



## **United Nations Environment Programme**

### **Terminal Evaluation of the UNEP-GEF Project GFL/3856 for Continued Enhancement of Building Capacity for Effective Participation in the Biosafety Clearing House (BCH II)**

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## List of Acronyms and Abbreviations

|           |   |
|-----------|---|
| ANUBIS    | A New Universal Biosafety Information System  |
| RAs       | Regional Advisors   |
| RAS       | Regional Advisor System   |
| ASEAN     | Association of South-East Asian Nations   |
| BCH       | Biosafety Clearing House  |
| BSP       | Bali Strategic Plan for Technology Support and Capacity Building                          |
| BT        | Biotechnology   |
| CBD       | Convention on Biological Diversity  |
| CEE       | Central and Eastern Europe  |
| CNA       | Competent National authority  |
| COP-MOP   | Conference of the Parties Serving as the Meeting of the Parties to the Cartagena Protocol |
| CPB       | Cartagena Protocol on Biosafety   |
| CSO       | Civil Society Organisation  |
| ER        | Expected Results  |
| ET        | Evaluation Team   |
| EU        | European Union  |
| EURL-GMFF | EU Reference Laboratory for Genetically Modified Food and Feed                            |
| FAO       | Food and Agriculture Organisation   |
| GEF       | Global Environment Facility   |
| GG        | Good Governance   |
| GGP       | Good Governance Principles  |
| GIC       | Global Industry Coalition   |
| GMOs      | Genetically Modified Organisms  |
| IA        | Implementing Agency   |
| IAC       | Informal Advisory Committee   |
| IO        | Immediate Outcomes  |
| IS        | Intermediate State (in the ToC)   |
| IT        | Information technology  |
| IT PGRFA  | International Treaty on Plant Genetic Resources for Food and Agriculture                  |
| LMO       | Living Modified Organism  |
| Log Frame | Logical Framework   |
| M&E       | Monitoring and Evaluation   |
| MTS       | Medium Term Strategy (of UNEP)  |
| NAU       | National Authorized User  |
| NBF       | National Biosafety Framework  |
| NBFP      | National Biosafety Focal Points   |
| NCA       | Competent National Authority  |
| NEA       | National Executing Agency   |
| NFP       | National Focal Point  |
| CNA       | National Competent Authority  |
| NGO       | Non-Governmental Organisation   |
| PIR       | Project Implementation Review   |
| POW       | Programme of Work (of UNEP)   |
| ProDoc    | Project Document  |
| PSC       | Project Steering Committee  |
| PRSP      | Poverty Reduction Strategy Papers   |
| ROtI      | Review of Outcomes to Impact  |
| SC        | Supporting Consultant   |
| SCBD      | Secretariat of the Convention on Biological Diversity                                     |

|           |  |
|-----------|--|
| SNR       | Second National Report   |
| SP-CPB    | Strategic Plan for the Cartagena Protocol on Biosafety , 2011 – 2020 |
| SSFA      | Small Scale Funding Agreements                                       |
| TL        | Team Leader  |
| ToC       | Theory of Change   |
| TOR       | Terms of Reference   |
| TWN       | Third World Network  |
| UNDAF     | United Nations Development Assistance Framework                      |
| UNEP      | United Nations Environment Programme                                 |
| UNEP-DELC | UNEP Division of Environmental Law and Conventions                   |
| UNEP DEPI | UNEP Division of Environmental Policy Implementation                 |
| UNEP EO   | UNEP Evaluation Office   |
| UNEP MTS  | UNEP Medium Term Strategy  |
| UNU       | United Nations University  |
| VLE       | Virtual Learning Environment   |

## Project Summary

|  |                          |  |                              |
|--|--------------------------|--|------------------------------|
| <b>GEF project ID:</b>                                 | 3856                     | <b>IMIS number:</b>                        |                              |
| <b>Focal Area(s):</b>                                  | Biodiversity             | <b>GEF OP #:</b>                           | GFL-2328-2716-4B68           |
| <b>GEF Strategic Priority/Objective:</b>               | BD-6                     | <b>GEF approval date:</b>                  | 4 <sup>th</sup> October 2010 |
| <b>Approval date:</b>                                  | 1 September, 2010        | <b>First Disbursement:</b>                 | 281,357.76                   |
| <b>Actual start date:</b>                              | 15 November, 2010        | <b>Planned duration:</b>                   | 24 months                    |
| <b>Intended completion date:</b>                       | 14 November, 2012        | <b>Actual or Expected completion date:</b> | 9 <sup>th</sup> July 2013    |
| <b>Project Type:</b>                                   | FSP                      | <b>GEF Allocation:</b>                     | 2,500,000                    |
| <b>PDF GEF cost:</b>                                   | N/A                      | <b>PDF co-financing:</b>                   | N/A                          |
| <b>Expected MSP/FSP Co-financing:</b>                  | 2,380,140<br>(2,699,340) | <b>Total Cost:</b>                         | 5,199,340                    |
| <b>Mid-term review/eval. (planned date):</b>           | N/A                      | <b>Terminal Evaluation (actual date):</b>  | February-April 2013          |
| <b>Mid-term review/eval. (actual date):</b>            | N/A                      | <b>No. of revisions:</b>                   | 2                            |
| <b>Date of last Steering Committee meeting:</b>        | 23 February 2012         | <b>Date of last Revision*:</b>             | June 2012                    |
| <b>Disbursement as of 30 June 2013 (UNEP):</b>         | 623,452.30               |  |                              |
| <b>Total co-financing realized as of 30 June 2013:</b> | 2,563,470                | <b>Leveraged financing:</b>                | 2,563,470                    |

## Executive Summary

- 1 The Cartagena Protocol on Biosafety (CPB) to the Convention on Biological Diversity (CBD) is an international agreement which aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health.
- 2 Under Article 20 of the Protocol, a Biosafety Clearing House (BCH) was established to: **a)** Facilitate the exchange of scientific, technical, environmental and legal information on, and experience with living modified organisms and **b)** Assist Parties to implement the Protocol, taking into account the special needs of developing country Parties, in particular the least developed and small island developing States among them, and countries with economies in transition as well as countries that are centres of origin and centres of genetic diversity.
- 3 The BCH II project has five components: a). Sub-regional networking and knowledge sharing of information for effective management of the BCH. b). Continued in-depth fine-tuning, development and global dissemination of knowledge sharing training packages on the BCH in the 5 UN languages. c). Continuation of BCH Regional Advisor system. d). Extension of national level learning events to stakeholders not already trained through the BCH project. e). Support for the establishment and internalization of BCH Focal Point role, and other BCH information-sharing roles [e.g. BCH, National Authorized Users (NAUs)] in participating country representatives' job descriptions.
- 4 The BCH II project contributed in a relevant way to the strengthening of national capacities to access and use the BCH for efficient implementation of the Cartagena Protocol on Biosafety, in particular, the project:
  - (a) improved key Government officials' knowledge and technical skills of BCH FP, promoting sharing of available biosafety information on LMOs and submission of new records to the Central Portal of the BCH;
  - (b) promoted regional cooperation through organizing five regional workshops;
  - (c) provided more than 70 training packages in the five UN languages and developed new training packages for new target groups such as customs and phytosanitary officials;
  - (d) created an enabling environment through Web-based tools for active participation of selected stakeholders in online forum discussions, extending participation beyond national boundaries;
  - (e) enabled easy access of training materials for the national trainers by setting up a Virtual Learning Environment<sup>1</sup>;
  - (f) supported a relevant number of countries, exceeding the limit of the 50 participant countries envisaged by the project.

**The project had adopted a fragmented approach** to the biosafety capacity building process, instead of the holistic one suggested by the COP-MOP; BS-III/3, annex, § 3 (h). Operational and functional **linkages with relevant development sectors** (like the civil society and the private sector as envisaged in COP-MOP 3 Decision Annex § 2) have not been pursued during the project implementation. The lack of an holistic approach brought about consequences in the way the project has been implemented, in the definition and recruitment of human resources, and in the research and promotion of strategic partnerships, among others

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<sup>1</sup>Project outputs related to the virtual learning environment like training materials and webinars can be found at the following link: <http://moodle.bch.cbd.int>



- 5 For achieving **Sub-Regional Networking and Knowledge Sharing** in the management of the BCH, the project relied mainly on five regional workshops : Joint Asia Pacific - Central and Eastern Europe regions, Africa region (divided in two groups: the first including the Anglophone Countries and the other the Francophone ones), Latin America and Caribbean regions) and Biosafety Clearing House Focal Points (BCH FPs) who participated in these workshops, Therefore, Evaluation Team deems that the project has achieved - to a certain degree - the Immediate Outcomes under Sub-Regional Networking and Knowledge Sharing. The project design has also envisaged the development of institutional level linkages with Centre's of Excellence in the regions to sustain the regional networking. However, the project has not been very successful in establishing such operational linkages.
- 6 Continued capacity building of stakeholders after the project period is over remains a major challenge in several of the BCH II countries as **only 10% of the BCH II countries have established a sustainability plans** BCH operations. About 50% of the countries have a sustainability plan to support BCH activities after the project period is over but the available budget may not be sufficient to support all BCH operations. In the remaining 40% of the countries national budget allocation for BCH operations does not exist and BCH operations are mainly project driven or rely on alternative support systems.
- 7 The project was successful in producing significant outputs such as in-depth fine-tuned training packages, addressing a larger scope of stakeholders and globally disseminated. These training packages were found to be very useful in the national training workshops organized by Regional Advisors s and national trainers. The project has also created a **Permanent Knowledge Base** composed of **74 training packages** in the five UN languages (Arabic, English, French, Russian and Spanish). Although some materials are very basic, a number of training packages like case studies, Training Manuals, Interactive Modules, Reference Guides, Discussion Points with Answers, etc., developed under the BCH II project are of high quality and are useful for national trainers, key Government officials and to general public as well. It is important to note that the training materials produced by the BCH II project are not only useful to BCH II countries but benefit other non-BCH II countries equally.
- 8 **The project has created an exclusive web site called Moodle (<http://moodle.bch2project.org>)** to support regional advisors, national trainers and to store all training materials. Each regional workshop has its own page and also a provision is made for each participating country to have its own training workshop page in the Moodle website. Basically it is a key asset that the project has built not only to be used by the BCH II countries, but also by non-BCH II countries.
- 9 With an overall view the evaluation team has concluded that the project has carried out a large number of activities and the project has largely contributed to achieving the expected Outputs and to some extent the Immediate Outcomes and therefore, the project is rated **as Satisfactory** in achieving the main Outcome *"Strengthened national capacities for effective national and regional BCH management, relying on regional and sub-regional collaboration, networking and exchange of experiences"*.
- 10 The overall rating for different evaluation criteria described in the TOR are: Out of Ten Evaluation Criteria two (Financial planning and management and UNEP Supervision and backstopping) are rated Highly Satisfactory (HS), four (Catalytic role, Country ownership / driven-ness, Achievement of outputs and activities, Preparation and readiness) as Satisfactory, four (Attainment of project objectives and results, Stakeholders involvement, Implementation approach, Monitoring and Evaluation) as Moderately Satisfactory. Sustainability is rated as Moderately Unlikely. Therefore, as a whole, the project is rated as **"Satisfactory"**.
- 11 The project has secured **additional financial support by establishing collaborations with non-BCH II countries and regional** Non-Governmental Organisations (NGOs) allowing the project to organize two regional training workshops (AP-CEE regional workshop in Republic of Korea and AF regional workshop

in Tunisia) organized by the project. The additional support allowed the project to go beyond the customary number of 50 BCH II target countries and also demonstrated the need and interest from non-participating developed country like Republic of Korea and an NGOs (ABNE ) to support BCH capacity building activities. Replication of such a successful outcome should be the endeavor for the next level project.

- 12 The experience gained from the BCH II project demonstrated that increasing awareness and working in strategic meetings with **key government agencies responsible for CPB implementation** are the main catalyzers in registering and **publishing country decisions and risk assessment reports** in the BCH, provided some conditions like a legal framework, policy and functional biosafety committees are in place for successful compliance of BCH functioning.
- 13 The prevailing variable baseline situation among the BCH II countries in terms of their capacities to fully support BCH operations and internalize the capacities built during the project have resulted in achieving an uneven outputs and outcomes by the project. Therefore, it is essential to integrate the country specific BCH capacity building needs in the project design itself for a successful outcome of the project.
- 14 Considering the fact that capacity building has not reached the same levels in all the participating countries and that a similar situation existed in the other eligible countries, that did not take part in the BCH II project, the Evaluation Team explored the possibility of a **future UNEP-GEF support on BCH capacity building on a global scale, based on a “New Model”** that will address the sustainability issue as a core priority.
- 15 A future project should contribute to the sustainability of the BCH system as a whole, taking into account that BCH is a means for transparent efficient & informed decision-making as well as for accountability and public awareness. Therefore, the Evaluation Team deems that all in all the BCH sustainability can be than embedded in stakeholders’ inclusiveness and appropriate institutional arrangements and that a future project has to carry out capacity building in a way that addresses in a coherent and comprehensive manner the key topics of Human Resources, Organisational Development, and Institutional Development.
- 16 The Evaluation Team explored, to a certain extent, the structural links between institutional arrangements conducive to stakeholder inclusiveness and to sustainability. In this respect, the Evaluation Team deems that Biosafety is a Global Governance (GG) challenge and the Cartagena Protocol on Biosafety (CPB) is a relevant means to implement biosafety policies. On the other hand, GG challenges require mechanisms relying on and reinforcing the Subsidiarity Principle. Consequently, stakeholders’ empowerment, national ownership, regional and sub-regional co-ordination and co-operation as well as global vision and oversight, are all preconditions for an effective action on biosafety, including BCH.
- 17 The Evaluation Team considers important a critical view of the BCH II project in relation to its institutional dimension; i.e. which approach has been fostered by the project and which institutional approach could be envisaged in the future?

## Recommendations

- 18 Based on the experiences gained so far in the BCH II project and above proposed model, a few forward looking recommendations are proposed for any eventual future funding to the BCH for capacity building purposes.

## Recommendation 1

- 19 To consolidate the achievements of previous BCH projects and to ensure the sustainability of the BCH system as a whole, at National, Regional, and Global levels an additional project phase is strongly recommended through the development of a BCH III project characterized by a strong, global dimension.
- a. A BCH III project should be based on the BCH I and BCH II outputs and outcomes, considered as building-blocks of a sustainable BCH system at National, Regional and Global level. Therefore, future action should capitalize on: a- the review, fine tuning and update of training materials / packages to cover current and additional stakeholders; b- the networking mechanisms in place, including technical platforms as webinars; c- the trained human resources, including trainers and d. a global supportive mechanism to oversee a coordinated approach to the proposed capacity building interventions .
  - b. A new and BCH capacity strengthening project has to promote, and where necessary to insure, the financial, human and institutional resources that would address the need for a balance between national, regional and global approach. Institutional arrangements conducive to regional and sub-regional partnerships with relevant stakeholders, including “*Centres of Excellence*”, have to be coupled with consolidated global vision and oversight capacity.
  - c. Regional Advisors (RAs) must be considered as a system and not as the sum or as a list of highly qualified experts. A BCH III project should create a discontinuity with previous BCH projects taking into account all issues related to the sustainability of the RA system by addressing financial and organizational requirements. For sustainability embedding the RA system as either a UNEP Roster of Experts to support UNEP Biosafety, and possible other Enabling activities or exploring mechanism with the SCBD to mainstream through the Roster of Experts on the BCH or raising issues of RA system through BCH IAC or COP/MOPs.
  - d. A BCH III project should promote robust and meaningful inclusiveness of key stakeholders in consultation with the SCBD with guidance from BCH IAC and COP-MOP decisions as an end and a means to achieve sustainability of the BCH system at National, Regional and Global level.

## Recommendation 2

- 20 Translation of training packages into five UN languages that the future project may produce should be continued. Additionally, there could be specific subjects guided by the Article 20 of the CPB that the parties may consider in future and that also need to be addressed and supported by new training materials; e.g. regarding BCH functional linkages with other development sectors – “what and why”. Furthermore, while countries consolidate their NBFs the ongoing process of development of more complex training material addressing natural, legal and socio-economic sciences be strengthened.

## I. Evaluation Background

### A. Context

21 The Biosafety Clearing House (BCH) has been established under Article 20 of the Cartagena Protocol on Biosafety (CPB)<sup>2</sup> to the Convention on Biological Diversity (CBD) in order to: a) facilitate the exchange of scientific, technical, environmental and legal information and experience on living modified organisms (LMOs) and b) to assist Parties in the implementation of the Protocol, taking into account the special needs of developing countries, in particular of the least developed and small island ones, and of countries with economies in transition as well as countries that are centres of origin and genetic diversity.

22 According to Article 28 of the CPB, the Global Environment Facility (GEF) has been designated to serve as financial mechanism of the Protocol. In this context, since 1997, UNEP, in its capacity as an Implementing Agency of the GEF, has been providing administrative and technical assistance to countries participating to the CPB. More specifically, the UNEP-GEF Biosafety Unit has been supporting and coordinating a number of umbrella-projects in Biosafety since 1997.

23 The efficient functioning of National Biosafety Frameworks (NBFs) is fundamental for the implementation of the CPB. NBFs broadly consist of a combination of policy, legal, administrative and technical instruments enabling countries to manage a safe transfer, handling and use of LMOs emanating from the use of modern biotechnology. BCH, as a key component of NBFs, has also been recognized to be the main CPB instrument for the parties to:

- *Assist in the implementation of the Cartagena Protocol on Biosafety*
- *Provide information and experiences on scientific, technical, environmental and legal aspects of living modified organisms(LMOs)*

24 Considering the significance of the BCH in the implementation of the protocol, the Secretariat of the Convention on Biological Diversity (SCBD) has organized four meetings of the Intergovernmental Committee for the Cartagena Protocol on Biosafety (ICCP)<sup>3</sup> between 2001 -2002 where some major capacity needs of the parties were identified.

25 The first BCH project (BCH I), “Building Capacity for Effective Participation in the Biosafety Clearing-House of the Cartagena Protocol” started in 2004 and was implemented in 112 countries with a budget of US\$ 14.9 million. The BCH I project, originally planned to cover 50 countries in the initial three years, was subsequently extended to five years (ended in March 2009) and eventually covered 112 of 136 eligible countries.

26 The BCH I project was designed to achieve the following main objectives<sup>4</sup>:

- To strengthen the capacity of participating countries through training activities for key stakeholders
- To create an enabling environment for Parties to meet the obligations linked with the implementation of the Protocol by providing participating countries with appropriate computer hardware and software, as well as software for the storage and exchange of data with the BCH.

