resource-user ' collectives' or special interest groups, such as remote area rural dwellers and other communities relevant under SES Standard 6, traditional healers, collectors and traders of veldt products, women's co-operatives, other vulnerable individuals or groups (e.g. youth, the elderly). The Comprehensive Stakeholder Engagement Plan to be used during project implementation, follow the principles of Free, Prior and Informed Consent. Because SES Standard 6 is triggered, the Comprehensive Stakeholder Engagement Plan and the Environmental and Social Management Framework include all the content expected of the Indigenous Peoples Planning Framework (IPPF). The stakeholder analysis and the engagement plan are also be aligned with the gender analysis and action plan (see below) Gender Analysis and Gender Action/Mainstreaming Plan (see further description under Risk 3, below) – included as Annex 9 to this ProDoc. During the implementation phase, Strategic Environmental and Social | DEA/MET |

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| | collectors and traders of veldt products of health, cosmetic, spiritual or cultural value. | | L = 3<br>Moderate | Assessment (SESA) will be built into the scope of work undertaken to develop all project outputs that may have upstream impacts on the full enjoyment of human rights by all stakeholders. The full SESP developed during the PPG confirmed that the following outputs will require SESA: ABS Regulations on FPIC, MAT, and MTA (Output 1.1.1); the National Bioeconomy Strategy (Output 1.1.3); Standards for developing BCPs (Output 1.2.2); the National GR R&D Plan (Outputs 2.2.1), and Guidelines for Protection of Traditional Knowledge (Output 2.4.3).<br><br>An IPPF was completed during project implementation to ensure SES compliance- The IPPF is included as Annex 1 in the ESMF. | |
| 6 | SESP Risk 2: The holders of genetic resources and associated traditional knowledge might not have enough knowledge of the provisions of the Nagoya Protocol to claim their rights in relation to GR and associated TK, and government agencies and other duty bearers may not have the knowledge or operational experience to recognize these rights or ensure that they are upheld in the development and implementation of the project outputs | Social<br>Strategic | ABS is a highly technical field involving legal complexities. One of the major barriers to effective domestication of the Nagoya Protocol (NP), realizing the potential for beneficiation and value addition from Botswana's GR through ABS agreements, and protecting people's TK, is limited knowledge of the NP on ABS, especially among local communities and knowledge holders, who are not aware of the country's accomplishments to-date in strengthening the national ABS framework and have limited capacity to effectively negotiate with GR users or monitor implementation of ABS agreements and regulations. GR and associated TK are often still illegally accessed and utilised | In keeping with Article 22 of the Nagoya Protocol, the project will ensure that the design and implementation of training programmes to be provided under Outputs 1.1.2, 1.2.1, 2.2.2 and 2.3.4 will effectively enhance the knowledge and understanding of local communities and specific resource-user collectives to empower them to exercise their rights, and that government officials will be able to effectively implement the ABS Laws in support of this. The Comprehensive Stakeholder Engagement Plan includes guidelines for ensuring that all stakeholders are able to benefit equitably from access to the training provided through the project. A cultural heritage plan was developed during PPG implementation and will be revised during project implementation, as will the Indigenous Peoples Planning Framework, which is part of the ESMF. Particular attention will be paid to occupational health and safety of workers in natural resource harvesting.<br><br>Further, the analyses, plans and frameworks described under Risk 1 will ensure that all relevant stakeholders are properly engaged during the implementation phase to inform/lead, at least:<br>The development of appropriate regulations and standards to protect the rights of GR custodians and knowledge holders (Outputs 1.1.1, 1.2.1 and 1.2.2) | DEA/MET |

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| | | | without any benefit sharing with communities. Equally, despite strong national commitment, officials at the various levels of government in departments mandated with implementation of the Nagoya Protocol, still have limited knowledge of what this entails. Whilst the project seeks to address this, it can be reasonably expected that there will be a lag phase in which both rights holders are ill-equipped to claim their rights and duty bearers may have limited capacity to meet their obligations to the project or implement its outputs.<br><br>I = 3<br>L = 3<br><br>Moderate | and equip them to monitor implementation (Outputs 1.2.1 and 2.3.4)<br>Establishment of the ABS Community of Practice to ensure ongoing learning and lesson-sharing (Output 2.4.1)<br>Development of Guidelines for the protection of GR-related Traditional Knowledge (Output 2.4.3)<br><br>During implementation, the TORs for developing project outputs with upstream impacts (Outputs 1.1.1, 1.1.3, 1.2.2, 2.2.1 and 2.4.3) must include SESA, to ensure that measures for protecting the rights of GR custodians and knowledge holders is hardwired into their design and implementation. In addition, the project should put a solid and accessible GRM in place and provide access to SRM/SECU mechanisms. This is especially important as the GRM has yet to be put in place for the project. Further, the design of the demonstration R&D project (Output 2.3.5) to be implemented after this MSP, must be subjected to screening for social and environmental safeguard risks, and must include appropriate guidelines measures for further risk assessment and mitigation. | |
| 7 | SESP Risk 3: Women may not be able to participate fully in decision-making around use, benefit-sharing and protection of the natural resources from which GR are sourced, taking into account the differential roles of men and women in accessing environmental goods and services. They may also become more vulnerable to gender-based violence as a result | Social Strategic | Botswana is fully committed to the empowerment of women and seeks to advance gender equality and eliminate discrimination through implementation of its National Policy on Gender and Development. In rural communities, women and women's groups play a key role in natural resource-based livelihoods, and increasingly are participating in | Consistent with Article 5 of the Nagoya Protocol, and with UNDP's SES Policy, during the PPG phase the a Gender Analysis was carried out and a Gender Action/Mainstreaming Plan was developed to ensure that the needs and rights of women are fully addressed and built into all project activities, and to ensure that the project outputs better enable women to participate meaningfully in decision-making around use, benefit sharing and protection of the natural resources from which GR are sourced.<br><br>The gender analysis and action/mainstreaming plan was developed following the recommendations in the UNDP Guidelines for Mainstreaming Gender into ABS (' Mind your Step'), which can be accessed at: | DEA/MET |

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| | of their participation in the project and realization of benefits from ABS agreements.<br><br>This risk applies to all project activities and outputs. | | decision-making around their management. Women, especially in older age groups, are also important holders of traditional knowledge. However, the women consulted during the development of the PIF identified more than 20 issues that may represent impediments to their full participation and empowerment in accessing these resources and sharing equitably in benefits derived from their use of commercialization.<br><br>I = 3<br>L = 2<br><br>Moderate | https://www.undp.org/publications/mainstreaming-gender-abs-value-chains-gender-toolkit<br><br>The Gender Action Plan also: (i) includes measures for avoiding or mitigating the risk of women becoming targets of gender-based violence as a result of being project beneficiaries or benefiting from future ABS agreements; (ii) Specify gender dimensions that should be built into the SESA(s) to be undertaken during project implementation.<br><br>The Gender Action/Mainstreaming Plan (included as Annex 9 to this ProDoc) was used to inform the identification of appropriate indicators and gender disaggregated targets that were included in the Project Results Framework and the Monitoring and Evaluation Plan. | |
| 8 | SESP Risk 4: Stakeholder consultations may not be fully inclusive, especially of marginalized groups and other vulnerable individuals, or special interest groups (such as traditional healers, collectors and traders of veldt products, the elderly), or may not be culturally appropriate, and this could result in grievances or objections from these stakeholders.<br><br>This risk applies to all project outputs and activities | Strategic | There are well-established systems for ensuring inclusive community engagement through established structures and processes in Botswana. However, it may occur that some interest groups and project-affected persons may not be represented in existing leadership structures or that the outcomes of consultations with community leadership structures may not filter down effectively to all individuals. Project consultations must take into consideration all stakeholders and special interest | As described under Risk 1, fully inclusive and meaningful stakeholder engagement will be ensured through:<br>A Stakeholder Analysis and a Comprehensive Stakeholder Engagement Plan included in the ProDoc package, following the UNDP SES Policy Supplemental Guidance on Stakeholder Engagement and consistent with the requirements of an IPPF under SES Standard 6. The Comprehensive Stakeholder Engagement Plan includes specific provisions for engagement with specific resource-user collectives such as traditional healers. Stakeholder engagement during project implementation must follow the principles of Free, Prior and Informed Consent and consultations carried out during PPG (initial FPIC) are part of the Comprehensive Stakeholder Engagement Plan Annex 7, Table 2: Local Government Stakeholders Consulted).<br>A Gender Analysis and development of a Gender Action/Mainstreaming Plan (as described under Risk 3).<br>Further, the project will ensure that an appropriate Grievance Redress | DEA/MET |

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| | | | groups including community leaders (Kgosi), Community Trusts and other village representatives, women, youth, elders, traditional healers and other specific resource-user collectives (who may not be represented in local governance structures).<br><br>I = 3<br>L = 2<br><br>Moderate | Mechanism (GRM) is in place to provide an avenue for stakeholders to voice any concerns or objections that may have related to the project. The GRM is described in the Comprehensive Stakeholder Engagement Plan and will be operational within the first two months of project implementation. | |
| 9 | SESP Risk 5: The project outputs will promote the collection/harvesting and commercial development of genetic resources from naturally occurring species, which might result in over-exploitation, with adverse impacts on biodiversity, species and ecosystems. This is of particular concern for species, which may be rare or threatened, or may occur in or adjacent to critical habitats or environmentally sensitive areas (including legally protected areas or areas proposed for protection or recognized as valuable or deserving of protection by local communities). | Operational | Site-based collection of GR will not take place during this project. However, its outputs will promote beneficiation and value addition from GR through increased research and development on selected, prioritized species. The project also seeks to identify and make known species with GR of commercial potential, to equip facilities to carry our R&D, and to set up partnerships with companies to commercialize GR-related products (at least for one demonstration project). The project must, therefore, ensure that appropriate safeguards are built into the design of project outputs and the plans for their implementation to avoid or minimize environmental harm. | It is not possible to assess this risk more fully at this stage since the species that might be selected for R&D of GR are not yet known, and will only become known during the final stages of project implementation.<br><br>The future risk that might arise from over-harvesting, and its knock-on impacts, will be managed through development of a model climate-smart Species Management Plan for a prioritized species (Output 2.3.3) – this will serve as a prototype to guide the development of management plans for all species selected in future for bioprospecting, R&D and commercialization of ABS products.<br><br>Guidelines on criteria for selection and prioritization of species for selection for R&D, and for development of the species management plan, will be based on the template for a Biodiversity Management Plan in the UNDP SES Toolkit (https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx, and any applicable national guidelines that may exist. The demonstration R&D project to be developed under Output 2.4.3 will consider the same species | DEA/MET |

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| | | | I = 3<br>L = 2<br><br>Moderate | | |
| 10 | SESP Risk 6: The project entails the use of GR-related traditional knowledge and practices (including for commercial benefit by external parties), which could erode or have adverse impacts on the cultural heritage and identity of affected peoples (including those that fit with the characteristics described under UNDP SES Standard 6) | Social<br>Strategic | It is not possible to accurately assess the impact of this risk at this stage since no species have yet been selected for R&D and commercialization of ABS products. However, since TK and practices will be a critical informant in identification of species with potentially valuable, and even though the project sets out to develop guidelines for protection of TK, it is anticipated that there is high likelihood that the risk may be triggered (in the absence of measures to avoid or mitigate it) and that its impact on CH/TK will be severe should it occur.<br><br>I = 4<br>L = 4<br><br>Substantial | The baseline assessments undertaken during the PPG phase included a preliminary Cultural Heritage Impact Assessment* (incorporating TK related to potential GR), which included: early and meaningful consultation with relevant stakeholders (e.g., Chief [Kgosi], women's groups, and female and male head of households); desktop review of any relevant inventories, maps or survey, and a review of relevant national legislation and regulations relating to management of Cultural Heritage (including TK). This assessment informed the development of Output 2.4.3, Guidelines for the Protection of GR-related Traditional Knowledge.<br><br>Based on this assessment, it was initially determined during the PPG that this risk can be managed through the SESA(s) noted above:<br>i) where the risks and impacts are well understood and limited, and of low-moderate impact and likelihood, simple mitigation measures as per international best practice should be built into an updated SESP and an annual work plans; (ii) where the risks are rated as Moderate but are complex or less well understood, the updated SESP should detail if any further targeted Cultural Heritage Impact Assessments or Management Plans must be developed during project implementation; (iii) if the risks to cultural heritage are determined to be High or Substantial, updated SESP should specify whether a targeted or full Cultural Heritage Impact Assessment and Management Plan is needed as part of a scoped or full ESIA during implementation.<br><br>*All consultations with communities regarding cultural heritage and TK or practices must observe the rights of communities in line with the FPIC protocol as per the ESMF and IPPF annex. Communities have the right to withhold information they regard as sensitive if disclosure may pose any risks to the holders of information or the cultural resources themselves. All requests to observe confidentiality must be observed. | DEA/MET |

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| | | | | This risk cuts across all project components. | |
| 11 | SESP Risk 7: The outputs of the project will have impacts on the rights, lands, natural resources and traditional livelihoods and practices of peoples and resource-user collectives who fit with the definition of 'indigenous peoples', including through collection and commercialization of resources on their lands and their traditional knowledge. | Social and Environmental<br>Financial<br>Operational<br>Organizational<br>Political<br>Regulatory<br>Strategic<br>Other | The targeted project domain (Panhandle area of the Okavango Delta) is home to communities, including Remote Area Rural Dwellers (Basarwa/San and Nama) and other community groups who would be suppliers of GR and holders of associated TK, or on whose lands and territories bioprospecting may be carried out in future. Many of the people in this area currently have livelihoods or practices that involve collection and use of plants and other natural resources for a variety of purposes.<br><br>I = 4<br>L = 4<br><br>Substantial | As this risk is primarily expected to stem from upstream activities, it will be managed through the SESA(s) that has been built into the project's design.<br><br>The Comprehensive Stakeholder Analysis undertaken during PPG assessed the presence of all communities and resource-user collectives to whom the provisions of UNDP SES Standard 6 apply, and provisions for meaningful and culturally appropriate engagement were built into the Comprehensive Stakeholder Engagement Plan, along with all other elements of an IPPF which is Annex 1 to the ESMF.<br><br>Stakeholder engagement must meet the requirements of Free, Prior and Informed Consent, as appropriate (following the guidance in the UNDP SES Supplemental Guidance on Standard 6 – available at https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx and the process and outcomes of these consultations is documented as part of the Comprehensive Stakeholder Engagement Plan (included as Annex 7 to this ProDoc). The villages of Shakawe, Shaikarawe (made up predominantly of Khwe San) and Seronga were selected for initial consultations during the PPG phase; consultations will continue during project implementation.<br><br>The project will ensure that a Grievance Redress Mechanism (that meets the standards specified in the UNDP SES Policy and guidance on GRMs) is put in place within two months of project inception. | DEA/MET |
| 12 | SESP Risk 8: The implementation of benefit-sharing agreements between providers and users of genetic resources, and of restrictions on access to resources through tighter bioprospecting regulations and species | Social<br>Strategic | This risk may not be triggered during the project as benefit-sharing agreements may not be concluded during its lifespan – rather, the project will deliver the regulations, training, plans, permitting systems, information and potential | The likelihood and impact of this risk was re-assessed during PPG during development of the SESP. The implementation of benefit-sharing agreements will only happen within the framework of the demonstration R&D project (Output 2.3.5); the need for appropriate safeguards will build into the design of demonstration project. A Livelihood Action Plan will be developed as a result of the SESA. | DEA/MET |

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| | management plans--which the project aims to "lead to"—may result in economic displacement for some communities or individuals or changes in community or customary rights to GR-related resources. | | partnerships required to establish these agreements. However, implementation of the outputs of the project could potentially trigger this risk, so mitigation measures must be planned now and built into the design of project activities and outputs.<br><br>I = 3<br>L = 2<br><br>Moderate | Further, the SESA(s) to be undertaken during implementation will assess, *inter alia*, the socio-economic status and vulnerability of affected persons, and who the relevant rights-holders are for specified GR and what their current livelihoods options are and how they might be affected. The findings will be used to ensure that risk mitigation is built into the regulations for PIC, MAT and MTA, and other relevant project outputs that will influence the establishment of benefit-sharing agreements in future.<br><br>Mitigation of this risk will also be through:<br>Ensuring Free, Prior and Informed Consent (FPIC, as per the UNDP SES Policy) of project-affected communities for activities to develop project outputs that will inform/govern the development of benefit-sharing agreements (e.g., inventories of species with GR value, and their associated TK; the national permitting system)<br>Ensuring that communities and other custodians of GR are properly trained in relevant provisions of the Nagoya Protocol (Prior and Informed Consent, PIC; Mutually Agreed Terms, MAT, and Material Transfer Agreements) and are fully empowered to exercise their rights during negotiation of agreements. | |
| 13 | SESP Risk 9: The outcomes and realization of the broader development objective of the project may be vulnerable to/undermined by the impacts of climate change, due to the threat's climate change may pose to the survival of the species from which GR are sourced. | Environmental | Botswana is considered highly vulnerable to climate variability and change due to its high dependence on rain-fed agriculture and natural resources, high levels of poverty—particularly in rural areas, and a low adaptive capacity to deal with these expected changes. Primary challenges are centred on water resource availability, changing precipitation patterns, and increasing | A preliminary climate risk screening was carried out during PPG; this assessment will be completed during project inception.<br><br>During PPG attention was given to including climate vulnerability as a criterion for the selection of species for R&D and the model species management plan will be 'climate smart.'<br><br>Although this risk has been categorized as moderate, the project activities are primarily directed to strengthening the country's legal and institutional framework for the implementation of the NP on ABS and field-level activities will be directed primarily to strengthen the skills of local communities (ABS project management, negotiation of ABS agreements, access to genetic resources and TK associated with GR, etc.) and the documentation of GR and associated TK, | DEA/MET |

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| | | | population demands.[30] Climate change has been identified as one of the threats to Botswana's genetic resources. It is not possible to assess this risk accurately at this stage, since the species on which GR-related R&D, and ABS product-development will be carried out, have not yet been identified. Since the overall development objective of the project is to promote value addition and beneficiation from ABS value chains with livelihood benefits for the people of Botswana, and this would be compromised if climate change poses a threat to the GR-base of the country, this risk has been rated as Moderate, out of an abundance of caution.<br><br>I = 3<br>L = 2<br>Moderate | which may not be affected significantly by climate change. | |
| 14 | SESP Risk 10: COVID-19 could pose a risk to the health of project duty bearers and beneficiary communities during project development and implementation, especially for activities that involve community consultation and | Environmental Operational | Although the COVID-19 pandemic is receding in Botswana, new outbreaks may affect project beneficiaries and the PMU participating in project activities, which could be postponed and delaying project implementation<br><br>The success of this project, and ongoing | The project has been designed to use agreed COVID-19 protocols (in line with measures stipulated by the Government of Botswana and UNDPs Duty of Care Guidelines), as necessary – for example, use of masks, smaller sized meetings, social distancing, and giving the option to communities to decide if they are comfortable with participating. If the COVID-19 pandemic resurges such that face-to-face meetings are not possible, or travel restrictions are re-imposed, the project will employ virtual means of engagement. The project budget includes resources to purchase biosafety supplies to minimize exposure to COVID-19, as | DEA/MET Project Manager |

[30] Climate Risk Profile: Botswana (2021): The World Bank Group.

| | | | | | |
|---|---|---|---|---|---|
| | community activities.<br><br>Standard 3: Community Health, Safety and Security – 3.4<br><br>Also:<br><br>Standard 7: Labour and Working Conditions – 7.6 | | implementation of its outputs, depends on regular and extensive consultations with communities and other stakeholders. Community health and safety issues could be triggered during project implementation, if COVID-19 persists or undergoes resurgence.<br><br>I = 3<br>L = 3<br><br>Moderate | needed (hand sanitizers, masks and face shields, disinfectant sprays, disposable gloves, etc.), as well videoconferencing equipment for virtual meetings and workshops, as needed.<br><br>The data obtained from 3 January to 20 November 2022 reveals 2,782 deaths due to COVID -19. 3,099,433 vaccine doses were administered covering some 70% of the population receiving at least one dose. COVID -19 rates were declining but picked up again in December 2022.<br><br>Project implementation may need to be carried out remotely, as feasible (telephone communications, forums, online/Website, network exchanges, etc.). UNDP corporate tools for COVID-19 risk management, including UNDP's response offer on green recovery national protocols will be applied. | |

**Annex 6: Overview of Project Staff and Technical Consultancies**

| Consultant | Time Input | Tasks, Inputs and Outputs |
|---|---|---|
| ***For Project Management*** | | |
| ***Local / National contracting*** | | |
| Project Manager<br><br>Rate: $3,330/month | 22 months over 4 years | The Project Manager (PM) will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors.<br><br><u>Duties and Responsibilities</u><br>• Manage the overall conduct of the project.<br>• Plan the activities of the project and monitor progress against the approved workplan.<br>• Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.<br>• Monitor events as determined in the project monitoring plan, and update the plan as required.<br>• Provide support for completion of assessments required by UNDP, spot checks and audits.<br>• Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.<br>• Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.<br>• Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.<br>• Ensure that changes are controlled and problems addressed.<br>• Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.<br>• Prepare and submit financial reports to UNDP on a quarterly basis.<br>• Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;<br>• Ensure that a GRM will be operational within the first two months of project implementation.<br>• Capture lessons learned during project implementation.<br>• Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.<br>• Prepare the inception report no later than one month after the inception workshop.<br>• Ensure that the indicators included in the project results framework are monitored annually in advance of the GEF PIR submission deadline so that progress can be reported in the GEF PIR.<br>• Prepare the GEF PIR;<br>• Assess major and minor amendments to the project within the parameters set by UNDP-GEF;<br>• Supervise the monitoring of implementation plans including the gender action plan, stakeholder engagement and communications plan, and any environmental and social management plans;<br>• Monitor and track progress against the GEF Core indicators.<br>• Support the Terminal Evaluation process.<br>• Add technical tasks as necessary |

| Consultant | Time Input | Tasks, Inputs and Outputs |
|---|---|---|
| Project Assistant/ Finance Assistant<br><br>Rate: $1,130/month | 48 months over 4 years | Under the guidance and supervision of the PM, the Project Assistant/Finance Assistant will carry out the following tasks:<br><br><u>Duties and Responsibilities</u><br>• Assist the Project Manager in day-to-day management and oversight of project activities;<br>• Assist the M&E officer in matters related to M&E and knowledge resources management;<br>• Assist in the preparation of progress reports;<br>• Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;<br>• Provide PMU-related administrative and logistical assistance.<br>• Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;<br>• Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;<br>• Validate and certify FACE forms before submission to UNDP;<br>• Provide necessary financial information as and when required for project management decisions;<br>• Provide necessary financial information during project audit(s);<br>• Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;<br>• Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;<br>• Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports. |
| ***For Technical Assistance*** | | |
| ***Component/Outcome 1*** | | |
| ***Local / National contracting*** | | |
| Bioeconomy Expert<br>Rate: $300/day | 120 days during years 1 and 2 | <u>Duties and Responsibilities</u><br>• Conduct consultations with experts from South Africa and members of the East African Community with experience in the development of bioeconomy strategies.<br>• Develop and validate the National Bioeconomy Strategy and action plan through a participatory process.<br>• Make recommendation or the identification id promising bioprospecting activities from the action plan. |
| M&E Expert<br>Rate: $300/day | 140 days during years 1 and 2 | <u>Duties and Responsibilities</u><br>• Undertake local consultations in selected communities (Shaikarawe, Shakawe, and Seronga villages) to assess expectation and needs.<br>• Develop the monitoring framework, including the identification of key indicators to assess the sustainable utilisation of GR and the equitable distribution of derived benefits.<br>• Develop training manuals and other tools for training monitors when ABS initiatives are developed in the future.<br>• Validate the Community Monitoring Framework with local communities through workshops, meetings, and other means. |

