

**UNITED NATIONS ENVIRONMENT PROGRAMME  
GLOBAL ENVIRONMENT FACILITY  
SUB-PROJECT DOCUMENT**

**SECTION 1: PROJECT IDENTIFICATION**

**1.1 Sub Programme Title:** Biodiversity Enabling Activities

**1.2 Project Title:** Development of the National Biosafety Framework

**1.3 Sub Project Title:** Development of the National Biosafety Framework for

**1.4 Project No:** GF/2716-01-4319

**1.5 Sub Project Number:** GF/2716-02-4

**1.6 Geographical scope:**

**1.7 Implementation:**

**1.8: Duration:** 18 months  
Commencing:  
Completion:

**1.9: Cost of National Project:**

- Cost to the GEF Trust Fund - US\$
- Co-financing (in-kind/in-cash
- Government contribution - US\$

**Total Cost of the Sub-project:** - US\$

**Signature:**

For:

\_\_\_\_\_

Date: \_\_\_\_\_

**Signature:**

For: United Nations Environment Programme

\_\_\_\_\_  
E. F. Ortega, Chief  
Budget and Financial Management Service  
UNON

Date: \_\_\_\_\_

## **SECTION 2: BACKGROUND AND JUSTIFICATION**

### **2.1. Background of the UNEP-GEF Global National Project**

2.1.1 In January 2000, agreement was reached on the Cartagena Protocol on Biosafety, which aims “to contribute to ensuring an adequate level of protection in the field of the safe transfer, handling and use of living modified organisms resulting from modern biotechnology that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health, and specifically focusing on transboundary movements”.

2.1.2 In November 2000, the 16<sup>th</sup> GEF Council approved the "*Initial Strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety*"(GEF/C.16/4). The main objectives identified in the strategy were:

- a) assist countries in implementing the Cartagena Protocol on Biosafety through the development and implementation of their national biosafety frameworks,
- b) promote information sharing and collaboration, especially at the regional and subregional level, and
- c) promote collaboration with other organizations to assist capacity-building for the implementation of the Cartagena Protocol on Biosafety.

2.1.3 At the same meeting the GEF Council also approved the UNEP/GEF Global Project entitled "Development of National Biosafety Frameworks", aimed at

- Assisting up to 100 eligible countries to prepare their national biosafety frameworks,
- Promoting regional and sub-regional collaboration and exchange of experience on issues of relevance to the national biosafety frameworks.

2.1.4 The overall objective of this UNEP/GEF Global Project is to prepare countries for the entry into force of the Protocol, by, among others, assisting in the following activities:

1. Carrying out an assessment of current technological capacity to manage Biosafety issues, and the implications of this on the implementation of a National Biosafety;
2. Strengthening national capacity to develop national regulatory biosafety frameworks;
3. Strengthening national capacity for competent decision making on notifications and requests related to Living Modified Organisms (LMOs), including the establishment of administrative systems to assist with:
  - Screening notifications and requests for completeness,
  - Risk assessment, including, where appropriate, the consideration of risk management, and risk evaluation (as socio-economic issues may be taken into account in accordance with the Protocol),
  - Decision making within the time limits specified in the regulatory framework and in accordance with the provisions of involvement of stakeholders, and
  - A mechanism for feed back between these different steps.
4. Applying other measures according to the Protocol taking into account the work of the Inter-governmental Committee for the Cartagena Protocol on Biosafety (ICCP);
5. Support regional and sub-regional collaboration, including harmonisation of the implementation of national regulations;

6. Raise public awareness and improve information flow to the public on the issues involved around the release of Living Modified Organisms to promote informed debate and to ensure transparency with respect to the regulation of LMOs.
7. Provide all stakeholders with an opportunity to be involved in the design and implementation of a National Biosafety Framework.

2.1.5. The implementation of this National Project, described hereafter, is aimed at assisting (name of the country) to develop its National Biosafety Framework, and will be undertaken in accordance with the overall objective of the UNEP/GEF Programme for Development of National Biosafety Frameworks, as approved by the November 2000 GEF Council meeting.

## **2.2 Country's current situation**

*Each country needs to complete this section with a brief statement about the current status of biosafety in the country (up to 1 page)*

# **SECTION 3: OBJECTIVE, OUTPUTS AND FOLLOW-UP**

## **3.1 Objective**

3.1.1 The main Objective of this National Project is the preparation / evaluation / revision of a National Biosafety Framework in accordance with the relevant provisions of the Cartagena Protocol on Biosafety.

3.1.2. The main elements of this framework would be

- a regulatory system
- an administrative system
- a decision making system that includes risk assessment and management
- mechanisms for public participation and information

## **3.2 Outputs**

The following outputs will be required to achieve the objective of the National Project

*Phase One of the national project (Months 1-6), which consists of preparatory activities and the gathering of the necessary information will be expected to produce the following outputs:*

- a. Inventories of the following:
  - i. Current use of modern biotechnology as defined in the Cartagena Protocol on Biosafety (including those techniques that are covered in the Protocol but excluded from the Advanced Informed Agreement procedure e.g. contained use, veterinary use and possibly human pharmaceuticals) ;
  - ii. Existing legislation or legal instruments related to biotechnology/biosafety, etc.;
  - iii. Active or planned National Projects for capacity building related to the safe use of biotechnology.
- b. A report on existing sub-regional biosafety frameworks and mechanisms for harmonization of risk assessment/management.
- c. Rosters of relevant experts within the country, identifying their experience and expertise so that adequate coverage in all areas of expertise is obtained and potential gaps can be identified.

*Phase Two of the national project (Months 7-12), which includes the necessary analysis for the preparation of the NBF, will be expected to produce the following outputs:*

- d. Access to relevant information for all stakeholders in accordance with the requirements of the Cartagena Protocol on Biosafety.
- e. Development of National Biosafety Database and linkages to the Biosafety Clearing House.
- f. Mechanisms for adequate involvement of all stakeholders, including public and private sectors, on issues related to biosafety.
- g. Identification of the components of the national Biosafety Framework, in consultation with all relevant stakeholders.

