



Global Environment Facility

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February 2, 2004

Dear Council Member:

I am writing to notify you that UNEP, the Implementing Agency for the project entitled, *Global: Building Capacity for Effective Participation in the Biosafety Clearing House (BCH) of the Cartagena Protocol*, has submitted the proposed project document for CEO endorsement prior to final approval of the project in accordance with UNEP procedures.

Over the next four weeks, the Secretariat will be reviewing the project document to ascertain that it is consistent with the proposal included in the work program approved by the Council in November 2003, and with GEF policies and procedures. The Secretariat will also ascertain whether the proposed level of GEF financing is appropriate in light of the project's objectives.

If by March 1, 2004, I have not received requests from at least four Council Members to have the proposed project reviewed at a Council meeting because in the Member's view the project is not consistent with the Instrument or GEF policies and procedures, I will complete the Secretariat's assessment with a view to endorsing the proposed project document.

We have today posted the proposed project document on the GEF website at www.gefweb.org. If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

Leonard Good
Chief Executive Officer and
Chairman

cc: Alternates, Implementing Agencies, STAP



United Nations Environment Programme

برنامج الأمم المتحدة للبيئة • 联合国环境规划署
PROGRAMME DES NATIONS UNIES POUR L'ENVIRONNEMENT • PROGRAMA DE LAS NACIONES UNIDAS PARA EL MEDIO AMBIENTE
ПРОГРАММА ОРГАНИЗАЦИИ ОБЪЕДИНЕННЫХ НАЦИЙ ПО ОКРУЖАЮЩЕЙ СРЕДЕ

DIVISION OF GEF COORDINATION

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TELEFAX TRANSMISSION

| | | |
|----------------|---|------------------------------|
| To: | Mr. Kenneth King Assistant Chief Executive Officer GEF Secretariat Washington, D.C. 20433, <u>USA</u> | Date: 13 January 2004 |
| | (1 202) 522 3240/3245 | |
| | ATTN: GEF Programme Coordination | |
| From: | Mr. Ahmed Djoghla Director Division of GEF Coordination | |
| | | Page 1 of 1 |
| Subject | BD Biosafety : Building capacity for effective participation in the Biosafety Clearing House of the Cartagena Protocol | |

Please find attached the revised project entitled "Building capacity for effective participation in the Biosafety Clearing House of the Cartagena Protocol" for final CEO endorsement.

Regards.



United Nations Environment Programme

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BUILDING CAPACITY FOR EFFECTIVE PARTICIPATION IN THE BIOSAFETY CLEARING HOUSE OF THE CARTAGENA PROTOCOL

Response to Comments from Council Members December 2003

| Country | Comments | Action Taken |
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| Germany: | <p>Relationship to BCH Partnership Initiative Proposal from 2002 A comparable project – the “Partnership Initiative Proposal – Global Partnership Towards Building Capacities in Developing Countries for Effective Participation in the Biosafety Clearing House” has been developed by the SCBD and was circulated as suggested “type-two outcome” of the WSSD in August 2002.</p> <p><u>Questions BCH Partnership Initiative Proposal</u> BMZ would like to know the reasons why this proposal has not been taken up by the potential governmental, intergovernmental and non-governmental partners. If there were any concrete comments and criticism on the proposal in which way have they been reflected in the new draft proposal?</p> | <p>The limited funds committed to SCBD under the WSSD initiative have now been redirected to the support of the BCH more generally. However, UNEP Development project cannot give reasons for decisions for limited support being given to the proposal for the Type 2 initiative, as we were not involved in this project and did not receive any of the comments. Details on other activities being supported can be obtained from SCBD. The activities proposed in this project are largely similar to what was envisioned under the Partnerships Initiative proposal. After the WSSD, various agencies further explored the partnerships proposal, and it was generally agreed that the UNEP-GEF Development of National Biosafety Frameworks project has already established institutional networks and administrative structures in the country, and it was appropriate to whatever extent possible not to duplicate such arrangements but rather build on existing structures and therefore it would be more efficient to deliver BCH capacity-building through the existing UNEP-GEF project structure.</p> |

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| | <p>Support for Computer Hardware BMZ would like to know more about the relationship between activities and support for purchasing computer hardware in both the NBF and the BCH projects. The BCH draft proposal states that in the NBF projects:</p> <p><i>“An average level of financial support of around 14,000 USD per country has been provided for computer equipment and software. However, this support is directed at the development of the national biosafety framework rather than the aim of connectivity to the BCH nor did the project design include training of national personnel to use and access the BCH. Therefore the funds from the proposed project are expected to fulfill all requirements for equipment and services related to establishment of national BCH components.”</i> (pg 16)</p> <p>The summary of the results of the Questionnaire on resources and expertise available in countries for the exchange of information with the Biosafety Clearing House of the Cartagena Protocol mentions that:</p> <p><i>“76.1 % of respondents reported the intention of their countries to set up a national biosafety database, very often as an activity under UNEP-GEF project on the development of national biosafety framework. [...] The majority of respondents have indicated that their countries plan to use the central BCH database located at the Secretariat of the Convention on Biological Diversity to store their biosafety data (57.6%) while 31.8% are not aware of such plans”</i> (p. 5)</p> <p><u>Questions on Support for Computer Hardware</u> BMZ would like to be informed about the concrete BCH activities under the different national NBF projects and the actual additional needs of the countries. Furthermore, some clarification on the possibility to store the data at the central BCH database and the implications for needed computer hardware at national BCH should be given.</p> | <p>The project has been revised to specifically request countries that would like to participate in the BCH project to include a baseline analysis in order to qualify for the project. This analysis would contain details of all their relevant computer hardware and software and connectivity, etc, as well as any BCH-related training they might have received under the NBF project or elsewhere.</p> <p>Activities for each country will be designed to correspond with their specific needs and requirements as identified by them in their baseline analysis, the BCH questionnaire and the CBD Secretariat synthesis reports on capacity needs of countries (<i>ICCP3/5Add 3, ICCP3/INF8 and ICCP3/INF9</i>).</p> <p>The CBD Secretariat has prepared some initial guidelines for national governments to evaluate the various options available for developing national components of the BCH. (For further information, http://bch.biodiv.org/Toolkit_homepage/home.html). In this context, countries will be encouraged to choose an option that is appropriate to their country needs and ability to meet their corresponding commitments. There are differing resource requirements for set up and maintenance of each option in terms of Internet connectivity, personnel costs, security, maintenance costs, hardware and software. Correspondingly, the commitment required to implement and maintain each option will vary.</p> <p>Each country will be requested to identify their own needs and the project will be designed individually for each country. Additional funds will be provided for equipment only after thorough analysis of the country’s proposals and cost-effective alternative solutions.</p> |
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| | <p>Methodology of the Workshops From the experience with the workshops convened as part of the NBF programme, it will be necessary not to copy the format of workshops but to develop a more need-based, modular concept. The requested support for the Component A: Training is going to make up 55% of the requested financial support and the training activities are the very elements of the project that decides about the success of the project.</p> <p><u>Suggestions non-Internet Based BCH</u> BMZ recommends that a clear workshop concept taking into account the experience made during the NBF programme is developed before a decision on the project approval.</p> | <p>Workshops for this project will be designed taking into account the different levels of computer literacy and therefore the corresponding capacity needs in different countries. Three different levels of training have been identified as per the needs of the countries:</p> <ol style="list-style-type: none"> 1. Training for countries that have advanced knowledge and the appropriate computer networks, connectivity etc and only require specific training on the BCH; 2. Training for countries that have lower levels of connectivity and insufficient expertise in computers, and require more intensive training in both BCH-specific requirements and computer networks; 3. Training for countries that have no internet connectivity and require training on BCH-specific requirements and the specifics of how to report to the BCH through other means available – CDs provided by the CBD Secretariat, faxes etc. <p>The project has been modified to include this in Section 3 Project Components</p> |
| | <p>Role of Stakeholders in the Project It was not clear to BMZ what exact role “stakeholders” are going to play in the new draft project. On the one side, under outcome two “<i>Strengthened national infrastructure in order to be able to actively use and access the BCH</i>” it is mentioned that: “<i>A core group of relevant stakeholders trained to maintain national database</i>” (p. 10) On the other side item no. 6 “<i>Stakeholder Participation and Implementation Arrangements</i>” states under 6.1 “One of the central purposes of building capacity to utilize the BCH by developing countries is to broaden stakeholders involvement in the use and access to the information” (p 14). While the first sentence implies that stakeholders, and not only the responsible governmental body, are actively involved in maintaining the BCH and the second implies training for stakeholders to use the BCH.</p> <p><u>Suggestion Stakeholders</u> BMZ believes that the maintenance of the BCH should be the under the sole responsible government body. The proposal has to be changed accordingly.</p> | <p>The two stakeholder groups mentioned are different and some clarification is needed. The first mentioned ‘<i>core group of relevant stakeholders</i>’ refers to the responsible people and competent agencies that are, or will be directly involved with the maintenance and use of the BCH. The project will train this group of governmental stakeholders to enable them to use the BCH to involve stakeholders. The maintenance of the BCH should always remain under the responsible government body.</p> <p>The second set of stakeholders refers to the wider set of stakeholder in government, who are involved with respect to LMOs. These stakeholders need to understand and work with the BCH but their involvement is at a different level than those tasked with maintenance and use of the BCH</p> |

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| | | <p>The UNEP-GEF team will endeavor to work with national governments to ensure the active involvement of the responsible government body and other bodies, however the final decision will rest with national governments as to their choice of agency or agencies and the personnel working on the national BCH.</p> <p>The BCH within the Cartagena Protocol is also supposed to be used as a tool to involve and inform the general public on issues concerning biosafety and to allow for their participation in decision-making. However, training will not be provided to the general public, under funding from this project, but the responsibility rests with the government how they will involve the general public in use and access of the BCH, according to the obligations under the Cartagena Protocol</p> <p>The appropriate changes are made in text for Outcome 2 and 6.1.</p> |
| | <p>Non-Internet based BCH</p> <p>All relevant documents on the development of the BCH draft proposal refer to the crucial need to develop a non-internet based BCH: <i>“During regional consultations on capacity-building needs needs for working with the Biosafety Clearing House, countries identified four main categories of capacity needs, namely developing human resources and technical expertise; building and maintaining infrastructure; developing institutional synergies; <u>and continued development of nonweb, non-internet based system to access the the Biosafety Clearing House.</u> A fifth, crosscutting need for sustainable financial resources was also identified. Small Island developing states also noted that unreliable telecommunications systems and high cost of access to the Internet were of particular concern for those countries”</i> (p 22)</p> <p><u>Suggestions non-Internet Based BCH</u> BMZ believes that capacity building in possibilities for a non-Internet based BCH is crucial. The proposal has to be changed accordingly.</p> | <p>The BCH training workshops will take into account the needs of countries by setting up three different types of training course for the three categories we distinguish at present. Should need arise, we will develop further differentiation of the modules to reach the training targets for each group effectively.</p> <p>We agree that there is a set of countries with little or no internet access and we will provide capacity building for such countries for a non-Internet based BCH. We will be able to do this by providing training on use of media provided by the CBD Secretariat for such instances. In addition, the second option as described in the <i>Guidelines for National Participation in the Biosafety Clearing House</i> developed by the SCBD, and now attached as Annex J to the proposal, specifically takes into account cases where there is either poor, or complete lack of</p> |

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| | | <p>Internet connectivity.</p> <p>Different types of training will be needed for those with adequate connectivity but little knowledge on the internet and databases and networks.</p> <p>The third group will be those, who have good systems and networking and internet capabilities, but lack experience in using the tool that is the BCH for the benefit of their national processes.</p> <p>This change is reflected in Section 3 Project Components.</p> |
| <p>Switzerland:</p> | <p>General Commentaries</p> <p>This project has been developed in close collaboration between the staff of the UNEP-GEF project on Development of national biosafety framework and the CBD Secretariat. It meets the needs of Parties to the Cartagena Protocol to enable them to make full use of the Biosafety Clearing House, now that the Protocol has come into force. The project proposal is based on requests from countries and the results of a questionnaire sent out to CBD Parties in February 2003.</p> <p>The objectives of the project are: 1) to train countries in the use and access of the BCH and 2) to provide appropriate hardware and software.</p> <p>Only GEF eligible countries that are Parties to the Cartagena Protocol and are not involved in the GEF funded National Biosafety Framework Implementation Project will be able to join under the current eligibility criteria.</p> <p>Switzerland is of the view that rapid and effective implementation of the BCH is one of the top priority for the efficient functioning of the Cartagena Protocol. Along this line Switzerland has launched on September 11, at the date of entry into force of the Cartagena Protocol, the pilot phase of the Swiss component of the BCH which is available at www.ch-bch.ch</p> <p>The Swiss BCH is based on open-access software. When the pilot phase is over,</p> | <p>UNEP is responding to the needs of the countries as fast as possible and is pushing for rapid implementation of the project.</p> |

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| | <p>Switzerland will be ready to provide software and experience on request.</p> <p>Main Concerns</p> <p>Our main concern are the delays experienced in approving this project. Now that the Protocol has entered into force, implementation should began as soon as possible.</p> <p>Conclusions and Recommendations</p> <p>Support the project.</p> | |
| <p>USA:</p> | <p>This is an important project. The US supports the development of a clearinghouse mechanism, and this project can be an important asset in assisting countries in their efforts under the biosafety protocol. The US had requested that this project the postponement from the July Intersessional work program due to a number of questions that could not be resolved in the short time frame allotted for Council consideration last summer.</p> <p>We would like to see more specific information about how the proposal actually be implemented over time, with the urgency of the work clearly apparent in the first six months.</p> <p>The logical framework and the monitoring and evaluation system need to be strengthened, with more detailed description of project goals, outcomes and outputs, including specific deadlines and timetables. Outputs and outcomes should be stated in quantitative terms in order to reinforce the importance of measurable results.</p> <p>The process should also describe how results will be used to fine-tune the project as new countries join the protocol.</p> | <p>The workplan in the project proposal has been modified to reflect the concerns of the US Council member and we appreciate the continuing support given by the US Government to the BCH.</p> <p>The Project Management and Implementation section has been modified to reflect the concerns regarding the issues of time frame and monitoring and evaluation. The first training courses are scheduled to start in June 2004 if the project is endorsed in January 2004</p> <p>The logical framework has been fully revised to take into account these comments and appropriate changes made in the Monitoring and Evaluation section. Outputs and outcomes have been stated in quantitative terms and placed in relation to measurable results.</p> <p>The project design allows for considerable flexibility in the training to be provided and we are expecting to provide at least three different modules or levels of training in relation to stated and assessed needs. As more countries come on board, it will be necessary to adjust the</p> |

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| | <p>We would also like to see a section discussing the critical role of the project task manager and the qualifications necessary for the position.</p> <p>Finally, there needs to be more proactive participation by the CBD Secretariat in the project. In our view, CBD Secretariat's participation is both desirable and necessary for project success.</p> | <p>groups of countries being trained together and to adjust human and financial resources in line with such needs but this is not expected to cause greater logistical problems. The global NBF project has coped well with a stream of countries coming on board over a two year span without significant problems and we expect to set up similar coping mechanisms for growth and expansion of activities.</p> <p>The critical role of the task manager has been underlined and the terms of reference for the Task Manager for this project have been included, as Annex I, in line with the request to define the role and tasks of the project manager.</p> <p>The CBD Secretariat will be included in all the stages of the project and this is reflected throughout the revised project document. We believe that their contribution will be full and supportive of the aims and activities of the project</p> |
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PROJECT BRIEF

1. Identifiers

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| Project Number: | <i>[Implementing Agency Project Number not yet assigned]</i> |
| Project Title: | Building capacity for effective participation in the Biosafety Clearing House of the Cartagena Protocol |
| Duration: | 36 months |
| Implementing Agency: | United Nations Environment Programme (UNEP) |
| Executing Agency: | United Nations Environment Programme (UNEP) in co-operation with the Secretariat of the Convention on Biological Diversity |
| Requesting Countries: | Global |
| Eligibility: | Only those countries that are eligible for GEF funding and have ratified or acceded to the Cartagena Protocol by the first meeting of the Conference of the Parties, serving as the meeting of the Parties to the Protocol (COP-MOP), and are not beneficiary of a GEF project to support implementation of their NBFs may apply for assistance. Eligible countries will be required to demonstrate their need for funding and summarize their current situation with respect to use and access of the BCH. Ways and means will be devised to assist those countries that become Parties after the first Meeting of Parties. |
| GEF Focal Areas: | Biodiversity/Biosafety |
| GEF Programming Framework: | The project falls within the activities contained in the GEF Initial Strategy on Biosafety adopted by GEF Council in November 2000. The project also addresses the emerging priorities outlined by the GEF for Phase III under the pillar on “Capacity Building for the Implementation of the UN Convention on Biological Diversity Cartagena Protocol on Biosafety”. Biosafety is a crosscutting issue to OPs1-4 and OP13. As an enabling activity, this project is eligible for full financing. |

2. Summary:

The goal of this project falls under the global aim to support the implementation of the Cartagena Protocol on Biosafety. The GEF Initial Strategy set out the need for support within the list of its proposed activities “to enable countries to participate in the biosafety clearing-

house, once the clearing-house terms of reference are agreed upon by the Parties”. The project is proposed as an add-on project to the current UNEP-GEF Project on Development of National Biosafety Frameworks. The objective is complementary to that project’s aims, but more specifically will develop core human resources and establish an appropriate national BCH infrastructure so as to enable eligible countries to fully participate and benefit from the Biosafety Clearing House (BCH), as established under Article 20 of the Biosafety Protocol, and assist them to comply with their obligations under the Biosafety Protocol. This targeted intervention will facilitate the ability of the eligible countries to readily access scientific, technical, environmental and legal information on LMOs, and thereby assist with implementation of the Protocol in ensuring an adequate level of protection for biodiversity in the field of safe transfer, handling and use of LMOs. This activity will also complement the other past and existing projects aiming at the implementation of National Biosafety Frameworks.

