



PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

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|-------------|---|--|------------|
| 1.1 | Project title: | Support for the Implementation of the National Biosafety Framework of the Republic of Tajikistan | |
| 1.2 | Project number: | UNEP ADDIS: 00329 GEFSEC ID: 3211 | |
| | | GFL:/2328-2716-4XXX PMS:/GF/3010/11/XX | |
| 1.3 | Project type: | FSP | |
| 1.4 | Trust Fund: | GEF | |
| 1.5 | Strategic objectives: | | |
| | GEF strategic long-term objective: | BD1 | |
| | Strategic programme for GEF IV: | SP6 | |
| 1.6 | UNEP priority: | Environmental governance | |
| 1.7 | Geographical scope: | National - Tajikistan | |
| 1.8 | Mode of execution: | External | |
| 1.9 | Project executing organization: | National Center on Implementation of National Environmental Action Plan, Tajikistan | |
| 1.10 | Duration of project: | 36 months Commencing: June 2011 Completion: May 2014 | |
| 1.11 | Cost of project | US\$ | % |
| | Cost to the GEF Trust Fund | 810,000 | 60 |
| | Co-financing | | |
| | Cash | | |
| | <i>Sub-total</i> | | |
| | In-kind | | |
| | Ministry of Finance | 480,000 | 35 |
| | National Center on Implementation of National Environmental Action Plan | 60,000 | 5 |
| | <i>Sub-total</i> | 540,000 | 40 |
| | Total | 1,350,000 | 100 |

1.12 Project summary

The overall goal of the project is to assist Republic of Tajikistan in implementing its National Biosafety Framework in order to fulfill its obligations as a Party of the Convention on Biological Diversity and Cartagena Protocol and to comply with the country's Agenda 21 and National Strategy and Action Plan on Conservation and Sustainable Use of Biodiversity.

The project will allow Republic of Tajikistan to set up and strengthen institutional and technical structures needed to meet the obligations of the Cartagena Protocol and have operational National Biosafety Framework. Project will contribute to:

1. development of National Strategy and Action Plan on Biosafety of the Republic of Tajikistan;
2. implementing of biosafety legislative framework through development of regulations, guidelines, instructions and procedures;
3. preparation of specific technical guidelines;
4. strengthening of appropriate institutional structures for risk assessment and decision-making;
5. training of decision-makers, scientists and administrative and technical staff on legal and technical matters;
6. setting up and equipment of laboratories for risk assessment and monitoring;
7. setting up and development mechanisms for monitoring and enforcement;
8. strengthening of information exchange relating to biosafety both at the national levels as well as through the BCH; and
9. strengthening and development of public awareness, education and participation in decision-making on LMOs.

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ACRONYMS AND ABBREVIATIONS

| | |
|---------|---|
| BCH | Biosafety Clearing House |
| CBD | Convention on Biological Diversity |
| CPB | Cartagena Protocol on Biosafety |
| GEF | Global Environment Facility |
| LMO | Genetic Modified Organisms |
| LMO | Living Modified Organisms |
| M&EP | Monitoring and Evaluation Plan |
| NCINEAP | National Center on Implementation of National Environmental Action Plan |
| NBC | National Biosafety Commission |
| nBCH | National Biosafety Clearing House |
| NBF | National Biosafety Framework |
| NCC | National Coordinating Committee |
| NEA | National Executing Agency |
| NGO | Non-Governmental Organization |
| NPC | National Project Coordinator |
| NBSAP | National Strategy and Action Plan for Biodiversity Conservation and Sustainable Use |
| NBBC | National Biodiversity and Biosafety Center |
| NSAPB | National Strategy and Action Plan on Biosafety |
| RA | Risk Assessment |
| SC | Steering Committee |
| SCEPF | State Committee for Environment Protection and Forestry |
| ToR | Terms of Reference |
| UNEP | United Nations Environment Programme |

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

2.1. Background and context

10. 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.
11. Being the party to the Convention on Biodiversity since October 29, 1997, Republic of Tajikistan has completed development of the National Strategy and Action Plan on Conservation and Sustainable Use of Biodiversity (NBSAP). The priority issues of NBSAP are conservation of genetic resources and provision of biosafety for conservation and sustainable use of biodiversity.
12. On February 12, 2004, Republic of Tajikistan ratified the Cartagena Protocol on Biosafety that came into force on May 12, 2004.
13. Republic of Tajikistan makes significant efforts in order to meet the obligations under the Cartagena Protocol. With the support of UNEP-GEF, country has completed development of its National Biosafety Framework in 2004. Developed document is a combination of policy, legal, administrative and technical instruments that is developed to address safe transboundary transfer and use of LMOs in the context of developing and applying modern biotechnology, which may cause a negative impact on conservation and sustainable use of biodiversity and human health. However weak institutional, administrative and legislative capacity doesn't allow country to implement this document without outside assistance.
14. NBF of the Republic of Tajikistan consist of 5 elements – a) biosafety policy, b) regulatory framework, c) administrative framework, d) monitoring and enforcement, e) public awareness and participation - which implementation provides the basis for this project proposal. The draft National Biosafety Framework, prepared under the NBF Development project, is available at: <http://www.unep.ch/biosafety/development/countryreports/TJNBFrep.pdf>
15. Republic of Tajikistan is an eligible Party to benefit from GEF allocations in the biodiversity and biosafety focal areas.

2.2. Global significance

16. Tajikistan is one of the centers of species origin and possesses significant genetic resources, the preference is given to traditional methods of agricultural activities. Along with this, it is necessary to establish strict control over import and dissemination of LMOs and their products. The Government is eager to make steps on

developing application of environmentally friendly alternative activities on crop raising, reduction of land degradation, etc. It is also important to conserve local breeds of animals and varieties of agricultural plants.

17. The main principle of biosafety is the principle of precautionary approach and guarantee of safe application of modern biotechnology. It is necessary to take measures to prevent and reduce possible adverse impacts of modern biotechnology products on environment, especially on biological diversity and human health.
18. On the one hand, the National Biosafety Framework is to ensure an adequate level of protection of human health and the environment from possible adverse effects resulting from the products of modern biotechnology, and on the other hand to provide a basis for public confidence building and for providing legal certainty for research organizations and industry. In respect of the above, the unregulated introduction of products of modern biotechnology could lead to loss of wild and agricultural biodiversity and thus an operational biosafety framework with adequate capacity is required to ensure that the potential benefits of modern biotechnology can be captured in a fully legal and transparent manner.
19. Therefore, taking into consideration the biological diversity of Tajikistan, in particular genetic centers of origin and diversity of genetic resources important for food and agriculture, biosafety has utmost importance for biodiversity and food security both at national and global levels.
20. Consequently, the unregulated introduction of products of modern biotechnology could lead to loss of wild and agricultural biodiversity and thus an operational biosafety framework with adequate capacity is required to ensure that the potential benefits of modern biotechnology can be captured in a fully legal and transparent manner.

2.3. Threats, root causes and barrier analysis

21. Risks of LMOs on biological diversity are widely recognized by the adoption of Cartagena Protocol on Biosafety. There is a threat of contamination of centres of genetic origin and diversity in the case of unregulated release of LMOs in the environment. As a country having genetic centres of origin and diversity of crops, adverse effects of LMOs constitutes substantial threat on conservation and sustainable use of biological diversity in Tajikistan.
22. Root causes of the threat arise from the insufficient legislative, administrative, institutional and technical capacity to regulate introduction of LMOs and to prevent unintentional and/or illegal transboundary movements of them as well as low level of public awareness and participation in biosafety issues.
23. Main barriers on setting up effective biosafety system are insufficient human resources both in quality and quantity including administrators participating in the decision-making and enforcement process, lack of equipments in institutions to carry out identification, inspection and monitoring and ineffective clearing-house mechanism.

2.4. Institutional, sectoral and policy context

24. Tajikistan has committed to biosafety through ratifying the Cartagena Protocol on Biosafety. Additionally, the Tajikistan has completed the project “Development of the National Biosafety Framework for Tajikistan” (2002-2004) and the “Capacity Building in Biosafety Clearing House” (BCH) project (2005).

25. National Biodiversity and Biosafety Center (NBBC) was established on September 1, 2003 for coordinating activities on implementation of the National Biodiversity Strategy and Action Plan for Republic of Tajikistan (NBSAP) within the UN Convention on Biodiversity, and other environmental and sustainable development activities. This institution was an executing agency of NBF Development Project and BCH project.
26. The NBBC was renamed to National Center on Implementation of National Environmental Action Plan (NCINEAP) by Decree of the Government of the Republic of Tajikistan # 191 as of May 3, 2006. Therefore, the executing agency of this project will be NCINEAP.
27. The administrative system to handling request and decision-making is already developed in Tajikistan. The competent authority on decision making on biosafety is the National Center on Implementation of National Environmental Action Plan. This institution is responsible for preparation of documents for permission on LMO export/import, LMO contained use, and release to the environment and at the market; development and application of handling request system based on risk assessment an management ; arrangement of National Biosafety Commission and Expert Board work and conducting of their meetings.
28. The competent authority to conduct risk assessment and management is the Expert Board under the National Center on Implementation of National Environmental Action Plan. According to the Biosafety Law the risk assessment should be conducted while considering requests for contained use of LMO, release into environment and for first release at the market.
29. Tajikistan is a country of origin of many biodiversity species and possesses rich genetic resources. Therefore biosafety issues are the integrated part of biodiversity conservation. National Strategy and Action Plan on Conservation and Sustainable Use of Biodiversity, approved at 01.09.2003, stipulates provision of biosafety for conservation and sustainable use of biodiversity as one of the country priorities.
30. 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 and analysis

31. Implementation of biosafety issues requires involving of different agencies and organizations responsible for various issues related to biosafety. The main project stakeholders, responsible for providing biosafety in a country are the following ministries and authorities:
32. NCINEAP (National Competent Authority), including National Biosafety Commission and Expert Board;
33. State Committee for Environment Protection and Forestry; Ministries of Agriculture, Healthcare, Economy and Trade, State Income and Taxes, Justice, Security, Finance, Education.

34. And also: Academies of Science and their research institutes (in particular Institute of Plant Physiology and Genetics); Public organizations, including NGOs, Associations of farmers, consumers, etc.
35. For successful implementation of the project it is needed to have active participation and interaction of all above mentioned authorities, institutions and organizations. Cooperation, in particular, will be especially necessary for implementation of the project activities connected with stating of priorities, development of information systems, development of procedures on inter-institutional coordination, raising awareness, etc.