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<sup>2</sup> The *Cartagena Protocol on Biosafety to the Convention on Biological Diversity* is an international agreement which aims to ensure the safe handling, transport and use of living modified organisms (LMOs) resulting from modern biotechnology that may have adverse effects on biological diversity, taking also into account risks to human health. It was adopted on 29 January 2000 and entered into force on 11 September 2003

<sup>3</sup> Report of the Intergovernmental Committee for the Cartagena Protocol on Biosafety on the work of its third meeting. [ICCP 3 - Biosafety Clearing-House](http://iccp3.bch.cbd.int/protocol/meetings/documents.shtml%3Feventid...) [bch.cbd.int/protocol/meetings/documents.shtml%3Feventid...](http://iccp3.bch.cbd.int/protocol/meetings/documents.shtml%3Feventid...) UNEP/CBD/ICCP/3/10. ...

<sup>4</sup> First BCH Project's Final Report, dated September 2009

- To support further capacity building activities through the development and dissemination of an interactive computer-based training packaging

27 The BCH I Project achieved very comprehensive progress on all the areas<sup>7</sup> mentioned above. More than 400 national workshops, 17 regional and sub-regional workshops and 6 global workshops were organized during the project with more than 3,200 stakeholders, (including BCH Focal Points, representing 139 countries, participating). A significant contribution of the BCH I was the creation of a Regional Advisor (RA) system consisting of 60 regional advisors who actively participated in the national, regional and global BCH workshops.

28 Comprehensive and excellent capacity building and training packages were developed for a variety of stakeholders, including the private sector, NGOs, academia, industry, journalists, decision makers etc. These were the most significant - and sustainable – contributions of the BCH I project for the implementation of the Cartagena Protocol. The BCH II project has been built based on these experiences and strengths.

## B. The Project

29 In response to a specific request of the Parties at COP/MOP 4 (Decisions “MOP BS IV/2 and BS-IV/5 COP/MOP-4), UNEP and GEF have extended their support for the continued enhancement of the BCH through the BCH II project, with an overall objective to “*Continue assisting eligible countries in strengthening national capacities to effectively access and use the BCH, promoting regional and sub-regional collaboration, networking and exchange of experience for national and regional BCH management.*” The BCH II Project for “Continued Enhancement of Building Capacity for Effective Participation in the Biosafety Clearing House (BCH)” has the following five components:

1. Sub-regional networking and knowledge sharing of information for effective management of the BCH.
2. Continued in-depth fine-tuning, development and global dissemination of knowledge sharing training packages on the BCH in the 5 UN languages (Arabic, English, French, Russian, and Spanish).
3. Continuation of BCH Regional Advisor system.
4. Extension of national level learning events to stakeholders not already trained through the BCH project.
5. Support for the establishment and internalization of BCH Focal Point role, and other BCH information-sharing roles in participating country representatives’ job descriptions.

30 Therefore, the BCH II project has been designed to include a series of regional and national workshops to inform, update and enhance the skills of various stakeholder groups including, BCH Focal Points, Government officials involved with the implementation of the CPB, customs and phytosanitary officers, the academia, industries and various civil society groups. Projects on capacity building needs may differ from country to country, depending on the level reached when project implementation takes place. Nevertheless, as far as activities, participants and outputs are concerned, some main components and related outputs of the BCH II project can be identified :

Table 1: BCH II project components and expected projects outputs

| BCH II Components  | Expected Project Outputs  |
|--|---|
| 1. <i>Sub-Regional Networking and Knowledge Sharing of Information for Effective Management of the BCH</i> | <p>(1.1.1) National BCH Focal points and if possible designated officials from Competent National Authorities trained in technical BCH responsibilities.</p> <p>(1.1.2) Analysis of lessons learned in BCH management at the regional level.</p> <p>(1.1.3) Increased participating countries compliance with the BCH registering obligations, including basic national records (national</p> |

|   |   |
|---|---|
|   | <p>contacts and laws/regulations) and decisions on LMOs and risk assessment reports, when these exist.</p> <p>(1.2.1) Clear understanding of the common formats of BCH records and their impact on the institutional processes related for registering BCH information and making biosafety-related decisions. (e.g. registering and publishing decisions).</p> <p>(1.3.1) Electronic forums installed and operational allowing BCH stakeholders to share experiences on a regional and global scale</p> <p>(1.3.2) Synergy with SCBD biosafety and BCH related activities where possible</p>   |
| 2. <i>Continued in-depth fine-tuning, development and global dissemination of knowledge sharing training packages on the BCH in the 5 UN languages (Arabic, English, French, Russian, Spanish).</i> | <p>(2.1.1) and (2.2.3) New training materials (curricula, case studies, reference guides, manual(s), exercises, quizzes, etc) designed, translated and made publicly available for specific new target audiences such as producers / farmers, custom officers, phytosanitary officers, seed associations, seed traders, etc.</p> <p>(2.2.1) Increased usage of BCH for daily decision making operations, both in public and private sectors</p> <p>(2.2.2) More (new) national records are entered on the BCH (national contacts – focal points and contact persons, laws and regulations, decisions and declarations, and risk assessment reports)</p> <p>(2.3.1) All training materials globally available and easily downloadable in 5 UN official languages via Internet</p> <p>(2.3.2) Training materials seamlessly integrated with the BCH Central Portal help system, fostering their global availability</p> |
| 3. <i>Continuation of BCH Regional Advisor system.</i>  | <p>(3.1.1) RA experiences in training needs and challenges are documented and made accessible to all participating countries via appropriate media.</p> <p>(3.1.2) Common challenges and lessons learnt shared between countries of the same region, of the same language, or globally</p> <p>(3.2.1) 30 RAs trained in updates to BCH Central Portal functionality made by the SCBD since March 2008</p> <p>(3.2.2) Technical assistance in the design, preparation and delivery of BCH National workshops provided to participating countries, as needed to fulfill their national training plans.</p> <p>(3.2.3) Technical assistance in the design, preparation and delivery of BCH Regional or global workshops as required</p> <p>(3.3.1) BCH RAs expertise globally recognized and experts available for further assistance to countries beyond the Project</p>  |
| 4. <i>Extension of national level learning events to stakeholders not already trained through the BCH project.</i>  | <p>(4.1.1) New stakeholder groups trained in technical national BCH responsibilities</p> <p>(4.1.2) New National Authorized Users designated (4.1.3). More (new) national records on the BCH are entered</p> <p>(4.1.4) Increased global BCH usage, fostering the establishment of BCH as the primary on-line tool to support biosafety decision-making</p> <p>(4.2.1) Engagement of education sectors in national biosafety and BCH training through active lobby through RAs and BCH Focal points</p> <p>(4.2.2) BCH workshop development know-how transferred to national institutions and trainers</p>  |
| 5. <i>Support for the establishment and internalization of BCH Focal Point role, and other BCH information-</i>   | <p>(5.1.1) Number of national BCH Focal Points with revised job descriptions.</p> <p>(5.1.2) Organizational procedures for BCH registration agreed and documented by CNAs.</p> <p>(5.2.1) Written commitment and plan from all participating countries (50) describing how this Project's activities will be integrated with NBF</p>  |

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| <i>sharing roles (e.g. BCH NAUs) in participating country representatives' job descriptions.</i> | implementation |
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Table 2 below, provides the list of countries participating in the BCH II project. Details of UNEP-GEF funds received under various projects by the BCH II countries are shown in Annex 13.

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| <b>Africa</b><br>Algeria, Benin, Burkina Faso, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Ethiopia, Ghana, Guinea, Lesotho, Liberia, Libyan Arab Jamahiriya, Madagascar, Mauritania, Mauritius <sup>5</sup> , Niger, Nigeria, Senegal, Sudan, Swaziland, Togo, Tunisia |
| <b>Central and Eastern Europe</b><br>Moldova   |
| <b>Asia and Pacific</b><br>Bhutan, Cambodia, India, Jordan, Lao PDR, Malaysia, Philippines, Syrian Arab Republic, Tonga, Vietnam, Yemen  |
| <b>Latin America and Caribbean</b><br>Antigua and Barbuda, Belize, Costa Rica, Cuba, Dominican Republic, Ecuador, Guatemala, Guyana, Honduras, Panama, Peru, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Venezuela   |

- 31 The institutional arrangements for project supervision and implementation have been clearly defined in the project document and are further elaborated in the Annex 10 of the Project Document. In brief:
- 32 The UNEP-Division of Environmental Law & Conventions (DELIC) and the UNEP-Division of Environmental Policy Implementation (DEPI) are the executing and implementing agencies, respectively. The SCBD was to provide the necessary technical support for the project. At the country level, each country has to identify a National Agency to coordinate and implement the project.
- 33 The Project Manager (PM), a position specifically created within the project, was responsible for all technical and administrative project execution aspects. The PM was also expected to provide general leadership in the coordination of all project activities, particularly those linked with the global aspects of the project, and in the coordination with the SCBD. Moreover, PM tasks included: supervising the work of all Project consultants; liaising with countries to ensure implementation of national project activities; preparing progress reports, annual budgets and work plans; reporting directly to the UNEP-DELIC and the Project Steering Committee. PM was supported by two Regional Specialists (RS) in the coordination of Project activities.
- 34 The RSs were responsible for coordinating and supporting national level project activities in close association with the RAs, maintaining close relationships with national focal points to ensure timely execution of national project activities, and directly overseeing the assigned RAs in the preparation and execution of country missions.

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<sup>5</sup> Mauritius has not signed the SSFA and did not receive UNEP-GEF funds. Effectively only 49 countries participated in the BCH II project.

- 35 At the national level, as the project is meant to be a continuation of the BCH I, the existing institutional structures such as National Executing Agencies, BCH FP, etc. were entrusted with the execution of the project.
- 36 Although the project was planned to be completed in 24 months (commencing from 01/11/2010 and completing on 01/11/2012), it was extended by eight months (ending on 09/07/2013). This decision was made to enable the project management to complete all planned activities without extra costs. The total estimated cost of the project was US\$ 5,199,340, which included contributions from GEF (US\$ 250,000) and Co-financing (US\$ 2,699,340). The Co-financiers included: UNEP-DELIC (US\$ 25,000 cash and US\$ 225,000 in-kind support), the SCBD (US\$ 210,500 in-kind contributions) and participating Governments (US\$ 2,238,840).

### C. Evaluation objectives, scope and methodology

- 37 The Terminal Evaluation has been undertaken to assess the GEF funded BCH II project performance (in terms of relevance, effectiveness and efficiency) and determine outcomes and impact stemming from the project including sustainability. The evaluation began on 11<sup>th</sup> March 2013 and is expected to be completed by 30<sup>th</sup> June 2013.
- 38 The evaluation provides evidence of results to meet accountability requirements and promotes learning, feedback and knowledge sharing through results and lessons learned among UNEP, participating governments, the GEF and their partners. The TORs of the Terminal Evaluation are in Annex 1. The evaluation was guided by the following five (5) key questions:
- (a) How successful was the project in helping eligible countries to strengthen their national capacities to gain access to and use the BCH?
  - (b) Did the project succeed in building awareness and understanding of the BCH? Did it achieve the goal of promoting regional and sub-regional collaboration, networking and exchange of experience and knowledge for national and regional BCH management among key target audiences (Parties to the Cartagena Protocol on Biosafety, related international conventions and biosafety initiatives, national level policy-makers, regional and local policy-makers, resource managers and practitioners)?
  - (c) Did the project articulate options and recommendations for the sustainability of stakeholders' continued capacity building and for the sustainability of national BCH systems? Were these options and recommendations used? If so, by whom?
  - (d) To what extent did the project outputs have the quality, accuracy and weight of scientific authority and credibility necessary to influence policy makers, parties and other key audiences?
  - (e) Did the project provide experiences and lessons useful to design or replicate similar interventions for other eligible parties guided by resource efficiency, replicability and sustainability measures?
- 39 The evaluation was conducted under the overall responsibility of the UNEP Evaluation Office (EO), in consultation with UNEP-DELIC and UNEP-DEPI (Nairobi), and it was organized in two phases:
- a) Phase I, at UNEP Office in Nairobi, focused on preparing, planning and writing the inception report which contains the evaluation framework, the review of quality of project design and the initial theory of change analysis (Annex 2).
  - b) Phase II, focused on data collection, including questionnaires, analysis and report writing.
- 40 The findings of the evaluation are based on the following:
- (a) A thorough desk review of project documents including, *inter alia*:



- UNEP and GEF policies, strategies, programmes and guidelines pertaining to biosafety and biosafety projects
- Project design documents, work plans and budgets, logical frameworks (where available), periodic projects progress and financial reports, project terminal reports. These documents were made available through the ANUBIS information system to which the consultants were given access
- Relevant documents produced by the projects (e.g. guidelines, manuals, proceedings from workshops, etc.)
- The national BCH websites and the central BCH
- The analysis of information at the central BCH provided by the National Biosafety Clearing Houses (BCH), which contain the most relevant information on NBF implementation: laws, regulations and guidelines, decisions and approvals on LMOs management in the countries (import, production, and release), risk assessments, etc.

(b) Interviews with:

- UNEP-DEPI Task Manager and Fund Management Officer in Nairobi;
- The Director of the GEF Coordination Office in Nairobi;
- UNEP-DELC Acting Deputy Director, Task Manager, Project Manager in Nairobi;
- UNEP EO Evaluation Officer
- Biodiversity Specialist, GEF
- BCH II project Regional Specialist
- BCH NFP Peru
- **For skype/phone based interview**, the evaluation team contacted BCH National Focal Points for interview (Tunisia, Vietnam and Peru); Regional Advisors - Mr. Lamine Sano Ouattara, RA for Africa region, Ms. Emma Lucia Rivera, RA for LAC, Dr. Ruel V. Maningas, RA for AP region.
- Also included in the list for skype based group interviews were: one member from National trainers and from other stakeholder groups (Academic, Farmers, Civil Society, media / NGOS, ) and BCH FP from Africa Region (Tunisia, Sudan, Nigeria, Burkina Faso and Senegal), Asia Pacific Region (Bhutan, Cambodia, India, Philippines, Vietnam and Yemen), LAC Region (Costa Rica, Cuba, Ecuador, Honduras and Peru) (see for details Annex 3B and 3C)
- The ET also interviewed Mr. Hari Ramalu Ragavan, Programme Manager, Energy and Environment Cluster, United Nations Development Programme, Wisma UN, Malaysia, Mr. Jaime Cavalier, Sr. Biodiversity Specialist, GEF, and Mohamed Elyes Kchouk, BCH II project Regional Specialist for Africa

c) **A questionnaire** (Annex 3A) was prepared by the Evaluation Team (ET) and sent online through SurveyMonkey to a wide range of stakeholders that included:

- 41 At the national level: BCH FP, National Competent Authority (NCA), NAU, National Biosafety Committee members, one stake holder from National Trainers, Government officials (especially those responsible for CPB implementation and BCH information sharing; e.g. Ministry of agriculture, Ministry of Environment, Ministry of health, Phytosanitary Officer, Customs Officer), Public sector (Media, Parliament, other related functions) , Academic / Education person(s); Scientist (natural sciences, basic and applied); Social and legal experts, inter alia, Member (s) of a small farmers' or consumers' Association, middlemen, among others; Business representative (e.g. Industry, trader / dealer, corporates); Member of a civil society organization / NGO, INGO and Community Based Organization (Annex 3B).
- 42 At the regional and global level: Project related staff, PSC members and all RAs
- 43 A total of 116 people answered the questionnaire (See Section II. Project Performance and Impact), which permitted the team to gather relevant and updated information. The questionnaires have been analyzed and the main findings have been of great use in the assessment of the outputs and outcomes of the projects.

44 A Bibliography is presented in Annex 4.

## II. Project Performance and Impact

### A. Attainment of objectives and planned results

#### Achievement of Immediate Outcomes, Outputs and Activities

- 45 The project identified a number of specific activities under each of the five components. The ET, in the inception report reorganized the original outputs under each of the five components as contributing to an immediate outcome. The five Immediate Outcomes, all taken together, are expected to contribute to the achievement of the main Outcome of the Project. The hierarchical link from Outputs to Immediate Outcomes and then to the Project Outcome is presented in the Diagram 1.
- 46 In general, the activities foreseen in the Project Document have been implemented and their results are presented in the following summary Table 3, indicating to what extent the Project has achieved the expected Outputs and corresponding Immediate Outcomes. The achievement of outputs and activities criteria has been rated as Satisfactory. The detailed report on the Survey data, on which this assessment was partly based, is presented in Annex 5A & 5B.