| Consultant | Time Input | Tasks, Inputs and Outputs |
|---|---|---|
| ABS Technical Expert<br>Rate: $3,335/month | 11 months during years 1 and 2 | Duties and Responsibilities<br>• Undertake consultations with selected communities to assess expectations and needs, including management, ownership, and use of biological and GR.<br>• Develop the BCP standards using as a guide the existing tools.<br>• Validate the BCP standards with selected communities through workshops, meetings, and other means.<br>• Ensure the publication and dissemination the BCP standards.<br>• Develop and implement a KAP tool to assess the level of awareness of potential GR users about the role of BCPs.<br>• Report finding of the KAP assessment. |
| ***Component/Outcome 2*** | | |
| ***Local / National contracting*** | | |
| Database Design<br>Expert Rate: $300/day | 120 days during years 2 and 3 | Duties and Responsibilities<br>• Identify needs (software and hardware) and develop variables through a consultation process for the development of the National GR database.<br>• Develop the national GR database and validation with key stakeholders through workshops, meetings, and other means.<br>• Develop a database user's manual and procedures to access information and mechanisms to protect GR and TK confidential information.<br>• Collate data into the GR database.<br>• Make recommendations for the sustainability strategy for the database.<br>• Coordinate actions DEA and CIPA technical staff. |
| GR R&D Expert<br>Rate: $300/day | 180 days during years 2 and 3 | Duties and Responsibilities<br>• Undertake a situational analysis and consultations with regulators, providers, and users of GR and associated TK through workshops and meetings at the national and local levels for the development of the National GR R&D Plan.<br>• Develop the National GR R&D Plan, including a resource plan.<br>• Validate the Plan through stakeholder workshops. |
| Trainers (3)<br>Rate: $300/day | 90 days per trainer during years 3 and 4 | Duties and Responsibilities<br>• Conduct community skills inventory and assess needs using as a basis the capacity assessment conducted during the PPG.<br>• Develop and implement the skills/training programme, including the use of workshops, field visits, exchanges, etc.<br>• Develop skills/training reports. |
| ABS/TK Expert<br>Rate: $300/day | 120 days during year 3 | Duties and Responsibilities<br>• Coordinate action with the national team created for the development of guidelines for the protection of TK.<br>• Consult with holders of TK in selected communities around the country to ensure their views and expectations for protecting TK are fully considered.<br>• Draft the guidelines for protection of TK.<br>• Consult and validate with holders of TK and other key stakeholders the drafted guidelines, through workshops, meetings, and other means. |
| KM Expert<br>Rate: $3,000/month | 16 months over 4 years | Duties and Responsibilities<br>• Assist in the identification of ABS experts and interested parties and across multiple sectors to constitute the National ABS CoP.<br>• Assess system requirements (software, hardware) to effectively integrate the CoP platform into the Environmental Information System administered by MET. |

| Consultant | Time Input | Tasks, Inputs and Outputs |
|---|---|---|
| | | • Establish modalities of operation and periodically update the CoP/platform during the life of the project.<br>• Develop a concept note and contribute, in coordination with DEA/MET, to engage the SADC office for the coordination of dialogue for ABS.<br>• Develop an action plan for the operationalisation of virtual regional ABS dialogue.<br>• Contribute to establishing discussion groups and coordinate regional/SADC virtual meetings periodically.<br>• Establish links with the ABS Clearing-House platform to further enhance discussion and sharing of information.<br>• Coordinate actions with the Gender/SES Expert to ensure the use of participation methods and the implementation of communication activities to share lessons learned and experiences with project local stakeholders. |
| Gender/SES Expert<br>Rate: $3,000/month | 16 months over 4 years | <u>Duties and Responsibilities</u><br>• Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met and the reporting requirements are fulfilled.<br>• Oversee/develop/coordinate implementation of all gender-related work.<br>• Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary.<br>• Work with the project Manager and Safeguards Officer to ensure reporting, monitoring and evaluation fully address the gender issues of the project.<br>• Monitor progress in development/implementation of the project ESMP/ESMF ensuring that UNDP's SES policy is fully met and the reporting requirements are fulfilled.<br>• Oversee/develop/coordinate implementation of all safeguard related plans.<br>• Ensure that a GRM will be operational within the first two months of project implementation.<br>• Ensure social and environmental grievances are managed effectively and transparently.<br>• Review the SESP annually, and update and revise corresponding risk log; mitigation/management plans as necessary;<br>• Ensure full disclosure with concerned stakeholders.<br>• Ensure environmental and social risks are identified, avoided, mitigated and managed throughout project implementation.<br>• Work with the PM to ensure reporting, monitoring and evaluation fully address the safeguard issues of the project. |
| National SES Expert<br>Rate: $250/day | 90 days during year 1 | <u>Duties and Responsibilities</u><br>• Support locally the development of safeguards assessments and plans.<br>• Coordinate action with the Gender/SES Expert, the International SES Expert, and the PM. |
| ABS Technical Expert<br>Rate: $3,335/month | 15 months during years 2 to 4 | <u>Duties and Responsibilities</u><br>• Contribute to constituting field survey teams for conducting inventories of GR with the participation of local community members, including women.<br>• Conduct workshops and meetings to define variables with experts.<br>• Identify available information using secondary sources and existing databases.<br>• Develop the survey plan and survey tools and define criteria for data collection.<br>• Train the survey team in data collection and reporting.<br>• Undertake field surveys/inventories of GR and compile and analyse results.<br>• Develop GR inventory report.<br>• Develop criteria for undertaking species prioritization for R&D.<br>• Identify stakeholders to undertake the prioritisation of a species for R&D, in coordination with DEA staff.<br>• Map the value chain of the prioritized species/GR and identify potential for adding value and product development. |

| Consultant | Time Input | Tasks, Inputs and Outputs |
|---|---|---|
| | | • Make recommendations for species/GR prioritisation for R&D.<br>• Conduct rapid conservation and TK status assessment with the participation of local communities for the development of the Management plan for a prioritised species.<br>• Develop and validate the management plan in consultation with local communities holding TK associated with the prioritised species/GR. |
| ***International contracting*** | | |
| International ABS Expert<br>Rate: $600/day | 60 days during years 2 to 4 | Duties and Responsibilities<br>• Provide ABS backstopping related to enhancing capacities for R&D, in particular for the implementation of Outputs 2.1.2, 2.2.1, 2.3.1, 2.3.2, and 2.3.5. |
| International SES Expert<br>Rate: $600/day | 120 days during year 1 | Duties and Responsibilities<br>• Conduct the SESA and develop the ESMP, IPP and other related plans.<br>• Coordinate action with the Gender/SES Expert, the National SES Expert, and the PM. |
| ***Component/Outcome 3: M&E*** | | |
| ***Local / National contracting*** | | |
| M&E Expert<br>Rate: $350/day | 40 days over 4 years | Duties and Responsibilities<br>• Monitoring of GEF core indicators and the PRF. |
| SES Monitoring Expert<br>Rate: $350/day | 60 days over 4 years | Duties and Responsibilities<br>• Monitoring of ESMP/IPP, Gender Action Plan, and Comprehensive Stakeholder Engagement Plan, and other related plans. |
| Independent M&E Expert<br>Rate: $375/day | 24 days during year 4 | Duties and Responsibilities<br>• Conduct the Project TE under the leadership of the Independent International M&E Expert<br>• Contribute to drafting the TE report. |
| ***International contracting*** | | |
| M&E Expert<br>Rate: $700/day | 30 days during year 4 | Duties and Responsibilities<br>• Lead and conduct the Project TE.<br>• Draft the TE report. |

**Annex 7: Comprehensive Stakeholder Engagement Plan**

**1. Introduction**

**Project Description**

The project objective is to enhance the capacity for genetic resources research and development (R&D) to promote beneficiation and value addition and to protect traditional knowledge (TK). The GEF investment will reduce threats to biodiversity and genetic resources from their utilization focusing in the Panhandle area of the Okavango Delta in northern Botswana by implementing a strategy that will allow the country to further implement the Nagoya Protocol on ABS for the delivery of global environmental benefits (GEBs). This will be achieved through the following three interrelated components:

- Component 1. Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation
- Component 2. Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management
- Component 3. Monitoring and evaluation (M&E)

**Component 1** will address capacity barriers that currently constrain successful domestication of the NP on ABS. An ABS Bill was adopted in June of 2022; to effectively implement this legislative instrument, the project will support the development of regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA). To enhance institutional capacity and put into place measures and mechanisms to operationalise the ABS Act of Botswana, the project enhances awareness and understanding of the NP, the ABS Act and its regulations among government stakeholders who are mandated to lead the domestication process (Department of Environmental Affairs [DEA], Department of Wildlife & National Parks, Department of Forestry & Range Resources, Companies Intellectual Property Authority [CIPA], Minister of Health and Wellness, Agriculture Boarder Inspectors, and Local Governments). In addition, a broad-base National Bioeconomy Strategy (NBS) will be developed through a coordinated effort among key government agencies, the academic sector, civil society, and holders of traditional knowledge, among others. It will be an important contribution to promoting Botswana's economic growth and sustainable development focusing on innovation and value addition, the development of new biotechnologies and biotechnology products, bioprospecting and economic use of the genetic resources, and the protection of the environment.

At the local level, this component will enhance the capacity of local communities, giving special attention to women and youth and other vulnerable people, to participate in monitoring and to enhance transparency about the utilisation of GR. Specifically, the project will operationalise a community monitoring programme with people trained and equipped to monitor ABS agreements, when these are established, and the implementation the regulations to be developed by the project. In addition, standards for developing Biocultural Community Protocols (BCPs) will be agreed upon with local communities based on the guidelines for obtaining PIC and MAT. Finally, this component will develop a centralized ABS permitting procedure that enhances compliance and efficient operationalisation of the ABS Regulations to be developed under the project. This will include an electronic permitting system accessible to all stakeholders will be developed to facilitate ease of interaction between users of GR and/or TK an electronic interface with the CIPA for registering TK.

**Component** 2 will overcome the barriers related to lack of capacity and opportunities to conduct R&D and benefit-sharing in Botswana. This component will allow the development of a national database on GR and TK and the protection of this information that would be made available to all potential providers and users of GR. Field surveys and inventories of biological resources and associated TK will be conducted in consultation with potential providers and users of GR. A National GR Research Development plan will be developed and funded to increase opportunities for bioprospecting and/or commercial application. Capacities will be further enhanced through a training module to advance the national R&D agenda. In addition, research centres and universities that provide institutional knowledge about GR in the country will be better-equipped for bioprospecting and product development.

This component will also allow selecting a species/GR that has not already been subject to R&D elsewhere and for which there are already competitive, commercialized products. It will also support the establishment of partnerships for R&D and the sustainable utilisation of GR and associated TK. The project will identify international partners with interest in supporting R&D working closely with national research partners for the future commercialisation of an ABS product from the prioritised species/GR. To ensure the conservation and sustainable use of the selected priority species, a management plan will be developed through a consultative process involving all relevant stakeholders. In addition, local communities, including women and other vulnerable groups from villages in the panhandle of the Okavango Delta, will be trained to implement ABS initiatives. To support R&D activities for the conservation and

sustainable use of the selected priority species, an R&D demonstration project will be developed with women's participation and funding will be secured.

This component will also support the implementation and strengthening of mechanisms for exchanging ABS-related information and knowledge. A national ABS community of practice (CoP)/platform for lesson-sharing, common priority-setting, awareness-raising will be developed and operationalized. In addition, this component will convene a virtual regional ABS dialogue among the Southern African Development Community (SADC) to enhance knowledge-sharing, partnership development, and stakeholder collaboration. Guidelines to protect TK will also be developed to ensure that access takes place with the PIC of the TK holders, and that benefits are shared. Finally, all social and environmental standards (SES)-related assessment and management plans will be implemented in line with UNDP guidelines.

**Component 3** will allow the implementation of the project's Monitoring and Evaluation (M&E) strategy. The project will deliver regular monitoring of its progress and gaps and weaknesses identified will inform adaptive management. This includes but is not limited to the preparation of quality and timely annual PIRs, and full transparent support to the independent Mid Term Review (MTR) and Terminal Evaluation (TE) with all required, core indicators and financial indicators provided.

This report presents the results of stakeholder engagement process undertaken prior to development of the Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana ProDoc. The comprehensive stakeholder analysis and subsequent Stakeholder Engagement Plan are in line with the UNDP SES requirements.[31] Stakeholders identified in this Project include members of National Biodiversity Authority (NBDA)[32] (government agencies and research institutions), local government authorities, target beneficiary groups, locally affected communities or individuals, community based organizations, civil society actors, including NGOs, indigenous peoples, politicians, religious leaders, the academic community, private sector entities and other special interest groups. Groups or influential individuals opposed to the proposed project are also considered as stakeholders and must be engaged to ensure success of interventions.

**Regulations and Requirements**

The Comprehensive Stakeholder engagement plan is developed following the requirements and policies of the Government of Botswana as well as GEF and UNDP policies, standards and procedures and good practices. UNDP policies are focused on principles and standards where FPIC is required, and are structured around the following Programming principles:

1. Leave No One Behind
2. Human Rights
3. Gender Equality and Women's Empowerment
4. Sustainability and Resilience
5. Accountability

*The Constitution of Botswana (1966, rev. 2016)*[33]

This project is being prepared within the laws of Botswana including the Constitution that stipulates that

- **Protection from discrimination on the grounds race, etc:** no person shall be treated in a discriminatory manner by any person acting by virtue of any written law or in the performance of the functions of any public office or any public authority – "discriminatory" means affording different treatment to different persons, attributable wholly or mainly to their respective descriptions by race, tribe, place of origin, political opinions, colour, creed or sex whereby persons of one such description are subjected to disabilities
- **Protection of freedom of expression:** no person shall be hindered in the enjoyment of his or her freedom of expression, that is to say, freedom to hold opinions without interference, freedom to receive ideas and information without interference, freedom to communicate ideas and information without interference (whether the communication be to the public generally or to any person or class of persons) and freedom from interference with his or her correspondence.

[31] Guidance Note UNDP Social and Environmental Standards (SES): https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx

[32] The NBDA was constituted after the country became party to the CBD in 1995 and its members contribute to biodiversity projects as and when required.

[33] https://www.constituteproject.org/constitution/Botswana_2016.pdf?lang=en

The project will benefit communities in the Panhandle regardless of their tribe, sex, age etc. Women, men and youth will be accorded opportunity to express themselves, share ideas and information, in spaces where they feel confident to do so, thereby contributing to the success of the project.

Botswana has a dual legal system which are common and customary laws. Customary law, which applies mainly in the rural areas, is enforced by tribal structures and customary courts. Customary law is enforced by chiefs at the Kgotla. The Kgotla is an open meeting place or place of gathering to discuss matters that affect all members of a tribe or community with the chief presiding. In fact, proceedings are not in effect until the chief is present.  represents an established feature from traditional practice to enhance modern governance in Botswana in support of the parliament. The highest authority in a Kgotla is the chief or headman.[34] All chiefs have their offices within a kgotla. All development projects must be presented at a kgotla meeting to create awareness, obtain buy in and gain consensus before implementation can begin.

Government has strengthened measures to tackle traditional and cultural norms and practices that perpetuate gender inequalities, by continuously engaging with Chiefs (*Dikgosi*) in an effort to achieve gender justice through promotion of equal opportunities and rights for women and men with a particular focus on mainstreaming gender within the customary justice system.[35]the Kgotla is the first line of contact between government officials and communities for the purpose of introducing projects and programmes. The proposed project has been presented to the Chiefs at the kgotlas of the respective project villages. At the start of implementation, the project will be presented to the participating communities first at the *kgotlas*, and afterwards at their areas of work or where they normally congregate such as the market, river, etc.

**2. Summary of any previous stakeholder engagement activities**

**Central Government Agencies**

Consultations were undertaken for the purpose of developing both the PIF and the ProDoc between 2020 and 2022. Discussion points were used in meetings with central government representatives below to identify interests or potential contribution to the proposed project. In addition, there were multiple one-one meetings with Government and other stakeholders by all the PPG team members.

[34] https://www.knowbotswana.com/botswana-parliament-and-kgotla.html

[35] Botswana Beijing +25

**Table 1: Central Government Stakeholders Consulted**

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| 7 June 2020 | Department of Agricultural Research (DAR), Ministry of Agricultural Development and Food Security | Project objectives<br>DAR's work on biofuels | English | DAR, Sebele | DAR has a lab where staff undertakes research – one PhD holder (female), and 2 masters (both male). The Researchers conduct biotechnology and biosafety research. | | N/A | N/A |
| 7th June | Rural Development Council (RDC), Ministry of Local Government | 2002 Revised National Policy for Rural Development | English | RDC, Gaborone | Serves as the highest consultative body to promote and coordinate rural dev across the sector. Has mandate to coordinate rural development activities:<br>• Presidential Directive Number 13 / 72 of 16 March 1972.<br>• Cabinet Directive in 1972 to establish Rural Dev Council. Presidential Directive (CAB 27(B/2012 REV, Sept 2012) gave mandate to RDC to support and protect IKS in the country. But RDC does not implement, and implementation falls within the different Ministries. | | N/A | N/A |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| | | | | | • Houses the Natural Resources Technical Committee mandated to collect data on land use planning and natural resource use.<br>• Resolution for lower structures of RDC to disaggregate by gender. In many cases the structures disaggregate by gender, and RDC follows up if this is reported | | | |
| 8th June 2020 | Planning Unit, MENT | How the Planning Unit supports development of MENT project budgets | English | MENT HQ | Project information contribution to the National Development Plan<br>Project budget to facilitate Government contribution | N/A | N/A | N/A |
| 10 June 2020 | Members of NDDA involved in ABS<br>(Inception Workshop for PIF stage) | Draft Project Framework shared before the workshop.<br>National Biodiversity Strategy and Action Plan | English | Zoom | Definition of genetic resources and explanation of the difference between bio prospecting and bio trade.<br>Rationale for developing the project.<br>Objective and Outputs of the Project Development (PPG) Process | N/A | N/A | Inception Report shared |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| 22 June 2020 | Department of Environmental Affairs (DEA), Ministry of Environment, Natural Resources, Conservation& Tourism (MENT) | DEA ABS related projects: Review of Okavango Delta Management Plan, and sourcing funds for the Makgadikgadi Framework Management Plan)<br>DEA's Human Resources Manager is a member of MENT's gender team | English | Meeting at DEA | Collect information to assist with final selection of the genetic resources and demonstration sites,<br>Conduct an initial assessment of the Department's experience with gender mainstreaming. | | N/A | N/A |
| 2nd July & 2020 | Faculty of Science (DEAN) University of Botswana (UB) | Faculty's current biodiversity related research projects: *moringa* for water purification, local herb for antihistamine, etc<br>Chemical structures of indigenous plants analysed and traditional herbalists provided with IP rights<br>Existence of CESRIKI | English | Block 233/128, UB, Gaborone | Researchers prefer to work within a national ABS law to ensure protection of IK knowledge, its holders as well as the researchers themselves.<br>Biodiversity experts: BSc, MSc and PhD students and staff working research projects.<br>Women in Science project | N/A | N/A | Short report of the meetings |
| 22nd June &<br>23rd July 2020 | DEA | Draft ABS Bill, ABS Manual, Code of Conduct on Researching Traditional Knowledge Associated with Genetic Resources, Biocultural Community Protocols | English | DEA Headquarters (HQ), Gaborone | N/A | N/A | N/A | N/A |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| 8th July 2020 | Department of Biological Sciences, UB | A number of individual researchers from the Departments of Biology and Chemistry who are doing / have done a lot work on genetic resources. | English | Block 235/242<br>UB, Gaborone | The researchers would be able to benefit from doing research according to the to the legislation once it is in place.<br>If any of the GRs they are conducting research on, are identified as having potential for the ABS project, the department would join the proposed project | No ABS legislation at the moment, and the researchers have been working outside any related legislative framework. | N\A | |
| 9th July 2020 | Department of Research, Science and Technology, Ministry of Ministry of Infrastructure Science and Technology (MIST) | Policy maker as well as research coordinator and works with research institutions / researchers from around the country to drive implementation processes<br>MIST reviewing the Draft IKS Strategy. The IKS Strategy, is expected before end of 2020<br>At conceptual stage of developing IKS database. Suggested that the ABS project could be repository to the database, and the GRs identified could be | English | NRST, Gaborone | Developed a draft IKS Policy but decision was made to put the Policy on hold and develop an IKS strategy instead. The reason for shelving the IKS Policy was that there are already various Government policies that address biodiversity.<br>Participates in regional gender initiative, for instance, they were involved in the *Women in Science Engineering and Technology Charter* developed by SADC | Trying to decide what should be protected in the database IKS. | N/A | N/A |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| | | protected within the database. | | | | | | |
| 9th July 2020 | Department of Wildlife and National Parks (DWNP), Ministry of Environment | DWNP currently are working on legal instruments for ABS.<br>There are provisions that allow the Minister to provide a waiver for GRs to be harvested within National Parks. A request can be made by the proposed project if required. | English | DWNP, Gaborone | Reviews proposals to check if e.g. prior consent should be given.<br>Also involved in drafting ABS contracts and will be involved in this task in the proposed project.<br>Will also be involved in reviewing the final genetic resources for the ABS project. | N/A | N/A | N/A |
| 15th July 2020 | Department of Forestry and Range Resources (DFRR), | Work done by DFRR | English | DFRR, Gaborone | Permits to Utilize Genetic Resources and/or Associated Traditional Knowledge<br>Regulation of veld products<br>Devolved management and user rights for natural resources to local communities | N\A | N\A | N\A |
| 16th July 2020 | Centre for Scientific Research, Indigenous Knowledge and Innovation (CesrIKi) | Existence of IKS Research and Ethics Guidelines<br>The role of CESRIKI as IK providers protector | English | CesrIKi, Gaborone | Collaboration with UB | Specific info on GRs is sometimes disclosed by users and this can lead to | DEA and PPG Team informed of this concern | |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| | | | | | | theft of IK knowledge | | |
| 13th Nov 2020 | Companies and Intellectual Property Authority (CIPA) | CIPA developed excel worksheet comprising all the traditional knowledge identified during Phase 1, and commenced its protection. | English | Virtual | The traditional knowledge was accessed to develop the current ABS manual<br>Issuance of intellectual property rights to the producers<br>Awareness creation on protection of traditional knowledge in participating communities | | | |
| 09th & 10th AUGUST, 2022 | PPG Team and DEA<br>(Inception workshop for the PPG phase) | | English | Virtual Gaborone | | | | |
| 6-8, September 2022 | PPG Team and DEA<br>(PRF workshop) | PIF and Draft PRF | English | Ghanzi | | | | |
| 4th Nov 2022 | Ms P. Maiketso, Deputy Director. Department of Environmental Affairs | Project Objectives<br>Department of Gender's support to the Project, through the Gender Office in Gumare | Meeting | Virtual | Gender mainstreaming in Government Agencies, challenges and success stories | N/A | N/A | N/A |

**Local Government / Communities**

Local communities in the select Panhandle villages were consulted during November 2022. Interviews were conducted with chiefs in Seronga and Shakawe, focus group discussions with women's (mixed) and men's groups. Furthermore, interviews with female (21) and male (31) heads of households were also held. In total discussions were held with 74 women and 66 men in the project villages.

**Table 2: Local Government Stakeholders Consulted**

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| 7th | Mr Mbambo Shakawe Chief (Kgosi) | Project objectives | Meeting *English and Setswana* | Kgotla, Shakawe | GBV and youth unemployment | N/A | N/A | N/A |
| 7th | Shakawe Ipelegeng **women (14)** | Project objectives<br>Time use | Focus Group Discussion (FDG) *Setswana* | Kgotla, Shakawe | Constraints, impact of climate change risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 8th | Basket weavers (**14 women**) | Project objectives<br>Needs to access natural resources safely<br>Time use | Focus Group Discussion (FDG) *Sembukushu* | Shakawe (Roy ward under a tree they normally use for meetings and weaving) | Constraints, impact of climate change risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 9th | Matute-a-Mongongo Cooperative Produce Society (**4 women**) | Project Objectives<br>Cooperative's work with mongongo wild fruit | FDG *Setswana* | Shakawe (Saoshoko ward at the Chairperson's place) | Constraints, impact of climate change risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 9th | Shakawe Fishermen Association (**9 men**) | Project Objectives<br>Time use<br>Needs to access natural resources safely | FDG *Setswana* | Shakawe | Constraints, impact of climate change risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 9, 10, 12& 13th | Female (21) and male (31) heads of households | Control over resources<br>Time use | Interviews *Setswana* | Shakawe, Seronga and Shaikarawe | Constraints, impact of climate change and risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |

| Date | Stakeholder engaged (Individuals, groups, Organizations) | Type of information disclosed / stakeholder's potential contribution to the proposed ABS project | Forms and language | Location | Remarks/key issues discussed | Concerns Raised | Responses to issues raised, including any commitments or follow-up actions | Process undertaken for documenting these activities and reporting back to stakeholders |
|---|---|---|---|---|---|---|---|---|
| 9th | A group of men (11) | Project Objectives<br>Needs to access natural resources safely | FDG<br>*Setswana and Sesarwa* | Shaikarawe | Constraints, impact of climate change and risks in accessing natural resources, e.g., plants<br>Also concerns possible theft of local IK by users under the guise of workshops | Knowledge theft concern to be addressed in the Risk section of the PRODOC | N/A | N/A |
| 13th | Pollers (11 fishermen). | Project Objectives<br>Time use | FDG<br>*Setswana* | Seronga | Constraints, impact of climate change and risks in accessing natural resources, e.g., plants | | N/A | N/A |
| 13th | Seronga, Dipera dancing group. (Mbukushu culture) 9 women, 2 men. | Project Objectives<br>Time use | FDG<br>*Setswana* | Seronga | Constraints, impact of climate change and risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 13th | Kambare group (Basket weavers) 12 women | Project Objectives<br>Time use | FDG<br>*Setswana* | Boyei ward, Seronga | Constraints, impact of climate change and risks in accessing natural resources, e.g., plants | N/A | N/A | N/A |
| 11th and 13th | Kgosi Maeze Maeze | Project Objectives | Meeting and Interview | Seronga | GBV and youth unemployment | N/A | N/A | N/A |

N.B. Both women basket weavers / dancers / Ipelegeng workers, and fishermen harvest natural resources as a source of livelihoods, i.e., in addition to Ipelegeng, crafts and fishing.

