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برنامج الأمم المتحدة للبيئة

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PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

- 1.1 Project title:** Capacity building for Biosafety Implementation for Mongolia
- 1.2 Project number:** ADDIS 00551
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- 1.3 Project type:** MSP
- 1.4 Trust Fund:** GEF
- 1.5 Strategic objectives:**
GEF strategic long-term objective: SO3 (Biosafety)
Strategic programme for GEF IV: BD-SP6
- 1.6 UNEP priority:** Environmental Governance
- 1.7 Geographical scope:** National
- 1.8 Mode of execution:** External
- 1.9 Project executing organization:** National Biosafety Committee, Ministry of Nature
Environment and Tourism (MNET), Mongolia
- 1.10 Duration of project:** 36 months
Commencing: **June 2011**
Completion: **May 2014**

Cost of project	US\$	%
Cost to the GEF Trust Fund	379,300	53
Co-financing		
<i>Sub-total</i>		
In-kind		
MNET	335,000	47
<i>Sub-total</i>	335,000	47
Total	714,300	100

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SECTION 1: Project summary

The project aims to establish and operationalise Mongolia's National Biosafety Framework, and to assist Mongolia to comply with its obligations as a Party to the Cartagena Protocol on Biosafety so as to be able to undertake safe use of modern biotechnology for sustainable development.

The goals of the projects are:

- Assist the Government of Mongolia to establish and consolidate a fully functional and responsive regulatory regime in line with Cartagena Protocol on Biosafety and national needs and priorities;
- Assist Mongolia to build implementation mechanism for a Biosafety Program including human resources and institutional building;
- Strengthen capacity at institutions for implementation of a Biosafety Program;
- Public awareness and public participation in matters related to Living Modified Organisms (LMOs);
- Establishment of National and Regional networking system for Biosafety.

ACRONYMS AND ABBREVIATIONS

BCH	Biosafety Clearing House
CBD	Convention on Biological Diversity
CIDNF	Center of Infectious Diseases with Natural Foci
CPB	Cartagena Protocol on Biosafety
GASI	General Agency of Specialized Inspection
GCO	General Customs Office
GEF	Global Environment Facility
LMO	Living Modified Organism
MAS	Mongolian Academy of Science
MBA	Mongolian Biotechnological Association
MECS	Ministry of Education, Culture and Science
MFALI	Ministry of Food, Agriculture and Light Industry
MFAT	Ministry of Foreign Affairs and Trade
MH	Ministry of Health
MMRE	Ministry of Mineral Resources and Energy
MNET	Ministry of Nature, Environment and Tourism
MSUA	Mongolian State University of Agriculture
MTG	Medium Term Goal
MUST	Mongolian University of Science and Technology
NBC	National Biosafety Committee
NBF	National Biosafety Framework
NCC	National Coordinating Committee
NDIC	National Development and Innovation Committee
NEA	National Executing Agency
NEMA	National Emergency Management Agency
NFMCA	National Federation of Mongolian Consumer Association
NPC	National Project Coordinator
NUM	National University of Mongolia
PHI	Public Health Institute
SP	Strategic Program
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Programme

SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

2.1. Background and context

1. Article 2 of Cartagena Protocol on Biosafety states that “*Each Party shall take necessary and appropriate legal, administrative and other measures to implement its obligations under this Protocol.*” and “*The Parties shall ensure that the development, handling, transport, use, transfer and release of any living modified organisms are undertaken in a manner that prevents or reduces the risks to biological diversity, taking also into account risks to human health.*” Therefore, Parties to the Protocol should have sufficient capacity for handling of notifications in the scope of the Protocol, risk assessment, risk management and socio-economic consideration, to prevent unintentional and/or illegal transboundary movements, to implement emergency measures, to comply with the obligations on handling, transport, packaging and identification, to participate in biosafety clearing-house mechanism, for effective sharing of relevant information, to raise awareness of public on biosafety issues and ensure their participation into relevant processes.
2. Mongolia is a Party to the Convention on Biological Diversity since September 30, 1993 and Party to the Cartagena Protocol on Biosafety since October 20, 2003. The Ministry of Nature, Environment and Tourism (MNET) has been appointed as National Focal Point for the Protocol.
3. Mongolia lies in the northern part of North East Asia, located between Russia and China, with a relatively small number of human populations living in a large geographical territory. The elevation gradually rises from 560 m southeast to 4374 m northwest with zones of desert steppe and mountains at an average height of 1580 meters above sea level.
4. Mongolia’s climate is defined as semi-arid continental, with long severe winters and the country has extreme environments and high endemism of genetic resources. The project will assist in the conservation and sustainable use of the vast national biodiversity, natural environment and unspoiled ecosystem. These Mongolian unspoiled ecosystems are now under threat because of human activities like mining and over-exploitation of natural resources.
5. Mongolia is a landlocked country with unique biodiversity and natural ecosystems which have a number of endemic and threatened species of global interest. The Mongolian economy is still highly dependent upon agriculture (wheat, potato) and natural biomass resources, and the ecosystem services derived from them. The Mongolian government is committed to protect this

natural heritage so that these ecosystems can fulfill essential services for the benefit of present and future generations.

6. From 2002-2005, Mongolia successfully completed a draft NBF under the UNEP/GEF funded global project on “Development of National Biosafety Frameworks”. The project GEF/2716-02-4527 entitled “Development of the National Biosafety Framework” financed by the GEF, had the aim of developing the National Biosafety Framework in agreement with the provisions of the CPB. The draft NBF formed the basis of a new law, which was enacted in November 2007.
7. However, Mongolia still has very limited capacity to implement this Law on LMOs, which has also to be consistent with the CPB. In order to operationalize this Law on LMOs, supporting implementing activities like regulations/rules are urgently needed. This project will enable Mongolia to adopt these essential regulations to help Mongolia to make the Law on LMOs workable and consistent with its international obligations.
8. In addition, Mongolia does not currently have the technical capacity to detect LMOs, and LMOs could enter the country without detection and prior risk assessment.
9. In a similar manner, Mongolia currently lacks the capacity to perform any safety assessment on modern biotechnology applications which might benefit the country’s food security through maintaining yields in the face of pest pressure (insects and weeds), abiotic stress (temperature, drought and salt tolerance).

2.2. Global significance

10. Mongolia’s unique biodiversity, both in terms of landscapes (steppe), ecosystem (Gobi Desert) and endangered species (Wild Bactrian camel, Przewalski's horse (takhi), saiga antelope, Gobi bear, Snow leopard) will come under increasing pressure from an expanding human footprint. In part, this pressure arises from the expansion of agriculture at the expense of wild habitat that is also critical for wildlife, especially in ecosystems with species that range over large areas tracking ephemeral resources.
11. Accidental or unintentional introduction of some products of modern biotechnology could, in theory, lead to the erosion of wild or traditional agricultural biodiversity through gene flow, or

direct completion. In addition, and perhaps more likely, is that wild habitat continues to be lost to extensification of low-yield agriculture into marginal habitat important for biodiversity.

12. The safe use of modern biotechnology has the potential to mitigate these trends by ensuring that any novel agricultural products introduced to the farming system can maintain yield under changing environmental conditions without extensification.

2.3. Threats, root causes and barrier analysis

13. As stated above in Section 2.1, Mongolia's biodiversity is under increasing threat from a wide range of expanding pressures all arising from expanding use of natural resources. Although agriculture is only one part of this "human footprint", it is important to both ensure that traditional agro-biodiversity is not needlessly lost to future generations, and also to ensure that agricultural productivity is maintained, or increased without undermining the long-term productivity of the agricultural landscape, or through extensification into marginal habitat also utilized by wild biodiversity as a seasonal resource.
14. There has been some resistance to the introduction of modern biotechnology into agriculture. The flexibility of the technology, coupled with the high level of investment make the increasing use of the technology almost inevitable, and in an increasingly wide range of application – from GM crops, trees and animals, to specialized application, such as the use of genetically-modified plants and animal for the production of pharmaceuticals, or for environmental remediation.
15. Inadequate capacity and regulatory infrastructure, coupled with limited understanding of biosafety issues could be serious threat to the country's efforts to develop capacity to meet its obligations to the Cartagena Protocol on Biosafety, given that modern biotechnology and biosafety are new subjects and not well understood in Mongolia
16. Through active awareness raising activities coupled with an inclusive consultative approach of this project, policy makers will have a better understanding of how biosafety and biotechnology are linked to national development.

2.4. Institutional, sectoral, and policy context

17. As stated above, Mongolia has committed to biosafety through ratifying the Cartagena Protocol on Biosafety. Additionally, the Ministry of Nature, Environment and Tourism (MNET) has collaborated with UNEP/GEF in the initiation and successful completion of the project “Development of the National Biosafety Framework for Mongolia” (Sept 2002-Oct 2005) and the “Capacity Building in Biosafety Clearing House” (BCH) project (Feb 2007-June 2008).
18. As a part of its obligations under the CPB, Mongolia has nominated the MNET as the National Competent Authority and also as the institutional “home” CPB National Focal Point. The MNET has worked closely with other Ministries (e.g. Agriculture, Health) and stakeholders (Public Health Institute of the Ministry of Health used to organize poll about current biosafety situation and biosafety seminars, workshops for public awareness; currently with Ministry of Food, Agriculture and Light Industry we are working on the standards on LMOs) on the development of the NBF (see Section 2.5 and Section 5). In Mongolia NBC of MNET will issue the LMO permits discussing with the committee stakeholders and committee researchers.
19. In the 21st century, Mongolian science and technology follows the primary principle to be a nation developing science based on new knowledge and advanced technology (especially in biotechnology), to practice the national innovation system as a driving force for social and economic development for 2020, and to ensure secure and quality living of the people by creating and producing advanced knowledge and by continuously supporting the science and technology progress and development. The Parliament of Mongolia adopted the Law on Science and Technology in 2006. In this law, “innovation” is described as “transformation of the results and products of researchers and introducing the end products to industries and services. Currently in Mongolia we have very few research laboratories, which are just started to undertake research works for making new LMOs. Mongolian government is establishing new laboratory for LMO detection.
20. Within the strategic priorities of GEF-4, this project is relevant to the Biodiversity Focal Area Strategic Objective 3: “Capacity Building for the Implementation of the Cartagena Protocol on Biosafety”.

2.5. Stakeholder mapping analysis

- a) Potentially, a wide range of stakeholders can be identified to be involved either directly or indirectly in capacity building for biosafety. The most important stakeholders are mapped in Figure 1.
- b) Parliamentarians and Legislators: The State Great Hural (The Parliament of Mongolia) and other decision makers where supporting the process of implementation and especially in adopting the framework on biosafety.
- c) Government: The ministries ensure that, through the NBC, that the policy on biosafety is operationalized and ensure consistency and mainstreaming with national priorities and sectoral policies.

21. *Ministry of Nature, Environment and Tourism, (MNET)*:

In 2008, the MNET established the National Biosafety Committee (NBC). The NBC comprises 18 members, including representatives from MH, MFALI, MECS, etc. (see figure 1). The NBC will have a key role for the implementation of the project. The NBC will develop the national policy for biosafety; develop and revise the relevant regulations, treatments and plans; and receive and decide upon the application for the transboundary movement of LMOs across the state borders.

22. *Ministry of Health (MH)*: For the implementation of the health care policy the Ministry of Health will ensure the availability, accessibility, affordability and equity of quality health care services for all Mongolians.

23. *Ministry of Food, Agriculture and Light Industry, (MFALI)*: The MFALI is direct beneficiary of the project as being responsible for regulating agriculture, including possible growing of LMOd, and food safety, and it will be part of the NBC..

24. *Ministry of Education, Culture and Science, (MECS)*: The MECS's policy and activity is aimed to implement the Science and Technology Master Plan of Mongolia 2007-2020 and National Innovation Framework Development Program. The MECS is direct beneficiary of the project, part of the NBC and participation is mandatory.

25. *Ministry of Mineral Resources and Energy, (MMRE)*: The Government of the Mongolia in the fields of Geology, Mining Industry, Heavy industry, Fuels, Energy the verification in the execution of the laws, regulations, programs, implementation of the projects, functions, to serve the administration by professionally truthful correct information, the elaboration on the necessary laws, edicts, regulations and instructions to cause ordered and worthwhile of the land survey, multivarious survey and combining procedure of the natural resources. The MMRE is direct beneficiary of the project, part of the NBC and participation is mandatory.

26. *Ministry of Foreign Affairs and Trade, (MFAT)*: For the implementation of the foreign relations policy on science and technology sector of Mongolia, there will be pursued the policy to prefer the intellectual capacity technology in introduction of advanced technology for industry and services; to give priority on developing technology on the mineral resources, livestock, plant derived raw materials and renewable energy technology; to connect the national network data of science and technology with the international network; to implement the bilateral and multilateral collaborations on science and technology; Relying on the concept of security aspect of science technology to constitute the condition to appliance in development of our country to adopt the technology and information survey in ecological specific condition of own country; to improve national science institutions and universities, to ensure the competitiveness of the intellectual production. The MFAT is direct beneficiary of the project, part of the NBC and participation is mandatory.

The Agencies

27. *General Customs Office, (GCA)*: Implementation of the customs laws, regulations, verification and clearance in transmission by customs frontier the commodity and transportation to guard the national security of the country, including potential biosecurity threats that might emerge from abuse of modern biotechnology.

28. *National Emergency Management Agency, (NEMA)*: For the purpose of implementing the Government policy to protect from disaster and to implement the laws and regulations about protection from disasters, it is necessary to provide with professional governance by organizing the activity to protect from disaster in whole country: to improve the legislation of the protection from disaster, to provide strategic guidance, to analyze vulnerability and risk assessment of the disaster, to prevent from potential hazard, to reduce hazard, to ensure the readiness for disaster, to organize promptly track down and life-saving in epicenter of disaster, to neutralize (redress) after effect, to rehabilitate the major and infrastructure, to improve capacity protection from

disaster, to implement the general policy of official reserves, to ensure interdisciplinary regulation, to cooperate with foreign countries and international organizations in the area of protection from disaster.

29. *General Agency for Specialized Inspection, (GASI)*: To put under control for the executions to comply common with the laws, standards, legislations, normals from the Parliament, Government, Ministries of Mongolia; In the General Central Laboratory's Toxicological Laboratory; Sanitation and Bacteriological Laboratory; Medicines and Biopreparations Laboratory; Grain, Seed Inspection and Interdiction Laboratory; Radiation Control Laboratories do bacteriological, toxicological, pharmacopoeia, parasitology and bioexperimentation, plant interdiction, planting seeds technological quality control, mycotoxicology, pesticide, residue of nitrate, measurement of radiation analyses for all kind of foods, beauty products, household chemical products, medicaments and medical appliances, biologically active food supplies, horticultural products, raw materials from domestic industry, export and import;
30. *National Development and Innovation Committee, (NDIC)*: The aim of the NDIC is to develop and execute and assess the National Development Strategy of Mongolia, the Millennium Development Goals, the general direction of the economy, social development, implementation of program of Government activity, economical social innovation policy, technology, innovation concept, the long and medium term strategy, forecasting formulization, innovation, improvement. The NDIC is direct beneficiary of the project, key player in implementing the CP and NBF, its focusing on the capacity building for biosafety implementation in the present Committee's activity.