*Phase Three of the national project, (Months 13-18), during which the draft NBF will be prepared, will be expected to produce the following outputs:*

- h. Draft of legal instruments, including guidelines, as appropriate.
- i. Systems for risk assessment and management, including audit, which take into account national and sub-regional/regional needs.
- j. Administrative system for compliance with the Cartagena Protocol on Biosafety
- k. Mechanisms for public consultation in decision-making processes regarding LMOs.
- l. Mechanisms for sharing of scientific assessments at sub-regional levels, whilst allowing for decision-making at the national level.
- m. Identification of country needs and mechanisms for participation in the Biosafety Clearing House.
- n. Publication of inventories, reports of national meetings, draft and/or final National Biosafety Framework, relevant regulations and guidelines.

### **3.3 Follow-up action**

Subject to guidance provided to the GEF by ICCP and, in future by the Meetings of the Parties of the Cartagena Protocol on Biosafety, the country may be eligible for further assistance to implement its National Biosafety Framework. The follow-up activities will benefit from the experience gained in assisting pilot countries to implement their respective biosafety frameworks. This further development was set out in the GEF initial strategy on Biosafety adopted by the November 2000 GEF Council meeting.

## **SECTION 4: ROLES AND RESPONSIBILITIES**

### **4.1 National Executing Agency**

The **Name of the Agency**, acting as the ‘National Executing Agency’ (NEA), will be the legal entity responsible for executing the National Project. The NEA will be appointed by the National Government after consultation with the GEF and ICCP focal points. The Terms of Reference (TOR) for the NEA are in Annex 1.

### **4.2 National Co-ordinating Committee**

The National Co-ordinating Committee (NCC) will be established by the National Executing Agency (NEA) to advise and guide the preparation of a National Biosafety Framework. This committee will include representations of all government agencies with mandates relevant to the Cartagena Protocol on Biosafety and would be likely to 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. The Terms of Reference (TOR) for the NCC are in Annex 1.

### **4.3 National Project Co-ordinator**

The National Project Coordinator will be appointed by the National Executing Agency, after consultation with UNEP, on a full time basis 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. The Terms of Reference (TOR) for the NPC are in Annex 1.

### **4.4 Contact Details for National executing Agency**

All correspondence regarding substantive, financial and administrative matters of the National Project in **(specify country)** should be addressed to:

### **4.5 UNEP/GEF Biosafety Programme Team**

4.5.1 The UNEP/GEF team working on the “UNEP/GEF Global National Project for Development of National Biosafety Frameworks” will provide technical and financial support to the National Project.

4.5.2 All correspondence regarding the National Project between the country and UNEP should be addressed to:

Dr. Christopher Briggs  
Global Project Manager  
UNEP-GEF Biosafety Unit  
Maison de l'Environnement,  
15, Chemin des Anémones  
1219 Geneva, Switzerland

Telephone: (+41) (0)22 9178411  
Fax: (+41) (0)22 9178070  
E-mail: [chris.briggs@unep.ch](mailto:chris.briggs@unep.ch)

and to the relevant regional co-ordinator:

**UNEP Regional Coordinator (to be filled before sending the document)**

4.5.3 All correspondence regarding financial matters of the National Project between the country and UNEP should also be addressed to:

Mr. Jean Louis Ballardier  
Fund Management Officer  
UNEP-GEF Biosafety Unit  
Maison de l'Environnement,  
15, Chemin des Anémones  
1219 Geneva, Switzerland

Telephone: (+41) (0)22 9178410  
Fax: (+41) (0)22 9178070  
**E-mail:** [jlballadier@unep.ch](mailto:jlballadier@unep.ch)

## **SECTION 5 : WORKPLAN, TIMETABLE, BUDGET**

### **5.1 Workplan and Timetable**

The overall duration of the National Project is 18 months. A suggested flow chart of activities is shown in Fig. 1. A list of activities to produce the outputs, a suggested timetable of events, reporting schedule and responsibilities for their execution are detailed in Annex 2. The suggested format should be used by the Country to produce its own workplan.

### **5.2 Budget**

The full template for the budget is shown in Annex 4 according to the standard UNEP Format. The budget you will prepare will need to be directly linked to the work plan, and so a chart to assist you has been prepared as Annex 3. This chart is designed to help you link the work plan activities with a range of possible budget lines that you might need to employ to carry out each of the activities.