Below is a summary of constraints and risks related to accessing natural resources in the project villages, identified during the consultations:

**Human and Wildlife Conflict:** Both women and men mentioned human and wildlife conflict as the main constraint to accessing the natural resources, especially those found in the Okavango River (hippos and crocodiles) and in the forest elephants, lions. Wild animals in the river and the bush such crocodiles, buffaloes, hippos and snakes and biting flies have become a barrier between the women, men and the resources. Elephants in particular- roam all over in search of water and this limits people's movement. Those harvesting wild fruits can sometimes be attacked by wild animals. One may be bitten by a snake when harvesting e.g. *mokola* (real fan) or lose a life just for mongongo. Some have lost their lives in the river either from hippo attacks or drowning while fishing or harvesting indigenous food such as *tswiii* (water lily).

**Distance and Health:** The women carry thatching grass on their heads, which can give them headaches. As a result are not able to carry large quantities due to the weight and distance they have to travel. This is much more difficult for older women. Some natural resources are only found outside the villages, and travelling there by foot exposes them to harm by wild animals. Since most of these resources are deep in the forests, one can travel the distance only to find everything has been taken.

Their health is at stake as they spend long hours in the sun; walking or harvesting natural resources. Some harvest when temperatures are very high. Competing for shade with animals when it is hot is a risk.

**Lack of equipment and transport:** Need to cross to the other side of the river to collect thatching grass – where they used to cross by foot is now covered by water. Transportation is required by some groups to collect e.g. mongongo in large quantities. Struggle to transport harvested fruits and reeds hence harvesting inadequate quantities for their businesses. There is preference for fibre glass canoes and not the traditional canoes as these are easily destroyed by hippos and easy to sink during a hippo attack.

**Lack of insurance:** Do not have insurance or security, when something bad happens they suffer the consequences alone.

**Possible theft of indigenous knowledge** (Shaikarawe): Some members of the community feel that their indigenous knowledge plants do not benefit them. Since they are not protected, some of these resources are no longer available due to inconsiderate harvesting methods. People from other areas have come to the village, sometimes in large numbers, and now use the local indigenous knowledge to make profit elsewhere. There is suspicion that some government officials do the same, under the guise of workshops or meetings. There is risk of losing it all to people from outside the community.

**Licences or registrations:** lack of money to travel to offices to collect the harvesting licenses. Harvesting without licences or registrations comes with fines or imprisonment.

**Over regulation and harvesting seasons.** Over regulation on harvesting, and harvesting and strict permit requirements. Fear that Government may make strict laws which will restrict members of the communities from collecting wild fruits freely and at no cost

**Cultural taboos:** these affect both genders, for instance, pregnant women are not allowed to go harvesting. When one has just lost a partner/wife they cannot access some natural resources species. After a bereavement one cannot get into the river to fish or collect or harvest natural resources.

**Fear of being killed for rituals** while harvesting natural resources: Both women and men fear for their lives. There are claims that people have been killed and their body parts used in rituals. The killers are said to target those in the wild gathering or harvesting natural resources.

**Veld fires** destroy natural plants, if veld fires continue to occur, mongongo trees might be destroyed, leading to loss of local businesses. Veld fires and climate change have led to reduced natural resources in the area.

**Seasonality and time:** collecting and storing bulk harvest is not easy as these natural resources products cannot be preserved for long period of time. Harvesting is time consuming.

N.B. The issues above should be discussed and resolved at the start of project implementation, as feasible within in the scope of the ABS project. The Gender Analysis Report presents measures to address to address some of these issues.

**3. Project Stakeholders**

The stakeholder analysis was done following the 3 suggested steps by the *Guidance Note UNDP Social and Environmental Standards (SES): Stakeholder Engagement, July 2022*. The steps are: Step 1 – Stakeholder identification; Step 2 – Identify stakeholder interests in the project; and Step 3 - Stakeholder Prioritization. Table 3 below (scoring to be finalized with contribution from the stakeholders) represent different project stakeholders at central government; NBDA and others, and local government level, e.g. district councils, tribal authority, VDCs, CBOs, etc. Other stakeholder groups such as women, men and youth that are directly affected by the project are based in the local communities. DEA is the National Focal Point for the CBD and is tasked with overseeing implementation on the NBSAP. The National Biological Diversity Authority (NBDA), is a committee that comprises experts from across all related government sectors, research institutions as well as environmental NGOs. Key stakeholders such as CIPA already have a working relationship with DEA. CIPA plays a critical supporting role in ensuring that communities are aware that they must protect their traditional knowledge. Furthermore, CIPA ensures that all ABS requirements particularly with regard to free and prior consent and mutually agreed terms are in place before patents can be registered.

All the project stakeholders, their interests in the project as well as influence they will have are listed in the Table below.

**Table 3: Project Stakeholders**

| Stakeholder Groups | Stakeholders | Stakeholder Interests (interest at stake in relation to project) | Perception of the impacts of the project on interests (+, -, neutral) | Importance of Stakeholder for Project Success<br><br>1=Low/No Importance<br>2=Some Importance<br>3=Moderate Importance<br>4=Very Important<br>5=Critical player | Influence<br>1=Little/No Influence<br>2=Some influence<br>3=Moderate Influence<br>4=Significant Influence 5=Very Influential | Direct / Indirect Beneficiaries |
|---|---|---|---|---|---|---|
| **Central Government - Departments** | Implementing Agency – Department of Environmental Affairs. Ministry of Environment, Natural Resources Conservation and Tourism (MENRCT) | • Nagoya Protocol implementation<br>• ABS regulations and promotion of the ABS Act, ABS Manual, Code of Conduct on Researching Traditional Knowledge Associated with Genetic Resources, Biocultural Community Protocols<br>• Domestication of the CBD Gender Action Plan | + | 5 | 5 | Direct |
| | Department of Rural Development, Ministry of Local Government and Rural Development | • Sustainable use of natural resources<br>• Women's empowerment (those working with natural resources) | + | 5 | 5 | Direct |
| | Planning Unit, MENT | • Project Budget (government co-funding) | + | 4 | 4 | Indirect |
| | Department of Wildlife and National Parks (DWNP), MENT | • Legal harvesting of natural resources by communities<br>• Human / wildlife coexistence<br>• FPIC | + | 4 | 4 | Direct |
| | Department of Forestry and Range Resources (DFRR) | • Permits to Utilize Genetic Resources and/or Associated Traditional Knowledge<br>• Regulation of veld products | + | 5 | 5 | Direct |
| | Department of Gender Affairs | • Gender training for Central Government<br>• Gender integration in natural resources programmes and projects<br>• Gender mainstreaming support and monitoring at the district level | + | 4 | 4 | Direct |
| | National Research, Science and Technology | • IK Systems Strategy and Database | + | 3 | 3 | Indirect |

| Stakeholder Groups | Stakeholders | Stakeholder Interests (interest at stake in relation to project) | Perception of the impacts of the project on interests (+, -, neutral) | Importance of Stakeholder for Project Success<br><br>1=Low/No Importance<br>2=Some Importance<br>3=Moderate Importance<br>4=Very Important<br>5=Critical player | Influence<br>1=Little/No Influence<br>2=Some influence<br>3=Moderate Influence<br>4=Significant Influence 5=Very Influential | Direct / Indirect Beneficiaries |
|---|---|---|---|---|---|---|
| **Local Government** | *District councils:* District Development Committee (DDC: Village Dev. Committees), District Land Use Planning Units (DLUPU).<br>Chiefs (*dikgosi*), VDCs and Trusts | • Project integration in District Development Plans<br>• Biocultural Community Protocols (FPIC and MATs) | + | 5 | 5 | Direct |
| **Research Institutions: providing technical and scientific support** | Department of Agricultural Research (DAR),<br>University of Botswana: Department of Biological Sciences,<br>University of Botswana, Botswana University of Agriculture and Natural Resources (BUAN),<br>Botswana International University for Science and Technology (BUIST | • Advanced research on genetic resources<br>• ABS regulations | + | 4 | 4 | Direct |
| **Indigenous Knowledge Organizations** | Companies and Intellectual Property Authority (CIPA), Ministry of Investment, Trade and Industry | • Supporting role to ensure that ABS regulations e.g. PIC and MATs have been adhered to prior to registering of patents<br>• Protection of Traditional Knowledge (indigenous Knowledge)<br>• Awareness creation for chiefs and communities to protect their knowledge | + | 5 | 5 | Direct |
| | Centre for Scientific Research, Indigenous Knowledge, and Innovation (CesrIKi) | • Biocultural Community Protocols<br>• IKS Research and Ethics Guidelines | + | 5 | 5 | Direct |

| Stakeholder Groups | Stakeholders | Stakeholder Interests (interest at stake in relation to project) | Perception of the impacts of the project on interests (+, -, neutral) | Importance of Stakeholder for Project Success<br><br>1=Low/No Importance<br>2=Some Importance<br>3=Moderate Importance<br>4=Very Important<br>5=Critical player | Influence<br>1=Little/No Influence<br>2=Some influence<br>3=Moderate Influence<br>4=Significant Influence 5=Very Influential | Direct / Indirect Beneficiaries |
|---|---|---|---|---|---|---|
| | Companies and Intellectual Property Authority (CIPA) | • IPRs<br>• Local communities training on IK protection<br>• Fully functioning IK database | | | | |
| **Development Agencies** | UNDP | • SESP Guidelines<br>• Indigenous Peoples protocols<br>• GEF 7 Funding management<br>• Management and use of biodiversity for poverty reduction | + | 4 | 4 | Indirect |
| **Local Communities** | Local communities and their VDCs | • Biocultural Community Protocols (FPIC and MAT)<br>• Improved ABS awareness | + | 5 | 5 | |
| **Women and women's groups** | Women's groups: e.g. Matute-a-Mongongo Cooperative Produce Society, Kambare and Dipera groups | • Safe and legal access to natural resources<br>• IK protection: Biocultural Community Protocols (FPIC and MAT)<br>• Women's empowerment | + | 5 | 3 | Direct |
| **Men and men's groups** | Shakawe Fishermen Association and Pollers, etc | • Safe and legal access to natural resources<br>• IK protection: Biocultural Community Protocols (FPIC and MAT) | + | | | |
| **NGOs** | Kalahari Conservation Society (KCS),<br>Birdlife Botswana,<br>Cheetah Conservation Botswana,<br>Kalahari Wildlife Trust,<br>Elephants for Africa,<br>Botswana Predator Conservation Trust,<br>BOCONGO (THE Botswana Council of | • Members training on business development and governance<br>• Non-monitory benefits | + | 3 | 4 | Indirect |

| Stakeholder Groups | Stakeholders | Stakeholder Interests (interest at stake in relation to project) | Perception of the impacts of the project on interests (+, -, neutral) | Importance of Stakeholder for Project Success<br><br>1=Low/No Importance<br>2=Some Importance<br>3=Moderate Importance<br>4=Very Important<br>5=Critical player | Influence<br>1=Little/No Influence<br>2=Some influence<br>3=Moderate Influence<br>4=Significant Influence 5=Very Influential | Direct / Indirect Beneficiaries |
|---|---|---|---|---|---|---|
| | Non-government Organizations)<br>Hotel and Tourism Association of Botswana (HATAB),<br>Kuru Family of Organizations (KFO),<br>Trust of Okavango Cultural and Development Initiatives (TOCADI). | | | | | |
| | BOCOBONET[36] | • Members' interests<br>• Appropriate technical services support | + | 1 | 1 | Indirect |
| | The Ngamiland Council of Non-Governmental Organisations (NCONGO) | • Technical assistance to affiliated CBOs | Neutral | 2 | 2 | Indirect |
| **Local donors** | National Environmental Fund (NEF),<br>Forest Conservation Botswana (FCB)<br>Local Entrepreneurship Authority (LEA) | • Potential funding for demonstration project<br>• Technical and business development support | Neutral | 4 | 3 | Indirect |

[36] https://www.trickleout.net/index.php/directory-pilot/botswana/bocobonet-botswana-community-based-organisations-network

**Table 4: Stakeholder Importance and Influence Matrix**

| Importance: low ----------->high | | |
|---|---|---|
| | **Group 1:** High Importance/Low Influence Stakeholders<br>Local communities[37], women, women and men's groups, youth, VDCs, Dpt. Gender Affairs | **Group 2:**<br>High Importance/High Influence Stakeholders:<br>Central government (implementing; DEA and supporting departments; Rural Dev., DFFR, CIPA) and local Government e.g. district councils, tribal authority, i.e. chiefs.<br>Traditional knowledge holders / producers |
| | **Group 3:** Low Importance/Low Influence<br>NGOs, Trusts academia and development partners | **Group 4:**<br>Low Importance/High Influence… |
| | **Influence: low----------->high** | |

**Group 1** stakeholders comprise local communities, village development committees (fall within district council jurisdiction). The Department of Gender Affairs is included in this group as it does not yet have enough influence even at the central Government level.

**Group 2** stakeholders hold the policy and decision-making powers. These are implementing and supporting central Government agencies and parastatals who have a long history of implementing biodiversity programmes. The Governance system in the country is top down, which means programmes are conceived at central Government level and implementation is undertaken through the district councils and tribal authority. Tribal authority is the direct link to the communities.

A critical stakeholder in Group 2 is the Department of Rural Development which gives advice to all other Government agencies and other development partners working with rural committees. The Rural Development Council (RDC) coordinates the stakeholders to ensure seamless implementation of related policies. Also facilitates collaboration among stakeholders. It was established to serve as the highest consultative body to promote and coordinate rural development across the sectors. At the village level exists a Village Extension Committee. All sectors represented in a village report to this committee. This means ABS project will be reported to this Committee. At the community (village) level sub-committees such as the Natural Resources Committee coordinate related issues. The Natural Resources Technical Committee is mandated to collect data on land use planning and natural resource use. It also brings stakeholder together and coordinates stakeholders who already work on these two issues – to ensure sustainable utilization and exploitation of natural resources.

**Group 3** stakeholders are mainly academia and development partners who may not have direct link to communities and hence need to go through the Group 2 stakeholders to operate under the Nagoya Protocol. This means being the middle-man that ensures FPIC and MATs guidelines have been adhered to is the Stakeholder group with high influence and high importance.

**4. Stakeholder Engagement Program**

The purpose of the Comprehensive Stakeholder Engagement Plan is to inform the PRODOC, and to provide a roadmap for all key stakeholders as well as the project implementers. The Plan will be reviewed and updated at the start of implementation to ensure that all relevant stakeholders are included.

[37] Referred to as indigenous communities in other countries

**Table 5: Stakeholder Engagement Strategy**

| Stakeholder Group | Why Included (interests) | Participation Methods/ Communication | Responsible | Information to be Disclosed | Timeline | Feedback |
|---|---|---|---|---|---|---|
| **Central Government - Departments** | • Nagoya Protocol implementation & domestication of the CBD Gender Action Plan<br>• ABS regulations and promotion of the ABS Act, ABS Manual, Biocultural Community Protocols<br>• Sustainable use of natural resources & legal harvesting of genetic<br>• Women's empowerment (those working with natural resources) and equitable access to genetic resources<br>• Project budget and government contribution | Meetings<br>Workshops | DEA & Project Management Manager | • Existing ABS documents, e.g. ABS Law, BCPs<br>• Community Protocols docs. Etc.<br>• Comprehensive stakeholder engagement plan<br>• PRODOC (after approval by GEF)<br>• Project Reports | Years 1 to 4 | Project documents review and input |
| **Local Government (District)** | • Project integration in District Development Plans | Formal correspondence, including email<br>Meetings and Workshops | DEA and Project Manager | • Project's purpose, nature and scale, duration, and potential risks and impacts on the participating local communities<br>• ESMF/IPPF<br>• Project Reports | Years 1 to 4 | Input into project brochures and leaflets |
| **Local Government Chiefs and VDCs** | • Biocultural Community Protocols (PIC and MATs)<br>• Protection of indigenous traditional knowledge<br>• Legal access to genetic resources | Formal correspondence, Project brochure and leaflets in both English and Setswana | DEA, Project Manager, District Commissioner | • Non-technical project summary, covering impacts and duration.<br>• ESMF/IPPF<br>• Stakeholder's List and responsibilities | Years 1 to 4 | Participating village chiefs to attend project implementation meetings |
| **Local Communities (women and men; groups; women and men; youth &** | • Safe and legal access to natural and genetic resources<br>• IK protection: Biocultural Community Protocols (PIC and MAT)<br>• Women's empowerment<br>• Livelihoods from natural resources | Kgotla, and individual group meetings<br>Participatory methods: FDGs<br>Questionnaires<br>TV, radio | Project Manager and project's Gender Officer | • Simplified project information<br>• ESMF/IPPF<br>• Project Reports | Years 1 to 4 | Throughout project implementation at the kgotla and specific group meetings. |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Trusts** | | Project brochure, and leaflets in Setswana, Sembukushu and Sesarwa as required | | | | Select women, men and youth reps to attend project implementation meetings<br>Direct beneficiaries |
| **Indigenous Knowledge Organizations** | • Supporting role to ensure that ABS regulations e.g. PIC and MATs have been adhered to prior to registering of patents<br>• Protection of Traditional Knowledge (indigenous Knowledge)<br>• Awareness creation for chiefs and communities to protect their knowledge<br>• Biocultural Community Protocols<br>• IKS Research and Ethics Guidelines<br>• Local communities training on IK protection<br>• Fully functioning IK database | Formal correspondence, meetings<br>Project brochure, and leaflets in both English and Setswana | DEA and Project Manager | • Project's purpose, nature and scale, duration, and potential risks and impacts on the participating local communities<br>• ESMF/IPPF | Years 1 to 4 | Participation in project implementation meetings |
| **Research Institutions: providing technical and scientific support** | • Advanced research on genetic resources<br>• ABS regulations | Formal correspondence, meetings and workshops | DEA and Project Manager | • PRODOC<br>• Information on potential genetic species for the demonstration project<br>• ESMF/IPPF | Years 1 to 4 | Participation in project implementation meetings<br>Direct beneficiaries |
| **Development Agencies** | • SESP Guidelines<br>• Indigenous Peoples protocols<br>• GEF 7 Funding management<br>• Management and use of biodiversity for poverty reduction | Formal correspondence, meetings and workshops | DEA and Project Manager | • PRODOC | Years 1 to 4 | Project documents review and input |
| **NGOs** | • Members training<br>• Non-monitory benefits | Formal correspondence, meetings<br>Radio | Project Manager | • Project summary | Year 1 | Project documents, as needed |
| **Local donors and private sector** | • Potential funding for demonstration project<br>• Technical and business development support | Formal correspondence, meetings | Project Manager | • Project summary | Year 4 | Project documents, as needed |

N.B.

1. All costs for engaging with the various stakeholders have been included in the TBWP (ProDoc Section X).
2. Women's groups, youth and other vulnerable groups' representatives will be engaged effectively throughout implementation of the project. The Project Manager and project's Gender Officer will be in regular contact with all the reps to take note of their concerns and contributions to project activities. The women, youth and other vulnerable groups feedback will be incorporated in the project management as well as appropriate district development meetings. Arrangements will be made to meet the women and youth separately, at their preferred places of work / meeting places, and during their preferred time and day of the week to ensure good attendance and participation.

The Project Management Unit (PMU) will be in charge of internal governance and general coordination, as well as monitoring the implementation of the project. The PMU will implement the Comprehensive Stakeholders Plan, the Indigenous Peoples Plan and the Gender Action Plan, as well as the guidelines of the Safeguard and Risk Mitigation Plans. The Project Manager will receive feedback from the Implementation Committee on ABS, and will promote the participation of all stakeholders, including mediating during conflict between the stakeholders.

Other mechanisms to coordinate and involve project stakeholders will be the following:

- **Strengthening the national framework and institutional capacities for ABS implementation:** The project will enhance awareness and understanding of the Nagoya Protocol, the ABS Law and it regulations among government stakeholders who are mandated to lead the domestication of the (Department of Environmental Affairs [DEA], Department of Wildlife & National Parks [DWNP], Department of Forestry & Range Resources [DFRR], Companies Intellectual Property Authority [CIPA], Ministry of Health and Wellness, Agriculture Boarder Inspectors, and Local Governments). A broad-based National Bioeconomy Strategy (NBS) will be developed through coordination key government agencies, the academic sector, civil society, and holders of TK.

  Furthermore, the project will hire a Gender and Safeguards Expert will be supported by the Department of Gender Affairs, through the district gender office located in the project district. In order to enhance capacity of representatives of central and local government to mainstream gender in a biodiversity project, a gender training program will be developed and implemented and the start of the project.

  Special attention will be given to women and youth and other vulnerable peoples, to enable them participate in monitoring and to enhance transparency about the utilisation of GR. To this end, a community monitoring programme with women, men, youth trained and equipped to monitor ABS agreements, and implement regulations to be developed by the project. In addition, women, men, youth will contribute to development of standards for Biocultural Community Protocols (BCPs) based on the guidelines for obtaining PIC and MAT. An electronic permitting system accessible to all stakeholders, including women, men, and youth will be developed to facilitate ease of interaction between users of GR and/or TK

- Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management: Barriers related to lack of capacity and opportunities to conduct R&D and benefit-sharing in Botswana will be overcome through implementation of this project. All relevant stakeholders including women, men and youth will contribute to the development of a national database on GR and TK. Capacity for participating institutions will be further enhanced through a training module to advance the national R&D agenda. The project will better equip universities and research centres for bioprospecting and product development

- **Gender Action Plan:** A Gender Action Plan has been developed to address gender gaps and gender activities have been budgeted for to ensure effective and equal participation of women, men, youth ad other vulnerable communities during implementation and monitoring of the project. For instance, women, men and youth's groups will be consulted separately, at their preferred meeting places and during their preferred day / time to enable the different groups to provided feedback during implementation. The GAP takes into account their knowledge and experience working with GR in their community, and particular contexts. Different media and forms and translation into local languages where required, will be used to reach all stakeholders in the communities. Through the GAP, a gender approach has been integrated in all the project activities.

- **Grievance mechanism:** This will be established so that the stakeholders have knowledge of its existence and may use it as they need to. The Project Manager will be in charge of documenting and managing grievances. The mechanism will be located in a place that is easy for different people to access and will be disseminated in various media (and forms), and translated into local languages to make it accessible to all the stakeholders. This will ensure that women, men, and youth as well as all marginalized groups in the local communities are aware of the mechanism and can make use of it.

