



United Nations Environment Programme

Terminal Evaluation of the UNEP GEF Project Support for Implementation of the National Biosafety Framework for Tanzania

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Acronyms and abbreviations

BCH	Biosafety Clearing House
BSP	Bali Strategic Plan
Bt	Bacillus thuringensis
CBD	Convention on Biodiversity
CP	Cartagena Protocol
DE	Division of Environment
EA	Expected accomplishment
FAO	Food and Agriculture Organization
GATT	General Agreement on Tariff and Trade
GBIF	Global Biodiversity Information Facility
GEF	Global Environmental Facility
GIS	Geographic Information System
GMO	Genetically Modified Organisms
IT	Information Technology
ITPGRFA	International Treaty on Plant Genetic Resources for Food and Agriculture
LMO	Living Modified Organisms
MARI	Mauritius Agricultural Research Institute
M&E	Monitoring and Evaluation
NBC	National Biosafety Committee
NBF	National Biosafety Framework
NGO	Non-governmental organization
OECD/DA C	Organization for Economic Cooperation and Development / Development Assistance Committee
PIR	Programme Implementation Report
PoW	Programme of Work
PPP	Public Private Partnerships
R&D	Research and Development
rDNA	Recombinant Deoxyribonucleic Acid
ROI	Review of Outcomes to Impacts
ToC	Theory of Change
ToRs	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
US\$	United States Dollars
WB	World Bank

Project Identification Table

GEF project ID:	3012	IMIS number:	GFL/2328-2716-4951
Focal Area(s):	BD1/BD-SP6	GEF OP #:	
GEF Strategic Priority/Objective :	Biodiversity	GEF approval date:	March 9, 2006
UNEP approval date:	October 13, 2006	First Disbursement:	April 11, 2007
Actual start date:	May 1, 2007	Planned duration:	48 months
Intended completion date:	October 12, 2010	Actual or Expected completion date:	December 31, 2012
Project Type:	MSP	GEF Allocation:	\$777,300
PDF GEF cost:		PDF co-financing*:	
Expected MSP/FSP Co-financing:	\$614,300	Total Cost:	\$1,391,600
Mid-term review/eval. (planned date):	May – June 2009	Terminal Evaluation (actual date):	September 2014
Mid-term review/eval. (actual date):	June 2009	No. of revisions:	12
Date of last Steering Committee meeting:	September 2013	Date of last Revision:	November 23, 2013
Disbursement as:	\$777,300.00	Date of financial closure:	Financial closure will be done in IMIS when the Terminal Evaluation is done.
Date of Completion:	December 12, 2013	Actual expenditures reported as of:	Reported in full
Total co-financing realized	\$673,753	Actual expenditures entered in IMIS as 30 June 2013:	Co-finance is not recorded in IMIS
Leveraged financing:			

Project Number: GFL-2328-2716-4951

Geographical Scope: National

Start Date: May 1, 2007

Completion Date: December 31, 2012

Executing Agency: United Nations Environmental Programme, Nairobi, Kenya

National Executing Agency: Division of Environment

Executive Summary

A. Introduction

The Support for Implementation of the National Biosafety Framework for Tanzania (GFL-2328-2716-4951) project had the goal to assist Tanzania in putting in place a national biosafety framework which is functional, transparent and consistent with its international obligations and national development priorities. The UNEP/GEF contribution amounted to US\$ 777,300 and the Tanzanian government co-financing to US\$ 614,300, for a total budget of US\$ 1,391,600.

The project was articulated in the following components:

- To establish and make fully operational the regulatory regime on biosafety in Tanzania by 2009
- Tanzania has in place operational procedures to handle requests for permits, including systems for administrative processing, risk assessment and decision making, by 2009
- Tanzania has an operational system for the monitoring of environmental effects and enforcement on biosafety by 2009
- Tanzania has a functional national system for promoting public awareness and involvement in biosafety decision-making by 2009

The project targeted the managers, administrators and technicians of the relevant institutions as well as decision makers, the press and public education sector. The national executing agency was the Division of Environment – Vice President’s Office. The project started on March 21, 2007 and was completed in September 2011.

Strategic relevance. Tanzania is a signatory to the Convention on biodiversity and the Cartagena Protocol on Biosafety. The project targeted a critical topic among East Africa environmental priorities: the balance of innovation driven economic development with the conservation of natural resources and agro-biodiversity. The draft Tanzania National Biosafety Framework (NBF, 2004) recognizes that biosafety concerns could hamper the benefits of biotechnology innovation and represent an obstacle to the country’s strategic commitment to economic development and conservation and sustainable utilization of the national biological resources. The project is part of the cross-cutting thematic priorities listed in section III of the UNEP Medium-term Strategy 2010–2013 and contributes to the Environmental governance sub-programme. The project is also relevant to the Ecosystems management sub-programme. The project outputs contributed to enhance the national capacity to develop and enforce laws and to strengthen institutions to achieve internationally agreed environmental objectives and goals in order to comply with the related obligations. It achieved the Global Environmental Benefit of putting in place a sound biosafety framework implementing the Cartagena Protocol on Biosafety to the Convention on Biological Diversity.

Achievement of outputs. Most project activities were duly performed. While the framing and approval of the Biotechnology Strategy and Biosafety Framework regulations took place and

awareness raising activities were carried out, the creation of capacities to perform the key inspection tasks remains incomplete mainly due to the fact that local partners dropped such activities at the time of the annual work plan review for lack of resources, while expecting that a follow up program would strengthen capacity for environmental releases and transit measures.

Effectiveness: attainment of project objectives and results. The project enjoyed substantial political support that resulted in the National Biosafety Regulation being approved. The context in which the project has been implemented has revealed deficiencies in resources availability and mobilization that have jeopardized the full deployment of the monitoring system. The project results up to now had no impact on the release / introduction of Genetically Modified Organisms (GMO). The testing of the GMO technology in agriculture is in its early stages.

Sustainability and replication. The main challenges to the NBF viability are (a) the weak linkages of the NBF with the development policies and hence (b) limited institutional ability to raise resources for maintaining and updating the NBF capacities and tools. The project identification has given little room to a decisive factor for the success of this endeavor: informal business practices and dependence on neighbor countries for accessing innovation reduces private sector interest in investing in biotechnology and abiding to the biosafety regulations. This situation limits the opportunities to raise resources needed to run the NBF itself as no fees are generated from the application and approval process.

Efficiency. The project made the best possible use of the highly skilled personnel within the institutions and research bodies relevant for the implementation of the NBF. It also mobilized regional experts providing precious insights and best practices to build local capacities. Its cost-effectiveness resided in the concentration of efforts to build local skills by exploiting those already existing in key institutions. The BS unit of the Department of Environment enjoys political support and is actively engaged in coordinating the concerned institutions. It also has a proven track of leadership in implementing the NBF.

Factors and processes affecting the project performance. The project enjoyed a steady political consensus and supported the approval of key political and administrative documents regulating Biosafety. The excellent degree of institutional coordination and the organization of an extensive set of meetings with stakeholders ensured that the project reached key people in academia and institutions providing high professional expertise in the deployment of the initial NBF procedures. On the other side, the high degree of informality of the economy and scarcity of resources for funding innovation resulted in little interest of the private sector in abiding to the BS procedures for the authorisation and monitoring of GMO release / introduction. The UNEP Biosafety unit supplied technical advice and monitoring of the execution of the activities. The project did not allocate any specific budget line to implement the M&E plan. Thus, no specific resources were devoted to surveying and collecting the indicators. The UNEP Task manager reported on the accomplishment of activities and their immediate objectives.

B. Findings and conclusions

Structural features of the Tanzanian economy, such as informality and dependence from neighbour countries trade, hamper investments in biotechnology innovation and the operationalization of the authorization / monitoring procedures, which are essential for the recovery of resources to run the NBF. The identification and design of the project underestimated the challenges faced by Tanzania in investing in biotechnology as well as its level of integration in / dependence on the regional trade

Budget constraints by local partners restricted the execution of some activities, especially those concerning the establishment of the monitoring system expected to be undertaken through a follow up project. Delay in purchasing the laboratory equipment and organizing activities resulted in a two years delay in the project completion. Several ancillary activities such as the agreement of 11 national organizations to found a national center of excellence on biodiversity, the BCH mechanism and the signature of agreements with foreign institutions still have to be operationalized.

Policies, the biotechnology development plan, regulations and ancillary documents such as the guidelines and manuals for the execution of the NBF procedures, were developed and approved, and the Biosafety framework established. Lack of resources for running the NBF resulted in the limited deployment of key functions such as monitoring and upgrading the reference molecular analysis laboratory to international safety standards and accreditation. The coordination and integration of the sNBFs at the regional level was limited to the participation of Tanzanian technicians and administrators to international workshops and scientific meetings.

The risk assessment / management and the monitoring and laboratory analysis capacities created by the project are adequate in quality but not in quantity to operationalize the NBF. Laboratory research on cassava transformation and GMO maize testing in experimental fields are underway as authorized by the NBF procedures at a pilot scale. Resources made available by the government are not adequate for deploying a GMO monitoring and detection system country-wide.

The awareness raising campaign was well designed and executed, reaching a wide set of different groups of stakeholders countrywide, although no success stories are yet available for showcasing the benefits of the NBF and support decisions on sourcing resources to operationalize the NBF.

The UNEP role was effective in streamlining the project design along the GEF approach by facilitating the implementation of activities and in providing agile financial procedures for procurement of goods and services.

C. Lessons learnt and recommendations

Recommendations are distinguished from the lessons learnt by an R letter.

While the National Biosafety Committee has to gather technical and administrative expertise, a politically sensitive committee has to be established – in line with the Biosafety regulations provisions - to assembly institutions high level ranks, economic development representatives and the civil society, in order to stimulate debate and facilitate consensus on mainstreaming biosafety in economic development and operationalizing the NBF.

The role of the private sector has to be acknowledged as influential on the policy makers’ decisions. The BS focal point / BS office should provide decision makers with inputs – such as presentations of success stories in GMO monitoring - for discussing Biosafety mainstreaming into economic development with the private sector and at economic fora.

The GEF biosafety regional approach should be streamlined in the national NBF implementation, also through the mobilization of local resources, including through the accreditation of pivot regional GMO detection laboratories and the sharing of physical resources, technical expertise and harmonized procedures.

The NBF operationalization has to concentrate resources on the execution of the activities with the greatest potential to produce success stories in terms of economic development. Other actions – including awareness raising - will benefit from the experience and information gathered through success stories.

R. The BS focal point has to elaborate a plan to operationalize the monitoring and GMO detection procedures, e.g. as a component of the implementation of the biotechnology policy. The table below provides an overview of the ratings for the project.