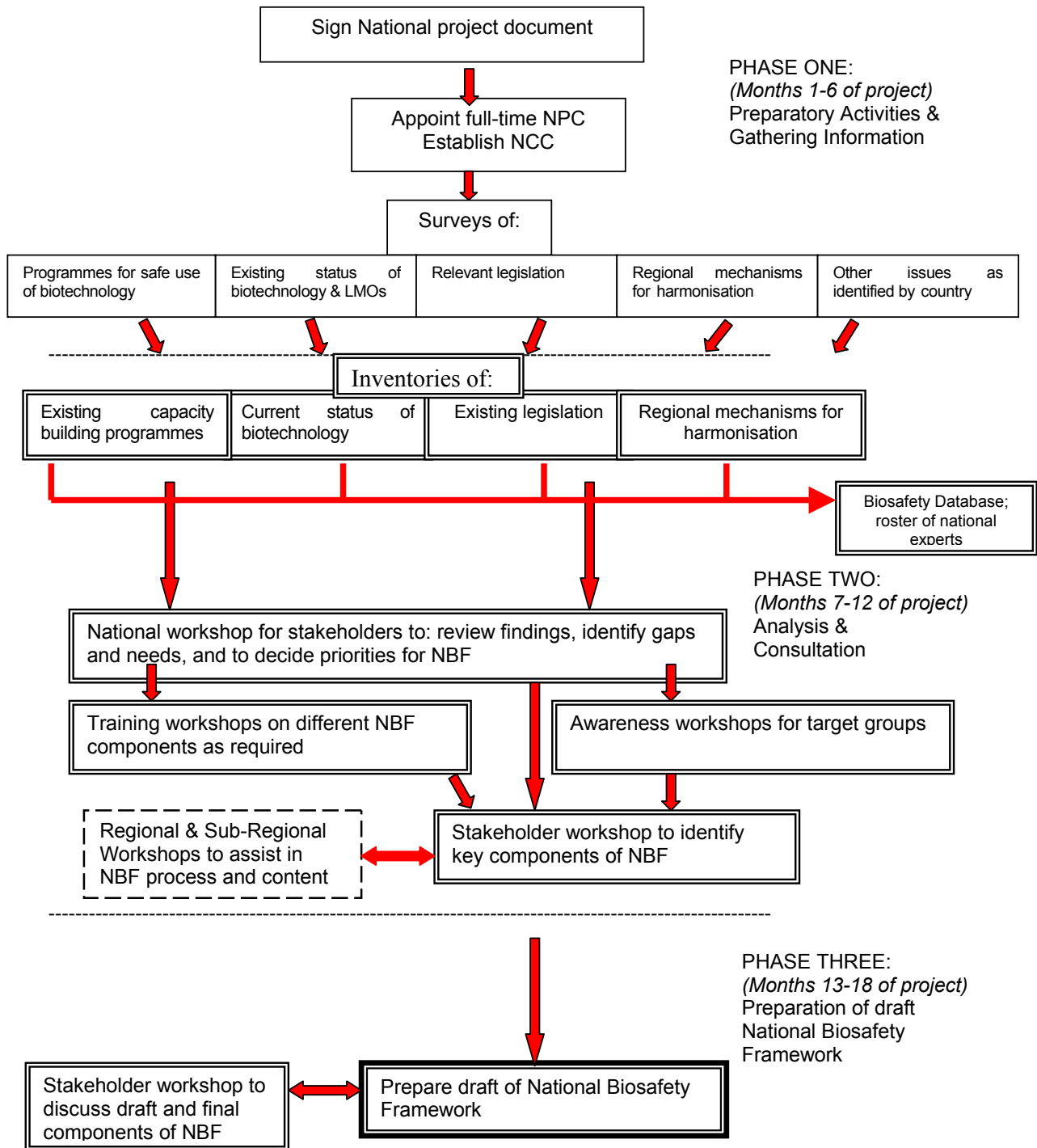
### **5.3 Cash Advance Requirements**

An initial cash advance of xxxxxx, equal to 15% of the total GEF contribution, will be paid by UNEP Budget and Financial Management Service, upon the signature of the MOU document by both parties and presentation of a Cash Advance Request (see Annex 6). This is intended to cover all expenditures to be incurred by the NEA during the first three months of National Project implementation. Subsequent advances will be made quarterly according to the agreed workplan and budget and subject to:

- a. Confirmation by the NEA, at least two weeks before payment is due, that the expected rate of expenditure and actual cash position necessitate the payment, including a reasonable amount to cover “lead time” for processing of the next remittance;
- b. The presentation of:
  - i. A satisfactory financial report (Quarterly National Project Expenditure Report) showing expenditures incurred during the past quarter under the National Project (see format at Annex 5 below);
  - ii. Timely and satisfactory reporting on National Project implementation;
  - iii. A Cash Advance Request (see Annex 6).

The balance of the payment will be made on completion of the National Project and after all final reports and accounts are submitted and approved.

**Figure 1: Suggested Flow Chart for National Project to develop National Biosafety Framework**



## **SECTION 6: MONITORING, REPORTING AND EVALUATION**

### **6.1 Management Reports**

#### 6.1.1 Quarterly Progress Reports

Within 30 days of the end of each quarterly reporting period (see Annex 2 ), the NEA shall submit to UNEP, using the format given in Annex 7, Quarterly Progress Reports documenting activities undertaken, results obtained and expenditures incurred.

#### 6.1.2 Terminal Report

Within 60 days of the National Project completion, the NEA shall submit to UNEP, after consultation with the NCC, a Terminal Report using the format shown in Annex 8. This report will include an overall assessment of the results, and progress toward achievement of the National Project objectives. This report will serve as a source of initial lesson for the country's experience and can recommend follow up activities.

### **6.2 Substantive reports**

6.2.1 Not later than (month, 2003-exact date to be agreed with the NEAs), the National Executing Agency will submit to UNEP the electronic and hard copy draft final version of the National Biosafety Framework and of any substantive National Project reports. At the same time, the NEA will inform UNEP of its plans for publication of that text. UNEP may provide the NEA with comments on the manuscript, indicating any suggestions for change and wording (recognition, disclaimers, etc.) that UNEP would wish to see in the preliminary pages or the introductory texts.

6.2.2 Both the cover and the title page of all substantive reports will carry the logo of UNEP (if issued as a publication) and the title "United Nations Environment Programme", together with that of the National Executing Agency publishing the report. Acknowledgement of the funding received from the Global Environment Facility (GEF) will also be made.

### **6.3 National Project Expenditure Accounts**

- (i) Details of National Project expenditures will be reported by the National Executing Agency in line with National Project budget codes, as set out in Annex 5, on a quarterly basis, and on completion of the National Project. All expenditure accounts will be dispatched to UNEP within 30 days after the period to which they refer certified by a duly authorized official of the National Executing Agency.
- (ii) Within 90 days of the completion of the National Project, the National Executing Agency will supply UNEP with a final statement of account in the same format as Annex 4, but covering the full period of the National Project, certified by a recognised firm of public accountants. In particular the auditors should be asked to report whether, in their opinion:
  - proper books of account and records have been maintained;
  - all National Project expenditures are supported by vouchers and adequate documentation;

- expenditures have been incurred in accordance with the objectives outlined in the National Project document.
- (iii) The National Executing Agency shall retain, for a period of three years following completion of the National Project, all supporting documents relating to financial transaction under this National Project. If requested by UNEP, the National Executing Agency will facilitate an audit by the UN Board of Auditors and/or UN Audit Service of the accounts of the National Project by granting reasonable access to the supporting documents relating to the financial transactions under this National Project during normal working hours and providing it is at no extra cost to the National Executing Agency.
- (iv) Any portion of cash advances remaining unspent or uncommitted by the National Executing Agency on completion of the National Project will be returned to UNEP within one month of the presentation of the final statement of accounts. In the event that there is any delay in such disbursement, the National Executing Agency will be financially responsible for any adverse movement in the exchange rates.

### **6.3.2 Cash Advance Accounts**

A final statement of all advances of cash provided by UNEP should be submitted in the format shown in Annex 6 together with the National Project expenditure details (see 6.3.1 (i) above) no later than **XX** days after completion of the National Project.