2.6. Baseline analysis and gaps

36. Republic of Tajikistan has made legal commitments on biosafety both at the international and national level. Tajikistan has ratified the Convention on Biological Diversity and is a Party to the Cartagena Protocol since February 2004. At national level Tajikistan has adopted Biosafety Law of the Republic of Tajikistan (please see Annex A) and developed National Biosafety Framework.
37. Biosafety policy in the country has just started forming. The main principle of biosafety policy in Tajikistan is the fact that modern biotechnology has a sound potential for human welfare, in case if its development is applied according to adequate activities on biosafety for the environment and human health.
38. National legal base on biosafety of the country is represented by the Biological Safety Law approved by the Parliament of the country and signed by the President on March 1, 2005, №88.
39. The main objective of this Law is regulation of the activity related to production, testing, use, export, import, placing at market and release of genetically modified organisms into environment. It is targeted at risk reduction of adverse impact of genetically modified organisms on human health, biological diversity, ecological balance and state of environment.
40. In the field of activity of the Law there fall all activities related to contained use, release in environment, placing in the market, and importing and exporting of LMOs and their products, with the exception of pharmaceutical chemicals needed for human use and use in veterinary.
41. For application of the Law on practice and its harmonization with existing laws it is needed to take a number of actions like develop and make amendments to existing laws.
42. The administrative system to handling request and decision-making is already developed in Tajikistan. The competent authority on decision making on biosafety is the NCINEAP.
43. Current country capacity is extremely insufficient for conducting of qualified risk assessment: there is lack of methodology, equipment and qualified personnel. It's necessary to build and strengthen capacity through training of specialists, purchase of required equipment, introducing of new procedures, etc.
44. In Tajikistan citizen rights for information are provided by the Constitution of the Republic of Tajikistan and several laws. Thus, according to the Biosafety Law the permission procedure of the deliberate release of LMO and/or their products into the environment and at the market is opened to the public.

45. However the issues of appropriate public awareness aren't completely solved still. The process of public awareness and consultations in the country is not active enough. That is why development and introducing of procedures on public awareness and participation in decision-making on biosafety issues are the key issues for the country.

2.7. Linkages with other GEF and non-GEF interventions

46. Tajikistan executed the UNEP/GEF Project on Development of Biosafety Frameworks between 2002-2004. National Biosafety Framework was prepared at the end of the development project including draft law on biosafety. In 2005, Tajikistan executed also the UNEP/GEF project for Establishment of Biosafety Clearing House.

SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

3.1. Project rationale, policy conformity and expected global environmental benefits

47. Tajikistan has globally important components of biological diversity and genetic centers of origin and diversity of genetic resources important for food and agriculture. Therefore, biosafety has utmost importance for food security both at national and global levels. The unregulated introduction of products of modern biotechnology could lead to loss of wild and agricultural biodiversity and thus an operational biosafety framework with adequate capacity is required to ensure that the potential benefits of modern biotechnology can be captured in a fully legal and transparent manner.
48. The project belongs to the GEF Biodiversity Focal Area. Biosafety is one of the priority area of GEF-4 Strategic Programme under SO3: To safeguard biodiversity stating that "In order to safeguard biodiversity, countries require management systems and frameworks that have the capacity to detect, exclude, eradicate, control and effectively manage introduced organisms that pose a risk to biodiversity. Through this strategic objective, GEF will help build country capacity to implement the Cartagena Protocol on Biosafety." Therefore, "Building Capacity for the Implementation of the Cartagena Protocol" is included as SP6 of GEF-4 Strategic Programme. Furthermore, GEF Council adopted the GEF Strategy for Financing Biosafety ([GEF C.30/8/Rev.1](#)) to help build the capacity of eligible countries to implement the Cartagena Protocol on Biosafety through activities at the national, sub-regional and regional levels.
49. [Capacity building](#) is a key prerequisite for the effective implementation of the Cartagena Protocol on Biosafety (CPB). In order to be able to implement their obligations, Parties to the CPB need appropriate institutional mechanisms and infrastructure, well-trained human resources, adequate funding as well as easy access to relevant information. At its first meeting, the Conference of the Parties serving as the meeting of the Parties to the Protocol on Biosafety, adopted in annex 1 of [decision BS-I/5](#), an Action Plan for Building Capacities for the Effective Implementation of the Cartagena Protocol on Biosafety. At its second meeting, COP-MOP in [decision BS-II/3](#) adopted terms of reference for a comprehensive review of the Action Plan and invited Governments and relevant organizations to submit information regarding the progress and effectiveness in their implementation of the Action Plan as well as suggestions on the desired revisions. The Secretariat prepared, on the basis of the submissions received, a synthesis paper including strategic recommendations for a possible revision of the Action Plan. At its third meeting, COP-MOP in [decision BS-III/3](#) adopted an updated version of the Action Plan. Therefore the project is in line with GEF strategies and CPB priorities.

3.2. Project goal and objective

50. The overall objective of the project is protection of biological diversity against possible adverse affects of LMOs by means of ensuring safe transfer, handling, use and transboundary movement of LMOs. To achieve overall objective, the project aims on building capacity in Tajikistan for effective and full implementation of National Biosafety Framework (NBF) that is in line with national development priorities, Cartagena Protocol and other international obligations.

51. The goal is to assist Republic of Tajikistan in implementing its National Biosafety Framework in order to fulfill its obligations as a Party of the Convention on Biological Diversity and Cartagena Protocol on Biosafety and to comply with the country's Agenda 21 and National Strategy and Action Plan on Conservation and Sustainable Use of Biodiversity.

52. The project has 5 components and several outcomes and outputs as follows:

| Project component | Expected outcomes | Expected outputs |
|--|--|--|
| Component 1 Stocktaking and integration of biosafety issues | National consensus on strengths and weaknesses in national capacity and integrated into national plans and strategies | 1.1. Existing strenghts and weaknesses identified |
| | | 1.2. Strategy to process developed |
| | | 1.3. An approved National Strategy and Action Plan on Biosafety (NSAPB) |
| Component 2 Regulatory regime | An efficient and operational regulatory framework with full public participation | 2.1. Implementing regulations developed |
| | | 2.2. Technical documents and tools developed |
| Component 3 Administrative framework | An operational institutional structure for effective decision making and an efficient system for administrative processing of requests | 3.1. Administrative body to handle requests established |
| | | 3.2. Guidelines and procedures for administrative handling of requests developed |
| | | 3.3. Staff trained to handle confidential information in requests |
| | | 3.4. Technical experts trained in RARM |
| | | 3.5. Checklist and technical |

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|---|---|---|
| | | tools developed and made available |
| | | 3.6. Equipping reference laboratory |
| Component 4 Monitoring and enforcement | An operational and integrated system for post-release monitoring, enforcement and emergency response | 4.1. Staff trained in post-release monitoring and enforcement |
| | | 4.2. Developing technical guidelines for monitoring |
| | | 4.3. Developing emergency response plans |
| Component 5 Public awareness and participation | An effective platform for public dialogue, awareness raising and participation in the decision making process | 5.1. A mechanism for public access to information and information sharing set up via the national BCH |
| | | 5.2. A platform for enhancing public awareness and education on biosafety issues in place |
| | | 5.3 Organizing public opinion poll |

3.3. Intervention logic and key assumptions

53. The administrative, legislative, institutional and human resource capacity is a key prerequisite for the effective implementation of NBF. Therefore project focus on building capacity of Tajikistan in biosafety, in particular by means of human resources, the fields of biosafety policy, regulatory regime, system for handling of requests for authorization, risk assessment and risk management, follow-up mechanisms (monitoring of environmental effects and enforcement: control and inspections) and public awareness and participation.
54. Participation of stakeholders and relevant institutions into the project activities and into the implementation of NBF has utmost importance in achievement of the overall objective of the project. Therefore, the effective cooperation and collaboration of relevant institutions during and after the project is one of the key assumptions of the project. The other key assumption of the project is the stability of the governmental support during and after the project to implement NBF.
55. First component of the project will serve detail analysis of stakeholders to ensure their active participation in the project and provide analysis of gaps and needs to implement NBF including gaps and needs. Inputs and contributions of relevant institutions are very important and it is assumed that the governmental and non-governmental institutions will give attention to the project and actively participate to the stocktaking exercise.

56. Second Component of the project is the regulatory biosafety regime. The effective implementation of the Biosafety Law depends on preparation of practical and understandable regulations, full understanding of the members of the Biosafety Committee of their responsibilities and issues related to biosafety, effective implementation of the provisions of the Law, and the clear notification procedures for applicants. Participatory approach is an important mechanism to achieve transparent, practical and effective regulatory regime. Working group meetings, workshops and trainings will be main tools to achieve second goal of the project. Therefore, it is assumed that the governmental and non-governmental institutions will give attention to the project and actively participate to the preparation of the regulations. It is also assumed that there will be political and administrative support for mandating of competent authorities and advisory bodies.
57. Third component of the project is establishment of the system for handling of requests, risk assessment, decision-making and risk management of LMOs. The improvement of human resources through trainings and technical publications such as guidelines, methodologies and manuals is the main intervention logic to achieve functional system for handling of requests, risk assessment, decision-making and risk management of LMOs. The key assumptions in this context are effective institutional collaboration and participation in meetings and trainings; appropriate national and international consultancy for trainings and technical documents; and stable positions of trained personnel.
58. Forth component of the project is establishment of the system for monitoring and inspection for LMOs. This component is critical to prevent unintentional and/or illegal introduction of LMOs. Effectiveness of the monitoring and inspection system depends on institutional capacity and human resources. In this context, the training activities, such as training of trainers and training of key staff having role in inspections, border controls and judgment as well as providing manuals and guidelines to them, have strategic importance to ensure sustainability of the human resources. The appropriate international and national consultancy services are assumed to be available to prepare the guidelines, methodologies, manuals. It is also assumed that technical staff sufficiently involved in the training courses and relevant institutions collaborate effectively during and after the Project.
59. Fifth component of the project is establishment of the public awareness and participation for biosafety. Effectiveness of the system will be ensured by regular dissemination of informative materials, training of relevant personnel on execution of public awareness and participation activities, sustainable education system on biosafety, regular public awareness events and operational BCHM. The assumptions in this regard are willingness of managers and technical staff to update and implement the BCH, growing interest of the public to the biosafety issues, presence of appropriate consultancy and effective collaboration and participation of relevant institutions. It is assumed that there is no stakeholder group who will be opposing project activities.

3.4. Risk analysis and risk management measures

60. Most important risk is mandating of trained technical staff in different positions other than biosafety facilities. Training of trainers and preparation of guidelines and manuals will provide sustainability of human resources in biosafety laboratories and institutes.
61. Close collaboration and cooperation between institutions is important factor in the successful implementation of the project. In addition to Project Coordination Committee, the

establishment and mandating of National Biosafety Committee, competent authorities and Scientific Advisory Committee as defined in the Law, training of Customs personnel on biosafety will serve sustainability of institutional collaboration and cooperation both during and after the project.

62. The stability of the governmental support during and after the project to implement NBF is one of the key assumptions of the project. Therefore, political instability would pose important risk for success of the project as well. The activities under the fifth component of the project that will be executed starting from early stages of the project will contribute growing interest of the public to the biosafety issues. The public interest will be driving force for the governments and politicians to support implementation of NBF.