**Table 3: Project Outputs and Immediate Outcomes**

| Component 1  | Expected Project Outputs  | Expected Immediate Outcome  |
|--|---|---|
| Sub-Regional Networking and Knowledge Sharing of Information for effective Management of the BCH   | <ul style="list-style-type: none"> <li>BCH FP and CNA Officials trained in BCH technical aspects, including formats, also relying on lessons learned at Regional level</li> <li>Records uploaded to BCH and decisions are made public in BCH</li> <li>Installed &amp; operational e-forums platforms for sharing experience at Reg. &amp; Global level</li> </ul> | National & Sub-Regional Networking functioning and Knowledge Sharing of relevant information registered in the national and central BCHs.   |
| <b>Outputs Performance</b><br>A combination of national and regional workshops was used to promote regional and sub-regional networking.<br><br>The Project organized five regional workshops and trained 51 BCH FPs on various technical aspects, common formats of BCH records and updates for the central BCH. <sup>6</sup><br><br>The AP-CEE regional workshop was attended by only 6 of 11 BCH countries (Cambodia, Lao PDR, Malaysia, Philippines, Tonga and Moldova). Interestingly, seven non-BCH countries (China, Iran, Indonesia, Republic of Korea, Mongolia, Pakistan and Thailand) also attended the workshop. |   | <b>Immediate Outcome</b><br><br>Immediate outcomes under the component are the network functioning at national and regional level and improved compliance with BCH management due to improved knowledge sharing.<br><br>Several of the BCH II participating countries are also actively participating in other capacity building activities on Biosafety , already existing in the regions <sup>7</sup> (Annex 6A and 6B). Regional workshops organised by the project further strengthened such collaborations and are expected to continue the process of exchanging experiences and knowledge sharing in the region through net-working after the project period promoting knowledge sharing of information available in the BCH.<br><br>There has been an increase in the number of records submitted by the BCH II participating countries as compared to non-BCH countries in the central BCH as per the Project reports and PIRs. However, these records were posted mainly by 34 of the 49 BCH II |

<sup>6</sup> Compiled report on regional workshops: Latin America regional workshop, Panama, Asia-Pacific and Central and Eastern Europe regional workshop, Republic of Korea, Anglophone and Francophone Africa regional workshops, Tunisia, Caribbean Regional workshop, Antigua (Anubis)

<sup>7</sup> Data on analysis of Second National Reports on the implementation of CPB ( <https://bch.cbd.int/database/reports/>)

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| <p>Altogether 18% of the participating countries (9 out of 50: Comoros, Libya, Sudan from Africa region, and Bhutan, India, Jordan, Syria, Vietnam and Yemen from AP region) did not take part in any of the regional workshops. Such low attendance by the BCH II countries at the regional workshops needs to be understood and assessed thoroughly.</p> <p>Intensive training offered by RAs to the BCH FPs, sharing of experiences and information at the regional workshops resulted in the updating of national records during the regional workshops itself. More than 85 new records were submitted during/soon after the regional workshops and more than 50% of the BCH II countries published at least one basic record in the central BCH.</p> <p>Records related to decisions on LMO are now available from 11 of the 49 BCH II countries (Costa Rica, Honduras, Dominican Republic, Saint Lucia, India, Niger, Nigeria, Burkina Faso, Malaysia, Vietnam and Philippines). Similarly, notable changes also took place in the reporting of other records like Policies and Laws, News, new NAU, etc, (Annex 6A, Annex 7A, 7B and 7C).</p> <p>The project has created online tools for web based Forum discussions (Webinars) in different languages, promoting sub-regional cooperation.</p> | <p>countries. Therefore, it is left to see whether other countries with their improved capacities and sustainability will be able to reach similar levels and submit the available information in the BCH (Annex 6B).</p> <p>Lack of updating of records could be due to several reasons. It is worth noting that several of the BCH II countries have not taken any decision on LMOs so far, which could be simply due to the fact that NBFs in these countries are not fully functioning or that there is a moratorium in on field trials and deployment of LMOs, etc. (Eg. India and Peru).</p> <p>A total of 194 new records were updated by all the BCH II countries, out of which 136 were updated by 9 countries in AP region, 28 records by 13 countries in Africa region and 30 records by 12 countries from LAC region. However, the increase in the number of records updating at the central BCH may not necessarily reflect the quality of the information available with BCH that the IAC has been emphasising (IAC 6<sup>th</sup> or 7<sup>th</sup> meeting reports and video conference attended by the ET as observers).</p> <p>Concerning Regional and Sub-Regional Collaboration and Networking, a certain positive indication exists in relation to the use of “<i>BCH as a means for promoting Regional and Sub-Regional Collaboration and Networking</i>”. Yet, while 50% of the BCH FPs uses the BCH also for this activity, only 11.1% of the National Authorised Users, 25% of the Public Servants and 15.4% of the Academics do the same.</p> <p>According to the survey, <u>online Conferences are moderately relevant (34.5%) to the BCH FPs but do elicit much interest from other groups.</u></p> <p>The ET deems that the project has achieved - to a certain degree - the component immediate outcomes. To sustain such progress is a major challenge as the majority of regional networking activities are primarily project-driven in several countries.</p> |
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| Component 2  | Expected Project Outputs   | Expected Immediate Outcome   |
|--|--|--|
| Continued in-depth fine-tune, development and global dissemination of knowledge sharing training packages on the BCH in the 5 UN languages (Arabic, English, French, Russian, Spanish) | <ul style="list-style-type: none"> <li>• Training packages (from curricula to manuals) developed addressing new targeted audiences in five UN official languages</li> <li>• Training materials made globally e-available &amp; downloadable.</li> <li>• Also integrated into the BCH Central Portal System.</li> </ul> | Training packages in-depth fine-tuned, addressing a larger scope of stakeholders, globally disseminated. |

| Output Performance                  | Immediate Outcome  |
|-------------------------------------|--|
| The project made available training | The main outputs of the project are these easily accessible training |

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| <p>packages for new target groups such as customs and phytosanitary officers.</p> <p>The project also created a Virtual Learning Environment (VLE), a new learning platform that allowed stakeholders to access teaching and training packages (<a href="http://moodle.bch2project.org">http://moodle.bch2project.org</a>).</p> <p>The project made available more than 70 training packages in the five UN languages (Arabic, English, French, Russian and Spanish) through the moodle website (<a href="http://moodle.bch2project.org">http://moodle.bch2project.org</a>) and the central BCH Help system.</p> <p>The new training packages included 10 curricula and guides, 13 manuals, 32 case studies, 2 interactive modules, 14 ready reference guides, 5 quizzes and discussion points. The list of all documents produced during the BCH II project is presented in Annex 8.</p> <p>The ET deems that the BCH II project has made significant progress in producing the outputs under this component.</p> | <p>packages available on a wide range of topics. These materials were extensively used in the national training workshops according to each country's needs and can be considered as an immediate outcome from this component as they were fine-tuned, addressing a larger scope of stakeholders, and globally disseminated.</p> <p>Availability of the training packages in the UN languages widened the range of participating stakeholders. Nevertheless, translations into local and regional languages could improve their understanding and their uptake by national players. For example, the organizers of the training workshops in Cambodia, suggested that future workshops should be held with the help of an interpreter, who should explain everything in Khmer, the local language.</p> <p>There are certain evidences (web-counting) that suggest that these materials are being accessed by several stakeholders across the globe in all the five languages. Therefore, easy availability of training materials through the VLE is expected to raise general awareness of the work of BCH. However, at this stage, it is difficult to measure such an outcome to assess its impact.</p> <p>Webinars are cost-effective and grant the participation of a large number of stakeholders all over the world through simple procedures.</p> <p>According to the survey, training materials and their accessibility are much appreciated by respondents. 60% of the BCH FPs training material accessibility is the first evidence of NBFs' strengthening ascribable to the BCH II.</p> <p>The ET considers that the immediate outcome of this component has been achieved.</p> |
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| Component 3                                 | Expected Project Outputs   | Expected Immediate Outcome  |
|---|--|---|
| Continuation of BCH Regional Advisor system | <p>RAs training experience in needs &amp; challenges is documented &amp; accessible</p> <p>RAs trained in updates to BCH Portal made by SCBD</p> <p>BCH National Regional &amp; Global workshops designed &amp; delivered adequately, relying on RAs assistance</p> <p>Regional RAs data-base and Roster of Experts in place</p> | Consolidation & availability of BCH RAs (Regional Advisors) expertise system. |

| Output Performance   | Immediate Outcome   |
|--|---|
| <p>The RA System has been the main mechanism through which the most important capacity building needs of the participating countries were addressed by the project. The RA system has helped designing and organizing five regional workshops and at least 2 national training workshops in the participating countries. Altogether the RAs took part in 107 of 145 national training workshops organized in 47 countries<sup>8</sup> (Annex 9A and 9B).</p> | <p>The BCH II project - through the RA system – has trained stakeholders in all participating countries, with very few exceptions, namely Syria where RAs could not go for security reasons and Vietnam, which did not opt for RA's assistance.</p> |

<sup>8</sup> RAs could not take part in the Syria workshops but provided assistance online. Vietnam did not opt for the RAs' support and Mauritius did not sign the SSFA (for details see Annex 9A and 9B).

All the 32 RAs, selected from the list of 60 RAs from the BCH I project, were trained and updated about the changes carried out in the central BCH between the two projects by the SCBD staff in Montreal at the beginning of the project. Although all 32 RAs were available to assist participating countries, their involvement in the training programmes suggest that only 22 of them took part in the training activities (Annex 9B).

Out of 49 BCH II countries that organized national training workshops, 38 were largely supported by eight RAs. Twelve out of 32 RAs undertook 138 of 164 total missions. About 30% of RAs (10 out of 32) did not take part even in a single national training workshop organized by the project.

The main outputs under the component is the extensively trained Government officials, especially the BCH FPs, by the RAs. An important part of their training also included updating of records in the revised formats in the central BCH during the workshops.

The project reports and PIRs suggests that the RAs have played several additional roles as well to help countries, especially in the submission of Second National Reports (SNR) in the central BCH. Despite of such additional roles of RAs, there are still several countries that have not provided accurate information through SNRs. Eg. There are nine BCH II countries that availed the GEF funding and yet not mentioned under a specific question on funding received from GEF in their SNR (Annex 13).

Survey results on the RAs System present a mixed picture. Regarding possible “*actions to overcome BCH related constraints*”, the option “*ensure RAs’ support; i.e. training, coaching*” takes 20.4% of the preferences. Based on the data collected from several questions and the rationale, it could be argued that, for the majority of respondents, the RAs is not a priority / preference for the future.

Although the RA system delivered high quality training, the outputs achieved by the BCH II countries are highly uneven among the countries in terms of their compliance with submission of records. Not all countries submitted the available information, though there were indications (through the SNRs) that these countries did have information (Annex 6B).

Although, the teaching and learning materials were used in the national and regional workshops by the RAs, some countries have faced difficulties while organizing the 3<sup>rd</sup> workshop without RAs support, especially with cases studies (Eg. Cambodia). This raises an issue of “to what extent these training materials can be used without RAs support”.

The Regional Advisors’ Network foreseen in the project document: “*these experts reside in their respective regions and will continue to be available and easily accessible to countries even after the Project*” has not been fully realized. The RA system relied upon relatively a small number of RAs. Moreover, out of 32 RAs made available for the project ten of them (30%) did not take part even in a single regional or national training workshops. Also their lack of response or late responses to survey questionnaire suggest a non-functional RAs Network at the end of project period.

Although the RA system has contributed for the outputs like regional and national workshops and training materials, several lines of evidence suggest that the IO has not been reached to a satisfactory level with respect to the consolidation of the Regional Advisors’ system.

| Component 4                 | Expected Project Outputs  | Expected Immediate Outcome                        |
|-----------------------------|---|---|
| Extension of national level | 1- New stakeholders groups trained<br>2- New authorized Users appointed | Enhanced National capacity training of trainers - |

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|---|--|---|
| learning events to stakeholders not already trained through the BCH project | 3- National institutions & trainers trained on BCH workshops' development<br>4- National academic and education institutions engaged in BCH training | inclusion of a larger scope of stakeholders |
|---|--|---|

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| <p><b>Output Performance</b></p> <p>A wider audience of well trained and informed stakeholders on LMOs and Biosafety matters related to CPB, is the main anticipated output of this component.</p> <p>All countries organized two workshops supported by RAs, except in few countries as explained under component 3. In addition, all countries organized a third workshop supported by their national trainers.</p> <p>A detailed report - containing information on the objectives, content of the workshop, materials used and the composition of participants , etc. - has been submitted by each participating country (Anubis records). Also, detailed reports containing different aspects of the workshops were submitted in four different forms (Form 1 - 4)<sup>9</sup> and are posted in the Anubis.</p> <p>For the 1<sup>st</sup> workshop, participants were drawn mainly from the Government departments related to the implementation of CPB. Out of the 975 institutions that took part in the first national workshop, 872 (89.43%) belong to public institutions and the remaining 103 (10.56) represent private institutions (Annex 10).</p> <p>The second workshop focussed on users of the BCH including academia, customs officers, industry, NGOs, etc. A wide range of topics were covered depending on each country's capacity building needs. Again more than 80% of the institutions participated belong to the public institutions while less than 20% is represented by the private institutions. Representation from NGOs, Farmer groups, Industry, Media was generally low (Annex 10).</p> | <p><b>Immediate Outcome</b></p> <p>Enhanced national capacity in terms of trained national trainers and new stakeholder groups trained on BCH functioning and sharing of biosafety information on LMOs are the two immediate outcomes from this component.</p> <p>Customs and phytosanitary officials are the new stakeholder groups targeted by the project. Focused training of these groups using case studies is expected to improve their performance while handling the cases on transboundary movement of LMOs.</p> <p>Another stakeholder group targeted is the Academic staff. Inclusion of academic staff in the training activities are expected to lead integration of biosafety related topics into academic curriculum.</p> <p>Based on the survey results, the stakeholders' perceptions show progress on factors related to <b>inputs</b> and <b>outputs</b> rather than a clear trend regarding <b>outcomes</b>, with exception, precisely on the BCH performance. (See in particular § 29 of the survey main report Annex 5A). To the respondents' perception, <i>BCH plays a relevant role as means for information sharing</i> as 50% of the respondents consider that <i>"information on BCH is easily accessible to stakeholders, including general public"</i>. However, CPB specific requirements of timely and accurate information is still an issue that needs to be addressed.</p> <p>The analysis by categories of respondents indicates that the National BCH FPs have a fairly positive perception about the country-data uploading and quality of information accessible through BCH, instead, the National Authorised Users and the Public Servants are more sceptical and almost half the Academics do not have a clear knowledge of the issue.</p> <p>Without much exceptions, almost all countries showed preference for the traditional stakeholders (73%) rather than the non-traditional stakeholder (28%), while selecting</p> |
|---|--|

<sup>9</sup> Form1 provided general information on the different activities carried out, training materials used, RAs involved and participants' profile. Form 2 and 2B provided information on the GEF funding and Co-financing by the Government. Form 3 provided information on the National Biosafety Framework Synergy Plan / Co-execution Plan where some of the BCH II countries are closing/executing and starting NBFs project. Form 4 contained Sustainability Plan of each country for BCH operations.

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|--|--|
| <p>The trained national trainers by the RAs in the first two workshops have also organized a 3<sup>rd</sup> workshop and trained other stakeholders on various aspects of BCH, focussing mainly on how to find desired biosafety information in the central BCH and other sources. Again, representation of the private institutions was relatively low (24.34%%) as compared to the Government institutions (Annex 10).</p> <p>The participation of vulnerable and other stakeholder groups in these workshops is also very low (Annex 10).</p> <p>Gender has been taken into account while selecting the participants for the workshops.</p> <p>According to the survey, 60% of BCH FPs received 2-3 trainings, while 66.6% of the National Authorised Users received 1-2 trainings, 71.4% of the RAs one training, 68.8% of the Public Servants received one training and 25% of them two trainings, and eventually, 53.8% of the Academics received one training and 30.8% two.</p> <p>Although, new authorized users appointed by some of the BCH II countries during the project period and a large number of stakeholders (~3,100) got trained, the overall percentage of stakeholders representing non-public institutions is generally low. Only 18.05% of the non-public institutions took part in the training programs as compared to more than 80% representation by the public institutions. Therefore the main Output under this component, the trained human resources, is largely represented by the public institutions.</p> | <p>the participants for the training workshops.</p> <p>The survey data showed uneven response from the stakeholder groups. Out of the 116 respondents, 49 came from the “inner circle” composed by BCH NFPs (30 respondents), Authorised Users, National Biosafety FPs, CAN and Members of the Biosafety Committee; 16 were Government Officials / Public Servants and 22 were part of the “larger circle” out of which three of the Public Sector; thirteen Academics; three Scientists; one Business representative; and two from the Civil Society. There are no members of associations of small farmers or consumers or middlemen among the respondents. None of the Academics nor Scientists (at least those that filled in the online questionnaire) has been a BCH related trainer. Based on the survey, the approach adopted regarding the inclusion of a wider range of stakeholders and their capacity strengthening has been narrow and consequently the results were limited.</p> <p>Regarding groups of stakeholders to be targeted for future capacity building, some interesting elements raise on the issue of inclusiveness. It is to be noticed that Members of Associations and Industry representatives are virtually absent from the survey (zero members of associations and one business representative). According to survey data, <u>inclusiveness</u>, although a clear requirement also under COP-MOP decisions, has not been sufficiently addressed through training.</p> <p>Finally, based on the survey report and the inadequate representation of non-traditional and non-public institutions (civil society groups at large) in the training workshops aimed at enhancing national capacities, it may be said that the project has eventually limited its capacity in achieving the larger scope of Immediate Outcomes under this component.</p> |
|--|--|

| Component 5   | Expected Project Outputs  | Expected Immediate Outcome                               |
|---|---|--|
| Support for the establishment and internalization of BCH Focal Point role, and other BCH information sharing roles (e.g. BCH NAUs) in participating country representatives’ job descriptions | Revised job descriptions of National BCH Focal Points<br>Organizational procedures for BCH registration agreed and documented by CNAs<br>Small-scale Funding Agreements signed, including Plan of Activities integrating the project with NBF implementation. | Institutional uptake of BCH – FP & other Human Resources |

| Output Performance  | Immediate Outcome   |
|---|---|
| Dedicated BCH staff with well-defined job description is essential for the management of the BCH. Updating of | BCH FP has a central role in the management of BCH at the national level and therefore having a |

|   |  |
|---|--|
| <p>national records at the BCH should be a continuous process. The definition of the roles and responsibilities of the BCH FPs, as per the COP-MOP decision BS1/3 by BCH II countries during the project period, is an intended project output.</p> <p>Based on the information provided by the BCH II participating countries through Form 3, it was evident that at least 50% of the countries have introduced job descriptions for the BCH FPs for their functioning.</p> <p>About 40 % of activities have been planned for co-execution along with the NBF implementation in the BCH II countries where both projects are implemented simultaneously (PIRs 2011 and PIRs 2012).</p> <p>In addition, the BCH project has succeed in bringing out the sustainability plan of each of the participating country in a well-structured format (Form 3, part of SSFA). This information will certainly help in designing the future capacity building activities in these countries.</p> <p>Only 5 (10%) countries have national budget allocated to fully support BCH related activities. In another 50% of the countries, budget is available but not enough to fully support the BCH tasks required to comply with the CPB. In the remaining 20 (40%) there is no separately allocated national budget for BCH related operations (Annex 7C) .</p> <p>The outputs achieved under the component are fragmented and partial.</p> | <p>BCH FP with a well-defined job description is a necessary step to enhance the overall functioning of the BCH.</p> <p>Although all the participating countries have a designated BCH FP, their institutional uptake and the integration of their salaries into national budget have not reached to a satisfactory level.</p> <p>Also the sustainability of BCH activities after the project period is a major challenge, at least in 40% of the countries where there was no separate budget allocated to support BCH functioning after the project period is over. Even in the 50% of the countries that allocated separate budget, it is not enough to support all the BCH activities. In addition, there are no indications on the national uptake of other trained human resources for BCH functioning as per the sustainability plans of BCH II countries. On the whole the project has achieved to a certain extent the Immediate Outcomes under this Component.</p> |
|---|--|

## Relevance

47 The ET has been able to confirm the relevance of the BCH II project for the following reasons:

- The relevance of the issue. The project is highly relevant and addresses the core issue of sharing experiences and information on all aspects of biosafety arising from modern Biotechnology. This has to be done through the BCH system, specifically created under Art. 29 of the CPB.
- The leading role of UNEP-GEF projects in enabling eligible countries to develop and implement NBFs including the BCH for the implementation of the CPB. The BCH II project, a continuation of BCH I project, is crucial to strengthen the capacities of the participating countries, especially those regarding the BCH FP on technical aspects and responsibilities.
- The project is consistent with the “Biosafety Strategic Program 6 (Capacity building for the Implementation of the CPB”, Strategic Objective 3 (BD) of the Focal Areas Strategies and Strategic Planning for GEF-4<sup>10</sup> and coheresponds with the Draft GEF-5 strategy<sup>11</sup>. It is also consistent with GEF

<sup>10</sup> BIODIVERSITY FOCAL AREA STRATEGY AND STRATEGIC PROGRAMMING FOR GEF-4 (2007-2010)

<sup>11</sup> Biodiversity Focal Area Strategy for GEF-5: “build capacity to implement the Cartagena Protocol on Biosafety” is one the four objectives.



- Both BCH I and II projects are highly relevant to the overall mandate and policies of UNEP, both at the time of project design and of its implementation. Under the BCH I project UNEP-GEF provided assistance to 112 of the 136 eligible countries in establishing/strengthening the BCH at the country level. The BCH II has been designed to support 50 countries.

