



Darwin Initiative Main Project Annual Report

To be completed with reference to the “Writing a Darwin Report” guidance: (<http://www.darwininitiative.org.uk/resources-for-projects/reporting-forms>). It is expected that this report will be a **maximum** of 20 pages in length, excluding annexes)

Submission Deadline: 30th April 2018

Darwin Project Information

Project reference	3319
Project title	Promoting the use of plant resources in research and development
Host country/ies	Ethiopia
Contract holder institution	Botanic Gardens Conservation International
Partner institution(s)	Ethiopian Biodiversity Institute
Darwin grant value	£268,475
Start/end dates of project	April 2016 – March 2019
Reporting period (e.g., Apr 2017 – Mar 2018) and number (e.g., Annual Report 1, 2, 3)	April 2017 – March 2018 Annual Report 2
Project Leader name	Suzanne Sharrock
Project website/blog/Twitter	http://bgci.org/policy/darwin_project/
Report author(s) and date	Suzanne Sharrock, Kate Davis, Tesfaye Awas, Ashenafi Ayenew. 28 April, 2018

1. Project rationale

At a time of global environmental change, population growth and economic development there is an increasing demand for genetic resources, both for local exploitation and for research and development. The utilisation of plant genetic material is governed by two international treaties: the Nagoya Protocol (NP), which operates on a bilateral basis through individually negotiated contracts, and the International Treaty on Plant Genetic Resources of Food and Agriculture (ITPGRFA), which takes a multilateral approach using a standard contract. While the aim of these two agreements is to promote the conservation and sustainable use of genetic resources and equitable sharing of benefits derived through their utilisation, many countries have yet to put in place functional mechanisms to effectively operationalise these agreements. Ethiopia has a framework in place but has identified as a priority the need to further promote and increase the amount of genetic material available for research, development and subsequent commercialisation. There are a wide range of stakeholders involved in the chain of custody and use of plant resources, and a growing range of institutions that acquire, hold and supply resources as intermediaries. Differences in Access and Benefit Sharing (ABS) understanding between these groups and the lack of a common ‘language’ leads to mistrust, misunderstandings and bottlenecks in the flow of genetic resources and the generation of benefits that can be shared with providers. Of particular concern to this project is the lack of guidance to support the access to plant genetic resources for research purposes and the general lack of awareness amongst collection holders of both the NP and the ITPGRFA. The project will aim to build the capacity of

plant collection holders to act as trusted intermediaries between the providers and users of plant resources and develop widely applicable recommendations for simplified measures to facilitate research on plant resources.

The project covers collection holders and researchers located across the whole of Ethiopia.

2. Project partnerships

The main project partner is the Ethiopian Biodiversity Institute (EBI). All project activities are carried out in partnership, with EBI being responsible for organising all local activities. This includes making arrangements for meetings and consultations with other local partners and stakeholders and coordinating with the National Steering Committee. BGCI provides expert technical support, coordination with the International Steering Committee and facilitation for meetings etc.

Year 2 of the project has seen greater involvement of the whole ABS team from EBI in project activities and the building of stronger relationships between BGCI and EBI.

3. Project progress

3.1 Progress in carrying out project Activities

Output 1: A methodology for reviewing and identifying ABS bottlenecks for research and benefit sharing and options for overcoming these published.

Activity 1.1: Establish Steering Committee

National and international Steering Committees were established in Year 1 of the project and these continued to meet during Year 2. Minutes of the National Steering Committee held in February 2018 are provided in Annex 1 and a report prepared for the International Steering Committee is available in Annex 2. To maximise synergies between this project and the UNDP/GEF Global ABS Project, the UNDP/GEF project's regional coordinator for Africa was invited to join the Darwin Project's International Steering Committee.

Activity 1.2 Identify key stakeholder groups

This activity was completed in Year 1

Activity 1.3: Develop guidelines and process for stakeholder consultations

The process developed in Year 1 was adapted in Year 2 as an expert facilitator was engaged to assist with the consultation process for the more heterogeneous researcher consultations. However, a participative approach was maintained and this has been adopted by EBI when carrying out additional ABS awareness-raising activities. Two standard questionnaires were developed to collect data pre- and post-consultation in a format suitable for later analysis. Examples are provided in Annex 3.

Activity 1.4: Carry out an ABS baseline survey

A list of 328 ABS agreements signed by EBI since 2010 was provided to the project in Year 1. This list was used to identify researchers that were invited to participate in the researcher stakeholder consultations in Year 2. Further work to refine the list and identify ways in which the information could be further used (for example as the basis for issuing Internationally Recognised Certificates of Compliance - IRCCs) was discussed with EBI and members of the ISC during Year 2. However, it was recognised that, as the agreements are signed by Ethiopian students and not foreign researchers, they are therefore not suitable for use as IRCCs. The project consultant has had further discussions with staff from EBI's ABS directorate about how to manage and track ABS agreements and work is ongoing with the developers of the BRAHMS database to develop a separate database module for EBI to more effectively register and track ABS agreements.

Activity 1.5: Carry out stakeholder consultations

Consultations were held with groups of researchers and collections holders in Year 1 (January 2017) and during Year 2 (July and October 2017). The consultations in Year 2 involved 45 collection holders from 23 institutions and 48 researchers from 28 institutions across Ethiopia.