- **Indigenous Participation Plan IPP:** The geographical area of the project includes indigenous peoples. An IPP will be developed in collaboration with the Department of Environmental Affairs (DEA) of the Ministry of Environment, Natural Resources, Conservation, and Tourism (MENT). The IPPF developed during the design od the project highlights risks, that are of particular relevance to indigenous peoples and other also vulnerable groups including women, girls, and youth, orphans, the elderly, and people with disabilities. The project will implement processes and consultations with central, district, and local level organizations, hosting of meetings with project-affected communities, and targeted discussions with indigenous, minority, and vulnerable groups in the project area. Translators (e.g. Sembukushu, and San and Nama languages for indigenous communities in the project area) will be utilized throughout the project implementation, and project materials will be translated into mother tongues where required. This means appropriate language, gender sensitive consultations, engagement of women, youth, and vulnerable population members, will be undertaken in all project phases including during

discussions of FPIC and of the Grievance Redress Mechanism. The project will establish a Community Monitoring programme – ABS-trained monitors to monitor ABS agreements and regulations. Standards for developing Biocultural Community Protocols will be agreed with indigenous and other vulnerable groups based on the guidelines for obtaining PIC and MAT.

- **SESP tools and risk mitigation plans:** . The project is considered to be of substantial risk as all the risks can be avoided or mitigated if the measures recommended in the SESP and the IPP are implemented. The risk assessment carried out as part of the project development defined the mechanisms for risk mitigation. This will be updated at the start and during the implementation of the project. The Project Manager and Gender and Safeguards Expert will periodically monitor the risks.
- **Decentralized M&E:** This process will include the participation of all the stakeholders involved in the project, including women, indigenous peoples, and other vulnerable groups. The UNDP and GEF guidelines will be used to guide the M&E process; the stakeholders will participate fully and effectively in reporting on the core GEF-7 indicators established for the project.

***Participation of women and other vulnerable social groups***

A gender approach has been integrated in all project activities where appropriate. This will ensure that women, men, youth in local and indigenous peoples benefit equitably from the project. Effective participation of women and youth in the project will be realized if the GAP is fully implemented. Women in project communities have stated their preferred times / days of the week as well as specific meeting places and need for translators and this should be respected to ensure efficient participation and feedback. It is not all women and other vulnerable groups who are able to participate and contribute to project discussions at the *kgotla*, hence additional meetings in their preferred environment will be arranged.

The Department of Gender Affairs will work hand in hand with the project Gender and Safeguards Expert to ensure that gender mainstreaming objectives are met both for the project as well as for the government. Quarterly review of the GAP involving all affected stakeholders, i.e. women, the elderly, youth, men and other vulnerable groups should be done.

***Activities that require FPIC***

The FPIC process was initiated during the PPG phase and will continue during project implementation with the aim of achieving consent from the specific rights-holders, as needed. Project activities that cannot start until specific risk mitigation measures are in place, i.e. (Strategic Environmental and Social Assessment [SESA] and Environmental and Social Management Plan [ESMP]) and that are required to comply with FPIC have been identified as part of the ESMF. Specific activities that require FPIC include:

- Training of local and indigenous communities, including women and other vulnerable groups from the villages of Shaikarawe, Shakawe, and Seronga in the panhandle of the Okavango Delta, in ABS project management, negotiation of ABS agreements, biodiversity conservation, access to GR and associated TK, among other topics.
- Development of standards for Biocultural Community Protocols (BCPs).
- Development of a Community Monitoring Framework and associated training.
- Design of a demonstration ABS project (project proposal) with local participation, including women, for a species of interest for R&D and with high potential for commercial value prioritised under.
- Development of a National GR database and data collation. This will include field surveys and inventories of biological resources and associated TK.
- Development of the National ABS community of practice (CoP)/platform for lesson-sharing, common priority-setting, and awareness-raising.

**5. Timetable**

Below are the major project meetings / activities that will take place during implantation.

**Table 6: Timetable**

| Activity | Y1 | Y2 | Y3 | Y4 | Location |
|---|---|---|---|---|---|
| Meeting with the Implementation Committee on Access and Benefit-Sharing | X | | | | Gaborone |
| MoUs with Department of Gender Affairs and academic / research institutions | X | | | | Gaborone |
| Inception workshop with NBDA and Local Authority | X | | | | Maun |

| | | | | | |
|---|---|---|---|---|---|
| Project Results Framework and M&E framework presentation, and development of annual workplan workshop | X | | | | |
| Project implementation workshop and meetings with participating communities | X | | | | Respective villages |
| Stakeholder Engagement Plan review meetings | X | X | X | X | Gaborone & Maun |
| Meetings with women & men's groups, youth and other vulnerable groups (to solicit feedback) | X | X | X | X | Respective villages |
| Development of Annual Workplans (meeting) | | X | X | X | Gaborone & Maun |
| Project management meetings | X | X | X | X | Gaborone & Maun |

**6. Resources and Responsibilities**

The main roles and responsibilities for project t implantation are outlined below. The implementing agency is the Department of Environmental Affairs, Ministry of Environment, Natural Resources Conservation and Tourism (MNRCT). The steering committee for the project will be the *Implementation Committee on Access and Benefit-Sharing*. This committee will be constituted as indicated in the new ABS Law.

**Table 7: Responsibilities and Resources**

| Position and Function | Roles and Responsibilities | Resources |
|---|---|---|
| **Project Manager** | The Project Manager, (in collaboration with the Project Management Unit) will have responsibility for the day-to-day implementation of the project. He/she will ensure that stakeholders are engaged according to plan. He/she will oversee the implementation of project activities and be accountable that stakeholder engagement is inclusive and according to plan. | See budget in ProDoc (Section X). |
| **Gender /SES Expert** | Safeguards and Gender Specialist will be responsible to ensure local stakeholders are engaged in the project, with particular emphasis on participation of Indigenous Peoples, minorities, women and youths. | See budget in ProDoc (Section X). |
| **Gender /SES Expert** | Workshops for SES-related public consultations and to ensure stakeholder engagement | See budget in ProDoc (Section X). |
| **Gender /SES Expert** | Travel expenses related to the implementation of the Comprehensive Stakeholder Engagement Plan | |
| **M&E Expert Monitoring** | Monitoring of the implementation of the Comprehensive Stakeholder Engagement Plan in line with the Project's M&E Plan | See budget in ProDoc (Section X). |

**7. Grievance Mechanism[38]**

**Grievance Redress Mechanism**

As described in the project document, the government and UNDP will establish a project-level Grievance Redress Mechanism (GRM) during the first year of implementation. The GRM is a way to provide an effective avenue for expressing concerns and achieving remedies for complaints by communities, to promote a mutually constructive relationship and to enhance the achievement of project development objectives. A community grievance is an issue, concern, problem, or claim (perceived or actual) associated with the Project that an individual, or group, or representative wants to address and resolve.

The following principles should govern the grievance redress system to be implemented by the project:

- Legitimate, accountable, without reprisal.

[38] A presented in the ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (DRAFT)

- Accessible
- Predictable and timebound
- Equitable
- Transparent
- Rights compatible
- Used to improve policies, procedures, and practices to improve performance and prevent future harm.
- Based on engagement and dialogue

The full details of these GRMs will be agreed upon during the Inception Phase, a process that will be overseen by the Project Manager in consultation with the Social Safeguard Specialist.

The grievance and response mechanisms are aimed at helping all stakeholders involved in the project, including project-affected groups and UNDP's partners along with government, non-government organizations, and the private sector companies operating in the project area to jointly address grievances or disputes related to the social and/or environmental impacts of UNDP supported projects. While the grievance and response mechanisms are important for all project stakeholders, it is particularly key for the indigenous people, who are often marginalised and discriminated against. The project will be implemented in areas that are home to indigenous peoples; hence it is critical that there is a transparent grievance redress mechanism for any issues. Aggrieved stakeholders will be able to approach the Project Management Unit and the Implementing Partner, the Ministry of Environment, Natural Resources, Conservation and Tourism (MENT) to register their grievances. In those cases where the agencies are not able to address the grievances, or in cases when the grievances have not been addressed successfully, the aggrieved stakeholders have recourse to other national grievance mechanisms. It may be necessary to appoint an independent arbitrator to deal with complex issues. Communities are concerned about the potential conflict of interest if the government ministry involved in the project, MENT, is the only agency involved in assessing the grievances, and they would prefer to have an independent agency or organization oversee the grievance process.

At a local level, due to barriers of language, access to communications, potential issues of discrimination, and perceived issues of safety where protection of the identity of complainants may be required, it is essential to provide a local point of contact for community grievances. This may be a local NGO, trusted community members in various locations, trusted persons of authority, community associations, or other points of contact agreed through consultations with community members, and particularly with indigenous peoples where they are included in project activities

It is critical that the person, persons, or organization serving as the point of contact understand the need for community complaints to be anonymous where issues of individual or group safety are suspected, observed, or indicated. The point of contact will have direct access to the PMU staff. In the case of a complaint where anonymity is requested, the PMU and any resulting grievance process must respect this condition.

Focus will be on some 25,000 people in 21 villages in the Okavango Delta and on its margins. Coordination of the work will be with the North West District Council, the Tawana Land Board, the Remote Area Development Program, the Department of Environmental Affairs in the MENT, and the Ministry of Agriculture's Forestry Department. There will be particular emphasis on the villages of Shakawe, Seronga, and Shaikarawe.

NGOs operating in the area include the Kalahari Conservation Society (KCS), Birdlife Botswana, Cheetah Conservation Botswana, Kalahari Wildlife Trust, Elephants for Africa, Botswana Predator Conservation Trust, and BOCONGO (THE Botswana Council of Non-government Organizations), the Hotel and Tourism Association of Botswana (HATAB), the Kuru Family of Organizations (KFO), and the Trust of Okavango Cultural and Development Initiatives (TOCADI). All of these NGOs will be interviewed as part of the stakeholder engagement activities.

The first 6 villages selected for the project work were.

1. Shaikarawe,
2. Seronga
3. Tobera
4. Shaikarawe
5. Seronga
6. Mokgacha
7. Shakawe
8. Mohembo

All of these villages contain indigenous peoples as well as members of other groups. Stakeholder engagement and FPIC surveys will be carried out in all these villages, with special attention paid to indigenous peoples, minorities, women, youth, and members of vulnerable groups. It should be noted that one village in particular, Shaikarawe, is made up predominantly of Khwe San, so it is a high priority village in terms of evaluating traditional knowledge. It is also a village that has been affected heavily by organizations that have sought indigenous knowledge and traditional knowledge.

N.B Shakawe, Shaikarawe and Seronga were selected for initial consultations during the PPG phase.

**8. Monitoring and Reporting**

The implementation of the Comprehensive Stakeholder Engagement Plan will be monitored and evaluated through the 48 months of project implementation. Stakeholder engagement activities will be added in project reports and the consultations and information activities reports will be supported by minutes of meetings, with a focus on the feedback from project direct beneficiaries and the other stakeholders. The feedback from vulnerable groups will be taken into consideration as inputs to adapt the project and the method of work.

Monitoring and evaluation of the implementation of the stakeholder engagement plan is part of the project M&E plan as outlined in Section VII of the ProDoc. The project team will review and update the Stakeholder Engagement Plan once a year, to keep updated the list, the analysis of stakeholders and the activities for stakeholder engagement that can change during the project implementation period. In addition, the project team will communicate with and inform the stakeholders when an unanticipated change in project's activities can affect their interests and their participation.

**Annex 8: Environnemental Social Management Framework (ESMF)**

Included as a separate annex.

**Annex 9: Gender Analysis and Gender Action Plan**

**1. Introduction**

The Convention on Biological Diversity (CBD) is one of the mechanisms to protect the global environmental commons and guarantee their global sustainable management.[39] In 2014, Botswana ratified the CBD's Nagoya Protocol on *Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization*, a major output of the CBD. The Protocol advances the CBD's third objective by providing greater legal certainty and transparency for both providers and users of genetic resources. Genetic resources (GRs) refer to genetic material of actual or potential value. Examples of GRs include material of plant, animal, or microbial origin, such as medicinal plants, agricultural crops and animal breeds.[40] This project is being implemented by following GEF's Guidelines on Gender Equality and Policy on Gender Equality. The GEF Policy on seeks to ensure equal opportunities for women and men to participate in, contribute to and benefit from GEF-financed activities. Gender responsive 'do good' rather than gender aware 'do no harm' actions are the focus of gender action plan (GAP) presented in the last section of this report. The GAP, as per requirement of GEF, 'contribute to equal access to and control over resources and decision making while empowering women…'.

In 2022 Botswana's population was 2,359,609, with 1,709,148 being total population in rural areas (villages). Of the villages total, males accounted for 807,708 while females were 901,440 [41]. Infant mortality rate stood at 38 deaths per 1,000 live births, between 2006 and 2017[42]. Disaggregated population of Ngamiland West district is 74,149 Males 35,485 Females 38,664. Total population of Shakawe is 10,589 translating into Males 5,159 and Females 5,430 while the population of Seronga 2,793, i.e. Males 1,313 Females 1,480.[43] The proposed project targets over 3000 (200 female, 1000 males) direct beneficiaries in project district, a modest target considering the total population of the three villages, which is approximately 15,000. HDR 2021/2022 put population with at least secondary education (i.e. % ages 25 years and older) 91.3% for females and 91.8% for males. Youth employment Unemployment rate (persons aged 15 years and above) went up by 1.5 percentage points, from 24.5 percent in fourth of 2020, to 26.0 percent in fourth quarter of 2021.[44] In Botswana, women are more likely than men to be unemployed, with a large portion of unemployed women being young and poor.

**1.1. Project Description**

The project objective is to enhance the capacity for genetic resources research and development (R&D) to promote beneficiation and value addition and to protect traditional knowledge (TK). The GEF investment will reduce threats to biodiversity and genetic resources from their utilization focusing in the Panhandle area of the Okavango Delta in northern Botswana by implementing a strategy that will allow the country to further implement the Nagoya Protocol on ABS for the delivery of global environmental benefits (GEBs). This will be achieved through the following three interrelated components:

- Component 1. Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation
- Component 2. Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management
- Component 3. Monitoring and evaluation (M&E)

**Component 1** will address capacity barriers that currently constrain successful domestication of the NP on ABS. An ABS Bill was adopted in June of 2022; to effectively implement this legislative instrument, the project will support the development of regulations on Prior Informed Consent (PIC), Mutually Agreed Terms (MAT), and Material Transfer Agreement (MTA). To enhance institutional capacity and put into place measures and mechanisms to operationalise the ABS Act of Botswana, the project enhances awareness and understanding of the NP, the ABS Act and its regulations among government stakeholders who are mandated to lead the domestication process (Department of Environmental Affairs [DEA], Department of Wildlife & National Parks, Department of Forestry & Range Resources, Companies Intellectual Property Authority [CIPA], Minister of Health and Wellness, Agriculture Boarder Inspectors,

[39] https://sustainabledevelopment.un.org/content/documents/24797GSDR_report_2019.pdf
[40] https://www.wipo.int/tk/en/genetic/
[41] Statistics Botswana, Population and Housing Census 2022 Population of Cities, Towns and Villages Version 2
[42] Statistics Botswana, ''Botswana Demographic Survey Report'', December 2018, http:// http://www.statsbots.org.bw/
[43] Statistics Botswana, Population and Housing Census 2022 Population of Cities, Towns and Villages Version 2
[44] Quarterly Multi-Topic Survey (QMTS) 2021. Statistics Botswana

and Local Governments). In addition, a broad-base National Bioeconomy Strategy (NBS) will be developed through a coordinated effort among key government agencies, the academic sector, civil society, and holders of traditional knowledge, among others. It will be an important contribution to promoting Botswana's economic growth and sustainable development focusing on innovation and value addition, the development of new biotechnologies and biotechnology products, bioprospecting and economic use of the genetic resources, and the protection of the environment.

At the local level, this component will enhance the capacity of local communities, giving special attention to women and youth and other vulnerable people, to participate in monitoring and to enhance transparency about the utilisation of GR. Specifically, the project will operationalise a community monitoring programme with people trained and equipped to monitor ABS agreements, when these are established, and the implementation the regulations to be developed by the project. In addition, standards for developing Biocultural Community Protocols (BCPs) will be agreed upon with local communities based on the guidelines for obtaining PIC and MAT. Finally, this component will develop a centralized ABS permitting procedure that enhances compliance and efficient operationalisation of the ABS Regulations to be developed under the project. This will include an electronic permitting system accessible to all stakeholders will be developed to facilitate ease of interaction between users of GR and/or TK an electronic interface with the CIPA for registering TK.

**Component** 2 will overcome the barriers related to lack of capacity and opportunities to conduct R&D and benefit-sharing in Botswana. This component will allow the development of a national database on GR and TK and the protection of this information that would be made available to all potential providers and users of GR. Field surveys and inventories of biological resources and associated TK will be conducted in consultation with potential providers and users of GR. A National GR Research Development plan will be developed and funded to increase opportunities for bioprospecting and/or commercial application. Capacities will be further enhanced through a training module to advance the national R&D agenda. In addition, research centres and universities that provide institutional knowledge about GR in the country will be better-equipped for bioprospecting and product development.

This component will also allow selecting a species/GR that has not already been subject to R&D elsewhere and for which there are already competitive, commercialized products. It will also support the establishment of partnerships for R&D and the sustainable utilisation of GR and associated TK. The project will identify international partners with interest in supporting R&D working closely with national research partners for the future commercialisation of an ABS product from the prioritised species/GR. To ensure the conservation and sustainable use of the selected priority species, a management plan will be developed through a consultative process involving all relevant stakeholders. In addition, local communities, including women and other vulnerable groups from villages in the panhandle of the Okavango Delta, will be trained to implement ABS initiatives. To support R&D activities for the conservation and sustainable use of the selected priority species, an R&D demonstration project will be developed with women's participation and funding will be secured.

This component will also support the implementation and strengthening of mechanisms for exchanging ABS-related information and knowledge. A national ABS community of practice (CoP)/platform for lesson-sharing, common priority-setting, awareness-raising will be developed and operationalized. In addition, this component will convene a virtual regional ABS dialogue among the Southern African Development Community (SADC) to enhance knowledge-sharing, partnership development, and stakeholder collaboration. Guidelines to protect TK will also be developed to ensure that access takes place with the PIC of the TK holders, and that benefits are shared. Finally, all social and environmental standards (SES)-related assessment and management plans will be implemented in line with UNDP guidelines.

**Component 3** will allow the implementation of the project's Monitoring and Evaluation (M&E) strategy. The project will deliver regular monitoring of its progress and gaps and weaknesses identified will inform adaptive management. This includes but is not limited to the preparation of quality and timely annual PIRs, and full transparent support to the independent Mid Term Review (MTR) and Terminal Evaluation (TE) with all required, core indicators and financial indicators provided.

This report presents the results of stakeholder engagement process undertaken prior to development of the Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana ProDoc. The comprehensive stakeholder analysis and subsequent Stakeholder Engagement Plan

are in line with the UNDP SES requirements.[45] Stakeholders identified in this Project include members of National Biodiversity Authority (NBDA)[46] (government agencies and research institutions), local government authorities, target beneficiary groups, locally affected communities or individuals, community based organizations, civil society actors, including NGOs, indigenous peoples, politicians, religious leaders, the academic community, private sector entities and other special interest groups. Groups or influential individuals opposed to the proposed project are also considered as stakeholders and must be engaged to ensure success of interventions.

**1.2. Gender Analysis Methodology**

The method below was used to analyse the differentiated needs of women, men and local communities and to develop actions that will ensure that all benefit equally from the project and that gender equality and stereotypes are not exacerbated.

1. Desk review of biodiversity, gender and other related environment and local governance policies and programmes, and collection of gender disaggregated enrollment data from the country's three main universities, University of Botswana (UB), Botswana University of Agriculture and Natural Resources (BUAN) and Botswana International University of Science and Technology (BUIST).
2. Key informant interviews with representatives in central government, such as members of the National Biodiversity Authority and the Department of Gender Affairs.
3. Key informant interviews with representatives in local government (chiefs), representatives of CBOs working with women and men and the youth in project locations.
4. Focus group discussions (FDGs) with women (2 women's groups each in both in Shakawe and Seronga), men (1 group of men each in Shakawe, Shaikarawe and Seronga) on their current access to and benefits from the country's natural resources in their communities. Discussions and identification of risks relating to access to natural resources were conducted.
5. Analysis of roles and responsibilities of women and men in the household and community; impacts, risks and access to/control over resources (31 male headed, and 21 female headed household heads were interviewed).
6. Preparation of the Gender Action Plan (GAP) that outlines interventions for women, men and youth and mitigation strategies to address issues that could hamper equitable access to the genetic resources. The GAP activities budget has been integrated within the main project budget.
7. Development of a gender responsive Comprehensive Stakeholder Engagement Plan
8. Integration of gender in the project Framework and the SESP.
9. Integration of gender indicators and targets in the PRODOC's Results Framework.
10. Contribution to the Validation Workshop.
11. Obtaining Director's Endorsement from the Department of Gender Affairs to support implementation and monitoring of the GAP during implementation.
12. Input in a management structure and incorporation of gender related safeguards into the implementation structures and related project arrangements.

Information on women and men's access to, and control over the natural resources in their communities was collected during the stakeholder engagement process that preceded this gender analysis. This Project presents a unique opportunity for the country to implement gender responsive strategies and actions within the biodiversity subsector. The project will also have focus on women's empowerment and will support Government's efforts to improve livelihood opportunities for women, men and youth living in the pan handle of the Okavango Delta.

[45] Guidance Note UNDP Social and Environmental Standards (SES): https://info.undp.org/sites/bpps/SES_Toolkit/SitePages/Guidance%20and%20Templates.aspx

[46] The NBDA was constituted after the country became party to the CBD in 1995 and its members contribute to biodiversity projects when required.

## 2. International and National Gender Context

According to the United Nations Human Development Report[47] 2021 Botswana (medium development level) is ranked number 117 out of 191 countries within the Gender Inequality Index. Gender related human development index for Botswana 0.686 for females and 0.700 for males. Life expectancy at birth for the country was 63.6 years for females and 58.7 years for males – maternal mortality rate per 100,000 live births was 144. Statistics Botswana.[48] The Government statistics agency, conducted various studies between 2015 and 2021, which showed, among others, that poverty in Botswana is most prevalent among female headed households (FHHs) compared to their male counterparts with the proportion of households in poverty at 55% and 45%, respectively.

The advent of Beijing Platform of Action, glaring gender inequality as well as inadequate women's empowerment programmes, compelled the Government of Botswana to support the development of the National Policy on Gender and Development (NPGAD), which was endorsed in 2015. NPGAD calls for the elimination of discrimination in order to achieve gender equality and equity and to ensure that both women and men benefit equally from development programmes implemented by the government. All line Ministries are required to mainstream gender in sector policies and programmes. The Gender Affairs Department, an output of this Policy supports the ministries as much as possible to develop sector specific gender strategies and action plans.

Furthermore, Government promotes gender analysis and gender equality centred planning to inform gender responsive and rights-based policies and programmes. This is indicated through reporting on gender equality achievements and progress in the National Development Plan reviews, and at district planning levels. In the case of biodiversity, the national Community Based Natural Resource Management (CBNRM) Policy offers, to a limited extent, employment for women and men in smaller rural villages.

### 2.1. International Gender Treaties and Gender Inclusion

*The Beijing Platform of Action, 1995:* Botswana ratified the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW) and its Optional Protocol in **1996, and 2007,** respectively. Development of gender equality laws as a result of the Beijing Platform of Action has been a slow process, two and a half decades later. The Department of Gender Affairs report prepared for the Beijing +25 outlines several challenges with regard to achieving gender equality in the country and these include low levels of women in political decision making as well as gender-based violence.

*SADC Protocol on Gender and Development conceived through the SADC Declaration on Gender and Development of 1997:* Botswana signed this Protocol on 10th May 2017. The Protocol recognizes that 'social, cultural and religious practices, attitudes and mindsets continue to militate against attainment of gender equality and equity which are central to democracy and development. The Protocol provides for empowerment of women, elimination of discrimination, achievement of gender equality and equity through development and implementation of gender responsive legislation, policies and programmes.[49]

*The African Charter on Human and Peoples' Rights, on the Rights of Women in Africa (Maputo Protocol).* Botswana has failed to ratify or even sign this Protocol. The Maputo Protocol is considered to be the most progressive human rights Charter on the continent. The Maputo protocol 'enshrines the principle of non-discrimination on the grounds of race, ethnic group, sex, religion, political, etc. and ensure greater participation of women in the planning, management and preservation of the environment and the sustainable use of natural resources at all levels'.[50] Women are seen equal partners with men at all levels of development and implementation of State policies and development programmes. The Protocol therefore endeavours to protect women's human rights.