Criterion	Rating
A. Strategic relevance	S
B. Achievement of outputs	MS
C. Effectiveness: attainment of project objectives and results	MU
1. Achievement of direct outcomes	MS
2. Likelihood of impact	MU
3. Achievement of project goal and planned objectives	MS
D. Sustainability of project outcomes	MU
1. Financial	MU
2. Socio-political	MU
3. Institutional framework	HL
4. Environmental	L
5. Catalytic role and replication	MU
E. Efficiency	S
F. Factors affecting project performance	MS
1. Preparation and readiness	S
2. Project implementation and management	HS
3. Stakeholders involvement	HS
4. Country ownership / driven-ness	MS
5. Financial planning and management	HS
6. UNEP supervision and backstopping	HS
7. Monitoring and Evaluation	MS
a. M&E Design	MS

Criterion	Rating
b. M&E Plan Implementation	MS
c. Budgeting and funding for M&E activities	S
Overall assessment	MS

I. Introduction

1. The Support for Implementation of the National Biosafety Framework for Tanzania (GFL-2328-2716-4951) project was developed after the enactment of the Tanzania Environmental Management Act (2004) providing rules for the development, handling and use of GMOs. The act was prepared with the assistance of the UNEP/GEF Global Project on *Development of National Biosafety Frameworks*.
2. This project was identified in 2004 and started on March 21, 2007 with a planned duration of 48 months, having been extended by 6 months and completed in September 2011. The UNEP/GEF contribution amounted to US\$ 777,300 and the Tanzanian government co-financing to US\$ 614,300, for a total budget of US\$ 1,391,600.
3. The national executing agency was the Division of Environment – Vice President’s Office.

Stakeholders involved in the project activities included representatives from relevant institutions, the scientific community, civil society and the private sector.

4. The objectives of this evaluation are:
 - to provide evidence of results to meet accountability requirements,
 - to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners.

II. The evaluation

5. The evaluation looks at the outputs, outcomes, likelihood of impacts and mechanism of the intervention to assess the contribution of the project to the implementation of a National Biosafety Framework in Tanzania. Specifically, this study identifies the relations between goal, impact and results by analysing:
 - a. project plans and reports, identification studies and other recorded information,
 - b. project monitoring data (progress, achievements and indicators), and by
 - c. interviewing stakeholders, including field visits to Tanzania and meetings with stakeholders from institutions, economic and civil society organizations.
6. The project indicators were not systematically collected. Therefore, those included in the evaluation matrix (Annex 4) are slightly adapted from the Logframe. The interview of project staff and key stakeholders summarized in Annex 3 enabled the collection of information for the assessment of project indicators. The initial analysis of the project and related documents presented in the inception report was followed by a field visit and interviews of project staff and other stakeholders. The evaluation process included:

The evaluation included:

a. *Desk phase.* Collection of project documents, preliminary analysis – including the elaboration of the Theory of Change and the analysis of the quality of the project design, elaboration of the evaluation methodology and work tools and planning of the field visits. The Inception report was submitted at the end of July, 2014 to the UNEP Evaluation office.

b. *Field phase.* Annex 2 lists the people contacted by the evaluator in performing the assessment of this project. Annex 3 presents the synthesis of the answers by interviewees. This feedback allowed, among others, to perform the qualitative cross-check and validate the values of the project indicators. This phase was kicked off by an interview with the UNEP project manager.

c. *Synthesis phase.* The information collected was analyzed along the evaluation criteria set out in the Terms of reference (ToR) and completed by the elaboration of conclusions, lessons learnt and recommendations. The Financial analysis (see Annex 5) was limited to the assessment of the consistency of actual vs. planned expenditures and their correspondence to the project implementation needs (cost – effectiveness analysis).

III. The project

A. Context

7. The United Republic of Tanzania ratified the Convention on Biological Diversity in 1996 and acceded to the Cartagena Protocol on Biosafety in 2003. With the assistance of the previous UNEP-GEF project, it enacted the Environmental Management Act in 2004 and developed its National Biosafety Framework (NBF) in 2005 after drafting the Biosafety Regulations and Guidelines (2005). Tanzania also worked to create public awareness, through education and information and to establish a monitoring mechanisms. For this project, the Division of Environment – Vice President’s Office – was designated as the Biosafety (BS) focal point and the National Biosafety Committee (NBC) was established.

8. The Environmental Act provides a legal and institutional framework for sustainable management of the environment as well as regulation for the development, handling and use of GMOs. The draft Biosafety Regulations and Guidelines provide for tools to facilitate decision making in terms of risk assessment and risk management, as well as for liability and redress. It also establishes the principle of liability in relation to GMOs, the polluter pays principle, the principle of ecosystem integrity, and the precautionary principle.

9. According to the national planning document “Vision 2025”, *the economy of Tanzania should be transformed from a low productivity predominantly rural based subsistence agriculture to diversified semi industrial economy with a modern rural sector and high productivity agriculture which ensures food security and food self-sufficiency.* To realize this vision, Tanzania considers that sustainable development depends upon the application of new technologies such as DNA technology *and* the safe application of modern biotechnology through a clear and effective national biotechnology policy and functional biosafety system. Tanzania has therefore taken steps in incorporating biosafety issues into sector policies, national biotechnology strategies and

national action plans in order to conserve and manage biodiversity and protect human health. It expects that a functional NBF will facilitate the safe application of modern biotechnology.

B. Objectives and components

10. The project *purpose* was to contribute to the safe use of biotechnology and reduce the potential risks associated to LMO use for biodiversity and human and animal health.

11. The overall *goal* of the project in Tanzania was to establish a functional and transparent national biosafety framework in accordance with national development priorities and international obligations by 2009.

12. The project *objective* was to develop the national biosafety capacities required to establish functional, workable and transparent national biosafety frameworks in accordance with national development priorities and international obligations. Specific project objectives in Tanzania included:

- To assist The United Republic of Tanzania to establish and consolidate a fully functional and responsive regulatory regime in line with Cartagena Protocol on Biosafety and national needs and priorities.
- To assist The United Republic of Tanzania to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making, perform administrative tasks.
- To assist The United Republic of Tanzania to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement.
- To assist The United Republic of Tanzania to establish and consolidate a functional national system for public awareness, education, participation and access to information.

13. The project components were:

Component A. Establish and make fully operational the regulatory regime on biosafety in Tanzania by 2009

Outputs:

- Biosafety Regulations reviewed and finalized
- Four 2-day sensitization workshops on regulatory regime for GMOs (CAs, NGOs, Private sector, civil society) conducted
- The NBF and Biosafety Regulations translated into *swahili* language
- Two, 3-days workshops for the Biosafety units of the Competent Authorities for sharing experience and information for effective enforcement of the regulatory regime carried out
- Operational manual for GMO inspectorates prepared
- Four, 3-day training workshops for Competent Authorities and Inspectorates on inspection procedures (2 workshops) and related legal issues (2 workshops) carried out
- Cessation or revocation order for non-compliance established
- GMO inspection facilities (field tool kits)

Component B. Operational procedures to handle requests for permits, including systems for administrative processing, risk assessment and decision making, are in place by 2009

Outputs:

- National Biosafety Guidelines and training manuals on risk assessment and risk management developed.
- Two 3-day training workshops for 30 participants each from Competent Authorities and other biosafety regulatory personnel on risk assessment and risk management conducted
- Laboratory equipped with necessary facilities for risk assessment and risk management (it is already under component C) (see Annex 8)
- Two 5-day training workshops held for 30 participants each (NBC members, NBFP, private sector) on handling of requests conducted
- A 2-day workshop held for identification of socio-economic priorities for decision making conducted
- An internal manual on procedures for handling requests of GMOs in Tanzania prepared
- Specific biosafety units within the seven Competent Authorities (see Section A2 for the list of CAs) for handling GMO issues strengthened
- Two, 3-days training workshops on GMO administrative issues (responsible personnel within CAs, NGOs, Private sector) conducted
- A networking mechanism for cooperation and information exchange among CAs, NGOs, private sector etc. developed

Component C. An operational system for monitoring of environmental effects and enforcement on biosafety is in place by 2009

Outputs:

- Three 2-days training workshops for 15 Inspectors from each CAs, 40 Custom officers and 20 Judiciary officials (dispute settlement, handling of court cases and enforcement) conducted
- One of the potential laboratories into a centre of excellence for R&D on biosafety upgraded
- Equipment for detection of GMOs (see Activity A1 (c)) purchased
- GMO testing protocol developed
- Two, 5-days training workshops for 8 laboratory technicians from each CAs for GMO detection conducted
- On-the-job training provided to officials from different authorities with real case studies to make sure that the system for handling requests is functioning
- Guidelines for monitoring (in cooperation with sector ministries) environmental effects developed
- Guidelines and rules for emergency cases (including remediation) and TORs for responsible persons developed
- Training for emergency operations for all principal actors (including high ranking officials – see risk management) provided
- An updated inventory of emergency equipment and replacement/procurement of any additional requirements maintained
- Emergency response procedures for NBFP and Competent Authorities established

Component D. A functional national system for promoting public awareness and involvement in biosafety decision-making is in place by 2009

Outputs:

- Government agency/responsible institutions for managing public awareness and education campaigns relating to Biosafety identified
- Surveys for public opinion carried out

- Public debates to create awareness organized
- Public education and involvement plan prepared
- Outreach material (e.g. leaflets, Newsletter, Biosafety website) developed and disseminated
- Three 2-day awareness raising workshops for parliamentarians, media, NGOs and other stakeholders conducted
- Public debates (biannual) and meetings (biannual), including educational competitions (annually) or events (annually) organized
- Entry points for public participation in decision-making on GMOs identified and institutionalized
- Institution/agency specializing in developing and delivering public service campaign identified
- National website for dissemination of biosafety information established and updated regularly

C. Target areas/groups

14. In June 2003, a national workshop identified key stakeholders and a survey assessed the existing physical infrastructure, human resource base, existing use of biotechnology, and national legal framework with regard to biosafety and biotechnology. The project targeted the managers, administrators and technicians of the relevant institutions as well decision makers, the press, and the public education sector.

D. Milestones/key dates in project design and implementation

15. The Government of Tanzania identified the project that was approved by GEF in March 2006 and by UNEP in October 2006. It started on 1/5/2007, following the first release of UNEP funds. A midterm review was carried out in mid-2009. The project planned duration was 48 months. It was completed on 31/12/2012, i.e. over 2 years after the planned end date, following delays due to force majeure affecting the procurement process.

E. Implementation arrangements

16. The Steering Committee chaired by UNEP provided guidance and direction to the implementation of the project. The Director of Environment – Vice President’s Office - acted as the National executing agency in charge of the implementation, with the assistance of the UNEP biosafety unit. The DE appointed a National project coordinator. Arrangements with the local partners were coordinated through the National Coordination Committee and resulted in their involvement in the planned activities, such as capacity building, participation in workshops, and support to the strengthening of the reference laboratories. The DE secured its leadership position in the biosafety sector by presiding over the National Biosafety Committee, in charge of advising the competent authority on technical and administrative issues regarding the biosafety regulations and decisions concerning the LMO release / introduction.

F. Project financing

17. *Actual project costs by activities compared to budget*

The budget of the project is composed by the GEF-UNEP financial contribution plus the Tanzanian government in kind contribution. They amount to US\$ 777,300 in cash (GEF-UNEP) and US\$ 614,300 in kind (Government of Tanzania), which correspond to 56% and 44% of the total US\$ 1,391 600 project budget (see Annex 5.2).