Consultations were also held with:

- EBI staff from the ABS Directorate to understand the on-going process for ABS awareness raising and how the project could support this process.
- Additional researchers during visits to Bahir Dar University, Gonder University, Wollo University and Addis Ababa University
- International Livestock Research Institute (ILRI) staff involved in genebank management and Bioversity International staff involved in an agro-biodiversity project – Seeds for Needs.

Activity 1.6: Analyse results of stakeholder consultations, identify capacity gaps and bottlenecks

Results from the consultations with researchers and collection holders are provided in Annex 2. These results are derived from the information provided in the questionnaires that were completed by participants both pre- and post-consultations, and through group exercises and discussion.

We recognise that it is important to interpret these results carefully. They are indicative and not quantitative and, for the researchers, dominated by agricultural research. However, some general conclusions have emerged:

- There is a high level of support for regulating access to genetic resources and community knowledge by law amongst both researchers and collection holders, for the benefit of the country
- The majority of participants agreed that local communities should benefit from use of their genetic resources and community knowledge
- 90% agreed that Ethiopian ABS laws were relevant to their work
- ~33% were not familiar with the Ethiopian ABS Guide and Code of Conduct, both produced in 2012.

For collection holders, the results showed that most work within a domestic Ethiopian context, although they might supply material to Ethiopian researcher colleagues working more internationally.

Herbarium-based staff were concerned about their inability to share duplicate specimens with foreign institutions under the current law.

For researchers, the main constraints to the use of genetic resources and community knowledge that they identified were not directly related to ABS issues or processes but rather to:

- limited and/or low quality germplasm collections (mixed varieties, low viability, genetic erosion).
- lack of research facilities/technology.
- lack of reliable collections data (little or unreliable passport data).

Other general observations and conclusions arising from the consultations were:

- Researchers and collections holders seek more opportunities to communicate and collaborate with EBI.
- Currently few researchers are honouring their obligation (from the Material Transfer Agreement) to report their research results to EBI and deposit theses.

- Collection holders and researchers identified a strong need to improve their own systems and EBI collections' systems for data management.
- Improving collections and data quality is a key means to promote research and development in Ethiopia; data-sharing and feedback between collections, researchers and EBI are examples of non-monetary benefit-sharing that build scientific relationships and knowledge of Ethiopian biodiversity.
- Improved data management will also enable EBI ABS tracking/follow-up, e.g. on researchers' MTA obligation to report results.
- More communication and capacity building on ABS issues is required – especially for young researchers.
- Collection and export of genetic resources may also involve Ministry of Agriculture (quarantine), Customs and a range of other authorities, identified as important stakeholders – there is a need for a joined-up approach to raise awareness of the interactions and procedures required, ideally with those authorities' participation during the project; researchers expressed desire for a simple coordinated process for export.
- There is some unease about working with traditional knowledge and there is a need to build trust with local communities and traditional healers, and also to help to raise their awareness of ABS issues.
- There is a low awareness and understanding of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA) and rare use of the Standard Material Transfer Agreement for material on Annex 1 of the ITPGRFA.
- Collections holders and researchers (and EBI) are concerned about potential weak points (e.g. lack of ABS awareness at Customs), loopholes (e.g. embassies), misappropriation abroad and lack of follow-up by EBI on use of material; however researchers also shared experiences of ABS-aware colleagues in foreign labs.
- The Material Transfer Agreement for taking research material overseas is only signed by the Ethiopian researcher (usually a PhD student) taking the material abroad –there is no clear link to the foreign institution, making the MTA a poor tool for monitoring the movement of genetic resources and promoting benefit-sharing; furthermore EBI follow-up is disrupted when the PhD student subsequently moves to a new institution.
- Researchers were also critical of the EBI administrative process for the MTA, including the requirement to visit the EBI office in person and the need to deposit with EBI exact copies of any material exported (which may be worthless).

Activity 1.7: Review examples of best practice and make recommendation for their use in existing frameworks

This activity is related to Activity 3.1 and is reported there.

Output 2: Capacity built amongst collection holders and researchers to enable the use or appropriate modification of best practices and model ABS agreements, to support development of simplified access measure for non-commercial research.

Activity 2.1: Use results of stakeholder consultations to identify capacity gaps amongst collection holders

As mentioned under Activity 1.6 the stakeholder consultations revealed a number of areas where lack of capacity is a constraint for collection holders as well as researchers. Key amongst these is data management – and this will be a focus for training during Year 3 of the project. It is also clear that young university researchers do not know much about ABS and would benefit from support in this area.

Activity 2.2 Prepare training strategy and training materials

Following analysis of the results of the stakeholder analysis, a two-pronged training strategy has been agreed. This consists of developing training materials for collection holders to build their capacity in data management and raise awareness of national and international ABS measures, while at the same time, developing a separate set of materials appropriate for researchers, for dissemination at universities. EBI is keen for *ex situ* collections to use the BRAHMS database system for managing collection data. In Year 1, we carried out a BRAHMS training for a number of collection holders and this will continue in Year 3. We have also held discussions with the BRAHMS developers and are working with them to develop an updated 'ABS module' for BRAHMS to allow collection holders to track permits and other relevant information associated with the accessions in their collections, consistent with new global standards for collections data management.

For the researcher training, we plan to develop materials that will help researchers understand the system in Ethiopia for exporting genetic resources – including permits issued by different agencies and what their requirements are. We also plan to develop materials to help EBI ABS staff build capacity amongst young researchers in ABS issues. To this end, we are aiming to develop a series of 'use' scenarios, which will help to illustrate the different ways in which researchers access, use and distribute genetic resources and the relevant ABS requirements.