*Goal 5. Achieve gender equality and empower all women and girls:*[51] This is one of the 17 sustainable development goals (SDGs) developed through the United Nations. SDG 5 targets include ending discrimination all forms of violence, such as trafficking and other types of exploitation, against all women and girls everywhere. The value unpaid care and domestic work are recognized and member states are called on to reduce the burden on women and girls through the provision of public services, infrastructure and social protection policies and the promotion of shared responsibility within the household and the family as nationally appropriate. Women's

[47] Human Development Report, 2021/2022

[48] www.statsbots.org.bw

[49] *SADC Protocol on Gender and Development. 2016.* https://genderlinks.org.za/wp-content/uploads/2016/01/ADOPTED-REVISED-PROTOCOL-ON-GAD.pdf

[50] African Union, July 2003. Protocol to The African Charter on Human and Peoples' Rights on the Rights of Women in Africa. Adopted by the 2nd Ordinary Session of the Assembly of the Union.

[51] https://www.un.org/sustainabledevelopment/gender-equality/

full and effective participation and equal opportunities for leadership at all levels of decision making in political, economic and public, as well as their access to ownership and control over land and other forms of property, financial services, inheritance and natural resources are all seen as critical in bringing about gender equality.

*Enhanced Lima Work Programme on Gender and its Gender Action Plan*[52]*:* It is important to link any work being done on biodiversity to impacts of climate change. Ecosystems have been devastated by climate change and in Botswana persistent droughts have eroded livelihoods that are anchored on biodiversity. The Lima Programme of Work and Action Plan is a five-year UNFCCC plan that comprises five priority areas, including capacity building, gender responsive implementation and M&E. It requires parties when addressing climate change, to ensure that human rights are upheld, including the rights of indigenous peoples, local communities, children, persons with disabilities and the right to development, as well as gender equality and empowerment of women. The *Strengthening the National Framework and Capacity for Implementation of the Nagoya Protocol, in Support of Diversified Local Livelihoods* project, is by nature impacted by climate change due to its focus on biodiversity. The Project will enhance gender equality, and lead to decent work, deployment of gender-responsive technological solutions including strengthening, protecting and preserving local, indigenous and traditional knowledge and practices.

*Convention on Biological Diversity (CBD):* Botswana is Party to the CBD since 10th January 1996 by ratification; and has integrated gender in implementation of the Convention through the National Biodiversity Strategy and Action Plan (NBSAP) 2011-2020. The 2015-2020 CBD Gender Plan of Action includes possible actions for Parties to undertake such as making use of traditional knowledge and customary practice of both women and men.[53]

*Nagoya Protocol:* Botswana is party to the Nagoya Protocol by accession (12th October 2014). The Protocol affirms the need for the full participation of women at all levels of policy-making and implementation of biodiversity conservation measures. Furthermore, the Nagoya Protocol calls on Parties to support the development of, and access to traditional knowledge associated with genetic resources by indigenous and local communities, including women. Measures, community protocols, and minimum requirements for mutually agreed terms that lead to the fair and equitable sharing of benefits within these communities must be put in place. Capacity needs and priorities of indigenous and local communities, including women, and relevant stakeholders, as identified by them in relation to access to genetic resources and traditional knowledge associated with genetic resources should be supported.[54] The Nagoya Protocol recognizes the vital role that women play in access and benefit-sharing of natural resources and encourages countries to ensure equal and fair access and benefit by women and men during implementation of biodiversity programmes.

**2.1. Gender Relations in the National context**

Botswana is a patriarchal society, and this is entrenched in the culture where men are perceived as bread winners and therefore the head of the family in the case of married couples. The country's customary law, an unwritten law, has perpetuated gender stereotypes and discrimination against women and girls. An example of entrenched patriarchal practices male privilege is promoted in not so subtle ways, is the National ID card. Both women and men are required to obtain a national identification card (ID) called *Omang* (who are you) as soon as they reach the age of 16. The identification details include gender and a nine-digit ID number that is unique to each person. Peculiar in the ID number is the fact that every 5th digit is either a 1 or 2, depending on whether the applicant is male or female, with the number 2 reserved for females! This is a sign of male dominance in which men perceive themselves as superior to women, hence allocating themselves postilion 1 with regard to national identity. Notwithstanding the above, Botswana has, to some extent, followed regional and international gender treaties and protocols below in order to reduce gender inequality in the country.

**Legal rights and Status of Women and Men**

Women face stark, intersecting inequalities across many aspects of their lives. They own less wealth, assets and land, and are more likely to experience sexual and gender-based discrimination, harassment and violence - which for many of the world's most vulnerable women is also coupled with the intersecting experience of discrimination based on age, sexual orientation, race, ethnicity, religion or disability. According to Botswana's constitution "every person in Botswana is entitled to the fundamental rights and freedoms of the

[52] United Nations Framework Convention on Climate Change, 2019. Enhanced Lima work programme on gender and its gender action plan. https://unfccc.int/documents/204536

[53] 2015–2020 GENDER PLAN OF ACTION

[54] Nagoya Protocol

individual, that is to say, the right, whatever his or her race, place of origin, political opinions, colour, creed or sex".[55] The Constitution clearly supports the rights of all peoples, without discrimination.

Botswana has a dual legal system which are common and customary laws. Customary law, which applies mainly in the rural areas, is enforced by tribal structures and customary courts. Marriage in Botswana can be governed by both customary law and common law through the Marriage Act. Chiefs and Headmen of record are the ex officio district registrars of customary marriages in their respective areas of jurisdiction.[56] Common law means any law, whether written or unwritten, in force in Botswana, other than customary law.

At the turn of the century in order to remove many discriminatory laws and practices and to promote and protect women's rights, the following legislative reforms were enacted:

| Year | Act | Details |
|---|---|---|
| 2004 | Abolition of Marital Power.<br>This Act repealed common law practices of patriarchal marital power and gave men and women equal rights within marriage and guardianship over their children.<br>Abolition of Marital Power Act ensured that all relevant laws were aligned to the Commission on the Elimination of Discrimination Against Women (CEDAW) principles | • Abolished the common law principle of marital power<br>• Act does not apply to customary or religious marriages and women married under customary law are considered legal minors, and require the permission of their spouse for household decisions, and access to finance.[57] |
| 2007 | Adoption of the Abolition of Marital Power Act | • Abolished the common law principle of marital power, according to which the husband was the sole administrator of the family estate, and replaced it with the principle of equality of the spouses with respect to the joint matrimonial assets.[58]<br>• Prior, the husband was the sole administrator of the family estate, and replaced it with the principle of equality of the spouses with respect to the joint matrimonial assets. However, customary and religious marriages are unaffected by these reforms. The Act also abolished the common law principle of unity of matrimonial residence and allows women to choose their place of residence.[59]<br>• Women enjoy the same rights to be head of the household and make major familial or economic decisions. |
| 2008 | Miscellaneous Amendments Act | • Ensured that all relevant laws were aligned to the Commission on the Elimination of Discrimination Against Women (CEDAW) principles, following the adoption of the Abolition of Marital Power Act (2004).[60] |
| 1972 | Administration of Estate Act | • Allows the customary laws of a tribe to govern inheritance of an estate.<br>• Favours men by design, at the expense of women. Within some tribes if the wife dies and the husband remains alive, the estate is not shared because it is assumed that the |

[55] Government of Botswana, "Constitution of Botswana"
[56] Marriage Act
[57] SIGI
[58] https://pdf4pro.com/cdn/botswana-africa-for-women-s-rights-43de0a.pdf
[59] ibid *cdn*
[60] Prof. Gobopamang Letamo, PhD, Gender Analysis Study on the Ngamiland Sustainable Land Management Project

| Year | Act | Details |
|---|---|---|
| | | head of the family is alive and will decide on how the inheritance will be shared.[61] |
| 2008 | Domestic Violence Act adopted in 2008 | • Criminalizes many acts of gender-based violence and provides some protection to the victims.[62]<br>• Although the Domestic Violence Act 2008 criminalized many forms of violence against women, under customary law and common rural practices men are perceived to have the right to "chastise" their wives.[63] |
| 2015 | Government of Botswana. National Strategy Towards Ending Gender Based Violence in Botswana 2016-2020 | • A multi-pronged and multisectoral approach to the prevention and elimination of gender-based violence. This strategy recognizes men as critical partners in the promotion of gender equality.<br>• The Men's Sector established as a result of this Strategy, under the Ministry responsible for gender. Men's Sector Unit moved from Department of Gender Affairs to the Ministry of Health. |

Customary law remains deeply discriminatory against women, in particular in the areas of family and property law. For example: Marriage: While the Marriage Act was amended in 2001 to specify 18 years as the minimum age for marriage for both sexes with parental consent, many marriages take place under customary law according to which there is no such limit. The principle of marital power continues to apply to marriages under customary and religious law.[64]

*The Rural Development Policy 2012*

The Rural Development Policy provides guidance on special groups such as women. The Policy acknowledges that majority of the population are women and must be targeted on the basis of their special needs.

*National Biodiversity Strategy and Action Plan*

Botswana's rich ecosystem and high biodiversity has been a main source of livelihood for which local communities are largely dependent on. Botswana has two main objectives with respect to the protection of traditional knowledge (TK), namely, the establishment of a TK policy and the development of a national policy framework on TK particularly with regards to traditional medicinal research and use. These objectives are outlined in the Community Based Natural Resource Management Plan (CBNRM), which also outlines its strategy to ensure the equitable sharing of benefits with the participation of local communities.[65]

*The National Biodiversity Strategy and Action Plan 2016, Goal 4: Fair and equitable access to the benefits of biodiversity is secured* includes gender strategic Actions within Target 14: By 2025, ecosystem services are identified and restored or maintained in all Botswana's ecoregions, and contribute to livelihood improvement through strategies that enable equitable access by all vulnerable groups, including women, the poor and local communities. Target 16: Also expected by the same year, will see domestication of the Nagoya Protocol, accompanied by implementation of actions that will ensure fair and equitable access and benefit sharing or biological

[61] Ibid Prof. Letamo
[62] https://pdf4pro.com/cdn/botswana-africa-for-women-s-rights-43de0a.pdf
[63] https://pdf4pro.com/cdn/botswana-africa-for-women-s-rights-43de0a.pdf
[64] https://pdf4pro.com/cdn/botswana-africa-for-women-s-rights-43de0a.pd

[65] Assessment of The Existing National Legal Frameworks and National Gap Analyses for The Implementation if The Nagoya Protocol in Botswana, Susanna Chung

resources.[66] National Biodiversity Strategy and Action Plan recognises women as one of the marginalised groups who need to be empowered through biodiversity programmes.

*The Rural Development Policy 2012*

The Rural Development Policy provides guidance on special groups such as women. The Policy acknowledges that majority of the population are women and must be targeted on the basis of their special needs.

*Community Based Natural Resource Management (CBNRM)*

CBNRM is a national policy that confers management and user rights of natural resources to local communities. While the potential for beneficiation is immense, the policy has not gained enough momentum in the non-wildlife sectors that deal with natural resources. The benefits of the CBNRM Policy have thus been evident only in wildlife-rich parts of Botswana such as Okavango and Chobe. Periodic reviews of the implementation of CBNRM commissioned by the National CBNRM Forum have frequently pointed to gender biases in the running of Community-Based Organised established for the purpose of managing and utilising locally occurring natural resources. CBNRM is implemented through community-based organisations (CBOs) and most high-revenue CBOs are found in Ngamiland and Chobe. They are located close to protected areas with good opportunities for ecotourism.[67] The CBNRM is one of the modalities though which the National Biodiversity Strategy and Action Plan is implemented.

*Access and Benefit Sharing of Biological Diversity Bill, 2022*

Adopted on August 2022, the Bill aligns the Access and Benefit Sharing Act with the Nagoya Protocol's Convention on Biological Diversity which focusses on fair, equitable access and sharing of benefits. The Bill makes MATs between providers of knowledge and users, as well as permits issued under the Act mandatory. This Bill, though very stringent on projection of 'knowledge holders', is silent on gender, or women's empowerment. This despite the fact that the Nagoya Protocol recognizes "the vital role that women play in access and benefit-sharing and affirming the need for the full participation of women at all levels of policy-making and implementation for biodiversity conservation."

*National Policy on Gender and Development*

In order to address unequal participation and benefit between women and men in many facets of development and economy, the Government of Botswana put in place several measures to empower women. In 2015, the Botswana Government endorsed the National Policy on Gender and Development (NPGAD).[68] An enabling environment, adoption of affirmative measures and capacity building on the integration of gender in all sectors of sustainable development are highly encouraged. An institutional arrangement, within the Department of Gender Affairs, established through NPGAD, comprises district gender committees, as well as civil society, for the policy coordination and management of gender responsive programmes. There is gender office for Ngamiland West District in Gumare and the Department of Gender Affairs has committed to support the proposed project through its gender officer based in this office.

The Department of Gender Affairs offers gender training and gender sensitization to Government agencies. The department oversees implementation of the National Gender and Development Policy. The main challenge with regard to implementation of the Policy is that the agencies are not proactive or do not make requests to Department of Gender Affairs to be given gender training. This means, to date, uptake of gender mainstreaming capacity building by Government departments remains very low. It is important to note that some staff at DEA received gender training in 2014.

Success stories for the Department of Gender's work on gender mainstreaming are Ministries of Agriculture and Food Production, Education and Skills Development, and Health (who also cover issues of GBV). These ministries are advanced in terms of mainstreaming gender in their strategies and activities. The Police is another agency that has been successful in addressing gender-based violence (GBV), for instance by establishing a referral system as well as opening GBV courts. A standard operating procedure for dealing with

[66] National Biodiversity Strategy and Action Plan 2016. www.cbd.int/doc/world/bw/bw-nbsap-v3-en.pdf
[67] USAID and Centre for Applied Research, "2016 Review of Community Based Natural Resources Management in Botswana" Report Prepared for SAREP.
[68] Republic of Botswana, National Policy on Gender and Development 2015, Department of Gender Affairs

GBV has been developed and is in use. Women Against Rape in Maun is another successful, very active NGO contributing to capacity building and mitigation of GBV in the region. Statistics Botswana has of late been producing data that is disaggregated by gender.

The Department of Gender Affairs has, for more than two decades implemented the Women's Economic Empowerment (WEE) programme, through which annual fairs that promoted women's small businesses were held. WEE has been revied and has been handed over to Ministry of Entrepreneurship for consolidation. The programme has been replaced with a new programme, the *Women in Enterprise Development Programme* that supports women entrepreneurs in the country. Women in the Okavango region have benefitted from this programme. The Department of Gender Affairs can provide training for members of the Implementation Committee on Access and Benefit Sharing, i.e. those who will coordinate project implementation of the proposed ABS project, upon request from the project management unit.

*Gender within the National Biodiversity Authority agencies*

Below are findings from discussions on gender mainstreaming during key informant interviews with members of the NDBA involved in the project proposal development.

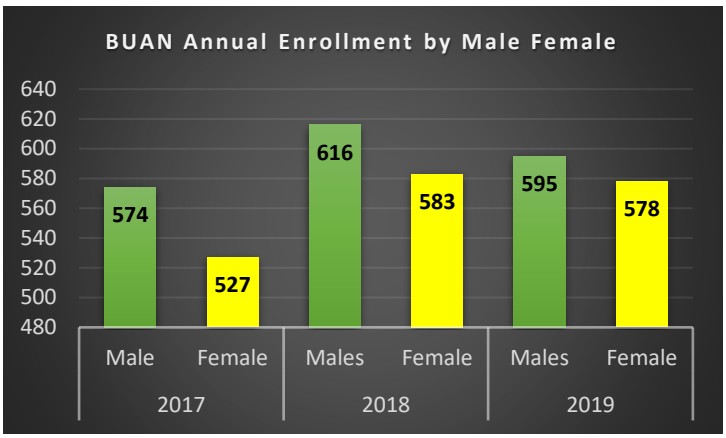
| **Agency** | **Gender Mainstreaming** |
|---|---|
| The Department of Gender Affairs: | • DEA offers gender training and gender sensitization but Government agencies are not proactive or make requests to Department of Gender Affairs to be given gender training. Some staff at DEA received gender training in 2014. The Department of Gender Affairs can provide training for members of the NBDA (those who will coordinate project implementation) upon request from the project unit. The Deputy Director expressed a need for technical assistance – i.e. gender training for the many new staff currently employed |
| Department of Environmental Affairs (DEA) | • DEA has no gender policy, nor any specific gender actions except, the Human Resource Manager has been invited to join the gender Committee at MENT.<br>• Notwithstanding, DEA is said to have more women than men in management positions. The women professionals are as seen as more empowered by their male colleagues.<br>• CBD gender action plan could be domesticated as a result of the ABS project |
| Department of Rural Development, Ministry of Local Government | • No gender focal point or unit.<br>• But projects undertaken within Rural Development Council support and target women as much as possible. An example is the Zutshwa salt plant in which arrangements were made for women to participate in less labour intensive activities in the salt production. Also the Board of the Zutshwa plant has women members.<br>• Lower structures of RDC are required to disaggregate by gender. RDC follows up to ensure this is reported. The idea is to disaggregate by gender while paying special attention to numbers of women and men employed in rural communities. This is just information and nothing is done to address gender gaps that may emerge.<br>• |
| Department of Biology, Faculty of Science. University of Botswana (Chairs NBDA) | • There is no deliberate gender mainstreaming in the Department of Biology research projects / operations.<br>• The Department of Biology mainly deals with the ecology for instance, and not necessarily with people.<br>• *Women in Science* project (was implemented at the Faculty level), led by women scientists, who travelled to schools around and participated in careers fairs to motivate female students to enroll for science subjects. |

| Agency | Gender Mainstreaming |
|---|---|
| Department of Research Science and Technology (DRST). | • No gender focal point or unit.<br>• But DRST participates in regional gender initiatives, e.g. contributed to the *Women in Science Engineering and Technology Charter* developed by the Southern African Development Community (SADC),<br>• DRST has started consultations to raise awareness on the Charter in the country, and will later work to develop the National Chapter for this Charter. NB. Botswana has not yet signed the SADC Charter. |
| Department of Wildlife and National Parks (DWNP) | • No gender mainstreaming. |
| CIPA | • No gender mainstreaming.<br>• But mainstream issues of youth, as guided by the parent Ministry of Trade and Industry. |
| CESRIKI, | • Work directly with women and men in communities to help them save-guard their indigenous knowledge (IK)<br>• Disaggregate by gender in surveys but does not go beyond the numbers. |
| Department of Forestry | • No gender mainstreaming.<br>• But consult both women and men in communities. |
| Department of Agricultural Research (DAR) | • No gender mainstreaming.<br>• One PhD holder (female), and 2 masters (both male) researchers conducting biotechnology and biosafety research<br>• No policy or strategy and training is not based on gender, the organization does not disaggregate by gender |
| University of Botswana | • Established the Gender Policy and Programme Committee in 1992. Disaggregates student enrollment data by gender. |
| Okavango Research Centre (ORI) | • ORI is a faculty/institute within UB and is governed by UB policies and strategies.<br>• ORI researchers have received training on gender as part of their long-time academic training and are incorporating gender issues in projects. 50% of the academic staff are social scientists and have learned about the importance of considering gender issues in their projects.<br>• Number of staff in the institute disaggregated by gender<br>• Research projects undertaken for benefit of communities also disaggregate by gender |
| Botswana Unified Revenue Service | • BURS does not have a gender policy, however they are currently working towards domesticating the World Customs Organisation- East and Southern Africa (WCO-ESA) Gender policy and framework<br>• No staff has been trained on gender, but, as a member of the Southern African Customs Union (SACU) and WCO, BURS participates in the Gender Forums and on development of Gender Policies and Plans at both regional level and international level.<br>• Keep disaggregated data on the number of women and men in the organisation, not on beneficiaries of the organization's programmes and projects |

**Biodiversity Gender Disaggregated Enrolment in Related Universities**

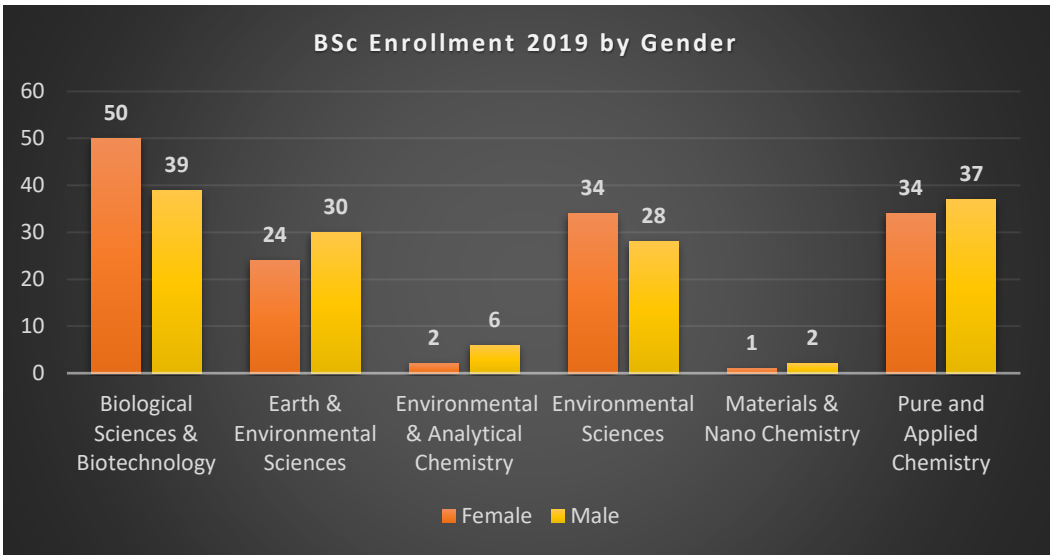
University enrolment, and graduate rates for the 3 main universities offering biodiversity related courses for years 2018 and 2019 are indicated in the figures below.

Botswana University of Agriculture and Natural Resources (BUAN)




Observation made by BUAN's Department of Academic & Student Services is that Bachelor of Science in Agricultural Economics (BScAE) and Food Science and Technology (BScSFT) are popular among females while BSCs in Soil and Water Conservation Engineering (BSCSWE), and Agricultural Mechanization (BScAGM) are popular among males. Furthermore females seem to prefer PhD in Crop Science and males preferred PhD in Animal Science.

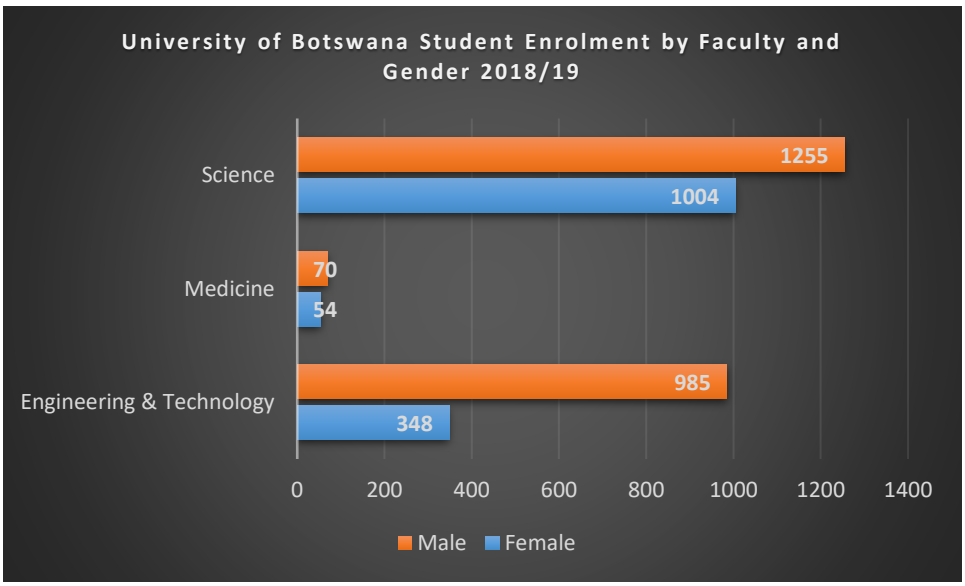
Botswana International University of Science and Technology (BUIST)




*Source: Data obtained from BUIST*

The graph above shows more female than male undergraduates in Biological, biotechnology and environmental subjects.

*Proportions (by Faculty) of male and female students University of Botswana (UB)*




*[Source: Data obtained from UB Annual Report 2019/18)]*

This graph shows more male students than females in Science and Medicine. The largest difference can be seen in the Faculty of Engineering and Technology where male students outnumber female students by almost 3 to 1.