3.5. Consistency with national priorities or plans

63. Republic of Tajikistan ratified the Cartagena Protocol on Biosafety on February 12, 2004. This project aims to support Tajikistan in meeting its obligations foreseen under the Protocol by providing the needed capacity building.
64. This project is consistent with the priorities on *conservation of genetic resources and providing of biosafety* stipulated in National Strategy and Action Plan on Conservation and Sustainable Use of Biodiversity (approved by the Government Decree №392 dated September 1, 2003). In particular, the document underlines the necessity in *improvement of the legislative base* to meet requirements of the Cartagena Protocol on Biosafety. As priority activities the Action Plan includes *development of the law and by-laws on genetically modified organisms*, establishment of a Center on genetic resources.
65. National Sustainable Development Report (approved by the Government Decree №297 dated July 13, 2002) includes the chapter on environmentally friendly use of biotechnology.
66. Tajikistan has already started to promote biosafety. Thus, in 2004 development of the *National Biosafety Framework* was completed. At the same time economic situation in the country does not allow to implement this document and the stated objectives and activities to a full extent. In this direction, recently, as one of the NBF component, there has been developed and approved the Biosafety Law (№88 dated from March 1, 2005), that has become the base for further actions. But for its practical application there is needed a number of legislative documents. The present project will directly promote implementation of the *National Biosafety Framework of the Republic of Tajikistan* and application of the *Biosafety Law*.
67. The biosafety issue has been considered at the sub-regional workshop on biosafety that took place on October 19-21, 2004, in Dushanbe (Tajikistan) with participation of the Central Asia countries and Mongolia. Upon the results of the workshop there has been adopted the Resolution on “Development of the regional cooperation on ensuring biosafety in the Central Asia countries” which was submitted to the International Commission on Sustainable Development for consideration at the regular meeting. Project implementation will allow to build the capacity, particularly needed for strengthening regional cooperation, and thereby implement recommendations of the workshop Resolution.

3.6. Incremental cost reasoning

68. Tajikistan is a poor country with limited initial capacity to fulfill its international obligations. Implementation of this project on capacity building will not only allow Tajikistan to meet its obligations under the Cartagena Protocol but will create the needed base for further sustainable long-term development of the national biosafety system.
69. The National Biosafety Framework was completed in 2004. The administrative, legislative and institutional status and capacity needs of Tajikistan with regard to biosafety was determined at that time. Since then, there are some developments and changes in the administrative and institutional status. Therefore, component 1 (stocktaking exercise) is required to update information on stakeholders and gaps on biosafety for effective planning and implementation of the other components of the project.
70. Within the context of the project, the baseline includes the activities carried out at domestic level; the increment includes the activities proposed under this project proposal for the purpose of meeting the requirements of the Cartagena Protocol, to be financed through the GEF contribution and national co-financing. These activities will be based on the following: The draft National Biosafety Framework was completed in 2004, when the national administrative, legislative and institutional status and capacity needs with regard to biosafety were determined at that time. Since then, there are some developments and changes in the administrative and institutional status. Therefore, component 1 (stocktaking exercise) is required to update information on stakeholders and gaps on biosafety for effective planning and implementation of the other components of the project.
71. The Biosafety Law (2005) forms the basis for biosafety regulatory regime. However, the law needs updating and secondary legislations needs to be drafted together with manuals and guidelines. Without the project and activities under component 2, this process may be delayed.
72. The institutional baseline for handling of requests, risk assessment, risk management, monitoring and inspections constitutes laboratories with the potential to be included in the biosafety network and these laboratories also present research institutes. Administrative and technical staff of the competent authorities constitutes a basis to some extent for human resources for handling of requests, risk assessment, decision-making and risk management. Without adequate human resources (both in quality and in quantity), notifications cannot be evaluated in an appropriate manner and the system cannot function well enough to respond to notifications within the appropriate time periods. Without the 3rd component of the project, determination and handling of illegal movements and release of LMOs would not be possible and may result with damage on biodiversity.. Monitoring and inspection system is the priority issue for Tajukistan as being so rich of genetic origins and diversity for crops in the region. Mandatng of particular laboratories for LMO detection and training of technical staff on LMO detection and identification is a key capacity need in order to allow an effective monitoring and inspection system to regulate transboundary movements and environmental release of LMOs.

73. In 2005 the BCH project was completed, but the BCH has been dormant since then due to lack of resources. The project would serve sustainable and effective system for public awareness, education and participation on biosafety.
74. Consequently, baseline for biosafety would lead to illegal introduction of LMOs in Tajikistan, weak implementation of CPB and possible environmental damages due to weak monitoring and inspection.

3.7. Sustainability

75. The sustainability of the outcomes of the project will be provided by the legally mandated NBC, CA and SAC. Sustainability of institutional capacity and relevant human resources will be ensured both by regulations and by availability of technical guidelines, manuals and systematic training programmes. Operational National BCH will provide sustainability of institutional cooperation and collaboration, information sharing, public awareness and participation.

3.9. Replication

76. The present project will benefit from a “replicability” effect generated by the experience gained through the demonstration projects on NBF implementation. In 2005 evaluation and monitoring of effectiveness of demonstration projects was performed, and based in that there was a report prepared. Conclusions and recommendations of this report will allow to use positive experience of demonstration projects in the course of planning and performance of activities, and to avoid negative experience.
77. At the same time the project itself will produce the similar “replicability” effect. The lessons and the best practices gathered from project implementation will be shared with other countries through regional meetings and exchanges of information and personnel between those involved in biosafety.
78. Experience gathered during the project implementation will be used not only for the sharing between different countries but in a greater extent at the country level. Dissemination of best practices from project management, coordination of activities of different agencies, promoting public participation in developing policies and in decision making will contribute to the development of public policies and processes in other areas of government activities.
79. Experience of the project will be disseminated by posting prepared documents, regular reports and findings of the project on the regularly updated UNEP web-site as well as on national web-site (national BCH). It will promote sharing of information and amplify the replicability potential of national projects to other countries. In addition project staff will participate actively in different meetings for the national project personnel. This will have significant contribution in terms of getting insight to other countries day-to-day practices and in promoting exchange of information.

3.10. Public awareness, communications and mainstreaming strategy

80. Participation of representatives from relevant governmental and non-governmental institutions and organizations was ensured during the development of NBF by establishment of The National Co-ordinating Committee (NCC), involvement of stakeholders in all stages of the

project activities and dissemination of the proceedings of meetings via web-site of the executing agency of the project. Same strategy will be used during this project.

81. The project contains a number of activities targeted at information dissemination on the course of the project implementation and holding consultations with stakeholders.
82. In the course of the project implementation, taking into account the audience, there will be prepared publications, informational materials, leaflets and brochures that will be disseminated by dispatching to the stakeholders. Publications will always be available in the Project Implementation Unit.
83. All workshops, trainings, round tables will also be accompanied by preparation and dissemination of publications and information materials. Information will be distributed via NGOs that have their periodical electronic and printed publications to be included in them and further dissemination. In addition, information will be published on the web-site (National Biosafety Clearing-House).
84. Development of all documents envisages holding consultations with stakeholders. Consultations will be held both as individual meetings and working meetings, and workshops and the local and national levels. It is also envisaged to hold round tables, debates for all stakeholders. Basing upon positive experience of implementation of the project on developing National Biosafety Framework, there will be held weekly consultations for various groups of stakeholders in the Project Implementation Unit.

3.11. Environmental and social safeguards

85. The project is for capacity building for environmental protection with little direct activity in the field and will contribute to the safe use of modern biotechnology, preventing potential harm and giving the opportunity for both environmental and socio-economic benefits. The project will help improvement of inspection, monitoring and surveillance capacity of Tajikistan through improvement of laboratory facilities and human resources to fulfill provisions of the CPB, thus protection of the environment and social welfare.
86. The project will provide clear rules on safe use of LMOs at early stage of introduction of LMOs in Tajikistan. Therefore, the long-term effects of the project will be the opportunity for Tajikistan to benefit from modern biotechnology in an environmentally and socially safe manner and without any harm to human health in the future.

SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS

87. This project builds on an UNEP's portfolio of enabling activities in over 123 countries and 8 demonstration projects out of 12, on capacity building for the implementation of the CP-carried out through the development and implementation of National Biosafety Frameworks respectively. This reflects UNEP's considerable experience and expertise in the area and therefore its comparative advantage in the field.
88. This portfolio has already produced relevant results, generated lessons learned and best practices being used /which can be used in other countries of the world. In this respect, the project will benefit from UNEP's experience and expertise to develop a fully operational NBF in Turkey, where best practices and lessons learned will add to those being acquired through the eight demonstration projects currently running under UNEP.

89. The project will be executed by NCINEAP which was also executing agency of NBF development project. 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 as appropriate
90. The National Project Coordinator will be appointed by the National Executing Agency, after consultation with UNEP, for the duration of the National Project. The National Project Coordinator shall be responsible for the overall co-ordination, management and supervision of all aspects of the National Project. He/she will report to the National Coordinating Committee and UNEP, and liaise closely with the chair and members of the National Coordinating Committee and National Executing Agency in order to coordinate 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.

SECTION 5: STAKEHOLDER PARTICIPATION

91. The current project proposal takes in to account and reflects opinions on priorities and needs from all stakeholders, as they all were involved in designing the project, through the meetings to discuss on components of project. The identified priorities and needs have been discussed during workshops, special meetings, and in the course of consultations for many times.
92. All identified stakeholders will be involved in carrying out project activities, including researching, development of regulations, taking part in trainings and workshops and others.

Main Stakeholders and their Participation

| STAKEHOLDERS | TYPE OF INVOLVEMENT |
|--|--|
| NCINEAP, SCEPF, Ministries of: Agriculture, Healthcare, Economy and Trade, State Income and Taxes, Justice, Security, Finance, Education; Parliament | Development of National Strategy and Action Plan on Biosafety; Development of regulations, by-laws, instructions, procedures, etc. |
| Academy of Science and its research institutes (Institute of Plant Physiology and Genetics), Tajik Agrarian Academy | Development of National Strategy and Action Plan on Biosafety; Assistance in development of legislation; Development of guidelines, instructions; |
| Associations of Consumers, Associations of Farmers, etc | Participation in development of National Strategy and Action Plan on Biosafety; defining priorities; comments to developed legislative documents and procedures; |
| Non-governmental organization | Participation in development of National Strategy and Action Plan on Biosafety; Assistance in development of legislative documents; in increase of public awareness; information dissemination; |

| | |
|------------|--|
| Mass media | Assistance in information dissemination and promotion of public awareness; |
|------------|--|

SECTION 6: MONITORING AND EVALUATION PLAN

93. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 7. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the NEA and UNEP.
94. The project M&E plan 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 4&7. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget.
95. 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 Manager 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.
96. The project Steering 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 to 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.
97. 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.