3. Costs and Financing (Million US \$)

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|-------------|------------------------------|----------|-----------------------|
| GEF: | Project | : | US\$ 4,615,000 |
| | Subtotal GEF | : | US\$ 4,615,000 |
| | Governments : | : | |
| | in kind | : | US\$ 350,000 |
| | Subtotal Co-financing | : | US\$ 350,000 |
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| | Total Project Cost | : | US\$ 4,965,000 |
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| | Associated Funding: | | |
| | United States of America | : | US\$ 126,280 |
| | Subtotal Associated Funding | : | US\$ 126,280 |
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| | Total Project Cost | : | US\$ 5,091,280 |
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4. IA Contact: Mr Ahmed Djoghlaif, Director Division Global Environment Facility, UNEP/GEF Co-ordination Office, UNEP, Nairobi, Tel:254-2-624166; Fax:254-2-624041; Email:Ahmed.Djoghlaif@unep.org

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LIST OF ACRONYMS/ABBREVIATIONS

| | |
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| AIA | Advance Informed Agreement |
| BCH | Biosafety Clearing House |
| CBD | Convention on Biological Diversity |
| CHM | Clearing House Mechanism |
| COP | Conference of Parties |
| CPB | Cartagena Protocol on Biosafety |
| FAO | Food and Agricultural Organization |
| GEF | Global Environment Facility |
| GIS | Geographic Information System |
| GMO | Genetically Modified Organism |
| ICCP | Intergovernmental Committee on the Cartagena Protocol on Biosafety |
| ICGEB | International Centre for Genetic Engineering and Biotechnology |
| IRRO | International Research on the Release of Organisms into the Environment |
| ISNAR | International Service for National Agricultural Research |
| IUCN | IUCN The World Conservation Union |
| LMO | Living Modified Organism |
| MSDN | Microbial Strain Data Network |
| NBF | National Biosafety Framework |
| NBSAP | National Biodiversity Strategy and Action Plan |
| NEA | National Executing Agency |
| NGO | Non Governmental Organization |
| OECD | Organization for Economic Co-operation and Development |
| ONT | Organism with Novel Traits |
| R & D | Research and Development |
| STAP | Scientific and Technical Advisory Panel |
| UK | United Kingdom |
| UN | United Nations |
| UNCED | United Nations Conference on Environment and Development |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNIDO | United Nations Industrial Development Organization |
| WHO | World Health Organization |

PROJECT DESCRIPTION

1. BACKGROUND AND CONTEXT

- 1.1 The Cartagena Protocol on Biosafety was adopted by the Parties to the Convention on Biological Diversity in January 2000. Its objective is “to contribute to ensuring an adequate level of protection in the field of the safe transfer, handling and use of living modified organisms resulting from modern biotechnology that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, and specifically focusing on transboundary movements.
- 1.2 The Republic of Palau became the 50th State to ratify the Protocol on 13 June 2003. Therefore, the Protocol entered into force on 11 September 2003, on the 90th day after the date of deposit of the fiftieth instrument of ratification or accession. Entry into force of the Protocol means that it is legally binding in the international legal system and in the legal systems of States that have given consent to be bound by it; and henceforth States must comply with, and implement, all the provisions of the Protocol.
- 1.3 The Biosafety Clearing House (BCH) was established by Article 20 - Information Sharing and the Biosafety Clearing-House - of the Cartagena Protocol on Biosafety in order to:

Facilitate the exchange of scientific, technical, environmental and legal information on, and experience with, living modified organisms; and

Assist Parties to implement the Protocol, taking into account the special needs of developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition as well as countries that are centres of origin and centres of genetic diversity.

- 1.4 At its first meeting, held in Montpellier, France, from 11 to 15 December 2000, the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP) recommended the development of a pilot phase of the Biosafety Clearing-House established by Article 20 of the Protocol. The ICCP identified a number of elements and steps to guide the development of this pilot phase whose objectives were defined as follows: i) to build experience and provide feedback for the development of a functional and accessible internet based BCH, and to identify alternatives to the electronic system; ii) to identify and address capacity needs of countries with respect to the BCH (UNEP/CBD/ICCP/1/9, annex 1).
- 1.5 Elements identified as required to implement the pilot phase were: (i) A central portal; (ii) central database(s)¹; (iii) Linkage of central portal to national, regional and

¹ The central database(s) will contain(s) at a minimum: a. Information from countries without a national database (e.g. information in accordance with Article 20, paragraph 3 (a), of the Protocol); b. Information sent from countries without an electronic infrastructure (e.g. information in accordance with Article 10, paragraph 3, and Article 20, paragraphs (c) and (d) of the Protocol); c. Information required to implement Article 11, paragraph 1; d. Searchable indexes of information to facilitate decision-making, including that required under the Advance Informed Agreement procedure.

international databases/nodes; and (iv) Common formats for information, which can incorporate linked information through appropriate search engines.

- 1.6 At its second meeting, the ICCP welcomed the progress on the pilot phase of the Biosafety Clearing-House and urged Governments to nominate national BCH focal points and to participate actively in the pilot phase. The Executive Secretary was requested to develop CD-ROMs of the pilot phase for distribution to Governments, along with templates and guidance to facilitate the creation of national BCHs. Recommendations for the further development of the Pilot Phase were made on technical issues associated with the implementation of the Pilot Phase of the Biosafety Clearing-House (UNEP/CBD/ICCP/2/15, recommendations 2/8).
- 1.7 In its third meeting, the ICCP recognized “the importance of developing a fully functioning Biosafety Clearing-House by the time of entry into force of the Protocol, and of meeting the capacity needs of all countries with respect to implementation and use of the Biosafety Clearing-House” (UNEP/CBD/ICCP/3/10, recommendations 3/3).
- 1.8 In addition, the COP-6 and ICCP Bureaux have recommended that GEF funding be explored in order to address the urgent need of Parties with respect to the timely implementation of the BCH. The Bureaux identified national BCH components as essential for enabling Parties to provide information to the BCH in accordance with their obligations under the Protocol and to access the information available through the BCH for decision-making.
- 1.9 The GEF Initial Strategy included the possibility of GEF providing additional funds for assistance to countries to participate in the BCH in time to ensure access to the BCH by the time of entry into force of the CPB. This project is designed in that specific context.
- 1.10 The GEF “Initial Strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety” provides clear guidelines on how it will a) assist countries in the establishment of national biosafety frameworks, b) promote information sharing and collaboration, especially at the regional and sub-regional level, and c) promote collaboration with other organizations to assist capacity-building for the Protocol. The initial strategy indicates as well that the GEF would support activities for "countries to participate in the biosafety clearing-house, once the terms of reference of the clearing-house are agreed upon by the Parties”.
- 1.11 Within the emerging directions of the GEF for the next planning period, specific support for Biosafety is mentioned as Priority III under Biodiversity since “There is recognition of the potential risks posed by modified living organisms and therefore biosafety constitutes a high priority for recipient countries. This priority also responds to the guidance from the CBD and it is consistent with the decisions of the Intergovernmental Committee for the Cartagena Protocol.” The GEF will consider under this strategy the development of systemic and institutional capacity building for biosafety as follows:

“Provision of support to countries for the development and implementation of National Biosafety Frameworks including the Biosafety Clearing House [...] with the participation of relevant government sectors such as agriculture, fisheries, forestry,

industry, environment, education, manufacturing, trade and health as well as community and private sector stakeholders.”

- 1.12 The needs identified by countries with respect to capacity-building for implementation of the pilot phase of the BCH were synthesized for ICCP-3 (document UNEP/CBD/ICCP/3/5/Add.3). In addition, a questionnaire was launched by UNEP-GEF in February 2003, in close collaboration with the CBD Secretariat, in order to determine the state of current access and use of the Biosafety Clearing House in each country, and to further understanding of their urgent needs. This proposal responds to the urgent needs identified by countries.
- 1.13 The project will complement other UNEP-GEF projects on biosafety, which are carried out in line with the GEF Initial Strategy on Biosafety that was approved in November 2000. More specifically, the project will build upon the achievements of the UNEP/GEF Development of National Biosafety Frameworks, currently being implemented with the participation of 117 countries. Under the original project, some financial support is being provided to participating countries to purchase equipment, software etc. that may, among other functions, be used to access the Biosafety Clearing House (BCH). However, those funds could not be expected to fulfill all requirements for equipment and services related to establishment of national BCH components and the training of national personnel to use and access the BCH, as this was not considered within the project design.
- 1.14 This project will also complement the work of the 12 demonstration projects on Implementation of National Biosafety Framework being run by UNEP, UNDP and the World Bank. Under these demonstration projects, the national requirements of the participating countries with respect to the Biosafety Clearing House will be taken into account. Activities that are being supported, and are related to the BCH, include implementing the national components of the BCH within the various institutional structures, and the development of appropriate technology and training of personnel to use the BCH, according to the requirements of their National Biosafety Frameworks. These activities, carried out in collaboration with the CBD, will also take advantage of any training materials to be developed at the Convention Secretariat for this proposed project.

2. RATIONALE AND OBJECTIVES (GEF ALTERNATIVE STRATEGY)

- 2.1. More than 100 countries signed the Cartagena Protocol on Biosafety (CPB) while it was open for signing, and as of 23 December, 2003, **79** countries have already ratified or acceded. **Therefore, the Protocol entered into force on 11 September 2003, on the 90th day after the date of deposit of the fiftieth instrument of ratification or accession.** Entry into force of the Protocol means that all Parties to the Protocol must be able to use the Biosafety Clearing-House to fulfill various obligations under the Protocol. In this context, many Parties during the meetings of the Intergovernmental Committee for the Cartagena Protocol (ICCP) have expressed concern over the urgent need to build national capacities to use and provide information to the Biosafety Clearing-House (BCH). **A questionnaire was launched by UNEP-GEF in February 2003, in close collaboration with the CBD Secretariat, in order to determine the state of current access and use of the Biosafety Clearing House in each country, and to further understand their urgent needs. The results of this survey indicated a series of needs and specific requests for training (see Annex G) and were used in designing a project that could meet their urgent needs.**
- 2.2. The CBD Secretariat, following the recommendations of the ICCP, has developed a pilot phase of the BCH. The pilot phase was first launched in March 2001, and a revised version was made available in February 2003. The BCH is comprised of a central portal and a distributed network of external components. The focus of the work at the CBD Secretariat has been on development of the central portal. Now the focus is to develop the national BCH components and the capacities of countries to access and use the BCH.
- 2.3. The CBD-COP-6 has also specifically requested the GEF to provide for national capacity-building in biosafety, in particular for enabling effective participation in the Biosafety Clearing-House (Decision VI/17.10b). The Intergovernmental Committee for Cartagena Protocol on Biosafety (ICCP) has recognized the interconnection between national capacities, effective use of the Biosafety Clearing-House and successful implementation of the Biosafety Protocol, and urged donors to provide financial support and technical assistance to enable developing countries to access and use the pilot phase of the Biosafety Clearing-House (see recommendations 1/4.1, 2/8 and 3/3).
- 2.4. It is therefore imperative that all countries have the necessary capacity to access and use the BCH effectively. With the entry into force of the Protocol on the 11 September 2003, countries are required to enter and manage their own data in the Biosafety Clearing-House. They, therefore, require essential equipment, tools and training, to be able to fulfil these obligations and to take advantage of the benefits provided by the BCH.
- 2.5. The 12 demonstration projects on Implementation of National Biosafety Frameworks, presently being run by UNEP, UNDP and the World Bank, already have specific budget provisions on setting up national components of the BCH and will therefore not be eligible to directly receive funds under this project. However, these

'implementing' countries may wish to coordinate their training and other capacity building activities with the participating countries of the BCH project. This collaboration, while offering to these countries a larger amount of resources in terms of training material and opportunities, could also contribute to the development of useful synergies, increase the exchange of information and further facilitate the harmonization of routines and procedures for the BCH.

- 2.6. It is also intended that this project will synergize with the larger global effort at capacity building in support of implementation of the Protocol. For example, the BCH will assist in making legislative and regulatory frameworks more widely accessible to the world. This is important for lesson learning and information sharing as a number of such frameworks are being developed through the UNEP/GEF global biosafety frameworks project. In addition, infrastructure and expertise gained through this project may be applied to other areas of information-exchange, such as upgrading and maintaining an online biodiversity presence through the Clearing-House Mechanism of the Convention.
- 2.7. The overall objective of this project is to assist eligible countries in building and strengthening the national capacity needed to enable access and use of the BCH in order to implement their obligations under the Protocol now that it has entered into force. The estimated number of potential beneficiary countries is 50 by the time of the first Meeting of the Parties to the Cartagena Protocol. Only those countries that are eligible for GEF funding and have ratified or acceded to the Cartagena Protocol by the first meeting of the Conference of the Parties, serving as the meeting of the Parties to the Protocol (COP-MOP), and are not beneficiary of a GEF project to support implementation of their NBFs may apply for assistance. Eligible countries will be required to demonstrate their need for funding and summarize their current situation with respect to use and access of the BCH. A list of eligible countries as of September 11th 2003 is attached as Annex G. Ways and means will be devised to assist those countries that become Parties after the first Meeting of Parties. The overall objective will be achieved through the following specific objectives:
 - a) To strengthen capacity in eligible Parties through support for capacity building including training activities for key stakeholders. The training programmes will cover (i) data management; (ii) identification and access to information required for decision-making under the Cartagena Protocol on Biosafety and (iii) access to, and registration of information in the BCH.
 - b) To create an enabling environment for Parties to meet the obligations for implementation of the Protocol by providing participating countries with appropriate computer hardware and software, as well as appropriate software for the storage and exchange of data with the BCH through Internet connectivity or other means.
 - c) To support further capacity building activities through the development and dissemination of an interactive computer-based training package including the BCH toolkit. This training package will be developed at the global level and used for training as well distributed in participating countries.

3. PROJECT COMPONENTS

- 3.2. In response to the needs of Parties to the Protocol identified by meetings of the ICCP, regional meetings on the BCH, recommendations of the COP-6 and ICCP Bureaux, and the 2003 BCH questionnaire, physical and technological conditions need to be created for the national level components of the BCH, for Parties to operate in an enabling environment and meet the obligations for implementation of the Protocol. This will be achieved by providing participating Parties with appropriate training, computer software and hardware, as well as a means of access to the BCH through improved Internet connectivity or other means.
- 3.3. The baseline for all subsequent activity will be produced from two major sources: the global results obtained from the BCH Questionnaire and the national statements made by countries in applying for funding. As already indicated, all potentially eligible countries will be required to summarize their current situation with respect to use and access of the BCH, this will include assistance they may have received through the *UNEP-GEF Project on Development of National Biosafety Frameworks*. The information produced will provide a blueprint for further negotiation of the national components of the BCH and will be employed in monitoring the national projects.
- 3.4. The training will be designed and delivered in cooperation with the CBD Secretariat in order to ensure that the materials and the content of national BCH components is consistent with the central portal of the BCH. The following design will be adjusted in light of the actual baseline of participating countries and will also need to take into account relevant statements made by the forthcoming First Meeting of the Conference of the Parties serving as the Meeting of the Parties to the Cartagena Protocol on Biosafety (COP/MOP).

A. Training Components

Training and networking

- 3.5. A series of training workshops on access, use and input of relevant data through BCH will be organized and held in addition to the activities organized in the context of the UNEP-GEF Development of National Biosafety Frameworks. In particular,
 - A roster of qualified consultants will be compiled by the UNEP-GEF team, in close collaboration with CBD Secretariat, including up to a maximum of five consultants from each region or sub-region. Consultants will qualify based on their expertise relevant to Information Technology, training experience and the BCH. National governments will then select a consultant of their choice from the roster to complement the national experts.
 - A series of orientations/training workshops, in collaboration with the CBD Secretariat, will be held in order to ensure that all of the consultants on the roster, and up to 3 national experts including the BCH focal points, as indicated by participating countries, are fully prepared and able to deliver the national training workshops. These meetings will also serve to help improve the

network of BCH expertise. The workshops will be designed to take into account the different levels of computer literacy and therefore the corresponding capacity needs of different countries. Three different levels of training have been identified as per the needs of the countries:

1. Training for countries that have advanced knowledge and reasonable computer networks, connectivity etc and only require specific training on the BCH;
 2. Training for countries that have lower levels of connectivity and insufficient expertise in computers, and require more intensive training in both BCH-specific requirements and computer networks;
 3. Training for countries that have little or no internet connectivity and require training on BCH-specific requirements and the specifics of how to report to the BCH through other means available – for example, using CD-ROMs provided by the CBD Secretariat, faxes etc.
- A series of national level training workshops on the use of the BCH will be held in each participating country. Each workshop will train approximately 20 participants (country needs will vary), comprising mostly representatives from relevant government agencies and departments that will have a key role in either (1) making policy decisions about the national BCH, (2) using and administering the BCH to fulfill national obligations (e.g., certain members of the National Coordinating Committees formed under the National Biosafety Framework project).

3.6. The training workshops will cover the following:

- Database design and data management;
- Searching BCH for information;
- Access and use of BCH information
- Identification of relevant BCH information for decision makers
- Registration of information on the BCH
- Use of non-Internet based media as provided by the CBD Secretariat.

3.7. Such training sessions will be complemented by the content of any other events organized by the UNEP-GEF Development Project at national or regional levels. In addition, and separately from this project, training sessions may be organized in consultation with the Secretariat of the Convention on Biological Diversity and at the margins of major biosafety international events. The CBD Secretariat, in collaboration with this project, is organizing a training workshop on the Biosafety Clearing House (BCH) during the first meeting of the Conference of the Parties serving as the meeting of the Parties for the Cartagena Protocol on Biosafety. This training will be directed primarily at the national BCH focal points and will attempt to ensure continuity with this project.

3.8. The training workshops will include use of the national database templates that are being adapted from the databases developed by the US government, to conform to the technical specifications provided by the CBD Secretariat to enable national data to be harvested by the CBD portal. US State Department is assisting in this process

- 3.9. In order to encourage the exchange of peer-to-peer experience, lessons learned and best practice as well as facilitating the collaboration between the participating countries and developed countries, a campaign will be run to set up a supportive network among BCH operatives with similar challenges to face so that they can learn with and from each other as well as from external professionals. This process will be assisted by the presence of a dedicated list-server² that the CBD Secretariat will run. In this way the learning-by-doing approach will be enormously facilitated by the continuous exchange of information on resolution of day-by-day problems by the users themselves as well as by a faster identification of general problems in the global system by the central portal manager/s.

Development of supporting training material

- 3.10. For the purpose of these training workshops specific training materials and start-up kits will be developed and stored in CD-ROMs to be widely disseminated:
- A full training package including background documents, BCH toolkit and a user-friendly computer-based training manual,
 - An interactive tutorial to assist beginners in BCH operations
 - A Biosafety Clearing-House database template that could be used with existing software programs (e.g. Microsoft Access) to store data at national level in Biosafety Clearing-House common formats. Assistance on this aspect is being provided by the CBD Secretariat;
 - This database will also need to provide functions to export this data to the Biosafety Clearing-House through the use of Internet or data-storage media (e.g. CD-ROM). Assistance on this aspect is being provided by the US State Department, with whom we will be collaborating.
- 3.11. All such material will be made available in relevant UN languages for participating countries.

B. Equipment component

- 3.12. In order to create an enabling environment for Parties to meet the obligations for implementation of the Protocol, appropriate computer hardware and software, as well as means of access to the BCH through Internet connectivity or other means, will be provided.
- 3.13. Participating countries will be asked to set up a BCH Task Force to look at the needs and requirements for equipment and staffing in order to decide on the structure and parameters for the national components of the BCH.
- 3.14. The setting up of any particular model for BCH national components will be undertaken in accordance with country needs, but will require countries to commit to

² A list-server is a program that distributes new messages, newsletters, or other postings from the list's members to the entire list of subscribers as they occur or are scheduled.

standard operating procedures with corresponding levels of resource commitment. Countries will also need to establish strategies to ensure continuity and sustainability of fulfillment of obligations related to the Biosafety Clearing-House.

- 3.15. Some outcomes of the recent meeting of the liaison group of technical experts on the biosafety clearing-house may assist eligible countries in developing their national components of the BCH (UNEP/CBD/BCH/LG-MTE/1/2). Their views about the possible range of options to be considered in setting up a system within a particular country were as follows:

*The following options, based on the **Guidelines for National Participation in the Biosafety Clearing House** as prepared by the CBD Secretariat (attached as Annex J), can be considered as the basis for national components depending on suitability for meeting country needs and circumstances. Technical requirements and details as well as other important information which may be required by a country to make decisions on suitability is available in the attached Annex J :*

Option 1: Register data in the central portal using the Management Centre:

The first option available to a Party or other Government is to have its BCH national focal points and/or other authorized national users use the Management Centre of the central portal to register data through the online forms. The Management Centre is a secure mechanism which allows a government to register, delete, or edit its records directly in the BCH. Parties or other Governments using this option may or may not have national websites acting as a national BCH. However, they would register data through the central portal of the BCH in order to fulfill obligations under the Protocol.