48 Under the BCH I, a large number of training packages were developed in order to address the capacity building needs of countries for the implementation of CPB. The BCH II project has been designed to provide such a valuable tool in five UN languages with the intent of reaching a wider range of stakeholders. BCH II is highly relevant for the implementation of the CPB, which is a GEF focal area on Biodiversity and Biosafety. Overall project relevance is therefore rated as **Highly Satisfactory**.

### ***Effectiveness***

49 Effectiveness is rated as **Moderately Satisfactory** (MS). Although a great number of activities and products (outputs) have been carried out by the project, a mixed picture emerged in relation to the achievement of the Immediate Outcomes; which brought about a moderately satisfactory performance in relation to the achievement of the project’s main Outcome, “Strengthened national capacities for effective national and regional BCH management, relying on regional and sub-regional collaboration, networking and exchange.”

50 Addressing the paramount question “*what capacities and for what?*” the evaluation deems that National Capacity Building Strengthening should be ***comprehensive and inclusive***. Based on **COP-MOP** decisions (with particular focus on COP-MOP; BS-III 3, annex, “*Updated Action Plan for Building Capacities for the effective implementation of the biosafety protocol*” and BS-V/16 “*Strategic plan for the Cartagena Protocol on Biosafety for the period 2011-2020*”) the evaluation analysis adopts a comprehensive approach to ***National Capacity Building Strengthening***, relying both on the principle of *inclusiveness* of a larger scope of stakeholders and on a capacity-building concept addressing *human resources’ capacity, organisational development and institutional systems*<sup>12</sup>.

51 The ET reached the conclusion that the project has been narrow in effectively fostering and implementing the above approach, starting from its design, down to its implementation, monitoring system and final report. The project document, the interviews carried out during this evaluation in Nairobi, the consultation of monitoring systems, the final project reporting and the online survey all provide clear evidence of this important limit of the project.

52 There are several reasons why efficient delivery of a relevant number of outputs did not lead to effective achievement of outcomes, as further developed under below Section III / “Processes affecting attainment of project results” and as explored under ROtI.

53 A main reason lies in the project’s narrow approach to capacity building and institutional strengthening. The logical framework did not succeed in operationalizing the concept of comprehensive and inclusive capacity building foreseen by the project in its narrative section. Consequently, the monitoring system relies

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<sup>12</sup> Capacity building in the context of Environmental Management; Ref: a- Global Development Research Centre; b- “The concept of capacity building”, P. Morgan, 2006, The European Centre for Development Policy Management - ECDPM

heavily on outputs-related performance indicators which is not conducive to an outcome-oriented management at all levels, including at the Steering Committee level.

- 54 In the project document clear reference is made to an array of relevant drivers of change that could have triggered the transformation of outputs into outcomes. These drivers are the following: **a-** Good Governance Principles (with focus on equitable inclusiveness); **b-** Inclusion of champions, other than the RAs; e.g. a “*broader stakeholders constituency*”<sup>13</sup>; **c-** Co-ordination with UN agencies and other international players; **d-** Operational linkages with the main development sectors and their strategic instruments. Nevertheless, in the “project components and expected results”, all these driving forces of change are underestimated or absent.
- 55 Stakeholders’ participation presents an uneven picture. The specific training and the activities aimed at the inclusion of a larger scope of stakeholders saw little attention paid to non-traditional stakeholders. Additionally, there is no evidence that those trainings have effectively contributed to an empowerment and active role of a “broader public constituency” of stakeholders (all people and groups that can be affected by LMOs), as clearly emerged from the online survey and recognized by the IAC of 18<sup>th</sup> April 2013. The training curricula and material are not focused on building up a broader public constituency and supporting non-traditional stakeholders’ empowerment. This topic is further discussed under Socio-Political Sustainability and Part III (stakeholders participation).
- 56 The nomination of a number of National Authorised Users (NAU), which occurred during the project period, gives an indication of progress towards national up-taking and potential institutional capacity strengthening. The average knowledge of trainees increased<sup>14</sup> by 39%, which is positive, but increase of knowledge does not necessarily mean effective application of such knowledge. Increase in published records in BCH is a relevant, effectiveness-related, indicator yet a sound assessment would require more consistent data, embedded on a monitoring system composed by cross-checked variables giving evidence of the quality of data, periodicity of publications, blocking and building factors, among others. The evaluation did not find such a well-structured monitoring system. The monitoring system on BCH central is composed by a still limited number of indicators, little conducive to a critical approach and consequent steering and readjustment. For instance, BCH central statistics do not make evident that almost half of the information uploading to BCH occurred during the training sections held by the project<sup>15</sup>; fact that may indicate a project-driven performance, not necessarily ensuring sustainability after its end. Therefore, the evaluation cannot claim to have found sufficiently strong evidence of a fairly consolidated trend in behaviour change at the outcome level.
- 57 Comprehensive and inclusive capacity building strengthening should be supportive to strengthening of “*BCH as a means for transparent efficient & informed decision-making, based on modern biosafety information and knowledge management, as well as for accountability and public awareness, in compliance with National. & International requirements*”<sup>16</sup>. The BCH II project did not effectively address such challenge, although, positive steps have been taken and several project outputs can constitute building-blocks for any future action; which is absolutely necessary.

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<sup>13</sup> Project Document § 97

<sup>14</sup> BCH II, project final report, § 37 and 38, participants’ average knowledge increased by 39%, based on initial and final Quiz.

<sup>15</sup> BCH II, project final report, §11, “*During the five regional training workshops more than 85 new basic records were registered at the BCH II central portal*”; § 40 “*More than 190 new records were created ....*”.

<sup>16</sup> COP-MOP V; BS-V/16

The current status of the BCH II countries in terms of their capacity to support BCH operations and up taking of training packages by the academic institutions is shown below in Table 4.

Table 4. Sustainability of BCH operations and up taking of teaching materials by academic institutions in the BCH II countries

|  |  |   |  |  |
|--|--|---|--|--|
| <b>Countries that have BCH FP with a defined job description</b>     | Project developed training manuals/packages integrated into formal education system            | Costa Rica<br>Venezuela   | Benin, Lao PDR, Vietnam, Guatemala, Moldova Swaziland  | Cuba   |
|  | Project developed training manuals/packages yet to get integrated into formal education system | Guinea, Guyana, Jordan<br>Libyan Arab Jamahiriya, Niger, Nigeria, St. Kitts and Nevis, Tunisia  | Comoros, Democratic Republic of Congo, Dominican Republic, Honduras, Liberia Malaysia, Panama Peru, Philippines Senegal, Syrian Arab Republic, Togo, Yemen | Belize<br>India  |
| <b>Countries that are yet to define a job description for BCH FP</b> | Project developed training manuals/packages integrated into formal education system            | Mauritania  | Algeria  | Burkina Faso   |
|  | Project developed training manuals/packages yet to get integrated into formal education system | Antigua and Barbuda, Bhutan, Central African Republic, Chad, Ethiopia Madagascar, St. Lucia, St. Vincent and the Grenadines, Sudan, Tonga | Burkina Faso<br>Ghana<br>Lesotho   | Ecuador  |
|  |  | <b>Countries where national budget allocation is yet to take place for BCH operations</b>   | <b>Countries where national budget is allocated but not enough to fully support BCH tasks required to comply with the CPB</b>                              | <b>Countries that put in place national budget or alternative system to fully support BCH operations</b> |

### *Efficiency*

- 58 All the proposed activities in the Project Document were completed in 32 months that included an extension of eight months but without any additional costs. During the project period, two global<sup>17</sup>, five regional<sup>18</sup>, and more than 140 national workshops were organized in 46 of the 49 BCH II countries, a major task that the project team has successfully accomplished in a relatively short period of time, which is highly commendable. More than 3,000 participants, representing 1,287 institutions and 58 countries (some from non-BCH II countries), took part in these training workshops. The evaluation notes the excellent

<sup>17</sup> RAs training by SCBD staff at Montreal workshop on latest changes introduced in the central BCH

<sup>18</sup> Five regional workshops were organized to train for BCH focal points (Latin America regional workshop, Panama, Asia-Pacific and Central and Eastern Europe regional workshop, Republic of Korea, Anglophone and Francophone Africa regional workshops, Tunisia, Caribbean Regional workshop, Antigua).

administrative and technical support to the project rendered by the Project Manager, Task Manager and Funds Management Officer as well as the efficient management of funds and other resources for the successful completion of the project.

- 59 As mentioned before, the BCH II project was built on the experiences gained from the BCH I project. The institutional arrangements already established during the BCH I project have been efficiently used in the BCH II, as the majority of the BCH II countries had also participated in the BCH I project.
- 60 The well-organized RA system established during the BCH I project was replicated efficiently.
- 61 The UNEP-DELIC undertook innovative and cost effective measures by involving a non-participating country, such as the Republic of Korea, which hosted the Asia Pacific regional workshop and also invited a number of non-BCH II participating countries. This was a highly commendable initiative with a potential for the establishment of regional BCH nodes like “Centres of Excellence” that can cater future BCH capacity building needs in the region.
- 62 Webinars<sup>15</sup> (Web based seminars), are a cost effective method used to promote regional and sub-regional net-working on BCH management. Introduction of regional languages other than English has been considered to enable the participation of non-traditional stakeholders. More than 75 materials have been translated into the five UN languages and have been made available through a web based program, the VLE. However, additional efforts, energies and resources are needed to promote discussions among forums and to capitalize from the participants’ contributions.
- 63 The project did not sufficiently coordinate with relevant strategic partners such as Poverty Reduction Strategy Papers (PRSP) and United Nations Development Assistance Framework (UNDAF) to promote and distribute various training tools and packages that could have reached to a much wider audience. Further uptake of the training packages by other international organizations such as the United Nations University, with its close networking with the academic sector, particularly in developing countries, and several biotechnology and biosafety networks (e.g. UNUBIOLAC)<sup>19</sup> would help in disseminating the BCH II developed training kits among relevant academic institutions through their networks. With the relevant international organizations such as ICGEB<sup>20</sup>, TWN and UNUBIOLAC representing the PSC, it is further expected to incite their interest in the materials generated and their dissemination at the global level. The evaluation has rated efficiency as **Satisfactory**.

### ***Review of Outcomes to impacts (ROtI)***

- 64 Based on the project’s design and a number of relevant documents<sup>21</sup>, the Evaluation Team presented an initial Theory of Change (ToC) in the Inception Report. The mapping of the possible patterns of change, from the projects outputs to the expected outcomes and up to the intended impact, has been a valuable instrument in the analysis during this evaluation.

### **Project impact**

- 65 Identifying the project’s intended **impact** is the first step of the ToC. The primary aim of any GEF project is to achieve “***Global Environmental Benefits***” defined as “*lasting improvements in the status of an aspect of*

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<sup>19</sup> [UNU-BIOLAC - United Nations University](http://unu.edu/about/unu-system/biolac), (unu.edu/about/unu-system/biolac), **UNU** Programme for Biotechnology in Latin America and the Caribbean focuses on capacity development in the area of biotechnology.

<sup>20</sup> The ICGEB's Biosafety Web Pages disseminate as widely as possible significant information related to biosafety issues raised through the use of products derived from modern biotechnology, as well as to assist our Member States in their capacity to identify, regulate, manage and monitor those products within their own Countries.

<sup>21</sup> See Annex 4. bibliography

*the global environment that safeguards environmental functioning and integrity, as well as benefiting human society*". The BCH II project has contributed to the achievement of the objectives of the Convention on Biological Diversity, to the sustainable use of its components and the fair and equitable sharing of the benefits arising from the utilization of genetic resources<sup>22</sup>. As a matter of fact, ***"The enhanced Conservation of Biological Diversity"*** can be considered as the intended impact of the project<sup>23</sup>.

### **Project Outcome**

- 66 A review of the project's Logical Framework (Logframe) has been undertaken to gain a better understanding of the intervention logic and consequently reconstruct the theory of change. Based on the "Project Objective", one can deduce that the project's **main Outcome is "Strengthened national capacities for effective national and regional BCH management, relying on regional and sub-regional collaboration, networking and exchange"**. This is a relevant behaviour change to be achieved also, yet not exclusively, through the project support.
- 67 The formulation of the main outcome in the project document indicates an "action" rather than an outcome, a change / a new state. The project document uses the following formulation: *"To continue assisting eligible countries in strengthening national capacities to effectively access and use the Biosafety Clearing House (BCH), promoting regional and sub-regional collaboration, networking and exchange of experience for national and regional BCH management"*. This formulation presents several problems, including in terms of monitoring and evaluation, since it is "activity-oriented" rather than "results-oriented". These weaknesses have been highlighted by the evaluation.
- 68 In trying to identify the core change envisaged, new difficulties arise. The project objective puts forward three key elements: a) strengthening of national capacities, b) regional and sub-regional collaboration, networking, etc., and c) national and regional BCH management. Where does the core change lie on? Based on the project document and the strategic reference documents, the ET infers that **"Strengthened national capacities"** is the key and realistic change to be achieved by the BCH II project. "Regional and sub-regional collaboration, networking and exchange" underpin the process of national capacities' strengthening, while "effective national and regional BCH management" is the main achievement to be reached in a progressive way. These three key elements of the main objective (Outcome) are highly inter-related and mutually reinforced (strong causal linkages).

### **The causal linkages from Outputs to Outcome (including immediate outcomes)**

- 69 In its pathway to achieve the "project objective", the project is supposed to deliver specific services and goods. Twenty-six (26) outputs, structured around five (5) "project components", are foreseen. Additionally, for the five components, a total of thirteen (13) "expected outcomes" have been envisaged by the project design, a number of which are overlapping.
- 70 *"One of the key factors that can contribute to an inappropriate project logframe is that the original project designers do not fully appreciate the differences between the various elements of the project's logical hierarchy. For example, some projects may have outputs at the outcome level, or vice versa."*<sup>24</sup> Regarding the BCH II project design, the evaluation team considers that this is partially the case.
- 71 Consequently, the TOC proposed herein, streamlines the "expected outcomes", re-ordering them around five (5) main **"Immediate Outcomes"** as follows:
- National & Sub-Regional Networking functioning and Knowledge Sharing of relevant information registered in BCH(s).

<sup>22</sup>Convention on Biological Diversity; 1992; Article 1, Objectives.

<sup>23</sup> See ProDoc. "§ 61. *By assisting countries to fulfill their national information sharing obligations, this Project supports the successful implementation of the CPB and the global environmental benefits to be achieved thereunder, namely the protection of biodiversity from the potential risks posed by the transboundary movement of LMOs. ....*"

<sup>24</sup>Towards Enhancing the Impacts of Environmental Projects; The ROTI Handbook- August 2009-09-29; GEF Evaluation Office—Conservation Development Centre

- Training packages in-depth fine-tuned, addressing a larger scope of stakeholders, and globally disseminated.
- BCH RAs (Regional Advisors) system consolidated.
- National capacity enhanced through training of trainers for BCH training delivery and through more inclusive training addressing new stakeholders.
- Institutional uptake / internalization of the BCH – FP (Focal Point) & other HRs (Human Resources) related to the BCH.

- 72 At the output level, twenty-six (26) outputs are foreseen in the project design, some of which underpin more than one Immediate Outcome. A number of outputs are repetitive and several of them cannot be considered outputs. There are cases of activities that are listed as outputs; e.g. 3.2.3 “*technical assistance in the design, preparation and delivery of BCH Regional or global workshops as required*”. In some cases, outcomes are taken as outputs; e.g. 1.1.3 “... *compliance with the BCH obligations*”; which is about a behaviour change. Outputs are the direct result of inputs and related activities. Compliance with the BCH obligations is about a much more complex process subject, inter alia, to a number of factors out of the project’s reach (assumptions and risks).
- 73 To facilitate the change in pathways’ understanding, the TOC herein regroups the outputs in the following clusters which underpin the five Immediate Outcomes, as identified under § 61.

|   |  |  |  |   |
|---|--|--|--|---|
| <p>1- BCH FP and CNA Officials trained in BCH technical aspects, including formats, also relying on lessons learned at Reg. level.</p> <p>2- Records uploaded to BCH as well as a decisions are made public in BCH</p> <p>3- Installed &amp; operational e-forums platforms for sharing experience at Reg. &amp; Global level</p> | <p>1- New training packages (from curricula to manuals) developed addressing new targeted audiences in 5 languages</p> <p>2- Training material globally e-available &amp; easily downloadable &amp; integrated in the BCH Central Portal System.</p> | <p>1- RAs training experience in needs &amp; challenges is documented &amp; accessible</p> <p>2- RAs trained in updates to BCH Portal made by SCBD</p> <p>3- BCH Nat. Regional &amp; Global workshops designed &amp; delivered adequately, relying on RAs assistance.</p> <p>4- Regional RAs data-base and Roster of Experts in place.</p> | <p>1- New stakeholders groups trained</p> <p>2- New authorized Users appointed</p> <p>3- Nat. institutions &amp; trainers trained on BCH workshops’ development</p> <p>4- Nat. academic and education institutions engaged in BCH training</p> | <p>1-Revised job descriptions of National BCH Focal Points</p> <p>2- Organizational procedures for BCH registration agreed and documented by CNAs</p> <p>3- SSF Assigned, including Plan of Activities integrating the project with NBF implementation.</p> |
|---|--|--|--|---|

### Assumptions and Drivers from Outputs to Outcome

- 74 Concerning the project Outcome, the evaluation shows that, the core issue could be summarized in the question “*To which extent the main objective has been the most appropriate response to the key problem which the project is supposed to address?*” In “results-oriented project planning”, a “problem tree” should correspond to an “objective tree”. According to the project’s logframe, capacity building is the “core solution”<sup>25</sup> proposed to the “core problem” of a BCH still not conducive to countries’ compliance with CPB obligations. Capacity building is a complex process, in no way strictly equivalent to know-how dissemination and training. Furthermore, training effectiveness is not only about pedagogical effectiveness, but primarily about effective capabilities to apply new knowledge and implement changes; which implies appropriate organisational, institutional and system environments<sup>26</sup>.

<sup>25</sup>“Seeking to ensure sustainability of national BCH capacity through additional training”; final evaluation report BCHII, 2013.