## **SECTION 7: TERMS AND CONDITIONS**

### **7.1 Legal agreement**

This National Project document is a legal agreement between UNEP and **specify the national body** and constitutes a memorandum of understanding between the parties to determine their separate responsibilities, functions and contributions.

### **7.2 Responsibility for cost overruns**

Any cost overrun (expenditure in excess of the amount budgeted in each budget line) shall be met by the organization responsible for authorizing the expenditure, unless written agreement has been received in advance from UNEP. In cases where UNEP has indicated its agreement to a cost overrun in a budget subline, either to transfer funds from one budget subline to another or to increase the total cost to UNEP, a revision to the National Project document amending the budget will be issued by UNEP.

### **7.3 Non-Expendable Equipment**

The National Executing Agency will maintain records of non-expendable equipment (items costing US\$1500 or more as well as items of attraction such as pocket calculators, cameras, computers, printers, etc.) purchased with GEF funds (or with Trust Funds or Counter funds administered by UNEP) and will submit an inventory of such equipment to UNEP twice a year following the standard UNEP format, Annex 9. This will be attached to the progress report, indicating description, serial no., and date of purchase, original cost, present condition,

location of each item. Purchase of equipment must be accompanied with quotations from at least three licensed companies with clear justification for selecting a particular vendor.

Non-expendable equipment purchased with funds administered by UNEP remains the property of UNEP until its disposal is authorised by UNEP, in consultation with National Executing Agency. National Executing Agency shall be responsible for any loss or damage to equipment purchased with UNEP administered funds. The proceeds from the sale of equipment (duly authorised by UNEP) shall be credited to the accounts of UNEP, or of the appropriate Trust fund or counterpart funds. National Executing Agency shall attach to the terminal report mentioned above, a final inventory of all non-expendable equipment purchased under this project following the standard UNEP format, indicating description, serial number, original cost, present condition, location and a proposal for the disposal of the said equipment. A duly authorised official of National Executing Agency should physically verify the inventory.

#### **7.4 Claims by Third Parties against UNEP**

The National Executing Agency shall be responsible for dealing with any claims which may be brought by third parties against UNEP and its staff, and shall indemnify UNEP and its staff against any claims or liabilities resulting from operations carried out by the National Executing Agency under this National Project document, except where it is agreed by the National Executing Agency and UNEP that such claims or liabilities arise from negligence or misconduct of the staff of UNEP.

#### **7.5 Termination of the National Project**

This National Project may be terminated upon joint agreement or after 3 months written notice from one party to the other.

#### **7.6 Disputes**

Any dispute, controversy, or claim arising out of or relating to this agreement, or the breach, termination, or invalidity thereof, shall be settled by arbitration under the UNCITRAL Arbitration Rules in effect on the date of this agreement.

## **LIST OF ANNEXES**

- Annex 1:** Draft Terms of Reference for: the National Executing Agency (NEA), National Project Coordinator (NPC) and the National Coordinating Committee (NCC)
- Annex 2:** Suggested work plan, responsibilities and timetable
- Annex 3:** Suggested budget lines related to work plan
- Annex 4:** Budget in UNEP format
- Annex 5:** Formats for Quarterly National Project Expenditure Report
- Annex 6:** Format for Cash Advance Statement
- Annex 7:** Format of Quarterly Progress Report
- Annex 8:** Format for Terminal Report
- Annex 9:** Format for Non Expendable Equipment Inventory Report

## ANNEX 1

### Draft Terms of Reference for:

- a) the National Executing Agency (NEA),
- b) National Project Coordinator (NPC) and
- c) the National Coordinating Committee (NCC)

- a) The **National Executing Agency (NEA)**, in addition to other duties given to it by the National Government, will:
- Establish the National Co-ordinating Committee (NCC);
  - Appoint a full time National Project Co-ordinator (NPC), taking into account the sustainability of national biosafety activities on completion of the National Project;
  - Provide the necessary scientific, technical, financial and administrative support to the work of the NCC, working in close co-operation with relevant government agencies, the scientific community and the public and private sectors;
  - Ensure that regular reports, financial accounts, and requests are submitted to UNEP as set out in section 6;
  - Review all documentation deriving from the National Project and any other relevant documentation to ensure that these are consonant with National Government;
  - Submit the final version of the National Biosafety Framework no later than eighteen months from signature of this Memorandum of Understanding.
- b) The **National Coordinating Committee (NCC)** will work together as a team on management of the National Project and meet at least on a quarterly basis with the following duties:
- Develop a common understanding of what is needed to expedite the preparation of a National Biosafety Framework;
  - Oversee the preparation of the National Biosafety Framework
  - Approve the detailed workplan and budget produced by the NPC;
  - Mobilise necessary expertise, as needed for the proper execution of the National Project outputs;
  - Provide overall policy advice on the implementation of the National Project;
  - Review and advise on the main outputs of the National Project;
  - Ensure that information on the implementation of the National Project as well as the National Project outputs is brought to the attention of local and national authorities for follow up;
  - Assist in mobilising available data and ensure a constant information flow between all concerned parties;
  - Allow for effective communication and decision-making between the National Project Coordinator and other actors;
  - Ensure that the environmental policy of the Government is fully reflected in the National Project documentation;
  - Review and approve the Biosafety Assessment, National Project Outputs and Framework Documents.

The National Project Co-ordinator (NPC) will act as the secretary of the NCC

- c) The **National Project Coordinator (NPC)** will carry out the following tasks:
- The National Project Coordinator (NPC) will act as the secretary of the NCC
  - Coordinate, manage and monitor the implementation of the National Biosafety Project conducted by the local and international experts, consultants, sub-contractors and co-operating partners;
  - Organize National Coordinating Committee meetings;
  - Prepare detailed workplan and budget under the guidance of the NCC;
  - Ensure effective communication with the relevant authorities, institutions and government departments in close collaboration with the National Coordinating Committee;
  - Foster, establish and maintain links with other related national and international programmes and National Projects;
  - Prepare and oversee the development of Terms of Reference for National Project components, consultants and experts;
  - Organize, contract and manage the consultants and experts, and supervise their performance;
  - Coordinate and oversee the preparation of the outputs of the NBF;
  - Manage the National Project finance, oversee overall resource allocation and where relevant submit proposals for budget revisions to the NCC and UNEP.
  - Manage the overall National Project ensuring that all the activities are carried out on time and within budget to achieve the stated outputs;
  - Coordinate the work of all stakeholders under the guidance of the NEA and the NCC and in consultation with the UNEP Global National Project Team;
  - Ensure that information is available to the NCC about all Government, private and public sector activities, which impact on any use of modern biotechnology;
  - Prepare and submit to UNEP and the NCC, regular progress and financial reports as set out in Section 6.