The Scientific community

31. *Mongolian Academy of Science (MAS)*: to conduct research in fundamental technological science for the purpose of providing further knowledge and advise for the Government decision making and to undertake government-assigned project with regard to key science and technology problems an the process of social, economic and cultural development of Mongolia. At present, under its direct supervision the MAS operate 21 Research Institutes and Centers.
32. *Institute of Biology, MAS* : Research area: Investigate species composition and structure; distribution and resources; utilization and rational use, conservation of rare and endangered wildlife species; genetic background of re-introduction and rehabilitation of the Mongolian fauna; use of microbial synthesis products in medicine and food and agricultural industry; practical use

of molecular biology achievements; research on paleo-anthropology and ethno-physical anthropology;

33. *Institute of Botany, MAS*: Research area: Plant anatomy; Plant cyto-embryology; Plant Physiology; Plant Systematics and Taxonomy; Vegetation cover of the forest; forest steppe, semi-desert, desert and high mountain belts and zones; Bio-resource and distribution of the economical plants acclimatization and introduction of the medical, ornamental, and other rare and endangered economical plants;
34. *Institute of Geo-ecology, MAS*: Research area: Research of water, land and forest resource management and it's ecological and economical evaluation of the country; Study on applied ecology and ecosystem analysis; Research for underground and surface water resource states; Water quality analysis and drinking water treatment; Water resource engineering and mapping; Land resource survey and mapping; Forest resource survey and assessment; Forest protection and reforestation in logged and burnt forest area; Desertification control and combating activities; Environmental impact and socio-economic assessment under commercial and industrial influences; Support to Environmental Policy and natural resource planning;
35. *Public Health Institute, (PHI)*: PHI has 6 centers: Centre of Hygiene, Human Ecology, Nutrition Research Centre, and Public Health Laboratory, Centre for Medical training and Research, Toxicology Centre and Biotechnology Production, Research and Training Centre. PHI is responsible for the research on environment pollution and determining the chemical, biological risk factors which influence on health and is producing vaccines, diagnostic preparations and blood fractionation products, such as albumin and immunoglobulin.
36. *Center of Infectious Diseases with Natural Foci (CIDNF)*; For the purpose to prevent communities from new and revival infectious diseases to decrease the sickness-rate and death-rate of the infectious diseases with natural foci and from human and animals to human. *General laboratory of the CIDNF includes Clinical biochemical laboratory, Laboratory of Virology, Bacteriology, Helminthology, Immunology.*

Universities

37. *National University of Mongolia, (NUM)*: The National University of Mongolia has 12 schools and faculties in the capital, Ulaanbaatar, and there are also branch schools in Orkhon and Dzavkhan aimaks.

At the faculty of Biology, NUM, there are carried out following research: long term monitoring of ecology of forest steppe zonal ecosystem; ecological investigation of the some kinds of the neophrons and rodents; ecological investigation of khulan (wild ass); population ecology of central Asian yellow beaver and muskrat; ecology of the national complex named the Gobi-Gurvan Saikhan (Three Beauties of the Gobi - National Conservation Park); grassland's management; to safe and ensure sustainable development of the biodiversity of steppe ecosystem eastern Mongolia; investigation of the steppe ecosystem; ecology and protection of the Mongolian saker falcon; biodiversity of mammals; the climate history of Mongolia; the biotechnological method of plantation of the some conifer's restoration; the effects of air pollution on forest;

38. *Mongolian State University of Agriculture, (MSUA)*: MSUA has 10 schools and four institutions.

In the Institute of Veterinary Medicine, Research Institute of Animal Husbandry, Plant Protection Research Institute, The Plant Science and Agricultural Research Training Institutions of the MSUA is studied following research: to develop scientific bases to diagnose, treat, prevent animal infections, parasitic and non infectious diseases; selective breeding of the livestock core clan; to adopt the database for the fields of pedigree cattle and its nourishment; to improve the nourishment of livestock of the core breeding clan; to produce technology for the breeding annual and perennial plants; pasture management, to improve animal feed production; basic and applied research for collection of animal, livestock and plant gene-fund; plant farm and agronomy; plant infection, pest, weed's dispersion, infection and harm and to prevent from those, production and introduction of manufacturing using advanced technology; etc. The Institute of Veterinary Medicine is providing projects in area of infectious diseases of animals. In last several years the Institute is working on recombinant technology to get diagnostic kits and vaccines for infectious diseases of animals.

39. *Mongolian University of Science and Technology, (MUST)*: MUST have 17 schools. In the

School of Food and Biotechnology do studies following researches: competitiveness of Mongolian livestock meat and milk quality; evaluation of nutritional properties of Mongolian cultivated and endemic edible plants; optimal system of food quality and safety control; Express diagnosis of public contagious diseases; express diagnosis of food safety control; DNA technology, micro-flora of food product; useful micro-floral collection of food; ingredients and characteristics of plant and animal origin food raw materials and products;

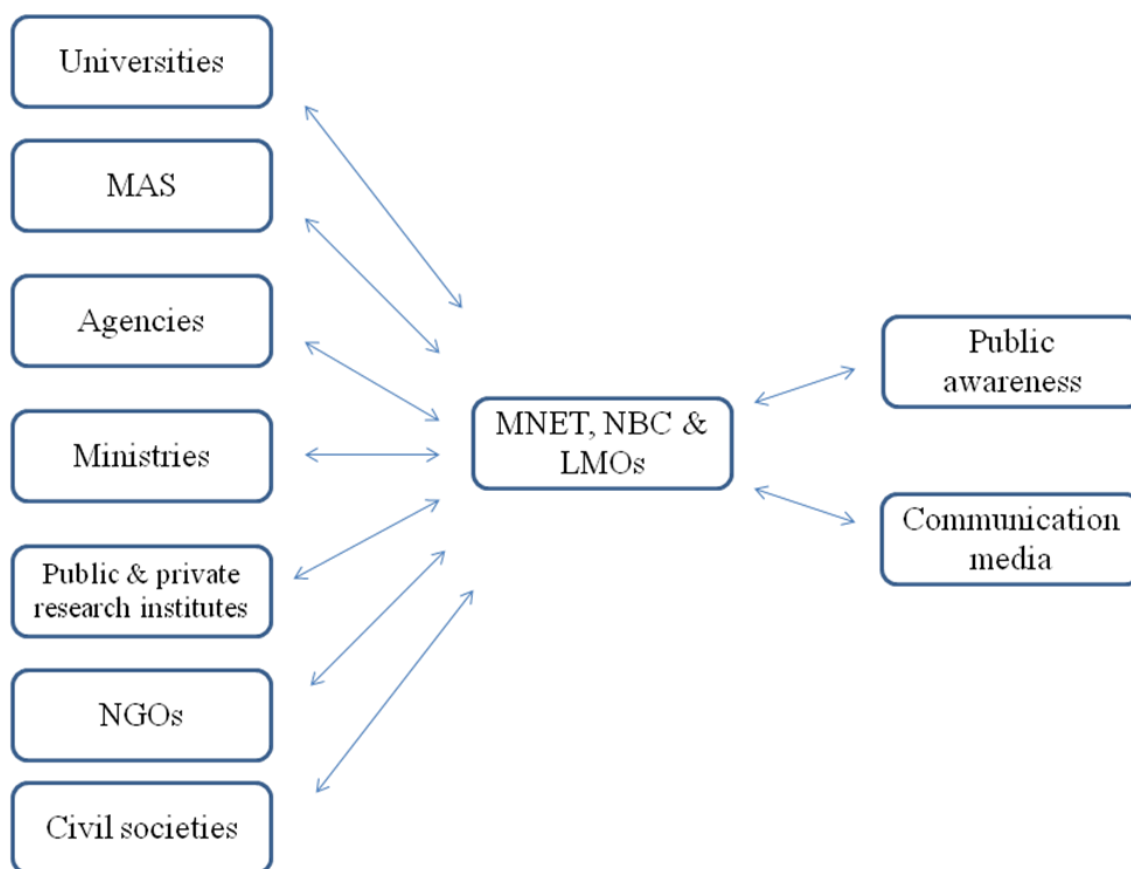
NGO-s

40. *Mongolian Biotechnological Association, (MBA)*: Developing the national biotechnology program in cooperation of government agencies; Providing the member companies with up-to date information on all aspects biotechnology, including biosafety and intellectual property rights; Promoting the technology transfer both within Mongolia and internationally; Coordinating the biotechnology research and development activities within the country;

Civil society groups

41. *National Federation of Mongolian Consumers Association, (NFMCA)*: For the purpose of to organize, evolve commons civil society, to provide true correct information; to completely ensure the market condition, habitat, for commons, to ensure the many other problems which interested commons; to act for and cooperation with the Government, Ministries, Agencies, government's and non-government's organizations in the field of common interest; to affect in government's policy to cover their interest, to promote the government, commons, entity and organizations, in order to commons actively, initiatively and productive; to give true and right information about the production and commodity, business and service; to do comparative survey; to cover the consumers ideas and complains, to compensate; to prepare the consumers divisions experts, activist, persons elected, to involve consumers to protect their interest.

Figure 1.



2.6. Baseline analysis and gaps

42. The UNEP-GEF funded Project on “Development of the National Framework of Biosafety in Mongolia” GEF/2716-02-4427 started in Mongolia in September, 2002 and was completed in March, 2004. This was the first serious attempt in Mongolia in dealing with development of a regulatory response to the management of modern biotechnology as required by the Cartagena Protocol on Biosafety. The results of that project, and the data generated form a large part of the baseline for the proposed project. The draft NBF summarizing the outputs of the project is available for download at:
(<http://www.unep.org/biosafety/National%20Biosafety%20frameworks.aspx>).
43. During the execution of this project, there was wide consultation and dialogue between various government departments and all stakeholders including academics and researchers, ecologists, environmentalists, representatives from GO and NGOs. This was in the interest of inclusiveness in the biosafety dialogue.

44. Existing instruments: Mongolia has adopted by acceding to the Cartagena Protocol on Biosafety the Law on LMOs of Mongolia (enacted on 28.June2007) that regulates biosafety of the Living Modified Organisms, on 26. June 2007. This legislation is linked with the legislations of our country and international laws as following:

Constitution of Mongolia;

Law of National Security;

Law on monitoring and inspection of the inhibition (quarantine) in transmission of animals, plantation and related raw materials through the state border;

Law of Technology Transfer;

Law of Food Provision;

Law on Environmental protection;

Convention on Biodiversity;

Cartagena Protocol on Biosafety.

Currently, Mongolia does not have any accredited laboratories able to detect LMOs. Mongolia also does not have effective monitoring and inspection system, role & responsibilities of stakeholder's organizations are unclear, lack of competence among existing enforcement agencies to carry out monitoring, inspection and enforcement activities related to LMO releases, no mechanism for public awareness and public participation in decision making.

2.7. Linkages with other GEF and non-GEF interventions

45. Mongolia participated in two global GEF/UNEP Capacity Building biosafety projects before this follow-on project proposal. These are, respectively, the global "Development of NBF" project and the global "Capacity Building project in Biosafety Clearing House (BCH)" project. Both these project have been completed successfully. These two projects were executed by the Ministry of Nature, Environment and Tourism (MNET) in collaboration with other stakeholders. The present projects shall be executed by the same National Executing Agency (NEA), which is the MNET.
46. Another Capacity Building project which is currently in progress is the "Avian Influenza control and human pandemic influenza preparedness and response". The World Bank-funded project was

executed by the National Emergency Management Agency of Mongolia from 2008-2010. Since one of the outputs of this project is the establishment of a Biosafety Level two laboratory, which will focus on human and animal health, it will complement rather than overlap the capacity building objectives of this project. From Government funding MNET is now establishing its own biosafety laboratory as co-finance for this project, which will be able to detect LMOs. Apart from the above, there are no other related capacity building initiatives in Mongolia.

Section 3: Intervention Strategy (Alternative)

3.1 Project rationale, policy conformity and expected global environmental benefits

47. There are many controversy on some aspects related to the modern biotechnology especially as pertains to the use of Living Modified Organisms (LMOs). It is recognized however, that the technology has a great potential to help maintain yield and productivity in agriculture, and forestry, if harnessed in an environmentally safe manner. It is envisaged that utilization of the technology could lead to improved yields in countries that today cannot grow enough food to feed their growing populations.
48. The Cartagena Protocol on Biosafety, which entered into force on 11 September 2003, created the first international legal framework for transboundary movement of LMOs, based on the precautionary principle. It consists of requirements for documentation regarding LMO movement. Partners and stakeholders agree on the emerging need for a stand-alone biosafety strategy, although this would require adaptation of existing strategies in related areas. National policies, strategies, and research agendas regarding biotechnology and biosafety, will provide the foundation for subsequent implementation of regulatory and other activities in the field of biosafety.
49. Within the strategic priorities of GEF-4, this project is relevant under the Biodiversity Strategic Objective 3 (SO3): To safeguard biodiversity. The project addresses SP6 - Capacity Building for the Implementation of the Cartagena Protocol on Biosafety. The project will assist Mongolia, as a Party to the Protocol, to meet its obligations by strengthening the capacity needed to have a workable NBF in order to become consistent with the Protocol.
50. The activities supported by the project will be those defined as eligible under the GEF-Biodiversity Focal Area Strategic Objective 3, taking into consideration also the contents of the CBD Action Plan for Capacity Building in Biosafety and the GEF Strategic Program for GEF-4. These activities are: in-country coordination and stakeholder involvement, involvement of a broad

range of Implementing and Executing Agencies, awareness raising, public participation and information sharing, longer term training in risk assessment and risk management, sustainability and international coordination among others.

EXPECTED GLOBAL BENEFITS.

51. Mongolia is a land wild natural heritage, a vast country where the snow leopard hunts in the cold, harsh climate of high mountain ranges as wild camels and desert bears roam the oases and rocky massifs of the fabled Gobi region. With a territory greater than the combined area of Germany, France, and Italy, Mongolia is a country of spectacularly diverse landscapes that provide critical habitat to many rare and endangered plants and animals. Wildlife species that have largely vanished from the rest of the Asian continent still populate Mongolia, sometimes in great numbers.

The country's traditional culture of semi-nomadic herding is still practiced by almost half of the 2.7 million people living there today. While Mongolia has largely escaped many of the pressures that have ecologically devastated other parts of the world, modern social and economic developments are now threatening this "Land of Blue Sky" and its unique biological diversity.

About 14.4 percent of Mongolia's total area is under protection of four different categories of protected areas – Strictly Protected Areas, National Parks, Natural Reserves and National Monuments (22.5 million hectare) which includes 17.3% forest reserve, 55% Mongolia's water surface and about 40% of the distributional range of rare animals and plants.

This project will assist Mongolia, as Party to the Protocol, to meet its obligations by building and strengthening the capacity needed to implement or operationalize the Law on LMO enacted in 2007. This will ensure that any request for intentional movement of LMOs across national borders as well as for all types of use will be administered and assessed by an administrative and regulatory system, that is consistent with the Cartagena Protocol on Biosafety.

The draft NBF formed the basis of a new law, which was enacted as "The Law on Living Modified Organisms (LMOs)" in November 2007 by Parliament. However, Mongolia has very limited capacity to implement this Law on LMOs, which has also to comply with the CPB. In order to implement this Law on LMOs, supporting implementing activities like regulations/rules are urgently needed. Additionally, other existing policies/programmes may need to be integrated with biosafety elements under the newly enacted law. Therefore, this project will enable Mongolia to draft these essential regulations to help Mongolia to make the Law on LMOs workable and consistent with its international obligations.

This project is timely as it will help build institutional and technical capacity in Mongolia to allow the country to implement its Law on LMOs (2007) effectively so that the country can apply modern biotechnology with biosafety measures in place. Benefit from sustained yields through the adoption of safe agricultural biotechnology can help to achieve food security, which ultimately, also contributes to global environmental benefit.

The safe application of agricultural biotechnology can also have concomitant improved natural resource management through reduced use of agro-chemicals, resulting in less contamination of water resources, minimize loss of precious soil moisture with reduced tillage and mitigate desertification, thereby contributing to global environmental benefits. The project will also assist in the conservation and sustainable use of the vast national biodiversity.

This capacity building project will enhance public and farmer awareness on the importance of the integration of biosafety into agriculture to address national food needs with minimal harm to fragile ecosystems, wild and cultivated agricultural biodiversity, especially wheat and potatoes, which are the most important food crops in the country. These will ultimately contribute to global environment. In particular, this project will have global benefits in the sense that it will enable Mongolia to process requests for transboundary movement or domestic use of LMOs through a regulatory and administrative framework aligned with the CPB, with decisions based on sound scientific risk assessments and risk management practices, whilst also taking into account socio-economic considerations (CPB Article 26).