18. *Financial management*

The budget for the GEF-UNEP contribution (Annex 1 A of the programme document) is structured through budget lines designed along UNEP standards. A detailed breakdown along components and sub-components was not mandatory at the time of the programme inception. Expenditures are mostly represented by staff time and services procurement – capital investment is quite limited, along the GEF strategy requirements on incremental cost reasoning and national ownership. UNEP financial management principles and procedures have been adopted and enforced. Flexibility was adopted through advances disbursed upon request by the National executing agency. The initial advance of US\$ 117,000 (15% of the GEF-UNEP contribution) was disbursed on 2/4/2007, followed by 6 other instalments until the expenditure of the whole budget in 2013. Each disbursement followed the acceptance of the financial report for the previous period.

19. *Co-financing*

The contribution from the Government of Tanzania matched the initial budget plan. However, the procurement of co-financing in kind was challenged by the budgetary constraints faced by the local partners that dropped some forecast activities. Changes of staff in the Director of Environment office also delayed the activities implementation. According to the Tanzanian national audit office (2012) the NBF has generally complied with the national accountancy regulations.

20. *Breakdown of final actual costs and co-financing for the different project components*

The final actual costs of the project match the initial budget allocations, although they were spent in a longer than planned period.

G. Project partners

21. The Division of Environment (DE) coordinated the following stakeholders in the execution of the field activities:

- *Institutions*: Ministry of Agriculture and Food Security, Ministry of Water and Livestock Development, Ministry of Health, Ministry of Science, Technology and Higher Education, Ministry of Industry and Trade, Ministry of Natural Resources and Tourism, Ministry of Justice and Constitutional Affairs, Ministry of Finance, President's Office – Regional Administration and Local Government, Ministry of Foreign Affairs and International Cooperation

- *Scientific and technical bodies*: Mikochei Agricultural Research Institute (MARI); Sokoine University of Agriculture (SUA); Animal Disease Research Institute (ADRI); Muhimbili University College of Health Sciences; Ifakara Health Research and Development Center; Applied Microbiology Unit (AMU), University of Dar-es-salaam; Tanzania Food and Nutrition Center (TFNC); Tanzania Bureau of Standards (TBS); Tanzania Food and Drug Authority (TFDA); Tanzania Official Seed Certifying Agency (TOSCA); Government Chemist Laboratory Agency (GCLA) and Tanzania Pesticide Research Institute (TPRI)

- *Civil society*: Tanzania Consumers Association, Tanzania Farmers Association (TFA), ENVIROCARE, AGENDA, TANGO, Pelum Tanzania, Journalist Association of Tanzania (JET)

- *Private sector*: Tanzania Chamber of Commerce, Industry and Agriculture (TCCIA), Confederation of Tanzania Industries (CTI), Tanzania Organic Agriculture Certification (TANCERT)

H. Changes in design during implementation

22. The most relevant changes in the project implementation relate to the decision to abandon several activities, mostly concerning the monitoring component. Significant changes included:

- the GMO field inspection tool kits were not purchased due to budgetary constraints, as it was expected to be factored into a follow-up project or to be procured by the Tanzanian government,
- the on-the-job training with real case studies was dropped because of the absence of GMOs applications, and training on emergency operations was not provided because of budget constraints.
- the maintenance of an updated inventory of emergency equipment, the replacement/procurement of any additional equipment and the establishment of emergency response procedures were not completed due to budgetary constraints on the side of the local partners, as they are expected to be factored into a follow-up project.
- the biosafety website and other information sharing activities were shifted to the BCH project,
- the delay in procurement of laboratory equipment and materials resulted in the delay in training technicians and involved the extension of the project end date by over 2 years.
- the design of a model of network of Centers of Excellence with specific areas of intervention to assist the DE to continue with Biosafety activities beyond the project, also being in charge of training.

I. Reconstructed Theory of Change of the project

1. Project context

23. The great scientific knowledge acquired on the structure and function of the living organisms has been fostering investments in biotechnology.

24. According to the project document, Tanzania is endowed with a rich biodiversity and opportunities for economic development and is expected to become a net importer of Living Modified Organisms, because of an expected increase in GMOs plantations, import of cheap food, bioengineered pharmaceuticals and other chemicals. Tanzania has enacted a number of policies, strategies and programmes that relate to conservation and management of biodiversity. It has adhered to the Cartagena Protocol on Biosafety but it lacks resources to implement the NBS framework to regulate and supervise this process.

25. Political, administrative and economic obstacles within the country have been limiting effective enforcement of the Cartagena Protocol on Biosafety. In-country resources and decision-making capacity are weak and the public is generically aware of the potential consequences of the mismanagement of LMOs and the need for the systematic monitoring of their release and introduction. The project identified these two challenges as the critical elements to address in order to facilitate the implementation of a NBS framework. It also expected that the economic benefits originating from the implementation of the authorization, monitoring and supervision procedures would contribute to the sustainability of the system. However, opportunities for economic development continue to be lost and threats to the local biodiversity are still present due to the scarce resources available for deploying the NBF.

2. Project Theory of Change

26. The reconstructed Theory of change (ToC), established on the basis of the project Logframe, is critical for assessing the project performance and sustainability. The project *Immediate Objective* was to put in place a functional and transparent national biosafety framework in accordance with national development priorities and international obligations. According to the project document (section 2.2.2), in promulgating the document *Vision 2025*, the Government of Tanzania postulated that by the year 2025, *the economy of Tanzania should be transformed from a low productivity predominantly rural based subsistence agriculture to a diversified semi industrial economy with a modern rural sector and high productivity agriculture which ensures food security and food self-sufficiency*. To realize this vision, Tanzania considers science and technology to be central to creating wealth and improving the quality of life and bringing sustainable development in contemporary society. Sustainable development depends upon the application of new technologies such as DNA technology and utilization of inexhaustible supply of renewable resources. On the other hand, the safe application of modern biotechnology needs to be guaranteed through a clear and effective national biotechnology policy, functional biosafety system and government commitment.

27. The challenges of establishing a NBF in Tanzania are multiple. Their solution faces the typical hurdles challenging development in Sub-Saharan Africa: lack of resources in key areas such as research and economic governance, pressure to solve immediate social problems such as food security and income diversification, and difficulty to establish public private partnerships to regulate and supervise the challenge of investing in innovation without depleting the local natural resources.

28. Dependence on external knowledge results in a weaker position when dealing with enterprises and other economic actors controlling the newest biotechnological innovation. This uneven situation is replicated in-country through (a) the difficult coexistence of informal, traditional patterns of economic production performed by the local indigenous population with the growing investments in innovative production – both in farm plantation and industrial factories – and (b) transboundary trade directly supplying goods from the global market in the absence of a reliable system checking if such product threaten the environment and human health.

29. The novelty of the biotechnological revolution has raised the concern of the public opinion about the importance of biosafety and the need for caution in releasing and introducing LMOs in the environment. Typically, there are concerns about delocalization and trade in countries lacking the resources to cope with the potential risks associated to new technology.

30. Concerns are equally directed to the preservation of human health and conservation of biodiversity from human made genetic shift of unknown consequence. The consensus on a safe approach is represented by the Cartagena Protocol on Biosafety (2000) that advocates that biotechnology be developed and used with adequate safety measures, particularly for the environment by adopting the precautionary principle in decision making. The public opinion has to be confronted with the development interests on the basis of facts provided by an unbiased, competent party only concerned with the integrity, completeness and reliability of the information on the opportunities and threats of developing and using LMOs.

31. The UNEP/SCBD guidelines for establishing NBFs are consistent with such vision, as they are intended to establish or maintain means to regulate, manage or control the risks associated with the use and release of living modified organisms along the precautionary approach and promote the public information and education about biosafety.

32. The Impact pathways connecting the project outcomes to its immediate goal tackle the institutional, technical and administrative dimensions of the behavioral change needed to achieve such an objective, as well as that of ensuring the understanding of and consensus on relevant challenge among the specialists and general public. However, the participation of the private sector (biotechnology promoters) to such mechanism is marginal, and hence their contribution has been minimal.

33. The reconstructed Theory of Change (ToC) reveals that the intended change is expected in three key areas: technological change (enhanced exploitation of biodiversity and conservation of natural resources to achieve sustainable development), social and political participation (information and participation promoting the control of innovation) and international cooperation on biosafety (integration and collaboration with other countries to achieve a global approach to biotechnology and biosafety). Critical assumptions of the reconstructed ToC concern the access by Tanzania to knowledge and innovation– i.e., the availability of resources to invest in such field and keep abreast with the development of biotechnology as well as the ability to enforce a

legal framework protecting intellectual property rights. A driver that the project intended to address is the ability of the relevant institutions to increase environmental awareness in order to provide guidance and support to political decisions in the environmental and human health field.

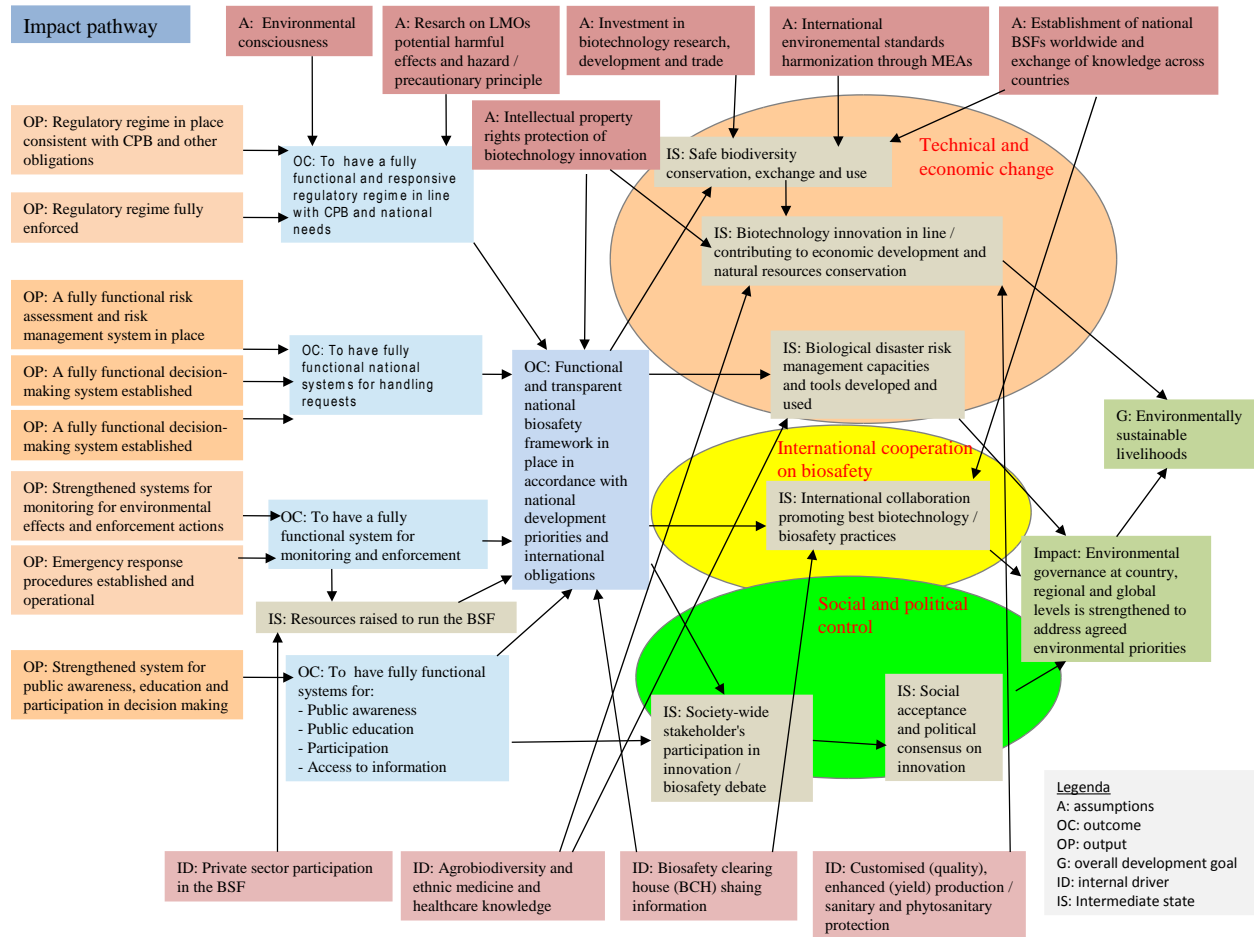
34. The execution of the project was expected to mobilize interest and capacity supporting the functioning of the biosafety framework. Private sector interests are clearly related to the economic benefits coming from the sustainable exploitation of biodiversity and the services provided by the Biosafety regulatory framework in ensuring the safe release of LMOs.