98. A mid-term management review or evaluation will take place on June 2012 as indicated in the project milestones. The review will include all parameters recommended by the GEF Evaluation Office for terminal evaluations 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 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.
99. 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.
100. The GEF tracking tools are attached as Appendix 15. These 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 report. As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1.-Overall project budget

| | |
|----------------|---------------|
| GEF financing: | 840,000 USD |
| Co-financing: | 540,000 USD |
| Total: | 1,380,000 USD |

7.2 Project co-financing

| Sources of Co-financing | Type of Co-financing | Project |
|--|-----------------------------|----------------|
| Project Government Contribution SCEPF | In-kind | 60,000 |
| Project Government Contribution (Ministry of Finances) | In-kind | 480,000 |
| GEF Agency(ies) | (select) | |
| Bilateral Aid Agency(ies) | (select) | |
| Multilateral Agency(ies) | (select) | |
| Private Sector | (select) | |
| NGO | (select) | |
| Others | (select) | |
| Total Co-financing | | 540,000 |

7.3 Project cost-effectiveness

101. In general, cost-effectiveness will arise from being able to build on capacity already put in place by previous GEF support for NBF development and establishment of the national BCH, by ensuring continuation of the objectives.
102. Tajikistan has a population of 6.4 million, among them more than 66% are living in rural areas. The main economic contributions to GDP are from agriculture – about 26%. The basic directions of agriculture are cotton and wheat production, viticulture, gardening, vegetable growing and cattle breeding. The agricultural production has a very important role in economic development in Tajikistan and the country is likely to turn to increasing use of biotechnology in order to improve yields and production of important crops.
103. Therefore, food and environment security, export orientation and rural development are assigned highest priorities in agriculture policies of Tajikistan. The Poverty Reduction Strategy Paper (2002) sets out a series of specific national, sectoral and crosscutting objectives. The emphasis is on maintaining high levels of GDP growth, and on overcoming poverty in rural and urban areas. Thus biosafety and the safe use of biotechnology are likely being important considerations in the drive towards economic development. As environmental protection cuts across all sectors, it is a responsibility of the society as a whole.
104. During the UNEP/GEF project on development of NBF supported by internal resources, technical and human resource capacity of competent authorities were supported. Training of trainers is a key activity in the project for cost effectiveness in terms of technical capacity and will provide sustainability of the biosafety system. The ability of safe use of modern biotechnology will contribute conservation of biological diversity, particularly genetic resources important for food and feed, meeting obligations of Tajikistan under other multilateral environmental conventions.

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**

Annex 2b Activities-based Budget

| Activity Code | Project Activities / SubActivities | Year 1 | | Year 2 | | Year 3 | | Year 4 | | Year 5 | | Total | |
|---------------|---|------------------|------------------|------------------|------------------|------------------|------------------|-------------|-------------|-------------|-------------|-------------------|------------------|
| | | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) |
| A | Biosafety Policy | | | | | | | | | | | | |
| A 1 | Inception workshop | 7,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7,000.00 | 8,000.00 |
| A 2 | Analysis of agreements, national strategies and other relevant documents and of relations between biosafety and existing policies | 20,000.00 | 21,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 21,000.00 |
| A 3 | Recommendations based on gap analysis | 9,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 9,000.00 | 8,000.00 |
| A 4 | Setting up Working Group on development of National Strategy | 3,500.00 | 5,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 3,500.00 | 5,500.00 |
| A 5 | Meetings and consultations on NSAPB | 15,500.00 | 16,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,500.00 | 16,500.00 |
| A 6 | Development of National strategy | 15,000.00 | 7,000.00 | 18,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 33,000.00 | 15,000.00 |
| A 7 | Submission of document to the Government for approval | 0.00 | 0.00 | 0.00 | 0.00 | 7,000.00 | 4,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7,000.00 | 4,000.00 |
| A 8 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 9 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 10 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 11 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 12 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 13 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 14 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| A 15 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total A | 70,000.00 | 66,000.00 | 18,000.00 | 8,000.00 | 7,000.00 | 4,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 95,000.00 | 78,000.00 |
| B | Regulatory regime | | | | | | | | | | | | |
| B 1 | Setting up Working group on development of regulations | 2,500.00 | 4,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2,500.00 | 4,500.00 |
| B 2 | Analysis of existing legislation on compliance with Biosafety Law | 12,000.00 | 8,000.00 | 13,000.00 | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 25,000.00 | 14,000.00 |
| B 3 | Development of regulations | 9,000.00 | 14,000.00 | 21,500.00 | 13,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 30,500.00 | 27,500.00 |
| B 4 | Development technical documents and tools about biosafety legislation | 0.00 | 0.00 | 12,000.00 | 15,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 12,000.00 | 15,000.00 |
| B 5 | Development of procedures for handling confidential information | 0.00 | 0.00 | 15,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 8,000.00 |
| B 6 | Roundtable to discuss and agree developed documents | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 16,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 16,000.00 |
| B 7 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 8 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 9 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 10 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 11 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 12 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 13 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 14 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| B 15 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total B | 23,500.00 | 26,500.00 | 61,500.00 | 42,500.00 | 15,000.00 | 16,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100,000.00 | 85,000.00 |

Annex 2b Activities-based Budget

| Activity Code | Project Activities / SubActivities | Year 1 | | Year 2 | | Year 3 | | Year 4 | | Year 5 | | Total | |
|----------------|---|-------------------|------------------|------------------|------------------|------------------|------------------|-------------|-------------|-------------|-------------|-------------------|-------------------|
| | | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) |
| C | Handling requests for authorization (including administrative processing for risk assessment and informed decision-making) | | | | | | | | | | | | |
| C 1 | Nominating competent authorities for administrative system and agreeing on responsibilities and duties | 2,500.00 | 4,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2,500.00 | 4,000.00 |
| C 2 | Setting the rules and procedures for National Biosafety Commission (NBC) | 4,500.00 | 3,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4,500.00 | 3,000.00 |
| C 3 | Selection and nomination of NBC members | 4,000.00 | 2,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4,000.00 | 2,000.00 |
| C 4 | Development of guidelines and procedures for administrative handling of requests for staff of competent authorities | 0.00 | 0.00 | 15,000.00 | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 6,000.00 |
| C 5 | Training for handling confidential information in requests | 0.00 | 0.00 | 16,000.00 | 2,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 16,000.00 | 2,000.00 |
| C 6 | Conducting of training on risk assessment and management for scientists and technical staff | 0.00 | 0.00 | 0.00 | 0.00 | 22,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 22,000.00 | 8,000.00 |
| C 7 | Conducting of training on handling of requests for staff of competent authorities | 0.00 | 0.00 | 0.00 | 0.00 | 18,000.00 | 4,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 18,000.00 | 4,000.00 |
| C 8 | Development of checklist and technical tools for handling requests on scientific and technical level | 0.00 | 0.00 | 17,000.00 | 6,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 17,000.00 | 6,000.00 |
| C 9 | Equipping reference laboratory | 160,000.00 | 62,000.00 | 2,000.00 | 11,000.00 | 0.00 | 9,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 162,000.00 | 82,000.00 |
| C 10 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| C 11 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| C 12 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| C 13 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| C 14 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| C 15 | 0 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Total C | | 171,000.00 | 71,000.00 | 50,000.00 | 25,000.00 | 40,000.00 | 21,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 261,000.00 | 117,000.00 |

| Activity Code | Project Activities / SubActivities | Year 1 | | Year 2 | | Year 3 | | Year 4 | | Year 5 | | Total | |
|---------------|--|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------|-------------|-------------|-------------|-------------------|-------------------|
| | | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) | GEF (US\$) | GOV (US\$) |
| D | Follow-up mechanisms (monitoring of environmental effects and enforcement: control and inspections) | | | | | | | | | | | | |
| D 1 | Training on identifying illegal GMO imports for border control agencies and NCA | 0.00 | 0.00 | 24,000.00 | 18,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 24,000.00 | 18,000.00 |
| D 2 | Trainings for responsible personnel (inspectors) and officials from competent authorities on monitoring | 0.00 | 0.00 | 24,000.00 | 19,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 24,000.00 | 19,000.00 |
| D 3 | Provide training in emergency response plan for both decision makers and on-the-ground personnel | 0.00 | 0.00 | 0.00 | 0.00 | 22,000.00 | 14,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 22,000.00 | 14,000.00 |
| D 4 | Development of regulations and technical guidelines on monitoring and enforcement | 0.00 | 0.00 | 24,000.00 | 13,000.00 | 21,000.00 | 13,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 45,000.00 | 26,000.00 |
| D 5 | Developing emergency response plans, incl assigning responsibilities for emergency response procedures | 0.00 | 0.00 | 25,000.00 | 13,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 25,000.00 | 13,000.00 |
| D 6 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 7 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 8 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 9 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 10 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 11 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 12 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 13 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 14 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| D 15 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total D | 0.00 | 0.00 | 97,000.00 | 63,000.00 | 43,000.00 | 27,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 140,000.00 | 90000 |
| E | Public awareness and participation | | | | | | | | | | | | |
| E 1 | Workshops for representatives of competent authorities on submission of information to BCH | 4,000.00 | 1,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4,000.00 | 1,000.00 |
| E 2 | Translating and adapting instructions on how to use BCH into Taiik | 7,000.00 | 3,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7,000.00 | 3,000.00 |
| E 3 | Preparation and dissemination of materials on biosaferv | 19,000.00 | 18,000.00 | 14,500.00 | 18,000.00 | 15,500.00 | 17,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 49,000.00 | 53,000.00 |
| E 4 | Radio and TV broadcasts, debates, round tables, etc | 15,000.00 | 4,000.00 | 14,500.00 | 4,000.00 | 14,500.00 | 4,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 44,000.00 | 12,000.00 |
| E 5 | Development of series of lectures on biosafety | 0.00 | 0.00 | 7,000.00 | 6,000.00 | 7,000.00 | 8,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 14,000.00 | 14,000.00 |
| E 6 | Training of specialists for conducting lessons/lectures at universities | 0.00 | 0.00 | 0.00 | 0.00 | 5,000.00 | 7,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5,000.00 | 7,000.00 |
| E 7 | Development of toolkits and outreach materials for students | 0.00 | 0.00 | 12,000.00 | 11,000.00 | 12,000.00 | 11,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 24,000.00 | 22,000.00 |
| E 8 | Organizing public opinion poll | 0.00 | 0.00 | 0.00 | 0.00 | 3,000.00 | 3,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 3,000.00 | 3,000.00 |
| E 9 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 10 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 11 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 12 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 13 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 14 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| E 15 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total E | 45,000.00 | 26,000.00 | 48,000.00 | 39,000.00 | 57,000.00 | 50,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 150,000.00 | 115000 |
| F | Project Coordination (Project Monitoring & Evaluation AND Project Management) | | | | | | | | | | | | |
| F 1 | Monitoring and evaluation | 2,000.00 | 0.00 | 2,000.00 | 2,000.00 | 11,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,500.00 | 2,000.00 |
| F 2 | Project management | 26,000.00 | 18,000.00 | 26,000.00 | 18,000.00 | 26,500.00 | 17,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 78,500.00 | 53,500.00 |
| F 3 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 4 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 5 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 6 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 7 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 8 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 9 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 10 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 11 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 12 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 13 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 14 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| F 15 0 | | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| | Total F | 28,000.00 | 18,000.00 | 28,000.00 | 20,000.00 | 38,000.00 | 17,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 94,000.00 | 55500 |
| | Grand Total | 337,500.00 | 207,500.00 | 302,500.00 | 197,500.00 | 200,000.00 | 135,500.00 | 0.00 | 0.00 | 0.00 | 0.00 | 840,000.00 | 540,500.00 |

(GEF FUNDS)

Project No: GFL-2328-2716-[XXXX]

Project Name: Support for the Implementation of the draft National Biosafety Framework of Tajikistan