The table below shows current disaggregated staff and student numbers at the Okavango Research Centre (ORI), which is a research centre, attached to UB, but based in Ngamiland District.

| | ACADEMIC STAFF (22) | | STUDENTS (26 students) | | |
|---|---|---|---|---|---|
| Programmes | Male | Female | Male | Female | Total |
| Ecosystem Dynamics | 5 | 1 | 9 | 8 | 23 |
| Ecosystem Services | 3 | 1 | 2 | 1 | 7 |
| Sustainable Tourism | 2 | 1 | 3 | 1 | 7 |
| Climate Change | 2 | 1 | 1 | 1 | 5 |
| Water Resources management | 3 | 3 | 0 | 0 | 6 |
| TOTAL | 15 | 7 | 15 | 11 | 48 |

Source: ORI

N.B. ORI used to have 40 students, but the numbers have dwindled due to limited scholarships, and the challenges associated with undertaking and MPhil as opposed to classroom based MS or MA.

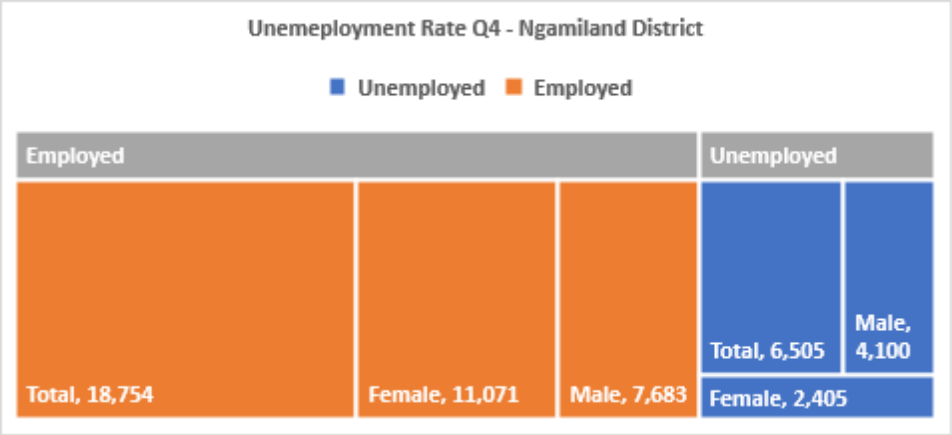
**2.2. Poverty and Unemployment in Ngamiland West**

Poverty in the country has strong regional, rural-urban and gender dimensions. Only Ngamiland West is one of the only two districts in the country that have more than 10% of their population living in severe multidimensional poverty.[69] Women dominate the informal economy, and they form the majority of informal market players, that are vending and hawking among other forms. The gender dynamics of forestry in Botswana are not clear but women of the Basarwa ethnic group dominate veldt product gathering include that of wild fruits.[70] Many women in Ngamiland West, and in all rural areas of Botswana, survive through income generated from working in the national labour intensive programme called *Ipelegeng* where they are paid a salary of BWP567 which is equivalent to ~USD 56. This meagre amount is mainly spent on groceries for the family, and school fees.

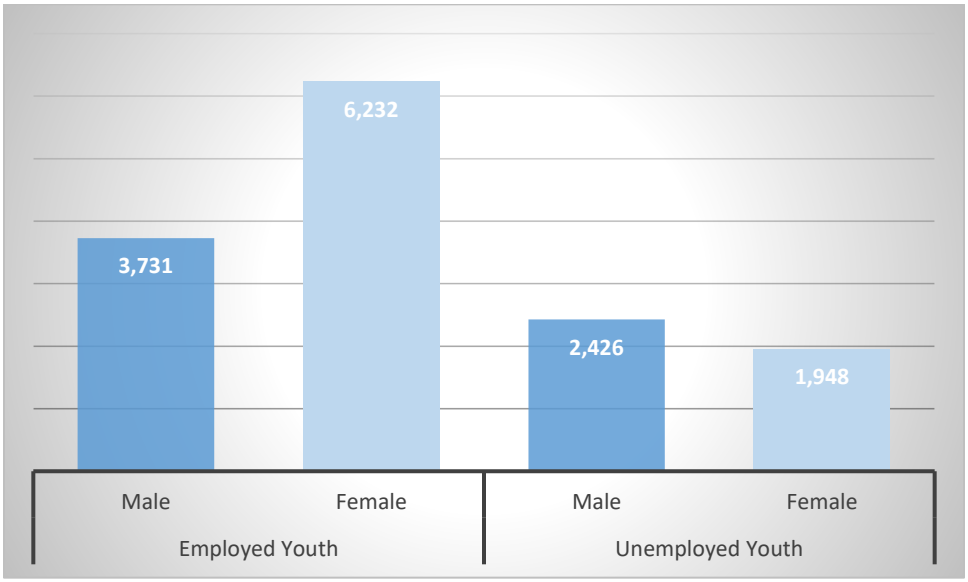
[69] Statistics Botswana. Pilot National Multi Dimensional Poverty Index Report 2021

[70] FAO and Government of Botswana, 2018. "Country Gender Assessment Series National Gender Profile of Agriculture and Rural Livelihoods BOTSWANA" http://www.fao.org/3/i8704en/I8704EN.pdf

The following figures show gender disaggregated rates of employment and unemployment in the Ngamiland West District.




The graph below shows the figures and rate of unemployment for Ngamiland West youth, disaggregated by gender.




*Data Source: Statistics Botswana website*

N.B. Larger numbers of employed females could be attributed to higher numbers of females being employed in Ipelegeng compared to males.

A study undertaken by UNICEF and the Government of Botswana showed that overall, the *Ipelegeng*-dependent households are headed by more females than males (80:20).[71] This high ratio 'may suggest that *Ipelegeng* is a good safety net for vulnerable female headed households'. Elderly women and men receive the Government Pension (approximately USD 50), which is also used as a safety net to cover food and toiletries. Needless to say, many women in the project villages work in Ipelegeng, including young and elderly women.The informal sector in the three villages is based to a large part on the natural resources (plants) present in the communities. In the project villages, women generate income through Ipelegeng, street food and clothes sales, **collecting reeds, grass, wild berries and fruits to sell**, selling baskets as well as farm produce. Men are mainly involved in **fishing and farming.** Associated traditional knowledge is utilized by both women and men when dealing with e.g. wild fruits and fishing. There is no means of generating income

[71] Republic of Botswana and UNICEF "Final Report for The Review of Ipelegeng Programme", June 2012

in Shaikarawe, except through Ipelegeng. However, some men are employed temporarily as security guards. Both the women and men apply traditional knowledge in the project locations to get the most out of the natural resources they utilise.

An example of a *mainly* women's group working with natural or genetic resources in harvesting and processing products their area to improve livelihoods is the *Matute-a-Mongongo* Group based in Shakawe. The women utilise the mongongo tree and produce oil from mongongo (*Schinziophyton rautanenii*) nuts. The group has a total of 12 members, 4 men and 8 women, including 3 youths (2 female and 1 male). The Chair of the group is female, while the Vice Chair is female youth and Secretary is male youth. Products produced from the *Matute-a-Mongongo* are cooking oil, animal feed, soap, butter and juice. The by-product, pulp is used as chicken feed and is said to make chickens to produce eggs regularly. The group has acquired machinery that enables efficient production and processing of mongongo oil. Financial assistance has been received from the Department of Gender Affairs and UN. The group acquired land for the business, built a structure, and connected water and electricity. The men in the group assist the women with heavy tasks, while the youth keep the Cooperative's agenda up-to-date and in-line with current trends. Challenges and constraints the group faces are:

- Struggling to source additional funding to do the finishing touches start operating.
- Some members drop out, as there is currently no money for monthly salaries. Most volunteer as they are just starting out.
- Lack of reliable transportation to penetrate the bush and gather mongongo or even to transport the harvested fruit to the workshop. Lack of skills in operating the machinery and equipment and as a result have not started operating – currently not harvesting mongongo until they are fully operational.

**3. Division of Labour – Who does What?**

The division of labour and access to resources in male, female and single headed-households are critical in identifying the barriers that may be preventing women, in particular from benefiting fully from genetic resources. Although the Abolition of the Marital Power Act (2004) annulled common law practices of patriarchal marital power and gave men and women equal rights within marriage and guardianship over their children, this has not trickled down to rural households where women and girls do more work. Abolition of marital power remains an ineffectively enforced law in relation to division of labour in rural households. There is nothing that compels men to assist their wives or partners with household chores, and no incentives for the men to perform additional child rearing duties, especially in rural areas

The more time women have to spend undertaking care, the less time they have available to engage in paid labour, and therefore acquire their own economic resources and financial independence; the drudgery and time-intensity of domestic and care work can have significant negative impacts on the physical, mental health and general wellbeing of women. [72] Division of labour in Botswana's households is skewed towards women. The differentiated gender roles in homes mean that women spend more time on unpaid domestic care work such taking care of children, family members, the elderly and the home. Many women residing in Botswana 's rural areas undertake daily/weekly chores that include water, fuelwood collection, taking care of the elderly and children, etc.

A typical day for women in the three project villages is from 5am – 10pm and consists of making fire in the morning and getting children ready for school, preparing breakfast, fetching water or fuelwood and preparing for work. Additional chores are preparing other meals, pounding, taking care of homes and elderly, maintenance of the mud- houses, group meetings, attending practice sessions, weaving baskets for sale and collecting natural resources such as palm leaves, harvesting wild fruit and collecting thatching grass. Collecting thatching grass is time consuming and they have to walk long distances to the river. For those who still plough, working in their fields is another task they perform to feed their families.

Men's weekdays include making fire, fishing (checking on the fishing nets in the river, cleaning the fish and getting it for the market and taking the catch to the market house), preparing meals for some, visiting relatives and friends, doing laundry and relaxing at home, collecting firewood, collecting natural resources and looking after livestock. Examples of division of labour among women and men are:

- The Matute-a-Mongongo group which was once a women-only group, but came to a realization that the needed assistance with heavy and risky tasks such as car maintenance traveling to the forest to harvest mongongo wild fruit. The men in the group provide security for the women by accompanying them to the bush to collect the mongongo.

[72] World Bank Group, 2015. Financing gender inequality: why public-private partnerships leave women worse off. Policy Brief 2019

- Dancing groups in Seronga have included men to assist with beating / playing the drums.

N.B. The women choose tasks in the businesses that they can handle carry out, successfully, without fail. Division of labour between women and men in the project areas indicate that women have more tasks to undertake in the home, in particular.

**4. Access to and Control Over Resources**

Botswana has three types of land tenure namely tribal, freehold and state land. Any person over the age of 18 years can apply for state land or tribal land, depending on their choice, required to pay only a nominal fee for administrative costs. Freehold land is however available on a willing-buyer-willing-seller at market prices. A gender study conducted by FAO found that one of the major problems in tenure rights and inheritance laws in Botswana was that women appeared to be unequally treated under the law. Under customary law, the homestead and land around it could be inherited only by the son. The majority of the land-holding contracts in Botswana are under the name of the male in the house (either the husband or older son).[73] Other constraining factors to women owning land in Botswana are said to be: age those under 21 years have to obtain the consent of their parents in all property transactions; women who marry become minors unless they explicitly marry out of community; and most women lack the assets, capital or labour to use the land productively. Women married in community of property are permitted to own immovable property in their own names, however, their husbands still retain considerable control over jointly held assets of the marriage.[74] A complaint from women in one of the proposed project villages: 'There are people here who argue that they have territories around the Delta so they don't allow us to cut grass or collect any natural resource in their territories'. This issue if left unaddressed, would impede women from benefitting from the project as intended.

In relation to communication tools, most women and men in in the Shakawe and Seronga have access to mobile phones, radios and some TV. However, Shaikarawe has no network and Internet connections despite its proximity to Shakawe.

**4.1. Constraints in Accessing Natural / Genetic Resources**

Equitable access to the natural resources (those with potential for GR such as mongongo wild fruit, roots of some trees with dye compounds) for women and men, has been addressed in the GAP in the next sections. During the consultations, constraints / challenges, impact of climate change and risks and mitigation pertaining to women and men's access to the natural resources were established as outlined below.

**Human and Wildlife Conflict:** Both women and men mentioned human and wildlife conflict as the main constraint to accessing the natural resources, especially those found in the Okavango River (hippos and crocodiles) and in the forest elephants, lions. Wild animals in the river and the bush such crocodiles, buffaloes, hippos and snakes have become a barrier between the women, men and the resources. Elephants in particular- roam all over in search of water and this limits people's movement.

**Distance:** The women carry thatching grass on their heads, which can give them headaches. They are not able to carry large quantities due to heavy loads and the distance they have to travel. This is much more difficult for older women. Some natural resources are only found outside the villages, and travelling there by foot exposes them to harm by wild animals. Since most of these resources are deep in the forests, one can travel the distance only to find everything has been taken.

**Lack of equipment and transport:** Need to cross to the other side of the river to collect thatching grass – where they used to cross by foot is now covered by water. Transportation is required by some groups to collect e.g. mongongo in large quantities. Struggle to transport harvested fruits and reeds hence harvesting inadequate quantities for their business. There is preference for fibre glass canoes and not the traditional canoes as these are easily destroyed by hippos and easy to sink during a hippo attack.

**Licenses or registrations:** lack of money to travel to offices to collect the harvesting licenses. Harvesting without licences or registrations comes with fines or imprisonment.

**Over regulation and harvesting seasons.** Over regulation on harvesting, and harvesting and strict permit requirements

[73] FAO and Government of Botswana, 2018. "Country Gender Assessment Series National Gender Profile of Agriculture and Rural Livelihoods BOTSWANA" http://www.fao.org/3/i8704en/I8704EN.pdf

[74] Food and Agriculture Organization (FAO) http://www.fao.org/gender-landrights-database/country-profiles/countries-list/land-tenure-and-related-institutions/en/?country_iso3=BWA, Copyright FAO 2019

**Cultural taboos:** these affect both genders, for instance, pregnant women not allowed to go harvesting. When one has just lost a partner/wife they cannot access some species. After a bereavement one cannot get into the river to fish or collect or harvest natural resources.

**Fear of being killed for rituals** while harvesting natural resources: Both women and men fear for their lives. There are claims that people have been killed and their body parts used in rituals. The killers are said to target those in the wild gathering or harvesting natural resources.

WOMEN

**Seasonality of some natural resources:** collecting and storing bulk harvest is not easy as these natural resources products cannot be preserved for future use.

MEN

**Time:** Harvesting is time consuming

**Possible theft of indigenous knowledge** (Shaikarawe): Some members of the community feel that their indigenous knowledge plants do not benefit the – resources are hoarded by outsiders from other regions who collect/harvest before the time is right. Since they are not protected, some of these resources are no longer available due to inconsiderate harvesting methods.

**Lack of insurance:** Do not have insurance or security, when something bad happens they suffer the consequences alone.

**5. Who Decides?**

In 2008, there were only 7 women in the 61 seat National Assembly, 4 women in the 24 member cabinet and 4 women in the 35 seat House of Chiefs (an advisory upper chamber to the National Assembly). There were 3 female judges in the 13 seats High Court. In the October 2009 elections, of a total of 117 candidates, only 10 were women and only two were elected to parliament.[75] In 2012, women in Botswana accounted for just under a third (30.6%) of all decision-making positions within the four political parties. Of the 23 cabinet posts, 4 (17.4%) were held by women while there were also 4 women members of parliament out of 61 (6.5%)[76]. In 2018, the country had only 9.5% share of seats held by women in Parliament[77]. The current National Assembly, formed following elections held on 23 October 2019, has a total of 65 members.[78] Out of 65 MPs, only 11% women members of Parliament; 2 women MPs were elected during the October 2019 elections, the other 9 are specially elected during a process that takes place after the elections have been concluded. The 2019 Cabinet 6 female and 23 male members[79]. This means that only a quarter of members of the Cabinet are women. This low level of women representatives in the legislature remains the same as fewer women than men won parliamentary seats during the October 2019 elections. The above highly unequal number between women and men, likely leads to inadequate representation of women's issues within the legislature, and also means that the few women present have to fight very hard to make their voices heard.

**5.1. The Local Government System**

Botswana has a two-tier system of government; the national government, i.e. Cabinet led by the president. The City, town and district councils are the second tier. The councils are headed by a mayor in urban areas and a council chairperson in rural districts. Each district administration is headed by a district commissioner appointed by the permanent secretary to the president. Local authorities, headed by council secretaries/town clerks, and heads of departments for national government provide effective communication links between communities and national government[80] However, District Commissioners usually have little control of the district

[75] https://pdf4pro.com/cdn/botswana-africa-for-women-s-rights-43de0a.pdf
[76] Republic of Botswana, 2013, "National Survey to Establish a Baseline on Gender in Botswana", Gender Affairs Department, Ministry of Labour and Home Affairs and UNDP.
[77] UNDP, ''Human Development Report'', http://hdr.undp.org/sites/default/files/hdr2019.pdf
[78] https://en.wikipedia.org/wiki/National_Assembly_(Botswana)#Current_composition
[79] Government of Botswana, http://www.dailynews.gov.bw/news-details.php?nid=52733, November 2019
[80] http://www.clgf.org.uk/default/assets/File/Country_profiles/Botswana.pdf

programmes and even budgets. These are controlled by Directors of Departments from central Government. The main legislation used is the Local Government Act 2012.

Tribal administration, which falls within District Councils, is made of the judicial, led by the chief *(kgosi*), and administrative, led by the tribal secretary supports rural development initiatives, especially at the community level. Tribal administration works with the councils. Each village is headed by a chief, or *kgosi*, who is an ex-officio member of the district council in their area of jurisdiction. The tribal administration system is supported by a traditional arbitration forum known as the Customary Court of Appeal, and by the *Ntlo ya Dikgosi (House of Chiefs)*, which advises government on social matters. The House acts as a purely advisory body to the Parliament and has no legislative nor veto power. Over 80% of chiefs in Botswana are male.

**The Kgotla**

Kgotla is an open meeting place or place of gathering to discuss matters that affect all members of a tribe or community with the chief presiding. In fact, proceedings are not in effect until the chief is present. It represents an established feature from traditional practice to enhance modern governance in Botswana in support of the parliament. The highest authority in a Kgotla is the chief or headman.[81] All chiefs have their offices within a kgotla. All development projects must be presented at a kgotla meeting to create awareness, obtain buy in and gain consensus before implementation can begin.

The Kgotla is the first line of contact between government officials and communities for the purpose of introducing projects and programmes. This public system may not be suitable for everyone, especially shy women and men, and disadvantaged groups who are at times unable to ask any questions due to lack of confidence or low self-esteem. They are not able to meaningfully participate in kgotla meeting discussions. There is also a language barrier, e.g. some Sesarwa and Sembukushu speakers cannot speak Setswana fluently are therefore unable to freely express their views or ask questions. As a result are concerned that their views, suggestions at times fall by the wayside.

**Village Development Committees (VDCs)**

Village Development Committees (VDCs) at ward and village levels are established through the Local Government Act. VDCs coordinate development at the local level in line with Botswana's bottom-up planning principle i.e. developments are to be discussed with communities before implementation. Chiefs play a critical role in mobilising communities for consultation on all government policies and programmes at the local level.[82] Members of the VDCs are voted into the committee by the community. The maximum number of members of the committee is ten. There does not seem to be bias towards any gender and both women and men participate in the VDCs more or less in equal numbers. The ability of women to influence decisions in VDCs is varied and depends on the set up. The Chair of a VDC usually chairs *kgotla* meetings, regardless of their gender and moderate the question and answer session. VDCs with women chairs are an indication that women have more decision-making power in a particular community/VDC. Shakawe has two VDCs; VDC North with 3 men and 6 women and VDC South with 6 women 4 men while Seronga has 10 members (8 women and 2 men).

VDCs are highly regarded in the villages and come second to the chief in terms of community level decision making. Chiefs are ex-officio members of the VDCs. Although this is a good thing, matters that are decided at the *kgotla*, and mostly by men, are likely to take precedence over those agreed in VDCs. The patriarchal nature of Botswana's society is more evident in rural areas. Decision making at the village level is led by the chief (often a male) which means decisions made at the *kgotla* are likely to favour men/males more than women.

**5.2. Community Based Natural Resource Management**

Many community-based organisations (CBOs), which manage and coordinate CBNRM processes have Boards that meet, with an average board size of 9. The gender balance of the Boards is almost even (F:M = 47:53) and compared to earlier reviews, female board membership has increased. The age distribution of board members is fairly even. However, youth (below 30 years of age) are

[81] https://www.knowbotswana.com/botswana-parliament-and-kgotla.html
[82] http://www.clgf.org.uk/default/assets/File/Country_profiles/Botswana.pdf

increasingly underrepresented. This trend that was observed in earlier reviews, may be due to the youth having more attractive income-generating options. For long-term sustainability CBOs need to attract more youth[83].

**Community Based Organizations (CBOs)**

Community Based Organizations, implement CBNRM strategies and actions with support from Government and local authority. Livestock, crops and social welfare are the most important livelihood sources in CBO villages, followed by in formal and formal employment. CBO benefits are at best a secondary source of livelihood. Poverty in CBO villages is well above the national average and that of rural villages. Therefore, livelihood enhancement and poverty reduction are important components of CBNRM[84]

**5.3. Impact of Climate Change on Biodiversity Livelihoods**

A major impact of climate change on biodiversity is the increase in the intensity and frequency of fires, storms or periods of drought. There are signs that rising temperatures are affecting biodiversity, while changing rainfall patterns, extreme weather events, etc are putting pressure on species already threatened by other human activities. .[85] The negative impacts of climate change on the natural resources that women, men and vulnerable communities have experienced are outline below. Drought, invasion of wild, dangerous animals looking for water, extreme levels of heat, veld fires are some of the examples that pose risk to the livelihoods of the Pan Handle communities.

Impact on WOMEN

*Heavy Rains and Floods*

1. Heavy rains lead to the river flowing and flooding early before harvesting season, which means no thatching grass for use in their business.
2. Wild fruit decays and lose value due to too much water and moisture

*Drought and High temperatures*

1. If there is drought, the river has little water, which leads to shortage of the thatching grass, and real fan palm tree dries up and it cannot be used for weaving when dry.
2. Heat from the sun change color and original taste of the wild fruit.
3. High temperatures dries up real the fan palm trees used for weaving baskets.
4. High temperatures burns everything and can cause veld fires.
5. Lack of rain means the river will not flood and if there is not enough water, animals and plants will die.
6. Reduced rainfall affects tourism as the Delta is not as attractive and tourists will find other places to visit, impacting negatively on their ability of earn income from their natural resources products.
7. Some trees and wild fruit have disappeared, possibly destroyed by the hot temperatures.
8. Climate change has led to low yields, and few plants coming up due to high temperatures, and low rainfalls.
9. Inadequate rainfall leads to loss of cultural food in delta, like wild fruits.
10. Harvesting in hot temperatures is detrimental to human health
11. Reduced yields during ploughing season. Some no longer plough due to high temperatures, delayed or inadequate rainfall.

Impact on -MEN

*Drought and High temperatures*

[83] USAID and Centre for Applied Research, "2016 Review of Community Based Natural Resources Management in Botswana" Report Prepared for SAREP

[84] https://www.car.org.bw/wp-content/uploads/2016/05/Botswana-CBNRM-2016-Review.pdf

[85] https://royalsociety.org/topics-policy/projects/biodiversity/climate-change-and-biodiversity

1. Some resources no longer found in areas they were once in abundance
2. There has been a gradual decline in harvest, fewer plants are coming up, and some seem to be disappearing. Some of the resources have become extinct, some are difficult to find. Other plants grow late in the season.
3. Reduce yields of natural resources due to less rainfall, increased temperatures. Water levels drop in a way never experienced in the past,
4. Loss of both flora (some indigenous trees have dried up) and fauna
5. Fish die when it is too hot, or hide deep under water.
6. Depletion of the resources, some are slowly becoming scarce while others have also lost value.
7. Reduced productivity from natural resources – low flood water levels in the river affects these resources.