35. The ToC intermediate states leading from outcome to impact are expected to occur after the project completion. They are clustered in three areas. (a) Technical and economic changes leading to sustainable development of biotechnologies. (b) A greater integration of Tanzania in the international community in the field of biotechnology and biosafety, in order to foster the exchange of knowledge and limit the harmful transboundary effects of LMOs introduction. (c) The building of a consensus on investing in biotechnology development, supported by public awareness of its benefits and by institutional controls on the exploitation of LMO organisms and their safe use and handling.

36. It is important to stress that the development process ongoing in Tanzania is an internal driver which may support investments in biotechnology. Knowledge generated in this field has the potential to reduce the environmental impact of development, to promote better use of agro-biodiversity and ethnic medicine knowledge, improve productivity and attract investment to achieve sustainable development. According to the Project document, the biosafety approach promoted by the project is expected to create confidence in biotechnology development and focus efforts on the achievement of sustainability.

37. The project approach is centered on the development of local knowledge and skills necessary to establish a biosafety mechanism and the integration of Tanzania in the international framework provided by the Cartagena Protocol on Biosafety. Diagram 1 illustrates this conceptual framework, and provides the basis for the systematic assessment of the project based on the Review of Outcomes to Impacts (ROtI) method.

Diagram 1. The Biosafety project reconstructed Theory of Change



IV. Evaluation findings

38. The following sections assess the project along the ToR evaluation categories and address the key issues listed in the Terms of reference. Overall ratings for each criterion are summarized in Table 1.

A. Strategic relevance

39. The *Convention on Biological Diversity* (CBD, 1992) provides a comprehensive framework that addresses all aspects of biodiversity. The *Cartagena Protocol on Biosafety* (CPB, 2000) to the CBD seeks to ensure the development of appropriate procedures to enhance the safety of biotechnology in the context of the CBD's overall goal of *reducing all potential threats to biological diversity, taking also into account the risks to human health*. The CP fosters the establishment of an enabling context for the environmentally sound application of biotechnology,

making it possible to derive maximum benefit from its use, while minimizing the risks to the environment and to human health. The CP promotes biosafety by establishing practical rules and procedures for the safe transfer, handling and use of GMOs, with a specific focus on regulating movements of these organisms across borders, from one country to another. It features two separate sets of procedures, one for GMOs that are to be intentionally introduced into the environment, and one for GMOs that are to be used directly as food or feed or for processing.

40. The project's objectives and implementation strategies are hereafter analysed with reference to:

Sub-regional environmental issues and needs

41. The project targeted a critical topic among East Africa environmental priorities: the need to find a balance between innovation-driven economic development and the conservation of natural resources and biodiversity. East African countries are experiencing extensive foreign investments in crops plantations involving mechanization, improved seed and chemical inputs as well as the delocalization of chemical industries and the emergence of a vibrant food and feed production. For example, Kenyan seed producers are supplying cereals, horticultural and forage seed to both plantation and smallholder farmers in the region.

42. The draft Tanzania NBS framework (2004) recognizes that biosafety concerns – LMOs related hazards, could hamper the benefits of biotechnology innovation, the country's strategic commitment to economic development and the conservation and sustainable utilization of the national biological resources. The National environmental policy (1997) is not explicit on biosafety matters, a gap the signature of the Cartagena Protocol on Biosafety and establishment of the NBS framework and related policies are committed to fill. The Environmental Management Act calls for the establishment of Biosafety regulations. More recently, the Biotechnology policy prepared in 2010 highlighted the potential for investment in this sector for national development as well as the concerns for biosafety in GMO release / introduction. According to the Project document, the civil society has been raising awareness on the possible threats to the environment and human health and advocated the adoption of the precautionary principle.

43. The UNEP mandate and policies at the time of design and implementation

The cross-cutting thematic priorities listed in section III of the UNEP Medium-term Strategy 2010–2013 include strengthening Sub-Programme D on Environmental Governance, to address agreed environmental priorities, by supporting Governments in establishing, implementing and strengthening the necessary processes, institutions, laws, policies and programmes, to achieve sustainable development, and Sub- Programme C on Ecosystems Management. Specifically, under the Environmental governance priority, the UNEP expected accomplishments include assisting states to increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions. The Ecosystem management priority expected accomplishments include the increasing integration of an ecosystem management approach [i.e., compliance with the CBD into development and planning processes.

44. The project is part of a batch of National Biosafety Implementation Projects directly linked to Ecosystem management (UNEP EA-3: creating the enabling environment for the implementation of biodiversity-related Multilateral environmental agreements) and Environmental governance (UNEP EA-4: enhancing the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations). However, the project strategic relevance to UNEP's Programme of work (PoW) and Expected accomplishments (EAs) is indirect as the PoW and EAs do not include any specific mention of Biosafety. At the same time, the project documents do not establish a link with the relevant PoW outputs and EAs. Even though this was not a UNEP requirement at the time of project design, it further reinforces the fact that biosafety was not integrated in the PoW and EAs.

45. *The GEF Biodiversity focal area, strategic priorities and operational programme(s)*

This project is strategically relevant to GEF as biosafety is one of the GEF cross cutting thematic issues. The project belongs to the Biodiversity Focal Area and specifically it is relevant to the following area: (3) *Capacity Building for the Implementation of the Cartagena Protocol on Biosafety*, i.e. *Developing systemic and institutional capacity building for biosafety: Provision of support to countries for the development and implementation of National Biosafety Frameworks including the Biosafety Clearing House and enabling activities including the development and training in risk assessment and management of modified living organisms with the participation of relevant government sectors such as agriculture, fisheries, forestry, industry, environment, education, manufacturing, trade and health as well as community and private sector stakeholders*. It is therefore most relevant to the implementation of GEF Operational Programs 1-4 and 13.

46. The GEF *Initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety* (2000) proposes to assist countries to prepare for the entry into force of the Cartagena Protocol on Biosafety through the establishment of national biosafety frameworks, including strengthening capacity for risk assessment and management with a wide degree of stakeholder participation. The present project assisted the Government of Tanzania in implementing its National Biosafety Framework thus contributing to fulfilling the GEF *Initial strategy*.

Rating: satisfactory.

B. Achievement of outputs

47. Several of the planned activities were implemented. However, major delays were recorded due to *force majeure* postponed the purchase of laboratory equipment and some activities were dropped due to budget constraints by the local counterparts. GMO monitoring, the larger component, was severely affected by such constraints and it was not operational at the time of the evaluation. In the absence of case studies, the mobilization of trainees and GMO analyses were felt to be of little value by the stakeholders and they opted to cancel such activities at the

time of the annual work plan reviews. As a result, the procedures for monitoring the GMO after they have been released in the environment have not been operationalised.

48. Outputs under Components A and B created the conditions for the operationalization of the regulations, outputs under Component C built technical capacities on GMO detection and Component D outputs increased the public awareness on Biosafety.

Component A: the Draft Biosafety Regulations were reviewed, finalized and translated in Swahili. The legal NBS framework was enacted and regulations approved. Two sharing experience workshops and two out of four training workshops (due to budgetary constraints) for the representatives of the competent authorities and inspectorates were held. For the same reason, the GMO inspection facilities (field tool kits) were not purchased.

Component B: National Biosafety Guidelines and training manuals were developed, six training workshops concerning the implementation of the NBF were organised for the technicians of national and local authorities. The activity developing the networking mechanism for cooperation and information exchange were dropped and moved to the BCH project.

Component C: activities concerning the creation of capacities to perform the key inspection tasks were partially performed. Equipment for one GMO detection laboratory (the Polymerase chain reaction machine and related equipment) was purchased and delivered with over one year of delay, GMO detection protocols were elaborated, and four training workshops for inspectors and laboratory technicians were held. The project supported the signature of a Memorandum of understanding by 11 national organizations committed to create a centre of excellence forecast in the Biotechnology policy.

Component D: activities raised awareness in selected groups of people country-wide. A public opinion survey was held, a public education and involvement plan was mainstreamed through the Environmental Education and Communication Strategy, leaflets and newsletters on Biosafety were disseminated, and three awareness raising workshops were organized for selected groups of stakeholders. The establishment of the national website for dissemination of biosafety information was moved to the BCH project.

The key outputs of the project are listed here below in Table 1 (see section C).

Rating: moderately satisfactory.

C. Effectiveness: Attainment of project objectives and results

Achievement of direct outcomes as defined in the reconstructed ToC

49. The project did put in place the NBF component, except for the operationalization of the GMO monitoring system. Major achievements are listed by project components.

Component A. The political documents on environment were reviewed in order to include biosafety. The regulation, and the regulations, guidelines and manuals were approved. In short, the regulatory framework establishing the Biosafety procedures have been created.

Component B. The technical staff in charge of operationalizing the NBF regulation was trained. The BS focal point operates through a three people team – including a finance officer – in implementing the NBF. The national Biosafety committee coordinated the participation of national institutions to the NBF activities.

Component C. The DE is presently testing the *procedures* for GMO field trials authorization and surveillance. According to the representatives of the DE, the monitoring system has not yet been operationalized, due to lack of resources. The GMO detection laboratory also faces budget constraints. The staff of the *Mikacheni Agricultural Research Institute (MARI) Laboratory* has the resources to work in genetic engineering and to oversee its application, while the technicians in charge of the laboratory Department of molecular biology and biotechnology, Dar-es-Salaam University interviewed by the evaluator, noted that: *These facilities don't match certification levels for GMO handling laboratories. This lab has not been properly designed to handle biosafety risk. No protection for people working in biotechnology premises exists.* The incomplete implementation of this component penalises the monitoring function.