<sup>26</sup>See, inter alia, a- the UNEP approach to capacity building for sustainable development, 2002; b- The concept of capacity building, P. Morgan, 2006, The European Centre for Development Policy Management / ECDPM

- 75 The Evaluation Team notes that the BCH II project takes a narrow approach to capacity building, largely relying on training as a self-contained driver of change. This has clearly been confirmed by the evaluation. The project did not take on board previous assessments pointing out an array of key problems to which training is not a sufficient solution<sup>27</sup>. Actually, relevant problems ultimately lie in ownership, governance, stakeholders' inclusion, and political will, inter alia, aspects that the ProDoc encompasses under "background and situation analysis". Yet these key issues are not effectively addressed under "project components and expected results".
- 76 Although in the ProDoc, under section 2, background and situation analysis, a clear reference is made to an array of relevant **drivers of change**, under "project components and expected results" these drivers are underestimated or absent. The evaluation confirms that such gap persisted during the project's life, negatively influencing effectiveness and sustainability. These potential yet unexplored drivers are:
- Good Governance Principles (GGP);
  - Inclusion of champions, other than RAs, that could catalyse change;
  - Co-ordination with UN agencies and other international players of ODA that have consolidated frameworks and platforms of negotiation, inclusion, participation; e.g. UNDAF;
  - Operational linkages with the main development sectors and their strategic instruments; e.g. the PRSP, although such approach is clearly stressed in several UNEP guiding documents.
- 77 GGP are clearly envisaged as drivers of change by several relevant documents, including the CPB, article 20 & 23, the Rio Declaration 1993, Principle 10, the Strategic Plan for the CPB 2011 – 2020. GGPs are not assumptions but drivers, because they can be, to a certain extent, within the project's reach. GGP can be promoted through capacity building, addressing a larger scope of stakeholders that benefit from the project and gain ownership over the process. Training packages have to address these new audiences, including a larger scope of competencies and topics. Political will is much about the balance between interests and the capacity of constituencies to push forward their agenda. Empowerment of key stakeholders is vital in policy design and implementation. Faced to relevant questions as "*Who are the key stakeholders and why? Are they effectively and equitably addressed by the project and in which way?*", the project has been narrow in its design and remained so during its implementation, according to the evaluation's findings, limited funding and time might have contributed to such a situation.
- 78 Involvement of a larger scope of stakeholders could provide the possibility to particular groups (individuals or institutions) to catalyse change. Unfortunately, new stakeholders with a "championship DNA" - such as representatives of farmers' associations, to just give an example - are not clearly envisaged and effectively addressed by the project. The evaluation confirms the low progress made in including a larger scope of stakeholders to build a broader public constituency, again project team attribute it to resource limitations.
- 79 The UNEP MTS / POW 2012/13<sup>28</sup>, foresees that "*national development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation*". The CPB, by its very nature, requires functional linkages with development sectors that are already encompassed by National and UN common country programming (UNDAF) and platforms of negotiation at national, regional and global level. Operational linkage with the main development sectors is extremely relevant because it is much about combining efforts to meet obligations to the BCH with the derived benefits from it. The evaluation confirms that this driver remained unexplored.

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<sup>27</sup>BCH I evaluation report: ... whereas the training materials were excellent " ... little progress was made in sustaining country capacities" due to "lack of enabling conditions at the country level", "...the knowledge generated by the project has not fed into an operating system and there are few opportunities or incentives to apply new capacities", lack of NBFs, inter alia. Concluding that "In most developing countries, the implementation of the Cartagena Protocol and BCH component is project-driven and will remain so for the foreseeable future".

Additionally, the Wageningen Academic study concludes that " ... impediments are not simply a matter of inadequate capacity or technical expertise. Instead, constraints can be related as much to policy contexts and competing priorities as to technical and infrastructural issues. Furthermore, an important constraint ... is that much required biosafety information simply does not exist in many countries at the present time. As seen from this study, public awareness exercises or stakeholder participation are often mentioned by countries as ways to overcome a lack of interest or awareness. .... the analysis here suggests that, going beyond designing public participation or awareness exercises, the key challenge for future capacity building projects will be achieving a good balance between the emphasis placed on meeting obligations to the BCH versus deriving benefits from it".

<sup>28</sup> "strategic direction D" / "Environmental Governance", "Expected Accomplishments" / EA 44

- 80 On the positive side, a number of relevant drivers have been explored by the BCH II project, although to a different degree of effectiveness, in particular:
- Regional Advisors system. As emerged through the evaluation, the RA has been a driver of change yet project-driven, that became a dwindling resource over the implementation period, and its sustainability remains a challenge both in institutional and financial terms.
  - National trainers and to a certain extent national institutions (public and private), with emphasis on the Academic world; which have been proved fructiferous and promising, but still require further support to develop and consolidate.
  - Effective & accessible, workable IT platforms at National, Regional & Global level have been well developed during the project as major drivers.
  - Quality training material available. The evaluation confirms the relevance of this driver as clearly emerged by beneficiaries' own assessment.
  - Sub-Regional Networking and Knowledge Sharing of Information (South – South cooperation). The evaluation shows that regional workshops and meetings did not yet promote structural regional and sub-regional partnerships with key stakeholders, e.g. NEPAD / ABNE; as required by COP-MOP decisions. The project did not explore any institutional arrangements conducive to sustainable changes; for instance, through strategic partnerships with “Centres of Excellence” complying with COP-MOP; BS-III/3; Action Plan, § 11 (a).
- 81 The project logical framework pays attention to ***assumptions and risks*** identification; which is positive. The majority of the assumptions and risks are well designed, yet they address the outputs to the immediate outcomes level. The pathways from the immediate outcomes to the main outcome are not explored by the project. To the evaluation team's understanding, this confirms the narrow approach taken by the project; which leads to a fragmented rather than to a comprehensive view & action on capacity building for effective BCH management.
- 82 The assumptions considered by the project design, could be summarized as follows:
- Enabling political & institutional environment; clear political will at several levels and among several stakeholders.
  - NBF adequately set-up relying on national ownership, including up-taking into national budget.
  - Regional & Sub-Regional Agreements functioning.

### **Intermediate States from Outcome to Impact**

- 83 The intended **impact** of the project is “*The enhanced Conservation of Biological Diversity*”. The BCH II project contributes to that impact through a chain of “**intermediate states**”. The present ToC identifies four (IV) main intermediate states.
- 84 Following an inverse, “top-down” order, “*Enhanced Conservation of Biological Diversity*”, as final impact, would rely on “*Biological diversity adequately protected from any adverse effects of LMOs*”<sup>29</sup>, intermediate state IV; which in turn, would rely on intermediate state III ensuring “*Improved Governance of National, Regional and International biosafety systems*”<sup>30</sup> as expressed in the “vision” of the “Strategic Plan for the CBP, 2011 – 2020”, COP-MOP V.
- 85 The BCH II project is expected to contribute to the governance systems, due to its very nature and because of causal linkages leading to two main intermediate states: intermediate state II “*Effective and transparent*

<sup>29</sup> “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” as stated in article 1 of the CPB.

<sup>30</sup> Additionally, this is a main reason for considering that the BCH II may make a tangible contribution to the UNEP Medium Term Strategy (MTS) / Programme of Work (POW) 2012/13, backing “strategic direction D” / “Environmental Governance” and in particular sustaining three “Expected Accomplishments” / EA 44 (b) “States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions; (c) “national development processes and United Nations common country programming processes increasingly mainstream environmental sustainability in their implementation”; (d) “national and international stakeholders have access to sound science and policy advice for decision-making”. It is to be noticed that although the BCH II could / should address these three strictly inter-related EAs, EA 44 (c) is not sufficiently explored in the project design.



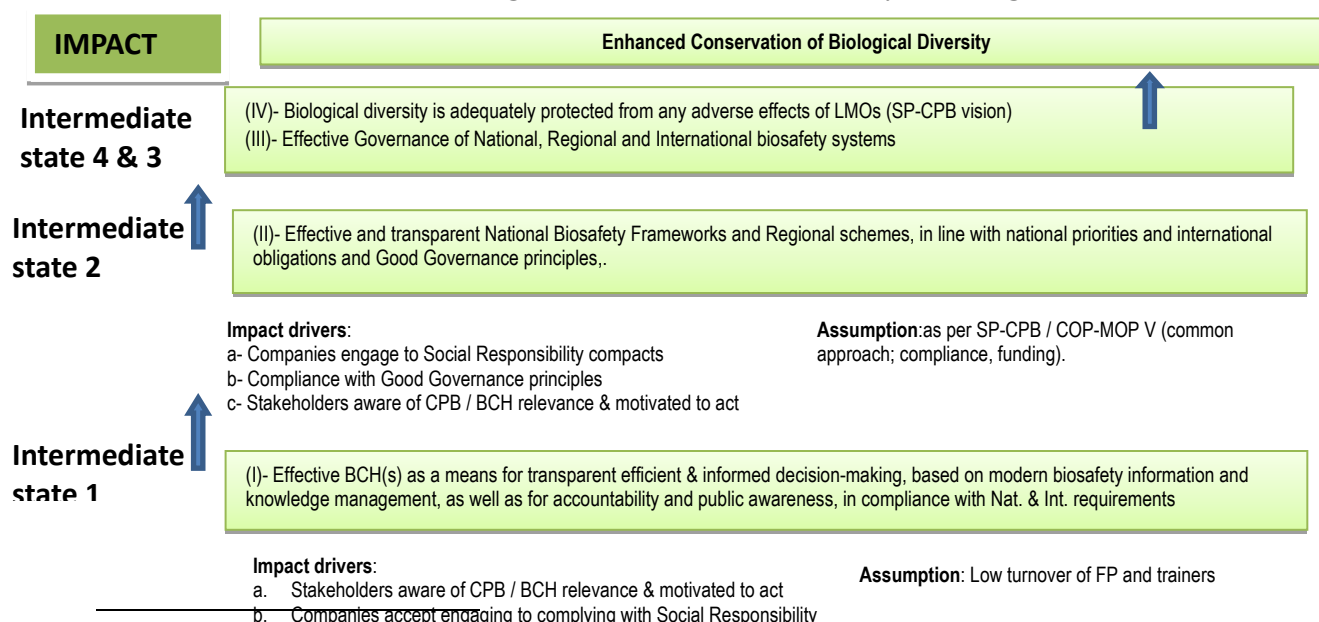
*National Biosafety Frameworks and Regional schemes, in line with national priorities and international obligations and Good Governance principles” and intermediate state I “Effective BCH(s) as a means for transparent efficient & informed decision-making, based on modern biosafety information and knowledge management, as well as for accountability and public awareness, in compliance with Nat. & Int. requirements. (CPB art 20 & SP-CPB)”.*

- 86 Eventually, in this possible pathway of change, it is deemed that an Effective BCH (intermediate state I) is underpinned by the project outcome, aiming at strengthening human resources, organisational and institutional systems (fundamental dimensions to be addressed by “capacity building”).

### Drivers and Assumptions from Outcome to Impact

- 87 At this level of analysis, a net difference between drivers and assumptions is somewhat impracticable as it is about complex processes addressed through an array of actions and instruments, in a way that the assumptions related to certain actions could perfectly be drivers of another group of actions. Having said that, the following issues are relevant to the pathways of change from the BCH II Outcome up to the final impact:
- All the assumptions as spelled out in the Strategic Plan for the CPB (2011 – 2020) / SP-CPB, inter alia, countries’ common approach; compliance with CPB requirements, funding;
  - Companies accept engaging in progressively comply with Social Responsibility compacts / standards (this could be an assumption but in the context of a specific action / project / programme may become a driver);
  - Compliance with Good Governance principles<sup>31</sup>, including ownership (this can be an assumption but also a driver, depending by the context of action);
  - Stakeholders aware of CPB / BCH relevance & motivated to act can be a main driver.
- 88 In their pathways to achieve the main Outcome, the project was supposed to deliver specific Outputs that can be clustered into five groups based on five components of the project. Each set of Outputs have delivered a specific Immediate Outcome and in turn each of these IO leading to Intermediate Outcomes that are ultimately leading to main Project Outcome. The casual logic is outlined below in a diagrammatic view (Theory of Change” based on Annex 7 of TORs ).

### Diagrammatic view of the “Theory of Change”



<sup>31</sup>Governance principles: rule of law, including Int. obligations & Nat. requirements, accountability, transparency, meaningful participation in decision-making, empowerment, no-discrimination, human dignity, inclusiveness, equity and ownership.

## Outcome

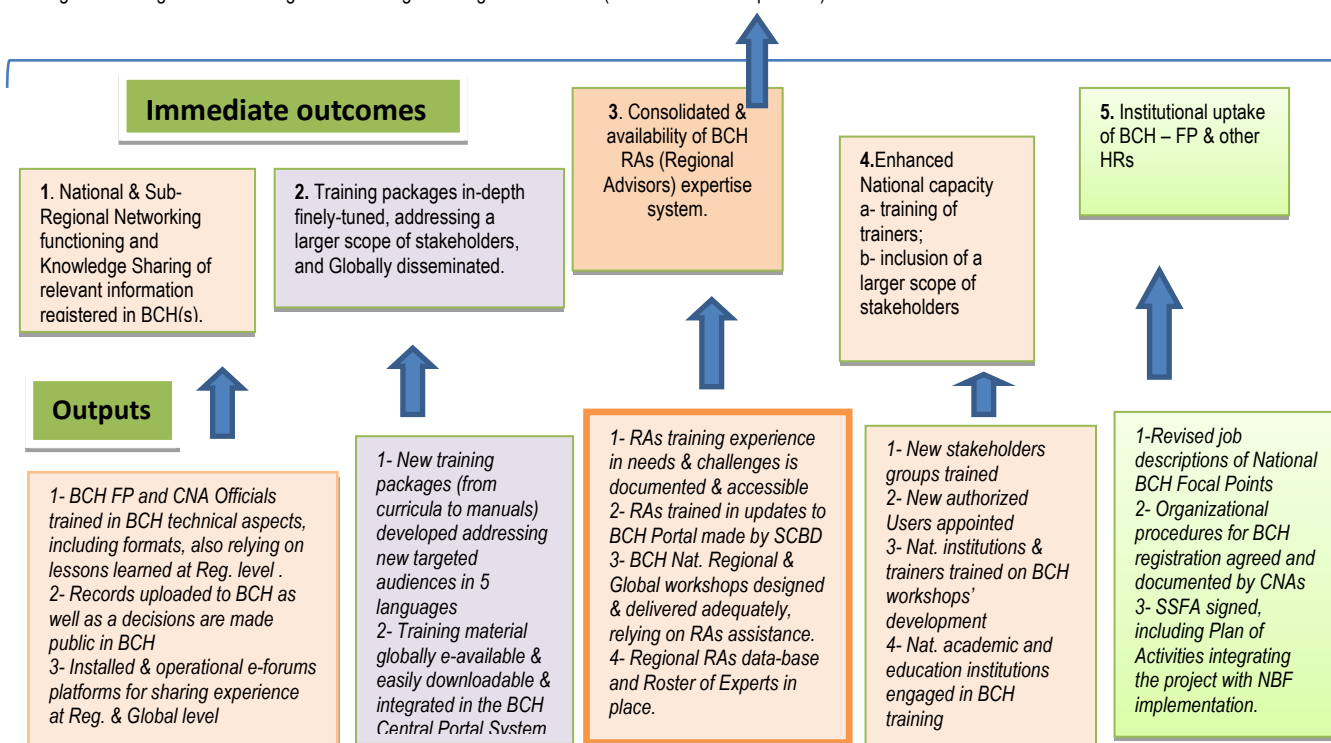
**“Strengthened national capacities for effective national and regional BCH management, relying on regional and sub-regional collaboration, networking and exchange”**

### Drivers:

- Empowerment & engagement of key stakeholders with “championship DNA”
- Co-ordination with UN agencies
- Promotion / implementation of Good Governance Principles as per CPB
- Regional Advisors (champions) & Nat trainers
- Effective & accessible, workable IT platforms at Nat. Reg. & Global
- Quality training material available.
- Sub-Regional Networking and Knowledge Sharing of Information (South – South Cooperation)

### Assumption:

- Enabling political & institutional environment; clear political will at several levels and among several stakeholders.
- NBF adequately set-up relying on national ownership, including up-taking into national budget.
- Regional & Sub-Regional Agreements functioning.



## B. Sustainability and catalytic role

### Sustainability

89 The BCH II project is supposed to address fundamental requirements for the sustainability of the BCH system; namely:

- Capacity building addressing Human Resources and Organizational Development; i.e. capacity building as a process aiming at building a system empowering people to train themselves;
- Capacity building addressing Organizational and Institutional System Development; i.e. “BCH as a means for transparent efficient & informed decision-making, based on modern biosafety information and knowledge management, as well as for accountability and public awareness, in compliance with National. & International requirements<sup>32</sup>”.

90 Actually, in the project document, sustainability is explored and elaborated in a thorough and consistent way, and an array of enabling conditions to ensure outcomes’ sustainability beyond the project lifetime are

<sup>32</sup>COP-MOP V; Strategic Plan for the Cartagena Protocol on Biosafety for the Period 2011-2020 (BS-V/16, Annex I).

explored, paying particular attention to the key issues of appropriate institutional arrangements and stakeholders' inclusiveness.

- 91 The evaluation team proposes a critical approach, to be exposed in detail in the following sub-chapters, focusing on the “four aspects of sustainability”, socio-political, financial, institutional and environmental. Overall, five major issues are explored; namely:
- a) Although in the project document clear reference is made to an array of drivers highly relevant to sustainability, in the implementation related sections these drivers are underestimated or absent; namely: a-Good Governance Principles (GGP); b-Inclusion of champions others than RAs; c-Co-ordination with UN agencies and other international players of ODA ; and d-Operational linkages with the main development sectors and their strategic instruments; e.g. the PRSP, although such approach is clearly stressed in several UNEP guiding documents.
  - b) The precondition of existing and functioning NBFs, as criterion for countries' participation to the BCH II project is controversial, as further elaborated in this report under “institutional sustainability” and under part III, “stakeholder participation”.
  - c) The Permanent Knowledge Basis composed of the training materials in five UN languages per se is not a main driver of sustainability but a relevant output / product. It is the accessibility, the dissemination and the rate of effective up-taking of this training material by the National Stakeholders that would constitute main factors of sustainability, as further explored under institutional and socio-political sustainability.
  - d) Although the RAs System has been a key driver of change, its sustainability remains a major challenge, as exposed under “institutional sustainability”.
  - e) In compliance with relevant COP-MOP decisions, the Sustainability of the BCH system should be embedded in stakeholders' inclusiveness and conducive institutional arrangements.