Option 2: Register data locally using database templates and send data to the central portal:

Option 2 is based on storing data locally in a national database, and exporting or sending those data to the central portal. Ideally the database template developed by the Secretariat would be used, as it is designed to be compatible with the BCH databases of the central portal. However it is also possible for a Party or other Government to develop its own database, or adapt an existing database, provided that it meets the same specifications with regard to the structure of each record type (preferably based on a relational database management system such as MS SQL, Oracle or MySQL).

Data stored locally must then be sent periodically to the central portal. The database template developed by the Secretariat contains a function to export records to the central BCH databases. Alternatively, in cases of poor Internet connectivity, information could be sent by, for example, CD-ROM, in which case the Secretariat would transfer the data to the BCH upon receipt.

Option 3: Make data available through a website and allow the central portal to crawl to retrieve metadata:

In this option, a Party or other Government hosts a website that is available through a server with a fast and permanent Internet connection. The central BCH would, on a regular basis,

search or “crawl” the website and extract metadata descriptors of the records for storage on the central BCH. To facilitate this retrieval, metadata must be formatted in XML, using the Dublin Core as the document description standard, and using Resource Description Framework (RDF) to specify semantic schemas (since it is the central BCH that initiates retrieval of the information, this approach is sometimes referred to as “pull technology”).

Option 4: Store data on national BCH databases, and actively make those data available through the central portal using BCH interoperability protocols:

In this option, a Party or other government maintains national BCH databases with a fast and permanent connection to the Internet through one or more servers. The databases must be designed to actively make metadata available to the central BCH and to allow access to full records through the central portal using BCH interoperability protocols (since it is the national database that actively provides the central BCH with the necessary information, this approach is sometimes referred to as “push technology”).

3.16. The CBD Secretariat has prepared some initial guidelines for national governments to evaluate the various options available for developing national components of the BCH attached as Annex J. (In this context, participating countries will be encouraged to choose an option that is appropriate to country needs and their ability to meet the corresponding commitments. There are differing resource requirements for each option in terms of Internet connectivity, personnel costs, security, maintenance costs, hardware and software. Correspondingly, the commitment required from countries to implement and maintain each option will vary. National interoperable databases, for example, require a large commitment of resources from a country in the long-term.

4. Expected results

- 4.1. The proposed GEF project has been designed as a key activity in the context of those addressing biosafety issues under the GEF Initial Strategy. The overall objective is to build or enhance the capacity of Parties to the Cartagena Protocol on all relevant issues related to the BCH activities
- 4.2. The capacity of the beneficiary countries to access and use the Biosafety Clearing-House will be improved through developing core human resources and establishing appropriate BCH infrastructure.
- 4.3. Capacity will be built in order to facilitate the exchange of scientific, technical, environmental and legal information on, and experience with, LMOs; and therefore facilitate the implementation of the Cartagena Protocol.
- 4.4. In particular, the project will lead to a realization of the following outcomes in the participating countries:

Outcome One: Strengthened capacities of potential users of BCH in relevant ministries and other institutions in order to fulfill requirements of CPB with reference to BCH

- Beneficiary countries in a better position to make timely and informed decisions on LMO transboundary movements and to report on those decisions as required by the Protocol.
- A core group of relevant stakeholders, including the officially designated BCH focal points, with increased skills and competence to develop and run BCH national components
- Key decision-makers in each participating country able to understand how to use and access BCH strategically and deploy it in decision-making
- National level data on decisions entered on BCH and made available on the national database and accessible via Internet.

Outcome Two:

Support provided for the improvement of the physical infrastructure of national BCH components

- Beneficiary countries able to effectively access, use and register information through the BCH in order to fulfil their obligations under the Protocol and meet national needs.
- Participating countries have the necessary physical requirements needed (computers, software etc) for the national BCH to be operational
- A core group of relevant responsible agencies and appropriate persons trained to maintain national databases.

Outcome Three:

Sustained capacity to use and access the BCH established in-country

- Increased and more effective exchange of relevant information and decision-making regarding LMOs in place among participating countries.
 - An increased exchange of experience and knowledge between personnel involved in Biosafety in different countries
 - Informal network of peer-to-peer support set up among countries to assist each other in BCH related matters with list server set up by responsible agency.
 - Support provided by project team to assist in training and replacement of BCH users
 - Sustainability of the project and continued participation in BCH increased by full documentation being available to countries to allow continued training and by continued availability of regional experts to assist countries.
- 4.5. By the end of the project, capacity to use and manage the BCH will be improved, and more information will then be available to help assess and manage risks associated with the transboundary movement of LMOs. Consolidated capacities in these areas will also help to detect and fill eventual gaps in the functioning of the biosafety management system at national and global level.
- 4.6. Thus, in line with the GEF's emerging strategic directions, this project will build management capacity to address and mainstream biosafety issues throughout participating countries through effective participation in the biosafety-clearing house. In line with GEF policy, aimed at achieving measurable targets at the completion of the project, it will demonstrate how the participating countries are using the biosafety clearing-house in actual national planning and decision making thus resulting in concrete change

5. RISKS AND SUSTAINABILITY

Project risks that could affect the sustainability of the benefits gained through this project include:

- 5.1. **National BCH Development.** Once the Cartagena Protocol enters into force, countries are obliged to enter/register the data on the BCH. However, there is a risk that factors external to the project, such as national government processes may prevent the national level components of the BCH from being developed efficiently and effectively. The project will address this risk by ensuring that eligible countries prove their political support and need for the project by written justification and their governmental commitment to the process by setting up Biosafety Task Force and coordinating activities and choosing appropriate staff for training.
- 5.2. **Project workshop quality** Each training session relies on an in-depth planning process that brings the relevant mix of stakeholders who are directly involved in the issue of BCH in a particular country to an appropriate setting where they will feel free to learn and experiment. Each training session will need to be focused on both providing the Parties with new technical and scientific information on a topic and teaching them how to use their knowledge and practical experience at the national level. Training will not be effective if there is not a comprehensive strategy and planning process that enables practical situations to be discussed and represents an interactive “two-way” information exchange process rather than a “one-way” information dissemination process that does not interact fully and freely with the audience.
- 5.3. **Information uptake by participants.** In the case of passing information to the audience there could be a risk of participants not gaining sufficient technical and practical experience from the training session and the countries could then find it difficult to implement the required tasks when faced with the day-to-day activity. The monitoring and evaluation plan will be designed to assure a feedback from the audience that should benefit and improve with each training session so as to see whether the training sessions need to be modified according to the results of those plans. In addition, the monitoring and evaluation plan will help to monitor and address the task performance and quality.
- 5.4. **The issue of financial sustainability could pose a risk to the project.** Once the project is completed, the participating countries must be able to maintain Internet connectivity and an access to the BCH must be fast enough to ensure that costs and timing are at an acceptable level when browsing through the BCH. Once the project is completed, a country must also ensure that there is an efficient Internet service on the BCH and the costs of it are kept at a minimum level. This issue was raised in section 3.12 in the context of the importance of governments assuming responsibilities and obligation as Parties to the Protocol. Indeed, the requirements for building in financial sustainability extend far beyond the BCH requirements and are also covered under the UNEP-GEF Global Development Project. Political support and internalization of the need for a fully functioning BCH and of the obligations on Parties will most adequately address this risk.

5.5. Loss of experienced staff. It is generally well understood that the area of IT and computing are growth industries in most countries and so any training provided to competent stakeholders can lead them to re-evaluate their positions and seek other opportunities that take them away from working on the BCH. It is therefore imperative that the interactive training programmes are done by a large number of stakeholders and that the active support system should be there to help countries cope with high turn over in the 3 years so that countries can continue to manage the BCH despite predicted turnover. Wherever possible, governments will be asked to commit to keeping the national level trainees in post for minimum time periods after training in order to reduce loss to other sectors. After such an initial period of support and inputs, countries should be able to set up coping mechanisms that are sustainable, but some disturbance is likely in the early years.

6. STAKEHOLDER PARTICIPATION AND IMPLEMENTATION ARRANGEMENTS

Stakeholder identification, participation, and consultation

- 6.1. One of the central purposes of building capacity to utilize the BCH by developing countries is to broaden stakeholder involvement in the use and access to the information. A prior exercise by government to identify the main users and solicit input from a broader range of stakeholders to identify their needs, as users will be needed before the training sessions in country will commence. After identification, government will decide on what stakeholders will be involved in the training courses. The persons, who will be likely to be benefiting from the workshops, will include relevant stakeholders identified by the relevant National Authorities in different sectors representing health, agriculture, natural resources, food production, forestry, finance, national planning and development sectors and those responsible for control of import/export to a country, consumers, non-governmental bodies, scientific bodies and the private sector. However, this list is not exhaustive and will require local verification, which is a process that is an integral part of the UNEP-GEF Development project process.
- 6.2. The structure of the UNEP-GEF NBF Development Project and its current activities will ensure that continuous and effective consultation with a broad range of stakeholders is being conducted, through the following:
 - Meetings of the UNEP-GEF Development Project Steering Committee;
 - Planning processes for training sessions;
 - Selection of workshop organizers and workshop presenters;
 - Selection of participants for the training sessions;
 - Trainees who will attend training sessions;
 - Preparation of background documents (including peer review) for training sessions;
 - Outreach activities such as dissemination of updates, bulletins, reports, etc.);
 - Involvement of participants in self-evaluation of each training session (according to the M&E plan).

Project implementation and management

- 6.3. This project is to be run as an add-on to the active UNEP-GEF global project on development of National Biosafety Frameworks. Therefore, the existing institutional structures (e.g., National Coordinating Committee, National Executing Agency and National Project Coordinator, etc.) will be used to help deliver the project and exploit the synergies between the projects. The existence of the UNEP-GEF global project means that the systems for managing relations with almost all of the eligible countries are already well established and formalized. The relevant Regional Coordinator, who is already supported by the global project, will, on approval, contact eligible countries and negotiate the terms and conditions for equipment and training and support to be provided under this project and additional budget line/s will be added to their National Project Document. Expenditure on this BCH budget

line will be reported upon in the same context and operating system as the original project. Reports will also be produced for the Global Project Steering Committee.

- 6.4. For eligible Parties to the CPB that do not have a current project with the global GEF-UNEP Project, slightly different arrangements will need to be made. An MOU with that country (currently only 3) will need to be negotiated by the relevant Regional Coordinator and a similar system of reporting and disbursement will then be established as for the other 117 country projects.
- 6.5. The total duration of the project will be for three years and the project will start on 1st February 2004. A number of project activities will be concentrated in the first two years, but a focus on learning from lessons and from review and an intensive and continuing support to stakeholders will be necessary to ensure that the number of confident and active BCH users participants and trainers is maintained at acceptable levels in the country. Thus, it can be said that the final year will involve technical assistance to all participants who have benefited from the training workshops to ensure that they do indeed utilize the knowledge gained in their day-to-day planning and decision making related to biosafety. The continuing support will also be critical in maintaining an adequate number of trained users, considering the perceived risk of losing trained staff in the short and medium term.
- 6.6. As this project responds to one of the major requirements to ensure the successful implementation of the Cartagena Protocol on Biosafety, the active participation of the Secretariat of the CBD is essential. Accordingly this project will be implemented by UNEP in close cooperation with the Secretariat of the CBD. A combined UNEP & CBD project management team will also be established to ensure full and smooth communications and concerted synergistic action to achieve outputs and impact.
- 6.7. In order to oversee the original NBF Development Project and facilitate inter-agency collaboration, a Steering Committee³ for the UNEP-GEF National Biosafety Framework Development projects was initially set up in June 2001 and this is now functioning with regular exchanges of information and annual meetings. This same steering committee will take on the functions of oversight of this add-on project. The Steering Committee is co-chaired by UNEP and the GEF and has, as its members, representatives of the CBD Secretariat, the other Implementing/Executing Agencies and the GEF Secretariat. It also includes a representative of STAP and the Chairman of the ICCP (after the 1st Meeting of the Parties of the Protocol, this will be substituted by the Chairman of the COP-MOP of the CPB). The Steering Committee meets at least once a year to review the status of implementation of the global NBF development project and will then also review relevant activities in this add-on project and provide guidance to the task managers.
- 6.8. A technical advisory group may be established at the discretion of the Project steering committee. The advisory group will provide guidance on scientific and technical issues arising from the implementation of these activities.
- 6.9. A project manager and adequate administrative assistance will be recruited for the implementation of this project. The Terms of Reference for the Project Manager are

³ Steering Committee Membership includes representatives GEF Secretariat (Co-Chair), UNEP(Co-Chair), CBD Secretariat, UNDP, World Bank, UNIDO, ICGEB, STAP and the ICCP Chairman

attached as Annex I. In the first month of activity (month 1), the BCH Project Manager will identify, in cooperation with the UNEP Biosafety Team and the CBD Secretariat, the National Executing Agencies (NEAs) in those GEF eligible countries not participating in the NBF Development Project and inform all the NEAs in participating countries of the NBF Development project about the potential add-on BCH project. In the same period, the BCH Project Manager will identify the international trainers, software developers and translators for the preparation of the Project documentation material to be distributed in CD-ROM to all participating countries. About five months of the project (months 2 to 6) will be used by this group to develop training materials, BCH database template and start-up kits as well to translate the produced material into other UN languages.

- 6.10. By month 3, the NEAs of participating countries will have to communicate to the Project Coordinator the contact details of a national BCH task force (BCH TF) that will assist in the project implementation at national level (terms of reference for the BCH TF will be provided to the NEAs by the BCH Project Manager).
- 6.11. The BCH TF will have to analyse within three months (months 4 to 6) the relevant information available in the country in order to establish an appropriate national BCH infrastructure so as to enable their country to fully participate and benefit from the Biosafety Clearing House (BCH) and comply with their obligations under the Biosafety Protocol. The BCH TF will in the same period identify how information should be stored and managed for input in the BCH and for promoting public participation (this activity is already scheduled for those countries participating in the UNEP NBF Development Project).
- 6.12. Starting from month 6, a number of orientations/training workshops will be held in order to ensure that all of the regional consultants on the roster, and 3 national experts including the BCH focal points, as indicated by participating countries, are fully prepared and able to deliver the national training workshops. These meetings will also serve to help improve the network of BCH expertise. The workshops will be managed by the group of international trainers and software developers who have participated in the preparation of the training materials and in collaboration with UNEP Biosafety team and CBD staff.
- 6.13. Following orientations/training workshops (months 6 to 12) national level training workshops on the use of the BCH will be held in each participating country in order to assist, at least 20 participants each, to understand: (a) database design and data management; (b) how to search BCH for information; (c) access and use of BCH information; (d) identification of relevant BCH information for decision makers and (e) registration of information on the BCH. The workshops will be managed by the BCH TF, using the trainees from the orientations/training workshops and the trained consultants on the roster. A dedicated list-server will be made operative and available to all workshops participants and professional staff in order to grant a continuous learning process at least for the overall duration of the project (months 6 onward).
- 6.14. After national workshops, each BCH TF will produce, in collaboration with the international trainers, UNEP Project Team and CBD staff, a report with the analysis of present status of BCH national component; a definition of national requirements as well as a draft design and budget resources to meet the BCH national component requirements (months 9 to 15). This report will have to be submitted to UNEP and

once approved by the BCH Project Manager, in collaboration with the UNEP Biosafety Team, will constitute the basis for the disbursement of financial resources for the purchasing of appropriate computer hardware and software, as well as means of access to the BCH through Internet connectivity or other means (months 12 to 18). The BCH TF will be responsible for the setting up of the new hardware, local area networks and communication with the BCH central portal as well as for the setting up and development of national biosafety databases (months 15 to 21).

- 6.15. While developing the national component of the BCH, the BCH TF will ensure that all relevant information required by the Cartagena Protocol will be made available to the BCH Central Portal, via the national databases or by direct input (months 18 to 24) From project inception, the BCH Project Manager will carry on a thorough monitoring of the project implementation in all participating countries that will extend up to month 36 in order to facilitate the full development of BCH national components and identify follow-up actions as appropriate for possible future projects of implementation of the National Biosafety Framework. A Terminal Report will be prepared by each BCH TF and NEA and agreed with UNEP.
- 6.16. The BCH Project Manager will also ensure that annual meetings of the Project Steering Committee (activity already scheduled in NBF Development Project) and biannual meetings of the Development Project Committee will be held on time and fully informed of the project activities.

7. INCREMENTAL COSTS AND PROJECT FINANCING

- 7.1. GEF resources will be used to build/strengthen national capacity needed to enable countries to access and use the BCH so as to implement their obligations under the Protocol once it enters into force.
- 7.2. Eligible countries have had very limited financial means to fulfil the national needs with respect to the BCH. In fact, when resources have been available at national level, priority has been given to other elements of the National Biosafety framework, i.e. biosafety regulatory issues and public awareness/participation.
- 7.3. Only through the support of international partners, countries have been able to start activities related to the BCH. In particular, this project adds on to the ongoing UNEP/GEF Project for the Development of National Biosafety Frameworks, which is carried out in line with the GEF Initial Strategy on Biosafety, as approved in November 2000. Under the Global NBF Development project, support has been provided to participating countries to carry out surveys and inventories, to begin setting up a national database and to purchase equipment, etc. to access the Biosafety Clearing House (BCH). An average level of financial support of around 14,000USD per country has been provided for computer equipment and software. However, this support is directed at the development of the national biosafety framework rather than the aim of connectivity to the BCH nor did the project design include training of national personnel to use and access the BCH. Therefore, the funds from the proposed project are expected to fulfill all requirements for equipment and services related to establishment of national BCH components.
- 7.4. This project will also complement the work of the 12 demonstration projects on Implementation of National Biosafety Framework being run by UNEP, UNDP and the World Bank. Under these demonstration projects, the national requirements of the participating countries with respect to the Biosafety Clearing House are taken into account. These demonstration projects, which are not eligible for funding and are already carried out in collaboration with the CBD, will also be encouraged to take advantage of any global inputs provided under this project with respect to training and database set up.
- 7.5. An expanded programme, which generates global benefits, will be implemented under the GEF alternative. The activities include the development of core human resources and establishment of appropriate BCH so as to support the decision making process related to the safe transfer, handling and use of LMOs. Countries will be able to readily access scientific, technical, environmental and legal information on LMOs, thereby assisting with the implementation of the Protocol and ensuring an adequate level of protection for biodiversity.
- 7.6. An incremental cost of US\$4,965,000 is required to achieve the project's global environmental objectives. This project is eligible for full financing as enabling activity. Nevertheless, around 7% percentage of mentioned cost will come from countries as in kind contributions, mainly as space for meetings and administrative support for training activities. The remaining 93%, equal to US\$4,615,000 , is

requested for GEF support.

7.7. Table Four provides a summary of baseline and incremental costs by output/component and Table Five provides information on Component Financing and Co-funding. Details of incremental costs, an incremental cost analysis, and global and domestic benefits are presented in Annex A. Overall, the total baseline costs for the 50 potential participating countries can only be associated to available equipment (hardware/software) for a limited global amount of US\$25,000 in total, based on an estimated amount of 500 US\$ for each country. Project management and coordination activities, already set up under the Global Project for the Development of National Biosafety Frameworks, are not included in the baseline, which refers only to activities other than the GEF sponsored ones.