Executing Agency: National Center on Implementation of National Environmental Action Plan

| UNEP BUDGET LINE/OBJECT OF EXPENDITURE | ACTIVITY (AS PER ANNEX 1B) | | | | | | Total US\$ | EXPENDITURE BY YEAR (AS PER ANNEX 2B) | | | | | | Total US\$ |
|--|----------------------------|-------------------|-------------------|-------------------|-------------------|------------------|-------------------|---------------------------------------|-------------------|-------------------|----------------|----------------|-------------------|---------------|
| | A US\$ | B US\$ | C US\$ | D US\$ | E US\$ | F US\$ | | YEAR 1 US\$ | YEAR 2 US\$ | YEAR 3 US\$ | YEAR 4 US\$ | YEAR 5 US\$ | | |
| 10 PROJECT PERSONNEL COMPONENT | | | | | | | | | | | | | | |
| 1101 National Project Coordinator | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 36,000.00 | 36,000.00 | 12,000.00 | 12,000.00 | 12,000.00 | 0.00 | 0.00 | 36,000.00 | |
| 1102 Project Staff | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 15,000.00 | 5,000.00 | 5,000.00 | 5,000.00 | 0.00 | 0.00 | 15,000.00 | |
| 1120 Administrative Staff | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15,000.00 | 15,000.00 | 5,000.00 | 5,000.00 | 5,000.00 | 0.00 | 0.00 | 15,000.00 | |
| 1201 International Consultants | 23,000.00 | 18,000.00 | 21,000.00 | 33,000.00 | 4,000.00 | 0.00 | 99,000.00 | 24,000.00 | 50,000.00 | 25,000.00 | 0.00 | 0.00 | 99,000.00 | |
| 1202 National Consultants | 31,000.00 | 30,000.00 | 25,000.00 | 36,000.00 | 37,000.00 | 0.00 | 159,000.00 | 42,000.00 | 80,000.00 | 37,000.00 | 0.00 | 0.00 | 159,000.00 | |
| 1601 Staff Travel & Transport | 1,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 3,000.00 | 4,000.00 | 2,000.00 | 1,000.00 | 1,000.00 | 0.00 | 0.00 | 4,000.00 | |
| 1999 Component Total | 55,000.00 | 48,000.00 | 46,000.00 | 69,000.00 | 41,000.00 | 69,000.00 | 328,000.00 | 90,000.00 | 153,000.00 | 85,000.00 | 0.00 | 0.00 | 328,000.00 | |
| 20 SUB-CONTRACT COMPONENT | | | | | | | | | | | | | | |
| 2201 Sub-contract to GOV (US\$)ermental | 0.00 | 0.00 | 0.00 | 0.00 | 13,000.00 | 0.00 | 13,000.00 | 0.00 | 7,000.00 | 6,000.00 | 0.00 | 0.00 | 13,000.00 | |
| 2301 Sub-contract to private firms | 0.00 | 29,000.00 | 0.00 | 0.00 | 17,000.00 | 0.00 | 46,000.00 | 15,000.00 | 24,000.00 | 7,000.00 | 0.00 | 0.00 | 46,000.00 | |
| 2999 Component Total | 0.00 | 29,000.00 | 0.00 | 0.00 | 30,000.00 | 0.00 | 59,000.00 | 15,000.00 | 31,000.00 | 13,000.00 | 0.00 | 0.00 | 59,000.00 | |
| 30 TRAINING COMPONENT | | | | | | | | | | | | | | |
| 3201 Training | 0.00 | 0.00 | 31,000.00 | 39,000.00 | 7,000.00 | 0.00 | 77,000.00 | 3,000.00 | 35,000.00 | 39,000.00 | 0.00 | 0.00 | 77,000.00 | |
| 3301 Meetings | 32,000.00 | 17,000.00 | 10,000.00 | 11,000.00 | 19,000.00 | 1,500.00 | 90,500.00 | 42,500.00 | 27,000.00 | 21,000.00 | 0.00 | 0.00 | 90,500.00 | |
| 3999 Component Total | 32,000.00 | 17,000.00 | 41,000.00 | 50,000.00 | 26,000.00 | 1,500.00 | 167,500.00 | 45,500.00 | 62,000.00 | 60,000.00 | 0.00 | 0.00 | 167,500.00 | |
| 40 EQUIPMENT & PREMISES COMPONENT | | | | | | | | | | | | | | |
| 4101 Office supplies and consumables | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5,000.00 | 5,000.00 | 1,500.00 | 1,500.00 | 2,000.00 | 0.00 | 0.00 | 5,000.00 | |
| 4102 Laboratory supplies and consumables | 0.00 | 0.00 | 12,000.00 | 0.00 | 0.00 | 0.00 | 12,000.00 | 10,000.00 | 2,000.00 | 0.00 | 0.00 | 0.00 | 12,000.00 | |
| 4201 Non Laboratory Purchase | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 4202 Laboratory Equipment | 0.00 | 0.00 | 150,000.00 | 0.00 | 0.00 | 0.00 | 150,000.00 | 150,000.00 | 0.00 | 0.00 | 0.00 | 0.00 | 150,000.00 | |
| 4301 Office Premises | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 4302 Research Facilities | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 4999 Component Total | 0.00 | 0.00 | 162,000.00 | 0.00 | 0.00 | 5,000.00 | 167,000.00 | 161,500.00 | 3,500.00 | 2,000.00 | 0.00 | 0.00 | 167,000.00 | |
| 50 MISCELLANEOUS COMPONENT | | | | | | | | | | | | | | |
| 5101 Equipment Maintenance | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 5201 Publication, Translation, Dissemination and | 4,000.00 | 5,000.00 | 11,000.00 | 21,000.00 | 51,000.00 | 0.00 | 92,000.00 | 17,000.00 | 48,000.00 | 27,000.00 | 0.00 | 0.00 | 92,000.00 | |
| 5202 Audit Reports | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6,000.00 | 6,000.00 | 2,000.00 | 2,000.00 | 2,000.00 | 0.00 | 0.00 | 6,000.00 | |
| 5301 Communications (tel, fax, e-mail, etc...) | 4,000.00 | 1,000.00 | 1,000.00 | 0.00 | 2,000.00 | 3,000.00 | 11,000.00 | 6,500.00 | 3,000.00 | 1,500.00 | 0.00 | 0.00 | 11,000.00 | |
| 5302 Others | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 5303 Tech.Supp./Evaluation | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 9,500.00 | 9,500.00 | 0.00 | 0.00 | 9,500.00 | 0.00 | 0.00 | 9,500.00 | |
| 5375 UN Agencies Support Charge | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | |
| 5999 Component Total | 8,000.00 | 6,000.00 | 12,000.00 | 21,000.00 | 53,000.00 | 18,500.00 | 118,500.00 | 25,500.00 | 53,000.00 | 40,000.00 | 0.00 | 0.00 | 118,500.00 | |
| TOTAL COSTS | 95,000.00 | 100,000.00 | 261,000.00 | 140,000.00 | 150,000.00 | 94,000.00 | 840,000.00 | 337,500.00 | 302,500.00 | 200,000.00 | 0.00 | 0.00 | 840,000.00 | |

- A: Biosafety Policy
B: Regulatory regime
C: Handling requests for authorization (including administrative processing for risk assessment and informed decision-making)
D: Follow-up mechanisms (monitoring of environmental effects and enforcement: control and inspections)
E: Public awareness and participation
F: Project Coordination (Project Monitoring & Evaluation AND Project Management)

APPENDIX 3 – INCREMENTAL THINKING

Tajikistan has successfully completed two biosafety projects financed by GEF/UNEP, and is committed to take actions towards the fulfillment of its 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, Tajikistan would not be able to implement fully 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.

Tajikistan has some approved legislative procedures for handling LMOs, but this system is not fully functional yet and is lacking secondary legislation, rules and manuals. Also, the Act itself needs some improvement. 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: Project Results Framework

| Objectives and Outcomes/Outputs | Objectively Verifiable Indicators | Baseline | Indicators | Means of Verification | Important Assumptions |
|--|--|--|--|---|---|
| Objective: To assist the Republic of Tajikistan to implement its National Biosafety Framework (NBF) in order to comply with Cartagena Protocol | By the end of the project the base for functional biosafety system that includes: Regulatory system; Administrative system; Enforcement and monitoring system; and System for public awareness and participation; will be created and put into place. | Draft NBF was prepared during 2002 - 2004, but it needs updating | By the end of 2013, updated NBF is adopted and being implemented effectively | Project evaluation conducted after its completion Government Decree on National Strategy and Action Plan on Biosafety approval. Draft regulations developed in a course of project implementation Draft guidelines developed in a course of project implementation Comparative analysis of polls on public awareness Reports if national competent authorities Project progress reports Reviews of international consultants | No political activities (election of President, Parliament) will cause delays in the implementation of the project Sufficient financial and human resources for carrying out the project |
| Component 1: Stocktaking and integration of biosafety issues | | | | | |
| Outcome 1: National consensus on strengths and weaknesses in national capacity and integrated into national plans and strategies | | | | | |
| Outputs: | | | | | |
| 1.1. Existing strengths and weaknesses identified | Gap analysis of national strengths and weaknesses in regard of biosafety composed | Basic information was collected during NBF development project, but it is outdated and needs to be updated as biosafety is a rapidly developing area | By the end of first half of 2011, gap analysis performed | Gap analysis available from project website | Information is available and stakeholders willing to give their views and cooperating with reviewers |
| 1.2 Strategy to process developed | Recommendations based on gap analysis how to proceed with biosafety in Tajikistan submitted | There is neither biosafety policy in Tajikistan nor any clear vision about possible future developments | By third quarter of 2011, recommendations made by experts about short and long term strategy for biosafety | Recommendations available from project website | General recognition of biosafety as an important issue |
| 1.3. An approved National Strategy and Action Plan on Biosafety (NSAPB) | NSAPB drafted, discussed and approved | There is neither biosafety policy in Tajikistan nor any clear vision about possible future developments | By the end of 2012, NSAPB developed, discussed with major stakeholders and approved by relevant authority | Draft available from project website, final NSAPB published in official website of the government | Government fully committed Strategy is not isolated from other relevant issues National Strategy takes into |

| | | | | | |
|--|---|--|--|--|---|
| | | | | | account needs and priorities No delay in NSAPB approval |
| Component 2 Regulatory system | | | | | |
| Outcome 2: An efficient and operational regulatory framework with full public participation | | | | | |
| Outputs: | | | | | |
| 2.1. Implementing regulations developed | Biosafety law and regulations drafted, discussed and submitted for approval | Biosafety law was adopted in 2005, but it needs updating and drafting of secondary legislation | By the end of 2012 biosafety law amended and secondary legislation developed | Drafts of law and regulations available from project website and once approved published in the official website of the government | Good lawyers available to develop regulatory regime Public is actively involved into development of regulatory system |
| 2.2. Technical documents and tools developed | Technical documents and tools about biosafety legislation drafted and discussed | No technical documents and tools available | Technical documents and tools developed by 2013, | Documents and tools available from project website | Experts available to perform the work |
| Component 3: Administrative framework | | | | | |
| Outcome 3: An operational institutional structure for effective decision making and an efficient system for administrative processing of requests | | | | | |
| Outputs: | | | | | |
| 3.1. Administrative body to handle requests established | Competent authorities nominated and relevant administrative system for handling requests established, including National Biosafety Commission | There is no administrative body for handling requests established | By 2012 administrative body for handling requests established | Contacts of administrative body published in BCH central portal and other details available from project website | Support from the government to setting up the administrative system Competent authorities cooperating and responsibilities clearly divided and mutually understood |
| 3.2. Guidelines and procedures for administrative handling of requests developed | Guidelines drafted and procedures set for handling requests on administrative level | No guidelines nor procedures set for handling requests on administrative level | Guidelines drafted and procedures set by second half of 2012. | Guidelines available from project website and copies sent together with regular reporting | Technical expertise available for drafting or adapting guidelines. Help from academia and scientists |
| 3.3. Staff trained to handle confidential information in requests | Training organized for handling confidential information | No trainings organized for handling confidential information | Trainings organized by 2012 | Training lists and programmes submitted with regular reporting | Provisions of handling confidential information drafted together with amended or new pieces of legislation, i.e. the topic is regulated by the time of training |
| 3.4. Technical experts trained in RARM | Trainings for RA and RM organized for technical and scientific staff | No trainings on RARM organized for scientific staff | RARM trainings organized by the end of 2012. | Training lists and programmes submitted with regular reporting | Technical expertise available (including international expertise) for trainings. Help from |