3.2 Project goal and objective

52. **General Objective:** This project aims to ensure a long-term sustainable development program for the future safe use of modern biotechnology in Mongolia and, at the same time, to assist Mongolia to comply with its obligations as a Party to the Cartagena Protocol on Biosafety.
53. **Specific Objectives:** The major objective for GEF support would be capacity building across ministries and key stakeholders to analyze, inform, and make decisions to reduce potential risks related to LMO's, increase benefit to society, and protect biodiversity. Specific objectives would include:
 - a) Assist Government of Mongolia to establish and consolidate a fully functional and responsive regulatory regime in line with Cartagena Protocol on Biosafety and national needs, priorities
 - b) Assist Mongolia to build an implementation mechanism for Biosafety program including human resources, institutional building and networking at national and regional level.
 - c) Assist Mongolia to establish and consolidate a coordinated and collaborative monitoring and enforcement system for Biosafety program; and

- d) Assist Mongolia to establish and consolidate a functional national system for public awareness, education, participation and access to information on LMO's.

3.3 Project components and expected results

54. The project has 6 components and their expected outcomes are summarized in Table 1 below.

Table 1: Project Components and Expected Results

Project Components	Expected Results/Outcomes	Expected Outputs
1. Policy and legal aspects for development of a National Biosafety Program	<p>1.1 Review of Mongolian policy and legal framework with respect to implementation of the Law on LMO.</p> <p>1.2 Gaps in national laws in relation to biosafety are identified and addressed</p>	<p>1.1.1 An analysis of what implementing regulations are needed to make the Law on LMO (2007) operational.</p> <p>1.2.1 Regulations to implement the Law on LMOs are prepared and linked to environmental governance.</p> <p>1.2.2 Biosafety Program is developed and integrated into the Environmental Framework Law and NBF within national strategies</p>
2. Capacity building in human resource for implementation of a Biosafety Program	<p>2.1 Strengthened human resource in administration and decision making for implementation of biosafety program.</p> <p>2.2 Coordinated decision making on LMOs</p>	<p>2.1.1 Training organized for decision makers. Staff trained in administrative aspect of Biosafety implementation, including risk assessment and risk management, decision making and risk communication.</p> <p>2.2.1 Technical manuals on decision making procedure are prepared.</p>

	2.3 An effective mechanism for monitoring and inspection to ensure compliance to Law on LMOs	2.3.1 Organizing training for enforcement and monitoring officials.
3.Capacity strengthening at institutions for implementation of a Biosafety Program	<p>3.1 Strengthened institutional arrangement for effective implementation of a Biosafety Program</p> <p>3.2 Enhanced institutional infrastructure to facilitate operation of the Biosafety Program</p> <p>3.3 Improved coordination between institutions for Biosafety implementation</p>	<p>3.1.1 Key professional institutions to be strengthened are identified.</p> <p>3.1.2 Strengthening the reference laboratory</p> <p>3.2.1 Training for technicians and researchers in LMO detection and verification of LMOs for regulatory compliance.</p> <p>3.3.1 Setting clear roles and responsibilities by MOU between collaborating institutions</p>
4.Public awareness and public participation in matters related to Living Modified Organisms (LMOs)	<p>4.1 A comprehensive public awareness and participation strategy on biosafety that is linked to the national environmental policy/program and Law on LMOs.</p> <p>4.2 Publishing materials on biosafety in different media</p> <p>4.3 Trainings, lectures, info days, public debates</p>	<p>4.1.1 A strategy for public awareness and participation in decision making related to LMOs.</p> <p>4.2.1 Special educational materials for schools and colleges.</p> <p>4.2.2 Outreach materials for target groups.</p> <p>4.2.3 A regularly updated nBCH as a platform for public communication and participation.</p> <p>4.3.1 Organizing public lectures and trainings</p>
5.Establishment of a National and Regional	5.1 Cost effective pooling of regional experts and resources, cooperation between R & D	5.1.1 A database on national experts in crop science and

networking system for Biosafety	institutions and regulatory bodies	biotechnology. 5.1.2 A network among national and regional crop science and biosafety experts.
6.Project audit, Monitoring and Evaluation cost	6.1 Checks are in place to ensure that project implementation is according to workplan	6.1.1 Annual audit reports 6.1.2 Mid-term review 6.1.3 End of project evaluation

3.4 Intervention logic and key assumptions

Table 2. Intervention logic and key assumptions

Intervention logic	Key assumptions
The project aims to establish and operationalise Mongolia's National Biosafety Framework, to assist Mongolia to comply with its obligations as a Party to the Cartagena Protocol on Biosafety, so as to be able to undertake safe use of modern biotechnology for sustainable development	Government of Mongolia supports National Biosafety Program and Biosafety policy is stable
To assist Mongolia to establish and consolidate a fully functional regulatory regime in line with Cartagena Protocol on Biosafety and national needs and priorities.	It is assumed that relevant experts will be participating actively in reviewing process and also NBC and the Government will support effectively It is assumed that review working group members will mostly be involved in developing the regulations which will move things rapidly. Government will support the process.
To assist Mongolia to build implementation mechanism for a Biosafety program including human resources and institutional building	Administrative staff are looking for advanced training for effective decision making particularly for risk assessment. Administrative staff are interested in procedure for decision making on LMOs since it is lacking It is assumed that the timeframe is sufficient to setup the training and participants are interested to be trained
Capacity strengthening at institution of a Biosafety Program	It is assumed that this project will lay out a ground for future projects on Biosafety National Program implementation It is assumed that government and academia

	<p>will support the help to improve the reference laboratory</p> <p>It is assumed that the number of trainings organized will be sufficient</p> <p>Coordination between the professional institutions for signing MoU without delays</p>
To assist Mongolia to establish public awareness and public participation in matters related to Living Modified Organisms (LMOS).	<p>Government is supporting the adoption of public awareness strategy; public media cooperating and supportive</p> <p>There is media willingness to cooperate in providing periodic information; schools and colleges are cooperating and willing to use the materials</p> <p>Good public attitude towards biosafety, support from media and good cooperation and understanding among media and project staff</p> <p>Not all the stakeholders will be able to use the website</p> <p>General public will be willing to receive information on safe use of modern biotechnology</p>
To assist Mongolia to establish National and Regional networking system for Biosafety	<p>National experts are willing to share information and get information from the database</p> <p>Expert and institutions from other countries are willing to cooperate</p>

3.5 Risk analysis and risk management measures

55. The highest risk to the success of this project is the lack of awareness among key agencies, poor institutional coordination, lack of human resources and infrastructure for biosafety management. The absence of useful technical tools and manuals in local language is another barrier to the deployment of a responsive biosafety management in Mongolia. Translation of key regulatory instruments and operational guidelines in the local language will enhance the versatility in use by the key agencies and the wider public who are key stakeholders in the process.
56. There is always risk that the project will take longer than foreseen in the project document. For that reason the project team will meet already before the official start of the project and it will ensure that the project activities will start promptly after the project has officially started and no time will be wasted for finding project team and explaining to different stakeholders what is expected from them. Most of the activities are planned for first two years to ensure that the last

year will not be overloaded with overrun activities and the ensure that the project will be closed in time.

57. Modern Biotechnology and biosafety issues are quite new to Mongolia, there is therefore lack of awareness among the designated government agencies coupled with weak institutional coordination, cross sectoral conflicts in mandate and generally lack of human and equipment resources. This poses a great challenge to the Government of Mongolia and could be a serious risk to the effective execution of the project. This project aims to not only build capacity in various fields of biosafety management with enhanced inter-agency coordination but also to engage policy makers to enhance political willingness to ensure sustainable funding of biosafety into the future.

58. An enhanced agenda on public outreach coupled with a wider stakeholder consultative processes are envisaged to facilitate understanding of biotechnology and biosafety issues which would also be linked with integration into national sustainable development policies. These efforts will help the country to translate modern biotechnology and biosafety into useful goods and services to meet the persistent national needs of enhanced food security and human health without causing undue negative impacts on the environment, human health and biodiversity as perceived during the negotiation and subsequent implementation of the Cartagena Protocol on Biosafety.

59. The potential risks and measures for mitigation are detailed further in the Table 3 below:

Table 3. Risk analysis and risk management measures

Risk	Rating	Mitigation measure
Biotechnology and Biosafety issues are not given the priority and government commitment they deserve.	Low	Promote inter institutional and multi stakeholder cooperation among Government agencies, private sector, civil society and the wider public and incorporate feedback from dialogue/national consultative processes on biosafety issues into the project delivery.
Lack of quick administrative and political decisions on biosafety policy and regulatory regimes	Medium	Regular briefing of politicians to update knowledge to facilitate decision making at political level. Regular coordination meeting for relevant ministries/agencies will be held to define procedures backed by Memorandum of Understanding to ensure coordination and delivery of the expected responsibilities
Low institutional capacity to manage handling of LMOs in	Medium	Capacity building activities coupled with upgrading of existing facilities will equip designated regulatory agencies to effectively manage their mandate.

Mongolia		
Lobby and interest groups, LMOs	Low	Involve all relevant stakeholders and engage them through consultations so as to factor concerns in the delivery of expected project milestones from start to the completion of the project.
Trade and commercial interests are put above the decisions to be made in this project.	Low	Inform the government machinery of issues regarding trade and commerce in LMOs, through policy discussions emphasizing the importance of environmentally sound management of LMOs as a fundamental prerequisite for commercial activities on LMOs.

3.6 Consistency with national priorities or plans

60. This project is consistent with national priorities stated in the National Environmental Policy and Programs of Mongolia. The project is also supportive of the Law on Environmental Protection (1995) that is built upon 3 basic principles, namely, prevention of adverse impacts; creation of favorable environmental conditions for human life, labour and recreation; and ensuring the development of sustainable economy.

61. Since this project aims to help Mongolia to avert adverse environmental impact that could be caused by unregulated use of LMOs, this project is also supportive of the one of the 3 objectives of the Mongolian Law of Environmental Protection - *“to ensure the human right to live in healthy and safety environment, to fit the social economic development with the environmental balance”*.

This project also falls within the medium term goals (MTG) of the Ministry of Nature, Environment and Tourism, especially MTG 2, which are respectively “protect biodiversity...” and “increase appropriate use and conservation of water resources”. This project comprises component activities which also address 3 of the 6 priorities identified by the United Nations Development Assistance Framework (UNDAF) process for Mongolia (2007-2011) [<http://www.undp.mn>].

Additionally, this project reinforces several of the 30 Environmental Programs and Policy documents issued under the Sustainable Development Policy of Mongolia. Since the project will improve access of citizens to information on biosafety and to participate in decision-making on LMOs, and give farmers the choice and capacity to adopt agricultural biotechnology, it is also consistent with the Human Rights Charter to have the right to have a clean environment and the right to participate.

3.7 Incremental cost reasoning

62. As stated in Para 42, Mongolia has successfully completed UNEP/GEF funded NBF development project. The draft NBF formed the basis of a new law, which was enacted as "The Law on Living Modified Organisms (LMOs)" in November 2007 by Parliament. However, Mongolia has very limited capacity to implement this Law on LMOs, which has also to comply with the CPB. In order to implement this Law on LMOs, supporting implementing regulations/rules are urgently needed. Additionally, other existing policies/programmes may need to be integrated with biosafety elements under the newly enacted law.

Therefore, this project will enable Mongolia to draft these essential regulations to help to make the Law on LMOs workable and consistent with its international obligations. Mongolia currently does not have the technical capacity to detect LMOs, thus LMOs could enter the country without detection and prior risk assessment. The porous border of Mongolia, coupled with the inadequate capacity of border controls to regulate the entry of LMOs could allow unapproved LMOs to enter into Mongolia and cause unintended adverse effect to the various fragile ecosystems and environment. Therefore, this project is timely as it will help build institutional and technical capacity in Mongolia to allow the country to implement its Law on LMOs (2007) effectively so that the country can apply modern biotechnology with biosafety measures in place.

The baseline scenario for this intervention is as follows: Harmonization of existing legislation: There is a need to review and harmonize existing legislation across sectors in Mongolia and the region in the nation's quest to manage LMOs in an environmentally safe manner. Additional gaps exist in current biosafety draft bill in the areas of liability and redress, handling, transport, identification and packaging of LMOs and related transit measures which are crucial for Mongolia.

Communication among policy makers: There is a lack of communication among policy-makers and experts, as well as cooperation in preparing strategic policy documents among agencies.

Expertise: The expertise available is not adequate for handling all aspects of biosafety issues;

Administrative structures: Lack of transparent, fully effective and coherent administrative procedures to handle the requests on LMOs;

Detection of LMOs: There is need to develop instruments and offer training on methodologies for LMO detection to the designated technical staff coupled with upgrade of equipment to facilitate inspection and handling of LMOs;

Public Participation: There is a lack of public information on biosafety issues including mechanisms for the public to be engaged in decision making as required in Article 23.2 of the

Cartagena Protocol on Biosafety;

63. The absence of a GEF contribution would mean persistence of the capacity gaps identified above and would slow the processes initiated to ensure compliance with the CPB. However, the GEF support will facilitate and help address the gaps identified through the additional capacity building interventions. The GEF alternative will bring Mongolia to the required biosafety standards, nationally, regionally and globally. The participation of UNEP, which is managing many other similar initiatives globally, will also assist Mongolia to know what other countries are doing regarding biosafety. Presently, funding from the national budget, through the sectoral budget of the Ministry of Nature, Environment and Tourism, covers only basic administrative procedures for handling requests related to LMOs. The additional support by the GEF contribution would contribute immensely to the technical capacity and expertise of the Ministry, the National Biosafety Committee and collaborating institutions to access and interpret credible biosafety information, improve cross sectoral coordination and enhanced public awareness and information sharing. The GEF funding is expected to trigger Government co-financing and accelerate increased attention to the current focus on biosafety so as to ensure safety and protection of the environment.
64. The project will assist Mongolia to develop technical capacity in risk assessment and risk management, among other tools to ensure environmental and food safety. The proposed project will help raise public confidence in national capacity to address public perceptions on potential risks of LMOs to biodiversity and environment. In the absence of the project, the competent authorities would be lacking the necessary capacities, both technical and managerial, and the necessary information sources to sufficiently cover all aspects and new developments connected with the environmentally safe management of modern biotechnology.
65. This project will put in place a fully operational biosafety framework in Mongolia which will assist the country to address and regulate transboundary movement, and in country use of LMOs.

3.8 Sustainability

66. This section of the project analyses how the process will be sustained after implementation under political, financial, institutional and environmental terms as summarized below.

67. The project's design includes two important outcomes that should ensure the sustainability of project results. The first will be for implementing the biosafety policy over a three year span, where directives for future regulatory actions will also be established, and will consider financial options both from national and international sources and prioritize activities according to resource availability. The second will be for capacity building, establishing human capacity needs, availability of resources, partnerships and alliances to complete the plan. These results will be critical for setting the biosafety system on a path that can outrun the duration of the current project.
68. The sustainability of the capacity built over the project's duration will be reflected first and foremost in the consolidation and strengthening of the Biosafety Unit and its relations with related stakeholder ministries and organizations. This Unit and its staff, with the assistance of the NBC, will be trained in the processing and review of LMO applications, considering different types of LMO application. In the absence of any real applications, case study material will be used for the training. Similarly, the capacity will be evident and sustained in time through the mandatory functions of the NBC. Delegates to the Commission, as a result of the project, will be trained in issues of modern biotechnology and biosafety and their institutions will be engaged in order to maintain them as their technical representatives within the Commission. Lastly, it will also be reflected in the process of review, approval and implementation of the Biosafety Law, which will require the coordinated action of several institutions and experts from different sectors involved in biotechnology and biosafety. The involvement of these institutions will be reinforced through improved capacity, which in turn will feed back into sustaining a better and more coordinated biosafety system.
69. The Ministry of Nature, Environment and Tourism will ensure the sustained participation of these institutions in the project by signing framework agreements for cooperation, collaboration and partnership within the Project and as part of the biosafety system being constructed. The importance of implementing the NBF will also be underscored as part of the country's intention to continue supporting the adherence to all its major international environmental agreements, including the CPB. The capacity created during this project will help the country fulfill its obligations as a Party to the CPB and in learning from this experience, the sustainability of the system will improve over the medium and long term.