7.8. Table Five presents the project budget and component financing. The total cost of the project is US\$ 4,965,000 of which US\$ 350,000 is the costs for the participating governments in kind. The remaining amount, US\$ 4,615,000, is being requested from the GEF.

| TABLE FOUR. BASELINE AND INCREMENTAL COSTS IN US\$ | | | |
|---|-----------------|--------------------------|------------------------|
| Component | Baseline | Alternative (USD) | Increment (USD) |
| <i>Component A: Training</i> | - | 2,807,000 | 2,807,000 |
| <i>Component B: Equipment</i> | 25,000 | 1,275,000 | 1,250,000 |
| Project Management and Co-ordination | - | 808,000 | 808,000 |
| Total | 25,000 | 4,890,000 | 4,865,000 |

| TABLE FIVE. COMPONENT FINANCING IN US\$ | | | |
|--|------------------------|------------|-------------------------------|
| Component | Increment (USD) | GEF | Co-financing (in-kind) |
| <i>Component A: Training</i> | 2,807,000 | 2,557,000 | 250,000 |
| <i>Component B: Equipment</i> | 1,250,000 | 1,250,000 | - |
| Project Management and Co-ordination | 908,000 | 808,000 | 100,000 |
| Total | 4,965,000 | 4,615,000 | 350,000 |

BUDGET

| UNEP BUDGET LINE/OBJECT OF EXPENDITURE | US\$ (GEF YEAR 1) | US\$ (GEF YEAR 2) | US\$ (GEF YEAR 3) | US\$ (TOTAL GEF FUNDING) | Equipment and related support | Training activities and related support | Project management costs |
|--|-----------------------|-----------------------|----------------------|-----------------------------------|-------------------------------------|---|--------------------------------|
| 10 PROJECT PERSONNEL COMPONENT | | | | | | | |
| 1100 Project Personnel | | | | | | | |
| 1101 Project Manager | 140,000 | 146,000 | 152,000 | 438,000 | | | 438,000 |
| 1199 Subtotal | 140,000 | 146,000 | 152,000 | 438,000 | | | |
| 1300 Administrative Support | | | | | | | |
| 1301 Administrative Assistant | 80,000 | 88,000 | 95,000 | 263,000 | | | 263,000 |
| 1399 Subtotal | 80,000 | 88,000 | 95,000 | 263,000 | | | |
| 1999 Component Sub-Total | 220,000 | 234,000 | 247,000 | 701,000 | | | |
| 20 SUB-CONTRACT COMPONENT | | | | | | | |
| 2300 Sub-contracts for commercial purposes | | | | | | | |
| 2301 Subcontract to private firms for development of supporting training materials | 400,000 | 100,000 | - | 500,000 | | 500,000 | |
| 2399 Subtotal | 400,000 | 100,000 | - | 500,000 | | | |
| 2999 Component Sub-Total | 400,000 | 100,000 | - | 500,000 | | | |
| 30 TRAINING COMPONENT | | | | | | | |
| 3200 Group training | | | | | | | |
| 3201 Training / Orientation Sessions (average 20 participants x 50 countries x \$29,000 per country +20 regional experts) plus trainers and programme support | 970,000 | 962,000 | 115,000 | 2,047,000 | | 2,047,000 | |
| 3299 Subtotal | 970,000 | 962,000 | 115,000 | 2,047,000 | | | |
| 3300 Technical Meetings | | | | | | | |

| | | | | | | | |
|--|------------------|------------------|----------------|------------------|------------------|------------------|----------------|
| 3302 Project Steering Committee | - | - | - | - | | | |
| 3399 Subtotal | - | - | - | - | | | |
| 3999 Component Sub-Total | 970,000 | 962,000 | 115,000 | 2,047,000 | | | |
| 40 EQUIPMENT COMPONENT | | | | | | | |
| 4100 Expendable equipment | | | | | | | |
| 4101 Office supplies | | | | | | | 10,000 |
| | 5,000 | 5,000 | | 10,000 | | | |
| 4199 Subtotal | 5,000 | 5,000 | - | 10,000 | | | |
| 4200 Non- Expendable equipment | | | | | | | |
| 4201 Computer hardware and software for 50 countries x 25,000 US \$ each | 400,000 | 850,000 | | 1,250,000 | 1,250,000 | | |
| 4202 Office equipment / furniture | 15,000 | | | 15,000 | | | 15,000 |
| 4203 Office rental and maintenance | 15,000 | 15,000 | 15,000 | 45,000 | | | 45,000 |
| 4299 Subtotal | 430,000 | 865,000 | 15,000 | 1,310,000 | | | |
| 4999 Component Sub- Total | 435,000 | 870,000 | 15,000 | 1,320,000 | | | |
| 50 MISCELLANEOUS COMPONENT | | | | | | | |
| 5200 Reporting costs | | | | | | | |
| 5201 Publication of relevant documents and reports | 6,000 | 4,000 | | 10,000 | | 10,000 | |
| 5299 Subtotal | 6,000 | 4,000 | - | 10,000 | | | |
| 5300 Sundry | | | | | | | |
| 5301 Communication and mailing costs | 15,000 | 12,000 | 10,000 | 37,000 | | | 37,000 |
| 5399 Subtotal | 15,000 | 12,000 | 10,000 | 37,000 | 1,250,000 | 2,557,000 | 808,000 |
| 5999 Component Sub-Total | 21,000 | 16,000 | 10,000 | 47,000 | | | |
| GRAND TOTAL GEF FINANCING | 2,046,000 | 2,182,000 | 387,000 | 4,615,000 | | | |

1. Year 1 will begin in October 2003

2. Note that the project will be implemented from October 2003 to October 2005, a total of three years. While all activities will be completed in the first and second year, the final year will be utilized to support countries and ensure that delivery of technical assistance to the participants who benefited from the project was successful and to ensure that knowledge gained through the workshop is utilized in actual planning and decision-making.

8. MONITORING AND EVALUATION

- 8.1. As an add-on project to the global UNEP-GEF Project on Development of National Biosafety Frameworks, the monitoring of the progress of all activities will be undertaken within the monitoring schedules of the global project, in accordance with UNEP's internal guidelines for project monitoring and evaluation. This process will include a mid-term assessment (desk review) and end-of-project assessment undertaken by external review teams arranged by UNEP. As a part of this monitoring process, GEF/UNEP's requirements of quarterly and half-yearly reports on substantive and financial matters will be provided. Deliverables will be identified on a timetable agreed between UNEP and each participating country, and country-specific final reports will be prepared at the end of the activities foreseen by this project.
- 8.2. Project performance and impact will be measured according to the indicators developed in the project log frame, and using the specific Monitoring and Evaluation Plan as per Annex D.
- 8.3. The UNEP-GEF NBF Development Steering Committee will monitor progress (annually and bi-annually) and will advise the project manager on any necessary adjustment to the work plan and timetable. A final evaluation of the project will be undertaken and in accordance with UNEP approved Monitoring and Evaluation procedures.
- 8.4. Dissemination of results will take place, where possible together with those of the UNEP-GEF NBF Development Project, via their sub-regional meetings, periodic meetings between the project management team and the government departments in each country, via the newsletter and other publications as well as via the public media.
- 8.5. The enabled access and the effective use of the BCH by participating countries will represent the most important tangible output of the project and will be the main target for evaluation of the success of the project.

ANNEXES

REQUIRED ANNEXES

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ANNEX A-INCREMENTAL COSTS ANALYSIS

BROAD DEVELOPMENT GOALS

1. GEF resources will be used to build/strengthen national capacity needed to enable access and use of the BCH to implement their obligations under the Protocol once it enters into force, and now that the Biosafety Clearing-House is operational.
2. The countries that participate in this project will be those that have ratified the Biosafety Protocol but are not currently receiving GEF support for projects for the implementation of their national biosafety frameworks.
3. The Biosafety Clearing-House (BCH) is an essential tool by which they must fulfill certain obligations with respect to the Cartagena Protocol on Biosafety on information sharing about the safe transfer, handling and use of Living Modified Organisms (LMOs).
4. During regional consultations on capacity-building needs for working with the Biosafety Clearing-House, countries identified four main categories of capacity needs, namely: developing human resources and technical expertise; building and maintaining infrastructure; developing institutional synergies; and continued development of a non-web, non-Internet based system to access the Biosafety Clearing-House. A fifth, crosscutting, need for sustainable financial resources was also identified. Small Island Developing States also noted that unreliable telecommunications systems and high cost of access to the Internet were of particular concern for those countries.
5. Most of the countries involved have already highlighted biosafety as an important issue that needs to be addressed within their Biodiversity Strategies and Action Plans, in accordance with Article 6 of the CBD.

BASELINE

6. All eligible countries have had very limited financial means to fulfil their national needs with respect to the BCH. In fact, when resources have been available at national level, priority has been given to other elements of the National Biosafety Framework, biosafety regulatory issues, information gathering and public awareness/participation.
7. Only through the support of international partners countries have been able to start activities related to the setting up of the BCH or been able to attend global or regional workshops and assist in training activities aimed at the creation of the capacity needed for the BCH to be operational. In this respect, as far as GEF is concerned, this project will complement other UNEP-GEF projects on biosafety.
8. In particular, 117 GEF eligible countries are currently participating in the UNEP/GEF Global Project for the Development of National Biosafety Frameworks. Under this Project a modest financial support of around 14,000 US\$ per country is being provided to participating countries to purchase computer equipment, software, etc. However, this equipment was actually intended to support national framework development and only incidentally would any of these resources be used for access to the Biosafety Clearing

House (BCH). As importantly, the training of personnel to use and access the BCH is not being addressed within this project. In summary, adequate equipment and appropriate training to access and use the BCH is critical for these countries to complete their obligations under the Protocol.

9. In addition, UNEP is assisting in the demonstration projects on implementation of National Biosafety Frameworks in Bulgaria, Cameroon, China, Cuba, Kenya, Namibia, Poland and Uganda. UNDP is assisting Mexico and Malaysia while the World Bank is assisting Colombia and India. As a part of these projects and their own internal processes, national governments are collating the information that needs to be registered on the BCH, and are determining institutions and personnel to undertake the functions required by the BCH National Focal Point and relating to the BCH appropriately.
10. Under these demonstration projects, the national requirements of the participating countries with respect to the Biosafety Clearing House will also be taken into account. Activities that are being supported, and are related to the BCH, include implementing the national components of the BCH within the various institutional structures, and the development of appropriate technology and training of personnel to use the BCH, according to the requirements of their National Biosafety Frameworks. These projects, carried out in collaboration with the CBD, will also take advantage of any training materials to be developed for this proposed project.
11. In this respect and in collaboration with the CBD, a questionnaire has been sent out in February 2003 by UNEP to all Parties to the CBD on their use of the BCH in order to provide baseline information for designing this project and providing key data on use of the BCH.
12. As result, and in line with the advice of the CBD/ICCP Bureaux on national components of the BCH, adequate equipment and appropriate training to access and use the online BCH are now critical for these countries to complete their obligations under the Protocol.
13. Other donors are supporting or have intentions to support countries in the implementation of their BCH (Belgium, Canada, etc.) through exchange programmes.
14. The United States government will help to develop a template database compatible with the technical specifications to be provided by the CBD Secretariat, which will enable data collected in national databases to be harvested by the CBD portal. In addition, they will provide elements for a training package to support the template database and assist in some training courses and provide a temporary on-call support centre. The UNEP-GEF staff and CBD Secretariat will be closely associated with the production and delivery of such goals.
15. Overall, the total baseline costs for the 50 potential participating countries can only be associated to available equipment (hardware/software) for a limited amount of US\$25,000 in total (for an estimated amount of 500USD/each). Project management and coordination activities, set up under the Global Project for the Development of National Biosafety Frameworks, are not included in the baseline of this add-on project. Baseline refers only to activities other than the GEF sponsored ones.

GLOBAL ENVIRONMENTAL OBJECTIVES

16. The global community benefits greatly from an operational BCH, by being able to make informed decision on the safe transfer, handling and use of living modified organisms. The biosafety clearing-house will ensure good feedback mechanisms and networking capabilities, allowing the users ready access to the data directory and enable them to make direct contact with the sources of information. Without additional resources, global benefits will be hindered by a limited capacity in BCH management as well as by a limited user base.

ALTERNATIVE

17. The Biosafety Clearing House is 'owned' by the participants. This is important because it places the onus of quality, timeliness, maintenance, access and other issues squarely where it belongs – on the initial producer or provider.
18. It is therefore imperative that all countries have the necessary capacity to access and use the BCH effectively. Once the Protocol enters into force, countries will be required to enter and manage their own data in the Biosafety Clearing-House.
19. The activities planned by the project will therefore support the development of core human capacities and the provision of essential equipment so as to enable countries to fulfill their obligations under the Protocol. Countries will also take advantage of the benefits provided by the BCH in terms of aid in timely, informed decision-making through readily access to scientific, technical, environmental and legal information on LMOs. This will facilitate the ability of these countries to readily access relevant information on LMOs, and thereby assist with implementation of the Protocol and ensuring an adequate level of protection for biodiversity in the field of safe transfer, handling and use of LMOs.
20. Under the GEF alternative, an expanded programme will be implemented, focusing on those activities that generate global benefits. These include the development of core human resources and establishment of appropriate BCH infrastructure so as to improve the capacity of the beneficiary countries to access and use the Biosafety Clearing-House.
21. The incremental costs of these components are estimated as follows:

Training: US\$ 2,807,000, of which US\$ 250,000 of co-funding in kind by countries. GEF support is requested for US\$2,557,000

Equipment: US\$ 1,250,000. GEF support is requested for the full amount.

As far as project management and coordination is concerned, out of 908,000US\$ of increment, 100,000US\$ are made available as in-kind contribution by countries. This includes administrative support and workshop rooms. GEF is requested to contribute 808,000US\$.

COSTS IN TOTAL

22. Baseline expenditure amounts to US\$ 25,000. The alternative has been costed at US\$4,890,000.
23. The incremental cost analysis shows that an amount of US\$4,965,000 is required to achieve the project's global environmental objectives. As an enabling activity, this project is eligible for full financing. Nevertheless countries will cover around the 7% of the cost of the alternative as in-kind contribution, mainly as space for meetings and administrative support for training activities. US\$ 4,615,000 corresponding to the remaining 93 % of the total cost of implementing the alternative is requested for GEF support.

INCREMENTAL COST MATRIX

| Cost/Benefit | Baseline (B) | Alternative (A) | Increment (A-B) |
|--------------|--|---|--|
| | <ul style="list-style-type: none"> • Lack of knowledge of the beneficiary countries of the role of the BCH • Lack of knowledge of the beneficiary countries on the access, use and registration of information on the BCH • Absence of a systematic approach in handling request and carrying out risk assessment associated with LMOs transboundary movements as needed for making timely and informed decisions | <ul style="list-style-type: none"> • Central Portal and National BCH play a key role as foreseen by the Protocol • BCH contains all necessary information by countries as requested by the Protocol • Adoption of a systematic approach in handling requests | <ul style="list-style-type: none"> • Capacity of the beneficiary countries to access, use and register information in the Biosafety Clearing-House improved through developing core human resources and establishing appropriate BCH infrastructure • Enhanced use of technical and scientific information for making informed decisions |
| | <ul style="list-style-type: none"> • Obligations on BCH under the Protocol are not matched because of lack of human resources and appropriate BCH infrastructure • Limited opportunities for exchange of knowledge and experience, feedback and networking • Inadequate participation due to a very limited user base of BCH • Inadequate participation due to a lack of tutorial material | <ul style="list-style-type: none"> • Obligations on the BCH under the Protocol are met • BCH becomes a crucial tool for making informed decision on the safe transfer, handling and use of living modified organisms | <ul style="list-style-type: none"> • BCH provides good feedback mechanisms and networking capabilities • Sustainability of the project and informed public participation increased by the broadening of the user base for the BCH and from the development and dissemination of tutorial material |

| Cost/Benefit | Baseline (B) | Alternative (A) | Increment (A-B) |
|--|---|---|--|
| Component A Training | <ul style="list-style-type: none"> Limited knowledge of the Protocol requirements with respect to the BCH Limited capacity in database design and data management in relation to the BCH Limited capacity to search for information on the BCH Limited capacity to access and use BCH information Limited capacity in identifying relevant BCH information for decision makers Limited capacity in registering information on the BCH | <ul style="list-style-type: none"> Knowledge of the Protocol requirements with respect to the BCH improved Enhanced capacity in database design and data management in relation to the BCH Enhanced capacity to search for information on the BCH Enhanced capacity to access and use BCH information Enhanced capacity in identifying relevant BCH information for decision makers Enhanced capacity in registering information on the BCH | Increment: 2,807,000US\$ GEF: 2,557,000US\$ Co-financing by countries: 250,000US\$ |
| | Baseline: 126,280 | Alternative: 2,933,280 | |
| Component B Equipment (Hardware & software) | <ul style="list-style-type: none"> Inadequate infrastructure for BCH functioning Baseline: 25,000US\$ | <ul style="list-style-type: none"> Adequate hardware and software for BCH functioning set up in each country Alternative: 1,275,000US\$ | Increment: 1,250,000US\$ GEF: 1,250,000 Co-financing by countries: 0 |
| Project management and coordination | Baseline :0 | Alternative: 908,000\$ | Increment: 908,000\$ GEF: 808,000\$ Co-financing by countries: 100,000\$ |

ANNEX B PROJECT LOGICAL FRAMEWORK MATRIX

Additional indicators have been elaborated in the Monitoring and Evaluation Plan(in Annex D), to be fine-tuned during the execution of the project.