## ANNEX 2: Suggested work plan, responsibility and timetable

	ACTIVITIES	RESPONSIBILITY	MONTHS																	
			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1.	Appointment of a full time National Project Coordinator (NPC) for the duration of National Project	NEA in consultation with UNEP	■																	
2.	Office set up and running through Project life	NEA																		
3.	Establishment of National Coordinating Committee (NCC)	NEA																		
4.	Regular NCC meetings held (quarterly?)	NEA / NPC / NCC			■				■			■			■			■		
5.	Communicate to UNEP the name and contact details of NPC, and composition of the NCC	NEA	■																	
6.	Detailed planning and oversight of all surveys to be carried out by NPC	NEA in consultation with NCC		■	■	■	■	■	■											
7.	Submit 1st quarterly progress report to UNEP	NEA			◆															
8.	Survey of existing uses of biotechnology and the arrangements for safe use of biotechnology, including review and assessment of existing legislation that may impact on the use of modern biotechnology. (This may include phyto-sanitary, pesticide, herbicide, import and export legislation and guidelines)	NEA in consultation with NCC		■	■	■	■	■	■											
9.	Survey on existing national, bilateral and multilateral co-operative programmes in capacity building, R & D and application of biotechnology;	NEA in consultation with NCC		■	■	■	■	■	■											
10.	Survey on existing national biosafety frameworks in the countries of the sub-region;	NEA in consultation with NCC		■	■	■	■	■	■											
11.	Survey on existing mechanisms for harmonisation of risk assessment/risk management, mutual acceptance of data and data validation;	NEA in consultation with NCC		■	■	■	■	■	■											
12.	Survey on the extent and impact of release of LMOs and commercial products.	NEA in consultation with NCC		■	■	■	■	■	■											
13.	Submit 2nd quarterly progress report to UNEP	NEA							◆											
14.	Identify how information should be stored and managed for input in the BCH and for promoting public participation	NEA				■	■	■	■	■										
15.	Create a database listing national experts in fields related to biotechnology and biosafety, as well as in fields relevant to risk assessment and risk management of LMOs.	NEA				■	■	■	■	■										
16.	Create a database detailing relevant outputs of the national surveys	NEA				■	■	■	■	■										
17.	Submit 3rd quarterly progress report to UNEP	NEA									◆									
18.	Organise national workshop for the identification and analysis of options to implement relevant provisions of the Cartagena Protocol on Biosafety	NEA in consultation with UNEP								■	■	■	■	■						



### ANNEX 3: Suggested budget lines related to work plan

	ACTIVITIES	BUDGET LINES
1.	Appointment of a full time National Project Coordinator (NPC) for the duration of National Project	1101 (NPC costs) 1601 (staff travel and per diem)
2.	Office set up and running through Project life	1301 (personnel costs) 1601 (staff travel and per diem) 4101 (office supplies) 4120 (purchase of relevant material) 4201 (computers and other equipments) 4301 (premises costs) 5101 (equipment maintenance) 5220 (reporting costs) 5301 (communications costs)
3.	Establishment of National Coordinating Committee (NCC)	See Activity # 4.
4.	Regular NCC meetings held (quarterly?)	1601 (members travel and per diem)
5.	Communicate to UNEP the name and contact details of NPC, and composition of the NCC	
6.	Detailed planning and oversight of all surveys to be carried out by NPC	
7.	Submit 1st quarterly progress report to UNEP	
8.	Survey of existing uses of biotechnology and the arrangements for safe use of biotechnology, including review and assessment of existing legislation that may impact on the use of modern biotechnology. (This may include phyto-sanitary, pesticide, herbicide, import and export legislation and guidelines)	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
9.	Survey on existing national, bilateral and multilateral co-operative programmes in capacity building, R & D and application of biotechnology;	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
10.	Survey on existing national biosafety frameworks in the countries of the sub-region;	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
11.	Survey on existing mechanisms for harmonisation of risk assessment/risk management, mutual acceptance of data and data validation;	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
12.	Survey on the extent and impact of release of LMOs and commercial products.	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)

13.	Submit 2nd quarterly progress report to UNEP	
14.	Identify how information should be stored and managed for input in the BCH and for promoting public participation	Possible range of options to consider: A) NPC to carry this out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
15.	Create a database listing national experts in fields related to biotechnology and biosafety, as well as in fields relevant to risk assessment and risk management of LMOs.	4103 (computer software) Possible options A) NPC to carry out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
16.	Create a database detailing relevant outputs of the national surveys	4103 (computer software) Possible options: A) NPC to carry out B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
17.	Submit 3rd quarterly progress report to UNEP	
18.	Organise national workshop for the identification and analysis of options to implement relevant provisions of the Cartagena Protocol on Biosafety	3201 (training and workshops)
19.	Produce public awareness material and access to information for stakeholders	5201 (publication and outreach materials)
20.	A national workshop to review the findings of the surveys, identification of gaps, needs and priorities;	3201 (training and workshops)
21.	Training workshops on risk assessment and risk management;	3201 (training and workshops)
22.	Stakeholder workshops on the national biosafety framework targeted to relevant stakeholders including public and private sectors and, in particular, national legislators;	3201 (training and workshops)
23.	Preparation of material for a sub-regional workshop on harmonisation efforts in the preparation of the national biosafety frameworks and sharing of experiences;	3201 (training and workshops)
24.	Public awareness workshops on the national biosafety framework with the participation of NGOs, consumer organisations, the scientific community and the private sector including farmers, the food and feed industry and the chemical industry.	3201 (training and workshops)
25.	Submit to UNEP national workshop reports, including lists of participants and their constituencies.	5220 (reporting costs)
26.	Attendance at regional or sub-regional workshops as they occur	Budgetted for within global programme
27.	Submit 4th quarterly progress report to UNEP	
28.	Stakeholder workshop to identify key components of NBF	3201 (training and workshops)
29.	Prepare a National Biosafety Framework, including procedures for the safe application of biotechnology	Possible options A) NPC to carry out