| | | | | | |
|---|---|---|--|--|---|
| | | | | | academia and scientists |
| 3.5. Checklist and technical tools developed and made available | Guidelines, checklists and technical tools drafted and made available for handling requests on scientific and technical level | No guidelines, checklists available | Guidelines and checklists drafted and published by the end of 2012. | Guidelines available from project website and copies sent with regular reporting | Technical expertise available for drafting guidelines. Help from academia and scientists |
| 3.6. Equipping reference laboratory | Reference laboratory equipped | No reference laboratory, laboratories in Tajikistan are not sufficiently equipped for LMO analysis | Reference laboratory equipped and accredited by 2012. | List of inventory together with project reporting | Laboratory cooperating and cofinancing the process |
| Component 4: Monitoring and enforcement | | | | | |
| Outcome 4: An operational and integrated system for post-release monitoring, enforcement and emergency response | | | | | |
| Outputs: | | | | | |
| 4.1. Staff trained in post-release monitoring and enforcement | Trainings organized for post release monitoring and enforcement | No trainings organized for post release monitoring and enforcement | Trainings organized by the end of 2012. | Training lists and programmes submitted with regular reporting | Technical expertise available for trainings. Help from academia and scientists |
| 4.2. Developing technical guidelines for monitoring | Technical guidelines for monitoring developed | No guidelines available | Guidelines developed by second half of 2012. | Guidelines available from project website, and sent with regular reporting | Technical expertise available for drafting guidelines. Help from academia and scientists |
| 4.3. Developing emergency response plans | Emergency response plans developed | No emergency response plan | Emergency response plan developed by 2013. | Plan available from official website of the government | Technical expertise available. Help from academia and scientists |
| Component 5: Public awareness and participation | | | | | |
| Outcome 5: An effective platform for public dialogue, awareness raising and participation in the decision making process | | | | | |
| Outputs: | | | | | |
| 5.1. A mechanism for public access to information and information sharing set up via the national BCH | National BCH updated and made available for public access | BCH was established in 2005-2006, but it needs updating. No manuals in local language how to use BCH | By 2012, manuals for using of BCH published and workshops for members of competent authorities organized | BCH available electronically | Public is aware about BCH Sufficient equipment available for maintaining BCH |
| 5.2. A platform for enhancing public awareness and education on biosafety issues in place | Info days and trainings organized and informative and educational materials published | Only a few info days and trainings have been organized about biosafety and some publications have been published, but this is not sufficient for public awareness | By the end of 2013, trainings organized and publications prepared | Training lists and programmes submitted with regular reporting together with published materials | High public interest in biosafety questions, no opposition from any interest group, NGOs willing to cooperate and help in setting public platform |
| 5.3 Organizing public opinion poll | Public opinion poll organized | No public opinion poll conducted in Tajikistan | By end of 2013 poll organized | Results of poll published in project | Public is interested in participating in the poll, |

| | | | | | |
|--|--|--|--|---------|--|
| | | | | website | providing relevant and useful information about biosafety and their opinions |
|--|--|--|--|---------|--|

Appendix 4: Project workplan

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Outcome 1: National consensus on strengths and weaknesses in national capacity and integrated into national plans and strategies | | | | | | | | | | | | |
| <i>Proposed activities</i> | | | | | | | | | | | | |
| 1.1. Inception workshop | | | | | | | | | | | | |
| 1.2. Analysis of agreements, national strategies and other relevant documents and of relations between biosafety and existing policies | | | | | | | | | | | | |
| 1.3. Making recommendations based on gap analysis how to proceed with biosafety in Tajikistan | | | | | | | | | | | | |
| 1.4. Setting up Working Group on development of National Strategy | | | | | | | | | | | | |
| 1.5. Meetings and consultations with specific groups of stakeholders incl government policy makers and Ministers on NSAPB | | | | | | | | | | | | |
| 1.6. Development of National strategy in line with international obligations and national policies | | | | | | | | | | | | |
| 1.7. Submission of document to the Government for approval | | | | | | | | | | | | |

Appendix 6: Key Deliverables and Benchmarks

| Key Deliverables (Outputs) | Benchmark |
|---|--|
| <i>Outcome 1. National consensus on strengths and weaknesses in national capacity and integrated into national plans and strategies</i> | |
| Outputs: | By the end of first half of 2011, gap analysis performed |
| 1.1. Existing strengths and weaknesses identified | |
| 1.2. Strategy to process developed | By third quarter of 2011, recommendations made by experts about short and long term strategy for biosafety |
| 1.3. An approved National Strategy and Action Plan on Biosafety (NSAPB) | By the end of 2012, NSAPB developed, discussed with major stakeholders and approved by relevant authority |
| <i>Outcome 2: An efficient and operational regulatory framework with full public participation</i> | |
| Outputs: | |
| 2.1. Implementing regulations developed | By the end of 2012 biosafety law amended and secondary legislation developed |
| 2.2. Technical documents and tools developed | Technical documents and tools developed by 2013, |
| <i>Outcome 3. An operational institutional structure for effective decision making and an efficient system for administrative processing of requests</i> | |
| Outputs: | |
| 3.1. Administrative body to handle requests established | By 2012 administrative body for handling requests established |
| 3.2. Guidelines and procedures for administrative handling of requests developed | Guidelines drafted and procedures set by second half of 2012. |
| 3.3. Staff trained to handle confidential information in requests | Trainings organized by 20.... |
| 3.4. Technical experts trained in RARM | RARM trainings organized by the end of 2012. |
| 3.5. Checklist and technical tools developed and made available | Guidelines and checklists drafted and published by the end of 2012. |
| 3.6. Equipping reference laboratory | Reference laboratory equipped and accredited by 2012. |
| <i>Outcome 4. An operational and integrated system for post-release monitoring, enforcement and emergency response</i> | |
| Outputs: | |
| 4.1. Staff trained in post-release monitoring and enforcement | Trainings organized by the end of 2012. |
| 4.2. Developing technical guidelines for monitoring | Guidelines developed by second half of 2012. |
| 4.3. Developing emergency response plans | Emergency response plan developed by 2013. |
| <i>Outcome 5. An effective platform for public dialogue, awareness raising and participation in the decision making process</i> | |
| Outputs: | |
| 5.1. A mechanism for public access to information and information sharing set up via the national BCH | By 2012, manuals for using of BCH published and workshops for members of competent authorities organized |
| 5.2. A platform for enhancing public awareness and education on biosafety issues in place | By the end of 2013, trainings organized and publications prepared |
| 5.3. Organizing public opinion poll | By end of 2013 poll organized |

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

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: Stocktaking and integration of biosafety issues | | | | | | | | | | |
| 1.1. Existing strengths and weaknesses | Gap analysis of national | Basic information was | NA | By the end of first half of 2011, | Gap analysis available | Once during the project implementation | Representatives of Competent | NEA, NCC | By the end of first half | Half-yearly reporting included in |

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

Annex 7: Costed M&E Workplan

| | | | | | | | | | | |
|---|---|--|-------------|--|---|--|---|-------------------|--------------------------|---|
| identified | strengths and weaknesses in regard of biosafety composed | collected during NBF development project, but it is outdated and needs to be updated as biosafety is a rapidly developing area | | gap analysis performed | from project website | n, at the midterm review | authorities and national experts | | of 2011 | overall project management costs; midterm and final evaluations plus audit included under M&E |
| 1.2 Strategy to process developed | Recommendations based on gap analysis how to proceed with biosafety in Tajikistan submitted | There is neither biosafety policy in Tajikistan nor any clear vision about possible future developments | NA | By third quarter of 2011, recommendations made by experts about short and long term strategy for biosafety | Recommendations available from project website | Once during the project implementation, at the midterm review | Representatives of Competent authorities and national experts | NEA, NCC and UNEP | By third quarter of 2011 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| 1.3. An approved National Strategy and Action Plan on Biosafety (NSAPB) | NSAPB drafted, discussed and approved | There is neither biosafety policy in Tajikistan nor any clear vision about possible | Draft NSAPB | By the end of 2012, NSAPB developed, discussed with major stakeholders and approved by | Draft available from project website, final NSAPB published in official | Twice during the project implementation, in the midterm review and at the end of the project | Representatives of Competent authorities | NEA, NCC and UNEP | By the end of 2012 | Half-yearly reporting included in overall project management costs; midterm |

Annex 7: Costed M&E Workplan

| | | | | | | | | | | |
|--|---|--|-------------------------------------|--|--|--|---|-----|--------------------|---|
| | | future developments | | relevant authority | website of the government | | | | | and final evaluations plus audit included under M&E |
| Component 2: Regulatory system | | | | | | | | | | |
| 2.1. Implementing regulations developed | Biosafety law and regulations drafted, discussed and submitted for approval | Biosafety law was adopted in 2005, but it needs updating and drafting of secondary legislation | Draft amendments | By the end of 2012 biosafety law amended and secondary legislation developed | Drafts of law and regulations available from project website and once approved published in the official website of the government | Twice during the project implementation, in the midterm review and at the end of the project | Representatives of Competent authorities and national experts, lawyers | NEA | By the end of 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| Technical documents and tools developed by 2013, | Documents and tools available from project website | No technical documents and tools available | Draft technical documents and tools | Technical documents and tools developed by 2013, | Documents and tools available from project website | Twice during the project implementation, in the midterm review and at the end of the project | Competent authorities, project partner scientific institutions, private companies | NEA | By 2013 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |

Annex 7: Costed M&E Workplan

| Component 3: Administrative framework | | | | | | | | | | |
|--|---|--|--|---|--|--|---|-------------------|-------------------------------------|---|
| 3.1. Administrative body to handle requests established | Competent authorities nominated and relevant administrative system for handling requests established, including National Biosafety Commission | There is no administrative body for handling requests established | Identification of responsible government structure | By 2012 administrative body for handling requests established | Contacts of administrative body published in BCH central portal and other details available from project website | Once during project implementation in the midterm review | Representatives of Competent authorities | NEA, NCC and UNEP | By 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| 3.2. Guidelines and procedures for administrative handling of requests developed | Guidelines drafted and procedures set for handling requests on administrative level | No guidelines nor procedures set for handling requests on administrative level | Draft guidelines | Guidelines drafted and procedures set by second half of 2012. | Guidelines available from project website and copies sent together with regular reporting | Two times during project implementation and midterm review | Representatives of Competent authorities, Scientific community and line ministries. | NEA, NCC and UNEP | By the 2 nd half of 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| 3.3. Staff trained to handle confidential information | Training organized for handling confidential | No trainings organized for handling | Training programme and dates according to project | Trainings organized by 2012 | Training lists and programmes submitted with regular | Two times during project implementation and midterm review | Representatives of Competent authorities and national | NEA, NCC and UNEP | By 2012 | Half-yearly reporting included in overall project |