Activity 2.3 Deliver training courses

The need for building capacity in data management became clear during Year 1 of the project and indeed data management is an under-explored but critical component of Nagoya Protocol implementation. At the end of Year 1 (March 2017), two training courses in collection management were held – one focussing on databases and one on the management of living collections. These training courses served to highlight the importance of data management in relation to living and preserved collections. Reports on these training courses were provided with the Year 1 report. During Year 2, training was limited to general awareness raising of ABS issues during the stakeholder workshops, with presentations on the Nagoya Protocol, the ITPGRFA and the Ethiopian ABS framework provided at each of these consultations. The subsequent discussions during these sessions served to help participants understand ABS issues, especially as they relate to the work that they do. More formal training will be carried out in Year 3 of the project

Output 3: Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context

Activity 3.1: Compile examples and case studies of best practice

Wide ranging international contacts have been made with researchers, collection holders and their networks around the world to identify suitable examples of best practice. These examples show how practitioners acquire, use and transfer plant genetic resources, and share benefits in compliance with national and international laws, respecting the rights of provider communities and in accordance with mutually agreed terms.

To date, 18 examples have been identified and descriptions prepared. These are available on the BGCI website: <https://www.bgci.org/policy/abscasestudies/>

The practical examples highlight measures to strengthen relationships with communities, ABS training and awareness-raising within institutions and via networks, institutional responses to codes of conduct, and data management systems to maintain links between provider and permissions data and material. The examples so far come a range of countries, including Mexico, Morocco, Germany, France, Sweden and the UK.

Some of the measures are simple, some are more complex, depending on local context, needs and available resources. We hope that they will inspire further ideas for improving practical ABS implementation and will help Ethiopian institutions to recognise trustworthy potential research collaborators.

Activity 3.2: Analyse, review and make recommendations for their use in existing Ethiopian framework

Analysis and review is on-going and recommendations will be made in Year 3 of the project

Activity 3.3: Make case studies etc. available on-line and continue updating

As noted in 3.1 above, the case studies / examples are available on-line and efforts are continuing to update and include further examples. The examples are presented under the following themes (it should be noted that some of the examples are relevant to more than one theme):

- Codes of Conduct and their institutional implementation (8 examples from Mexico, UK, Sweden, Germany, France)
- Working with Communities and their traditional knowledge (4 examples from Morocco and Mexico)
- Data management systems (7 examples from Mexico, UK, Sweden, France and Germany)
- Benefit sharing (4 examples from Mexico and the UK)
- Awareness raising by networks and institutions (3 examples from the UK and France)

3.2 Progress towards project Outputs

Output 1: A methodology for reviewing and identifying ABS bottlenecks for research and benefit sharing and options for overcoming these published.

As reported in the Year 1 report, a methodology was developed for the first stakeholder consultations with collection holders. This consisted of an initial questionnaire to gather information on the existing level of understanding of ABS issues on an individual basis. This was followed by a series of formal presentations and participatory group work to discuss ABS issues as they apply to collections and a final questionnaire to gather data on an institutional basis in a format in which it could be recorded and analysed. This methodology was used with further stakeholder consultations held in Year 2 with both collection holders and researchers and proved to be successful with both groups of stakeholders. An experienced facilitator helped with the participatory group work with the researcher consultations and proved to be very helpful in motivating the participants and ensuring full participation by all.

A report on the results of the stakeholder consultations was presented to the International Steering Committee (ISC) and they considered it to be very useful (Annex 2). The Regional Coordinator for Africa from the 'UNDP/GEF Global ABS project *Strengthening human resources, legal frameworks and institutional capacities to implement the Nagoya Protocol*', is now a member of the ISC. He was particularly interested in the results of our consultations and will ensure that these results feed into the UNDP/GEF project as it gets underway in Ethiopia.

The measurement indicators for achieving this output relate to the existence of reports on the baseline situation and the stakeholder consultations. These reports are all due for completion in Year 3. All the relevant information is now available to the project and the reports will be completed next year.

Output 2: Capacity built amongst collection holders and researchers to enable the use or appropriate modification of best practices and model ABS agreements, to support development of simplified access measure for non-commercial research.

The results of the stakeholder analysis have highlighted the need for better record keeping and data management across collections and the high desirability of developing appropriate databases for use by collection managers. This was initially recognised in Year 1 of the project and two training courses were held at the end of this year (and reported in Year 1). The need for a focus on data management has been reinforced during Year 2 and this will be main topic for training in Year 3. In Year 2, capacity building took the form of more informal learning, where

through the stakeholder consultation process, collection holders and researchers had the opportunity to learn more about the international and national frameworks governing access and benefit sharing.

The indicators for this output relate to the outcomes of the training courses – an activity to be undertaken mainly in Year 3.

Output 3: Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context

Examples and case studies from other countries are now available on the BGCI website and accessible from the project web page. Staff from EBI's ABS Directorate have been encouraged to review these and assess their usefulness in the Ethiopian context. A number of further examples are under development and will be added to the website shortly. While many of the examples come from user countries rather than providers, there are some useful examples from Mexico of guidelines that have been developed for use by collection holders when accessing material from local communities. Such guidelines may have particular relevance in Ethiopia. During Year 3, a focus will be on identifying relevant best practices that may be suitable for adoption in Ethiopia.