Component D. The project has created awareness in a wide set of stakeholders that are expected to participate in different positions to the decision making on GMO release / introduction, monitoring and, laboratory detection. Such activities were too small to ignite a dialogue between the public opinion, decision makers positively impacting on their active participation to the operationalization of the NBF.

50. The project execution revealed that Tanzania lacks resources for the operationalization of the NBF. According to the representatives of the DE, the following constraints have hampered decisions concerning the NBF operationalization:

- (a) the country-wide deployment of the monitoring system overwhelms the existing human and financial resources of the Tanzanian institutions, while its core functions, expected to be deployed gradually on a case by case basis, have to be maintained by more limited resources and
- (b) the preference for informal business practices by local entrepreneurs who fear incurring extra costs of a regulated economy.

The achievement of direct outcomes is therefore rated as moderately satisfactory.

51. *Likelihood of impact using the ROtI approach*

The Tanzania's biotechnology policy envisages a stronger role of biotechnology in the country development and requires that this be complemented by a reliable NBF. People interviewed by

the evaluator deem that GMO engineered food and agriculture products are being introduced, without testing, from other countries in the region – typically Kenya and South Africa - through trade. During the evaluation visit, one of their representatives showed the evaluator a genetically modified corn flakes pack from South Africa, freely available in Dar-es-Salaam which had been imported without authorization.

52. The testing of the GMO technology in agriculture is in its early stages. The DE authorized laboratory research on transformation of cassava resistant to virus; the ensuing field trials will soon require a new authorization; the request for authorization to test GMO varieties of maize and Bt cotton introduced from neighbor countries is also expected soon.

52. On the other side, the shortage in the capacities for GMO monitoring and detection are substantial, including the lack of the material conditions for the laboratory accreditation. The shortage of funds also affected the operationalization of the BCH. Its establishment was supported by another project. At the time of the evaluation, the BCH had stopped running due to shortage of funds after completion of the project.

53. As of the time of writing, the project results have not had a positive or negative impact on the release / introduction of GMO in Tanzania. Its ability to produce further benefits depend on (a) the capacity by the national BS focal point to mobilize further resources to complete and operationalize the monitoring system and on (b) the confidence of private companies in the fact that a reliable NBF facilitates investments and/or trade in biotechnology.

The likelihood of impact is therefore rated as moderately unlikely.

Achievement of the formal project overall objective, overall purpose, goals and component outcomes

54. According to the representatives of the DE, the project enjoyed substantial political support, as shown by the fact that the national regulation has been approved. The creation of the instruments for the operationalization of the NBF has been affected by substantial shortages in the monitoring field. The project benefitted from close coordination and mutual understanding among the local parties. For example, the evaluator had the opportunity to witness the national Biosafety Committee (BSC) smooth functioning.

55. The challenges highlighted above are structural and point to a partial analysis of the development context at the time of the project identification. The biotechnology sector is led by other countries in the regions and stronger coordination with them could have been fostered by a joint analysis of the potentials and threats of regional market integration. The likelihood of the project outcome contribution to the intended changes is challenged by the shortage of resources to operationalize the NBF and the limited participation of the private sector in its functioning.

56. The projects' objectives were overambitious with respect to:

(1) the development challenges facing Tanzania – i.e., the modalities and the extent of release / introduction of innovation in its economy,

(2) the geographical extension of the country and the borders to be monitored, and hence the risk of undetected introduction of GMOs from neighbour countries,

(3) the capacities to raise local resources both in terms of (a) the Tanzanian Government's in kind contribution to the project and (b) allocation of funds for running the NBF after the project end.

57. Political decisions have supported the project goal thus ensuring the mobilization of human resources to run the BS unit and enact the GMO regulations. However, coping with the bottlenecks related to the introduction of biotechnologies made it difficult for the Tanzanian institutions to raise resources to run the NBF, as explained by the Division of environment representatives to the Evaluator.

58. The project achieved its results in most areas, but it faced unexpected challenges especially in the GMO monitoring and detection area that negatively impacted on the operationalization of the NBF. The achievement of the project development goal was hampered by:

- the limited integration of the precautionary principle into the development policies, which keeps the private sector investment away from biotechnology innovation and compliance with the NBF while promoting uncontrolled transboundary trade of GMO products, and
- the lack of resources to operationalize the NBF procedures for monitoring and GMO detection.

The achievement of the project goal and planned objectives is rated as moderately satisfactory.

59. The Evaluation matrix (see Table 1) synthesizes the project's achievements discussed above. It presents the Evaluation questions listed in the ToRs, with the value of the relevant indicators and the synthesis assessment of the achievement in the 4 components of the project.

Table 1. Evaluation matrix

<i>Question</i>	<i>Criteria</i>	<i>Indicators</i>		<i>Sources</i>	<i>Answer to the question</i>
		<i>Target</i>	<i>Achievement</i>		
To what extent was the project able to support Tanzania in establishing a national biosafety framework in accordance with national development priorities and international obligations?	Impact	1. Operationalize NBF, Biosafety Regulations and Biosafety Guidelines	National Environmental Policy reviewed; National Environmental Action Plan (NEAP, 2013) including biosafety issues in place	Programme document, PIR, Programme terminal report, Interview of stakeholders	Policy and planning documents were approved and put in place as planned
To what extent was the project able to assist Tanzania to establish and consolidate a fully functional and responsive regulatory regime in line with the Cartagena Protocol and national needs and priorities?	Effectiveness	2. An approved regulatory regime reflecting policies and defining all other NBF components in compliance with CPB and	National Biosafety Guidelines (2007), Environmental Management (Biosafety) Regulations (2009) operational. 8 Biosafety Manuals (2010) elaborated & distributed on: Handling GMOs request/ application, GMOs Detection, Risk Assessment and Risk Management, Confined Field	Programme terminal report, Interview of stakeholders	The regulatory mechanism has been put in place and its procedures are being tested at a pilot level

		other international obligations fully funded	Trials, Socio economic issues for consideration in the decision making process, Contained laboratory GMOs research, GMOs Emergency Measures, Biosafety Inspection of Confined Field Trials of GM Plants in Tanzania. NaBS framework document and Biosafety Regulation translated into Swahili.		
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making and performing administrative tasks?	Effectiveness	3. Number of decisions on LMOs release / introduction made as a result of requests	Decision on contained use of GMO in laboratory research for disease resistance authorizing the Agriculture research institute to do the operations with GMO in their laboratory; no request for release of GMO received up to date. Biosafety Inspectors Tool Kit developed (biosafety inspectors use a standard operating procedure for field trials. Tropical pesticides institute of the MoA in charge of phytosanitary inspections including GMO.	Direction of environment, Interviews of stakeholders	The implementation of the procedures for the authorization of GMO release / introduction is at the pilot stage
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement?	Effectiveness	4. Trained people on regulatory regime in place who know how to interpret the Cartagena protocol and what are the compliance rules (practical applicability) 5. Connection to the other countries signatory of the Cartagena protocol via BCH	Training in 2010 (55 people), training in 2012 (28 laboratory technicians) BCH website established but not functioning; participation to 2 regional meetings on biosafety; Long term study on Risk Assessment and Management (MSc) with University of Wales	Direction of environment, Interviews of stakeholders	Capacity building on monitoring GMO was partial, the monitoring mechanism has not yet been deployed country-wide, no GMO laboratory analyses have been requested
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for public awareness, education, participation and access to information?	Effectiveness	6. Number of public debate, meetings and educational competition on biosafety	Awareness raising workshops: Inception in 2007 (53 people, Competent Authorities), for media in 2008 (36 people), for the regions in 2011 (53 + 54 + 55 people), for judiciary and lawyers in 2012 (45 people), for stakeholders in 2011 (46 people), awareness raising in 2012 (180 people, Competent Authorities, Bureau of standards, policy maker, technical officers, member of parliament Inspectorates, private sector),	Programme document, PIR, Programme terminal report, Interview of stakeholders	Awareness raising of the general public, institutions, politicians, the private sector and academy including representatives of the regions was effectively performed

			public dialogue in 2012 (148 people); Surveys for public awareness on biosafety issues in 2012; GMO issues distributed through fliers in environmental public education; disseminates of Biosafety information at exhibitions (Farmer's day week, Public Service Week, World Environment day, Poverty week, water week etc.)		
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Rating: moderately satisfactory.

D. Sustainability and replication

60. The project is directly connected to the highest institutional level through the Vice President Office. The main challenges to the sustainability of its achievements are (a) the weak linkages of the NBF with the development policies and hence (b) the limited private sector interest to invest in biotechnology and comply with its regulations and (c) the shortage of resources for completing, maintaining and updating the NBF capacities and tools (e.g., laboratory staff and equipment) and deploying the monitoring system. The following sections analyze in depth the factors impacting on the sustainability and replicability of project results.

61. Socio-political sustainability

The project document recognizes that the evolution and growth of modern biotechnology, including its application, has raised concerns on potential side effects to human health and the environment, including risks to biological diversity. The awareness raising campaign has addressed a wide set of stakeholders, organizing workshops directed to the representatives of local authorities and civil society organizations from the provinces.

62. Nevertheless, the project did not consider a decisive factor for the success of this endeavor: the challenge of informal business practices and dependence of Tanzania on neighbor countries for accessing innovation, a situation discouraging local firms from abiding to the NBF regulations. This limits private investments in biotechnology and biosafety compliance and the collection of the resources originating from the enforcement of the NBF regulations.

Financial resources

63. The implementation of a professional and reliable approach to biosafety management is expected to build the trust in biotechnology innovation by the investors, users and other stakeholders in the areas of economic development and natural resources conservation, assuming it become operational. As a consequence, foreign and local investments can be encouraged. As LMOs regulations also concern duties, levies and fees related to authorization and sanctions, it is expected that the NBF will to some extent generate resources for the running and updating of the activities performed by the DE. However, no calculation of the financial resources needed has been done in the course of the identification of the project. Additionally, the slow pace of

investments in this sector is delaying the benefits in terms of financial sustainability of the regulatory framework too.

64. The continuation of project results partially depends on the commitment of the private sector to invest on biotechnology innovation and biosafety compliance. While the National Agricultural Research System (NARS) has developed biotechnology to support resource poor farmers, the private sector would be expected to spearhead the same process in the plantation economy of the Northern region. The constraints to the emergence of a formal economy and trans-boundary trade were not adequately analysed at the time of the project identification. Awareness raising activities were extensively performed but were not intensive enough to change the context and overcome structural hurdles to the convergence of interest to invest in biotechnology and support the NBF. The government resources to run the NBF are not enough for the deployment of a satisfactory monitoring system and for performing the GMO detection analyses. The expertise created by the project is still available in the relevant institutions, although these have no resources to update technical skills and improve physical endowments. Up to now, they have not been requested to use such capacities in performing the tasks (risk assessments, inspections, GMO detection analyses) in compliance of the BS regulation. The biosafety strategy did not tackle the key issue of mobilizing the resources needed to pay for the costs for running the NBF until its operations are sustained by the benefits of development and income generated by the compliance of the Biosafety regulations.