### ***Socio-political sustainability***

- 92 Several factors related to socio-political sustainability of the BCH are also strictly related to the NBFs' sustainability. It is for this reason that the present evaluation, echoes an array of arguments from a NBFs related previous evaluation<sup>33</sup>. *“Biotechnology is a very appealing theme for those governments that believe that, through biotechnology, socio-economic development can be quickly boosted. Though, public funding for scientific research is extensively decreasing due to diffuse government budgetary restraints all over the world. At the same time, big corporates, able to invest in costly research & development programmes, look at biotechnologies as a very interesting sector, capable to produce high-profit, marketable goods in an oligopolistic situation”*. In this context, the socio-political sustainability of the NBFs in general, and of the BCH in particular depends on governments' capacity to set and enforce biosafety regulatory regimes promoting a “People - Planet – Profit”<sup>34</sup> development; which implies accommodating private investment opportunities to citizens' socio-economic and environmental concerns.
- 93 Biosafety is a very polarized topic. In such a situation, its socio-political sustainability is likely to be highly conditioned by the prevailing political agenda. It is obvious that in this context the BCH role is relevant and peculiar. As elaborated in other parts of the report, the BCH is instrumental in promoting “political will” propitious to the CPB effective implementation, mainly by boosting awareness, and above all, active and meaningful participation of large constituencies of stakeholders, fully relying on the consistent application of the principles of inclusiveness, transparency and equity (see inter alia COP-MOP V-17 point 4.2). In this

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<sup>33</sup> UNEP-GEF; Evaluation report; Terminal Evaluation of Selected UNEP-GEF Biosafety Implementation Projects; Vanga Siva Reddy & Camillo Risoli; UNEP evaluation office, 2012

<sup>34</sup> See more on “Sustainable Development” of the Brundtland Commission, 1987; Environmental Sustainability; Economic Viability; and Social Equity are the three dimensions of sustainable development; which in business-oriented actors, are also called the “Triple Bottom Line” / People - Planet - Profit (TBL or 3BL) where Economic capital, Human capital and Natural capital are considered core business elements. The TPL concept is tightly linked with the Corporate Social Responsibility / CSR topic.

light, the Evaluation Team notes that, in order to promote sustainability, *National Capacity building strengthening has to be comprehensive and inclusive*. (see more on that under Preparation and Readiness, Stakeholders Participation and Public Awareness). This aspect is clearly identified and explored in the project document, (§ 97, “*building a broader public constituency*”), yet it is not reflected in the operational part of the project. The evaluation reached the conclusion that the project has been clearly limited concerning inclusiveness, with negative consequences regarding socio-political sustainability. Rated as **Moderately Unlikely**

### *Financial resources*

- 94 Financial sustainability of the BCH management varied considerably among the BCH II participating countries. Although a significant level (~50%) of co-financing was made available to the capacity building activities under the BCH II project (Annex 12), the financial sustainability of capacity building activities after the project period remains an issue at least in 21 of the 49 participating countries that are yet to allocate national budget for BCH tasks (Table 4). On the other hand, a few countries (Bhutan, Chad, Guatemala, Moldova, Niger) that did not commit any co-financing at the beginning of the project have actually provided significant support, in kind as well as in cash.
- 95 Based on the response to country’s sustainability plans, (Annex 6A and Annex 11), the evaluation team finds that a large proportion of BCH II countries are not yet fully prepared to sustain the BCH activities after the project period is over. While 10% of the countries have dedicated budget to fully support BCH activities, another 50% of the countries do have separate budgets but not adequate to fully support the BCH tasks required to comply with the CPB. The remaining 40% of the countries have no separate budget to support BCH related operations.
- 96 Also the majority of the countries have not integrated even the BCH FPs’ salaries into their organizational budget. About 45% of the countries do not have allocated budget to cover the salaries of BCH FPs or have budget to cover it only partially. Only 10% of the countries are fully supporting the BCH FPs to carry out their responsibilities. Therefore, the Evaluation Team rates financial sustainability as **Moderately Unlikely**.

### *Institutional framework*

- 97 The institutional sustainability of the BCH is strictly related to the NBF. Beside the NCA (usually the Ministry of Environment or inter-institutional bodies, such as Biosafety Councils or Commissions), other institutions and line-ministries have a key-role to play, usually the Ministries of Agriculture and the Ministries of Health. All these actors should coordinate in order to implement, in a smooth and efficient way, the decision-making system (from the detection, analysis and referral system to risk assessment and decision-making) and the monitoring and enforcement system, including the publication of information and up-loading of decisions to the BCH. As shown in the ToC, institutional achievements and governance should be solid and effective enough to allow Project Outcomes to progress towards higher levels of results and to achieve the intended impact.
- 98 In this context, the **precondition of the existence and functioning of NBFs** is reasonable. However, the BCH has a particular role in enabling the conditions for a sound and meaningful functioning of the NBF, fact that highlights the mutual reinforcing role of the two instruments (NBF and BCH). Therefore, a solid NBF is necessary to BCH effectiveness and, at the same time, an effective BCH is essential to NBF governance.
- 99 The RA system has been a main driver of change, but being project driven it has later become a dwindling resource over the implementation period, as highlighted in paragraph number 171 Only 14 RAs answered the evaluation survey.

100 Regional Advisors' Network is foreseen by the project document as a relevant sustainability factor and under § 96 it is stated that *"these experts reside in their respective regions and will continue to be available and easily accessible to countries even after the Project"*. Yet it is not explored how their availability will be possible and financially sustainable if not under § 100, "Long-term strategy", where DELC's *"particular interest in the Regional Advisor Network as a model mechanism"* is exposed and DELC's determination to *"explore ways to maintain this type of network, beyond the life of this project"* is stated. During the evaluation period, no answers were found to the fundamental question of RAs network funding after the end of the project. Both in terms of funds and institutional framework, the RAs system /network is project-dependent. The evaluation notes that as yet the RAs' system does not address the question *"how activities / processes continue after the end of the project"* Therefore, to sustain the RA system functioning after the project period is over, institutionalization by the UNEP/SCBD based on the recommendations of SCBD IAC and COP-MOP may be explored.

101 The ***Regional and Sub-regional networking*** and exchange of information remained limited as a possible driver of sustainability, relying mainly on regional workshops. Apparently, regional meetings did not promote structural regional and sub-regional partnerships with key, relevant stakeholders, as for instance with NEPAD/ABNE (African Biosafety Network of Expertise); as required by COP-MOP decisions (e.g. BS-III/3; Action Plan, § 9 (d)). A regional approach could also have promoted appropriate institutional arrangements highly conducive to sustainable changes; for instance, through strategic partnerships with *"Centres of Excellence"* complying with COP-MOP; BS-III/3; Action Plan, § 11 (a), but this has not been the case. Rated as **Moderately Likely**.

#### ***Environmental sustainability***

102 Environmental sustainability is at the core of the CPB and CBD. Project benefits are constantly challenged by several threats to environmental sustainability imposed by the patterns of global development. Only an increased cooperation between governments, international agencies, scientific fora and environmental Conventions and Protocols can globally address the challenge.

103 As the BCH II project is mainly about capacity building, the anticipated outcome of the project is a well-trained Government staff and public contributing to dissemination of information on LMOs to take informed decisions. Therefore, environmental factors are not anticipated to influence negatively on the project intended benefits. Rated as **Moderately Likely**.

104 The overall sustainability is rated as **Moderately Unlikely**.

#### ***Catalytic Role and Replication,***

105 At the national level, the training materials developed during the project were shown to play a catalytic role in the national training workshops. The project generated a large number of training materials in five different UN languages and made them available through the VLE. Availability of such materials will certainly expand the outreach of biosafety information to a larger audience and even spread further when translated into other local languages.

106 The project played a catalytic role in the submission of new -basic records and other information available at the national level in the central BCH. About 50% of the BCH II countries, during or soon after the training workshops, have uploaded at least one record in the central BCH. The quality of the information that these documents provide make the BCH a useful resource for information on LMOs and not the number of records made available. The Evaluation Team noted that during the regional workshops, a large

number of records posted in the central BCH were subsequently deleted but reasons for their deletion were not clearly explained (Annex 7).

- 107 Although, the project has by and large not contributed to institutional changes in terms of institutional up take and mainstreaming of BCH sustainability, it played a catalytic role in bringing out the country's sustainability plans in a systematic manner (through Form 4). Catalytic Role is rated as **Satisfactory**.

### ***Replication***

- 108 The training strategy of the BCH II project is a replication of the previous BCH I project. The project replicated the same strategy to cover additional stakeholders such as customs and phytosanitary officers. In addition, the project replicated about 75 training materials into the five UN languages and the same materials can be further replicated into the local languages of the participating countries, extending the capacity building programs and reaching a wider audience.
- 109 The BCH I project also designed the Regional Advisors Network, the training-of-trainers approach and the web based knowledge sharing mechanisms in such a way that similar strategies could be successfully replicated in the BCH II project and could be further replicated in all future BCH capacity building projects.
- 110 The capacity building strategies of the project designed by the RA system and implemented during 1<sup>st</sup> and 2<sup>nd</sup> national workshops in 46 countries have been replicated by the national trainers during the 3<sup>rd</sup> and 4<sup>th</sup> (in some countries) national training workshops. Therefore, it is presumable that such training activities could be replicated in future capacity building activities not only in the BCH II countries but also in the non-BCH countries as they are freely available, provided that these programs are sustained after the project period is over. Evaluation rated as **Satisfactory**.

## **C. Processes affecting attainment of project results**

### ***Preparation and Readiness***

- 111 Identification of outputs and activities, and the establishment of a work-program in consultation with the national executing agencies in each country were the first steps initiated by the UNEP-DELC. Altogether, the project has planned five regional workshops and at least two national workshops in each participating country to train a range of stakeholders on various aspects of BCH functioning and information sharing. While RAs were involved in designing and organizing the national training workshops, selection of stakeholders has been entirely addressed by the national executing agencies.
- 112 For the capacity building activities at the national level, despite huge variations in terms of the baseline situation that existed among the participating countries, the project has come up with a more or less uniform program of three workshops with similar activities. While the first two workshops were supported by the RAs, the third workshop was supported by the national trainers, with very few exceptions.
- 113 However, the ProDoc was not very realistic in assessing the project period for an effective and efficient implementation of the project activities in the proposed 50 countries in the 24 month period. Also the preparation of work program for national training workshops has taken longer than expected due to variable capacities of BCH II countries to countries. As a consequence the project period had to be extended by the Steering Committee by 8 more months making the total project period to 32 months.
- 114 While preparing the workshop program and the list of stakeholders, the project has placed major emphasis on public institutions. More than 80% of stakeholders participated in the national workshops are represented

by public institutions. While the BCH FPs are the main stakeholders identified by the project for the regional training workshops the participants in the national workshops were represented predominantly by the Customs and Phytosanitary officials and Academic staff.

- 115 The UNEP-DELC has assessed the required infrastructure support for the implementing of identified project activities, entered into a standard execution arrangements (SSFA) with all the participating countries and ensured the smooth implementation of the proposed activities.
- 116 The participating countries and the stakeholders have generally appreciated the UNEP-GEF support for BCH II project as well as other Biosafety projects and also the support extended by the project through RAs.
- 117 Distribution of GEF funds was fairly uniform to all participating countries and the allocation of budget under various heads was need-based. The project design has taken into account the GEF environmental and social safeguards.
- 118 On the whole, considering the fact that 49 countries participated in the BCH II project and their geographical distribution was quite broad, the variable baseline situation among the participating countries and a large number of expected outputs, the project execution and implementation arrangements have been adequate in adopting to circumstances and in completing all proposed activities by the end of the project's extended period. Preparation and readiness is rated as **Satisfactory**.

### ***Implementation Approach and Adaptive Management***

- 119 The project has been executed by the UNEP-DELC and UNEP-DEPI are the implementing agencies of the BCH II project. The SCBD provided the necessary technical support throughout the project period. Each participating country has identified a National Executing Agency (NEA) and directly interacted with the project executing and implementation agencies. Different Governmental institutions were entrusted by the participating countries for the execution of the project activities and provided the necessary technical, administrative and co-financing support for the project.
- 120 The Project Manager (PM), a position specifically created within the project, was entrusted with the technical and administrative project execution aspects. The PM has coordinated all project activities, including the coordination with the SCBD. The PM, with the support of two Regional Specialists, has supervised the work of liaising with countries to ensure implementation of national project activities; reporting to the UNEP-DELC and the Project Steering Committee.
- 121 The implementation arrangements included the training of RAs at the beginning of the project by SCBD staff on the changes that took place in the central BCH between BCH I and BCH I project period, organization of regional workshops for regional net-working among the participating countries and national training workshops to train national trainers and other stakeholder groups.
- 122 The RA system consisting of 32 RSs, selected from the previous list of RAs who participated in the BCH I project, to coordinate and support national level project activities in close association with the NEAs. However, the distribution of workload among the RAs in organizing the national workshops seems very uneven, indicating a certain degree of preference to a particular RA by the participating countries. Out of 32

total RAS available mostly 8 RAs took part in majority of training workshops and 10 RAs did not take part even in a single workshop, which need to be understood for the sustainability and institutionalization of RA system in the future projects.

- 123 As the project was originally planned for two years, no Mid Term Evaluation was envisaged in the project document. However, a Project Steering Committee consisting of members drawn from the UNEP, SCBD, UNU, ICGEB and other relevant agencies were constituted for guiding the project implementation.. However, the PSC has reviewed the project progress only once during the entire project period of 32 months.
- 124 A notable implementation approach that deserves mention is the involvement of a non-BCH II country, Republic of Korea, in organizing a AP-CEE regional workshop in Korea. Not only that the regional meeting was organized by non-BCH II country but 7 other non-BCH II countries took part in the workshop. Another adaptive management approach followed by the project was the combining of the CEE region with AP region as Moldova is the only one country representing CEE region in the BCH II project. Therefore, combining of AP-CEE is considered as good strategy which was cost effective as well.
- 125 The project implementation has missed an inter-disciplinary approach. The working teams related to the BCH II project, at several levels, have an IT and biotechnology background<sup>35</sup>. It is therefore not surprising that the BCH is still facing problems with issues of governance and inclusiveness. Additionally, as the online survey shows<sup>36</sup>, and previous assessments<sup>37</sup> have pointed out, the several stakeholders groups (based on their institutional functions and background) have a strong group-vision; in other words, their views are highly subject to their background and related expectations. Relying on few “groups” makes the process remarkably biased and the online survey results confirm that as well as the BCH II project performance. For instance, the online survey clearly shows that the Project Staff and the RAs, as groups, in some cases, registered perceptions distant or of pronounced inverse tendency in relation to the perceptions and preferences of the main national stakeholders / beneficiaries of the project.
- 126 Making a “triangulation” between the survey results, the interviews with relevant stakeholders and several project and country reports, the Evaluation Team notes a fairly limited capacity of the project management in seeking views of various stakeholders. Such a weakness is also reflected in the final project report where the project management claimed 100% performance on several aspects leaving no scope to improve any further. .
- 127 The project had adopted a fragmented approach to the overall biosafety capacity building process, instead of the holistic one suggested by the COP-MOP; BS-III/3, annex, § 3 (h). Operational and functional linkages with relevant development sectors such as civil society and the private sector that are specifically envisaged in the COP-MOP 3 Decision (Annex § 2) and suggested by the previous reports have not been pursued during the project implementation. Implementation approach rated **Moderately Satisfactory**.

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<sup>35</sup> ANUBIS: Selection of RAs

<sup>36</sup> O African Biosafety Network of Expertise (ABNE) has sponsored 3 non-participating countries (Kenya, Mozambique and Uganda) to attend the Anglophone Africa regional workshop. However the BCH II has no structured partnership with ABNE or with other institutions aiming at outcomes and not a mere contribution (an input in this particular case and not even an output).online survey results

<sup>37</sup> Study of users and potential users of the Biosafety Clearing-House; Aleksej Tarasjev, PhD, April 2010, commissioned on request of the COP-MOP IV/2,§8 ( a); approved by COP-MOP fifth meeting in Nagoya, Japan, 11-15 October 2010



## *Stakeholders Participation and Public Awareness*

128 Stakeholder's participation and public awareness have been rated as **Moderately Unsatisfactory**, ranging from moderately satisfactory in the case of the traditional stakeholders, to unsatisfactory in the case of the non-traditional stakeholders' effective involvement; the latter failing to address broader constituencies, as expected according to COP-MOP decisions on equitable inclusiveness. Regarding public awareness, the Evaluation Team has limited evidence from the ground but the online survey and the SCBD's<sup>38</sup> own assessment show unsatisfactory results on this criterion.

129 The level of achievement of the **main Outcome**, "*Strengthened national capacities for effective national and regional BCH management, relying on regional and sub-regional collaboration, networking and exchange*", is largely dependent on the Biosafety Agenda and the subsequent institutional uptake of the process by the national players<sup>39</sup>. By definition, a fully effective BCH management cannot be achieved in the absence of an effective National Biosafety Framework, which ensures the necessary institutional structure for decision-making and subsequent sharing of the related information. Nevertheless, due to its peculiar role, the BCH can function independent of any functional NBFs and can act as a window to provide necessary information available from other countries and promote the establishment of functional NBF itself. Therefore, the BCH and the NBFs are bound by a mutually reinforcing relationship so that it could be reversely argued that the NBF cannot be effectively functional without being underpinned by a functional BCH. The main reason underlying this special relationship is to be found in the BCH role in promoting the CPB propitious "political will" by boosting awareness and, active and meaningful participation of large constituencies of stakeholders (all people and groups that can be affected by LMOs), fully relying on the consistent application of the principles of inclusiveness, transparency and equity (inter alia COP-MOP V-17 point 4.2). Consequently, stakeholders' participation as well as public awareness are both ends and means of the project's envisaged main outcome. It is in this light that the project should have addressed the paramount question "*what capacity and for what?*" The evaluation has brought evidence that the project addressed the question in a narrow way as explored in several parts of this report, including in the ROTI.

130 Based, inter alia, on several **COP-MOP** decisions<sup>40</sup>, the Evaluation Team, fosters a comprehensive approach to strengthen the National Capacity Building, fairly relying on the principle of inclusiveness of a larger scope of stakeholders addressing human resources' capacity, organisational development and institutional linkages.

131 Involvement of a larger number of stakeholder groups has the potential to catalyse change. Indeed, **political will** is much about the balance between interests and the capacity of constituencies to push forward their agenda into the political arena for the promotion and implementation of desired policies. **Empowerment of key stakeholders** is vital in policy design and implementation. The OECD, in light of the *Paris Declaration*, dealing with the issue of "*country owned change*", considers that "*in the absence of*

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<sup>38</sup> See BCH IAC CONFERENCE of 2013, April the 18th.

<sup>39</sup> UNEP-GEF; Evaluation report; Terminal Evaluation of Selected UNEP-GEF Biosafety Implementation Projects; Vanga Siva Reddy & Camillo Risoli; UNEP evaluation office, 2012

<sup>40</sup> With particular focus on COP-MOP; BS-III 3, "*Updated Action Plan for Building Capacities for the effective implementation of the biosafety protocol*" and BS-V/16 "*Strategic plan for the Cartagena Protocol on Biosafety for the period 2011-2020*"

*commitment, attention should be given to building it by strengthening client and citizen demands*”<sup>41</sup>. This vision is shared by the project design (e.g. § 87 on the relevance of engaging NGOs and other stakeholders) but not translated into operational activities, outputs and outcomes.

132 By design, for the promotion of its primary objective of “*building capacity to use the BCH*”, the project engaged with key Government Agencies, comprising the “*primary stakeholder groups that must be enabled to use BCH to fulfil national information-sharing obligations under the CPB*”, leaving the responsibility for stakeholder inclusiveness to the National Governments (see prodoc Section 5; Stakeholders Participation; § 133 & 134), presumably in line with the Sovereignty Principle. This “cascade approach” to stakeholder participation often presents high risks of exclusion if not coupled with appropriate institutional arrangements / agreements and supporting measures. The BCH II project design is limited in ensuring the adequate representation of wider stakeholder groups.