	in accordance with the Cartagena Protocol on Biosafety (administrative, legislative, risk assessment and public participation systems)	B) 1201 (individual consultant) C) 2201 (sub-contract to governmental agencies) D) 2301 (subcontract to private firms)
30.	Submit 5th quarterly progress report to UNEP	
31.	Stakeholder workshop to discuss draft and final components of NBF	3201 (training and workshops)
32.	Identify follow-up actions as appropriate for the Implementation of the National Biosafety Framework	
33.	Prepare and agree with UNEP on Terminal Report	5220 (reporting costs)
34.	Publish inventories, reports, regulation and guidelines, etc. As appropriate	5201 (publication and outreach materials)
35.	Submit final report to UNEP	

#### ANNEX 4: Budget in UNEP format

Budget components	<u>GEF</u> <u>Contribution</u>	<u>Government</u> <u>Contribution</u>	<u>Total</u>
<b>10 NATIONAL PROJECT PERSONNEL COMPONENT</b>			
<b>1100 National Project Personnel</b>			
1101	NPC		
<b>1200 Consultants</b>			
1201	Individual Consultants		
<b>1300 Administrative Support</b>			
1301	Administrative Personnel		
<b>1600 Travels</b>			
1601	Staff and NCC member travel and per diem		
1999	<b>SUB-TOTAL (NATIONAL PROJECT PERSONNEL COMPONENT)</b>		
<b>20 SUB CONTRACT COMPONENT</b>			
<b>2200 Sub Contract for supporting organizations</b>			
2201	Sub-contract to governmental agencies		
<b>2300 Sub Contract for Commercial Purposes</b>			
2301	Subcontract to private firms		
2999	<b>SUB-TOTAL (SUB CONTRACT COMPONENT)</b>		
<b>30 TRAINING COMPONENT</b>			
<b>3200 Group training</b>			
3201	Training and workshops		
3999	<b>SUB-TOTAL (TRAINING COMPONENT)</b>		
<b>40 EQUIPMENT AND PREMISES COMPONENT</b>			
<b>4100 Expendable equipment</b>			
4101	Office supplies		
4103	Computer software		
4120	Purchase of relevant material		
<b>4200 Non-expendable equipment</b>			
4201	Computers and other equipments		
<b>4300 Premises</b>			
4301	Premises costs		
4999	<b>SUB-TOTAL (EQUIPMENT AND PREMISES COMPONENT)</b>		

Budget components (see page before)		<u>GEF</u> <u>Contribution</u>	<u>Government</u> <u>Contribution</u>	<u>Total</u>
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>			
<b>5100</b>	<b>Operation and maintenance equipment</b>			
	<b>5101</b>   Equipment maintenance			
<b>5200</b>	<b>Reporting Cost</b>			
	<b>5201</b>   Publication and outreach materials			
	<b>5220</b>   Reporting costs			
<b>5300</b>	<b>Sundry</b>			
	<b>5301</b>   Communications costs			
	<b>5302</b>   Audit of final accounts			
<b>5999</b>	<b>SUB-TOTAL (MISCELLANEOUS COMPONENT)</b>			
<b>9999</b>	<b><u>GRAND TOTAL</u></b>			

### Footnotes to the Budget

As a general rule, budget lines finishing with ....00 are main headers while budget lines finishing by ...99 are subtotals for those main headers. Each main header identifies different categories of expenditures and the system requires that the different cost items identified under specific activities be included under these categories. Budgeting must therefore be the result of a careful work planning exercise implying some decisions on the implementation strategy for specific activities of the project. Budgeting is therefore not an independent exercise, and must be justified by the work plan.

#### **National Project Personnel: National Project Coordinator (Budget Line 1101)**

For the purpose of this project only the NPC is considered the only full time permanent professional staff of the project. The cost of this category of personnel, with substantial expertise as well as managerial responsibilities, should be charged on this Budget Line. This line is only for direct contracting of individual services (not to be confused with the contracting of institutions even where these institutions lend their full time staff to the project).

#### **Consultants: Individual Consultants (Budget Line 1201)**

Each planned consultancy should be identified in the work plan and contain the costs of fees and travel. The consultants are likely to be needed in surveys, workshops, legal and technical reviews and advice, and may be employed for short periods. It would be expected that national consultancies would form the bulk of this budget line.

#### **Administrative Support Component: Personnel (Budget Line 1301)**

The cost for administrative personnel should be reflected on this line and should include clerical, secretarial/administrative support as well as logistical support on the basis of an itemized work plan.

#### **Travel Costs: travel for project Staff and NCC members and per diems: (Budget Line 1601)**

This line is for project staff and NCC travel and mission costs related to the implementation of the present project only. It is to be used only for travel and missions outside the area of normal project operations. An estimate for such costs should be prepared covering the entire project duration as part of the overall activity planning of the project at formulation time. This cost should be proportionate to the cost of the activities to be undertaken, and should include only necessary travel related to project implementation. Mission reports should be produced covering the use of these funds and the implementation of project activities.

### **Sub-contract Component (20)**

This component is for contracting entities other than individuals (Budget Line 1101 and 1301). Sub-contracts can be for either goods or services. In this project, we will consider service subcontracts as a way to contract entities with the required expertise to assist in implementing activities of the project.

#### **Sub Contract for supporting organizations: Sub-contract to government agencies (Budget Line 2201)**

This line is to be used only for public and government bodies that possess a specific technical expertise necessary for the implementation of project activities. Such institutions must have a public charter. In the context of this project, there is an expectancy that as much as possible the services provided by government bodies will fall into the category of 'government contribution'.

#### **Sub Contract for Commercial Purposes: Sub-contacts to private firms (Budget Line 2301)**

This line is to be used only for the contracting of entities of a private nature, who possess a specific technical expertise necessary for the implementation of project activities. This is the case for instance of the contracting of a consulting firm to carry out a series of activities for the project. This modality can be in some instances more advantageous than the recruitment of individual consultants when the range of services is wider than the skills of any individual.