Institutional framework

65. The establishment of the NBF and enactment of the Environmental Management Act of 2004 defined the Tanzanian government commitment to Biosafety. The lead organisation is the Vice President Office through the Director of the Division of Environment – which is also the BS Focal point. This body coordinates the participation of the Ministries responsible for Environment; Agriculture; Livestock; Health; Wildlife; Fisheries; Forestry, Transport and Communication, Industry and Trade, Science and Technology to the NBF.

66. The project aimed at coordinating the implementation of the National Biosafety Regulatory Regime, consisting of the Environmental Management Act (EMA 2004), the National Biosafety Framework (2005), and the Biosafety Guidelines (2005). This approach allows for biosafety requirements to be taken up by resources mobilized by the parent law and through other national initiatives. The translation of regulations in Swahili, the capacitation of local authorities and awareness raising campaign contributed to linking this effort to the decentralization policy of the Tanzanian government and ensure the inclusion of indigenous people in the debate on biosafety.

67. According to its representatives, the DE enjoys political support. It has effectively implemented the NBF technical components. It was especially efficient in gathering and articulating the participation of stakeholders. However, it lacks the capacity to influence budget decisions which would be necessary to guarantee the funding of the NBF operations.

Environmental sustainability

68. The project results have the potential to positively impact on environmental governance and ecosystem management. Its activities created capacities and mobilized resources without causing any negative impacts on the environment. In the long term, the project results are expected to enhance the compatibility between local development and natural resources conservation, i.e. to make the growth of the Tanzanian economy more environmentally sustainable. However, for this to be realized, it is essential that the framework is fully operational.

Catalytic role and replication

69. The first activities performed under the newly implemented NBF regulation were being tested at the time of the evaluation. They have not yet achieved the extension or produced results that justify the mobilization of government resources to invest in the monitoring system. They had not yet impacted on the interest of the private sector to invest in biotechnology and biosafety compliance. The change expected from performing biotechnology research and development in the country is not immediate. The release of GMO in agriculture can take from 5 to 10 years, according to the representative of the Tanzanian research institutes interviewed by the evaluator. The cost of the compliance of the BS regulations can further slow the pace of adoption of biotechnology innovation. Such dire expectations discourage private investments and hence limit the opportunity of mobilizing resources other than from the government environmental budget.

70. The project did not provide *incentives* to catalyze changes in stakeholders' behavior except through awareness raising. It did not create a political consensus on mainstreaming Biosafety in economic development and on the operationalization of the NBF. The BS regulation implementation is in its initial stage. It is yet to lead to the creation of *champions* to catalyze change and spread best practices.

Rating: moderately unlikely.

E. Efficiency

71. The project tapped into a pool of highly skilled personnel from institutions and research bodies relevant to the implementation of the NBF. It also mobilized regional experts providing precious insights and best practices to build local capacities. Its cost-effectiveness resides in the concentration of efforts to build local skills by exploiting those already existing in key institutions. Technicians and administrators participated in the elaboration of BS regulations and guidelines, while also sourcing regional expertise. GMO detection equipment was provided, although after a substantial delay, to the laboratories in charge of the GMO detection analyses.

72. The Division of Environment was able to effectively implement project activities and coordinating partners. Coordination between national institutions and local authorities was effectively achieved through capacity building and awareness raising activities. The most impressive feature of this initiative is the capacity of the BS unit to dialogue with and articulate the participation of institutions and other stakeholders to contribute to the implementation of the NBF. The National biosafety committee contributed to the effective coordination between the

national institutions and the project implementation mechanism. The extension in the project duration was due to contingencies unforeseeable at the time of identification – such as the loss of documentation for the tendering of the laboratory equipment as the result of the flooding of the UNDP premises in Dar-es-Salaam that obliged the national Executing agency to repeat the purchase procedure.

Rating: satisfactory.

F. Factors and processes affecting the project performance

Preparation and readiness

73. The project enjoyed a steady political support which led to the approval of key political and administrative documents regulating Biosafety. All the people interviewed during the Evaluation reported the excellent degree of institutional coordination and organization performed by the national Executing agency. An extensive set of meetings with stakeholders ensured that the project reached key people in universities and institutions providing high professional expertise in the deployment of the initial NBF procedures. On the other side, the high degree of informality of the economic sector and scarcity of resources for funding innovation resulted in little interest from the private sector in abiding to the BS procedures for the authorisation and monitoring of GMO release / introduction.

Project implementation and management

74. The implementation of this project was relatively smooth as the national executing agency executing centralized activities and managed the spending of the GEF cash contribution along UNEP financial procedures. The Executing agency smoothly coordinated the partners and implemented the project work plan. Local partners action consisted in the execution of tasks assigned by the Executing agency, mainly by participating in workshops, training and through collaborations in the drafting of technical (guidelines) and administrative (regulations) documents.

Stakeholders' participation and public awareness

75. Stakeholders from the capital city and provinces were involved in capacity building and awareness raising activities. Agri-food and biological research institutions were especially active. Involvement of education institutions was limited, as the awareness raising component was late and not completely implemented.

Institutional framework

76. The National Biosafety Committee advising the Ministry of environment includes representatives of other institutions concerned by the GMO law. The project built on the baseline activities carried out in the pilot phase of existence of the Committee. Its involvement in the project ensured institutional participation in decision making. The role of the national project coordinator was effective and well harmonized with the NBC thus resulting in active participation of the beneficiary institutions. The National Executing Agency ably led them at the technical level. It established a smooth relationship with the UNEP BS unit in charge of

supervision of the project implementation. Lack of leadership at the political level influenced the full operationalization of the NBF, a condition outside the reach of the project design. On the other side, the creation of the Centres of Excellence Network is expected to contribute to the institutionalization of capacity building in BS as well as in disseminating best practices.

Country ownership and driveness

78. Ownership and driveness by national institutions were good. The BS focal point achieved and enjoyed a high level of coordination of the partner institutions. Indeed, the private sector support was limited, due to the constraints analysed in the Theory of change section of this report: according to the representatives of the consumers' association interviewed by the evaluator, the preference for informal practices and dependence on the import of innovation reduced the interest of entrepreneurs in the deployment of the NBF.

Financial planning and management

79. The Tanzanian government contribution consisted in in kind co-financing. The executing agency assigned the BS unit – two staff assisted by a financial officer - to coordinate the project activities while consultants were regionally hired to perform specific tasks. Such provisions were adequate to execute the project.

80. The budget of the project is composed of the GEF-UNEP financial contribution and Tanzanian government in kind contribution amounting respectively to 56% and to 44% of the total budget (see Annex 5.2).

81. Component 3 (System follow-up) represents the main budget line (40%), receiving almost equal support from GEF-UNEP and the Government, followed by Project management (17%), by 2/3 covered by the GEF-UNEP contribution. Components 1, 2 and 4 range among 11% and 14% of the total budget, with a slight prevalence of GEF-UNEP contribution for each. Technical support, exclusively funded by GEF-UNEP, represents about 5% of the budget.

82. The project followed UNEP financial standards for the management of GEF projects. Updated budgets were regularly uploaded in the Anubis database. The procurement process for the acquisition of the GMO detection laboratory equipment was delayed by a contingency, a flood in UNDP premises destroying documentation and requiring the repetition of the procurement procedure.

83. Co-financing materialized as expected at project approval (see Table 3).

UNEP supervision and backstopping

84. The project supervision was ensured by the participation of UNEP and national coordinators in the Steering committee. No major problems were faced in the exchange of information, according to the representatives of the national Executing agency and the UNEP Task Manger. The UNEP Biosafety unit supplied technical advice to the DE (e.g., in the case of the technical appraisal of laboratory equipment) and monitored the execution of the activities. The monitoring function was quite sketchy; it did not consider the Logframe indicators but concentrated on the

delivery of activities (cf. the following section). Nonetheless, the project reporting was structured along UNEP procedures and produced information adequate to highlight the achievements and milestones of the project execution. The Anubis system provided an adequate filing and dissemination mechanism for the project reporting.

Monitoring and evaluation design

85. The Logframe (annex 1A) and Monitoring and evaluation (M&E) plan (Annex 1B) attached to the project document are the key elements describing the project M&E system. The M&E approach consists of periodic reporting of activities (e.g., through the PIRs) plus the internal Midterm review and external terminal evaluation. The UNEP task manager and Steering committee were in charge of reporting and hence of the monitoring function. The project did not allocate any specific budget line to implement the M&E plan, with the exception of the terminal evaluation. No specific resources were devoted to surveying and collecting the indicators, but the UNEP Task manager reported on the accomplishment of activities and their immediate objectives.

Quality of the project logframe and indicators

86. This project logframe does not include the overall goal (Development goal) of the project. The 38 activities are clearly listed and concisely described. There are 60 indicators, both internal and external, which are mostly qualitative and usually lack a numeric target. Many means of verification described in the next column of the logframe correspond to the indicator targets and not to their sources. The risks and relevant management actions are extensively described, thus providing a detailed guidance to project decision making. As a whole, the exceedingly long list and description of indicators and risks concentrate on the immediate output of the action and do not provide a synthesis assessment of the project progress toward its overall objective.

87. The outcome indicators often overlap with output indicators and also concentrate on the immediate results of the project activities. Most indicators were practical and easily collectable. However, due to their extensive amount, their systematic collection would have required the mobilization of specific, targeted resources along a formal timeframe. At the same time, even if collected, they would not have captured the elements conducive to project results, including impact on economic development and natural resources conservation or sustainability.

88. Project baseline data were not collected although the project was based on a needs assessment involving stakeholders and the executing agency was in a position to easily document both the environmental situation and institutional capacities.

Monitoring and evaluation activities

89. The Monitoring of the project outputs and outcomes coincided with the reporting process. No resources were available for surveys and specific data collection. No timeframe or grid for the Logframe information collection was included in the work plan as it was expected to correspond with the reporting schedule.

90. Evaluation arrangements consisted in the execution of an internal the mid-term review by the UNEP task manager and an external terminal evaluation by the Evaluation Office. The Evaluation office unit will track the implementation of recommendations at 6 months intervals. The project budget included an adequate amount to cover the costs of the terminal evaluation.

G. Complementarity with UNEP strategies and programmes

91. This project is in line with the UNEP commitment to assist developing countries in establishing NBF along the GEF Initial strategy and follows the methodology developed by the UNEP Biosafety Unit. It is part of a batch of projects assisting developing countries to develop and implement their national NBF, thus contributing to the international alignment of countries on biosafety issues. The implementation of the project activities follows GEF-UNEP past experiences and is part of a coordinated effort to implement the provisions of the Cartagena Protocol on Biosafety worldwide. Its implementation is complementary to the UNEP-GEF project Building Capacity for Effective Participation in the Biosafety Clearing-House (BCH) of the Cartagena Protocol on Biosafety supporting countries regarding their obligations to the CP.