133 Although the project document foresees the development of training material for different stakeholders groups (§ 138), related expected outputs have not been clearly defined. Specific training material has been elaborated addressing phytosanitary and customs officers’ needs. However, access to webinars and online conferences are restricted and reserved for traditional stakeholders only. Although access to stakeholders of the “*intermediate circle*”<sup>42</sup> is foreseen, the online survey shows low effective participation of those groups. Eventually, groups of the “*larger circle*”<sup>43</sup> are not effectively contemplated by these networking and knowledge sharing schemes. This is typical of the cascade approach on stakeholder participation. As a matter of fact, a number of reports and the online survey show that non-traditional stakeholders, and particularly those from the “*larger circle*”<sup>44</sup>, generally derive very little benefit from training workshops.

134 On the topic of public awareness, the online survey gives evidence that the project concept on public awareness does significantly diverge from the COP-MOPs approach. While COP-MOPs look at the BCH as instrumental in effective public hearing, the survey as well as other studies<sup>45</sup> and a number of contacts<sup>46</sup> show that public awareness is narrowly interpreted as mere dissemination of top-down information.

135 Promotion of the participation of non-governmental organizations in the BCH national training programs, especially the 2<sup>nd</sup> and 3<sup>rd</sup> workshops aimed at creating awareness. Assessed against COP\_MOP Decisions supporting wider participation of general public in such programs, efforts to improving skills to find LMOs related information in the central BCH is far below the expectation. Only 20% of the participants represent NGOs, industry and vulnerable groups represented

136 The Evaluation Team observes that the project’s top-down approach to communication has largely reflected the project’s isolation from the development sectors despite COP-MOP; BS-III/3, annex, § 3 (h) requirement to “*Apply a holistic approach, integrating biosafety activities with relevant sectoral and*

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<sup>41</sup> “The Challenge of Capacity Development WORKING TOWARDS GOOD PRACTICE”; OECD-DAC; 2006

<sup>42</sup> “intermediate circle”; namely Government Officials / Public Servants. See more on the survey report in annex 5A and 5B

<sup>43</sup> “larger circle”; namely: The Civil Society, Academics, Scientists, Entrepreneurs, inter alia

<sup>44</sup> “larger circle”; namely: The Civil Society, Academics, Scientists, Entrepreneurs, inter alia

<sup>45</sup> Aarti Gupta; “*public awareness exercises or stakeholder participation are often mentioned by countries as ways to overcome a lack of interest or awareness*”; “Effective participation in the Biosafety Clearing House: Participation options and impediments to information provision”; An academic report by Ms. Aarti Gupta, Assistant Professor, Wageningen University

<sup>46</sup> Including the attendance with observer status of the BCH IAC CONFERENCE of 2013, April the 18th.

*national policies, strategies and programmes*". Operational linkages with development sectors require exchange and interaction. For instance, integrating biosafety with rural development would have created conditions for hearing from several stakeholders, including government, UN agencies, large and small-scale farmers and traders. Actually, in a number of countries, development strategies are embedded in consolidated mechanisms of participatory planning as the PRSP<sup>47</sup>. Operational linkages with stakeholders' interests would have underpinned their effective and sustainable participation. The evaluation confirms the Gupta<sup>48</sup> analysis suggesting that, *"beyond designing public participation or awareness exercises, the key challenge for future capacity building projects will be achieving a good balance between the emphasis placed on meeting obligations to the BCH versus deriving benefits from it"*. Rated as **Moderately Satisfactory**

### ***Country Ownership and Driven-ness***

- 137 Country ownership and driven-ness is assessed as **Satisfactory**. The BCH II project is a need-driven initiative, based on the Parties' request, as a result of the COP-MOP IV decision, and in continuation to the BCH I, implying congruence with national plans and priorities..
- 138 The design of the five regional workshops, besides regional networking, also included plans to improve the skills of BCH FP and train them on the new BCH record formats and their updating in the central BCH. Unfortunately, 9 out of 49 countries (Comoros, Libya, Sudan from Africa region, Bhutan, India, Jordan, Syria, Vietnam and Yemen from A-P region) did not take part in any of the five regional workshops, which need to be understood as it indirectly deprived the participation of other eligible countries in the project.
- 139 On the other hand, seven non-BCH countries (China, Iran, Indonesia, Republic of Korea, Mongolia, Pakistan and Thailand) attended the A-P and CEE regional workshop hosted by the non-BCH country, Republic of Korea. Such a low driven-ness among BCH II countries and active participation of non-BCH countries need to be understood in order to build country ownership.
- 140 Not all BCH II participating countries have created an enabling environment for efficient functioning of BCH. There are still 35% of BCH II countries that are yet to have a BCH FP with a required job description (Table 4) and also the institutional up taking of BCH functioning is still lacking in several of the BCH II countries, suggesting that these countries are yet to demonstrate their driven-ness to attain full responsibility for the BCH functioning.
- 141 However, careful triangulation of the survey data gives evidence that for achieving a satisfactory level of country ownership in the project there is still a long way to go. Only 60% of BCH FPs responded to the online survey, fact that raises questions on the underlying reasons of this low participation. According to the BCH II reporting, BCH FPs have a well-defined job description only in 62% of the countries. About 45% of the countries do not have allocated budget to cover the salary of BCH FPs or have budget to cover it partially. Only 10% of the countries are fully supporting the BCH FPs to carry out their responsibilities. Out of 49 BCH II countries, only 5 (10%) countries (Belize, Burkina Faso, Cuba, Ecuador and India) have national budget allocated to fully support BCH related activities. In 24 countries (49%) national budget is available but not enough to fully support BCH requirements. A significant number of countries (20; i.e. 40%) has no separately allocated national budget for BCH operations. Evaluation rated as **Satisfactory**

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<sup>47</sup> Poverty Reduction Strategy Paper

<sup>48</sup> Aarti Gupta academic report by

## ***Financial planning and Management***

- 142 The financial planning and management is assessed as **Highly Satisfactory**. The projects financial and administrative agreements were based on the standard UNEP-GEF procedures and are fully supported and coordinated by UNEP-DELC and UNEP-DEPI, Nairobi office. Statistics, survey results and the SSFA agreements showed that standard guidelines were followed in the selection of 50 countries from a list of all eligible countries. Funding made available for the project has supported the participation of these 50 countries. The Evaluation Team confirms that, with the exception of Mauritius, all countries that entered into standard SSFA agreement received their uniformly allocated funds of US\$ 10,000 each from the GEF contributions as per the budget shown in the ProDoc. The project got extended by eight months to complete all planned tasks by July 2013, without any requirement of additional financial resources. The large number of BCH II project countries and their locations, that required additional efforts by the UNEP teams to coordinate and organize the workshops, are partly responsible for such an extension.
- 143 Although the project period got extended by 8 months, the project management team and the Fund Management Officer planned well and met all financial obligations within the sanctioned budget (Annex 12). Financial statements and the utilization records made available through ANUBIS suggest that the funds were fully utilized as per the approved budget shown in the ProDoc. Also, substantial amount of non-GEF contributions, mainly in-kind by participating countries, the SCBD, UNEP, etc., were made available and were utilized for the implementation of the project.
- 144 The substantial amount of financial resources allocated (US\$ 275,100) to cover all planned training activities through RAs missions were utilized. The project supported a total of 164 RAs' missions, considered by Evaluation Team as one of the main driving force for delivering the project outputs. The responsiveness and technical support and benefits provided by the Regional Advisors was acknowledged by the participants of the workshops and also by survey respondents.
- 145 The co-financing by the participating countries was also evident in terms of logistic support provided by the countries to organize workshops. About 143 national workshops were organized during the project period, among which at least two were supported by RAs and one without any RAs support. The project actually received 95% of the planned co-finance pledges and spent an amount of US\$ 2,563,470 against the planned US\$ 2,699,340. An important aspects of project financial planning and management that the evaluation noted is the support provided by the **Republic of Korea**. As mentioned above, Korea not only hosted the AP-CEE regional workshop but fully supported the participation of six non-BCH II countries (China, Iran, Indonesia, Mongolia, Pakistan, Thailand) to share their experiences in the workshop. Also, notable financial support to the project was provided by the African Biosafety Network of Expertise (ABNE) that sponsored three non-participating countries (Kenya, Mozambique and Uganda) to attend the Anglophone Africa regional workshop .Evaluation rated as **Highly Satisfactory**.

## ***UNEP Supervision and Backstopping***

- 146 The UNEP- DEPI supervision and backstopping provided to UNEP-DELC in the execution of the project is considered as **Highly Satisfactory**.
- 147 The project received full backstopping from the UNEP-DEPI and SCBD in organizing regional and national workshops and the RSs training workshop organized in Montreal in 2011 for updating the changes in the new central BCH.
- 148 The UNEP-DEPI has carried out in-depth PIRs on a regular basis and assessed various outputs and outcomes based on the mid-term and end-of -project targets, provided guidance to the project management on the future targets.

149 The ANUBIS, online information system of UNEP, was found to be a very effective tool for web based Monitoring of project progress and for record keeping. The assiduous and efficient backstopping of the project by the Task Manager and Funds Management Officer at UNEP, Nairobi office has been decisive in the implementation of the project.

150 On the whole project supervision by UNEO-DEPI in financial, administrative and other fiduciary aspects is evident from timely release of funds and administrative support offered to implement the project in 49 countries in relatively short period of time.

### ***Monitoring and Evaluation***

#### **M&E Design**

151 The project M&E plan included SMART indicators for each expected outcome, mid-term and end-of-project targets. Monitoring plan included the collection of base line information, periodic reports and the Project Implementation Reviews. Also mission reports and workshop reports formed part of the overall monitoring and evaluation system of the project. As per the ProDoc design a Project Steering Committee to monitor and provide guidance to achieve the set targets has been set up.

152 The review of the Project Design Quality, carried at the preparatory stage of the mission and presented in the Inception report, rated both M&E and Design and Evaluation as **Moderately Satisfactory**, respectively.

#### **M&E Plan Implementation Evaluation**

153 The periodic reports were submitted on a regular basis and also PIRs were carried out on an annual basis. Being a two year project, no midterm review was envisaged as per the ProDoc, although the project term got extended up to 32 months. Nevertheless, PIRs have been carried out on a regular basis and the reviews provided insights into the progress made vs. the baseline situation of each component. Internal reporting practices by regional advisors to Project management were followed through mission reports. Also elaborate workshops reports that included planning, design, and training materials used, various day-wise activities, feedback, list of participants, etc., were submitted for each of the workshop organized. Terminal reports with statistical analysis were part of the reporting.

154 The performance indicators, although successful in addressing each separate envisaged output, remain narrow. The indicators were not conducive to an effective outcome-oriented management. The Steering Committee's<sup>49</sup> main inputs to the BCH II project and its management have been anchored to a limited, outputs-related, monitoring system and contributed less in steering the process as a whole. The project progress has also been reviewed by the IAC during its SCBD-IAC meetings. Useful suggestions included to focus on quality of information submitted by the parties at the central BCH and inclusiveness of non-traditional stakeholders in capacity building and awareness programs of the project.

155 A comprehensive analysis is needed for assessing performance and sustainable change, relying on a system of crossed indicators. Measuring performance, which is a complex process, cannot be one-dimensional, based on just one indicator. It is unfortunate that the BCH II project did not contribute to develop a reliable and rigours system of outcome-monitoring and it is even more unfortunate that the management and the supporting body like the Steering Committee somehow underestimated the need for a close monitoring and evaluation.

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<sup>49</sup> BCH II Project Steering Committee

156 Funds were earmarked for PSC meetings and terminal evaluations as per the general requirement of UNEP-GEF projects. Sufficient funds were allotted for the M&E and terminal evaluation of the project. Monitoring and evaluation has been rated as **Moderately Satisfactory**.

### **Complementarity with UNEP Strategies and Programmes**

#### ***Linkage to UNEP's Expected Accomplishments and POW 2011-2012***

157 The BCH II project has been designed to address the capacity building needs of one of the major component of National Biosafety Frameworks, required for the implementation of the Cartagena Protocol and therefore certainly linked to the thematic focal area of Environmental Governance, through which UNEP is expected to “support Governments in establishing, implementing and strengthening the necessary processes, institutions, laws, policies and programmes to achieve sustainable development”<sup>50</sup> as envisaged in the UNEP Medium Term Strategy (MTS) / Programme of Work (POW) 2011/12.

158 As shown in the ToC of the project (Diagram 1) “improved decision-making”, and “improved governance of national / international biosafety systems” are crucial Intermediate States for reaching the intended project impact. The BCH is expected to play a significant role in mobilizing public opinion by providing information on informed decisions on LMOs and thereby bringing the core issues to governments’ notice. Therefore, in the long run, the BCH II project is expected to make substantial contribution to the UNEP Expected Accomplishments under the following four priority areas of Environmental Governance:

- *“The United Nations system demonstrates increasing coherence in international decision-making processes.....” (Exp. Acc. a);*
- *“States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions” (Exp. Acc. b);*
- *“National development processes and UN common country programming processes increasingly mainstream environmental sustainability in their implementation” (Exp. Acc. c);*
- *“National and international stakeholders have access to sound science and policy advice for decision-making” (Exp. Acc. d).*

159 The role of the BCH II project in linking up with other UN agencies such as UNDP, FAO, UNU, etc. is not very prominent, even though it might exist. The UNU, with its big network of academic institutions engaged in the environmental programs, could have increased the spread of knowledge providing the training materials generated by the project to a wider range of stakeholders across the globe. The project would have also benefited by developing linkages with international organizations such as the *Codex Alimentarius* Commission and the International Treaty on Plant Genetic Resources for Food and Agriculture (IT PGRFA) with a Secretariat in FAO. The latter is particularly relevant for the so-called “coexistence” (between LMOs, traditional and organic farming) and the “socio-economic considerations” under Article 26 of the Cartagena Protocol.

#### ***Alignment with the Bali Strategic Plan (BSP)***

160 The BCH II project has certainly contributed to a certain extent to address the environmental needs, priorities and obligations of the governments in developing countries and in countries with economies in transition. The needs of the countries in the area of capacity building, particularly sharing of experiences and information at national and regional levels on the recent developments in the area of Biotechnology, in particular development and deployment of LMOs into the environment for large scale cultivation, policy

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<sup>50</sup>UNEP Medium-term Strategy 2010-13

advising and sound science-based risk assessments and decision making process that the BCH II project particularly targeted is in line with the Bali Strategic Plan for Technology Support and Capacity Building(BSP) and may be integrated into UNEP South-South Cooperation (SSC) program.

### ***Gender***

161 The evaluation noted a prevalence of women heading BCH FPs in the participating countries. Additionally, training records (lists of participants and statistics) show that attention was given to gender balance.

162 Whereas, many may argue that gender aspects are not present so far in the Biosafety, gender is a relevant dimension to take on board on issues related to health, food & nutritional security and rural development. Particularly in developing countries, where women traditionally ensure care and food at family level. The introduction of LMOs in agriculture may produce huge changes in the socio-economic systems in rural areas and particularly in communities predominantly relying on subsistence systems. We already have experience from the introduction of cash-crops and how this can change traditional schemes and balances in rural societies. In such cases, when the innovative process has not been accompanied with adequate measures, the role of women has been affected with negative effects in families' food, nutritional security and health.

163 The BCH can be instrumental in effectively addressing such challenges. That has much to do with equitable inclusiveness of stakeholders and meaningful participation and the promotion of functional and operational relations with relevant development sectors.

164 In the light of the above considerations, the evaluation observes that although the BCH II project has not been adverse to gender and many of its valuable human resources, the project has been blind to the gender problematic. To deal with gender in the context of the BCH, it is necessary to outline vision, design and content. None of these elements are there, although, other UNEP projects, and not only, could have been much helpful in providing experience and knowledge.

### ***South-South Cooperation***

165 South-South cooperation is an important aspect of the BCH II project where a number of regional workshops were organized for promoting sub-regional and regional networking for sharing experiences and information on the BCH management.

166 There is at least one country in each region where the BCH II project was applied that has gained considerable experience on the risk assessment of LMOs, decision making process, and providing such information through the BCH (please name the countries) . The project provided a good opportunity through five regional workshops for each of the participating country in the region to benefit from such experiences. The Evaluation Team also noted, from the analysis of second national reports that South-South cooperation does exist among the countries implementing the CPB in other areas of Biosafety and the present project has strengthened further such South-South cooperation. A good example to highlight is the role of UNEP-DELIC in promoting South-South cooperation is the AP-CEE regional workshop organized by Republic of Korea, a non-BCH II country that also supported the participation of six other non- BCH II countries in the workshop. Similar cooperation was noticed in other workshops held in Africa. Therefore, the SSC seen during the project period may eventually lead to the establishment of regional institutions like "Centres of Excellence" addressing the future capacity building needs in the regions in a sustainable manner.

### III. Conclusions and Recommendations

#### Conclusions

167 In conclusion, the project achieved the following as building-blocks for a sustainable BCH system at National, Regional and Global level. The BCH II project provided relevant contribution to the strengthening of the national capacities for a more efficient implementation of the Cartagena Protocol on Biosafety; in particular, it:

- (a) improved key Government officials' knowledge and technical skills in BCH working formats as well as records' preparation and updating in the central BCH;
- (b) promoted regional cooperation in four regions;
- (c) provided more than 70 training packages in the five UN languages and develop new training packages for new target groups such as customs and phytosanitary officers;
- (d) created an enabling environment through Web-based tools for active participation of selected stakeholders in online forum discussions, extending participation beyond national boundaries;
- (e) enabled easy access to training materials for the national trainers by setting up a Virtual Learning Environment<sup>51</sup>.
- (f) supported 58 countries, exceeding the strict limits of the 50 BCH II countries, envisaged by the project.

168 Recognizing the role of **Sub-Regional Networking and Knowledge Sharing** in the management of BCH, the project promoted regional cooperation by organizing five regional workshops for BCH FPs fully supported by RAs and SCBD staff in four regions (AP region, Africa region, Latin America and Caribbean regions). A **total of 51 BCH FPs received extensive training** that improved their technical skills, understanding of the common formats of BCH records and their relevance, leading to the increase of new records' uploading in the central BCH by 50%. Therefore, ET deems that the project has achieved - to a certain degree - the Immediate Outcomes under Sub-Regional Networking and Knowledge Sharing.

169 The project has created a **Permanent Knowledge Base** composed of 74 **training packages** in the five UN languages. Although some materials are very basic, a number of them, developed under BCH II project, are useful for the general public as well as the officials handling issues related to LMOs (import/export) and information sharing process. The training materials produced by the BCH II project will also find their use in non-BCH II countries. The twenty-seven (27) **case studies** into the LMOs' handling will also find their use in several non-BCH countries.

170 The **training packages developed by the project in the five UN languages** were made available for free download at <http://moodle.bch2project.org> and also at the central BCH HELP system. The project also created a Virtual Learning Environment / VLE to support national trainers and other users including academia. These training packages include curricula and guides, manuals, various case studies, interactive modules, ready reference guides, discussion points, etc. A number of these packages have been used during the national training workshops, with and without the help of RAs. Therefore, it may be concluded that the project has achieved certain important outputs like in-depth fine-tuned training packages addressing a larger scope of stakeholders and globally disseminated satisfactorily.