#### **Group training: Training and Workshops (Budget Line 3201)**

In this project, only group training will be considered, particularly the series of workshops planned as part of the framework. Such costs have to be estimated before hand taking into account the venue, duration, timing, needs for facilitation and the expected number of participants. Each training activity must have terms of reference outlining specific objectives and a strategy to achieve them.

#### **Expendable equipment (Budget Lines 4101, 4103 and 4120)**

Expendable equipment is, for all practical purposes, equipment with a life cycle shorter than the expected duration of the project (around 18 months) with no residual value at the end of the process.

Within that definition, we include the office supplies and consumables such as stationary (BL 4101), the computer software necessary (BL 4103) and the purchase of other materials falling within this category definition or of a value of less than US\$ 250.00 (BL 4121).

#### **Non-expendable equipment (Budget Line 4201)**

In this category, the project will consider computers and other equipment with a serviceable life expectancy longer than the project and a value of US\$ 250.00 or more. Given the parameters of the project, this budget category should remain limited.

#### **Premises: Premises Costs (Budget Line 4301)**

This category has only been included for the purpose of reflecting the costs of rental of premises as part of the government contribution.

#### **Operation and maintenance of equipment: Equipment maintenance (Budget Line 5101)**

This line is intended for repair of equipment, and other costs associated with their continued operation. This is not however a line to charge the supplies necessary for the use of equipment. For instance, the paper and toner for a photocopy machine should be charged under BL 4101 but the cost of the photocopier maintenance service and the lubricants for the machinery should be applied in BL 5101.

The amount to plan for depends on the nature and age of equipment. With new equipment a minimal amount can be programmed depending on the nature of the guarantee covering the product. Higher amounts may be necessary for older equipment. There is no 'rule of thumb' for applying these costs and estimates must take into consideration other experiences before being finalized.

It is expected that the costs involved with operations and maintenance will be borne by the host government/institution.

#### **Publication and outreach materials (Budget Lines 5201)**

This line is intended for all the reports and documents produced by the project as part of its development activities included outreach materials and printing of the draft Biosafety frameworks.

#### **Reporting costs (Budget Lines 5220)**

This line concerns the reporting by the project of its activities to UNEP/GEF, where these costs involve activities beyond the normal functions of the project staff. It is important to plan for the costs appropriately. However, it is expected that the costs of project reporting will be kept to a minimum, as they are generally absorbed by the normal use of project staff resources (charged elsewhere) or because they constitute an item of government contribution.

#### **Sundry: Communications costs (Budget Line 5301)**

This line is used to charge telephone, fax, telex, Internet access, email, and mail costs.

#### **Evaluation: Audit of final accounts (Budget Line 5501)**

Evaluation of project activities is an important task and is part and parcel of the accountability of projects to donors and stakeholders. As in the case of project reporting, UNEP has various requirements, which will be communicated under separate notes.

However a specific responsibility of the host government is to undertake an external audit of final accounts of the project as part of the overall evaluation effort. The cost for this audit would be expected to be a government contribution to the project budget.

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Any questions related to budgeting issues should be conveyed to

Jean-Louis Ballardier, Fund Manager, UNEP Biosafety Project

[jl.balladier@unep.ch](mailto:jl.balladier@unep.ch)

Any communication should also be copied to the Regional Coordinator in charge of your host country.

## ANNEX 5: FORMAT OF QUARTERLY NATIONAL PROJECT EXPENDITURE ACCOUNTS

National Project statement of allocation (budget):

Expenditure and balance (expressed in US\$) covering the period ..... to .....

**National Project No.** ..... **Supporting Organization** .....

**National Project title:** .....

**National Project commencing:** ..... (date)      **National Project ending:** ..... (date)

Object of expenditure by UNEP budget code	National Project budget		Expenditure incurred				Unspent balance of budget	
	Allocation for year .....		For the quarter .....		Cumulative expenditures this year .....		Allocation for year .....	
	m/m (1)	Amount (2)	m/m (3)	Amount (4)	m/m (5)	Amount (6)	m/m (7)	Amount (2) - (6)
1100 National Project Personnel								
1200 Consultants								
1300 Administrative Support								
1600 Travels								
2200 Sub Contract for supporting organizations								
2300 Sub Contract for Commercial Purposes								
3200 Group training								
4100 Expendable equipment								
4200 Non-expendable equipment								
4300 Premises								
5100 Operation and maintenance equipment								
5200 Report Costing								
5300 Sundry								
9999 GRAND TOTAL								

Signed: \_\_\_\_\_  
Duly authorized official of supporting organization

**NB:** The expenditure should be reported in line with the specific object of expenditures as per National Project budget

**ANNEX 6: FORMAT FOR CASH ADVANCE STATEMENT**

**Cash advance statement**

Statement of cash advance as at \_\_\_\_\_  
And cash requirements for the quarter of \_\_\_\_\_

Name of co-operating agency \_\_\_\_\_  
Supporting organization \_\_\_\_\_  
National Project No. \_\_\_\_\_  
National Project title \_\_\_\_\_

**I Cash statement**

1. Opening cash balance as at ..... US\$ \_\_\_\_\_  
2. Add: cash advances received:

<b>Date</b>	<b>Amount</b>
.....	.....
.....	.....
.....	.....
.....	.....

3. Cash advanced to date on GEF contribution US\$ \_\_\_\_\_  
4. Less: total cumulative expenditures incurred US\$ ( \_\_\_\_\_ )  
5. Closing cash balance as at ..... US\$ \_\_\_\_\_

**II Cash requirements forecast**

6. Estimated disbursements for quarter ending .....US\$ \_\_\_\_\_  
7. Less: closing cash balance (see item 5, above) US\$ ( \_\_\_\_\_ )  
8. Total cash requirements for the quarter ..... US\$ \_\_\_\_\_

Prepared by \_\_\_\_\_ Request approved by \_\_\_\_\_

Duly authorised official of cooperating  
agency/ supporting organisation

## Annex 7: Format for Quarterly Progress Report to UNEP

(dates to be established)

Implementing Organization: \_\_\_\_\_

Project No: \_\_\_\_\_

Project Title: \_\_\_\_\_

Reporting Period: \_\_\_\_\_

1. Project Personnel required (Task Manager/Project Coordinator and Administrative Assistants)

Name / Functional Title	Nationality	Duration of Contract	Fee (in US\$)	Brief Terms of Reference	Object of Expenditure (code per the budget e.g 1101, 1301 etc..)