3.9 Replication

70. The several components of this project will mobilize resources in different fields related to biosafety and at different levels, such as government, educational institutions, scientific institutions, administrative offices, etc. The capacity building of different bodies and experts will serve Mongolia in the near future to fulfill the obligations of CPB and further on, to deal with handling requests for permits, monitoring and inspection, hands-on laboratory analysis and, in parallel, providing accurate and scientifically correct information to the public. Therefore, Mongolia in the future, upon completion of this project, will have in place all the necessary means, including expertise, to perform activities related to biosafety, not just within the CPB requirements, but also responding to country's needs for actions related to LMO's and biosafety. Thus the capacity built by the training component of this project will continue to build as the original trainees become integrated into their institutions with fully-approved function in biosafety, supported from national budget allocation. In turn, this capacity will contribute to the building of capacity in younger staff.

3.10 Public awareness, communications and mainstreaming strategy

71. Project component 4: "Improving the awareness and public participation in biosafety" of the Results-Based Framework (see Appendix 4) is dedicated to enhancing citizen participation and public awareness in biosafety. To this end, a communication or outreach strategy will be implemented, media tools and materials specifically designed for different types of stakeholders will be developed, and the impact of the strategy will be measured through opinion polls to be carried out during project implementation. Also, within the project website there will be the possibility for the general public to present comments and queries regarding biosafety.
72. As part of the other project components, there will be workshops and the preparation action plans, for implementing the biosafety policy (and associated regulations); and for capacity building and education, which will spread knowledge related to biosafety and the safe use of LMOs and ensure its mainstreaming in the action of several institutions after completion of the project. To ensure the integration of biosafety considerations at the level of authorities and decision makers, and given their limited knowledge on the topic and their influence over the potential impact and success of the project, special attention is being given to developing a variety of communications mechanisms for biosafety and to involving authorities in the tracking of project progress throughout execution.

3.11 Environmental and social safeguards

73. The project supports the implementation of relevant international agreements (CPB in this case), it is intended to have beneficial effects on the environment and socio-economics of the country and the region. The project will be executed by a Government agency - Ministry of Nature, Environment and Tourism with a mandate in biosafety, and as such, environmental safeguards will be taken in any aspects of the proposed intervention that may impact on the natural environment.
74. Social safeguards will be taken for any public or multi-sectorial activities to be carried out, yet the participatory nature of the project and the incorporation of socioeconomic considerations to improve the management of biosafety will in themselves ensure that equal opportunities and favorable conditions are provided to all sectors and stakeholder groups, irrespective of gender, creed or status.

SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS:

75. The institutional arrangements for execution of the project at the national level will be carried out under the direct supervisory oversight by UNEP as the GEF Implementation Agency as follows:
76. Two previous biosafety projects were executed by the Ministry of Nature, Environment and Tourism (MNET) in collaboration with other stakeholders. The present projects shall be executed by the same National Executing Agency (NEA), which is the MNET.

INSTITUTIONAL ARRANGEMENTS:

National Executing Agency (NEA)

The Ministry of Nature, Environment and Tourism, the focal point to the CPB, will be the National Competent Authority (NCA) as well as the National Executing Agency (NEA) for this project. The Ministry will work on behalf of Government of Mongolia to manage the project, ensuring that its objectives are met by the end of the project. The NCA will also provide the necessary scientific, technical, financial and administrative support to the project, working in close cooperation with relevant government agencies, the scientific community and the public.

National Coordinating Committee (NCC)

The National Coordinating Committee (NCC) will be established by the National

Executing Agency (NEA) to advise and guide the implementation of the National Biosafety Framework. This committee will include representations of all government agencies with mandates relevant to the Cartagena Protocol on Biosafety and will include representations from the private and public sectors. This Committee will be multi-disciplinary and multi-sectoral in fields relevant to the Cartagena Protocol on Biosafety. The NEA may also establish sub-working groups as necessary with clear Terms of Reference (TOR) that are found in Appendix 11. In the case of Mongolia the legally-constituted National Biosafety Committee will serve as the NCC.

The National Project Director

The National Project Director is a government employee to oversee the project management and will be appointed by the Head of the National Executing Agency. Since the National Coordinating Committee is legal body to issue higher decision, it is not the daily operational body. Therefore, in order to fulfill the gap for the management of the project, the National Project Director is appointed for the project. The National Project Director is not paid from GEF resources.

The National Project Coordinator

The National Project Coordinator will be appointed by the National Executing Agency, after dialogue with the UNEP, and will serve for the duration of the national project. The National Project Coordinator will be responsible for coordination, management and the general supervision of all the aspects of the national project. He/she will report to the National Project Director, the NEA and UNEP, and liaise closely with the chair and members of the National Coordinating Committee and National Executing Agency in order to ordinate the work plan for the National Project. He/she shall be responsible for all substantive, managerial and financial reports from the National Project. He/she will provide overall supervision for any staff in the NBF Team as well as guiding and supervising all other staff appointed for the execution of the various National Project components.

PROJECT IMPLEMENTATION ARRANGEMENT

77. The project will be implemented by UNEP and music at the country level by a National Project Management team, under the direct supervisory oversight of the National Coordinating Committee (NCC) which will be a cross sectoral and multi-stakeholder committee with membership drawn from various line Ministries and Agencies. The National Project Coordinating team would be made up of a National Project Coordinator and 1-2 administrative/financial assistants. Progress in implementation will be monitored against the work plan, the half yearly project progress reports

and quarterly expenditure reports.

Section 5: STAKEHOLDER PARTICIPATION

78. A project participation guidance document will be developed during the project. However, a preliminary stakeholder assessment will be provided during the stocktaking exercise. The existing groups of stakeholders identified during the previous two projects are outlined below:

Table 4. Various stakeholders and expected roles in the implementation of the NBF

STAKEHOLDER	TYPE OF INVOLVEMENT
Parliamentarians: State Great Hural, and other decision makers	<ul style="list-style-type: none"> - Participation is mandatory; - Support the process of implementation and especially in legalizing the framework on biosafety.
Ministries: Ministry of Nature, Environment and Tourism, Ministry of Health, Ministry of Food, Agriculture and Light Industry, Ministry of Education, Culture and Science, Ministry of Mineral Resources and Energy,	MNET: <ul style="list-style-type: none"> -direct beneficiary of the project; - function as project Executing Agency; - participation is mandatory; The Ministries: <ul style="list-style-type: none"> - direct beneficiary of the project, part of the NBC; - participation is mandatory;
Agencies: General Customs Office (GCO), National Emergency Management Agency (NEMA), General Agency for Specialized Inspection (GASI),	GCO: <ul style="list-style-type: none"> - direct beneficiary of the project; - key player in implementing the CP and the NBF, its persistent monitoring the cycle of the transmission, transfer, to pass the LMOs in territory of Mongolia; NEMA: <ul style="list-style-type: none"> - direct beneficiary of the project; - key player in implementing the CP and the NBF, its organizing of the Regulation for saving, transporting and elimination of the LMOs that has determined by the risks assessment like toxic and harmful; GASI: <ul style="list-style-type: none"> - direct beneficiary of the project; - key player in implementing the CP and the NBF, its inspection for LMOs, its Inspection of the LMOs;
Committees: National Biosafety Committee(NBC), Scientific Committee (SC),	NBC: its individual delegates are direct beneficiaries of the project; its participation is mandatory and, as a multi-sectoral

<p>National Development and Innovation Committee (NDIC),</p>	<p>body, this will accrue benefits :</p> <ul style="list-style-type: none"> -to administrate organizing of the Biosafety implementation work; -to treat the national policy of the Biosafety implementation; -to treat and investigate the relevant regulations, treatments and plan; -to receive from the commons and entity the application for the transmission of the LMOs by the state border and solve; -to discuss the project of the derivation of LMOs and conclusion on adoption of LMOs; <p>Cooperate on implementation of Biosafety with commons and entity;</p> <ul style="list-style-type: none"> -to administrate of the regulation for saving, transporting and elimination of the LMOs that has determined by the risks assessment like toxic and harmful; -to take the information relevant with the LMOs from the commons and entity; <p>SC:</p> <ul style="list-style-type: none"> -direct beneficiary of the project; -key player in implementing the CP and MBF, its discuss and conclusion on adoption of LMOs; <p>NDIC:</p> <ul style="list-style-type: none"> -direct beneficiary of the project; -key player in implementing the CP and MBF, its to focus on the capacity building for biosafety implementation in the present Committee's activity;
<p>Scientific community: Mongolian Academy of Sciences (MAS), Institute of Biology, Public Health Institute, Mongolian Association of Biotechnology (MAB), Center of Infectious Diseases with Natural Foci (CIDNF)</p>	<ul style="list-style-type: none"> -direct beneficiary of the project; -key player in implementing the CP and NBF, its: <ul style="list-style-type: none"> • Scientific and technical support on the risk assessment and risk management; • Development of implementing regulations and procedural manuals to support biosafety management in Mongolia;
<p>Universities: National University of Mongolia (NUM), Mongolian State University of Agriculture (MSUA), Mongolian University of Science and Technology (MUST),</p>	<ul style="list-style-type: none"> - direct beneficiaries of the project; - participating in workshops; - their activities may: <ul style="list-style-type: none"> • The survey of derivation of the LMOs; • The investigation of the effects of the

Khovd State University	<p>LMOs to the human health and environment;</p> <ul style="list-style-type: none"> • To maintain the gene-bank of the biodiversity;
<p>Civil society: National Federation of Mongolian Consumers Association (NFMCA), NGO's and Community Based Organizations</p>	<p>- participation in workshops; - direct beneficiaries in various aspects of the project, its:</p> <ul style="list-style-type: none"> • Opportunities for information, education, training on biosafety, safety modern biotechnology and LMOs; • Labeling of food products derived from LMOs, • Participation in decision making regarding LMOs. <p>The communication strategy will target consumers to motivate their involvement.</p>

SECTION 6: MONITORING AND EVALUATION PLAN

79. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the Executing Agency and UNEP.

80. The project M&E plan (Appendix 7) is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Appendix 6 will be the main tools for assessing project implementation progress and whether project results are being achieved.

The means of verification and the costs associated with obtaining the information to track the indicators are summarized in Appendix 7. Other M&E related costs are also presented in the Costed M&E Plan (Appendix 7) and are fully integrated in the overall project budget (Appendices 1 & 2).

81. The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the project management team but

other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Coordinator to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

82. The project Steering Committee also referred to as the National Coordinating Committee, will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility of the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.
83. At the time of project approval, baseline data will be established based on the stocktaking activity completed as part of the PGG. Baseline data gaps will be addressed during the first year of project implementation. A plan for collecting the necessary baseline data will be developed under the national consultative processes during the inception workshop and the stocktaking activity.
84. Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.
85. A mid-term management review or evaluation will take place 1.5 years after the initiation of the project, as indicated in the project milestones. The review will include all parameters recommended by the GEF Evaluation Office for evaluation of GEF projects and will verify information gathered through the GEF tracking tools, as relevant. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. Such parties were identified during the stakeholder analysis (see section 2.5 of the project document). The project Steering Committee will participate in the mid-term review and develop a management response to the evaluation recommendations along with an

implementation plan. It is the responsibility of the UNEP Task Manager to monitor whether the agreed recommendations are being implemented.

86. An independent terminal evaluation will take place at the end of project implementation. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.
87. The GEF Tracking Tool for biosafety is attached as Appendix 15. This will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR reports. As mentioned above the mid-term and terminal evaluation will verify the information gathered through the tracking tool.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1. Overall project budget

88. The overall project budget is 714,300 USD made of GEF funding of 379,300 USD and 335,000 USD co-financing from the Government of Mongolia. Details of the project budget are attached in Appendices 1 & 2.

7.2. Project co-financing

89. The project co-financing is as reflected in Table 5 below

Table 5. Overall Project Budget

	Project preparation	Project	Agency fee	Total
GEF	NA	379,300	37,930	417,230
Co-financing	NA	335,000		335,000
Total		714,300	37,930	752,230

7.3. Project cost-effectiveness

90. This project will take a cost effective approach by promoting the sharing of modern biotechnology and biosafety resources in-country through sharing human and institutional resources; sharing laboratories, contained use and field testing facilities; and sharing of experiences and information

on biosafety and biotechnology. The project will avoid duplication in infrastructure and human resource development through effective collaboration across institutions. In addition with support from UNEP, the project will promote use of existing human resources and documentation within the region so as to avoid "reinventing the wheel" in ensuring value for the resources provided.

APPENDICES

- Appendix 1: Budget by project components and UNEP budget lines**
- Appendix 2: Co-financing by source and UNEP budget lines**
- Appendix 3: Incremental cost analysis**
- Appendix 4: Results Framework**
- Appendix 5: Workplan and timetable**
- Appendix 6: Key deliverables and benchmarks**
- Appendix 7: Costed M&E plan**
- Appendix 8: Summary of reporting requirements and responsibilities**
- Appendix 9: Standard Terminal Evaluation TOR**
- Appendix 10: Decision-making flowchart and organizational chart**
- Appendix 11: Terms of Reference**
- Appendix 12: Co-financing commitment letters from project partners**
- Appendix 13: Endorsement letters of GEF National Focal Points**
- Appendix 14: Draft procurement plan**
- Appendix 15: Tracking Tools**

APPENDIX 3 – INCREMENTAL THINKING

Mongolia has successfully completed two biosafety projects financed by GEF/UNEP, and is committed to take actions towards the fulfillment of international obligations under the Cartagena Protocol on Biosafety. However, in the absence of appropriate infrastructure and technical capacities, fulfillment of these obligations faces serious capacity difficulties.

In the absence of GEF support, Mongolia would not be able to implement the priorities identified in the draft National Biosafety Framework, such as the building of national capacities for risk assessment and management, monitoring and enforcement, and public awareness-raising and participation would be nearly impossible under the current situation.

Mongolia currently does not have any approved legislative procedures for handling LMOs beyond the basic Law so there is considerable secondary legislation requiring attention for amendment in regards to LMO's. However, it is unlikely that further regulations would be approved in the future without the GEF support to raise political and public awareness of biosafety. Similarly, the lack of much scientific research and/or laboratory facilities, and also the small number of trained technical experts that could in the future deal with LMO analysis, will remain as such, under the current circumstances.

It is only through GEF support for the completion and establishment of a full legislative regime for biosafety that the necessary structures will be put in place and then provided for in the national budget system.