Annex 7: Costed M&E Workplan

| | | | | | | | | | | |
|--|--|---|--|---|---|--|--|----------------------|--------------------------|---|
| in requests | information | confidential information | detailed workplan | | reporting | | experts | | | managem nt costs; midterm and final evaluations plus audit included under M&E |
| 3.4. Technical experts trained in RARM | Trainings for RA and RM organized for technical and scientific staff | No trainings on RARM organized for scientific staff | Training programm e and dates according to project detailed workplan | RARM trainings organized by the end of 2012. | Training lists and programm e s submitted with regular reporting | Twice during the project implementatio n, in the midterm review and at the end of the project | Representati ves of Competent authorities and national experts, scientists | NEA, NCC and UNEP | By the end of 2012 | Half-yearly reporting included in overall project managem nt costs; midterm and final evaluations plus audit included under M&E |
| 3.5. Checklist and technical tools developed and made available | Guidelines, checklists and technical tools drafted and made available for handling requests on scientific | No guidelines, checklists available | Draft guidelines | Guidelines and checklists drafted and published by the end of 2012. | Guidelines available from project website and copies send with regular reporting | Twice during the project implementatio n, in the midterm review and at the end of the project | Representati ves of Competent authorities and national experts, scientists | NEA, NCC and UNEP | By the end of 2012 | Half-yearly reporting included in overall project managem nt costs; midterm and final evaluations plus audit |

Annex 7: Costed M&E Workplan

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|---|---|--|---|---|--|--|--|-------------------|--------------------|---|
| | and technical level | | | | | | | | | included under M&E |
| 3.6. Equipping reference laboratory | Reference laboratory equipped | No reference laboratory, laboratories in Tajikistan are not sufficiently equipped for LMO analysis | List of equipment to be purchased, accreditation documentation | Reference laboratory equipped and accredited by 2012. | List of inventory together with project reporting | Twice during the project implementation, in the midterm review and at the end of the project | Representatives of Competent authorities and national experts, scientists and representatives from lab | NEA, NCC and UNEP | By 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| Component 4: Monitoring and enforcement | | | | | | | | | | |
| 4.1. Staff trained in post-release monitoring and enforcement | Trainings organized for post release monitoring and enforcement | No trainings organized for post release monitoring and enforcement | Training programme and dates according to project detailed workplan | Trainings organized by the end of 2012. | Training lists and programmes submitted with regular reporting | Two times during project implementation and midterm review | Representatives of Competent authorities and national experts | NEA | By the end of 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |

Annex 7: Costed M&E Workplan

| | | | | | | | | | | |
|--|--|---|---|---|--|--|--|-------------------|------------------------|---|
| 4.2. Developing technical guidelines for monitoring | Technical guidelines for monitoring developed | No guidelines available | Draft guidelines | Guidelines developed by second half of 2012. | Guidelines available from project website, and sent with regular reporting | Two times during project implementation and midterm review | Competent authorities, project partner scientific institutions | NEA, NCC and UNEP | By second half of 2012 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| 4.3. Developing emergency response plans | Emergency response plans developed | No emergency response plan | Draft emergency response plan | Emergency response plan developed by 2013. | Plan available from official website of the government | Twice during the project implementation, in the midterm review and at the end of the project | Competent authorities, project partner scientific institutions | NEA, NCC and UNEP | By 2013 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| Component 5: Public awareness and participation | | | | | | | | | | |
| 5.1. A mechanism for public access to information and | National BCH updated and made available for public | BCH was established in 2005-2006, but it needs updating. No | Draft manuals, Training programme and dates according | By 2012, manuals for using of BCH published and | BCH available electronically | Twice during the project implementation, in the midterm review and at | Representatives of Competent authorities and national experts, | NEA, NCC and UNEP | By 2012 | Half-yearly reporting included in overall project management |

Annex 7: Costed M&E Workplan

| | | | | | | | | | | |
|---|---|---|---|---|--|--|--|----------|--------------------|---|
| information sharing set up via the national BCH | access | manuals in local language how to use BCH | to project detailed workplan | workshops for members of competent authorities organized | | the end of the project | NGOs | | | nt costs; midterm and final evaluations plus audit included under M&E |
| 5.2. A platform for enhancing public awareness and education on biosafety issues in place | Info days and trainings organized and informative and educational materials published | Only a few info days and trainings have been organized about biosafety and some publications have been published, but this is not sufficient for public awareness | Draft publications, Training programme and dates according to project detailed workplan | By the end of 2013, trainings organized and publications prepared | Training lists and programmes submitted with regular reporting together with published materials | Twice during the project implementation, in the midterm review and at the end of the project | Representatives of Competent authorities and national experts, NGOs | NEA, NCC | By the end of 2013 | Half-yearly reporting included in overall project management costs; midterm and final evaluations plus audit included under M&E |
| 5.3 Organizing public opinion poll | Public opinion poll organized | No public opinion poll conducted in Tajikistan | NA | By end of 2013 poll organized | Results of poll published in project website | At the end of the project | Representatives of Competent authorities company performing the poll | NEA, NCC | By end of 2013 | Half-yearly reporting included in overall project management costs; midterm and final |

Annex 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 | Within 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 | Within 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 | Within 6 months of project completion date | N/A | Government Audit Office or Executing partner to contract private firm |
| Independent terminal evaluation report | Within 6 months of project completion date | Appendix 9 to Annex 1 UNEP Prodoc | EOU |

Terminal Evaluation of the UNEP GEF project “Supporting the Implementation of National Biosafety Framework of Republic of Tajikistan”

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

The objective was stated as: The project objective is to assist the Republic of Tajikistan to implement its National Biosafety Framework (NBF) in order to comply with the Cartagena Protocol on Biosafety .

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 National Center on Implementation of National Environmental Action Plan, Republic of Tajikistan.

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 | \$840000 | \$540000 |
| TOTAL (including project preparation funds) | \$ 840000 | \$540000 |

Co-funding sources:

1) Government in-kind **\$ 540000**
National Center on Implementation of National Environmental Action Plan **60 000 USD**
Ministry of Finances **480 000 USD**

2) Government in cash **\$ -**

Anticipated:

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.

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

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.
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?

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

- *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:

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.

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

- *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 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

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

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 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.

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

- 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.

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

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

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:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **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.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **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).
- v) **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 positive or negative. The ratings

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

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

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

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
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. Khursandkul ZIKIROV
Chairman
State Committee on Environment
5/1 Shamsi Str
Dushanbe - 734034, Tajikistan
Tel: +992 44 6003541; +992 44 6003541
Fax: (992 37) 236-13-53
Email: khzikirov@tojikiston.com

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 **ddmmyyy** and end on **ddmmyyyy** (# days) spread over # weeks (# days of travel, to {country(ies)}, and # days desk study). The evaluator will submit a draft report on **ddmmyyyy** 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

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

be sent to the consultant by ddmmyyyy after which, the consultant will submit the final report no later than ddmmyyyy.

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.

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.

Annex 1: Project Document

“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* 'GEF EO' rating + 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”:

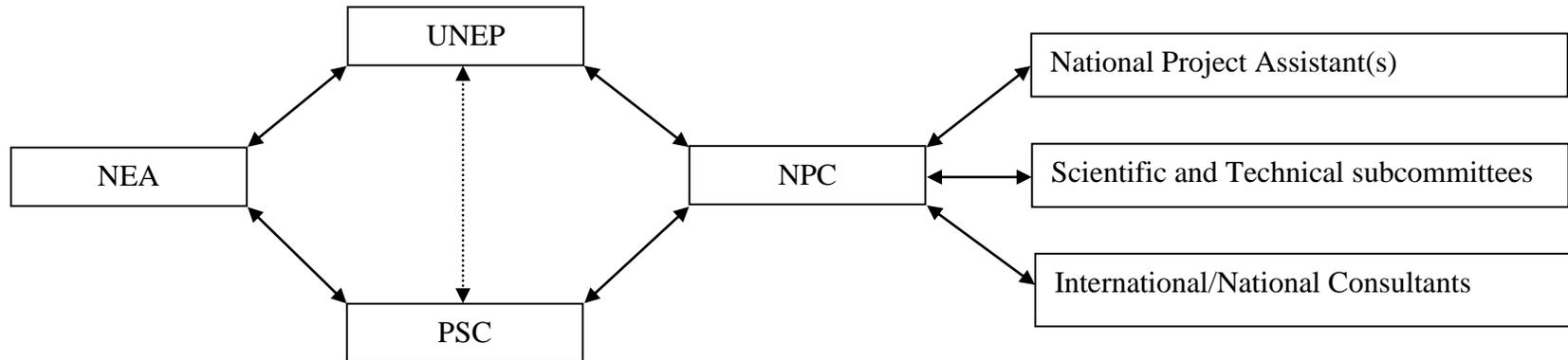
1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there 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 organigram



UNEP: United Nations Environmental Programme

NEA: National Executing Agency, National Center on Implementation of National Environmental Action Plan, Republic of Tajikistan

PSC: Project Steering Committee

NPC: National Project Coordinator

APPENDIX 11: TERMS OF REFERENCE

Terms of Reference for:

1. **National Executing Agency (NEA)**
2. **Project Steering Committee (PSC)**
3. **National Project Coordinator (NPC)**
4. **Project Assistant(s)**

- 1) The **National Executing Agency (NEA)**, in addition to other duties given to it by the National Government, will:
 - a) Appoint a National Project Coordinator (NPC) taking into account the sustainability of the national biosafety activities after the project completion;
 - b) Establish the Project Steering Committee (PSC) ;
 - c) Provide the necessary scientific, technical, financial and administrative support necessary to the PSC so that it can carry out its work in close collaboration with the relevant government agencies and other stakeholders and implementing partners;
- 2) The **Project Steering Committee (PSC)** will be established by the National Executing agency (NEA) in consultation with all Biosafety relevant stakeholders to advice and guide the implementation of the project. The functions of the PSC are to:
 - a) Provide overall advice on the implementation of the project;
 - b) Oversee the progress of the project execution to ensure that its objectives will be met by the end of the project;
 - c) Make recommendation to UNEP when revision of the result framework, work plan or M&E plan are needed;
 - d) Catalyse inter-departmental and broader national stakeholder support towards achieving the objectives of the project.
 - e) Develop a common understanding on what is necessary to accelerate the establishment of the national biosafety institutional structure;
 - f) Approve the detailed work plan and budget provided by the NPC ;
 - g) Mobilize the necessary expertise in collaboration with the NEA and UNEP needed for the execution of the national project;
 - h) Ensure that government policy is reflected in all documentation and outputs from the national project ;
 - i) Act as discussion forum to air differences and listen to varieties of views and record the process.
- 3) The National Project Coordinator (**NPC**) **will** be appointed by the NEA and will therefore report to the NPD and the PSC. The NPC shall:
 - a) Draw up detailed work plans and budget under the supervision of the NPD and PSC ;
 - b) Communicate with authorities, institutions and government departments concerned in close collaboration with the NDP and the PSC;
 - c) Search, create and maintain linkages with other related national programs and projects;
 - d) Draw up and supervise terms of reference for consultants and experts in the execution of components of the national project;
 - e) Organize, appoint and management of the consultants and experts;
 - f) Oversee the technical and financial management of the national project including supervision of allocation of overall resources and if necessary, submitting proposals for budget review to PSC and UNEP ;
 - g) Oversee responsibility and reporting on monitoring and evaluation processes as per appendix 7

- h) Coordinate the work of all the stakeholders under the supervision of NEA and PSC and in collaboration with UNEP;
- i) Provide information to the NPD and the PSC on all the activities of the government, private and public sectors which have an impact on the safe use of modern biotechnology ;
- j) Draw up and submit regular progress reports, financial reports and Draft PIR reports to UNEP.