171 The **Regional Advisors and Regional Specialists played a key role** in the implementation of the project's core activities at regional and national levels. The technical assistance provided by these RAs during the first two national workshops has been heavily acknowledged, both by the participants and the

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<sup>51</sup> Project outputs related to the virtual learning environment like training materials and webinars can be found at the following link: <http://moodle.bch.cbd.int>



organizers of the training workshops. The RAs system has been a main driver of change, triggering a positive and largely recognised dynamic in the strengthening of the national and regional BCH systems. Findings show that the national human resources of the countries that have received project support in capacity building can claim to be able to carry on training activities autonomously; which is a much positive result, largely due to the RAs' support. Yet, the RAs network has become a dwindling resource over the period. Additionally, the RAs system is clearly project-driven, both in terms of funds and of institutional underpinning. Consequently, its sustainability remains a major challenge. According to the evaluation findings, there is no strong evidence of a satisfactory achievement in the Immediate Outcome with respect to the consolidation of the RAs system.

172 The project has succeeded, to an extent, in creating awareness among the key national players on the need to have a **revised job description for the BCH FP to improve their functioning**. However, the institutional up taking of BCH functioning and the integration of necessary budget for BCH operations into the national mainstream budget have not reached to a satisfactory level in more than 40% of the BCH II participating countries.

173 The sustainability of BCH activities after the project period remains a major challenge, at least in 40% of the countries where there was no separate budget allocated to support BCH functioning after the project period is over. Even in the 50% of the countries that allocated separate budget, it is not enough to support all the BCH activities. In addition, there are no indications on the national uptake of other trained human resources for BCH functioning as per the sustainability plans of BCH II countries.

174 The project has specially targeted **customs and phytosanitary officers besides academic staff**, in the training programmes. However, uneven and low representation of non-traditional stakeholders in almost all BCH II countries is the weakest point of national training workshops. Representation of small farmer groups, industry, NGOs, vulnerable groups, etc, who could raise their voice on environmental issues and influence the political will is low. Additionally, the training curricula and materials are not focused on building up a broader public constituency and supporting non-traditional stakeholders' empowerment. This lack of representation / inclusiveness may be seen as a point of weakness limiting the possibility to reach higher levels in terms of sustainable Intermediate stage Outcomes.

175 The **Permanent Knowledge Basis** composed by the training materials in the five UN languages is **not per se a main driver of sustainability**. It is the accessibility, dissemination and rate of effective up-taking of this training material by the National Stakeholders into the National System (and even Regional & Sub-Regional) that would constitute main factors of sustainability. In other words, it is necessary for the training material to be useful to have some preconditions of institutional and socio-political sustainability. This is what is meant by the ET when deeming that the training material is not yet explored in its full potential. Moreover, it concludes that not all relevant subjects have been addressed in their full complexity and that some others have not been considered yet

176 Although in the background and situation analysis of the ProDoc, section 2<sup>8</sup>, clear reference is made to an **array of relevant drivers**, in compliance with COP-MOP decisions and UNEP guiding lines, in the "project components and expected results", these **relevant drivers of change are underestimated or absent**; namely: **a-** Good Governance Principles (with focus on equitable inclusiveness); **b-** Inclusion of champions as a "*broader stakeholders constituency*"<sup>52</sup>; **c-** Co-ordination with UN agencies and other international players; **d-** Operational linkages with the main development sectors and their strategic instruments. The ET deems that those drivers would be crucial to the sustainability of the BCH process.

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<sup>8</sup> Project Document

<sup>52</sup> Project Document § 97

177 **The project had adopted a fragmented approach** to the biosafety capacity building process, instead of the holistic one suggested, inter alia, by the COP-MOP; BS-III/3, annex, § 3 (h). Operational and functional **linkages with relevant development sectors** have not been pursued during the project implementation. For instance, the project did not take on board the so-called “coexistence” (between LMOs, traditional and organic farming) and the “socio-economic considerations” under Article 26 of the Cartagena Protocol. The lack of an holistic approach brought about consequences in the way the project has been implemented, in the definition and recruitment of human resources, and in the research and promotion of strategic partnerships, among others.

178 The “**success story**”<sup>53</sup> of the **Republic of Korea**, which supported AP-CEE regional workshop, deserves deeper understanding and capitalisation for future action in an enlarged scope. The same goes for the support received by the African Biosafety Network of Expertise (ABNE) that has sponsored three non-participating countries (Kenya, Mozambique and Uganda) to attend the Anglophone Africa regional workshop. It is unfortunate that the BCH II project has not been able to capitalize on similar initiatives from the civil society and the private sector, as envisaged in COP-MOP 3 Decision Annex § 2.

179 The BCH II project has still missed some of the COP-MOP decisions as well as recommendations coming from previous **reports<sup>16</sup> and studies** e.g. Aleksej Tarasjev’s study of users and potential users of the Biosafety Clearing-House, Aarti Gupta’s Academic report<sup>17</sup> have not successfully been taken on board, for instance: **COP-MOP BS-III/3 Action Plan, § 7; § 8; § 10 (a), (d); § 11 (a)** and so on. Generally, the BCH II project shows low capacity in capitalizing on experience and lessons learned.

180 The overall rating table for different evaluation criteria described in the TOR is presented below. Out of Ten Evaluation Criteria two are rated as Highly Satisfactory (HS), four as Satisfactory, four as Moderately Satisfactory (MS). Sustainability is rated as Moderately Unlikely. Therefore, as a whole, the project can be rated as “Satisfactory”.

**Table 4. Ratings according to the evaluation criteria. The project has been assessed as overall Moderately Satisfactory**

| Criterion  | Summary Assessment  | Rating                     |
|--|---|----------------------------|
| <b>A. Attainment of project objectives and results</b> |   | MS Moderately Satisfactory |
| 1. Effectiveness (Paragraph 49-57)                     | Although a great number of activities and products have been carried out, and the expected Outputs met to some extent, the overall achievement of the main Outcome and Immediate Outcomes is limited due to lack of comprehensive National Capacity Building which in turn due to the project design that focused mainly on Outputs rather than on Outcomes . | MS Moderately Satisfactory |

<sup>53</sup> It is worth mentioning the successful regional networking and cooperation that ET noticed was regional workshop organized by a non-BCH II participating country, South Korea where it not only organized the workshop but also supported the participation of 10 participants with external funds from non-BCH participating countries (China, Iran, Indonesia, Mongolia, Pakistan, Thailand and South Korea)

<sup>16</sup> BCH I evaluation report, by Hugo Navajas, July 2009

<sup>17</sup> Among others, the academic report on effective participation in BCH, by Ms.Aarti Gupta, Wageningen University for the UNEP-GEF BCH Project, May 2008

| Criterion  | Summary Assessment   | Rating                 |
|--|--|------------------------|
| 2. Relevance<br>(Paragraph 47-48)                          | The BCH is an essential component of the NBFs, serves as the main sources of information sharing mechanism to make informed decisions while implementing CPB. The project is consistent with “Biosafety Strategic Program 6 of the Focal Areas Strategies and Strategic Planning for GEF-4 and GEF Strategy for Financing Biosafety, addressing “Key Elements Requiring Concrete Action” – COP-MOP-3.  | HS Highly Satisfactory |
| 3. Efficiency<br>(Paragraph 58-63)                         | All foreseen activities in the project have been implemented in 49 countries, except in few countries where the prevailing socio- political conditions are not very favorable. Project activities were also extended to some non-BCH II countries..  | S Satisfactory         |
| <b>B. Sustainability of project outcomes (Para 94-103)</b> | Sustainability is explored and elaborated in a thorough and consistent way in the ProDoc, and an array of enabling conditions to ensure outcomes’ sustainability beyond the project lifetime are explored, paying particular attention to the key issues of appropriate institutional arrangements and stakeholders’ inclusiveness. Project did not contribute sufficiently for the sustainability of outcomes.  | MU Moderately Unlikely |
| 1. Financial<br>(Paragraph 94-96)                          | Although BCH II countries contributed financial resources in the form co-financing for the project (mainly in in-kind), the long term sustainability of capacity building and BCH functioning may suffer due to lack adequate and separate allocation of national budgets for the BCH operations.<br>In some countries, BCH FPs are currently playing dual roles, due to the fact that they lack adequate financial resources. Allocation of national budget for BCH does not exist in 21 countries and in another 23 countries it exists but can support partially. | MU Moderately Unlikely |
| 2. Socio-political<br>(Paragraph 92-93)                    | Inclusiveness, “ <i>building a broader public constituency</i> ”, is clearly identified and explored in the ProDoc, yet not translated into the operational part of the project design. During implementation, the BCH II project has been limited concerning inclusiveness, with negative consequences on sustainability.   | MU Moderately Unlikely |
| 3. Institutional framework<br>(Paragraph 97-101)           | The Sustainability of the RAs system remains a major challenge.<br>Regional and Sub-regional networking remained limited, failing to capitalize on by achieving partnerships with key international stakeholders. BCH II did not make much progress on appropriate institutional arrangements promoting inclusiveness and sustainability.  | ML Moderately Likely   |
| 4. Environmental<br>(Paragraph 102-103)                    | Environmental sustainability is at the core of the Cartagena Protocol on Biosafety and its “parental” Convention on Biological Biodiversity.   | ML Moderately Likely   |
| <b>C. Catalytic role</b><br>(Paragraph 105-110)            | Hands-on trainings during the national workshops, not only explained the various aspects of BCH to general audience but has been turned out to be useful for BCH FPs. Updating of substantial number of national records in the central BCH during and after the workshops is a noticeable change. Also the five regional workshops including the one organized by non-BCH II participating country (S. Korea) played catalytic role in sharing information and building regional networks.  | S Satisfactory         |

| <b>Criterion</b>  | <b>Summary Assessment</b>   | <b>Rating</b>              |
|---|---|----------------------------|
| <b>D. Stakeholders involvement</b><br>(Paragraph 128-136)                     | Stakeholders' involvement has been limited, failing to address broader constituencies, according to COP-MOP Decisions on equitable inclusiveness. Major emphasis was given to traditional stakeholders (Public institutions) and non-public institutions representation in the national capacity building was marginal. Involvement of Farmer groups, Industry, NGOs, vulnerable groups, etc., in the capacity building activities are very limited, The ET deems that project's top-down approach to communication may largely reflect the project's isolation from the development sectors despite COP-MOP; BS-III/3, annex, § 3 (h) requirement to " <i>Apply a holistic approach, integrating biosafety activities with relevant sectoral and national policies, strategies and programmes</i> ". | MS Moderately Satisfactory |
| <b>E. Country ownership / driven-ness</b><br>(Paragraph 137-141)              | The majority of the countries met their SSFA obligations and appointed BCH FPs. Although not all countries have created an enabling environment for efficient functioning of BCH, at least 65% of the BCH II countries are yet to come up with sustainability plans and demonstrate their driven-ness to attain full responsibility for all the BCH functioning after the project period is over.   | S Satisfactory             |
| <b>F. Achievement of outputs and activities</b><br>(Paragraph 45-46, Table 3) | The project has carried out a number of foreseen activities under five components. Project has achieved by and large a number of Outputs such as Regional workshops for networking and knowledge sharing, training packages for various stakeholder groups, training of RAs on BCH updates, trained BCH FPs and other key Government officials, revised job descriptions of BCH FP, easily accessible training and reference materials in five UN languages through VLE. The level of attainment of the outputs has been uneven among the BCH II countries that may be attributed to variable base line situation.  | S Satisfactory             |
| <b>G. Preparation and readiness</b><br>(Paragraph 111-118)                    | The project assessed the required infrastructure support for the implementing of identified project activities, entered into SSFA for the implementation of the proposed activities. Although, the ProDoc was not very realistic in assessing the project period for the completion of all activities in 24 months, the project was completed in 32 months with one extension. Five regional workshops and more than 140 national training workshops were carried benefitting 58 countries.   | S Satisfactory             |
| <b>H. Implementation approach</b><br>(Paragraph 119-127)                      | A notable implementation approach is the establishment of a collaboration with a non-BCH II country, Republic of Korea, in organizing a AP-CEE regional workshop in Korea that also attended by 7 non-BCH countries. No operational and functional linkages with relevant development sectors such as civil society and the private sector that are specifically envisaged in the COP-MOP 3 Decision (Annex § 2) and suggested by the previous reports have not been pursued during the project implementation.   | MS Moderately Satisfactory |
| <b>I. Financial planning and management</b><br>(Paragraph 142-145)            | Allocation of funds for each activity and each country was need based. RAs system was made available to all participating countries. Also uniform amount of (US\$ 10,000)   | HS Highly Satisfactory     |

| Criterion   | Summary Assessment  | Rating                     |
|---|---|----------------------------|
|   | was allocated and made available for each of the participating country to organize national workshops. The ANUBIS system has been highly effective for transparent financial management of the project, all of them having been formally closed without any pending administrative issue.   |                            |
| <b>J. Monitoring and Evaluation (151-156)</b>               |   | MS Moderately Satisfactory |
| 1. M&E Design (Paragraph 151-152)                           | The project design focused mainly on Outputs rather than on Outcomes, failing to give a comprehensive operational direction. The performance indicators, although successful in addressing each separate envisaged output, remain narrow and fragmented. The indicators are not conducive to an effective outcome-oriented management.  | MS Moderately Satisfactory |
| 2. M&E Plan Implementation (Paragraph 153-155)              | Being a two year project, no midterm evaluation/review was foreseen as per UNEP-GEF standard practice, through eventually the project period got extended to 32 months. Monitoring & evaluation largely relied on the internal PIRs and the Steering Committee. The project effectiveness in achieving main Outcome would have been more provided the project management was proactive in taking guidance by organizing Project Steering Committee meetings on a regular basis. The PSC met just once during the entire project period of 32 months.  | MS Moderately Satisfactory |
| 3. Budgeting and funding for M&E activities (Paragraph 156) | Sufficient funds were made available for the purpose of project monitoring and evaluation.  | S Satisfactory             |
| <b>K. UNEP Supervision and backstopping</b>                 |   | HS Highly Satisfactory     |
| 1. UNEP (Paragraph 146-150)                                 | The UNEP, Nairobi office has provided all necessary backstopping Excellent technical and administrative support provided by the Project Manager, Task Manager and Fund Management Officer was evident from the participants responses and survey results. All the BCH FPs who took part in the regional and national workshops have acknowledged the full support and cooperation that they received from the UNEP-DELC and UNEP-DEPI. The Anubis system of UNEP also played important role in backstopping the project. Also SCBD provided guidance and support throughout the project period. | HS Highly Satisfactory     |

Rating Scale:

Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU).

## Lessons Learned

181 The experience gained from the BCH II project demonstrated that increasing awareness and working in strategic meetings with **key government agencies responsible for CPB implementation** are the main catalyzers in registering and **publishing country decisions and risk assessment reports** in the BCH,

provided some conditions like a legal framework, policy and functional biosafety committees are in place for successful compliance of BCH functioning.

182 Also the experience gained in the BCH II project suggest that the multidimensional role played by the Regional Advisory system was the key in delivering a number of project outputs including the updating of national records in the central BCH. The RA system contributed for the implementation of all five components and also assisted the participating countries in the submission of periodic second national reports.

183 The prevailing variable baseline situation among the BCH II countries in terms of their capacities to fully support BCH operations and internalize the capacities built during the project have resulted in achieving an uneven outputs and outcomes by the project. Therefore, it is essential to integrate the country specific BCH capacity building needs in the project design itself for a successful outcome of the project.

184 Experiences gained while organizing the regional and national workshops suggest that some technical issues persist in fully utilizing training packages by the national and that should be kept in mind while planning future training programs.

## Recommendations

185 Based on the experiences gained so far in the BCH II project, a few forward looking recommendations are proposed for any eventual future funding to the BCH for capacity building purposes.

### 186 Recommendation 1

To consolidate the achievements of previous BCH projects and to ensure the sustainability of the BCH system as a whole, at National, Regional, and Global levels an additional and final project phase is strongly recommended through the development of a BCH III project characterized by a strong, global dimension.

- a. A BCH III project based on the BCH I and BCH II outputs and outcomes, considered as building-blocks of a sustainable BCH system at National, Regional and Global level should be developed. Therefore, future action should capitalize on: a- the training material / packages; b- the networking mechanisms in place, including technical platforms as webinars; and c- the trained human resources, including trainers.
- b. A new BCH capacity strengthening project has to promote, and where necessary to insure, the financial, human and institutional resources that would address the need for a balance between regional and global approach. Institutional arrangements conducive to regional and sub-regional partnerships with relevant stakeholders, including “*Centres of Excellence*”, have to be coupled with consolidated global vision and oversight capacity.
- c. RAs must be considered as a system and not as the sum or as a list of highly qualified experts. A BCH III project should create a discontinuity with previous BCH projects taking into account all issues related to the sustainability of the RA system by addressing financial and organizational requirements. For the RAs system, the turning point will have to be found in the new balance between regionalization and global oversight.

- d. A BCH III project should promote robust and meaningful inclusiveness of all stakeholders both as an end and a means to achieve sustainability of the BCH system at National, Regional and Global level, fully operationalizing COP-MOP decisions.

### **Recommendation 2**

187 Translation of training packages into five UN languages that the future project may produce should be continued. Additionally, there are specific subjects that deserve to be addressed and supported by new training material; e.g. regarding BCH functional linkages with other development sectors – “what and why”. Furthermore, as the countries consolidate their NBFs, the need may arise to produce scientifically more complex training material addressing natural, legal and socio-economic sciences.

## **Annexes**

**Annex 1.. TOR GEF BCH II TE\_21 February 2013**

**Annex 2. BCH II Inception report 15 May 2013**

**Annex 3A. Questionnaire as provided in the surveymonkey**

**Annex 3B. List of people contacted for skype interview and Survey**

**Annex 3C. Questions for interviews Planning and Guide to semi-structured interviews**

**Annex 4. Bibliography**

**Annex 5A. Survey report**

**Annex 5B. Survey Summary-report**

**Annex 6A. Documents submitted in the central BCH**

**Annex 6B. BCH Second national reports analysis questions 125, 126 130**

**Annex 7A. BCH Project indicators national workshops data analysis**

**Annex 7B. INDICATORS GEF II global indicators**

**Annex 7C. BCH Data Report 2012-12**

**Annex 8. List of training materials developed by BCH II and posted in Moodle site**

**Annex 9A. List of RAs participated in the BCH II projects**

**Annex 9B. List of RAs and national workshops participated**

**Annex 10. List of stakeholders participated in the 3 national workshops - Form 1**

**Annex 11. Sustainability of BCH response Form 4**

**Annex 12. Co-finance tables**

**Annex 13. BCH II countries and UNEP-GEF funding status**

**Annex 14. Sustainability and BCH teaching packages materials up taking**

**Annex 15. Brief CVs of the consultants**