92. The project builds on UNEP's established capacities in the field of capacity-building and technology support. For instance, it uses UNEP's training modules to help countries understand their BCH obligations as Parties and to assist them to enter and use information in the BCH. The project is consistent with the environmental governance and ecosystem management thematic priorities. However, due to the lack of data collection and the output oriented nature of the indicators in the logframe, it is not possible to measure the actual contribution to the UNEP Expected Accomplishments

93. The project was in line with the Bali strategic plan in fostering national participation and ownership – the national executing agency being in charge of all major operational decisions -. The implementation of the NBF supports Tanzania in developing its own technology assessment capacities and in accessing sources of sustainable financing in the form of fees, duties and levies to be paid to comply with the NBF regulations for release / introduction of LMOs.

94. The project created the conditions for South-South cooperation – although it has not directly engaged in this field – and for dialoguing with centres of excellence in the North. Relationships with other southern countries were established thanks to the participation of Tanzanians to regional workshops, but this did not lead to any joint activity of mutual benefit. No concrete measures were taken to institutionalize such South-South cooperation, but there is now an awareness of the advantages of holding joint / mutually recognized field trials of GMO organisms before their release.

95. There is no specific gender component in the project design. It did not take into consideration gender in relation to access to and/or control of natural resources, vulnerabilities to environmental degradation or disasters, and environmental protection.

Rating: moderately satisfactory.

H. Conclusions, lessons learnt and Recommendations

1. Conclusions

96. The identification and design of the project underestimated the challenges faced by Tanzania in investing in biotechnology as well as its level of integration in / dependence on regional trade. As of the time of the evaluation, the NBF has had no influence on fostering biotechnology innovation and regulating the GMO market.

97. The BS focal point – national executing agency - was effective in ensuring stakeholders' participation, coordination and implementation of project activities. The stakeholders' coordination through the Biosafety committee was effective in advising the national coordinator and facilitating / harnessing the implementation of the project activities.

98. Budget constraints by local partners restricted the execution of some activities, especially those concerning the establishment of the monitoring system, expected to be undertaken through a follow up project. Delay in purchasing the laboratory equipment and organizing activities resulted in a two years delay in the project completion. Several ancillary activities such as the agreement of 11 national organizations to found a national center of excellence on biodiversity, the BCH mechanism and the signature of agreements with foreign institutions still have to be operationalized.

99. Policies, biotechnology development plan, regulations and ancillary documents such as the guidelines and manuals for the execution of the NBF procedures, were developed and approved, and the Biosafety framework established. Lack of resources for running the NBF resulted in the limited deployment of key functions such as monitoring and upgrading the reference molecular analysis laboratory to international safety standards and accreditation. The coordination and integration of the NBSs at the regional level was limited to the participation of Tanzanian technicians and administrators to international workshops and scientific meetings.

100. The risk assessment / management and the monitoring and laboratory analysis capacities created by the project are adequate in quality but not in quantity to operationalize the NBF. Laboratory research on cassava transformation and GMO maize testing are underway at a pilot scale, as authorized by the NBF procedures. Resources made available by the government are not adequate to deploy the GMO monitoring and detection system country-wide.

101. The awareness raising campaign was well designed and executed, reaching a wide set of different groups of stakeholders countrywide, although no success stories are yet unavailable for showcasing the benefits of the NBF and support decisions on allocating resources to operationalize the NBF.

102. The UNEP role was effective in streamlining the project design along the GEF approach by facilitating the implementation of activities and in providing agile financial procedures for procurement of goods and services.

2. Overall assessment

103. The overall assessment of the project, summarizing the above mentioned conclusions, is performed by answering the Evaluation questions.

105. To what extent were the projects able to support Tanzania in establishing a national biosafety framework in accordance with national development priorities and international obligations? *Policy and planning documents were approved and put in place as planned.*

106. To what extent were the projects able to assist Tanzania to establish and consolidate a fully functional and responsive regulatory regime in line with the Cartagena Protocol on Biosafety and national needs and priorities? *The regulatory mechanism has been put in place and its procedures are being tested at a pilot level.*

107. To what extent were the projects able to assist Tanzania to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making and performing administrative tasks? *The implementation of the procedures for the authorization of GMO release / introduction is at the pilot stage.*

108. To what extent were the projects able to assist Tanzania to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement? *Capacity building on monitoring GMO was partial, the monitoring mechanism has not yet been deployed country-wide, and no GMO laboratory analyses have been requested*

109. To what extent were the projects able to assist Tanzania to establish and consolidate a functional national system for public awareness, education, participation and access to information? *Awareness raising of the general public, institutions, politicians, the private sector and research community, including representatives from several regions, was effectively performed.*

110. In Synthesis: the project mobilized national and regional capacities to implement the NBF. Structural features of the Tanzanian economy, such as informality and dependence from neighbouring countries trade, hamper investments in biotechnology innovation and hence the operationalization of the authorization / monitoring procedures that are essential for the recovery of resources to run the NBF has yet to take place.

Table 2. Overall ratings of the project

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project identification was a follow up of previous activities nominally establishing the NBF and didn't consider the impact of the informal economic environment and regional integration on the investments in biotechnology and operationalization of the NBF	S

Criterion	Summary Assessment	Rating
B. Achievement of outputs	Most activities were performed but several – especially those concerning the monitoring component - were dropped by the local counterparts because of budget restriction	MS
C. Effectiveness: attainment of project objectives and results	The execution of the project activities built the capacities and put in place the coordination mechanism and procedures for the functioning of the NBF	MU
1. Achievement of direct outcomes	The project partially attained its planned results but some activities had to be dropped, especially in the monitoring component.	MS
2. Likelihood of impact	The coordination mechanism, capacities built and instruments put in place have not yet become operational	MU
3. Achievement of project goal and planned objectives	The NBF operationalization is still to be achieved as it is being run at the pilot stage	MS
D. Sustainability of project outcomes	Project sustainability is challenged by informal economic practices reducing the convenience of investing in biotechnology in the country and hence in deploying the NBF procedures	MU
1. Financial	Due to the lack of requests for GMO release / introduction and a lack of mobilization strategy the NBF has not yet been able to raise resources for its own maintenance and updating	MU
2. Socio-political	Informal economic practices and regional integration challenge the sustainability of innovation in biotechnology and make it difficult for the NBF to raise resources to regulate the sector	MU
3. Institutional framework	Institutional capacities are adequate to manage the NBF and effective in coordinating partner institutions and mobilizing stakeholders	HL
4. Environmental	It is not possible to assess the environmental impact of the project as the monitoring procedures have not yet become operational	L
5. Catalytic role and replication	As the NBF operationalization is in its test stage, it has not yet produced success stories to catalyse and replicate in order to achieve a broader impact	MU
E. Efficiency	Project resources were efficiently used to perform most of the planned activities, by targeting stakeholders' needs; delay in procuring laboratory equipment resulted from a situation unpredictable at the project design stage	S
F. Factors affecting project performance	Lack of appreciation of structural constraints in the local economy resulted in little participation of parties other than the technical institutions. Some activities were dropped due to insufficient local partners' resources. The executing agency effectively collaborated with technical partners.	MS
1. Preparation and readiness	Institutions were actively involved in the project design and implementation	S
2. Project implementation and management	The execution mechanism was performed well and was adequate to perform most of the planned activities	HS
3. Stakeholders involvement	Stakeholders from all levels of the decision making process and from all the country participated to the project activities	HS
4. Country ownership / driven-ness	Private sector interest in biotechnology innovation in Tanzania is limited. This limits the opportunity for the operationalization of the NBF procedures	MS
5. Financial planning and management	The project financial management was in line with the project requirements, as confirmed by the annual national audits	HS
6. UNEP supervision and backstopping	UNEP Biosafety unit provided a valid and targeted supervision and backstopping of the project activities, effectively solving bottlenecks	HS
7. Monitoring and Evaluation	The M&E deployment was limited to internal reporting on activities performance and their immediate outputs achievements	MS
a. M&E Design	The sketchy M&E system design provides an extensive list of immediate output indicators that do not provide a synthesis assessment of the project toward its overall objective (its external impact)	MS
b. M&E Plan Implementation	The M&E plan was limited to the reporting of the project activities execution with little concern for the collection of external indicators	MS

Criterion	Summary Assessment	Rating
c. Budgeting and funding for M&E activities	No specific budget was assigned for collecting data for the indicators, the UNEP Project coordinator and Steering committee were in charge of reporting with inputs supplied by the national coordinator. The budget for the terminal evaluation was adequate.	S
Overall assessment	The project mobilized national and regional capacities to implement the NBF. Structural features of Tanzania economy such as informality and dependence on trade with neighbouring countries hamper investments in biotechnology innovation and hence the operationalization of the authorization / monitoring procedures that are essential for the recovery of resources to run the NBF.	MS

3. Lessons learnt and recommendations

111. The lessons learnt are organized along the list of conclusions highlighted in the previous section (one-to-one correspondence). The project was completed over 2 years before this evaluation. This section therefore highlights lessons emerging from this assessment and only identifies a few recommendations for the consideration of the national partners in Tanzania. An *R* letter distinguishes recommendations from lessons learnt.

112. Informal business practices prevailing in Tanzania and transboundary trade with neighboring countries create a structural dependence on foreign biotechnology innovation. This situation limits the opportunities to invest in such field and the interest of entrepreneurs in abiding by the NBF regulations. Investments in biotechnology are small and capacities to control the transboundary flow of GMO products are still limited.

Consultations with representatives of the development sector on the biotechnology policy should be held to explore new ways to stimulate investments in biotechnology innovation and strengthen the NBF.

113. Stakeholders providing technical and administrative support to the creation of local capacities – especially public research institutions –effectively contributed to the implementation of the NBF, but there was little discussion on the strategic challenge of mainstreaming biosafety into economic development and the operationalization of the NBF procedures.

While the National biosafety committee has to gather technical and administrative expertise, a politically sensitive body has to be established – in line with the Biosafety regulations provisions - to assembly high level representatives of relevant institutions, private sector representatives and the civil society in order to stimulate debate and facilitate consensus on mainstreaming biosafety into economic development.

114. The shortage of resources to deploy the monitoring and GMO detection system limits the implementation of the BS regulations. GMO release / introduction and GMO detection / analysis are presently being performed at a test level inside public research programmes and institutions.

R. The BS focal point should elaborate a plan to operationalize the monitoring and GMO detection procedures, e.g. as a component of the implementation of the biotechnology policy.

115. The regulatory documents elaborated and enacted with the assistance of the project are adequate to operationalize the NBF. They provide the basis for a coherent legal framework to operationalize the NBF and to establish collaborations with other countries to regulate the transboundary GMO flow. The project strategy lacks a regional dimension and this is a key issue for economizing resources and achieving scale economies in deploying the biosafety procedures (e.g., in authorization, transboundary trade, monitoring).

R. Experience gained in developing the regulatory documents has to be systematized region-wide in order to reduce discrepancies and promote the adoption of joint, compatible biosafety procedures through the regional Economic Development Commission (East African Commission). The GEF biosafety regional approach should be streamlined into the NBS framework implementation, also through the mobilization of local resources, and including the accreditation of pivot regional GMO detection laboratories and sharing of physical resources, technical expertise and harmonized procedures. This activity has to be designed and promoted by the UNEP Biosafety unit in cooperation with the GEF Secretariat.