*Risks in Accessing Natural Resource – WOMEN and MEN*

1. Encounter wild animals in the delta, such as snakes, hippos, elephants crocodiles and biting flies. Those harvesting wild fruits can get attacked by wild animals. One may be bitten by a snake when harvesting e.g. *mokola* (real fan) or lose your life just for mongongo. Some have lost their lives in the river either from hippo attacks or drowning while fishing or harvesting indigenous food such as *tswiii* (water lily).
2. Mongongo is consumed by a number of wild animals, elephants being the most destructive, and in the long run mongongo will no longer be available.
3. Human health is at stake as they spend long hours in the sun; walking or harvesting natural resources. Some harvest when temperatures are very high. Competing for shade with animals when it is hot is a risk.
4. Ritual murders occurring while harvesting natural resources in the forest.
5. Risk to indigenous knowledge (Shaikarawe): people from other areas have come to the village, sometimes in large numbers, and now use the local indigenous knowledge about to make profit elsewhere. There is suspicion that some government officials do the same, under the guise of workshops or meetings. There is risk of losing it all to people from outside the community.
6. Veld fires destroy natural plants, fear that in the near future if veld fires continue to occur, mongongo trees might be destroyed, leading to loss of local businesses. Veldt fires and climate change have led to lesser of these resources of late.
7. Fear that government may make strict laws, which will restrict members of the communities from collecting wild fruits freely and at no cost.

*Mitigation Against Risk - WOMEN*

1. Target trees in open space to see danger beforehand. Also use long sticks to clear paths when walking along bushy areas.
2. Harvest the natural resources (plants) during winter, or heavy rainy seasons to avoid drying up of some plants.
3. Plant some indigenous plants / trees. There are plans to grow own mongongo trees.
4. Utilize morning or evening hours to avoid the scorching sun, though this is not always ideal as they can encounter wild animals.
5. Save some resources, especially thatching grass, for future, as it is not guaranteed that it will be available the following year. Also collect plenty in case there will be no wild fruits during some years due to heavy rains or drought.
6. Found a traditional tree that helps them scare these animals away when harvesting.
7. At times just stay home and leave all the ripe fruits in the bush for animals to enjoy.

*Mitigation Against Risk - MEN*

1. Educate the community on the dangers of wild fires and development of firefighting strategies.
2. Request authorities to assist in human wildlife coexistence.
3. Some have learnt how to avoid animals, and also escape once during encounter with wild animals.

4. Harvest and share the little produce from the plants. Advocated for the communities to plant more of these species in every homestead and nurture them.
5. Try to harvest during safer periods when animals are inactive
6. Travel in groups or in the company of those they trust so to avoid being killed for rituals.

Women and men in the project villages were asked how they conserve the natural resources they work with, impact of climate change on the natural resources and the risks they face when harvesting. The results are indicated below:

1. Abide by the government or environmental laws to protect and care for the natural resources. For instance, only cut grass when government permits. This allows the grass to grow back during the restricted period.
2. Encourage others to access and harvest natural resources following laws or regulations set by the government. Wait for the right season and harvest certain quantity as stipulated in our permits
3. Not harvesting any unripe fruit or immature thatching grass but waiting until it ready for use and collect just enough.
4. Do not climb trees when harvesting but pick what is on ground
5. Only collect fruits, and not cut down or uproot trees, their branches or leaves.
6. Do not uproot thatching grass, so that it grows back again when the river starts flooding.
7. Discourage cutting of the real fan palm (*mokola*) that many use to weave baskets to sell. Collect and use leaves of the real fan palm tree only
8. Some grow the real fan palm in own yards, which they then use to weave baskets for sale. Growing the fan trees in the yards ensures that they are well taken care off, as reduces the need for the women to travel to the forest to harvest the fan leaves.
9. Utilize roots of some trees to colour the real fan palm leaves, and to protect these trees, they do not collect all roots, only take small root strings.
10. Harvest natural resources sparingly saving up for tomorrow or future purposes.
11. Avoid causing veld fires that could decimate the natural resources they utilize for their livelihoods. Also volunteer whenever there is fire – join firefighting teams in controlling veld fires.
12. Avoid polluting the river.
13. Use drums, which are made out of tree stems, and cut 3 trees not more than that.

Conservation - MEN

1. Having worked in the tourism industry, some are already equipped with conservation knowledge, and practice and share with fellow members.
2. Share and advise the youth to make use of the natural resources for the betterment of their lives, which in a way will force them to protect the environment.
3. Follow proper harvesting and off-take methods that do not threaten future existence and use. Follow both the government regulations and traditional methods of conservation.
4. Harvest in **moderation and in** a sustainable manner, do not damage the plants, so as to continue harvesting for years to come.
5. Discourage overfishing
6. Caution people against reckless cutting down of plants and starting veldt fires and discourage indiscriminate cutting down of trees.
7. Harvest at the right time - allow resources to recover.
8. Engage in community service where we share conservation initiatives with members of the community. This is meant to protect the natural resources.
9. Leaders reprimand those who misuse, over harvest resources.

10. Police the river and make sure the rules are followed and report any who do not follow the rules.
11. Employ traditional ways of conservation.

N.B. There are some women and men who have no knowledge about conservation of natural resources.

**6. Gender Action Plan**

In addition to interviews with representatives from central Government, interviews were conducted with chiefs in Seronga and Shakawe, focus group discussions with women's (mixed) and men's groups. Furthermore, interviews with female (21) and male (31) heads of households were also held. In total discussions were held with 74 women and 66 men in the project villages.

The Draft Gender Action Plan (GAP) below will be finalized with input from government representatives, CSOs and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries such women's groups, youth, local authorities, etc), and those who will be impacted positively or negatively by the proposed project.

**Gender Analysis and Gender Action Plan Table**

| **Project Component 1: Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation** | | | | | | |
|---|---|---|---|---|---|---|
| **Project-level outcome: 1.1 Gender-sensitive implementation of ABS enhanced through improved management and operational capacity of government agencies** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Employ a Gender/SES Expert for the project | Gender Officer in place | Gender Studies Degree holder with at least 2 years' experience | 0 | The cost has been included as part of the project's total budget | Year 1 | DEA/MET<br>Project Manager |
| Ensure that both female and male staff representing NBDA agencies participate in the gender training | Agencies and staff trained and implementing gender sensitive ABS | All male and female members of the NDBA, and other participating agencies | ORI staff are fully conversant with gender | | | |
| **Project-level outcome: Outcome 1.2. Local communities capable of effectively monitoring ABS agreements and regulations (including women, men, youth, and other vulnerable groups).** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Ensure that women's and mixed groups of women and men with female leadership, contribute to the development of the Monitors' Programme | Number of Community Monitoring Programmes with women and youth monitors | 3 | 0 | The cost has been included as part of the project's total budget | Years 1 and 2 | Gender /SES Expert<br>DEA<br>Local authority representatives (Chiefs and VDC) |
| Ensure equal number of women and men, with equal representation of vulnerable groups, such as remote-area rural dwellers contribute to the development of the standard | Percentage of women and men, and youth (M/F) active monitors in all the project villages | 50% women, men and youth (50% M/F) in all communities including the remote area dwellers | 0% | | | |
| **Project Component 2: Enhancing capacities for research and product development (R&D) based on GR, associated TK and knowledge management** | | | | | | |
| **Project-level outcome: 2.1. Documentation of GR (and source species) and associated TK facilitates R&D and protection of GR and TK** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Ensure gender disaggregated and gender sensitive data and information collection from the holders of TK | Proportion of women and men and youth TK holders and providers participating in the documentation process | 50% women and 50% men | 0% | The cost has been included as part of the project's total budget | Years 2 and 3 | Gender /SES Expert<br>DEA<br>Local authority representatives (Chiefs and VDC) |
| Ensure that women and youth knowledge holders | | | | | Year 2 | Gender /SES Expert<br>DEA |

| | | | | | | |
|---|---|---|---|---|---|---|
| contribute to the documentation process | | | | | | Local authority representatives (Chiefs and VDC) |
| **Project-level outcome 2.2. Capacity for undertaking GR-related R&D enhanced by strengthening the domestic research infrastructure** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Establish needs of potential female applicants and put in place gender responsive recruiting mechanism for R&D institutions | R&D institutions participating in the project with affirmative actions | All related R&D training institutions | Low numbers of female students undertaking biodiversity/GR related training | The cost has been included as part of the project's total budget | Years 2, 3, and 4 | R&D institutions Project Manager |
| Encourage and support females to undergo the training on advancing the R&D agenda | Percent of female from R&D institutions trained through the project | At least 30% of trainees are women | 0% | | Years 2, 3, and 4 | R&D institutions Project Manager |
| **Project Level Outcome 2.3 Opportunities created for the sustainable utilisation of GR and associated TK to sustainably support community livelihoods for women, men, youth, and other vulnerable communities** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Ensure that women's groups and women and youth entrepreneurs in participating communities, including from vulnerable communities are well represented in the selection and development of the management plan of the species of interest | Percent of women and youth (M/F) involved in selection of the species of interest and development of its management plan | 50% women/men/youth | 0% | The cost has been included as part of the project's total budget | Years 3 and 4 | Gender /SES Expert DEA /MET Local authority representatives (Chiefs and VDC) |
| Support women's groups and women and youth entrepreneurs to participate in the skills transfer activities | Percent of women and youth (M/F) participate in the skills transfer activities | 50% women/men/youth | 0% | | Years 2, 3, and 4 | DEA/MET Project Manager |
| Ensure that women and the youth give input in all stages of the development of the demonstration project | Percent of women's groups and women and youth entrepreneurs with skills to contribute to development a of the demonstration project | 50% women/men/youth | 0% | | Year 4 | Gender /SES Expert DEA/MET Local authority representatives (Chiefs and VDC) |
| Ensure that ABS initiatives include transportation, security and medical | Number of ABS projects include transportation, security and health | One (1) ABS demonstration project | 0 | | Year 4 | DEA/MET Project Manager |

| | | | | | | |
|---|---|---|---|---|---|---|
| insurance (where feasible) for women and men | insurance for women, men and youth and workers participating | | | | | |
| **Project Level Outcome 2.4. Knowledge management and social and environmental safeguards create opportunities for sustainable use of GR and TK to deliver community benefits** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Ensure that ABS experts that constitute the National ABS community of practice (COP)/platform include women that share lessons | Percent of women participating in the COP as ABS experts | At leas 30% | 0% | The cost has been included as part of the project's total budget | Year 1, 2, 3, and 4 | DEA/MET<br>Project Manager<br>Research institutions<br>Local authority representatives (Chiefs and VDC |
| Ensure that women and youth participate meaningfully in the development of the Guidelines for Protection of TK | Percent of contributions from women and youth | 50% women/men/youth | 0% | | Year 3 | Gender /SES Expert<br>DEA/MET<br>Local authority representatives (Chiefs and VDC) |
| **Project Component 3: M&E** | | | | | | |
| **Project-level outcome 3.1: M&E assesses project impact and guides adaptive management** | | | | | | |
| **Gender-related activity** | **Indicator** | **Target** | **Baseline** | **Budget** | **Timeline** | **Responsibility** |
| Ensure full implementation of the Gender Action Plan and Stakeholder Engagement Plan | Percent of gender indicators are realized | 100% | 0% | The cost has been included as part of the project's total budget | Year 1, 2, 3, and 4 | DEA/MET<br>Department of Gender Affairs<br>Gender /SES Expert |
| Ensure that gender has been taken into account adequately and has been mainstreamed in projects outputs and actions | PIR Gender Rating | At least GEN2 throughout the life of the project | GEN2 (as per ProDoc rating) | | Year 1, 2, 3, and 4 | Gender /SES Expert<br>Project Manager |

**Annex to the Gender Analysis**

List of Interviewees

| NAME | Organization | Tel | Date consulted in 2020 |
|---|---|---|---|
| Mr Charles Mazereku<br>cmazereku@gov.bw<br>charmazereku@gmail.com | DAR, Ministry of Agriculture and Food Security | 3668100 | 8am on 7th June |
| Ms Tshegofatso Lejowa<br>tndadi@gov.bw<br>Ms Amogelang Pitso: Senior Communal Resources Coordinator | Rural Development Council, Ministry of Local Government | 3658609 | 10am on 7th June |
| Ms Portia Chere, Economist, Ms Nyaladzo Phalalo, Principal Economist, Planning Unit, MENT | Ministry of Environment, Natural Resources, Conservation& Tourism (MENT) -Planning Unit | 3647947 | 8.15am on 8th July |
| Dr Marks Ditlhogo<br>ditlhogo@mopipi.ub.bw | UB, Ministry of Tertiary Education Research Science and Technology | 3552605, | 9.15am on 8th July |
| Mr Lesole Montshiwa<br>memunyadzwe@gov.bw | DWNP, MENT | 3996627 | 10am on 9th July @ DWNP, Fairgrounds |
| Mr Waza Mazhani wmazhani@gov.bw<br>wmazhazi@gmail.com<br>Present:<br>1. Mr Madzani IP Officer<br>2. Ms Evelyng Reetsang M&E<br>3. Ms Oatumetse Seabe Policy and Legislation<br>4. Mr O. Gaothuse: Focasting and Planning Officer<br>5. Mr Gaabadzo Moseki S&T information<br>6. Mr Abraham Matlhodi, Coordination Development | Department of Research Science & Technology, Ministry of Tertiary Education Research Science and Technology | 3613100 | 9am on 9th July @ Department of Research Science and Technology |
| Ms Keba Keoagile | DEA | 3644669 | |
| Ms Namasiku Mufwanzala<br>nmufwanzala.com | Department of Forestry and Range Resources | 3935174 | 9am on 15th July @ Forestry |
| Ms Tsholofelo Dichaba<br>Tsholofelo.Dichaba@mopipi.ub.bw | UB-CESRIKI | 3554379<br>72654848 | 10am on 16th July |
| Ms Keba Keoagile, FP CBD<br>kebkeoagile@gov.bw<br>Mr Nthaka, Assistant FP CBD<br>Mr Lesego Seakanyeng (GEF Desk Officer) | Department of Environmental Affairs, MENT | | 24th July 2020<br>@9am DEA Offices |
| Mr Timothy Molosiwa, Registrar, Industrial Property,<br>tmoalusi@cipa.co.bw | Companies and Intellectual Property Authority (CIPA), Ministry of Investment, Trade and Industry | Tel. 3673702 | 8.15am on 13th November via telephone |
| Ms Phemelo Maiketso. Deputy Director<br>pmaiketso@gov.bw | Department of Gender Affairs, Ministry of Nationality, Immigration and Gender Affairs | 3912290 | 11am on 16th November via telephone |
| Ms Ontlametse Raleru. Coordinator<br>ntlameraleru@gmail.com | Men and Boys for Gender Equality. NGO | 3957763 | 2.30pm on 1st December @ their office |

**Annex 10: Procurement Plan (First Year)**

| Budget item | | List of Goods and Services required | Budget (US$) | Year | Brief description of anticipated procurement process |
|---|---|---|---|---|---|
| **No.** | **Description** | | | | |
| | **Staff & Personnel (including Consultants)** | | | | |
| 71300 | Bioeconomy Strategy (1.1.3) | Bioeconomy Expert to develop the National Bioeconomy Strategy | 18,000 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | Community Monitoring Framework (1.2.1) | M&E Expert to support the development of a Community Monitoring Framework and training manuals and other tools for training of community monitors | 18,000 | 1 | Competitive contracting process used by DEA/MET |
| 71400 | Bio-cultural Community Protocols (1.2.2) | ABS Technical Expert to support the development of BCP standards and to conduct a related KAP assessment | 23,345 | 1 | Competitive contracting process used by DEA/MET |
| 71200 | Social and Environmental Safeguards (2.4.4) | International Safeguards Expert to develop the SESA, ESMP, IPP and other related plans | 72,000 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | Knowledge Management (2.4.1, 2.4.2) | KM Expert for the development of the National ABS COP/platform and the KM Plan/systematization of lessons learned, and to operationalise a virtual regional ABS dialogue | 12,000 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | Social and Environmental Safeguards (2.4.4) | Gender /Safeguards Expert to implement all safeguards plans, as appropriate (ESMP/IPP; Gender Action Plan; Comprehensive Stakeholder Engagement Plan, etc.) | 12,000 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | Social and Environmental Safeguards (2.4.4) | National Safeguards Expert to support locally the development of safeguards assessments and plans | 22,500 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | Social and Environmental Safeguards (2.4.4) | Local translators to support local consultations for the development and implementation of SESP-related assessments and plans, including achieving FPIC | 2,000 | 1 | Competitive contracting process used by DEA/MET |
| 71300 | M&E (3.1.1) | M&E of GEF core indicators and the PRF | 3,500 | 1 | Competitive contracting process used by DEA/MET |

| Budget item | | List of Goods and Services required | Budget (US$) | Year | Brief description of anticipated procurement process |
|---|---|---|---|---|---|
| **No.** | **Description** | | | | |
| 71300 | M&E (3.1.1) | Monitoring of ESMP/IPP, Gender Action Plan, and Comprehensive Stakeholder Engagement Plan, and other related plans | 5,250 | 1 | Competitive contracting process used by DEA/MET |
| 71400 | PMU (PMC) | Project Manager | 18,315 | 1 | Competitive contracting process used by DEA/MET |
| 71400 | PMU (PMC) | Project/Finance Assistant | 15,720 | 1 | Competitive contracting process used by DEA/MET |
| | **Contract Services** | | | | |
| 72100 | ABS Training Program (1.1.2) | International accredited company to develop and implement an ABS training program with a gender focus and certification of ABS trainers | 25,000 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | ABS Regulations (1.1.1) | Workshops to validate the updated/final regulatory texts with key stakeholders | 1,500 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | National Bioeconomy Strategy (1.1.3) | Workshops and meetings for the development and validation of the National Bioeconomy Strategy | 1,750 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | Community Monitoring Framework (1.2.1) | Workshops and meetings for consultations, development, and validation of the Community Monitoring Framework | 2,500 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | Bio-cultural Community Protocols (1.2.2) | Workshops and meetings for consultations and validation of standards for developing BCPs | 3,000 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | Social and Environmental Safeguards (2.4.4) | Training the PMU, institutional partners, and research institutions, and private sector companies on environmental and social safeguards as per UNDP standards | 5,000 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | Social and Environmental Safeguards (2.4.4) | Workshops for SES-related public consultations and to ensure stakeholder engagement | 1,500 | 1 | Competitive contracting process used by DEA/MET |

| Budget item | | List of Goods and Services required | Budget (US$) | Year | Brief description of anticipated procurement process |
|---|---|---|---|---|---|
| **No.** | **Description** | | | | |
| 75700 | Social and Environmental Safeguards (2.4.4) | Workshops on gender mainstreaming | 1,000 | 1 | Competitive contracting process used by DEA/MET |
| 75700 | M&E (3.1.1) | Project Inception Workshop | 3,000 | 1 | Competitive contracting process used by DEA/MET |
| 74100 | Professional Services (PMC) | Project audits | 2,000 | 1 | Competitive contracting process used by DEA/MET |
| 64397 | Services to project (PMC) | Execution support services provided by UNDP, as per signed LoA between Government and UNDP-Morocco and as agreed with GEF | 4,000 | 1 | Competitive contracting process used by DEA/MET |
| | **Supplies, commodities & materials** | | | | |
| 72500 | Stationeries and Supplies (1.1.1, 1.1.3, 1.2.1, 1.2.2) | Stationeries and supplies in support of strengthening the national framework and institutional capacities for ABS implementations, including biosafety supplies to minimize exposure to COVID-19, as needed | 1,300 | 1 | Direct purchases |
| 72500 | PMU (PMC) | Office and IT Supplies and Consumables | 740 | 1 | Direct purchases |
| | **Equipment, Vehicles & Furniture** | | | | |
| 72200 | PMU (PMC) | Office furniture | 850 | 1 | Direct purchases |
| 72800 | PMU (PMC) | Computer (2) | 3,000 | 1 | Direct purchases |
| 72800 | PMU (PMC) | Printer (1) | 503 | 1 | Direct purchases |
| | **Travel** | | | | |
| 71600 | ABS Training Program (1.1.2) | Travel cost associated with national and international learning exchange visits on specific ABS training needs (e.g., ABS contract negotiations, E-permitting systems, aTK documentation, and protection systems) | 7,500 | 1 | Direct purchases |
| 71600 | Bioeconomy Strategy (1.1.3) | Travel cost associated with learning exchange on bioeconomy processes | 3,055 | 1 | Direct purchases |
| 71600 | Social and Environmental Safeguards (2.4.4) | Travel expenses and DSA related to the development of social and environmental safeguard related assessments and plans | 12,000 | 1 | Direct purchases |
| 71600 | Social and Environmental Safeguards (2.4.4) | Travel expenses related to the implementation of SES-related management plans | 1,500 | 1 | Direct purchases |

| Budget item | | List of Goods and Services required | Budget (US$) | Year | Brief description of anticipated procurement process |
|---|---|---|---|---|---|
| **No.** | **Description** | | | | |
| 71600 | M&E (3.1.1) | Travel expenses related to the monitoring of GEF core indicators and PRF, and social and environmental safeguards | 1,000 | 1 | Direct purchases |
| **Total procurement Year 1** | | | **300,328** | | |

**Annex 11: Additional agreements**

**Letters of financial commitments**

Republic of Botswana

Telephone: (267) 3902050
Fax: (267) 3902051/ 3914887
Email: enviro@botsnet.bw

Department of Environmental Affairs

Ministry of Environment and Tourism

Private Bag 0068
Gaborone
Botswana

*All Correspondence to be addressed to the Director*

**REF: DEA 1/10/1 VI (236)** **9th December 2022**

Mr. Pradeep Kurukulasuriya
Executive Coordinator, UNDP-GEF
United Nations Development Programme

Dear Sir,,

**RE: CO-FINANCIANG FOR THE GEF 7 PROJECT ON PROMOTUNG BENEFICIATION AND VALUE ADDITION FROM GENERTIC RESOURCES THROUGH ENHANCED CAPACITY FOR RESEARCH AND DEVELOPMENT AND PROTECTION OF TRADITIONAL KNOWLEDGE IN BOTSWANA**

The Ministry of Environment and Tourism (MET) through the Department of Environmental Affairs (DEA) which is the GEF Focal Point hereby confirms the commitment to provide in-kind support to the above mentioned GEF project in accordance with the approved Project Identification form (PIF) to the tune of **USD6,000,000.00**.

Furthermore, the MET will have a grant support to the project over the period of the National Development Plan 12 (NDP 12: 2023/24-27/28) at a value of **BWP30 million** (approx. USD 3 million) with the initial grant during the two (2) year Transitional National Development Plan (TNDP 2023/23-2024/25) at the tune of **BWP3.5 million**.

Thank you.

Yours Sincerely,

Khulekani Mpofu

**For /Ag. Director**

BUAN
BOTSWANA UNIVERSITY OF AGRICULTURE AND NATURAL RESOURCES
Inspiring Sustainable Growth

Private Bag 0027, Gaborone, Botswana
Content Farm, Sebele, Gaborone, Botswana
+267 3650100

Our Ref: BUAN 3/6/1

21st November 2022

Resident Representative
United Nations Development Programme
UNDP
Gaborone
Botswana

Dear Sir/Madam,

**RE: COFINANCING FOR THE GEF7 PROJECT PROMOTING BENEFICIATION AND VALUE ADDITION FROM GENETIC RESOURCES THROUGH ENHANCED CAPACITY FOR RESEARCH AND DEVELOPMENT AND THE PROTECTION OF TRADITIONAL KNOWLEDGE IN BOTSWANA**

On behalf of the Botswana University of Agriculture and Natural Resources (BUAN), I am pleased to express my full support of the project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana.*

The goal of this project is to enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge.

To demonstrate our support to this important project that complements our institutional policies and plans, I would like to confirm that BUAN has allocated Three hundred and fifty thousand U.S. Dollars, (USD 350,000.000) as in-kind co-financing contribution covering **Components 1. Strengthening the national framework and institutional capacities for ABS implementation and 2. Enhanced capacity for R & D based on genetic resources, associated traditional knowledge, and knowledge management** and Three hundred and fifty thousand U.S. Dollars (USD 350,000.00) as in-kind co-financing contribution covering projet management, office space, training, and our staff time over the 4-year implementation period.

Yours Sincerely,

Prof. Ketlhatlogile Mosepele
**Vice Chancellor**

UNDP GABORONE
22/11/22

Kgale Siding, south of Gaborone off the Lobatse Rd
Tel: +267 3190540 • Fax: +267 3190540
PO Box 26691, Game City, Gaborone, Botswana
www.birdlifebotswana.org.bw • blb@birdlifebotswana.org.bw

13th January 2023

REF: BLB 13/1/23 (1)

Resident Representative
United Nations Development Programme – UNDP
Botswana

**Re: Cofinancing for the GEF7 Project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana***

**Dear Sir/ Madam,**

On behalf of the BirdLife Botswana, I am pleased to express my full support of the project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana.*

The goal of this project is to enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge.