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|---|---|--|---|
| <i>Overall Development Objective</i> | | | |
| Assist eligible countries in building and strengthening the national capacity needed to enable access and use of the Biosafety Clearing House with respect to Article 20 of the Cartagena Protocol | <ul style="list-style-type: none"> • All participating countries accessing the BCH for information after training • All participating countries posting essential information into the BCH after training • BCH-derived information used in legal and technical operations in participating countries • 75% of participating countries are in compliance with obligations on the BCH for CP parties within 12 months • National BCH Website established in 50% countries within 18 months • National Databases established in 70% participant countries within 24 months • Database software set up in all relevant countries and used for data transfer, where needed by month 24 | <ul style="list-style-type: none"> • Logs of use & access to the BCH • Decision documents displayed on BCH • Changes from Baseline that has been established from National baseline studies and global BCH questionnaire results. | <ul style="list-style-type: none"> • Parties maintain interest in utilizing the BCH • Political/economic stability in the countries involved • Continuing financial commitment of national organizations responsible for BCH operations • CBD software allows for recording and monitoring of style and frequency of data entry and use |

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|---|--|---|--|
| <i>Immediate Objectives</i> | | | |
| Outcome 1. Strengthened capacities of potential users of BCH in relevant ministries and other institutions in order to fulfill requirements of CPB with reference to BCH | <ul style="list-style-type: none"> • 50 % increase in number of entries to BCH from baseline data by month 24 • 75 % Increase in number of hits on BCH conducted per country from baseline by month 18 • National decisions entered on BCH | <ul style="list-style-type: none"> • Logs of use & access to the BCH • Frequency of user searches compared to baseline • Workshop evaluations from trainees to training material • Reports at national level and by UNEP • Solicited feedback from BCH users | <ul style="list-style-type: none"> • Trainees continue in same work • Suitably qualified personnel available to develop, test and use the system |
| Outcome 2. Support provided for the improvement of the physical infrastructure of national BCH components | <ul style="list-style-type: none"> • National data accessible in all relevant government agencies • 75% of countries endorsed programme of planned purchases for national BCH by 24 months • | <ul style="list-style-type: none"> • Reports of BCH Task Force • Logs of use & access to the BCH • UNEP project reports | <ul style="list-style-type: none"> • BCH task force active in getting appropriate solutions to needs |
| Outcome 3 Sustained capacity to use and access the BCH established in country | <ul style="list-style-type: none"> • Documentation available to all countries to allow continued training by month 12 • Core group established of 3 trainers in country by month 12 • Peer network set up to allow mutual support over long term by month 36 • Regional experts available to assist countries by month 9 | <ul style="list-style-type: none"> • UNEP and Workshop Reports • Peer network logs (list server) | <ul style="list-style-type: none"> • List server set up by responsible agency • Continued interest in sharing information and networking • Number of BCH users stable or increasing despite natural leakage into different sectors • Support provided by project team to assist in training and replacement of BCH users |

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|---|---|---|---|
| COMPONENTS/ RESULTS | | | |
| 1. Negotiation with eligible countries for participation | <ul style="list-style-type: none"> • 50 countries with signed agreements with UNEP for BCH activities by month 6 | <ul style="list-style-type: none"> • UNEP reports | <ul style="list-style-type: none"> • Identification of relevant agency • Commitment of country to continued servicing of BCH |
| 2. Formation of training team to develop software and training material | <ul style="list-style-type: none"> • Relevant professionals hired and in place by month 3 | <ul style="list-style-type: none"> • UNEP reports to UNEP, GEF, Steering Committee, etc | <ul style="list-style-type: none"> • Professionals available at right time |
| 3. Interactive computer-based training package based on BCH toolkit produced, and made available to countries | <ul style="list-style-type: none"> • Training package endorsed by peer review • 75% countries receive package by month 12 | <ul style="list-style-type: none"> • Quarterly reports of UNEP • Questionnaires on software usefulness from national teams | <ul style="list-style-type: none"> • Changes in BCH from Bureau of MOP/COP do not affect product • Continuing commitment in countries to build up national BCH components |
| 4. Model database format, capable of fulfilling minimum requirements of CP and sending data to BCH securely produced, and made available to countries | <ul style="list-style-type: none"> • Training package endorsed by peer review • 75% countries receive package by month 12 | <ul style="list-style-type: none"> • Peer review of product by various stakeholder groups • Questionnaires on software usefulness from national teams | <ul style="list-style-type: none"> • Changes in BCH from Bureau of MOP/COP do not affect product • Continuing commitment in countries to build up national BCH components |

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|---|--|--|---|
| 5. National and regional experts trained at global level and capable to provide training at national level on the BCH. | <ul style="list-style-type: none"> • Minimum of 3 people trained in each participating country to be able to train others in use and access of BCH • At least 20 regional consultants trained in provision of courses and able to train others in use and access of BCH • At least 75% of trained national resource people carry out training programmes in their countries • Positive comments made on materials from the global training | <ul style="list-style-type: none"> • Details of global workshop training reports and self-evaluation sheets • Reports to UNEP • Pattern and nature of queries to support group after training • BCH logs to check on trainee usage • Surveys of trainers on user friendliness and utility of training materials carried out after national workshops • Follow up questionnaires sent out to trainees prior to project end | <ul style="list-style-type: none"> • Risk of loss of qualified personnel as a result of training • Commitment to broadening access for stakeholders at national level • Trainers able to use package for national BCH training workshops • Quality of the project workshops • Quality of personnel acting as future trainers |
| 6. Decision makers are trained in local workshops on identification and access to information required for decision-making under CPB and its publication on BCH | <ul style="list-style-type: none"> • 50% of countries using BCH data for national decisions using BCH within 12 months • 75% of countries using BCH data and logging national decisions using BCH within 24 months | <ul style="list-style-type: none"> • Details of workshop training reports and self evaluation • Reports to UNEP • Pattern and nature of queries to support trainees after training • BCH logs on information • Solicited feedback from key decision makers • Surveys of trainees on user friendliness and utility of training materials after national workshops • Specific country survey of users on ease of use of BCH | <ul style="list-style-type: none"> • A group of trained trainers and regional expert available to undertake training at national level • Regional Experts available to support country initiatives |

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|---|--|---|--|
| 7. Personnel with obligations to use and administer the BCH, are trained in local workshops on storage of data, access to, and registration of information in the BCH | <ul style="list-style-type: none"> • 50% of countries using BCH data for national decisions using BCH within 12 months • 75% of countries using BCH data and logging national decisions using BCH within 24 months | <ul style="list-style-type: none"> • Details of workshop training reports and self- evaluation • Reports to UNEP • Pattern and nature of queries to support trainees after training • BCH logs on information • Solicited feedback from key decision makers • Surveys of trainees on user friendliness and utility of training materials after national workshops • Specific country survey of users on ease of use of BCH | <ul style="list-style-type: none"> • A group of trained trainers and regional expert available to undertake training at national level • Regional Experts available to support country initiatives • Necessary data available on BCH with regular updates |
| 8. Participating countries equipped with appropriate computer hardware to improve access to BCH | <ul style="list-style-type: none"> • National data accessible in all relevant government agencies • 75% of countries endorsed programme of planned purchases for national BCH by 24 months | <ul style="list-style-type: none"> • Comparison with baseline established in initial statement from countries • Inventories of appropriate hardware purchased and installed in each country involved • Records of country problems and solutions in project support team • Written agreement from BCH Task Force and UNEP Biosafety team on equipment | <ul style="list-style-type: none"> • Guidance on appropriate systems for use of BCH provided by CBD Secretariat • Access to the BCH fast enough to ensure that costs and time spent are at an acceptable level for national use of the BCH. • Alternative systems set up for Parties without adequate Internet access |

| Narrative Summary (Intervention Logic) | Objectively Verifiable Indicators | Means of Verification | Important Assumptions & Risks |
|--|---|--|--|
| 9. Capability established for continuing support on access and use and information storage and management of BCH for participating countries | <ul style="list-style-type: none"> • Continuity of essential data being lodged on BCH • Continuity of people carrying out obligations of Parties to CPB • Sustainability of the project and participation increased by the broadening of the user base for the BCH to at least twenty organizations in each country • Tutorial material developed for project being downloaded for use beyond participating countries from website | <ul style="list-style-type: none"> • Country reports to team during project life • Review of data available on BCH at 6 monthly intervals for participating countries • Nominations of key country positions up to date on BCH • Biosafety website records | <ul style="list-style-type: none"> • A group of expert trainers available for continuing support • Regional Experts available to support country initiatives • Funds available to countries to use for securing experts after project ends • Follow up from project team to trainees for up to 36 months • Quality of manual and training material to be used by trainers to train new personnel in isolation |
| 10. Trainees at national level actively linked to their equivalents in other countries and freely exchanging data and information | <ul style="list-style-type: none"> • Active peer-to-peer experience, lessons learned and best practices occurring in 50% of countries within 18months • Dedicated list-server run by the CBD Secretariat on 24/7 basis • Active exchange of relevant information and decision-making regarding LMOs in place among participating countries. • Increased exchange of experience and knowledge between personnel involved in Biosafety in different countries | <ul style="list-style-type: none"> • Internet records of network of information flow among countries on list servers • Quarterly UNEP reports • Reports from countries of experiences on peer group support | <ul style="list-style-type: none"> • Support continues to be provided by Biosafety team until full confidence from country users • Supportive systems set up and physical meetings scheduled to energize networks |

ANNEX D- MONITORING & EVALUATION

1. The Monitoring and Evaluation Plan for this project has three major goals. The goals are:

1.1. To capture the lessons learned from the organization of each training session/workshop to continually improve the usefulness of future sessions.

The organization of each training session/workshop both builds on the experience of previous sessions and poses its own unique set of issues. Monitoring and evaluation of each training session/workshop provides the mechanism for systematically capturing the learning from each event in order to provide the basis for continual improvement in the organization of future training sessions for the next country in the process.

1.2. To ensure that the use by countries of the BCH is contributing to actual action on the ground, thus having significant impact.

The project runs the risk of becoming solely a series of training events without its integration into actual on-the-ground impacts. Thus, the M&E plan has been worked out below to monitor the impact the training sessions and use of the BCH have on further follow up of concrete activities that will help address the needs of countries to meet the relevant obligations of the Cartagena Protocol.

1.3. To ensure that the choice made by countries on the development of their system and relevant equipment to meet current needs is carried out in a structured way and with appropriate support to that decision-making

The countries need to set up a system to analyze their current system of IT in relation to use and access of the BCH and then develop an appropriate physical and human network that will allow the required usage of the national BCH and the central portal of the BCH.

2. Some of the baseline data for monitoring against “indicators” has been already collected and is available as result of the questionnaire launched by UNEP-GEF in February 2003, in close collaboration with the CBD Secretariat, in order to 1) determine the state of current access and use of the Biosafety Clearing House in each country, and 2) to further understand their urgent needs. (The results of the questionnaire are found, as Annex H). This will be complemented by the status report that each country will provide as part of its justification for project eligibility. Further investigation will be carried out in each individual country when evaluating the options for setting up the national BCH in terms of equipment and the national BCH Task Force will provide hardware and an equipment baseline
3. The components of the proposed M and E plan (key questions, indicators, data sources and frequency of data collection) are detailed in Table 2, while Table 1 shows the code referred to in Table 2 that relate the indicators to the data sources and collection methods. The responsibility for implementing the monitoring and evaluation plan is that of the project management team at UNEP and the responsibility for ensuring that it is implemented rests with the NBF Development Project Steering Committee.

Table 1 Proposed data sources & data collection methods (in no order of priority) code referred to in Table 2

| Code | Data Source | Data Collection Method |
|-------------|---|---|
| 1 | Project Management Team | Post-Session self-assessment |
| 2 | Steering Committee of UNEP-GEF NBF Development Project | Minutes from each annual meeting or intermediary meetings |
| 3 | Training Session Participants | Training session self - evaluation questionnaire |
| 4 | COP/MOP1 (or other meetings related to the Cartagena Protocol) reports | Document review |
| 5 | National focal points, Representatives of Government ministries, agencies, NGOs, Private Sector Associations & CBD Convention Secretariat, Project Management Team & Steering Committee | Questionnaire/selected in-depth interviews |
| 6 | Project Management Team quarterly reports to UNEP (and the NBF Project Steering Committee) | Document review |
| 7 | BCH Task Force Reports | Document Review |
| 8 | Official Inventories of equipment | Document Review |

Table 2 Proposed Monitoring & Evaluation Plan

| Key Question | Sub question | Indicator | Data Source/ Collection method | Frequency of Collection |
|--|--|---|---|---------------------------------|
| Component 1 | | | | |
| Issue: Accountability; Are the training processes and training session objectives being achieved? | | | | |
| 1. Are the individual sessions contributing to the project objectives? | 1.1 To what degree did each training session assist decision makers and | 1.1.1 # of people involved in decision-making who attended each training session | 3 | Each Training Session |
| | | 1.1.2 # of people involved in data entry and information management, who attended each training session | 3 | Each Training Session |
| | | 1.1.3 # of above participants reporting learning new information/view-points from the Training Session | 3 | Each Training Session |
| | | 1.1.4 # of intended follow-up activities from Training Session reported by above participants | 3 | Each Training Session |
| | | 1.1.5 # & type of references to recommendations on BCH Training in MOP reports (or in reports of other meetings related to the BCH) | 4 | On availability of report |
| | | 1.1.6 # & type of reported uses of BCH outputs (written reports, participant input on return etc.) contributing to policy making & implementation by: National Focal Points, Government ministries/departments, NGOs, Private Sector Associations, & other Convention Secretariats etc. | 5 | Once (last 6 months of project) |
| | 1.2. To what degree did the Training Sessions promote complementarity among the sectoral processes relevant to Biodiversity and Biosafety? | 1.2.1 # of people attending Sessions from sectors whose primary responsibility is something other than Biosafety related decision-making or data entry and information management | 3 | Each Training Session |

| Key Question | Sub question | Indicator | Data Source/ Collection method | Frequency of Collection |
|--------------|---|--|--------------------------------------|---|
| | | 1.2.2 # by categories of planned activities by participants (2.1) for follow-up from Training Session | 3 | Each Training Session |
| | | 1.2.3 # & type of reported uses of BCH outputs (written reports, participant input on return etc.) contributing to the promotion of complementarity among sectoral processes relevant to Biodiversity by: National focal points, Government ministries/departments, NGOs, Private Sector Associations, involved in sectors whose primary responsibility is something other than the implementation of the CPB | 5 | Once (last 6 months of project) |
| | 1.3. To what degree did each Training Session facilitate partnerships within &/or between sectors of society? | 1.3.1 # of different institutions acting as local hosts in Training Sessions | 1 | End of each series of training sessions |
| | | 1.3.2 # of different institutions/organizations from which Workshop trainers were drawn for each Training Session | 1 | End of each series of training sessions |
| | | 1.3.3 # & type of reported uses of BCH outputs (written reports, participant input on return etc.) contributing to the promotion of partnerships either within or across sectors by: National focal points, Government ministries/departments, NGOs, Private Sector Associations, other Convention Secretariats involved in sectors whose primary responsibility is something other than the implementation of the CBD | 5 | Once (in last 6 months of project) |
| | 1.4. To what degree did each Training Session raise awareness & promote the effective participation of stakeholders in relevant | 1.4.1 # of participants at each Session reporting receiving new information/view points | 3 | Each Training Session |

| Key Question | Sub question | Indicator | Data Source/ Collection method | Frequency of Collection |
|--|---|---|--------------------------------------|---|
| | processes? | 1.4.2 # of Session participants attending a training session on biosafety for the first time | 3 | Each Training Session |
| | | 1.4.3 # & type of reported use of BCH outputs (written reports, participant input on return etc.) for obtaining new information or promoting participation in relevant processes by: National focal points, Government ministries/departments, NGOs, Private Sector Associations & Convention Secretariats etc. | 5 | Once (in last 6 months of project) |
| | | 1.4.4 # (by categories) of reported intentions of Session participants to participate in relevant processes as a follow-up to a Training Session | 3 | Each Training Session |
| 2. Were specific objectives for each Training Session clearly defined and to what degree were they achieved for each Training Session? | 2.1. Were specific objectives for the Training Session clearly defined and indicators developed for them? | 2.1.1 Session objectives and indicators clearly defined by the Project Management Team. | 6 | End of each series of training sessions |
| | 2.2. To what degree were the specific objectives for each Training Session achieved? | 2.2.1 Degree to which Training Session participants report that specific objectives were achieved | 3 | Each Training Session |
| | | 2.2.2 Degree to which the Project Management Team report that specific objectives were achieved | 1 | End of each series of training sessions |
| | | 2.2.3 Additional indicators generated specifically for the Training Session objectives | | End of each series of training sessions |

Component 1

Issue: Improving the Training process & Sessions by monitoring for lessons learned

| Key Question | Sub question | Indicator | Data Source/ Collection method | Frequency of Collection |
|--|---|--|---|---|
| 3. How can the design process of the Training workshops be improved? | 3.1 Is the consultation process for the design process of the Training workshops sufficiently broad & responsive to stakeholders' needs | 3.1.1 Project Management Team is receiving more comments on workshop design and additional topics | 3 | Evaluation at conclusion of each meeting |
| | 3.2 Do Training workshops support the capacity building process & objectives? | 3.2.1. Confirmation from Project Management Team's regular review of workshop design to ensure that they support the objectives of the capacity building process | 3 | Evaluation at conclusion of each meeting |
| | 3.4 Are workshop materials perceived as relevant by a broad constituency of stakeholders at the national levels and whose work relates to biosafety either directly or indirectly | 3.4.1Comments from # of participants attending the Training Sessions | 3 | Each Training session |
| | | 3.4.2 Training Sessions attracts participants from broad range of government sectors | 3 | Each Training Session |
| 4. How can the organizational/planning processes of the Training process & Sessions be improved? | 4.1. Are the roles & responsibilities of the BCH Task Force and Project Management Team clearly defined & communicated to those who take on the roles | 4.1.1 Degree of clarity on roles & responsibilities reported by those taking on the roles | 1, 2 | Each series of training selection session and at conclusion of each meeting |
| | | 4.1.2 Roles & responsibilities are satisfactorily carried out | 1,2 | Each series of training selection session and at conclusion of each meeting |
| | | 4.1.3 Project Management Team reviews adequacy of criteria in light of experience of each Training Session & recommends revisions where necessary | 1, 2 | Each Training Session |
| 5. How can improvements be made to the types, quality & distribution of | 5.1. Are the workshop materials useful to the Training Session participants? | 5.1.1 Degree of usefulness of workshop materials reported by participants, workshop trainers, and Project Management Team. | 3 | Each Training Session |

| Key Question | Sub question | Indicator | Data Source/ Collection method | Frequency of Collection |
|---------------------------|---|--|--------------------------------------|-------------------------|
| Training Session outputs? | 5.2. Can the workshop outputs be improved? | 5.2.1 Evaluative comments from Workshop trainers and participants & other BCH users | 1, 3 | Each Training Session |
| | 5.4. What other type(s) of Session outputs would support the Training process objectives? | 5.4.1 Recommendations from Training Session participants, trainers and Project Management Team | 1, 3, 4 | Each Training Session |

Component 2

Issue: Ensuring that the choices made on the development of their system is carried out in a structured way and with appropriate support

| | | | | |
|---|--|---|---------|---|
| 6. How can the selection process of the choice of equipment be carried out efficiently? | 6.1 Is the consultation process for the identification of different options sufficiently broad & selection requirements understood by those consulted? | 6.1.1 Biosafety Task Force prepares reports on decision making process and responds to the suggestions made that meet established selection criteria than can be addressed within current resources | 6, 7 | Evaluation by Biosafety Task Force and oversight by Project Management Team each quarter |
| | 6.2 Were objective selection criteria, such as from CBD and other sources, used to support the choice of BCH equipment needs & objectives? | 6.2.1. Confirmation from Project Management Team's review of BCH Task Force Team reports to ensure that they support the needs & objectives of the individual country circumstances. | 6,7 | Evaluation by BCH Task Force and oversight by Project Management Team each quarter |
| | 6.3 Is the equipment purchased and inventoried in line with the plans produced and agreed? | 6.3.1 Inventories provided of all equipment purchased and cross-referenced to reports of Biosafety Task Force | 6,7 | Oversight by Project Management Team each quarter |
| | 6.4 Is selected equipment appropriate to needs after purchase? | 6.4.1 Comments from BCH users and BCH task Force team members in meeting and in usage | 5, 6, 7 | Inputs from Questionnaire and reports will help to set up best practice for replicability |

ANNEX E

STAP REVIEW OF UNEP-GEF PROPOSAL ON BUILDING CAPACITY FOR EFFECTIVE PARTICIPATION IN THE BIOSAFETY CLEARING HOUSE (BCH) OF THE CARTAGENA PROTOCOL

1 Introduction

- 1.1 Considerable resources and effort has already been put into fulfilling the objectives of the GEF's initial strategy to assist countries in the development of their national biosafety framework (NBF) in accordance with their needs taking into consideration regional and sub-regional capabilities. Within the NBF framework further work is needed to establish a structure to access and utilise the biosafety clearing house (BCH) mechanism. This work would involve the evaluation of the needs of the participating countries in order to assist them through training so that they can get maximum benefit from the BCH mechanism. The current proposal is aimed at achieving that objective and follows on from the information gained as a result of the UNEP-GEF questionnaire on BCH launched in February 2003.

In the following, comments are provided as necessary on relevant areas.