Output 4: A widely-disseminated policy brief making recommendations for the development of simplified measures for access for non-commercial research and use of best practices

Activities related to this output have not been formally initiated.

3.3 Progress towards the project Outcome

Project outcome: Collection holders, researchers and policy makers will have a 'road map' to guide decision-making and policy development to facilitate access to and utilisation of plant resources for research and development.

The project has continued to make good progress towards achieving indicator 0.3: *"By the end of the project, stakeholders in Ethiopia will have a better understanding of, and involvement in, ABS issues."* During Years 1 and 2 a significant number of collection holders and researchers have been impacted by the project – through stakeholder consultations and other informal contacts – and this will continue in Year 3 through the capacity building work.

Progress is also being made against indicator 0.1: *"By year 3, a tested methodology to identify research and benefit sharing bottlenecks in national ABS frameworks at collection holder/researcher level and options for addressing these will be available."* Progress in this area is described under Output 1 and Activity 1.3.

Indicator 0.2 has not yet been addressed by the project but remains a valid indicator.

3.4 Monitoring of assumptions

The important assumptions identified in the project proposal still hold true. For those relevant to activities carried out to date, we have the following comments

Assumption 1: *Stakeholder groups are representative of the wider community.*

Comments: As reported in the Year 1 report, we have been careful to put limits around the project and not try to extend to stakeholders that are beyond the immediate focus of the project. For example, the project will not consult with local communities, as the Ethiopian ABS team prefers that this project should closely address the collections and research communities, which have been under-involved in other ABS work in Ethiopia. With respect to collections holders, we

believe our consultations have included good representation from across this group. However, we are aware that the researchers consulted so far have been dominated by the agriculture sector, and we have had less input from other relevant groups of researchers – such as those from the pharmaceutical, ethnobotanical or taxonomic sectors. This bias towards the agriculture sector is because this is the group that has so far signed more ABS agreements with EBI to take plant material outside Ethiopia for non-commercial research purposes and our consultations were focused on those who had already been involved in signing such agreements, as this was a priority issue for EBI. We will take steps in Year 3 to ensure that other, non-agricultural researchers are also contacted through the project.

Assumption 2: Stakeholders are willing to participate in the process

Comments: Our experience to date is that the stakeholders are very willing to participate in the process. This is because the focus of the project (ABS) is very relevant to their work and they therefore keen to engage.

Assumption 3: Full participation of collection holders in the consultation and training process.

Comments: As with assumption 2, collection holders have so far been very engaged in the project process. Comments received from participants during the consultations have been extremely positive and the participative methodology adopted, although new to many participants, is much appreciated.

Assumption 4: Suitable case studies and examples are available and can be accessed

Comments: While a number of examples have been identified, many of these are from the same countries. It has proved difficult to find relevant examples from a wide geographic background – probably reflecting the fact that ABS legislation is not well developed and many countries and institutions are at very early stage of recognising and addressing the issues. As ABS is seen as a sensitive, challenging issue, we also have perceived reluctance to publicly share examples of institutional ABS measures that are in development or less than perfect.

3.5 Impact: achievement of positive impact on biodiversity and poverty alleviation

As mentioned in the Year 1 report, the project has identified a wide range of activities where plant resources are being used in research and development, in Ethiopia and abroad. Documentation of the extent and range of use is an essential first step in being able to measure increased use. The consultations are also serving to identify and document how well benefits are being shared. In many cases benefits are non-monetary and as such are not always recognised as benefits. Again, documentation of benefit sharing is essential and prior to this project, no effort had been made to document and record non-monetary benefit sharing.

4. Contribution to the Global Goals for Sustainable Development (SDGs)

The following SDGs are relevant to our project:

SDG 15 – Life on land, especially Target 15.6: *Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed.*

Our project has contributed to raising awareness of and building capacity to achieve fair and equitable sharing of the benefits arising from the utilization of genetic resources.

The project is also contributing to:

SDG 1: End poverty in all its forms everywhere, and particularly Target 1.4: *By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic*

resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance.

Although our project does not directly address community rights, by building awareness and capacity amongst collection holders and researchers of ABS issues, this will ensure that plants accessed from communities will be done with due recognition of communities' rights and involve the sharing of benefits from plant research with communities.

5. Project support to the Conventions, Treaties or Agreements

The project is specifically focused on the implementation of the Nagoya Protocol (NP) and the ITPGRFA. The main project partner (EBI) is the ABS and ITPGRFA Focal Point in Ethiopia, and the Institute is currently updating their pre-NP ABS laws and measures so that Ethiopia will be in compliance with both the NP and the ITPGRFA. The project is particularly contributing to core NP provisions on benefit sharing (Article 5) and will identify opportunities to implement Article 8a (Special Considerations) regarding non-commercial research, evaluate guidance on best practices and model ABS agreements (Articles 20 and 19), and contribute to awareness-raising (Article 21) and capacity-building (Article 22). The project is also raising awareness and promoting the NP amongst a wide range of stakeholders, with a focus on *ex situ* collection holders and researchers, and is building capacity to implement the NP amongst these groups. With regard to the ITPGRFA, the project is helping to raise awareness of the ITPGRFA, and is assessing and will make recommendations on how this and the Nagoya Protocol can be implemented in a mutually supportive manner, gathering and analysing relevant case studies and examples.