Appendix 4: Results-based Framework for Capacity Building for Biosafety Implementation for Mongolia Project

Summary	Output	Baseline	Target	Indicator	Means of Verification	Assumptions
Goal: To establish and operationalise Mongolia's National Biosafety Framework, to assist Mongolia to comply with its obligations as a Party to the Cartagena Protocol on Biosafety so as to be able to undertake safe use of modern biotechnology for sustainable development.	Mongolia's NBF established and operationalized thus Mongolia complies with its obligations on Cartagena Protocol and able to undertake safe use of modern biotechnology.	<p>Law on LMOs exists but lacks implementation regulations</p> <p>Government institutions lack in experiences and expertise.</p> <p>Few professional LMO labs exist and their coordination is lacking</p> <p>Limited public awareness and participation in matters on LMOs</p>	<p>With strengthened legal environment, well trained administrative and professional staff,</p> <p>Mongolia's National Biosafety Framework will be operationalized and complies with Cartagena Protocol to which Mongolia is a Party</p> <p>Educated public and fully established networking at national and regional levels</p>	<p>By end of 2013, regulations; National Biosafety Program (NBP), Strategy on Public Awareness and Technical Manual on Decision making in place; 2 overseas and 18 various trainings completed and 14 different educational and outreach materials on LMOs published</p>	<p>Periodic Progress Reports (PPR) to UNEP; Websites, Minutes of meetings, Official Registries of Executive Decrees, Ministerial Acts, Publications, Training curricula, Reports, Methodology, Bulletin of the Government News, media coverage, public awareness materials and MoU</p>	<p>Government of Mongolia supports National Biosafety Program and Biosafety policy is stable</p>
<u>Objective 1: Assist the Government of Mongolia to establish and consolidate a fully functional and responsive regulatory regime in line with Cartagena Protocol on Biosafety and</u>	GoM has fully functional and responsive regulatory regime on Biosafety in line with Cartagena Protocol	<p>Law on LMOs exists but implementation regulations need to be developed along with National Biosafety Program</p>	<p>Biosafety regulations and NBP will support Mongolia to fulfill its obligations under Cartagena Protocol.</p>	<p>By end of 2012, regulations and NBP developed and adopted by appropriate authorities</p>	<p>PPR , Report, website, Minutes of the meeting, Official Registries of Executive Decrees and Ministerial Acts and Bulletin of the Government News</p>	<p>It is assumed that Government bodies will be supportive and experts will be effective in developing the documents</p>

<u>national needs and priorities</u>						
Outcomes: 1.1.Review of Mongolian policy and legal framework with respect to implementation of the Law on LMO	1.1.1 An analysis of what implementing regulations are needed to make the Law on LMO (2007) operational.	Law on LMO adopted in 2007.	Having regulations and policy needs analysis, Mongolia will be ready to draft relevant regulations and therefore implement Law on LMOs adopted in 2007	By end of 2010, review of policy and legal framework to implement of Law on LMOs complete	PPR , Report on the Review results is available on MNET website (www.mne.mn) NBC Meeting's Minutes	It is assumed that relevant experts will be participating actively in reviewing process and also NBC and the Government will support effectively
1.2.Gaps in national laws in relation to biosafety are identified and addressed	1.2.1 Regulations to implement the Law on LMOs are developed and linked to environmental governance.	No regulations on implementation of Law on LMOs especially on procedures for the risk assessment, thus linkage to environmental governance	Biosafety regulations necessary for implementation of Law on LMOs will support Mongolia to fulfill its obligations under Cartagena Protocol.	By end of 2011, necessary regulations developed and approved	PPR, Official Registries of Executive Decrees and Ministerial Acts.	It is assumed that review working group members will mostly be involved in developing the regulations which will move things rapidly. Government will support the process.
	1.2.2 Biosafety Program is developed and integrated into the Environmental Framework Law and NBF within national strategies	National Biotechnology 2 nd Symposium held in 2009 and recommended to develop National Biosafety Program (NBP).	Integration of National Biosafety Program with National Environmental Framework Laws will enhance sustainable development	By end of 2012, National Biosafety program developed and get approved	MNET website and BCH website Bulletin of the Government News	Due to need to involve public for discussions over NBP, it could be delayed time wise.
<u>Objective 2: Assist</u>	Mongolia's	National Biosafety	Involvement of the	12 training sessions	PPR , Publication of	It is assumed that

<u>Mongolia to build implementation mechanism for a Biosafety program including human resources and institutional building</u>	Implementation Mechanism for Biosafety Program is established at the administrative level	Committee is established to play a role of the main decision making body. General Inspection and General Customs Agencies operate as main inspection and monitoring bodies. However, Government institutions lack in experiences and expertise.	Government organizations including their human and institutional resources will improve effectiveness for decision making towards sustainable development	of different stakeholder groups Technical manual for decision making procedure	Technical manual, MNET and BCH websites, Training curricula and contents and Reports of each training	implementation measures taking by professional institutions will be easier due to well trained decision makers
Outcomes: 2.1 Strengthened human resource in administration and decision making for implementation of Biosafety program.	2.1.1 Training organized for decision makers. Staff trained in administrative aspects of Biosafety implementation, including risk assessment and risk management, decision making and risk communication.	Personnel from the NBC and other key Governmental institutions have limited training in biosafety Risk assessment concept on LMOs is new to Mongolia and lacks experience in decision making	Involvement of the administrative staff of Government institutions will improve effectiveness for decision making towards sustainable development	By 2013 all the trainings are completed	PPR , Training and technical courses curricula and contents Summary reports of courses given, with participants listing	Administrative staff are looking for advanced training for effective decision making particularly for risk assessment.
2.2 Coordinated decision making on LMOs	2.2.1 Technical manuals on decision making procedure are prepared.	No technical manuals exist in Mongolian thus requires involvement from international expertise.	Having training materials, manuals in national language will enhance coordinated decision making on LMOs	By end of 2011 “Technical Manual on Decision making Procedure”	PPR, Publication of Technical manual MNET and BCH websites Training curricula	Administrative staff are interested in procedure for decision making on LMOs since it is lacking

					and contents	
2.3 An effective mechanism for monitoring and inspection to ensure compliance to Law on LMOs	2.3.1 Organizing training for enforcement and monitoring officials	General Inspection Agency and General Customs Agency are operating for monitoring and inspection, however experts with sufficient knowledge on LMOs are lacking	Trained and equipped staff from Law Enforcement and Monitoring agencies will greatly enhance implementation of Biosafety thus ensuring effective mechanism	By 2013, all training completed	PPR , Training curricula and contents Reports of each training	It is assumed that the timeframe is sufficient to setup the training and participants are interested to be trained
<u>Objective 3:</u> Capacity strengthening at institutions for implementation of a Biosafety Program	Key professional institutions and experts are sufficiently strengthened for implementation of Biosafety Program	Few professional Labs exist and their coordination is lacking	Training of experts on detection and verification of LMOs and effective coordination will improve professional capacity of relevant institutions and Biosafety implementation	Report, 2 overseas training and 6 national trainings	PPR , Reports, Training curricula, Methodology and MoU	It is assumed that professional institutions will be supportive and willing to participate in trainings
Outcomes: 3.1 Strengthened institutional arrangement for effective implementation of a Biosafety Program	3.1.1 Key professional institutions to be strengthened are identified.	Few Laboratories e.g. of Ministries of Health; Food, Agriculture and Light Industries have equipment to detect the presence of LMOs in crops and food, and none is devoted wholly to this activity. Most of the Labs	Identification of key institutions to be strengthened will enhance effectiveness of capacity building	By 1 st quarter of 2011, Report on key institutions with their current capacity and staff training needs particularly on LMO detection	PPR , Report on situation analysis of biotech laboratories and their infrastructure PPR , Document containing plan for reference	It is assumed that this project will lay out a ground for future projects on Biosafety National Program implementation

		belong to the private sector.			laboratories	
	3.1.2. Strengthening the reference laboratory	There is no reference laboratory in Mongolia	Strengthening the reference laboratory would enable to detect LMOs and perform surveillance	LMO detection lab will be established by end of 2010.	Regular reporting	It is assumed that government and academia will support the help to improve the reference laboratory
3.2 Enhanced institutional infrastructure to facilitate operation of the Biosafety Program	3.2.1 Training for technicians and researchers in LMO detection; Strengthening institutional capacity for detection and verification of LMOs for regulatory compliance.	Institutional and expert level capacity is insufficient particularly on detection and verification of LMOs	Training of experts on detection and verification of LMOs will improve professional capacity of relevant institutions	By end of 2012 trainings completed.	PPR , Training curricula and contents PPR , Reports of each training PPR , Methodology for sampling and detection of LMOs	It is assumed that the number of trainings organized will be sufficient
3.3 Improved coordination between institutions for Biosafety implementation	3.3.1 Setting clear roles and responsibilities by MoU between collaborating institutions	Absence of professional institutional, e.g. Labs, coordination for detection and verification of LMO's	Effective coordination among professional institutions will improve Biosafety implementation	By June 2011 National Biosafety MoU will be signed between relevant professional institutions	PPR , Signed National Biosafety MoU	Coordination between the professional institutions for signing MoU without delays
Objective 4: Public awareness and Public participation in matters related to	Public is increasingly aware and ensured to participate in matters related to	Limited public awareness and participation in matters on LMOs	Strategy and different media coverage on Biosafety will ensure public to be	By June 2011 Strategy; 14 different educational and outreach materials	PPR , Strategy, different media coverage and public awareness materials	It is assumed that media's willingness to participate in reporting on LMO related actions is

Living Modified Organisms (LMOs)	LMOs		aware on LMOs and participation in decision making	on LMOs		high
Outcomes: 4.1 A comprehensive public awareness and participation strategy on biosafety that is linked to the national environmental policy /program and Law on LMOs	4.1.1 A Strategy for public awareness and participation in decision making related to LMOs.	Public participation in decision-making on biosafety policy has been very limited. No public awareness strategy in place	Strategy on Public awareness will enhance participation of general public into decision making and implementation of Biosafety	By June 2011 Strategy for Public Awareness developed and approved	PPR , Strategy for Public Awareness published	Government is supporting the adoption of public awareness strategy; public and media cooperating and supportive
4.2. Publishing materials on biosafety in different media	4.2.1 Special educational materials for schools and colleges.	No educational and awareness materials as well as means for communication for schools, colleges and general public	Educational and public outreach materials for target groups	By 2013 at least 3 different sets of educational materials for high school students on modern biotechnology and LMOs published and disseminated	PPR , Outreach materials made available on MNET website BCH and MNET website	There is media willingness to cooperate in providing periodic information; schools and colleges are cooperating and willing to use the materials.

	4.2.2 Outreach materials for target groups.	There is very few materials available in Mongolia about biosafety	Materials will enhance public awareness about biosafety	By 2012 At least 3 national TV broadcasts By 2012 At least 6 national newspaper articles covering biosafety issues By 2011 Two outreach materials (Customs and Inspection Agencies; in the forms of video)	Agreements with providers of information Public opinion polls show an increase in the percentage of people who knows about biotechnology and biosafety as a result of the communication strategy	Good public attitude towards biosafety, support from media and good cooperation and understanding among media and project staff
	4.2.3 A regularly updated nBCH as a platform for public communication and participation.	No nBCH created	nBCH will enhance public awareness about biosafety and provide updated information about LMOs	By 2012 nBCH created	Website on nBCH linked to central portal	Not all the stakeholders will be able to use the website
4.3. Trainings, lectures, info days, public debates	4.3.1 Organizing public lectures and trainings	No public information available on safe use of modern biotechnology	General public	By 2013 at least 4 public lectures organized covering general info on safe use of modern biotechnology By 2013 Three public debates/events on	Agreements with lecturers and PPR Events' plans	General public will be willing to receive information on safe use of modern biotechnology

				biosafety	PPR	
Objective 5: Establishment of National and Regional networking system for Biosafety	Mongolia's LMO Database is openly networked within National and Regional system for Biosafety	Limited database and networking between national experts and no networking at regional level	Database, networking and information sharing will strengthen Biosafety implementation	By October 2013 database, Network and documentation of lessons learned	MNET and BCH websites	National experts are willing to be part of the international efforts on LMOs
5.1 Cost effective pooling of regional experts and resources, cooperation between R & D institutions and regulatory bodies	5.1.1 A database on national experts in crop science and biotechnology.	Database about experts, institutions and projects related to biosafety is outdated and incomplete.	Complete and operational database, networking and information sharing among both national and regional experts will strengthen Biosafety implementation in line with regional expertise	By end of 2012 database developed and fully operational.	National database and National and Regional Network	National experts are willing to share information and get informed on database.
	5.1.2 A network among national and regional crop science and biosafety experts and institutions	No working network system for Biosafety at national and regional level	Complete and operational database, networking and information sharing among both national and regional experts will strengthen Biosafety implementation in line with regional expertise	By October 2013 network among experts and institutions at national and regional levels developed and operational	National database and National and Regional Network	Experts and institutions from other countries are willing to cooperate

Appendix 5. Workplan and Timetable.

Project Components and Activities												
	Year 1				Year 2				Year 3			
Component 1: Policy and legal aspects for development of a National Biosafety Framework												
1. Inception workshop												
2. Collection of data and conduct baseline survey												
3. Develop needed regulations to implement the Law on LMOs, organize workshops with inputs from national and international experts												
4. Develop National Biosafety program with Strategy and implementation plan												
5. Organize workshops to discuss the draft of the program to incorporate Biosafety program into National legislation												
6. Organize lobby meetings etc. for approval of the program												
7. Present to the appropriate legislative bodies for approval of the National Program												
Component 2: Capacity strengthening in human resource for implementation of a Biosafety Program												
1. Assess needs for training for individuals												
2. Conduct training i.e. on-the-job. Staff trained in administrative aspects of Biosafety implementation, including risk assessment and risk management, decision making and risk communication												
3. Prepare training and technical manual for experts and for related government officials.												
4. To develop Mongolian terminologies in relation to Biosafety and get general acceptance from key stakeholders												
5. Training of Enforcement and Monitoring officials												
6. Translation of 2 standards of ISO and CAC and introduce into Mongolia												
Component 3. Capacity strengthening at institutions for implementation of a												

[illegible]

Appendix 6: Key deliverables and benchmarks

Component 1.	Key products	Milestones	Estimated date
	Review of Mongolian policy and legal framework with respect to implementation of the Law on LMO.	An analysis of what implementing regulations are needed to make the Law on LMO (2007) operational.	March 2011
	Gaps in national laws in relation to biosafety are identified and addressed	Regulations to implement the Law on LMOs are prepared and linked to environmental governance.	Dec 2012
Component 2.			
	Strengthened human resource in administration and decision making for implementation of biosafety program.	Staff trained in administrative aspects of biosafety implementation, including risk assessment and risk management, decision making and risk communication.	March 2013
	Co-ordinated decision making on LMOs	Training and technical manuals are prepared. Technicians and researchers are trained in LMO detection.	March 2011
	An effective mechanism for monitoring and inspection to ensure compliance to Law on LMOs	Enforcement and Monitoring officials are trained and equipped with necessary biosafety knowledge and technical tools/skills.	Dec 2012
Component 3.			
	Strengthened institutional arrangement for effective implementation of a Biosafety Program	Key institutions to be strengthened are identified.	June 2011
	Enhanced institutional infrastructure to facilitate operation of the Biosafety Program	Strengthened institutional capacity for detection and verification of LMOs for regulatory compliance.	June 2013
	Improved coordination between institutions for Biosafety implementation	Clear roles and responsibilities are assigned to collaborating institutions	Dec 2011
Component 4.			
	A comprehensive public awareness and participation strategy on biosafety that is	A strategy for public awareness and participation in decision making related to	June 2011

	linked to the national environmental policy/program and Law on LMOs.	LMOs.	
	Publishing materials on biosafety in different media	Special educational materials for schools and colleges. Outreach materials for target groups.	March 2013
	Trainings, lectures, info days, public debates	General public will have enough information about safe use of modern biotechnology	Dec 2012
Component 5.			
	Cost effective pooling of regional experts and resources, cooperation between R & D institutions and regulatory bodies	Complete and operational database, networking and information sharing among both national and regional experts will strengthen Biosafety implementation in line with regional expertise	June 2013
Component 6.			
	Checks are in place to ensure that project implementation is according to workplan	Annual audit reports, Mid-term review, End of project evaluation	Annual Midterm- May 2012 End of project evaluation- June 2013

Appendix 7 - Costed M&E Work Plan Summary for Mongolia.

1. Monitoring Framework and Budget ¹

Objective / Outcome ²	Outcome / objective level indicator ³	Baseline Conditions ⁴	Mid point Target ⁵ (as relevant)	End of Project Target	Means of Verification ⁶	Monitoring / sampling (frequency / size) ⁷	Location / Group	Responsibility	Time frame ⁸	Budget (Object of expenditure & cost) ⁹
Component 1: Policy and legal aspects for development of a National Biosafety Program										
1.1. Review of Mongolian	-An analysis of what implementing	Law on LMO adopted in 2007	Biosafety Policy socialized	Having regulations and policy	Periodic Progress Reports (PPR)	Two times during the project	Decision makers, representativ	NEA, NCC	By the 1 st quarter of the second	Half-yearly reporting included in overall

¹ Detailed monitoring plan should be included in the M&E project section. This table is primarily intended to reflect how the outcome level indicators will be tracked to facilitate monitoring of **results** (as opposed to monitoring of project implementation progress). The implementation of the Results-based Monitoring Framework will be assessed at mid point and at end of project (through the Mid-Term review and Terminal Evaluation processes). The quality of M&E implementation will be rated with the Project Implementation Review (PIR). The contents of this table should be validated and agreed upon at the project inception meeting.

² All project outcomes should be included in this column. The objective here is to provide the means to monitor progress in achieving the results set for the life of the project. Goals and long term impact indicators should not be included in this section, but may be discussed in other sections of the project document and M&E plan.

³ Only key indicators should be included (not more than 2 or 3 per outcome). Appropriate selection of outcome indicators is essential to assess progress in achieving project results.

⁴ Please note that if no baseline information for a particular indicator exists it is difficult to justify the targets. Also, please note that baseline data should be collected during the project preparation phase (PPG). If essential baseline data is not complete at the time of Work Program entry (for FSP) or CEO approval (for MSPs) the end of the first year of project implementation is the deadline for collecting the necessary data. The plan for the collection of such baseline data should be added in the next section along with its associated cost.