2 Comments

2.1 *Project design and approach*

- 2.1.1 The project design and approach is appropriate considering that the BCH is an important component of the information sharing aspect of the Cartagena Protocol. The living modified organism (LMO) technology is recent and complex and its understanding requires a certain amount of technical know-how. The national set up in many countries that are not producers of LMOs is likely to have a limited resource in the area of accessing information through the BCH mechanism and would require assistance that this project would initiate.

2.2 *Project's operational strategy and programme priority*

- 2.2.1 The timing of the project is opportune considering the progress on ratification of the Protocol. Now that 50 countries have ratified the Protocol the Protocol will come into force three months later on 11 September 2003. Some of the countries that have ratified the Protocol would benefit considerably from the implementation of this project by gaining a better understanding of the BCH mechanism and more importantly by hands on involvement.

2.3 The project and its relationship with the GEF, CBD, Cartagena Protocol, COP, and the ICCP

2.3.1 The project fits in well with the overall strategy of capacity building. Timely access to information on LMOs is crucial to informed decision making and access to information through the BCH will be integral part of that process. In accordance with GEF's initial strategy and the positive response from COP and the ICCP Bureaux the project would assist countries with limited resources to become familiar with the BCH mechanism in order to fulfil their obligation under the Protocol.

2.4 Assessment of scientific and technical soundness of the project

2.4.1 The proposed project's inclusion of the capacity building, development of training material, and the provision of support with the computing necessities is soundly based. The project and the proposed workshops will no doubt assist in particular those countries with small economies such as the small island developing states (SIDS) who have very limited technical and human resources. Here a point has to be made with respect to small economies and that is the continuation of the programme established under the proposed project. The project would establish technical ability and human capital through training but there is a danger that at the completion of the project national implications may hinder its sustainability.

2.5 Assessment of potential improvements to be made for regional and sub-regional cooperation

2.5.1 So far as I am aware there has been an important consideration of the benefits to be gained from regional and sub-regional cooperation under the UNEP-GEF involvement with the NBF. It is expected that a similar strategy will be used for the proposed BCH training exercises and this would build on the understanding of the participating countries for the benefits to be gained from regional and sub-regional cooperation in respect of the implementation of the Cartagena Protocol. This understanding may also be helpful in other areas of the Convention on Biological Diversity (CBD), such as the effect on biodiversity of alien invasive species.

2.6 Evaluation of sustainability of the project

2.6.1 I understand that the risks and sustainability of the project have been identified and recognised. I would like to draw particular attention to the need (already recognised in the project) of retention of capability gained as a result of the involvement with the project. In small economies there may be a temptation to use the people and equipment elsewhere once the obligation under the project is over. On the other hand, people with experience may be tempted by more lucrative conditions and move on. There are no easy answers or remedies for this but it is useful to make the participants aware of this issue so that they can take appropriate measures to ensure continuity according to their own circumstances.

2.6.2 In terms of the equipment to be used in respect of this project it would be

worthwhile to consider the compatibility with existing equipment/systems that is available and in use.

- 2.6.3 The importance of evaluation of the workshops is recognised in the project and this is important to build on the experience gained from the first exercise so that the following exercises can benefit from the experience.

2.7 Assessment of the efficacy of capacity-building aspects

- 2.7.1 The proposed programme for capacity building on the BCH mechanism will be effective taking into account the recognition of involving experienced resource people on a consistent basis. There is no substitute for experience and therefore retention of experienced people within the national framework as also noted above cannot be over emphasised.

2.8 Assessment of the efficacy of the monitoring mechanisms

- 2.8.1 I am aware that the current proposed project is an addition to the global project on the development of NBF. Monitoring and evaluation of any activity requires careful thinking and commitment. The project is likely to benefit from instituting a process by which reports on a pre-established parameters are submitted by participants on an agreed timeframe, on a quarterly or half-yearly basis. The project has addressed this issue and can be implemented on a case-by-case basis. An important consideration is that any issues arising are addressed in a timely manner.

2.9 Evaluation of the cost-effectiveness of the project

- 2.9.1 Cost effectiveness of the project needs to be looked at in the global context of information sharing under the BCH umbrella. Ineffective mechanism of information sharing is likely to contribute to confusion in the developing countries with limited means of obtaining the relevant information on transboundary movement of LMOs. The BCH would be a reliable source of information for all concerned as the same information will be available to all. This is likely to contribute to common understanding globally. For this reason the proposed cost of the project from the perspective of countries with small economies seems worthwhile.

2.10 Usefulness of the project outputs

- 2.10.1 The overall NBF system with the added BCH component is likely to add to realising global benefits arising from an informed and adequately equipped framework for the implementation of the objectives of the Cartagena Protocol. No drawbacks as a result of the proposed project are recognised.

2.11 Advise on the ways and means to enhance the scientific and technical capacity of the participating countries in terms of improving BCH usage

- 2.11.1 Retention of adequately trained and knowledgeable staff and the maintenance of physical resources are seen as important components of ensuring continuity of BCH usage to maximum benefit. In this regard regional and sub-regional cooperation and linkages could play an important role and these should be encouraged and supported.
- 2.11.2 There is a need for monitoring and reporting on the retention and continuation of the experience and expertise gained through the project after it has completed so that the benefits gained can be continued and enhanced.

3 Additional comments

- 3.1 There is inconsistency of 1% in percentages mentioned in section 7.6 of the "Project Description" and in paragraph 25 of the heading "Costs in total".
- 3.2 In the section on "Additional cost matrix" on page 27, second column, third bullet point in first row, it is to be recognised that for some developing countries risk assessment of LMOs will be difficult. Consequently, they may have to rely on the information provided, as well as information through the BCH and through regional and sub-regional linkages. The same matrix on page 30 notes that a body of 20 to 25 people will be trained in each participating country to be able to use and access BCH. It is to be recognised that each and every participating country may not have an adequate pool of people and therefore the actual numbers intended may be low, not because of the desire but because of limitation of available human resource. In such an event the proportion of the population that can be trained is likely to have a proportionally better involvement.
- 3.3 In "Exhibit 2 Proposed M&E plan", page 17, second column, item 1.2, please consider adding the words "and biosafety" after the word "Biodiversity"

4 Conclusion

- 4.1 In Summary, the project would build on the other complementary projects already underway with respect to building NBF. Continuity of the framework after this project expires is to be considered. There are two main elements to this, equipment and human resource. Maintenance of equipment and its continued operation would require technical support whereas maintenance of persons familiar with the technical components of the BCH will be essential. This technical aspect does not end at computing technology but also extends to genetic technology where familiarity with the technological terms and processes will be required to understand information about a particular LMO. This information at times can

have subtle differences in terms of host, donor, vector, and marker systems used in a particular line/event of an LMO.

- 4.2 The overall objective of the project is achievable provided participating countries show commitment to gain, improve, and maintain physical and human resources.
- 4.3 To conclude, the proposed project would contribute to the development of a framework that will assist in accessing scientific and technical information in a timely manner through the BCH mechanism. The project would have global benefits and no identifiable drawbacks and it would contribute to the development of the overall NBF. Involvement with the BCH mechanism is likely to contribute to the regional and sub-regional cooperation and thereby adding to global benefits and sustainability of the project as well as the effective implementation of the Cartagena Protocol.

Abdul Moeed
Wellington, New Zealand
16 June 2003

ANNEX F - UNEP RESPONSE TO THE STAP REVIEW

1. The STAP Technical Review considered that:
 - a) *The project design and approach is appropriate considering that the BCH is an important component of the information sharing aspect of the Cartagena Protocol*
 - b) *The timing of the project is opportune considering the progress on ratification of the Protocol*
 - c) *The project fits in well with the overall strategy of capacity building. Timely access to information on LMOs is crucial to informed decision making and access to information through the BCH will be an integral part of that process*
 - d) *The project's design of capacity building, development of training material, and the provision of support of hardware and equipment is soundly based*

2. The STAP concerns relate mainly to the future and sustainability of the project activities. UNEP appreciates the constructive nature of the suggestions for clarification, refinement and improvement. Comments have all been noted and are addressed here below. They will be fully taken into account during the development of the project and have been incorporated in the revised version of the project.

STAP Reviewer's comments on specific issues

| <u>Issue</u> | <u>Response</u> |
|--|--|
| <p><i>2.4 Assessment of scientific and technical soundness of the project</i></p> <p>Here a point has to be made with respect to small economies and that is the continuation of the programme established under the proposed project. The project would establish technical ability and human capital through training but there is a danger that at the completion of the project national implications may hinder its sustainability</p> | <p>This important issue is addressed at page 12, para 5.4 of the project proposal, where it is mentioned that “once the project is completed, a country must also ensure that there is an efficient Internet service on the BCH and that the costs of it are kept at a minimum level”. This issue was also raised in para 3.14 in the context of the importance of governments assuming responsibilities and obligation as Parties to the Protocol. In fact, the requirements for building in financial sustainability extend far beyond the BCH requirements and are also covered under the UNEP-GEF Global Development Project. When the Protocol comes into effect, political support and internalization of the need for a fully functioning BCH and of the obligations on Parties will attempt to address this risk adequately.</p> |

| <u>Issue</u> | <u>Response</u> |
|--|---|
| <p data-bbox="233 300 799 359"><i>2.5 Assessment of potential improvements to be made for regional and sub-regional cooperation</i></p> <p data-bbox="233 390 799 695">2.5.1 There has been an important consideration of the benefits to be gained from regional and sub-regional cooperation under the UNEP-GEF involvement with the NBF. It is expected that a similar strategy will be used for the proposed BCH training exercises and this would build on the understanding of the participating countries for the benefits to be gained from regional and sub-regional cooperation in respect of the implementation of the Cartagena Protocol.</p> <p data-bbox="233 753 799 812">See also the UNEP response in light of reviewer's comments in section 2.11</p> <p data-bbox="233 848 799 1087">2.11.1 Retention of adequately trained and knowledgeable staff and the maintenance of physical resources are seen as important components of ensuring continuity of BCH usage to maximum benefit. In this regard regional and sub-regional cooperation and linkages could play an important role and these should be encouraged and supported.</p> | <p data-bbox="818 390 1385 600">UNEP fully agrees with the STAP review on promoting regional and sub-regional cooperation. This request is also in line with priorities identified by the National Governments during the development phase. In this respect, the proposal has indeed foreseen to carry out a similar strategy through the following activities (page 11):</p> <ul data-bbox="837 636 1385 1457" style="list-style-type: none"> <li data-bbox="837 636 1385 846">• Orientation/training workshops (see para 3.2) to train the Governmental nominees and regional experts to carry out training at national level will also support the cause of regional and sub-regional cooperation, which UNEP agrees is essential for full implementation of the Protocol in developing countries. <li data-bbox="837 852 1385 1213">• We see the need to encourage the exchange of peer-to-peer experience, lessons learned and best practice as well as facilitating the collaboration between the participating countries and developed countries. (See para 3.5) A campaign will be run to set up a supportive network among BCH operatives with similar challenges to face so that they can learn with and from each other as well as from external professionals. This process will be assisted by the presence of a dedicated list-server that the CBD Secretariat will run. <li data-bbox="837 1220 1385 1457">• In conjunction with forthcoming sub-regional workshops of the NBF Development Project in late 2003 and early 2004, a specific training session will be dedicated to the central BCH structure, functioning, management, use and interaction with the Parties. This will support the same cause of cooperation at an appropriate sub-regional level. |

2.6 Evaluation of sustainability of the project

2.6.1 I understand that the risks and sustainability of the project have been identified and recognised. I would like to draw particular attention to the need (already recognised in the project) of retention of capability gained as a result of the involvement with the project. In small economies there may be a temptation to use the people and equipment elsewhere once the obligation under the project is over. On the other hand, people with experience may be tempted by more lucrative conditions and move on. There are no easy answers or remedies for this but it is useful to make the participants aware of this issue so that they can take appropriate measures to ensure continuity according to their own circumstances.

2.6.2 In terms of the equipment to be used in respect of this project it would be worthwhile to consider the compatibility with existing equipment/systems that is available and in use.

- This issue is addressed under Section 5 Sustainability and Risks, para 5.5 on Loss of experienced staff. It is generally well understood that the area of IT and computing are growth industries in most countries and so any training provided to competent stakeholders can lead them to re-evaluate their positions and seek other opportunities that take them away from working on the BCH. It would therefore be very useful that the active support system should be there to help countries cope with high turn over in the 3 years so that countries can continue to manage the BCH despite predicted turnover. After such an initial period, countries should be able to set up coping mechanisms that are sustainable, but some disturbance is likely in the early years.
- The monitoring and evaluation plan allows for a review of the number of trained personnel in post and opens up the possibility of the government taking preventive measures if the drain is excessive, while the training materials should allow for new recruits to take up the BCH duties easily.
- In this respect, a questionnaire was sent out in February 2003 by UNEP to all Parties to the CBD on their use of the BCH in order to provide baseline information for designing this project and providing key data on use of the BCH This can provide limited information on existing equipment for responding countries
- The compatibility of the equipment needs to be investigated as part of the mandate of the BCH Task Force and results factored into the choice of the national BCH that is actually developed
- Within the Global NBF project and in the BCH project, survey activities need to be done in order to establish the baseline for further activity and NBF development. These will be complemented by the status report that each country will provide as part of its justification for project eligibility.
- Further investigation will be carried out by BCH task Force in each individual country when evaluating the options for setting up the national BCH in terms of equipment. Such investigation will provide hardware and equipment baseline.

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| <p>2.6.3 The importance of evaluation of the workshops is recognised in the project and this is important to build on the experience gained from the first exercise so that the following exercises can benefit from the experience.</p> | <p>See Goal 1, particularly, of Monitoring & Evaluation Plan in Annex D and related activities.</p> |
| <p><i>2.7 Assessment of the efficacy of capacity-building aspects</i></p> <p>2.7.1 The proposed programme for capacity building on the BCH mechanism will be effective taking into account the recognition of involving experienced resource people on a consistent basis. There is no substitute for experience and therefore retention of experienced people within the national framework as also noted above cannot be over emphasised.</p> | <p>See answer to reviewer's point 2.6 on Evaluation of sustainability of the project.</p> |

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| <p>2.8 Assessment of the efficacy of the monitoring mechanisms</p> <p>2.8.1 I am aware that the current proposed project is an addition to the global project on the development of NBF. Monitoring and evaluation of any activity requires careful thinking and commitment. The project is likely to benefit from instituting a process by which reports on a pre-established parameters are submitted by participants on an agreed timeframe, on a quarterly or half-yearly basis. The project has addressed this issue and can be implemented on a case-by-case basis. An important consideration is that any issues arising are addressed in a timely manner.</p> | <ul style="list-style-type: none"> • In order to address any new issue arising during the development of the project in a timely fashion, a specific monitoring and evaluation plan, additional to the one already in place for the UNEP/GEF Global Project for the Development of National Biosafety Frameworks, has been annexed to the project proposal. |
| <p>2.11 Advise on the ways and means to enhance the scientific and technical capacity of the participating countries in terms of improving BCH usage</p> <p>2.11.1 Retention of adequately trained and knowledgeable staff and the maintenance of physical resources are seen as important components of ensuring continuity of BCH usage to maximum benefit. In this regard regional and sub-regional cooperation and linkages could play an important role and these should be encouraged and supported.</p> <p>2.11.2 There is a need for monitoring and reporting on the retention and continuation of the experience and expertise gained through the project after it has completed so that the benefits gained can be continued and enhanced.</p> | <p>Please see combined response on issues relating to regional and sub-regional cooperation performed under section 2.5</p> <ul style="list-style-type: none"> • A questionnaire under the M&E plan in the final six months is planned in order to address this issue. Most project activities are completed within first two years and final year is to be used for review, monitoring and assistance to trainees. • Furthermore, at page 14, under Project Implementation and Management, it is mentioned that ‘a number of project activities will be concentrated in the first two years, but a focus on learning from lessons and from review and an intensive and continuing support to stakeholders will be necessary to ensure that the number of confident and active BCH users participants and trainers is maintained at acceptable levels in the country. Thus, it can be said that the final year will involve technical assistance to all participants who have benefited from the training workshops to ensure that they do indeed utilize the knowledge gained in their day-to- |

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| | <p>day planning and decision making related to biosafety. The continuing support will also be critical in maintaining an adequate number of trained users, considering the perceived risk of losing trained staff in the short and medium term'.</p> |
| <p>3. Additional comments</p> <p>3.1 There is inconsistency of 1% in percentages mentioned in section 7.6 of the "Project Description" and in paragraph 25 of the heading "Costs in total".</p> <p>3.2 In the section on "Additional cost matrix" on page 27, second column, third bullet point in first row, it is to be recognised that for some developing countries risk assessment of LMOs will be difficult. Consequently, they may have to rely on the information provided, as well as information through the BCH and through regional and sub-regional linkages. The same matrix on page 30 notes that a body of 20 to 25 people will be trained in each participating country to be able to use and access BCH. It is to be recognised that each and every participating country may not have an adequate pool of people and therefore the actual numbers intended may be low, not because of the desire but because of limitation of available human resource. In such an event the proportion of the population that can be trained is likely to have a proportionally better involvement.</p> <p>3.3 "Exhibit 2 Proposed M&E plan", page 17, second column, item 1.2, please consider adding the words "and biosafety" after the word "Biodiversity"</p> | <p>The inconsistency has been rectified and the percentage in section 7.6. is reported in line with para 21 of the Incremental Cost Analysis.</p> <p>It is understood that some countries will have fewer resources and fewer people than others and so the figures provided represent target figures across the countries as a basis of calculation. However, decisions will have to be taken on a country-by-country basis in close collaboration with the national BCH task force.</p> <p>Biosafety has been added as suggested.</p> |

ANNEX G - RESULTS FROM QUESTIONNAIRE ON USE OF BCH

Questionnaire on resources and expertise available in countries for the exchange of information with the Biosafety Clearing House of the Cartagena Protocol Summary of results as of August 2003

INTRODUCTION

The Questionnaire was prepared by the UNEP-GEF Biosafety Team in cooperation with the Secretariat of the Convention on Biological Diversity with the aim to evaluate the state of access and use of the Biosafety Clearing House (BCH) of the Cartagena Protocol. It was sent, along with an explanatory note, to ICCP, Cartagena Protocol, BCH and CBD Focal Points and other relevant officials of 196 countries worldwide. For information purposes, the same documents were also sent, when relevant, to the 113 National Executing Agencies involved in the UNEP-GEF Project on Development of National Biosafety Frameworks.

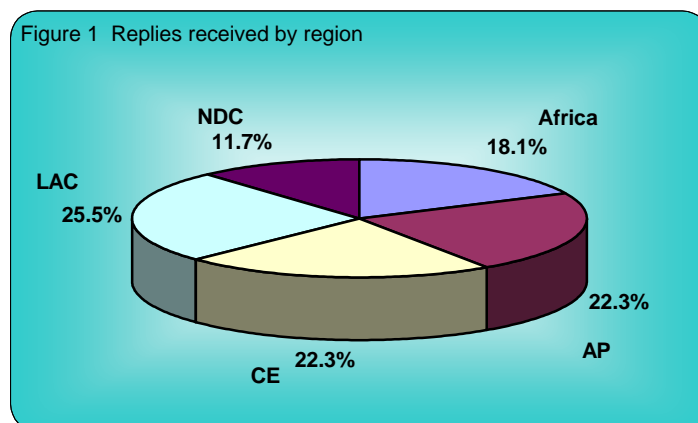
The instructions in the explanatory note explicitly requested that the person/s filling in the questionnaire should be the one responsible for entering / registering data on the Biosafety Clearing House.