6. Project support to poverty alleviation

While the project does not include a specific focus on poverty alleviation, as mentioned under point 4 above, the project is helping to build awareness of the role of local communities in providing plant resources for research and development – and the need for benefits (both commercial and non-commercial) to be shared with such communities. During the stakeholder consultations, explicit efforts have been made to identify specific benefits that communities might receive from the use of their plant resources.

7. Project support to gender equality issues

The project does not have a specific focus on gender issues and we are aware that women have been very much under-represented in our stakeholder consultations. This reflects the lack of women researchers in general in the plant-based research community in Ethiopia. However, we have stressed to EBI the importance of including women whenever possible in any project activities and, although women are under-represented, we have deliberately selected a number of women for leading roles during the consultation activities.

8. Monitoring and evaluation

Monitoring and evaluation is the responsibility of the International Steering Committee. Following a recommendation in Year 1, the Africa Coordinator of the UNDP/GEF global ABS project is now a member of this Committee. It was also suggested that the leader of the Seeds for Needs project be invited onto the ISC. This has not happened, but in-depth discussions have been held with this project and a case study is being prepared for the project.

This Committee reviewed project progress against the project workplan during a skype meeting in February 2018. In general, the ISC expressed satisfaction with the progress of the project and felt that much useful information had been obtained.

A concern that the project would be 'swamped' by the new UNDP/GEF project has not materialised as this project has yet to start implementation in Ethiopia.

A number of issues identified at this meeting include:

- The need for good data management as an underlying requirement in order for countries to meet their obligations under the Nagoya Protocol. This might be a constructive topic for a side event at one of the upcoming CBD meetings in 2018 (SBSTTA, SBI or COP14)
- The UNDP/GEF project will be looking at draft guidelines for handling information on traditional and community knowledge in African countries including Ethiopia during 2018. This will include a consultation on bio-cultural protocols. Information from this Darwin project will be used as invaluable background for understanding the collections/research stakeholders involved and developing the consultations.
- The possibility to also link with information and technology projects for ABS that are being implemented in India and Kenya.
- In general the ISC were pleased with the progress of the project and the information it has generated so far.

9. Lessons learnt

As reported in the Year 1 report, face-to-face meetings of the ISC are very difficult to organise due to the busy schedules of all members of the Committee. In Year 2 we therefore focused more on individual discussions with members of the Committee as and when these were possible and organised a single joint skype call towards the end of Year 2.

The first consultation with researchers was organised at rather short notice by EBI and attendance was poor. For the second consultation, much greater notice was given and efforts were made to follow-up invitations individually with telephone calls to ensure that participants had received the invitation and were able to attend. This did ensure good participation and the need for preparing early for such meetings was acknowledged as important by EBI.

Communication with the local partner by email has been challenging at all stages, from project planning onwards; Ethiopia-based actions have centred almost exclusively around BGCI visits. Implementation at EBI is likely hampered by the institutional structure, whereby formal responsibility for project implementation is predominantly assigned outside the actual ABS Directorate, though the latter team's active and substantial input is critical.

The improvement in Year 2 communication has stemmed in part from BGCI getting to know some of the individuals in the ABS Directorate team, and communicating more directly with those who are engaged, willing and able to follow up on specific activities.

Our aim in Year 3 of the project is to ensure that the EBI team are fully engaged in all activities and that resources developed are useful to them for future capacity building activities they will be engaged in.

10. Actions taken in response to previous reviews (if applicable)

The comments provided by the reviewers of last year's report are addressed below:

1. *Links with the Global UNDP/GEF ABS project* – The Africa Coordinator for this project is now a member of this project's ISC. The project manager attended the Ethiopian inception workshop for the UNDP/GEF project and had discussions with the GEF representative in Addis Ababa. The UNDP/GEF project has so far not commenced activities in Ethiopia.
2. *Gender imbalances at meetings*: This has been noted by EBI and efforts are being made to include women whenever possible
3. *Is there a plan to develop a project website?* Project pages have been developed within the BGCI website: https://www.bgci.org/policy/darwin_project/

11. Other comments on progress not covered elsewhere

12. Sustainability and legacy

ABS is an important issue in Ethiopia and the Ethiopian Biodiversity Institute recognises the project as providing important support for its own work in building awareness and capacity amongst key stakeholders. At the time of project initiation, the Director of EBI was Dr Gemedo Dalle and he took a personal interest in the project. Dr Gemedo is now the Hon. Minister of Environment, Forest and Climate Change for Ethiopia and as such, is in an influential position to promote and support the project. The new Director of EBI is part of the project's National Steering Committee and is taking a personal interest in the project.

13. Darwin identity

The project was presented in two sessions held at the 6th Global Botanic Gardens Congress in Geneva in June 2017. This congress was attended by over 550 delegates from 65 countries. The first was a session focused on Darwin Initiative projects, where a presentation was made on the project itself.

The second event was a symposium on ABS where the initial results of the project were presented, together with presentations on ABS from other countries around the world (Annex 8).

Both events were well attended and served to raise awareness of the project activities. The ABS symposium also allowed the Ethiopian project partners to interact with others involved in implementing ABS in other countries. Of particular interest was a presentation from Mexico introducing the new Code of Conduct that has been developed for *ex situ* collection holders, providing guidelines on how to interact with local communities when collecting plant material.

The project also helped to support the participation of two EBI staff members (Dr. Melesse Maryo, Director General of Ethiopian Biodiversity Institute and Mr. Ashenafi Ayenew, Director, Genetic Resource Access and Benefit Sharing Directorate, EBI) in an ABS consultation meeting held from August 27 - 31, 2017 at the International Academy for Nature Conservation, Isle of Vilm, Germany.