4) The **project assistants (PA)** will carry out the following tasks:

- a) 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;
- b) Assist with the organisation of the National Coordinating committee meetings;
- c) Assist in drafting Terms of Reference for the National Project components consultants and experts;
- d) Assist the NPC ensuring that all activities are carried out on time and within budget to achieve stated outputs;
- e) Assist in providing information to the PSC about all government private and public sector activities which impact on any use of modern biotechnology;
- f) Assist in the preparation of the project monitoring and evaluation plan;
- g) Assist with the identification of appropriate project indicators able to reflect progress of activities as well as impact;
- h) Assist in capturing and incorporating recommendations from PSC meetings into project execution and monitoring and evaluation plan;
- i) Assist with the preparation of the terminal report and other project closure procedures at project completion;
- j) Attend workshops and consultations as appropriate;
- k) Any other task assigned.

ҶУМҲУРИИ ТОҶИКИСТОН
ВАЗОРАТИ КИШОВАРЗӢ
ВА ҲИФЗИ ТАБИАТ



РЕСПУБЛИКА ТАДЖИКИСТАН
МИНИСТЕРСТВО СЕЛЬСКОГО
ХОЗЯЙСТВА И ОХРАНЫ ПРИРОДЫ

734025. ш. Душанбе, хиёбони Рӯдаки 44. тел: (992 372) 21-15-96, факс: 21-80-03. E-mail: akadirov@tojikiston.com
734025. г. Душанбе, проспект Рудаки 44. тел: (992 372) 21-15-96, факс: 21-80-03. E-mail: akadirov@tojikiston.com

№ 114-1402
Аз «27» 04 соли 2004
От _____
Ба № _____
На _____

To: Mr. Shafqat Kakakhel,
Deputy Executive Director
Officer-in-Charge
Division of GEF Coordination
United Nations Environment Programme
P.O. Box 30552, Nairobi 00100
Tel: 254 20 624166
Fax: 254 20 624041/42

Subject: **Request a Support for Tajikistan's Implementation of the NBF Proposal**

Dear Mr. Kakakhel,

In my capacity as the GEF Focal Point for Tajikistan, I would like to confirm our full support for the GEF Medium-sized project entitled "*Implementation of the NBF for Tajikistan*", and would like UNEP to take all the necessary steps to submit the project proposal to the GEF Council for approval.

As an indication of our support, we are pledging co-financing of \$540,000 for the project, which includes an in-kind government contribution of \$480,000 and a cash contribution of \$60,000.

I look forward to further hearing from you regarding this project, and cooperating with UNEP on this matter.

Sincerely yours,


A. KODIRI,
Minister,
GEF Political Focal Point

АГЕНТИИ
ЗАМИНСОҶИ, ГЕОДЕЗӢ
ВА ХАРИТАСОЗИИ НАЗДИ
ҲУКУМАТИ ҶУМҲУРИИ
ТОҶИКИСТОН



АГЕНТСТВО
ПО ЗЕМЛЕУСТРОЙСТВУ,
ГЕОДЕЗИИ И КАРТОГРАФИИ
ПРИ ПРАВИТЕЛЬСТВЕ
РЕСПУБЛИКИ ТАДЖИКИСТАН

AGENCY FOR LAND MANAGEMENT, GEODESY AND CARTOGRAPHY
UNDER THE GOVERNMENT OF THE REPUBLIC OF TAJIKISTAN

734067 г. Душанбе Гитроземгородок, 15, тел: 2217321; 2213848; 2311683, факс: 2217002; 2311487, E-mail: komzem@tajnet.com

«29» февраля 2008 г. № 02-16

To: Dr Maryam Niamir-Fuller
Director, Division of GEF Coordination
United Nations Environment Programme
Nairobi, Kenya

Subject: **Endorsement for the Project “Supporting the Implementation of the National Biosafety Framework of the Republic of Tajikistan”**

In my capacity as GEF Operational Focal Point for Tajikistan I confirm that the above project proposal is (a) in accordance with the government's national priorities and the commitments made by Tajikistan 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 National Biodiversity and Biosafety Center, Republic of Tajikistan. Further, I request UNEP to provide a copy of the project document so as to allow us to comply with our national procedures before it is submitted to the GEF Secretariat for CEO endorsement.

I understand that the total GEF financing being requested for this project is US\$ 924,000, 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 Tajikistan 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.

Climate Change: \$

Biodiversity: \$ 924,000

Sincerely,

A handwritten signature in blue ink, appearing to read 'Davlatsho Gulmakhmadov'.

**Davlatsho Gulmakhmadov,
GEF Operational Focal Point**

Copy to: Convention Focal Point for UNCBD
Convention Focal Point to UNFCCC

Appendix 14. Draft procurement plan

| Item | Purchase timing | Cost (estimated) US\$ |
|---|------------------------|------------------------------|
| Laboratory equipment – Real Time -PCR machine | First year first half | 80,000 |
| Laboratory equipment - Sequencer | First year first half | 70,000 |



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) |

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| 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.

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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.

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I. Project General Information

1. Project Name: Support the Implementation of the National Biosafety Framework of Republic of Tajikistan
2. Project Type (MSP or FSP): **MSP**
3. Project ID (GEF): 3211
4. Project ID (IA):
5. Implementing Agency: **UNEP**
6. Country(ies): Tajikistan

Name of reviewers completing tracking tool and completion dates:

| | Name | Title | Agency/Institution |
|--|------------------------------|---|---|
| Work Program Inclusion | Dr Neimatullo Safarov | Cartagena Protocol on Biosafety National Focal Point | National Center on Implementation of National Environmental Action Plan |
| Project Mid-term | | | |
| Final Evaluation/project completion | | | |

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

8. Lead Project Executing Agency (ies): National Center on Implementation of National Environmental Action Plan

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;

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- 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.

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Next Steps:

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

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> | | | |
| | Response Selection | | | |
| | A stand alone biosafety policy does not exist | 0 | There is no stand alone biosafety policy in Tajikistan | Biosafety policy as National Strategy and Action Plan on Biosafety (NSAPB) will be developed |
| | 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 | | |
| | 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 of Government or society. | 4 | | |
| | | | | |
| Biosafety | <i>Q2) Has a regulatory regime been developed and does it have full legal</i> | | | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|------------------------------|---|--|-----------------------------------|--|
| Regulatory Regime | <i>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 | Biosafety law was adopted in 2005 | Biosafety law needs updating and drafting of secondary legislation |
| | The regulatory regime has full legal force, is operational and linked to the administrative system -i.e. used for decisions | 3 | | |
| | 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> | | | |
| | <i>Response Selection</i> | | | |
| | Focal Points and National Competent | 0 | | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|--|---|---|--|---|
| | Authorities not appointed nor available via BCH | | | |
| | All Focal Points and National Competent Authorities appointed, and roles & responsibilities stated and available on BCH FP | 1 | | |
| | Procedures for handling requests have been designed, legally adopted, and made available to the public. | 2 | Law sets the basic rules for risk assessment, but there are neither manuals nor trainings so the systems remains to the system on the paper. | Full administrative system yet needs to be completed and staff to be trained. |
| | Requests have been received, processed, and decisions communicated to the BCH. Appeal procedures designed and operational. | 3 | | |
| | 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 | 0 | There is no competent | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|----------------|---|---|--|---|
| | LMOs | | authority performing risk assessment. There are no trained scientists able to make it. | |
| | Sectoral risk assessment dossiers are required to accompany LMO requests | 1 | According to legislation, risk assessment dossiers have to be submitted together with LMO requests | Staff need to be trained in regard of performing risk assessment - Trainings of scientists who will perform risk assessment, drafting guidelines and manuals |
| | 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 | | |
| | Decisions on LMOs are integrated across sectors (e.g. take into account risks to human health) | 3 | | |
| | Decision-making system allows for socio-economic considerations and for review of decisions based on new evidence | 4 | | |
| | | | | |
| Follow- | <i>Q5) Does an operational follow-up</i> | | | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|--|---|---|---|---|
| up and Monitoring | <i>and monitoring system exist?</i> | | | |
| | Response Selection | | | |
| | No system for follow-up and monitoring exists | 0 | There is no system for follow-up and monitoring | Trainings will be organized, manuals drafted and emergency response plan will be composed and implemented |
| | Institutional and human capacity in place to follow-up and monitor, including Risk Management for field-trials and post-release | 1 | | |
| | Compliance mechanisms for Risk Management established | 2 | | |
| | Liability and redress mechanisms in place | 3 | | |
| | Decisions, risk management plans, and reports on compliance and liability have been posted to the BCH | 4 | | |
| | | | | |
| Public awareness, education and participation | I. Awareness <i>Q6) Is information on LMOs made available to public?</i> | 0 | | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|--------------|--|---|---|---|
| ation | | | | |
| | 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 | There are some publications in local language about biosafety | More publications will be published, together with infodays etc, lectures will be worked out, poll will be organized. |
| | Information on LMOs generally available in at least one national language and is kept updated | 2 | | |
| | 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 | | |
| | Basic modern biotechnology and | 1 | Biotechnology is included | More specialized lecture |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|-------|---|---|--|---|
| | biosafety information included in the curricula at technical and college levels. | | into curricula at universities | courses and trainings will be worked out. |
| | Dedicated short-term courses on biosafety available for government staff at technical schools and higher education institutions. | 2 | | |
| | National association for biosafety established | 3 | | |
| | 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 is generally available, there are information available also from TV and radio | |
| | Mechanism for public involvement in LMO decision-making established | 2 | Mechanism is set in the law, but as there is no experience then the system is not yet functional | More information to the public will be provided together with trainings and infodays. . |
| | Evidence of level of public | 3 | | |

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| Issue | Scoring Criteria | Score: Tick only one box per question | Comment/Explanation | Next Steps |
|-------|---|---|---------------------|------------|
| | involvement in LMO decision-making available via BCH or other means | | | |
| | Regular open consultation meetings held on biosafety | 4 | | |
| | TOTAL SCORE | 9 | | |
| | TOTAL POSSIBLE | 32 | | |