Respondents

As of 1 July 2003, the questionnaire was filled in by 94 persons from 82 countries.

Figure 1 show the percentage of replies by the region*.

58.1% of respondents reported to be officially nominated BCH focal points. 88.3% of respondents are familiar with the Cartagena Protocol on Biosafety, 55.4% of them have been involved in ICCP (Intergovernmental Committee on the Cartagena Protocol) and 76.1% are familiar with the BCH.



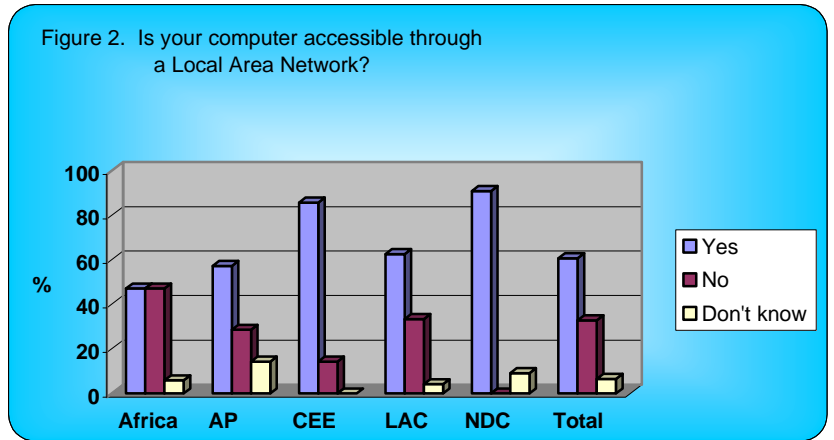
* Hereinafter AP stands for «Asia and Pacific», CEE - «Central and Eastern Europe», LAC - «Latin America and the Caribbean», NDC - «Not Developing Countries».

Workstation

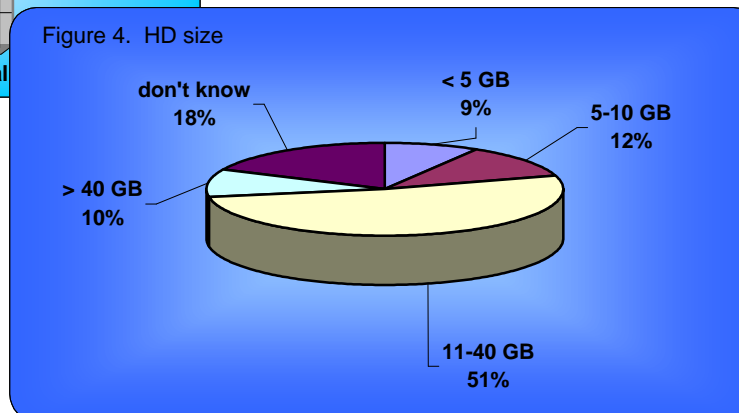
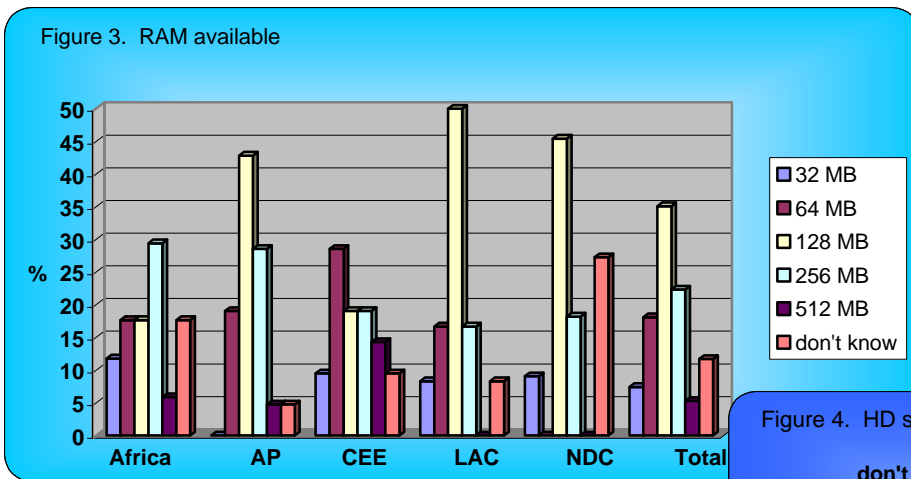
Majority of respondents (96.8%) use their computer workstations in the office, some of them (3.2%) work both in the office and at home. While computers are normally used by one person in NDC (100%) and CEE (90.5%), many respondents in the other regions share their computers with a group of 2-5 colleagues: Africa (70.6% shared computers), AP (47.6%), LAC (33.4%). Computers are usually password protected (81.9%) and offices are locked or guarded outside working hours (84%).

The accessibility of computers through a local area network (LAN) varies between the regions, from 90.9% in NDC to 47.1% in Africa (See Figure 2).

97.9% of respondents have a PC with Windows as the operating system, 2.1% are not aware of the type of a computer and an operating system used. The majority of computers have Pentium III (30.9%) or Pentium IV (53.2%) processors.



About 60% of computers have at least 128 MB of RAM (random access memory) and more than 10 GB of storage space available at their hard disks (see Figures 3 and 4).



Software

Almost all the respondents (93.6%) use either Internet Explorer or Netscape Navigator as Internet browsers, 3.2% of respondents have not installed any browsers due to unavailability of Internet connection.

93.5% of respondents have various e-mail applications, with MS Outlook being most commonly used. Other e-mail applications mentioned are Eudora, Netscape Messenger, Lotus Notes, Pegasus, Foxmail, The Bat!, Webmail and GroupWise.

The majority of respondents (>95%) reported to have a word processor (MS Word, WordPerfect, Star Office), spreadsheet (MS Excel, Lotus 123, Star Office), database (MS Access, FoxPro, SQL, Oracle Developer, Star Office), antivirus (Norton Antivirus, Antiviral Toolkit Pro, AVP, Dr.Web, F-prot, Mc Afee, Sophos, Vet XP Antivirus), file compression utility (Win Zip, Win Rar, Power Archiver, PKZIP, PowerZip, ECW) and Acrobat Reader. Other less common software includes: FTP (42.7%) or Telnet (34.8%) applications, image reader (69.7%) and desktop publisher (39.1%).

Internet connection

Most computers are connected to the Internet through LAN (62.4%) with the highest percentage in CEE (85.7%) and the lowest in Africa (29.4%). Although modem use is low as a global percentage (18.3%), some regions have reported higher values: Asia and Pacific (42.9%) and Africa (29.4%).

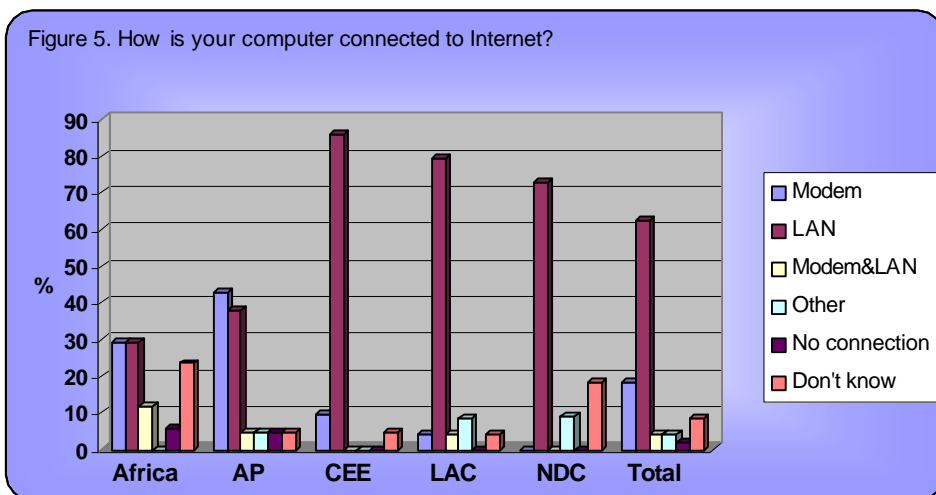
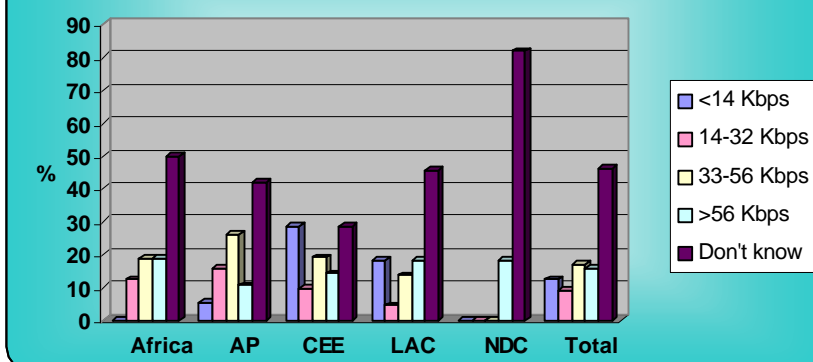


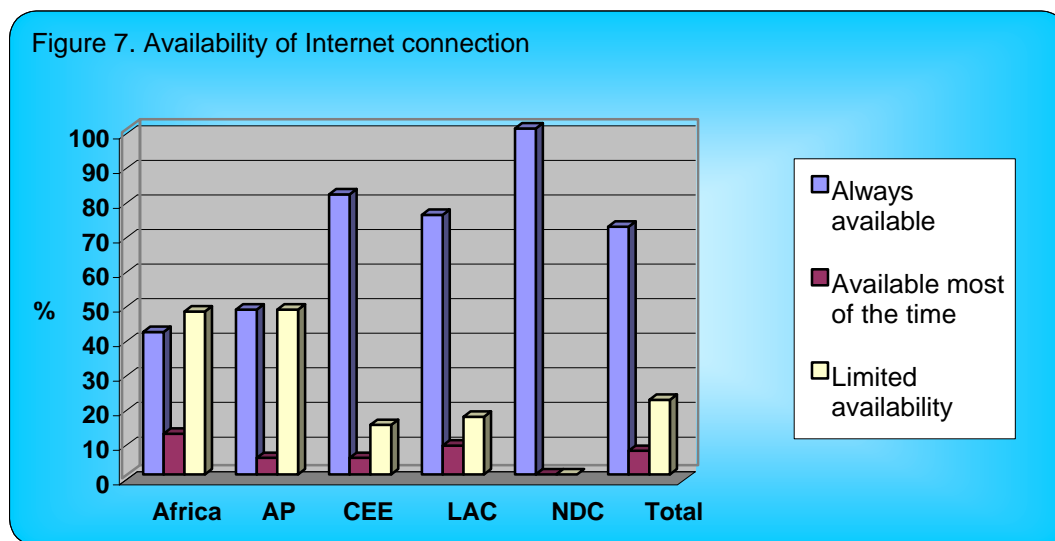
Figure 6. What is the average speed available to your computer for Internet connection?



Internet connection maximum and average speeds are variable and many “don't know” answers have been reported (46.1%). Nearly half of respondents reported a maximum speed of more than 56 Kbps (45.6%), with a smaller group between 33 Kbps and 56

Kbps (14.4%), and only a few people with < 14 Kbps (2.2%). The majority of respondents have an Internet connection average speed of at least 14 Kbps, with the exception of CEE countries, about one third of which have reported an average speed of less than 14 Kbps (See Figure 6).

Internet reliability (globally at 71.6%) varies amongst the regions. The lowest availability of 24h/7d Internet connection is in Asia and Pacific (47.6%) and Africa (47.1%), and the highest is in NDC (100%) and CEE (81.0%).



In case of Internet connection failure or computer malfunctioning 84.4% of respondents are able to seek assistance of a system administrator or a help desk. At the same time, only 53.3% of computers are protected by a firewall globally and this percentage is even lower in Africa (23.5%) and Asia and Pacific (33.3%).

E-mail

Almost all respondents have an e-mail account (95.7%) usually owned by single users (88.6%).

16.1% of e-mail accounts are managed by agencies, where the respondents work, 31% by external providers, the rest of respondents (52.9%) are not aware of the type of an e-mail provider. Less than a half of e-mail providers limit the amount of messages and/or attachments respondents may receive and send them warning messages if an inbox is full.

The majority of the respondents do not know the maximum size of attachment they are able to receive or send by e-mail. However, some respondents are aware that they cannot receive (11.8%) or send (28.1%) attachments bigger than 2 MB.

Data storage and Biosafety Database

More than half of the respondents are familiar with data management or database software (53.8%), 34.5% of them designed a database while 27.3% inserted data into biosafety databases.

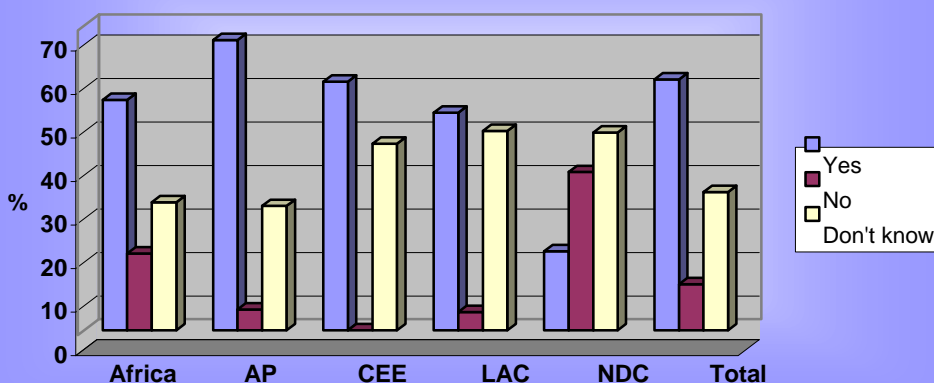
41.9% of the respondents are familiar with various GMO and biosafety related databases, although this percentage is lower in Africa (17.6%) and Asia and Pacific (23.8%). The GMO databases mentioned by respondents include:

- Agbios - essential biosafety;
- Agris Database;
- UNIDO database BINAS;
- Central and Eastern Europe website on Biosafety;
- Databases "Cloning: Past, Present and the Exciting Future", "Induced mutant resource", "Royal Society Science Brief: GM animals", "Transgenic Animals", "Use of Genetically Modified Animals";
- ICGEB Biosafety Database;
- Joint Research Centre Ispra European Commission database;
- OECD database BioTrac;
- Austrian database Gentechnikregister;
- FAO database RedBio;
- BIOBIN;
- USDA Database;
- Pilot BCH.

76.1% of respondents reported the intention of their countries to set up a national biosafety database, very often as an activity under UNEP-GEF project on the development of national biosafety framework.

A third of the respondents have indicated that there are GMO databases existing in their country, half of which are available on the Internet. The majority of respondents from countries with a national GMO database in place are aware of existing procedures to make information available to the BCH (56.7%) and a significant group are also aware of existing protocols for interoperability of national biosafety database with the BCH (42.9%). 79.5% of these respondents have reported that their countries plan to make biosafety information available to the international community by making parts of existing national databases available or interoperable with the BCH.

Figure 8. Do you know whether your country plans to use the central BCH to store their data?



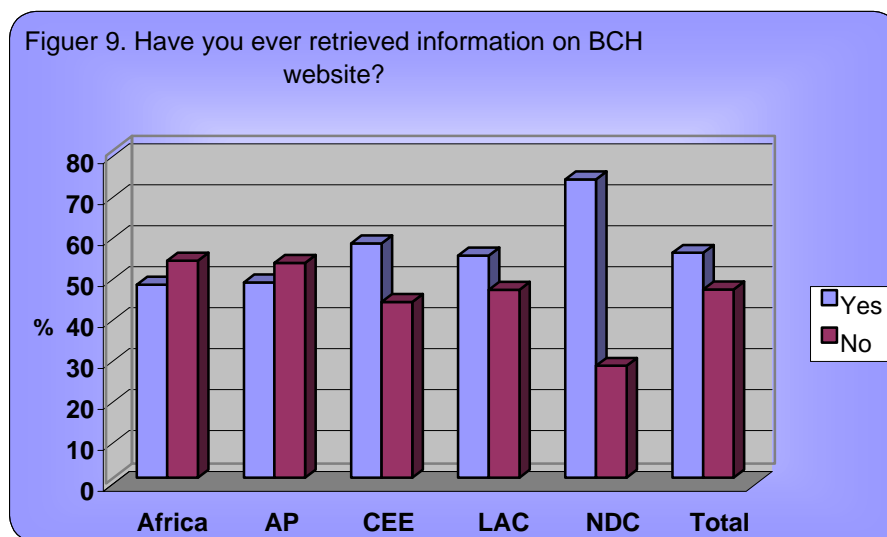
The majority of respondents have indicated that their countries plan to use the central BCH database located at the Secretariat of

the Convention on Biological Diversity to store their biosafety data (57.6%) while 31.8% are not aware of such plans. It should be noted that only 18.2% of respondents from NDC plan to use the central BCH (See Figure 8).

Biosafety Clearing House

The majority of respondents reported that their government has already identified one or more persons responsible for the exchange of information through the BCH (60.9%) and officially communicated this information to the Secretariat of CBD (55.4%).

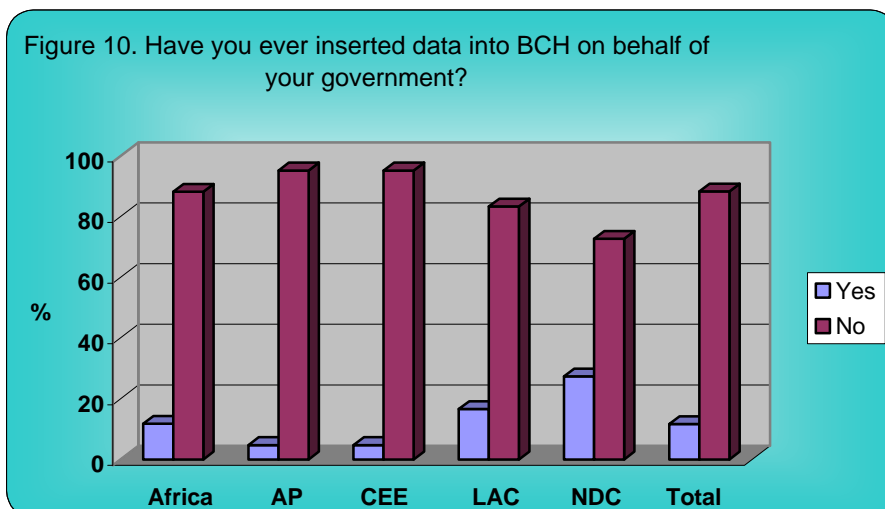
54.8% of the respondents have browsed through the BCH website (see Figure 9), found the information easy to retrieve (80.4%) and have not experienced any problems (73.5%).



However, less than a half of the respondents (44.6%) knew of a new version on the BCH released on 1 February 2003.

Only a small number of the respondents (11.7%) have inserted data into the BCH on behalf of their government, in CEE and AP this percentage is even smaller (4.8%).

44% and 32.2% of the respondents have contacted or been contacted by the CBD Secretariat and their government respectively for the reasons concerning the Pilot Phase BCH.



Needs for assistance as identified by countries

The majority of respondents (71.3%) have indicated the kind of assistance they would like to receive in order to improve their use of the BCH. These include:

- Hardware (25.4%);
- Software (17.9%);
- Better Internet connection (10.4%);
- Technical support (17.9%);
- Training in information management (50.7%);
- Training in use of the BCH (61.2%);
- Financial support (19.4%);
- Provision of information on the BCH (20.9%).