⁵ The mid point target will be reviewed at the Mid-Term Review along with validation of other focal area Tracking Tools. It is acknowledged that mid-point targets may not be relevant to all projects or all project outcomes. Flexibility will be applied.

⁶ The means of verification is the source of data that the project team will use to track the indicator (e.g., if the indicator is “forest cover diversity”, the means of verification could be “field surveys data” and “satellite imagery). Reviewing of project reports alone is insufficient.

⁷ This column should describe for each indicator the size (e.g., whether entire protected area or only a fraction, or, for example, in the case of a survey, how many people would be covered). The frequency (e.g., once in the lifetime of the project, quarterly during the first year, yearly, etc.)

⁸ Expected date (month/year) in which the monitoring activity will take place

⁹ For example, 15 satellite images @ \$1,000 each = \$15,000, or 4 field sampling trips by 2 staff @ \$300 each= \$1,200

Appendix 7 - Costed M&E Work Plan

policy and legal framework with respect to implementation of the Law on LMO.	regulations are needed to make the Law on LMO (2007) operational.	No National Biosafety Program	and commented	needs analysis, Mongolia will be ready to draft relevant regulations, amend policy and therefore implement Law on LMOs adopted in 2007	to UNEP, Report on the Review results is available on MNET website (www.mne.gov.mn) NBC Meeting's Minutes	implementation, at the midterm review and at the end of the project	es of Competent authorities and line ministries		year	project management costs; midterm and final evaluations plus audit included under M&E
1.2 Gaps in national laws in relation to biosafety are identified and addressed	-Regulations to implement the Law on LMOs are prepared and linked to environmental governance. - Biosafety Program is developed and integrated into the Environmental Framework Law and NBF within national strategies	No regulations in implementation of Law on LMOs especially on procedures for the risk assessment, thus linkage to environmental governance National Biotechnology 2 nd Symposium held in 2009 and recommended to develop National Biosafety Program (NBP).	Related regulations on Implementation of Law on LMOs fully agreed and approved by NCC. By end of 2012, National Biosafety program developed and get approved	Biosafety regulations necessary for implementation of Law on LMOs will support Mongolia to fulfill its obligations under Cartagena protocol Integration of National Biosafety Program with National Environmental Framework Laws will enhance sustainable development	PPR, Official Registries of Executive Decrees and Ministerial Acts.	Two times during the project implementation, at the midterm review and at the end of the project.	Decision makers, representatives of Competent authorities and line ministries.	NEA, NCC and UNEP	By the end of the second year	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E

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Component 2: Capacity strengthening in human resource for implementation of a Biosafety Program										
2.1 Strengthened human resource in administration and decision making for implementation of biosafety program.	-Training for decision makers. Staff trained in administrative aspects of biosafety implementation, including risk assessment and risk management, decision making and risk communication.	Personnel from the NBC and other key Governmental institutions have limited training in biosafety Risk assessment concept on LMOs is new to Mongolia and lacks experience in decision making	Training programme and dates according to project detailed workplan	Involvement of the administrative staff of Government institutions will improve effectiveness for decision making towards sustainable development	PPR, Training and technical courses curricula and contents Summary reports of courses given, with participants list Reports of each training	At the end of the project	Universities, scientific institutions, community and NBC organizations	NEA	By the 1 st quarter of the 3 rd year	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
2.2 Co-ordinated decision making on LMOs	-Technical manuals are prepared.	No technical manuals exists in Mongolia, thus requires involvement from international expertise	Draft manuals	Having training materials, manuals in national language will enhance coordinated decision making on LMOs	PPR, Publication of Technical manual MNET and BCH websites	At the end of the project	Competent authorities, project partner scientific institutions, private companies	NEA	By the 1 st quarter of the 3 rd year	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
2.3 An effective mechanism for monitoring and	-Organizing training for enforcement and monitoring officials.	General Inspection Agency and General Customs Agency are	Guidelines are drafted	Trained and equipped staff from Law Enforcement and Monitoring	PPR, Training curricula and contents Report of each training	Two times during project implementation and midterm review	Representatives of government bodies and NGO's, as well a private	NEA, NCC	By the end of the 2 nd year	Half-yearly reporting included in overall project management costs;

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inspection to ensure compliance to Law on LMOs		operating for monitoring and inspection, however experts with sufficient knowledge on LMOs are lacking		Agencies will greatly enhance implementation of Biosafety, thus ensuring effective mechanism			companies			midterm and final evaluations plus audit included under M&E
Component 3: Capacity strengthening at institutions for implementation of a Biosafety Program										
3.1 Strengthened institutional arrangement for effective implementation of a Biosafety Program	- Key institutions to be strengthened are identified. - Strengthening the reference laboratory	Few Laboratories e.g. of Ministries of Health: Food, Agriculture & Light Industries have equipment to detect the presence of LMOs in crops and food, and none is devoted wholly to this activity. Most of the Labs belong to the private sector.	Identification of responsible government structure	Identification of key institutions to be strengthened will enhance effectiveness of capacity building	PRR, Report on situation analysis of biotech laboratories and their infrastructure PPR, Document containing plan for reference laboratories	Two times during project implementation and midterm review	Decision makers, representatives of Competent authorities and line ministries.	NEA, NCC and UNEP	By the 3 rd quarter of first year of the project	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
3.2 Enhanced institutional infrastructure to facilitate operation of the Biosafety	-Training for technicians and researchers in LMO detection; Strengthening	Institutional and expert level capacity is sufficient particularly on detection and	Inventory of enhanced institutional infrastructure to facilitate operation of	Training of experts on detection and verification of LMOs will improve professional	PRR, Training curricula and contents Reports of each training Methodology for sampling	Two times during project implementation and midterm review	Decision makers, representatives of Competent authorities, Scientific	NEA, NCC and UNEP	By the 2 nd quarter of last year of the project	Half-yearly reporting included in overall project management costs; midterm

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Program	institutional capacity for detection and verification of LMOs for regulatory compliance.	verification of LMOs	the Biosafety Program	capacity of relevant institutions	and detection of LMOs		community and line ministries.			and final evaluations plus audit included under M&E
3.3 Improved coordination between institutions for Biosafety implementation	- Setting clear roles and responsibilities by MoU between collaborating institutions	Absence of professional institutional, e.g. Labs, coordination for detection and verification of LMO's	Regulation draft about Clear roles and responsibilities are assigned to collaborating institutions	Effective coordination among professional institutions will improve Biosafety implementation	PRR, Signed National Biosafety MoU	Two times during project implementation and midterm review	Decision makers, representatives of Competent authorities and line ministries.	NEA, NCC and UNEP	By the end of first year of the project	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
Component 4: Public awareness and public participation in matters related to Living Modified Organisms (LMOs)										
4.1 A comprehensive public awareness and participation strategy on biosafety that is linked to the national environmental policy/program and Law on LMOs.	-A strategy for public awareness and participation in decision making related to LMOs.	Public participation in decision making on biosafety policy has been very limited. No public awareness strategy in place	Draft of public awareness guidance Identification of government responsible structure	Strategy on Public awareness will enhance participation of general public into decision making and implementation of Biosafety	PRR, Strategy for Public Awareness published	Two times during project implementation and midterm review Two times during project implementation and midterm review	National consultants, NGO's	Line ministries NEA	By the 3 rd quarter of the first year of the project	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
4.2 Publishing materials on biosafety in	-Special educational materials for schools and colleges	No educational and awareness materials as well as means	Educational and public outreach materials are drafted	Educational and public outreach materials for target groups	PRR, Outreach materials made available on	Two times during project implementation and midterm review	Competent authorities, project partner scientific	NEA, NCC and UNEP	By the 1 st quarter of the last year	Half-yearly reporting included in overall project

Appendix 7 - Costed M&E Work Plan

different media	<ul style="list-style-type: none"> - Outreach materials for target groups - A regularly updated nnBCH as a platform for public communication and participation 	for communication for schools, colleges and general public			MNET website BCH and MNET website Agreements with providers of information Public opinion polls show an increase in the percentage of people who knows about biotechnology and biosafety as a result of the communication strategy		institutions, private companies			management costs; midterm and final evaluations plus audit included under M&E
4.3 Training lectures, info days, public debates	<ul style="list-style-type: none"> -Public lectures and trainings -International Day of Biodiversity 	No public information available on safe use of modern biotechnology	The communication strategy on LMOs and biosafety is being executed at the national level	Executing the communication strategy allows reduce the ignorance related to LMOs and Biosafety	Agreements with lecturer and PRR	One time during project implementation, midterm review	Competent authorities, project partner scientific institutions, private companies	NEA, NCC and UNEP	By the end of the 2 nd year of the project	Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E
Component 5: Establishment of a National and Regional networking system for Biosafety										
5.1 Cost effective pooling of regional experts and	-A database on national experts in crop science and	Database about experts, institutions and projects related to	Making database on trained national experts in	Complete and operational database, networking and	National Database and National & Regional Network	At the end of the project	Decision makers, representatives of Competent	NEA, NCC and UNEP	By the 2 nd quarter of the last year	Half-yearly reporting included in overall project management

Appendix 7 - Costed M&E Work Plan

resources, cooperation between R&D institutions and regulatory bodies	biotechnology · -A network among national and regional crop science and biosafety experts.	biosafety is outdated and incomplete. No working network system for Biosafety at National and Regional level	biotechnology Organizing network between national and regional experts through regulations of the collaborating institutions	information sharing among both national and regional experts will strengthen Biosafety implementation in line with regional expertise	Report on Lessons learned on other Biosafety Implementation projects	At the end of the project	authorities, Scientific community and line ministries.	NEA, NCC		costs; midterm and final evaluations plus audit included under M&E
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2. Cost of acquisition of essential baseline data during first year of project¹⁰: Will be covered under component A (activity A2, *Collection of data and conduct baseline survey*)

3. Cost of project inception workshop (please include proposed location, number of participants): 3500 USD, Ulaanbaatar, 100 participants. This is captured as part of Component 1 and reflected under Activity A (appendices 1 -2)

4. Cost of Mid-Term Review/Evaluation: 4,000 USD from GEF funds and 2000 USD from governmental funds

5. Cost of Terminal Evaluation: 8000 USD

6. Any additional M&E costs¹¹: audit 4000 USD (1000 for the first two years and 2000 USD for final audit)

Total costs (this figure should be included in the consolidated project budget and in the Request for CEO endorsement/approval in the M&E budget line): 18, 000 USD [GEF cost: 16,000; cofinance: \$2,000]

¹⁰ Refer to detailed M&E work plan for additional information on what data will be collected and what activities will be undertaken. The data to be collected needs to be consistent with the indicators included in the table above.

¹¹ Please describe the activity and included the expected cost. Additional M&E costs could be related to the following: (i) Additional reviews and evaluation processes for phased and tranced projects; (ii) application & validation of tracking tools.

Appendix 8 – Reporting requirements

Appendix 8 – Reporting requirements	Due date	Format appended to legal instrument as	Responsibility of
Procurement plan (goods and services)	2 weeks before project inception meeting	N/A	National Project Coordinator
Inception Report	1 month after project inception meeting	N/A	National Project Coordinator
Expenditure report accompanied by explanatory notes	Quarterly on or before 30 April, 31 July, 31 October, 31 January	Annex 11	National Project Coordinator
Cash Advance request and details of anticipated disbursements	Quarterly or when required	Annex 7B	National Project Coordinator
Progress report	Half-yearly on or before 31 January	Annex 8	National Project Coordinator
Audited report for expenditures for year ending 31 December	Yearly on or before 30 June	N/A	Executing partner to contract firm
Inventory of non-expendable equipment	Yearly on or before 31 January	Annex 6	National Project Coordinator
Co-financing report	Yearly on or before 31 July	Annex 12	National Project Coordinator
Project implementation review (PIR) report	Yearly on or before 31 August	Annex 9	Project Manager, TM, DGEF FMO
Minutes of steering committee meetings	Yearly (or as relevant)	N/A	National Project Coordinator
Mission reports and “aide memoire” for executing agency	Within 2 weeks of return	N/A	TM, DGEF FMO
Final report	2 months of project completion date	Annex 10	National Project Coordinator
Final inventory of non-expendable equipment		Annex 9	National Project Coordinator
Equipment transfer letter		Annex 10	National Project Coordinator
Final expenditure statement	3 months of project completion date	Annex 11	National Project Coordinator
Mid-term review or Mid-term evaluation	Midway though project	N/A	TM or EOU (as relevant)
Final audited report for expenditures of project	6 months of project completion date	N/A	Executing partner to contract firm
Independent terminal evaluation report	6 months of project completion date	Appendix 9 to Annex 1	EOU

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

Terminal Evaluation of the UNEP GEF project "Capacity building for Biosafety Implementation for Mongolia"

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

The objective was stated as: The Overall Goal of the project is that by the end of 2013, Mongolia has established and operationalised Mongolia's National Biosafety Framework, to assist Mongolia to comply with its obligations as a Party to the Cartagena Protocol on Biosafety so as to be able to undertake safe use of modern biotechnology for sustainable development.

The indicators given in the project document for this stated objective were:

As listed in Results Framework (appendix 4) to the project document.

Relevance to GEF Programmes

The project is in line with: GEF IV Strategic Programme 6 (BD-SP6) - Biosafety

Executing Arrangements

The implementing agency(ies) for this project is UNEP and the national executing agency is the Ministry of Nature, Environment and Tourism, National Biosafety Committee.

Project Activities

The project comprised activities grouped in 5 components in the addition to the project management and Monitoring and evaluation.

Budget

At project inception the following budget prepared:

	<u>GEF</u>	<u>Co-funding</u>
Project preparation funds:	\$	
GEF Medium Size Grant	\$379300	\$335000
TOTAL (including project preparation funds)	\$ 379300	\$335000

Co-funding sources:

- | | | |
|----|--------------------|------------------|
| 1) | Government in-kind | \$ 335000 |
| 2) | Government in cash | |

Anticipated:

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

APPENDIX 9 TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. Did the project help to build awareness among key target audiences (international conventions and initiatives, national level policy-makers, regional and local policy-makers, resource managers and practitioners).
2. Did the outputs of the project articulate options and recommendations for mainstreaming of biosafety into the national policies/plans? Were these options and recommendations used? If so by whom?
3. To what extent did the project outputs produced have the weight of scientific authority and credibility necessary to influence policy makers and other key audiences?

Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/DGEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the Steering Group meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the project web-site.
2. Interviews with project management and technical support including members of the National Coordination Committee
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an email questionnaire.
4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with Biodiversity (Biosafety) -related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

5. Field visits¹ to project staff

Key Evaluation principles.

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

2. Project Ratings

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:²

A. **Attainment of objectives and planned results:**

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness:* Evaluate how, and to what extent, the stated project objectives have been met, taking into account the "achievement indicators". The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by biodiversity indicators in their national planning and decision-making. In particular:
 - Evaluate the immediate impact of the project on Biodiversity (Biosafety) monitoring and in national planning and decision-making and international understanding and use of biodiversity indicators.
 - As far as possible, also assess the potential longer-term impacts considering that the evaluation is taking place upon completion of the project and that longer term impact is expected to be seen in a few years time. Frame recommendations to enhance future project impact in this context. Which will be the major 'channels' for longer term impact from the project at the national and international scales?
- *Relevance:* In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the Cartagena Protocol on Biosafety and the Convention on Biological Diversity and the wider portfolio of the GEF.
- *Efficiency:* Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and / or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. **Sustainability:**

¹ Evaluators should make a brief courtesy call to GEF Country Focal points during field visits if at all possible.

² However, the views and comments expressed by the evaluator need not be restricted to these items.

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources.* Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes of the project dependent on continued financial support?
- *Socio-political:* Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance.* To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes.

C. **Achievement of outputs and activities:**

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

D. **Catalytic Role**

Replication and catalysis. What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:

- Do the recommendations for management of {project} coming from the country studies have the potential for application in other countries and locations?

If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

E. Assessment monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in *Annex 4* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.
- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.
- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

F. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

G. Country ownership / drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

information that catalyzed action in participating countries to improve decisions relating to the conservation and management of the focal ecosystem in each country.