The meeting – *The Vilm ABS Dialogue – Informing about Domestic Measures for Access to Genetic Resources* had as its objectives:

- To identify and present best-practices on available, clear and transparent access regulations with representatives of CNAs/NFPs of provider countries.
- To allow users of genetic resources to be better informed by countries that have structured, clear, and transparent access measures in place.

The Ethiopian team presented the Ethiopian ABS law (proclamation and regulation), detailed ABS procedures with prepared flow charts and an Ethiopian ABS case study.

The Darwin Initiative was duly acknowledged for supporting this participation.

The collection of ABS examples and case studies by the Project Consultant has helped to raise the profile of the project with the wider international ABS community.

Within Ethiopia, the Darwin logo and identity have been prominently used/referenced during all of our project activities.

14. Project expenditure

Table 1: Project expenditure during the reporting period (1 April 2017 – 31 March 2018)

Project spend (indicative) since last annual report	2017/18 Grant (£)	2017/18 Total Darwin Costs (£)	Variance %	Comments (please explain significant variances)
Staff costs (see below)			3.9%	£4,000 surrendered from Year 1 (2016/17)
Consultancy costs			0.0%	
Overhead Costs			2.5%	Calculated as 15%
Travel and subsistence			-6.9%	
Operating Costs			9.2%	
Capital items (see below)				
Monitoring & Evaluation (M&E)			-5.9%	
Others (see below)				
TOTAL				

Highlight any agreed changes to the budget and **fully** explain any variation in expenditure where this is +/- 10% of the budget. Have these changes been discussed with and approved by Darwin?

Annex 1: Report of progress and achievements against Logical Framework for Financial Year 2017-2018

Project summary	Measurable Indicators	Progress and Achievements April 2017 - March 2018	Actions required/planned for next period
<p>Impact</p> <p>Plant genetic resources are being used in research and development and such activities enable the generation and sharing of benefits thus helping to achieve the ABS provisions of the CBD</p>		<p>The project has identified a wide range of projects where plant resources are being used in research and development, in Ethiopia and abroad. Non-monetary benefits being derived from these projects are being identified and documented for the first time.</p>	
<p>Outcome Outcome</p> <p>Collection holders, researchers and policy makers will have a 'road map' to guide decision-making and policy development to facilitate access to and utilisation of plant resources for research and development.</p>	<p>0.1 By year 3, a tested methodology to identify research and benefit sharing bottlenecks in national ABS frameworks at collection holder/researcher level and options for addressing these will be available.</p> <p>0.2 By the end of the project, recommendations on simplified measures for access to materials for non-commercial research will be submitted to policy makers.</p> <p>0.3. By the end of the project, stakeholders in Ethiopia will have a better understanding of, and involvement in, ABS issues.</p>	<p>The project has developed a methodology for carrying out stakeholder consultations applicable for both collections holders and researchers. As a result of this methodology, key bottlenecks and capacity gaps have been identified.</p> <p>The project has also gathered a significant amount of information on the role of <i>ex situ</i> collection holders and researchers on the use of plant resources in research and development.</p> <p>Key stakeholders who have been involved in consultations have a better understanding of ABS issue as they relate to their work with plant resources in Ethiopia.</p>	<p>The focus in Year 3 will be on capacity building – with a focus on data management and developing resources useful for researchers engaged in ABS issues.</p> <p>During Year 3 we will also look at the overall findings of the project and provide a series of recommendations for the various stakeholders.</p>
<p>Output 1. A methodology for reviewing and identifying ABS bottlenecks for research and benefit sharing and options for overcoming these published.</p>	<p>1.1 By December 2016, review of existing ABS-agreements carried out and baseline established with respect to stakeholders involved.</p> <p>1.2 By September 2017, at least 8 stakeholder consultations completed</p>	<p>A review of existing ABS agreements has been completed (Section 3.1, Activity 1.4)</p> <p>Stakeholder consultations have been completed with Collection holders; Researchers; EBI ABS staff; International organisations (Section 3.2)</p> <p>A methodology has been developed and results of consultations have been analysed (Section 3.2 and Annex 2)</p>	

	<p>and major ABS bottlenecks for research identified.</p> <p>1.3. By September 2018, options for overcoming bottlenecks reviewed and recommendations provided to Ethiopian partners.</p> <p>1.4 By December 2018, a report detailing the methodology used to identify and overcome bottlenecks available on CBD and BGCI websites.</p>	The results of the stakeholder consultations have been analysed and bottlenecks identified
Activity 1.1 Establish Steering Committee		Completed
Activity 1.2 Identify key stakeholder groups.		Completed
Activity 1.3: Develop guidelines and process for stakeholder consultations		Completed
Activity 1.4: Carry out an ABS baseline survey		Completed
Activity 1.5 Carry out stakeholder consultations		Completed
Activity 1.6 Analyse results of stakeholder consultations, identify capacity gaps and bottlenecks		Completed
Activity 1.7 Review examples of best practice and make recommendations for their use in existing frameworks		This activity is ongoing and best practices will be reviewed and recommendations developed in Year 3
Activity 1.8 Publish report on methodology used to carry out review		This will be carried out in Year 3
Activity 1.9 Disseminate results of stakeholder consultations		This will be carried out in Year 3
<p>Output 2. Capacity built amongst collection holders and researchers to enable the use or appropriate modification of best practices and model ABS agreements, to support the development of simplified access measures for non-commercial research.</p>	<p>2.1 By September 2017, capacity gaps amongst collection holders identified and training strategy developed.</p> <p>2.2 By October 2018, training materials developed, 4 national training courses held and at least 20 staff trained.</p> <p>2.3 By March 2019, training resources available on-line to support capacity building more widely.</p>	<p>Capacity gaps have been identified and some initial training carried out in Year 1. See section 3.2</p> <p>Training materials will be developed and capacity building activities will take place in Year 3.</p>
Activity 2.1. Use results of consultations with collection holders to identify capacity gaps		Completed