To demonstrate our support to this important project that complements our institutional policies and plans, I would like to confirm that BirdLife Botswana has allocated USD150,000.00 as in-kind co-financing contribution covering components 1.2, 2.1 and 2.4. over the 4-year implementation period.

Sincerely,

Motshereganyi Virat Kootsositse

Director, BirdLife Botswana

13th January 2023

MR. BALAZS HORVATH
Resident Representative
United Nations Development Programme (UNDP)

**Re: Cofinancing for the GEF7 Project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana***

Dear Sir,

On behalf of the Companies and Intellectual Property Authority (CIPA), I am pleased to express my full support of the project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana.*

The goal of this project is to enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge.

To demonstrate our support to this important project that complements our institutional policies and plans, I would like to confirm that CIPA has allocated USD15000 in-kind co-financing contribution covering project management, office space, training, and our staff time over the 4-year implementation period.

Sincerely,

Timothy Leatile Moalusi
**Registrar Industrial Property**

Plot 54358, Block A, Prime Plaza, CBD P.O Box 102, Gaborone Botswana +267 3673700 +267 3188130

Kalahari Conservation Society - Botswana
Address: Plot 131, Unit 1; Kohinoor House Independence Avenue
Postal: P.O. Box 859, Gaborone, Botswana
Tel: +(267) 397 4557
Fax: +(267) 391 4259

Email: kcs@kcs.org.bw | Website: www.kcs.org.bw

Company Registration: CR 0704 | VAT No.: T00000088756-00-05-56

**REF:** - KCS/DEA 9/5 II (80) **DATE:** - 12TH January 2023

Resident Representative
United Nations Development Programme - UNDP

**RE: Co-financing for the GEF7 Project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana***

Dear Sir/Madam,

On behalf of the Kalahari Conservation Society, I am pleased to express my full support of the project *Promoting Beneficiation and Value Addition from Genetic Resources through Enhanced Capacity for Research and Development and the Protection of Traditional Knowledge in Botswana.*

The goal of this project is to enhance the capacity for genetic resources research and development to promote beneficiation and value addition and to protect traditional knowledge.

To demonstrate our support to this important project that complements our institutional policies and plans, I would like to confirm that our Kalahari Conservation Society, has allocated as in-kind co-financing contribution covering in Component 1:- **Strengthening the national framework and institutional capacities for Access and Benefit Sharing (ABS) implementation** and in-kind co-financing contribution of **USD 150 000.00** covering project management, office space, training, transport and our staff time over the 4-year implementation period.

Sincerely,

Mr. Olerile Alba Orapeleng
Acting Chief Executive Officer
Kalahari Conservation Society
E-mail:- alba.orapeleng@kcs.org.bw

**Annex 12: GEF Core indicators**

| **Core Indicator 1** | **Terrestrial protected areas created or under improved management for conservation and sustainable use** | | | | | | ***(Hectares)*** |
|---|---|---|---|---|---|---|---|
| | | | *Hectares (1.1+1.2)* | | | | |
| | | | *Expected* | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | | | | | | |
| Indicator 1.1 | Terrestrial protected areas newly created | | | | | | |
| Name of Protected Area | WDPA ID | IUCN category | Hectares | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | (select) | | | | | |
| | | (select) | | | | | |
| | | Sum | | | | | |
| Indicator 1.2 | Terrestrial protected areas under improved management effectiveness | | | | | | |
| Name of Protected Area | WDPA ID | IUCN category | Hectares | METT Score | | | |
| | | | | Baseline | | Achieved | |
| | | | | | Endorsement | MTR | TE |
| | | (select) | | | | | |
| | | (select) | | | | | |
| | | Sum | | | | | |
| **Core Indicator 2** | **Marine protected areas created or under improved management for conservation and sustainable use** | | | | | | ***(Hectares)*** |
| | | | Hectares (2.1+2.2) | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | *TE* | |
| | | | | | | | |
| Indicator 2.1 | Marine protected areas newly created | | | | | | |
| Name of Protected Area | WDPA ID | IUCN category | Hectares | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | (select) | | | | | |
| | | (select) | | | | | |
| | | Sum | | | | | |
| Indicator 2.2 | Marine protected areas under improved management effectiveness | | | | | | |
| Name of Protected Area | WDPA ID | IUCN category | Hectares | METT Score | | | |
| | | | | Baseline | | Achieved | |
| | | | | PIF stage | Endorsement | MTR | TE |
| | | (select) | | | | | |
| | | (select) | | | | | |
| | | Sum | | | | | |
| **Core Indicator 3** | **Area of land restored** | | | | | | ***(Hectares)*** |
| | | | Hectares (3.1+3.2+3.3+3.4) | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | | | | | | |
| Indicator 3.1 | Area of degraded agricultural land restored | | | | | | |
| | | | Hectares | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | | | | | | |
| | | | | | | | |
| Indicator 3.2 | Area of forest and forest land restored | | | | | | |
| | | | Hectares | | | | |
| | | | Expected | | Achieved | | |
| | | | PIF stage | Endorsement | MTR | TE | |
| | | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| Indicator 3.3 | Area of natural grass and shrublands restored | | | | | |
| | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 3.4 | Area of wetlands (including estuaries, mangroves) restored | | | | | |
| | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| **Core Indicator 4** | **Area of landscapes under improved practices (hectares; excluding protected areas)** | | | | | ***(Hectares)*** |
| | | | Hectares (4.1+4.2+4.3+4.4) | | | |
| | | | Expected | | Expected | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| Indicator 4.1 | Area of landscapes under improved management to benefit biodiversity | | | | | |
| | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 4.2 | Area of landscapes that meet national or international third-party certification that incorporates biodiversity considerations | | | | | |
| Third party certification(s): | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 4.3 | Area of landscapes under sustainable land management in production systems | | | | | |
| | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 4.4 | Area of High Conservation Value Forest (HCVF) loss avoided | | | | | |
| Include documentation that justifies HCVF | | | Hectares | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| **Core Indicator 5** | **Area of marine habitat under improved practices to benefit biodiversity** | | | | | ***(Hectares)*** |
| Indicator 5.1 | Number of fisheries that meet national or international third-party certification that incorporates biodiversity considerations | | | | | |
| Third party certification(s): | | | Number | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 5.2 | Number of large marine ecosystems (LMEs) with reduced pollution and hypoxial | | | | | |
| | | | Number | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| Indicator 5.3 | Amount of Marine Litter Avoided | | | | | |
| | | | Metric Tons | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| **Core Indicator 6** | **Greenhouse gas emission mitigated** | | | | | ***(Metric tons of $CO_2e$ )*** |
| | | | Expected metric tons of $CO_2e$ (6.1+6.2) | | | |
| | | | PIF stage | Endorsement | MTR | TE |
| | Expected CO2e (direct) | | | | | |
| | Expected CO2e (indirect) | | | | | |
| Indicator 6.1 | Carbon sequestered or emissions avoided in the AFOLU sector | | | | | |
| | | | Expected metric tons of $CO_2e$ | | | |
| | | | PIF stage | Endorsement | MTR | TE |
| | Expected CO2e (direct) | | | | | |
| | Expected CO2e (indirect) | | | | | |
| | Anticipated start year of accounting | | | | | |
| | Duration of accounting | | | | | |
| Indicator 6.2 | Emissions avoided Outside AFOLU | | | | | |
| | | | Expected metric tons of $CO_2e$ | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | Expected CO2e (direct) | | | | | |
| | Expected CO2e (indirect) | | | | | |
| | Anticipated start year of accounting | | | | | |
| | Duration of accounting | | | | | |
| Indicator 6.3 | Energy saved | | | | | |
| | | | MJ | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 6.4 | Increase in installed renewable energy capacity per technology | | | | | |
| | | Technology | Capacity (MW) | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | (select) | | | | |
| | | (select) | | | | |
| **Core Indicator 7** | **Number of shared water ecosystems (fresh or marine) under new or improved cooperative management** | | | | | ***(Number)*** |
| Indicator 7.1 | Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation | | | | | |
| | | Shared water ecosystem | Rating (scale 1-4) | | | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 7.2 | Level of Regional Legal Agreements and Regional Management Institutions to support its implementation | | | | | |
| | | Shared water ecosystem | Rating (scale 1-4) | | | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 7.3 | Level of National/Local reforms and active participation of Inter-Ministerial Committees | | | | | |
| | | Shared water ecosystem | Rating (scale 1-4) | | | |
| | | | PIF stage | Endorsement | MTR | TE |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | | | | | |
| | | | | | | |
| Indicator 7.4 | Level of engagement in IWLEARN through participation and delivery of key products | | | | | |
| | | Shared water ecosystem | Rating (scale 1-4) | | | |
| | | | Rating | | Rating | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| **Core Indicator 8** | **Globally over-exploited fisheries Moved to more sustainable levels** | | | | | ***(Metric Tons)*** |
| Fishery Details | | | Metric Tons | | | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| **Core Indicator 9** | **Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products** | | | | | ***(Metric Tons)*** |
| | | | Metric Tons (9.1+9.2+9.3) | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | PIF stage | MTR | TE |
| | | | | | | |
| Indicator 9.1 | Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type) | | | | | |
| POPs type | | | Metric Tons | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| (select) | (select) | (select) | | | | |
| (select) | (select) | (select) | | | | |
| (select) | (select) | (select) | | | | |
| Indicator 9.2 | Quantity of mercury reduced | | | | | |
| | | | Metric Tons | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| Indicator 9.3 | Hydrochloroflurocarbons (HCFC) Reduced/Phased out | | | | | |
| | | | Metric Tons | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| Indicator 9.4 | Number of countries with legislation and policy implemented to control chemicals and waste | | | | | |
| | | | Number of Countries | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| Indicator 9.5 | Number of low-chemical/non-chemical systems implemented particularly in food production, manufacturing and cities | | | | | |
| | | Technology | Number | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| | | | | | | |
| Indicator 9.6 | Quantity of POPs/Mercury containing materials and products directly avoided | | | | | |
| | | | Metric Tons | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | PIF stage | Endorsement |
| | | | | | | |
| | | | | | | |
| **Core Indicator 10** | **Reduction, avoidance of emissions of POPs to air from point and non-point sources** | | | | | ***(grams of toxic*** |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | | | | | ***equivalent gTEQ)*** |
| Indicator 10.1 | Number of countries with legislation and policy implemented to control emissions of POPs to air | | | | | |
| | | | Number of Countries | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| Indicator 10.2 | Number of emission control technologies/practices implemented | | | | | |
| | | | Number | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | | | | | |
| **Core Indicator 11** | **Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment** | | | | | ***(Number)*** |
| | | | Number | | | |
| | | | Expected | | Achieved | |
| | | | PIF stage | Endorsement | MTR | TE |
| | | Female | *2,000* | *2,000* | | |
| | | Male | *1,000* | *1,000* | | |
| | | *Total* | *3,000* | *3,000* | | |

**Annex 13: GEF 7 Taxonomy**

| Level 1 | Level 2 | Level 3 | Level 4 |
|---|---|---|---|
| ☒ **Influencing models** | | | |
| | ☒ **Transform policy and regulatory environments** | | |
| | ☒ **Strengthen institutional capacity and decision-making** | | |
| | ☒ **Convene multi-stakeholder alliances** | | |
| | ☐ **Demonstrate innovative approaches** | | |
| | ☐ **Deploy innovative financial instruments** | | |
| ☒ **Stakeholders** | | | |
| | ☒ **Indigenous Peoples** | | |
| | ☒ **Private Sector** | | |
| | | ☒ Capital providers | |
| | | ☐ Financial intermediaries and market facilitators | |
| | | ☐ Large corporations | |
| | | ☐ SMEs | |
| | | ☐ Individuals/Entrepreneurs | |
| | | ☐ Non-Grant Pilot | |
| | | ☐ Project Reflow | |
| | ☒ **Beneficiaries** | | |
| | ☒ **Local Communities** | | |
| | ☒ **Civil Society** | | |
| | | ☒ Community Based Organization | |
| | | ☒ Non-Governmental Organization | |
| | | ☒ Academia | |
| | | ☐ Trade Unions and Workers Unions | |
| | ☒ **Type of Engagement** | | |
| | | ☒ Information Dissemination | |
| | | ☒ Partnership | |
| | | ☒ Consultation | |
| | | ☒ Participation | |
| | ☒ **Communications** | | |
| | | ☒ Awareness Raising | |
| | | ☐ Education | |
| | | ☐ Public Campaigns | |
| | | ☐ Behavior Change | |
| ☒ **Capacity, Knowledge and Research** | | | |
| | ☐ **Enabling Activities** | | |
| | ☒ **Capacity Development** | | |
| | ☒ **Knowledge Generation and Exchange** | | |
| | ☒ **Targeted Research** | | |
| | ☒ **Learning** | | |
| | | ☒ Theory of Change | |
| | | ☒ Adaptive Management | |
| | | ☒ Indicators to Measure Change | |
| | ☐ **Innovation** | | |
| | ☒ **Knowledge and Learning** | | |
| | | ☒ Knowledge Management | |
| | | ☒ Innovation | |
| | | ☒ Capacity Development | |
| | | ☒ Learning | |
| | ☒ **Stakeholder Engagement Plan** | | |
| ☒ **Gender Equality** | | | |
| | ☒ **Gender Mainstreaming** | | |
| | | ☒ Beneficiaries | |
| | | ☒ Women groups | |

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|---|---|---|---|
| | | ☒Sex-disaggregated indicators | |
| | | ☒Gender-sensitive indicators | |
| | ☒**Gender results areas** | | |
| | | ☐Access and control over natural resources | |
| | | ☒Participation and leadership | |
| | | ☒Access to benefits and services | |
| | | ☒Capacity development | |
| | | ☒Awareness raising | |
| | | ☒Knowledge generation | |
| ☒**Focal Areas/Theme** | | | |
| | ☐**Integrated Programs** | | |
| | | ☐Commodity Supply Chains ([86]Good Growth Partnership) | |
| | | | ☐Sustainable Commodities Production |
| | | | ☐Deforestation-free Sourcing |
| | | | ☐Financial Screening Tools |
| | | | ☐High Conservation Value Forests |
| | | | ☐High Carbon Stocks Forests |
| | | | ☐Soybean Supply Chain |
| | | | ☐Oil Palm Supply Chain |
| | | | ☐Beef Supply Chain |
| | | | ☐Smallholder Farmers |
| | | | ☐Adaptive Management |
| | | ☐Food Security in Sub-Sahara Africa | |
| | | | ☐Resilience (climate and shocks) |
| | | | ☐Sustainable Production Systems |
| | | | ☐Agroecosystems |
| | | | ☐Land and Soil Health |
| | | | ☐Diversified Farming |
| | | | ☐Integrated Land and Water Management |
| | | | ☐Smallholder Farming |
| | | | ☐Small and Medium Enterprises |
| | | | ☐Crop Genetic Diversity |
| | | | ☐Food Value Chains |
| | | | ☐Gender Dimensions |
| | | | ☐Multi-stakeholder Platforms |
| | | ☐Food Systems, Land Use and Restoration | |
| | | | ☐Sustainable Food Systems |
| | | | ☐Landscape Restoration |
| | | | ☐Sustainable Commodity Production |
| | | | ☐Comprehensive Land Use Planning |
| | | | ☐Integrated Landscapes |
| | | | ☐Food Value Chains |
| | | | ☐Deforestation-free Sourcing |
| | | | ☐Smallholder Farmers |
| | | ☐Sustainable Cities | |
| | | | ☐Integrated urban planning |
| | | | ☐Urban sustainability framework |
| | | | ☐Transport and Mobility |
| | | | ☐Buildings |
| | | | ☐Municipal waste management |
| | | | ☐Green space |
| | | | ☐Urban Biodiversity |
| | | | ☐Urban Food Systems |
| | | | ☐Energy efficiency |
| | | | ☐Municipal Financing |
| | | | ☐Global Platform for Sustainable Cities |
| | | | ☐Urban Resilience |
| | ☒**Biodiversity** | | |
| | | ☐Protected Areas and Landscapes | |
| | | | ☐Terrestrial Protected Areas |

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|---|---|---|---|
| | | | ☐ Coastal and Marine Protected Areas |
| | | | ☐ Productive Landscapes |
| | | | ☐ Productive Seascapes |
| | | | ☐ Community Based Natural Resource Management |
| | | ☐ Mainstreaming | |
| | | | ☐ Extractive Industries (oil, gas, mining) |
| | | | ☐ Forestry (Including HCVF and REDD+) |
| | | | ☐ Tourism |
| | | | ☐ Agriculture & agrobiodiversity |
| | | | ☐ Fisheries |
| | | | ☐ Infrastructure |
| | | | ☐ Certification (National Standards) |
| | | | ☐ Certification (International Standards) |
| | | ☐ Species | |
| | | | ☐ Illegal Wildlife Trade |
| | | | ☐ Threatened Species |
| | | | ☐ Wildlife for Sustainable Development |
| | | | ☐ Crop Wild Relatives |
| | | | ☐ Plant Genetic Resources |
| | | | ☐ Animal Genetic Resources |
| | | | ☐ Livestock Wild Relatives |
| | | | ☐ Invasive Alien Species (IAS) |
| | | ☐ Biomes | |
| | | | ☐ Mangroves |
| | | | ☐ Coral Reefs |
| | | | ☐ Sea Grasses |
| | | | ☐ Wetlands |
| | | | ☐ Rivers |
| | | | ☐ Lakes |
| | | | ☐ Tropical Rain Forests |
| | | | ☐ Tropical Dry Forests |
| | | | ☐ Temperate Forests |
| | | | ☐ Grasslands |
| | | | ☐ Paramo |
| | | | ☐ Desert |
| | | ☐ Financial and Accounting | |
| | | | ☐ Payment for Ecosystem Services |
| | | | ☐ Natural Capital Assessment and Accounting |
| | | | ☐ Conservation Trust Funds |
| | | | ☐ Conservation Finance |
| | | ☒ Supplementary Protocol to the CBD | |
| | | | ☐ Biosafety |
| | | | ☒ Access to Genetic Resources Benefit Sharing |
| | ☐ **Forests** | | |
| | | ☐ Forest and Landscape Restoration | |
| | | | ☐ REDD/REDD+ |
| | | ☐ Forest | |
| | | | ☐ Amazon |
| | | | ☐ Congo |
| | | | ☐ Drylands |
| | ☐ **Land Degradation** | | |
| | | ☐ Sustainable Land Management | |
| | | | ☐ Restoration and Rehabilitation of Degraded Lands |
| | | | ☐ Ecosystem Approach |
| | | | ☐ Integrated and Cross-sectoral approach |
| | | | ☐ Community-Based NRM |
| | | | ☐ Sustainable Livelihoods |
| | | | ☐ Income Generating Activities |
| | | | ☐ Sustainable Agriculture |
| | | | ☐ Sustainable Pasture Management |

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|---|---|---|---|
| | | | ☐ Sustainable Forest/Woodland Management |
| | | | ☐ Improved Soil and Water Management Techniques |
| | | | ☐ Sustainable Fire Management |
| | | | ☐ Drought Mitigation/Early Warning |
| | | ☐ Land Degradation Neutrality | |
| | | | ☐ Land Productivity |
| | | | ☐ Land Cover and Land cover change |
| | | | ☐ Carbon stocks above or below ground |
| | | ☐ Food Security | |
| | ☐ **International Waters** | | |
| | | ☐ Ship | |
| | | ☐ Coastal | |
| | | ☐ Freshwater | |
| | | | ☐ Aquifer |
| | | | ☐ River Basin |
| | | | ☐ Lake Basin |
| | | ☐ Learning | |
| | | ☐ Fisheries | |
| | | ☐ Persistent toxic substances | |
| | | ☐ SIDS : Small Island Dev States | |
| | | ☐ Targeted Research | |
| | | ☐ Pollution | |
| | | | ☐ Persistent toxic substances |
| | | | ☐ Plastics |
| | | | ☐ Nutrient pollution from all sectors except wastewater |
| | | | ☐ Nutrient pollution from Wastewater |
| | | ☐ Transboundary Diagnostic Analysis and Strategic Action Plan preparation | |
| | | ☐ Strategic Action Plan Implementation | |
| | | ☐ Areas Beyond National Jurisdiction | |
| | | ☐ Large Marine Ecosystems | |
| | | ☐ Private Sector | |
| | | ☐ Aquaculture | |
| | | ☐ Marine Protected Area | |
| | | ☐ Biomes | |
| | | | ☐ Mangrove |
| | | | ☐ Coral Reefs |
| | | | ☐ Seagrasses |
| | | | ☐ Polar Ecosystems |
| | | | ☐ Constructed Wetlands |
| | ☐ **Chemicals and Waste** | | |
| | | ☐ Mercury | |
| | | ☐ Artisanal and Scale Gold Mining | |
| | | ☐ Coal Fired Power Plants | |
| | | ☐ Coal Fired Industrial Boilers | |
| | | ☐ Cement | |
| | | ☐ Non-Ferrous Metals Production | |
| | | ☐ Ozone | |
| | | ☐ Persistent Organic Pollutants | |
| | | ☐ Unintentional Persistent Organic Pollutants | |
| | | ☐ Sound Management of chemicals and Waste | |
| | | ☐ Waste Management | |
| | | | ☐ Hazardous Waste Management |
| | | | ☐ Industrial Waste |
| | | | ☐ e-Waste |
| | | ☐ Emissions | |
| | | ☐ Disposal | |
| | | ☐ New Persistent Organic Pollutants | |
| | | ☐ Polychlorinated Biphenyls | |
| | | ☐ Plastics | |

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|---|---|---|---|
| | | ☐ Eco-Efficiency | |
| | | ☐ Pesticides | |
| | | ☐ DDT - Vector Management | |
| | | ☐ DDT - Other | |
| | | ☐ Industrial Emissions | |
| | | ☐ Open Burning | |
| | | ☐ Best Available Technology / Best Environmental Practices | |
| | | ☐ Green Chemistry | |
| | ☐ **Climate Change** | | |
| | | ☐ **Climate Change Adaptation** | |
| | | | ☐ Climate Finance |
| | | | ☐ Least Developed Countries |
| | | | ☐ Small Island Developing States |
| | | | ☐ Disaster Risk Management |
| | | | ☐ Sea-level rise |
| | | | ☐ Climate Resilience |
| | | | ☐ Climate information |
| | | | ☐ Ecosystem-based Adaptation |
| | | | ☐ Adaptation Tech Transfer |
| | | | ☐ National Adaptation Programme of Action |
| | | | ☐ National Adaptation Plan |
| | | | ☐ Mainstreaming Adaptation |
| | | | ☐ Private Sector |
| | | | ☐ Innovation |
| | | | ☐ Complementarity |
| | | | ☐ Community-based Adaptation |
| | | | ☐ Livelihoods |
| | | ☐ **Climate Change Mitigation** | |
| | | | ☐ Agriculture, Forestry, and other Land Use |
| | | | ☐ Energy Efficiency |
| | | | ☐ Sustainable Urban Systems and Transport |
| | | | ☐ Technology Transfer |
| | | | ☐ Renewable Energy |
| | | | ☐ Financing |
| | | | ☐ Enabling Activities |
| | | ☐ **Technology Transfer** | |
| | | | ☐ Poznan Strategic Programme on Technology Transfer |
| | | | ☐ Climate Technology Centre & Network (CTCN) |
| | | | ☐ Endogenous technology |
| | | | ☐ Technology Needs Assessment |
| | | | ☐ Adaptation Tech Transfer |
| | | ☐ **United Nations Framework on Climate Change** | |
| | | | ☐ Nationally Determined Contribution |
| | ☒ **Rio Markers** | | |
| | | ☐ Paris Agreement | |
| | | ☒ Sustainable Development Goals | |
| | | ☒ Climate Change Mitigation 0 | |
| | | ☐ Climate Change Mitigation 1 | |
| | | ☐ Climate Change Mitigation 2 | |
| | | ☒ Climate Change Adaptation 0 | |
| | | ☐ Climate Change Adaptation 1 | |
| | | ☐ Climate Change Adaptation 2 | |