- Assess the level of country commitment to the generation and use of biodiversity indicators for decision-making during and after the project, including in regional and international fora.

H. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

I. Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project’s lifetime. Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co- financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project (table attached in *Annex 1* to this Appendix Co- financing and leveraged resources).

J. Implementation approach:

This includes an analysis of the project’s management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: Steering Group; (2) day to day project management in each of the country executing agencies and the Ministry of Environment, Forest and Tourism.

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K. UNEP Supervision and Backstopping

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

3. Evaluation report format and review procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. *The ratings will be presented in the format of a table* with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

- positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should ‘stand alone’ and should:
- Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.
- Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.*
- A high quality recommendation is an actionable proposal that is:
1. Feasible to implement within the timeframe and resources available
 2. Commensurate with the available capacities of project team and partners
 3. Specific in terms of who would do what and when
 4. Contains results-based language (i.e. a measurable performance target)
 5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.
- viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:
1. The Evaluation Terms of Reference,
 2. A list of interviewees, and evaluation timeline
 3. A list of documents reviewed / consulted
 4. Summary co-finance information and a statement of project expenditure by activity
 5. The expertise of the evaluation team.

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP EOU.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP EOU collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

4. Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,
UNEP Evaluation and Oversight Unit
P.O. Box 30552-00100
Nairobi, Kenya

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Tel.: +(254-20)762-4181
Fax: +(254-20)762-3158
Email: Segbedzi.Norgbey@unep.org

With a copy to:

Maryam Niamir-Fuller,
Director
UNEP/Division of GEF Coordination
P.O. Box 30552-00100
Nairobi, Kenya
Tel: +(254-20)762-4166
Fax: +(254-20)762-4041/2
Email: Maryam.Niamir-Fuller@unep.org

The Final evaluation will also be copied to the following GEF National Focal Points.

Mr. Altangerel Enkhbat
Director,
Division of the Ecological Cleaning Technology and Science
Tel: 976-51-266288
Fax: 976-51-266588
email: aenkhbat@mbox.mn

The final evaluation report will be published on the Evaluation and Oversight Unit's web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

5. **Resources and schedule of the evaluation**

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation and Oversight Unit, UNEP. The contract for the evaluator will begin on **ddmmyy** and end on **ddmmyyy** (**#** days) spread over **#** weeks (**#** days of travel, to **{country(ies)}**, and **#** days desk study). The evaluator will submit a draft report on **ddmmyyy** to UNEP/EOU, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by **ddmmyyy** after which, the consultant will submit the final report no later than **ddmmyyy**.

The evaluator will after an initial telephone briefing with EOU and UNEP/GEF conduct initial desk review work and later travel to **{country(ies)}** and meet with project staff at the beginning of the evaluation. Furthermore, the evaluator is expected to travel to **{country(ies)}** and meet with representatives of the project executing agencies and the intended users of project's outputs.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an international expert in **{ }** with a sound understanding of **{ }** issues. The consultant should have the following minimum qualifications: (i) experience in **{ }** issues; (ii) experience with management and implementation of **{ }** projects and in particular with **{ }** targeted at policy-influence and decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Knowledge of **{specify language(s)}** is an advantage. Fluency in oral and written English is a must.

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6. Schedule Of Payment

The consultant shall select one of the following two contract options:

Lump-Sum Option

The evaluator will receive an initial payment of 30% of the total amount due upon signature of the contract. A further 30% will be paid upon submission of the draft report. A final payment of 40% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and **is inclusive** of all expenses such as travel, accommodation and incidental expenses.

Fee-only Option

The evaluator will receive an initial payment of 40% of the total amount due upon signature of the contract. Final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is **NOT** inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

Annex 1 to Appendix 9: OVERALL RATINGS TABLE

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Ecological		
C. Achievement of outputs and activities		
D. Monitoring and Evaluation (overall rating) Sub criteria (below)		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
E. Catalytic Role		
F. Preparation and readiness		
G. Country ownership / drivenness		
H. Stakeholders involvement		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		

RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on 'M&E Design', 'M&E Plan Implementation' and 'Budgeting and Funding for M&E activities' as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.
Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

All other ratings will be on the GEF six point scale.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

Annex 2 to Appendix 9: Co-financing and Leveraged Resources

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
– Grants										
– Loans/Concessional (compared to market rate)										
– Credits										
– Equity investments										
– In-kind support										
– Other (*)										
–										
–										
–										
–										
–										
Totals										

Co-financing (basic data to be supplied to the consultant for verification)

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)

Annex 3 to Appendix 9

Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EOU Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP EOU additional Report Quality Criteria	UNEP EOU Assessment	Rating
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

GEF Quality of the MTE report = $0.3*(A + B) + 0.1*(C+D+E+F)$

EOU assessment of MTE report = $0.3*(G + H) + 0.1*(I+J+K+L)$

Combined quality Rating = $(2* \text{'GEF EO' rating} + \text{EOU rating})/3$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

1A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

*Annex 4 to Appendix 9****GEF Minimum requirements for M&E******Minimum Requirement 1: Project Design of M&E³***

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
 - a description of the problem to address
 - indicator data
 - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

³

<http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

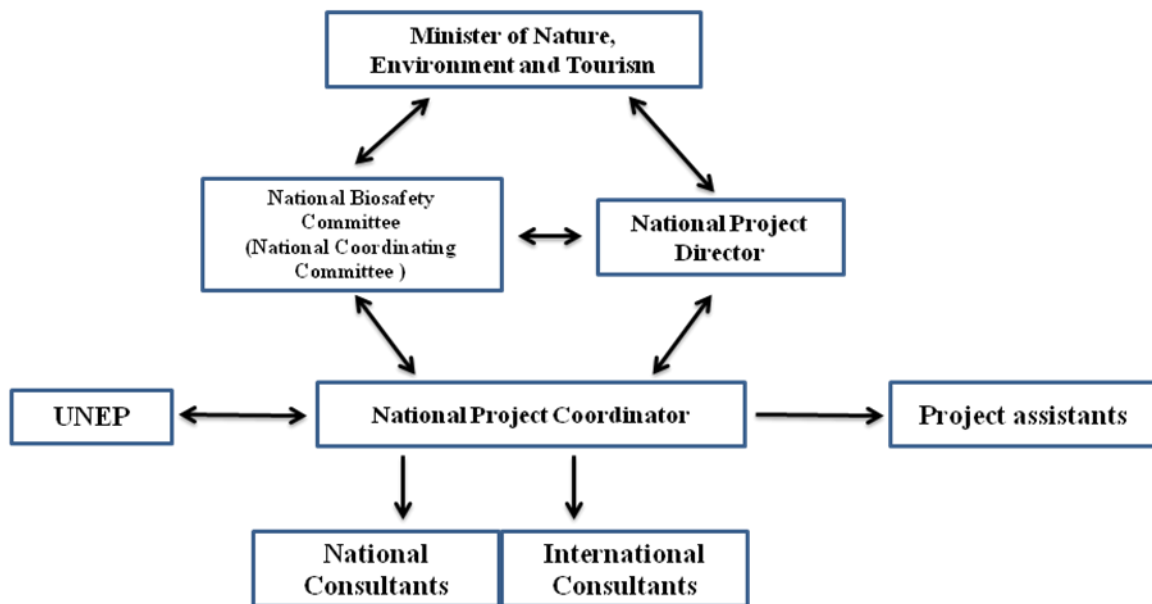
1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

Annex 5 to Appendix 9

List of intended additional recipients for the Terminal Evaluation (to be completed by the IA Task Manager)

Name	Affiliation	Email
Aaron Zazueta	GEF Evaluation Office	azazueta@thegef.org
Government Officials		
GEF Focal Point(s)		
Executing Agency		
Implementing Agency		
Carmen Tavera	UNEP DGEF Quality Assurance Officer	

Appendix 10: Decision-making flowchart and organizational chart



APPENDIX 11 – TERMS OF REFERENCE

Terms and Reference for:

- **National Executing Agency (NEA)**
- **National Biosafety Committee (National Coordinating Committee)**
- **National Project Director (NPD)**
- **National Project Coordinator (NPC)**
- **National Project Assistant(s)**

a) The **National Executing Agency (NEA)**, in addition to other duties given to it by the National Government, will:

In case of Mongolia National Coordinating Committee (NCC) is the National Biosafety Committee (NBC)

- Appoint a full time National Project Coordinator (NPC), taking into account the sustainability of national biosafety activities on completion of the National Project;
- Provide the necessary scientific, technical, financial and administrative support to the work of the NCC, working in close co-operation with relevant government agencies, the scientific community and the public and private sectors.

b) The **National Coordinating Committee (NCC) and the National Project Director (NPD)** will work together as a team on management of the National Project and meet at least on a quarterly basis with the following duties:

Develop a common understanding of what is needed to expedite the implementation of the National Biosafety Framework;

- Mobilize necessary expertise, as needed for the proper execution of the National Project outputs;
- Provide overall policy advice on the implementation of the National Project;
- Review and advise on the main outputs of the National Project;
- Ensure that information on the execution of the National Project as well as the National Project outputs is brought to the attention of local and national authorities for follow up;
- Assist in mobilizing available data and ensure a constant information flow between all concerned parties;

- Allow for effective communication and decision-making between the National Project Coordinator and other actors;

c) The **National Project Coordinator (NPC)** will carry out the following tasks

The National Project Coordinator (NPC) will act as the secretary of the NCC

- Coordinate, manage and monitor the execution of the National Biosafety Project conducted by the local and international experts, consultants, sub-contractors and cooperating partners;
- Organize National Coordinating Committee meetings;
- Update the detailed work plan and propose adjustments within the agreed a budget as needed and under the guidance of NCC;
- Ensure effective communication with the relevant authorities, institutions and government departments in close collaboration with the National Coordinating Committee;
- Establish and maintain links with other related national and international programmes and National Projects;
- Prepare and oversee the development of Terms of Reference for National Project components, consultants and experts;
- Organize, contract and manage the consultants and experts, and supervise their performance;
- Coordinate and oversee the preparation of the outputs of the NBF;
- Manage the National Project finance, oversee overall resource allocation and where relevant submit proposals for budget revisions to the NCC and UNEP;
- Manage the overall National Project ensuring that all the activities are carried out on time and within budget to achieve the stated outputs;
- Coordinate the work of all stakeholders under the guidance of the NEA and the NCC and in consultation with the UNEP Global National Project Team;
- Ensure that information is available to the NCC about all Government, private and public sector activities, which impact on any use of modern biotechnology;
- Prepare and submit to UNEP, regular progress and financial reports

Qualifications

Education: Post-graduate education level (preferable academic background: genetics, natural science)

- Experience: Must have an experience in relevant area
- Experience in providing policy advise and programme management at the ministerial and local levels
- Demonstrated management experience and organizational capacity
- Skills: Good interpersonal and communication skills
- Basic computer skills
- Languages: Fluent in Mongolian and English

d) The **Project Assistants (PA)** will carry out the following tasks

- Assist the NPC in the implementation of the National Biosafety Project conducted by the local and international experts, consultants, sub-contractors and co-operating partners;
- Assist with the organization of National Coordinating Committee meetings;
- Assist with preparation detailed work plan and budget under the guidance of the NPC;
- Support the NPC in maintaining effective communication with the relevant authorities, institutions and government departments;
- Inform the NPC of other related national and international programmes and National Projects;
- Assist in drafting Terms of Reference for National Project components, consultants and experts;
- Assist with the identification of the consultants and experts, and supervise their performance;
- Assist in overseeing the preparation of the outputs of the NBF;
- Assist the National Project Finance Officer providing information as needed;
- Assist the NPC ensuring that all the activities are carried out on time and within budget to achieve the stated outputs;
- Assist in providing information to the NCC about all Government, private and public sector activities, which impact on any use of modern biotechnology;
- Assist the NPC in the preparation and submission to UNEP and the NCC, of regular progress and financial reports
- Assist with the preparation of a project monitoring and evaluation plan
- Assist with identification of appropriate project indicators able to reflect progress of activities as well as impact

- Assist with capturing and incorporating recommendations from NCC meetings into project execution and monitoring and evaluation plan
- Assisting with providing information as needed to carry out any monitoring and evaluation activity as part of the UNEP's internal guidelines



**MINISTRY OF NATURE,
ENVIRONMENT AND TOURISM
OF MONGOLIA**

15160 Zasgiin gazriin II bair, Negdsen undestnii gudamj 5/2,
Chingeltei duureg, Ulaanbaatar, MONGOLIA
Tel: (976-51) 26-21-71, Fax: (976-11) 26-62-86,
E-mail: monenv@mail.mn, <http://www.mne.mn>

Date 2010. 11.03
Ref. 1/4021

To: Maryam Niamir-Fuller
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination
UNEP, PO Box 30552, Nairobi, Kenya

Subject: Co-finance commitment for the

“Capacity building for Biosafety Implementation for Mongolia” project.

Dear Maryam Niamir-Fuller,

On behalf of the Ministry of Nature Environment and Tourism, I am hereby confirming our commitment to provide total co-finance of USD 335 000 USD in-kind co-finance, and request that this be reflected in the project proposal to be submitted to the GEF for review and CEO endorsement.

Yours sincerely

Minister,
Luimed GANSUKH
MINISTRY OF NATURE ENVIRONMENT
AND TOURISM, MONGOLIA



**MINISTRY OF NATURE,
ENVIRONMENT AND TOURISM
OF MONGOLIA**

15160 Zasgiin gazriin II bair, Negdsen undestnii gudamj 5/2,
Chingeltei duureg, Ulaanbaatar, MONGOLIA
Tel: (976-51) 26-21-71, Fax: (976-11) 26-62-86,
E-mail: monenv@mail.mn, <http://www.mne.mn>

Date 23.10.2009
Ref. 4/4390

**TO: DR MARYAM NIAMIR-FULLER
DIRECTOR, DIVISION FOR GEF COORDINATION
UNITED NATIONS ENVIRONMENT PROGRAMME,
NAIROBI, KENYA.**

Subject: Endorsement for Support for Capacity Building in Biosafety Implementation for Mongolia

In my capacity as GEF Operational Focal Point for Mongolia, I confirm that the above project proposal (a) is in accordance with the government's national priorities and the commitments made by Mongolia under the relevant global environmental conventions and (b) has been discussed with relevant stakeholders, including the global environmental convention focal points, in accordance with GEF's policy on public involvement.

Accordingly, I am pleased to endorse the preparation of the above project proposal with the support of UNEP. If approved, the proposal will be prepared and implemented by the Ministry of Nature, Environment and Tourism. Further, I request UNEP to provide a copy of the project document for re-endorsement before it is submitted to the GEF Secretariat for CEO endorsement.

I understand that the total GEF financing being requested for this project is \$447,000 inclusive of project preparation grant (PPG), if any, and Agency fee (10%) to UNEP for project cycle management services associated with this project.

I consent to the utilization of the following indicative allocations available to Mongolia, in GEF-4 under the GEF Resource Allocation Framework to cover the GEF project preparation and implementation as well as the associated Agency fees for this project.

The original project proposal included large public awareness component which now excluded due to available GEF-4 funds. We would like to ensure that excluded components of this project will be requested for further funding under GEF-5.

Biodiversity: \$447,000

Sincerely,

**A. ENKHBAT,
GEF FOCAL POINT**

Appendix 14. Draft procurement plan

Equipment to be purchased	Purchase date	Cost (\$)		Responsible	Location
		GEF	Co-Financing		
Laboratory supplies - GMO detection kits, pipettes, gloves, and filters	Second and third quarter of the first year of the project	5000	7500	Project management unit	Capacity Building for Biosafety Implementation in Mongolia, MNET
Laboratory equipment – Real Time - PCR machine	Second and third quarter of the first year of the project	41500	18000	Project management unit	Capacity Building for Biosafety Implementation in Mongolia, MNET



Applying the GEF Tracking Tools in GEF-4

Objective: To measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area. The following targets and indicators are being tracked for all GEF-4 projects submitted under Strategic Objective Three and the associated Strategic Programs.