2. Experts/Consultants required:

Name / Functional Title	Nationality	Duration of Contract	Fee (in US\$)	Brief Terms of Reference	Object of Expenditure (code per the budget e.g 1201, 1202 etc..)

3. Sub-contracts required:

Name and Address of Organisation	Object of Expenditure (code per the budget e.g 2201, 2301 etc..)

4. Major items of equipment ordered: (Value over \$1,500)

Please attach to the 2nd quarter (April - June) and 4th quarter (Oct - Dec) progress reports an **inventory** of all non-expendable equipment, indicating date of purchase, description, serial number, quantity, location, cost and remarks, and for vehicles, give mileage report (see separate inventory list format).

5. Status of the implementation of the activities listed under **WORKPLAN** in the project document, and status of documents, reports, manuals, guidelines, etc.

(a) List actual activities/outputs\* **completed/produced** under the following headings where appropriate:

(Please tick appropriate box)

<b>(i) Meetings</b> (envisaged under the project)			
Intergovernmental (IG) Mtg <input type="checkbox"/>	Expert Group Mtg <input type="checkbox"/>	Training/Seminar Workshop <input type="checkbox"/>	Others <input type="checkbox"/>
Title _____			
Venue and Dates _____			
Convened by _____		Organized by _____	
Report issued as doc. no. /symbol _____		Languages _____ Dated _____	
For Training Seminar/Workshop, please indicate: No. of participants _____ and attach an <b>Annex</b> giving names and nationalities of participants.			
Annex (Participants List, Quarterly Progress Report))			
Name		Nationality	

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(ii) **Printed Materials**

Report to  (IG) Mtg       Technical Publication       Technical Report       Others

Title \_\_\_\_\_

Author(s)/Editor(s) \_\_\_\_\_

Publisher \_\_\_\_\_

Symbol (UN/UNEP/ISBN/ISSN) \_\_\_\_\_

Date of publication \_\_\_\_\_ (when the above reports have been distributed, attach the distribution list).

(iii)       **Technical Information**       **Public Information**

Description \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Dates \_\_\_\_\_

(iv) **Technical Cooperation**

Grants and Fellowships       Advisory Services       Others (describe)

Purpose \_\_\_\_\_

\_\_\_\_\_

Place and Duration \_\_\_\_\_

For Grants/Fellowships, please indicate:

<u>Beneficiaries</u>	<u>Countries/Nationalities</u>	<u>Cost (in US\$)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

(b) Status of activities/outputs underway:

- (i) Meetings, seminars, workshops study tours, training courses, fellowships under preparation
- (ii) Status of documents, reports, manuals, guidelines being prepared
- (iii) Status of studies, surveys underway
- (iv) Status of implementation of other activities

6. Summary of the problems encountered in project delivery (if any)

7. Actions taken or required to solve the problems identified in (5) above

## ANNEX 8: FORMAT FOR TERMINAL REPORT

### TERMINAL REPORT

**Executing Agency**

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**National Project Number**

---

**National Project Title**

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**1. National Project purpose and expected results**

Re-state the purpose and the expected results of the National Project.

**2. National Project activities**

- a) Summary of the main activities reported with references to their description in progress report (Give reasons for activities planned but not carried out , if any).
- b) List the actual activities/outputs **produced but not included in previous Progress Reports** under the following headings

a) Meetings envisaged under the National Project (e.g.: intergovernmental meeting, expert group meeting, training/seminar workshop, others):

- Title
- Venue and dates
- Convened by
- Organized by
- Report issued as doc. no.
- Language and date of the report
- No. of participants, names and nationality

b) Printed material (e.g. reports, Technical publications, Others)

- Title
- Author(s)/Editor(s)
- Publisher
- Symbol (UN/UNEP/ISBN/ISSN etc.)
- Date of publication
- Distribution list

c) Information disseminated

- description
- dates
- media used
- target groups

d) Technical Cooperation (e.g. grants and fellowships, advisory services, others)

- purpose

- place
- duration
- beneficiaries, nationalities and cost in US\$

e) Other outputs/services (e.g. Networking, Query-response, Participation in meetings etc.)

**3. National Project outputs**

Compare the outputs generated with the ones listed in the National Project document.

State how these outputs have been utilized.

Describe how the National Project document outputs and their uses were or were not instrumental in realizing the objectives/results of the National Project.

**4. Conclusions**

Summarize the lessons learned during the National Project execution. Concentrate on the management of the National Project, indicating the principal factors, which determined success or failure in meeting the objectives set down in the National Project document. Give also an assessment of the sustainability of the results obtained by the National Project.

**5. Recommendations**

Make recommendations:

- To indicate what further actions might be needed to meet the National Project objectives/results.
- On follow actions required to implement the National Biosafety Framework.
- To improve the effectiveness and impact of similar National Projects in the future.

**6. Non-expendable equipment (value over US\$1,500)**

Please attach to the terminal report a **final** inventory of all non-expendable equipment (if any) purchased under this National Project, indicating the following:

Date of purchase, description, serial number, quantity, cost, location and present condition, together with your **proposal** for the disposal of the said equipment.

**ANNEX 9: FORMAT FOR INVENTORY OF NON-EXPENDABLE EQUIPMENT**

**PURCHASED AGAINST UNEP PROJECTS UNIT VALUE US\$1,500 AND ABOVE AND ITEMS OF ATTRACTION**

As at \_\_\_\_\_

Project No. \_\_\_\_\_

Project Title \_\_\_\_\_

Executing Agency: \_\_\_\_\_

Internal/SO/CA (UNEP use only) \_\_\_\_\_

FPMO (UNEP) use only) \_\_\_\_\_

Description	Serial No.	Date of Purchase	Original Price (US\$)	Purchased / Imported from (Name of Country)	Present Condition	Location	Remarks/recommendation for disposal

The physical verification of the items was done by:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_