Activity 2.2. Prepare training strategy and training materials.		Training strategy has been developed and training materials are under development. See Section 3.1 Activity 2.2
Activity 2.3 Deliver training courses		Some training carried out in Year 1 but this activity will mainly be carried out in Year 3
Activity 2.4 Adapt training materials to self-learning modules and make available on-line		This activity will be carried out in Year 3
Activity 2.5 Carry out survey of trained researchers to evaluate learning success		This activity will be carried out in Year 3
Output 3. Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context..	<p>3.1 By September 2017, examples of best practice and case studies on simplified measures for access from around the world compiled and made available on the CBD and BGCI websites.</p> <p>3.2. Recommendations on adopting these provided to Ethiopian partner by December 2017.</p> <p>3.3 Continuing addition of cases studies to websites until March 2019.</p>	<p>Examples and case studies of best practice have been collected and are available on the BGCI project web pages. See Section 3.1 Activities 3.1 and 3.2</p> <p>Recommendations on these will be developed in Year 3 and further examples will be collected until the end of the project.</p>
Activity 3.1 Compile examples and case studies of best practice,		Ongoing
Activity 3.2 Analyse, review and make recommendations for adopting these into existing Ethiopian framework		This will be carried out in Year 3
Activity 3.3 Make cases studies etc. available on-line and continue updating		Ongoing
Output 4 Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context.	<p>4.1. By August 2018, policy brief drafted based on examples and case studies and on field experience in Ethiopia.</p> <p>4.2 By December 2018, policy brief reviewed and finalised and disseminated via BGCI and CBD channels.</p> <p>4.3 Final results of the project reported at final project meeting in March 2019.</p>	Activities towards this output will be carried out in Year 3

Activity 4.1 Draft policy brief based on field experience in Ethiopia and using examples of best practice	This activity will be carried out in Year 3
Activity 4.2 Carry out peer review of policy brief	This activity will be carried out in Year 3
Activity 4.3 Develop strategy for communicating policy brief	This activity will be carried out in Year 3
Activity 4.4 Launch final version at final project meeting	This activity will be carried out in Year 3

Annex 2: Project's full current logframe as presented in the application form (unless changes have been agreed)

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Impact: Plant genetic resources are being used in research and development and such activities enable the generation and sharing of benefits thus helping to achieve the ABS provisions of the CBD</p> <p>(Max 30 words)</p>			
<p>Outcome:</p> <p>(Max 30 words)</p> <p>Collection holders, researchers and policy makers will have a 'road map' to guide decision-making and policy development to facilitate access to and utilisation of plant resources for research and development.</p>	<p>0.1 By year 3, a tested methodology to identify research and benefit sharing bottlenecks in national ABS frameworks at collection holder/researcher level and options for addressing these will be available.</p> <p>0.2 By the end of the project, recommendations on simplified measures for access to materials for non-commercial research will be submitted to policy makers.</p> <p>0.3. By the end of the project, stakeholders in Ethiopia will have a better understanding of, and involvement in, ABS issues.</p> <p>0.4 By the end of the project, new ABS agreements are being developed by a greater range of stakeholders.</p>	<p>1.1 Methodology available on CBD and BGCI websites.</p> <p>1.2 Relevant text in Ethiopian ABS reports.</p> <p>1.3 Researcher questionnaires and comparison with baseline information.</p>	<p>There is political will to implement ABS agreements in Ethiopia.</p> <p>Stakeholders understand that utilisation is necessary for benefit sharing.</p> <p>Simplified access measures are acceptable to stakeholders and policy makers.</p> <p>Lead agency will actively promote supportive policies to relevant decision makers.</p>
<p>Outputs:</p> <p>1. A methodology for reviewing and identifying ABS bottlenecks for research and benefit sharing and</p>	<p>1.1 By December 2016, review of existing ABS-agreements carried out and baseline established with respect to stakeholders involved</p>	<p>1.1. Report on baseline situation</p> <p>1.1 Reports from stakeholder consultations including information on key ABS bottlenecks.</p>	<p>Stakeholder groups are representative of the wider community.</p>