**ANNEX H - LIST OF POTENTIALLY ELIGIBLE COUNTRIES AS OF
JANUARY 1, 2004**

| POTENTIALLY ELIGIBLE COUNTRY | DATE OF BECOMING A PARTY TO CPB |
|--|---------------------------------|
| Egypt | 12/23/2003 |
| Brazil | 11/24/2003 |
| Madagascar | 11/24/2003 |
| Slovakia | 11/24/2003 |
| Iran | 11/20/2003 |
| Jordan | 11/11/2003 |
| Lithuania | 11/7/2003 |
| Turkey | 10/24/2003 |
| Ethiopia | 10/9/2003 |
| Senegal | 10/8/2003 |
| El Salvador | 9/26/2003 |
| Tonga | 9/18/2003 |
| Cambodia | 9/17/2003 |
| Antigua and Barbuda | 9/10/2003 |
| Saint Vincent and the Grenadines | 8/27/2003 |
| South Africa | 8/14/2003 |
| Nigeria | 7/15/2003 |
| Romania | 6/30/2003 |
| Korea, Democratic People's Republic of | 6/29/2003 |
| Mongolia | 6/22/2003 |
| Palau | 6/13/2003 |
| Ukraine | 12/6/2003 |
| Ghana | 5/30/2003 |
| Tanzania, United Republic of | 4/24/2003 |
| Burkina Faso | 8/4/2003 |
| Moldova, Republic of | 3/4/2003 |
| Ecuador | 1/30/2003 |
| Marshall Islands | 1/27/2003 |
| Tunisia | 1/22/2003 |
| Slovenia | 11/20/2002 |
| Botswana | 6/11/2002 |
| Mauritius | 4/11/2002 |
| Mozambique | 10/21/2002 |
| Croatia | 8/29/2002 |
| Mali | 8/28/2002 |
| Nicaragua | 8/28/2002 |
| Belarus | 8/26/2002 |
| Bhutan | 8/26/2002 |
| Niue (Not UN country) | 7/8/2002 |
| Djibouti | 4/8/2002 |
| Barbados | 9/6/2002 |
| Samoa | 5/30/2002 |
| Venezuela | 5/13/2002 |
| Bolivia | 4/22/2002 |
| Liberia | 2/15/2002 |
| Maldives | 9/2/2002 |
| Panama | 5/1/2002 |
| Nauru | 11/12/2001 |

| | |
|-----------------------|-----------|
| Lesotho | 9/20/2001 |
| Czech Republic | 10/8/2001 |
| Saint Kitts and Nevis | 5/23/2001 |
| Fiji | 6/5/2001 |
| Trinidad and Tobago | 10/5/2000 |

ANNEX I - Terms of Reference for BCH Project Manager

Office: United Nations Environment Programme (UNEP), UNEP-GEF Project on Development of National Biosafety Frameworks. Geneva.

Functional Title: BCH Project Task Manager

Goals and objectives of the post: Assist in ensuring timely and effective management of the UNEP/GEF project related to the BCH capacity building project leading to maximization of inputs, increase of BCH usage, and thus enhancing the image of UNEP as the Implementing Agency for GEF activities on biosafety.

Type and extent of supervision given to the post: The incumbent is expected to work under the direct supervision of the Global Programme Manager. Outputs are always reviewed and discussed.

Type of practical experience required at the national, and if so required, at the international level: Five to ten years professional experience, of which three should be at the international level, in biological sciences, environmental law, information technology or related field. Extensive knowledge on recent discussions/trends/major events in information technology, training in computer based systems essential. Experience in coordination of national and international projects essential. Familiarity with capacity building and training in and for developing countries regions is essential. Complete familiarity with the internet, including website/listserv development, database development and use is essential Experience with Biosafety or related issues would be an advantage. Familiarity with the UN system would be an advantage.

Language(s) proficiency required: Fluency in English is essential. Working knowledge in French and Spanish would be an advantage; Working knowledge of other UN language(s) desirable.

Summary of the assigned duties: The incumbent, under the supervision of the Global Project Manager, and in close cooperation with other members of the UNEP-GEF Biosafety Unit, will be responsible for the daily management of the activities foreseen in the add-on project for "Building capacity for effective participation in the Biosafety Clearing House of the Cartagena Protocol". In particular the incumbent will be responsible for the organization of activities aiming to develop core human resources and establish an appropriate BCH infrastructure in participating countries. The incumbent will work closely with the Convention on Biological Diversity (CBD) Secretariat in management of the project, and will liaise with the GEF Secretariat, relevant GEF executing agencies, Governments, collaborating institutions, NGOs and the private sector as necessary.

Duties and responsibilities of the post, presented in order of importance:

A. (approximately 70% of time) - Under the supervision of the Global Project Manager, and in close cooperation with the Regional Coordinators and the rest of the UNEP-GEF Biosafety Unit, undertake activities relevant to the organization of capacity building activities for eligible countries, including:

- Establishment and coordination of the roster of qualified consultants as well as of groups responsible for the development of training activities and related materials
- Production and dissemination of informative material on new capacity building opportunities for effective participation in the BCH;
- Organization of orientations/training workshops to ensure that all of the consultants on the roster and selected national experts are fully prepared and able to deliver the national training workshops.
- Organization of complementary training sessions, when needed, during other events organized by the UNEP-GEF Biosafety Project or CBD Secretariat at national or regional levels.
- Provision of assistance and coordinative effort to participating country and qualified consultants in the organization of national training workshops on the use of the BCH.
- Coordination of a supportive network among BCH operatives through the use of a dedicated list-server
- Day to day support to Regional Coordinators for the harmonization of the add-on project activities within the NBF Project.
- Monitoring and evaluation of project outputs and responding to needs raised in the M & E in order to raise quality and responsiveness of the project
- Undertake any other activity related to the implementation of training activities and development of related materials.

Relevant activities include the following:

1. Direct and supervise the implementation of the project by:

- Preparing contracts and agreements with appropriate institutions, organizations, and individuals, including the National Project Coordinators and experts as appropriate;
- Reporting on progress at the UNEP-GEF Project Steering Group;
- Organizing the work and monitoring the progress of the experts and consultants as appropriate;
- Monitoring the progress of national sub-projects in the participating countries;
- Financial management and planning of the budget;
- Providing input to GEF managed monitoring and evaluation activities, particularly the annual Project Implementation Review;
- Support in organizing and convening of regional workshops, participating

where appropriate;

- Preparing inputs to quarterly progress reports to UNEP on global project
- Preparing inputs to annual progress reports to UNEP for transmission to the GEF;
- Preparing financial reports to UNEP and other co-financing organizations when needed.

2. Providing assistance and expertise to the participating countries through:

- Providing guidance to the work of the BCH Task force Teams as appropriate;
- Participating in national meetings if necessary;
- Organization and supervision of external review and self evaluation of project outputs;
- Participating to national workshops as appropriate; and
- Ensuring the transfer and sharing of experience and information between participating countries;
- Ensuring full coordination with the global project "Development of National Biosafety Frameworks, in all relevant countries and with any countries with a GEF implementation project.

B. (approximately 30% of time) - Under the supervision of the Global Project Manager, and in close cooperation with the rest of the UNEP-GEF Biosafety Unit, undertake activities relevant to the acquisition from participating countries of appropriate computer hardware and software, as well as means of access to the BCH through Internet connectivity or other means. In particular:

- Assist in the establishment and the work of BCH Task Forces in each participating country, in order to assess the needs and requirements for equipment and staffing and decide on the structure and parameters for the national components of the BCH.
- Assist in the delivery of the specific model of BCH national components in accordance with country needs, and in consistency with guidelines for national governments developed by the CBD Secretariat in order to evaluate the various options available for developing national components of the BCH
- Assist in the establishment of national strategies to ensure continuity and sustainability of fulfillment of obligations related to the Biosafety Clearing-House.
- Assist in the external oversight and national self-evaluation of equipment and system set up in order to allow countries to efficiently plan ahead for changing needs and to ensure sustainability of physical systems.

Annex J

Guidelines for National Participation in the Biosafety Clearing-House

Prepared by the Secretariat of the Convention on Biological Diversity
September 2003

Introduction

The Biosafety Clearing-House (BCH) was established in accordance with Article 20, paragraph 1, of the Cartagena Protocol on Biosafety, in order to facilitate the exchange of information and experience pertaining to living modified organisms and to assist Parties to implement the Protocol. As part of their obligations in implementing the Protocol, Parties are required to make several types of information available through the BCH.

The BCH comprises a central portal, and a distributed network of national components to assist Parties to fulfill obligations under the Protocol. Parties are able to make national information required under the Protocol available through the central portal of the BCH. This document provides guidelines to Parties and other Governments on the options available related to national participation in the BCH. The intent of the guidelines is to assist Parties and other Governments in selecting one or more options that are appropriate to their needs and capacities.

The following four options are summarized in this document:

1. Register data in the central portal using the Management Centre
2. Register data locally using database templates and send data to the central portal
3. Make data available through a local website and allow the central portal to crawl to retrieve metadata
4. Store data on national BCH databases, and actively make those data available through the central portal using BCH interoperability protocols

It should be noted that these options are not mutually exclusive. For example, a Party or other Government may choose to register some types of information directly in the central portal using the Management Centre (Option 1), while choosing another option for other types of information. Alternatively, the same type of information may be registered using different options. In addition, the use of any of these options does not preclude the right of Parties or other Governments to submit information for the BCH to the Secretariat by fax, email or other offline mechanisms.

The following sections describe the details of each option with a focus on technical requirements. Annex A summarizes the specifications for each option, associated Internet connectivity requirements, and the minimum requirements and responsibilities

with respect to technical capacity and resources. Annex B provides a decision tree to assist Parties and other Governments in selecting appropriate options based on Internet connectivity and other considerations.

Option 1: Register data in the central portal using the Management Centre

The first option available to a Party or other Government is to have its BCH national focal points and/or other authorized national users use the Management Centre of the central portal to register data through the online forms. The Management Centre is a secure mechanism, which allows a government to register, delete, or edit its records directly in the BCH.

Parties or other Governments using this option may or may not have national websites acting as a national BCH. However, they would register data through the central portal of the BCH in order to fulfil obligations under the Protocol.

Technical Requirements

This first option does not have requirements for a high level of technical capacity; it does require, however, basic computer skills and a computer with an Internet connection. A modem connection speed of 33Kbps is the bare minimum, while 56Kbps or higher is preferable.

Option 2: Register data locally using database templates and send data to the central portal

Option 2 is based on storing data locally in a national database, and exporting or sending those data to the central portal. Ideally the database template developed by the Secretariat would be used, as it is designed to be compatible with the BCH databases of the central portal. However it is also possible for a Party or other Government to develop its own database, or adapt an existing database, provided that it meets the same specifications with regard to the structure of each record type (preferably based on a relational database management system such as MS SQL, Oracle or MySQL).

Data stored locally must then be sent periodically to the central portal. The database template developed by the Secretariat contains a function to export records to the central BCH databases. Alternatively, in cases of poor Internet connectivity, information could be sent by, for example, CD-ROM, in which case the Secretariat would transfer the data to the BCH upon receipt.

Technical Requirements

This option requires only a basic computer infrastructure. More advanced computer skills will be needed if a Party or other government decides to develop its own national database as opposed to using the template developed by the Secretariat. An Internet connection is not required if the data are sent to the Secretariat via formats such as CD-ROMs. If the data are sent via the Internet, the records can be exported regularly assuming the availability of a stable Internet. Data can also be sent less frequently, after a number of new or revised records have accumulated. For Parties and other Governments using an Internet connection, a modem connection speed of 33Kbps is the bare minimum, while 56Kbps or higher is preferable.

Option 3: Make data available through a website and allow the central portal to crawl to retrieve metadata

In this option, a Party or other Government hosts a website that is available through a server with a fast and permanent Internet connection. The central BCH would, on a regular basis, search or “crawl” the website and extract metadata descriptors of the records for storage on the central BCH. To facilitate this retrieval, metadata must be formatted in XML, using the Dublin Core as the document description standard, and using Resource Description Framework (RDF) to specify semantic schemas (since it is the central BCH that initiates retrieval of the information, this approach is sometimes referred to as “pull technology”) (see below under technical details for a more comprehensive discussion on the Dublin Core and RDF).

Technical Requirements

This option requires technical skills to design and maintain a website that is able to make data accessible to the central BCH databases. Resources for maintenance of hardware, software and Internet connectivity are essential. A permanent and fast Internet connection is required, ideally 1.5 Mbps or better. Less than 256 Kbps is not recommended for a web server.

Technical Details

This section provides summary guidance for users wishing to make website metadata under their custodianship available to the Pilot Phase of the Biosafety Clearing-House. Using these procedures, the BCH will be able to harvest information hosted on national or regional databases. A basic level of knowledge of XML (Extensible Mark-up Language, extensible because, unlike HTML, new markups can be created to suit particular information needs) is a prerequisite.

The BCH does not store the full-text of the documents (a document refers to any relevant information in a variety of data formats, such as databases, electronic files, Internet resources or scientific information. Only some information (called **metadata**) about the document is registered.

There are 2 levels of document description: **Semantics:** This refers to agreements about content description standards. The Dublin Core is the description standard adopted by the BCH. Since the Dublin Core cannot describe some information required by the Cartagena Protocol, the BCH uses extensions to the Dublin Core to define new elements related specifically to biosafety. **Structure:** BCH uses the Resource Description Framework (RDF) model to specify semantic schemas so they can be shared.

RDF specifications describe a procedure to use the RDF syntax to encode metadata within HTML documents. By encoding metadata in the HTML document, information relevant to the document can be made available to the BCH. That is, the BCH will be able to retrieve metadata (or descriptive document information) by “crawling” through hypertext links to documents on the web site that are encoded with the RDF syntax.

Detailed examples and information on how to allow the BCH to harvest data is available

in Module 4 of the BCH Toolkit (<http://bch.biodiv.org/mod4/overview.html>).

Option 4: Store data on national BCH databases, and actively make those data available through the central portal using BCH interoperability protocols

In this option, a Party or other government maintains national BCH databases with a fast and permanent connection to the Internet through one or more servers. The databases must be designed to actively make metadata available to the central BCH and to allow access to full records through the central portal using BCH interoperability protocols (since it is the national database that actively provides the central BCH with the necessary information, this approach is sometimes referred to as “push technology”).

Technical Requirements

This option requires technical skills to design and maintain national BCH databases (preferably in a relational database management system such as MS SQL, Oracle, or MySQL), and to maintain a server that is interoperable with the central BCH databases. Resources for maintenance of hardware, software and Internet connectivity are essential. A permanent and fast Internet connection is required, ideally 1.5 Mbps or better. Less than 256 Kbps is not recommended for a web server.

Technical Details

This section provides summary guidance for users wishing to make national BCH databases interoperable with the central BCH databases. The technical requirements include:

- National database – A national database would preferably be based on a relational database management system such as MS SQL, Oracle, or MySQL.
- Internet connectivity – It is preferable that Internet connection be permanent and meet the speed of a T1 (1.5 Mbps) or better. Less than 256Kbps is not recommended for a “web” server.
- Dynamic website – The website must support dynamic web pages that will query the national database. A typical configuration may require an IP address range and a domain name; a router; a firewall; and a dynamic web server such as Microsoft IIS (ASP/ASP.NET), Apache Tomcat (JSP), or IBM Websphere (JSP).
- Internet security – On-line updates should use HTTPS (Http over Secure Socket Layer) with 128 bit encryption.
- Technical expertise – Technical knowledge in the following fields is highly recommended:
 - Relational Database Management Systems (SQL)
 - Internet Networking including security (TCP/IP).
 - Server Administration.
 - Web Page Design (HTML + related technologies).
 - Dynamic Web Page Programming (ASP, ASP.NET or other depending on the environment/platform: PHP, JSP, etc.).

- XML (eXtensible Markup Language), SOAP (Simple Object Access Protocol) and RDF (Resource Description Framework) for interoperability.

Detailed information on making a national biosafety-clearing-house database interoperable with the BCH is available in Module 4 of the BCH Toolkit. Specifically, guidelines are available on how the BCH Web Service is accessed via the Simple Object Access Protocol 1.1 (SOAP). SOAP is a lightweight, XML-based protocol for the exchange of information in a decentralized, distributed environment.

With regard to security and authentication, the BCH Web Service provides only basic password-based submitter authentication. Additional security, including privacy and submitter authentication, are provided through another independent system.

The BCH Web Service **must** be accessed via SOAP 1.1 using HTTP over Secure Socket Layer (SSL). SSL provides privacy services to reduce the risk of inadvertent disclosure of registry-sensitive information, such as the submitter's user identifier and password.

1.1 Annex A – Summary of Options for National Participation in the Biosafety Clearing-House

Option 1 – Register data in the central portal using the Management Centre

| <u>Summary</u> | <u>Required Internet Connection</u> | <u>Minimum Requirements & Responsibilities</u> |
|--|--|--|
| The BCH national focal point and other authorized national users log on to the Management Centre of the central portal and register all data using the online forms. | Modem connection/dial-up 33Kbps is the absolute bare minimum (56Kbps or higher (/128/256Kbps+) preferable) | - Regular use of the central portal |

Option 2 – Register data locally using database templates and send data to the central portal

| <u>Summary</u> | <u>Required Internet Connection</u> | <u>Minimum Requirements & Responsibilities</u> |
|--|---|--|
| (1) Government stores data in a national database, using the database template developed by the Secretariat, or alternatively constructing its own database that meets the same specifications (preferably based on a relational database management system (e.g., MS SQL, Oracle, MySQL)) (2) Government periodically exports that data to the central portal, using the export function developed by the Secretariat or its own export function that provides data in a useable format. Alternatively, the data can be sent to the Secretariat by CD-ROM. | - If exporting by Internet, modem connection/dial-up 33Kbps is the absolute bare minimum (56Kbps or higher (/128/256Kbps+) preferable) - No Internet connection needed if sending data by CD-ROM | - Regular use of the database template provided by the Secretariat |

Option 3 – Make data available through a local website and allow the central portal to crawl to retrieve metadata

| <u>Summary</u> | <u>Required Internet Connection</u> | <u>Minimum Requirements & Responsibilities</u> |
|--|--|---|
| (1) Government makes data available through a national website, and makes those data available through a server with a fast and permanent Internet connection. (2) Allows the BCH to harvest information on its website by formatting the data in XML, using the Dublin Core as the document description standard, and using Resource Description Framework to specify semantic schemas so they can be shared | - 24 hours a day, 7 days a week - Speed ideally 1,5 Mbps or better; less than 256Kbps is not recommended for a "web" server | - Technical skills to design a website, and to maintain a server (see text for details) - Resources to maintain hardware, software and Internet connectivity |

Option 4 – Maintain national BCH databases that actively make data available through the central portal using BCH interoperability protocols

| <u>Summary</u> | <u>Required Internet Connection</u> | <u>Minimum Requirements & Responsibilities</u> |
|--|--|---|
| (1) Government stores data in national databases, and makes those data available through a server with a fast and permanent Internet connection. (2) Uses BCH interoperability protocols to actively make data available through the central portal (see module 4 of the BCH Toolkit) | - 24 hours a day, 7 days a week - Speed ideally 1,5 Mbps or better; less than 256Kbps is not recommended for a "web" server | - Technical skills to design dynamic webpages, databases, and to maintain a server with a high level of security (see text for details) - Resources to maintain hardware, software and Internet connectivity |