Outcome Indicators for Strategic Objective Three and Associated Strategic Programs

Strategic Objective	Expected Long-Term Impacts	Indicators
To safeguard biodiversity	<p>Potential risks posed to biodiversity from living modified organisms are avoided or mitigated</p> <p>Potential risks posed to biodiversity from invasive alien species are avoided or mitigated</p>	<p><u>Biosafety:</u></p> <ul style="list-style-type: none"> • Each request for intentional transboundary movement or domestic use is processed through a regulatory and administrative framework aligned with the CPB • For each request for intentional transboundary movement or domestic use risk assessments carried out in accordance with the CPB • For each request for intentional transboundary movement or domestic use, measures and strategies to manage risks established <p><u>Invasive Alien Species:</u></p> <ul style="list-style-type: none"> • Number of point-of-entry detections • Number of early eradications • Number of successful prevention and control programs
Strategic Programs for GEF-4	Expected Outcomes	Indicators
6. Building capacity for the implementation of the Cartagena Protocol on Biosafety	<ul style="list-style-type: none"> • Operational national biosafety decision-making systems that contribute to the safe use of biotechnology in conformity with the provisions and decisions of the CPB 	<ul style="list-style-type: none"> • Percentage of participating countries with regulatory and policy framework in place • Percentage of participating countries that have established a National Coordination Mechanism • Percentage of participating countries with administrative frameworks in place • Percentage of participating countries with risk assessment and risk management strategies for the safe transfer, handling and use of living modified organisms (LMOs), specifically focused on transboundary movements • Percentage of participating countries that have carried out risk assessments • Percentage of participating countries that fully participate and share information on the Biosafety Clearing House (BCH)

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Strategic Programs for GEF-4	Expected Outcomes	Indicators
7. Prevention, control, and management of invasive alien species (IAS)	<ul style="list-style-type: none"> Operational IAS management frameworks that mitigate impact of IAS on biodiversity and ecosystem services 	<ul style="list-style-type: none"> National coordination mechanisms to assist with the design and implementation of national strategies for IAS National strategies that inform policies, legislation, regulations, and management Regulatory and policy frameworks for IAS in place Point of detection mechanisms in place Incorporation of environmental considerations with regards to IAS into existing risk assessment procedures Identification and management of priority pathways for invasions

Rationale: Project data from the GEF-4 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the biodiversity focal area.

Structure of Tracking Tool: Each tracking tool requests background and coverage information on the project and specific information required to track the indicator sets listed above.

Guidance in Applying GEF Tracking Tools: GEF tracking tools are applied three times: at CEO endorsement¹, at project mid-term, and at project completion.

In GEF-4, we expect that projects will be fully aligned with specific Strategic Objectives and support Strategic Programs under each Strategic Objective hence only one tracking tool will need to be completed.

On *very rare occasions*, projects make substantive contributions to more than one strategic objective. In these instances, the tracking tools for the relevant strategic objectives should be applied. It is important to keep in mind that the objective is to capture the full range of a project's contributions to delivering on the targets set for each of the strategic priorities. The GEF Implementing Agency/Executing Agency will guide the project teams in the choice of the tracking tools. Please submit all information on a single project as one package (even where more than one tracking tool is applied).

Multi-country projects may face unique circumstances in applying the tracking tools. The GEF requests that multi-country projects complete one tracking tool per country involved in the project, based on the project circumstances and activities in each respective country. The completed forms for each country should then be submitted as one package to the GEF. Global projects which do not have a country focus, but for which the tracking tool is applicable, should complete the tracking tool as comprehensively as possible.

The tracking tool does not substitute or replace project level M&E processes, or GEF Implementing Agencies'/Executing Agencies' own monitoring processes. Project managers, consultants and project evaluators will likely be the most appropriate individuals to complete the

¹ For Medium Sized Projects when they are submitted for CEO approval.

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Tracking Tool, in collaboration with other members of the project team, since they would be most knowledgeable about the project.

Submission: The finalized tracking tool will be cleared by the GEF Implementing Agencies and Executing Agencies before submission. The tracking tool is to be submitted to the GEF Secretariat at three points:

- 1.) With the project document at CEO endorsement²;
- 2.) Within 3 months of completion of the project's mid-term evaluation or report; and
- 3.) With the project's terminal evaluation or final completion report, and no later than 6 months after project closure.

² For Medium Sized Projects when they are submitted for CEO approval.

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

I. Project General Information

1. Project Name: **Capacity building for Biosafety Implementation for Mongolia**
2. Project Type (MSP or FSP): **MSP**
3. Project ID (GEF): **4010**
4. Project ID (IA):
5. Implementing Agency: **UNEP**
6. Country(ies): **Mongolia**

Name of reviewers completing tracking tool and completion dates:

	Name	Title	Agency/Institution
Work Program Inclusion	Dr. BAYARKHUU Sandagdorj	National Project Director	Ministry of Nature Environment and Tourism, Mongolia
Project Mid-term			
Final Evaluation/project completion			

7. Project duration: *Planned* 3 years *Actual* _____ years

8. Lead Project Executing Agency (ies): **Ministry of Nature Environment and Tourism; National Biosafety Committee of Mongolia**

9. GEF Strategic Program:

☒ **Building capacity for the implementation of the Cartagena Protocol on Biosafety (SP 6)**

Strategic Program 6: Building capacity for the implementation of the Cartagena Protocol on Biosafety Tracking Tool Guidance Note

Purpose of the Tracking Tool

The Biosafety Tracking Tool has been developed to help track and monitor progress in the achievement of the primary outcome of Strategic Program Six of the GEF-4 Biodiversity Strategy: “Operational national biosafety decision-making systems that contribute to the safe use of modern biotechnology in conformity with the provisions and decisions of the CPB.” This outcome will be achieved by building capacity to implement the CPB and takes into account the guidance from the CPB and lessons and experiences emerging from the GEF biosafety portfolio. Priority is given to activities for the implementation of the CPB that are specified in the COP guidance to the GEF with respect to biosafety, in particular the key elements in the *Updated Action Plan for Building Capacities for the Effective Implementation of the CPB*, agreed to at the third COP serving as the Meeting of the Parties to the CPB (COP-MOP-3), and identified in a country’s stock-taking analysis. The complete list of activities to be supported under this strategic objective can be found in the biosafety strategy document at:

http://gefweb.org/Documents/Council_Documents/GEF_30/documents/C.30.8.Rev.1StrategyforFinancingBiosafety.pdf

Guidance on Applying the Biosafety Tracking Tool

The Tracking Tool contains a set of questions that have been designed to be easily answered by project staff and project evaluators. It depicts a best-case scenario of the required components of a fully operational biosafety framework, and, within each component, a continuum of progress towards a biosafety framework that is fully effective.

As with the other tracking tools applied in the GEF biodiversity portfolio, the application of the tool is meant to facilitate an iterative process whereby the project staff and project evaluators carefully discuss each question about the biosafety framework to arrive at a carefully considered assessment, and in doing so, identify concrete steps forward for improvement. In most cases, a group of project staff, GEF agency staff, (and the project evaluators in the case of the application of the tool at the mid-term and final evaluation) should be involved in answering the questions in the Tracking Tool.

When the assessment is undertaken at the mid-term and the final evaluation, we recommend that some of the same team members who undertook previous assessments be involved to provide continuity of analysis. Where this is not possible the information provided by previous assessors in the comments section of the Tracking Tool will be particularly valuable in guiding the assessment and ensuring consistency in the evaluation being made.

Structure and content of the Tracking Tool

The Tracking Tool addresses eight main issues in one assessment form:

- 1) Biosafety Policy;
- 2) Biosafety Regulatory Regime;
- 3) Administrative System;
- 4) Risk Assessment and Decision-making;
- 5) Follow-up and Monitoring;

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

- 6) Public awareness;
- 7) Education; and
- 8) Participation

Assessment Form: The assessment is structured around eight (8) questions presented in table format which includes three columns for recording details of the assessment, **all of which should be completed.**

Questions and scores:

The assessment is made by assigning a simple score ranging between 0 (poor) to 4 (excellent) in response to a series of eight questions that measure progress in the eight main issues listed above: 1) Biosafety Policy; 2) Biosafety Regulatory Regime; 3) Administrative System; 4) Risk Assessment and Decision-making; 5) Follow-up and Monitoring; 6) Public awareness; 7) Education; and 8) Participation.

Five alternative answers are provided for each question to help assessors to make judgments as to the level of score given. This is, inevitably, an approximate process and there will be situations in which none of the five alternative answers appear to fit the project conditions very precisely. We ask that you choose the one answer that is nearest and use the comment/explanation section to elaborate. The maximum score from the eight main questions is 32. A final total of the score from completing the assessment form can be calculated as a percentage of 32.

The whole concept of “scoring” progress is however fraught with difficulties and possibilities for distortion. The current system assumes, for example, that all the questions cover issues of equal weight, whereas this may not necessarily be the case. Scores will therefore provide a better assessment of effectiveness if calculated as a percentage for each of the elements of a biosafety framework.

Most importantly, the assessment, when applied over time in the context of one project, allows us to gauge progress in achieving the strategic program’s expected outcome. GEF will use this information and subsequent analysis in assessing and better understanding the design of biosafety projects, the strategic program itself, and the tracking tool as a means to measure progress.

Comment/explanation:

The **comment/explanation** box next to each question score allows for *qualitative judgments to be explained* in more detail. This could range from local staff knowledge (in many cases, staff knowledge will be the most informed and reliable source of knowledge), a reference document, monitoring results or external studies and assessments – the point being to give anyone reading the report an idea of why the assessment was made.

It is **very important** that this box be completed – it can provide greater confidence in the results of the assessment by making the basis of decision-making more transparent. More importantly, it provides a reference point and information for local staff in the future. This column also allows for *comments*, such as why a particular question was not answered when completing the questionnaire.

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Next Steps:

For each question respondents are also asked to identify any intended actions that will improve performance of the biosafety framework.

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Strategic Program 6: Building capacity for the implementation of the Cartagena Protocol on Biosafety Tracking Tool

Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
Biosafety Policy	<i>Q1) Has a biosafety policy been developed and is it being fully implemented?</i>			
	<i>Response Selection</i>			
	A stand alone biosafety policy does not exist	0		
	A stand alone biosafety policy has been produced	1		
	A stand alone biosafety policy has been produced and has been formally adopted by the government	2	In 2007, Law on LMO has been adopted by the Parliament which expresses basic biosafety policy. In 2008, National Biosafety Committee was established	Following the adoption of the Law on LMO, certain rules and regulations should be developed and implementation mechanism should be formally institutionalized
	A legally approved biosafety strategy has been incorporated into broader sectoral policies (e.g. agriculture, biotechnology, science and technology, health, etc) and is being enforced	3		
	A biosafety policy is implemented through a multi-year Action Plan that involves more than one sector	4		

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	of Government or society.			
Biosafety Regulatory Regime	<i>Q2) Has a regulatory regime been developed and does it have full legal force?</i>			
	<i>Response Selection</i>			
	A regulatory regime has not been developed	0		
	Interim measures for biosafety decision making, including some modification of existing regulations, have been put in place.	1		
	A regulatory regime has been developed and adopted but does not yet have full legal force	2	In 2007, Law on LMO has been adopted by the Parliament which has an authority for regulatory regime. However, certain rules and regulations that is needed for effective implementation of the Law on LMO is lacking and implementation mechanism is also lacking	Safety Rules for Use/Handling/Transport/Labeling/Storage/Processing of LMO; Identification of Border Check Points for LMOs and derivatives etc. More than 10 rules, regulations and standards should be developed and approved
	The regulatory regime has full legal force, is operational and linked to the administrative system -i.e. used for decisions	3		

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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	The regulatory regime covers all the types of LMOs and transboundary movements referred to in the Cartagena Protocol, including agreements with Non-Parties	4		
Administrative System	<i>Q3) Is an administrative system in place and fully operational?</i>			
	Response Selection			
	Focal Points and National Competent Authorities not appointed nor available via BCH	0		
	All Focal Points and National Competent Authorities appointed, and roles & responsibilities stated and available on BCH	1		
	Procedures for handling requests have been designed, legally adopted, and made available to the public.	2	National Biosafety Committee has been established in 2008. In addition, Scientific Council was also established in 2009. Regulation on Registering & Monitoring was adopted and known to the public	Administrative Body should be established with at least 3 full time staff and be supportive to the actions of National Biosafety Committee
	Requests have been received, processed, and decisions communicated to the BCH. Appeal	3		

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	procedures designed and operational.			
	Administrative system fully supported by national budget allocation or alternative (non-donor) system of revenue generation	4		
Risk Assessment and Decision-making	<i>Q4) Are risk assessment procedures employed and contributing to decision-making?</i>			
	Response selection			
	No risk assessment is applied to LMOs	0		
	Sectoral risk assessment dossiers are required to accompany LMO requests	1		
	Risk assessment/risk management system involves case-by-case analyses by scientific experts that provide recommendations to decision-making bodies. Composition and responsibilities of the decision-making bodies clearly stated and publicized.	2	Mongolia does not have in place procedures for performing risk assessment, but as being Party to Cartagena Protocol that allows to use international procedures (Annex III)	National Risk Assessment procedures should be developed and adopted by appropriate body. Rules and Procedures for Scientific Committee should be developed
	Decisions on LMOs are integrated	3		

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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	across sectors (e.g. take into account risks to human health)			
	Decision-making system allows for socio-economic considerations and for review of decisions based on new evidence	4		
Follow-up and Monitoring	<i>Q5) Does an operational follow-up and monitoring system exist?</i>			
	Response Selection			
	No system for follow-up and monitoring exists	0		
	Institutional and human capacity in place to follow-up and monitor, including Risk Management for field-trials and post-release	1	In general, human capacity exist but not institutionalized	Implementation mechanism should be established and certain training should be organized including internal/on-the-job and overseas trainings on monitoring and risk management
	Compliance mechanisms for Risk Management established	2		
	Liability and redress mechanisms in place	3		
	Decisions, risk management plans,	4		

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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	and reports on compliance and liability have been posted to the BCH			
Public awareness, education and participation	I. Awareness <i>Q6) Is information on LMOs made available to public?</i>	0		
	Response Selection			
	Little or no official information on LMOs available to the general public	0		
	Information on LMOs generally available in at least one national language	1	4 Brochures on LMOs have been developed and published and made available to the general public in Mongolian language	More materials should be developed and published and made available to the general public; Web site also should be developed in 2 languages (English and Mongolian) with all the information that must be available to the public
	Information on LMOs generally available in at least one national language and is kept updated	2		

GEF-4 Tracking Tool for GEF Biodiversity Focal Area Strategic Objective Three:
Safeguarding Biodiversity

Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	Information on LMOs is used for awareness-raising campaigns	3		
	Survey results on levels of public awareness available	4		
	II. Education <i>7) Has coursework and training on biosafety been integrated into higher education?</i>			
	Response Selection			
	No modern biotechnology and biosafety available in the formal (i.e. technical, academic, extramural) education system.	0	None of the higher education schools have biosafety related subjects on the curricula, neither are there any modern biotechnology courses at the level on higher education	Curricula should be developed and integrated into training program of the higher education system
	Basic modern biotechnology and biosafety information included in the curricula at technical and college levels.	1		Curricula of biosafety courses should be developed and integrated into training program of the higher education system
	Dedicated short-term courses on biosafety available for government staff at technical schools and higher education institutions.	2		
	National association for biosafety	3		

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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	established			
	Undergraduate and graduate degree programs offering concentrations and/or degree programs on modern biotechnology, including biosafety	4		
	III. Participation <i>Q8) Has the public been engaged in LMO decision-making?</i>			
	Little or no direct involvement of public in LMO decision-making	0		
	Access to information includes other mechanisms in addition to the BCH (i.e. radio and television programs, newspapers columns, blogs, etc.).	1	Information on LMOs in media allows the general public to be included into decision making process	TV programs, newspaper articles and other mass media including website should be developed so that public will be involved into decision making by voicing their opinions
	Mechanism for public involvement in LMO decision-making established	2		
	Evidence of level of public involvement in LMO decision-making available via BCH or other means	3		
	Regular open consultation meetings held on biosafety	4		

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Issue	Scoring Criteria	Score: Tick only one box per question	Comment/Explanation	Next Steps
	TOTAL SCORE	11		
	TOTAL POSSIBLE	32		