<p>options for overcoming these published.</p>	<p>1.2 By September 2017, at least 8 stakeholder consultations completed and major ABS bottlenecks for research identified.</p> <p>1.3. By September 2018, options for overcoming bottlenecks reviewed and recommendations provided to Ethiopian partners.</p> <p>1.4 By December 2018, a report detailing the methodology used to identify and overcome bottlenecks available on CBD and BGCI websites.</p>	<p>1.2 Project reports including information on draft methodology and mechanisms for finalising.</p> <p>1.3. Methodology available.</p>	<p>Methodology developed in Ethiopian context is applicable in other country contexts.</p> <p>Stakeholders are willing to participate in the process.</p>
<p>2. Capacity built amongst collection holders and researchers to enable the use or appropriate modification of best practices and model ABS agreements, to support the development of simplified access measures for non-commercial research.</p>	<p>2.1 By September 2017, capacity gaps amongst collection holders identified and training strategy developed.</p> <p>2.2 By October 2018, training materials developed, 4 national training courses held and at least 20 staff trained.</p> <p>2.3 By March 2019, training resources available on-line to support capacity building more widely.</p>	<p>Training course reports including self-assessments from participants on knowledge gained.</p> <p>Training materials available on-line .</p>	<p>Full participation of collection holders in the consultation and training process.</p> <p>Collection holders remain in post.</p> <p>Existing best practices and model agreements are appropriate or can be modified to fit the Ethiopian context.</p>
<p>3. Recommendations on adopting, or modifying as appropriate, best practices for collections and researchers into the existing Ethiopian ABS framework, based on a global review of best practices and case studies and consideration of national and regional context.</p>	<p>3.1 By September 2017, examples of best practice and case studies on simplified measures for access from around the world compiled and made available on the CBD and BGCI websites.</p>	<p>Project reports.</p> <p>Information on CBD and BGCI websites.</p>	<p>Suitable case studies and examples are available and can be accessed.</p>

	<p>3.2. Recommendations on adopting these provided to Ethiopian partner by December 2017.</p> <p>3.3 Continuing addition of cases studies to websites until March 2019.</p>		
<p>4. A widely-disseminated policy brief making recommendations for the development of simplified measures for access for non-commercial research and use of best practices.</p>	<p>4.1. By August 2018, policy brief drafted based on examples and case studies and on field experience in Ethiopia.</p> <p>4.2 By December 2018, policy brief reviewed and finalised and disseminated via BGCI and CBD channels.</p> <p>4.3 Final results of the project reported at final project meeting in March 2019.</p>	<p>Project report.</p> <p>Policy brief available.</p> <p>Documentation for final project meeting.</p>	<p>Policy makers are interested in adopting new policies that facilitate research.</p>

Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)

- 1.1 Establish Steering Committee
- 1.2 Identify key stakeholder groups
- 1.3 Develop guidelines and process for stakeholder consultations
- 1.4 Carry out ABS baseline survey
- 1.5 Carry out stakeholder consultations
- 1.6 Analyse results of stakeholder consultations, identify capacity gaps and research and benefit sharing bottlenecks
- 1.7 Review examples of best practice including model agreements and make recommendations for their use in existing frameworks
- 1.8 Publish report on methodology used to carry out review
- 1.9. Disseminate results of stakeholder consultations

- 2.1 Use results of consultations with collection holders to identify capacity gaps (see Activity 1.5)
- 2.2 Prepare training strategy and training materials
- 2.3 Work with EBI to deliver ABS training at national level
- 2.4 Adapt training materials to self-learning modules and make available on-line.
- 2.5 Carry out survey of trained researchers to evaluate learning success

- 3.1 Compile examples and case studies of best practice,

3.2 Analyse, review and make recommendations for adopting these into existing Ethiopian framework (see Activity 1.6)

3.3 Make cases studies etc. available on-line and continue updating.

4.1 Draft policy brief based on field experience in Ethiopia and using examples of best practice (see Activity 3.1)

4.2 Carry out peer review of policy brief.

4.3 Develop strategy for communicating policy brief

4.4 Launch final version at final project meeting and disseminate according to strategy

Annex 3: Standard Measures

Table 1 Project Standard Output Measures

Code No.	Description	Gender of people (if relevant)	Nationality of people (if relevant)	Year 1 Total	Year 2 Total	Year 3 Total	Total to date	Total planned during the project
Established codes								
6A	Number of people receiving training in issues related to ABS and collection management		Ethiopian	71	93		164	150
6B	Number of training weeks to be provided			2	2			6
7	Number of types of training materials to be produced			2			2	8
14 A	Number of conferences/seminars/workshops to be organised within country			2	4		6	6
14B	Number of conferences/seminars/workshops organised to present the project work			1	1		2	4

Table 2 Publications

Title	Type (e.g. journals, manual, CDs)	Detail (authors, year)	Gender of Lead Author	Nationality of Lead Author	Publishers (name, city)	Available from (e.g. weblink or publisher if not available online)

Annex 4 Onwards – supplementary material (optional but encouraged as evidence of project achievement)

Annex 4: Notes from the National Steering Committee meeting

Annex 5: Analysis of stakeholder consultations – report provided to the International Steering Committee

Annex 6: Pre-consultation questionnaire

Annex 7: Post-consultation questionnaire

Annex 8: Abstract for symposium at the 6th Global Botanic Gardens Congress, Geneva, 6-10 July, 2018.

Checklist for submission

	Check
Is the report less than 10MB? If so, please email to Darwin-Projects@ltsi.co.uk putting the project number in the Subject line.	Yes
Is your report more than 10MB? If so, please discuss with Darwin-Projects@ltsi.co.uk about the best way to deliver the report, putting the project number in the Subject line.	
Have you included means of verification? You need not submit every project document, but the main outputs and a selection of the others would strengthen the report.	Yes
Do you have hard copies of material you want to submit with the report? If so, please make this clear in the covering email and ensure all material is marked with the project number.	No
Have you involved your partners in preparation of the report and named the main contributors	Yes
Have you completed the Project Expenditure table fully?	Yes
Do not include claim forms or other communications with this report.	