116. The challenges of the deployment of the monitoring system are complicated by the great extension of Tanzania and the length of its borders. Additionally, policy makers' awareness of technical and administrative approaches to complex issues such as the NBF operationalization are limited. The establishment of the NBF resulted in the creation of mechanisms for the implementation of the Cartagena Protocol on Biosafety which cannot currently be operationalized.

The NBF operationalization should concentrate resources on the execution of the activities with the greatest potential to produce success stories both in term of economic development and monitoring in case of approval of GMO products. These would help in building a knowledge base leading to a consensus on how to operationalize the system. Additionally, the role of the private sector has to be acknowledged as influential on the policy makers' decisions and its participation in the process should be encouraged.

Annexes

1. Evaluation TORs

TERMS OF REFERENCE

Terminal Evaluation of the UNEP/GEF projects

“Support for Implementation of the National Biosafety Framework for Tanzania”
 “Support for the Implementation of the National Biosafety Framework for Mauritius”
 “Support for Implementation of the National Biosafety Framework for Tunisia”

PROJECT BACKGROUND AND OVERVIEW

Project General Information

Table 1. Project summary

GEF project ID:	3012 2822 2648	IMIS number:	GFL/2328-2716-4951 GFL-2328-2716-4952 GFL-2328-2716-4953
Focal Area(s):	BD1/BD-SP6	GEF OP #:	March 9, 2006
GEF Strategic Priority/Objective:	Biodiversity	GEF approval date:	March 3, 2006 February 8, 2006 April 11, 2007
UNEP approval date:	October 13, 2006 December 04, 2006 January 22, 2007 May 01, 2007	First Disbursement:	December 26, 2006 February 8, 2006
Actual start date:	March 21, 2007 June 11, 2007	Planned duration:	48 months
Intended completion date:	October 12, 2010 December 12, 2010 December 2010	Actual or Expected completion date:	December 31, 2012 September 2011 July, 21 2014
Project Type:	MSP	GEF Allocation:	\$777,300 \$427,800 \$848,900
PDF GEF cost:		PDF co-financing*:	
Expected MSP/FSP Co-financing:	\$614,300 \$207,900 \$919,260	Total Cost:	\$1,391,600 \$635,700 \$1,768,160
Mid-term review/eval. (planned date):	May – June 2009 April 2009 June – July 2009	Terminal Evaluation (actual date):	June 2014
Mid-term review/eval. (actual date):	June 2009 May 2009 October 2009	No. of revisions:	12 10 12
Date of last Steering Committee meeting:	September 2013 September 28 th , 2011 N/A \$777,300.00 Tanzania)	Date of last Revision:	23/11/2013 17/09/2011 01/01/2014
Disbursement as:	\$427,800.00 Mauritius \$697,590.26 Tunisia)	Date of financial closure:	Financial closure will be done in IMIS when the Terminal Evaluation is done.
Date of Completion:	12/12/2013 30/09/2011 N/A	Actual expenditures reported as of:	Tanzania and Mauritius reported in full. Tunisia reported USD 714,661 by March 2014
Total co-financing realized	\$673,753 (Tanzania) \$208,518 (Mauritius) \$746,645 (Tunisia as at 31/03/2014)	Actual expenditures entered in IMIS as 30 June 2013:	Co-finance is not recorded in IMIS

Leveraged financing:

Project rationale

Tanzania: The United Republic of Tanzania is one of the 41 countries that implemented their National Biosafety Framework as part of the UNEP-GEF project for the implementation of NBFs. The main outcomes of the implementation phase included, among others, the setting up of the National Biosafety Framework, while biosafety issues were enshrined in the Environmental Management Act 2004, Biosafety Regulations and Guidelines were developed, public awareness, education and information dissemination mechanisms and monitoring mechanisms were

established. This project intended to help the United Republic of Tanzania to strengthen the existing institutional and technical structures and infrastructure needed to meet the obligations of the Protocol and have a fully operational National Biosafety Framework. This project aimed to contribute to:

- The development and implementation of Biosafety Regulations;
- The implementation of the United Republic of Tanzania's legislative framework on the safe use of biotechnology through decrees, orders, guidelines and manuals;
- The preparation of specific technical guidelines;
- The strengthening of appropriate institutional structures for risk assessment, risk management, detection of LMOs and decision making;
- The development and implementation of policies for biotechnology and biosafety;
- The training of regulators, decision makers, scientists, and administrative and technical staff on legal and technical matters relates to LMO application;
- The reinforcement of the existing infrastructures (laboratories) to strengthen monitoring and detection of LMOs';
- The setting up of a mechanism for monitoring and enforcement;
- The strengthening of communication and information exchange relating to biosafety both at the national level as well as through the global BCH; and
- Putting in place systems for strengthening public awareness, education and participation in decision making on LMOs.

Mauritius: The preparation of a regulatory regime for biotechnology in Mauritius started in 1997. In 1999, with the assistance of UNEP/GEF pilot project, Mauritius prepared its "National Biosafety Guidelines for the Safe Development and Introduction of Genetically Modified Organisms". The guidelines outlined the administrative and institutional procedures necessary for the safe application of genetic modification. The guidelines recommend practices based on the precautionary approach to ensure the safe application of GMOs for different uses (contained conditions, field trials, import, exports, transport, etc) so as to protect the country from any adverse effect to human and animal health or the environment. The scope of the guidelines included all use, development and release of GMOs. Following this, the then Ministry of Agriculture, Food, Technology and Natural Resources approved the Non-Sugar Sector Strategic Plan. This was a five-year plan for the years 2003- 2007 aimed at promoting the transition from traditional practices to a technology-based approach to agriculture.

A new plan for Food Security was initiated by the Government as a "Food Security Strategic Plan 2008-2015", with a dedicated Food Security Fund of Rs 1 billion over the project period with the main objective of increasing local food production of foodstuffs and to decrease import of food commodities. The approach includes the optimization of local food production through diverse government incentives, regional partnerships, promotion of public-private partnership, export of surplus and sensitising the public to healthy eating. In this context, the biosafety project aimed at strengthening capacity for the implementation of the Mauritius Biosafety Framework so as to meet its obligations under the Cartagena Protocol on biosafety. It was considered imperative that the necessary capacity is built in biosafety issues so that appropriate and timely decisions regarding the transboundary movement of Genetically Modified Organisms (GMOs) could be taken.

Tunisia: Tunisia was one of the 18 countries that participated in the pilot UNEP/GEF Project on the Development of the National Biosafety Framework (Project GF/1200-89-86 MEAT/GEF/UNEP). The draft National Biosafety Regulatory Framework was the main output of the pilot phase. Since the completion of the project, Tunisia made further progress by fine-tuning its National Biosafety Framework (NBF). More importantly, Tunisia ratified the Cartagena Protocol on Biosafety on January 22, 2003. As a Party to the Protocol, Tunisia needed to strengthen its existing institutional and technical structures and expertise to meet its obligations of the Protocol and have a fully operational NBF. The biosafety implementation project was intended to provide the necessary financial and technical assistance for Tunisia to:

- Transform its National Biosafety Framework to a legally binding national biosafety regulatory regime through the enactment of Laws, and drafting of implementing regulations, decrees, orders;
- Prepare specific training guides and manuals;
- Train decision makers, scientists, administrative and technical staff on legal, scientific and technical matters;
- Enhance existing institutional facilities and infrastructure to undertake GMO detection and monitoring activities;
- Set up a mechanism for monitoring and enforcement;
- Strengthen channels of communication and information dissemination nationally, as well as through the Biosafety Clearing House (BCH);
- Promote public awareness and participation.

3. Project objectives and components

4. The overall **goal** of the project in Tanzania was to establish a functional and transparent national biosafety framework in accordance with national development priorities and international obligations by 2009. In Mauritius, the overall goal of the project was that a workable and transparent national biosafety framework, in line with its national development priorities and international obligations would be in place by 2010. The overall goal of this project for Tunisia was that the country would have a workable, responsive and transparent NBF by 2010, in line with its national development priorities, the Cartagena Protocol and other international obligations.

5. The project **objective** was to develop the national biosafety capacities required to establish functional, workable and transparent national biosafety frameworks in accordance with national development priorities and international obligations. Table 2 provides an overview of specific objectives by country.

Table 2 – Specific objectives by country

Country Specific objectives

Tanzania	<p>To assist The United Republic of Tanzania to establish and consolidate a fully functional and responsive regulatory regime in line with Cartagena Protocol and national needs and priorities.</p> <p>To assist The United Republic of Tanzania to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making, perform administrative tasks.</p> <p>To assist The United Republic of Tanzania to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement.</p> <p>To assist The United Republic of Tanzania to establish and consolidate a functional national system for public awareness, education, participation and access to information.</p>
Mauritius	<p>To assist Mauritius to have a fully functional and responsive regulatory regime in line with the CP, national needs and other international obligations.</p> <p>To assist Mauritius to have a functional national system for handling request, including risk assessment, decision-making and administrative processing.</p> <p>To assist Mauritius to have a functional national system for “follow-up” activities, especially monitoring of environmental effects and enforcement.</p> <p>To assist Mauritius to have a functional national system for public awareness, participation, education, and access to information.</p>
Tunisia	<p>To integrate biosafety into a national development strategy</p> <p>To establish and consolidate a fully functional and responsive regulatory regime in line with the CP, national needs and other international obligations.</p> <p>To enhance the existing administrative system on biosafety to be competent and efficient in handling requests for applications, including systems for risk assessments, decision-making and administrative processing.</p> <p>To strengthen the present national system for public awareness, participation, education and access to information on biosafety</p>

6. The project **purpose** was to contribute to the safe use of biotechnology and reduce the potential risk associated to LMO use on biodiversity, human and animal health.

7. The structure of this project comprised four **components** in Tanzania and Mauritius and five in Tunisia. Table 3 summarizes the components per country and lists the outputs the projects intended to achieve.

Table 3 – Projects components/outcomes and outputs by country

Country / Components/outcomes and outputs

Tanzania

A. Establish and make fully operational the regulatory regime on biosafety in Tanzania by 2009

Biosafety Regulations reviewed and finalized

Four 2-day sensitisation workshops on regulatory regime for GMOs (CAs, NGOs, Private sector, civil society) conducted

The NBF and Biosafety Regulations translated into *swahili* language

Two, 3-day workshops for the Biosafety units of the Competent Authorities for sharing experience and information for effective enforcement of the regulatory regime carried out

Operational manual for GMO inspectorates prepared

Four, 3-day training workshops for Competent Authorities and Inspectorates on inspection procedures (2 workshops) and related legal issues (2 workshops) carried out

Cessation or revocation order for non-compliance established

GMO inspection facilities (field tool kits)

B. Operational procedures to handle requests for permits, including systems for administrative processing, risk assessment and decision making, are in place by 2009

National Biosafety Guidelines and training manuals on risk assessment and risk management developed.

Two 3-day training workshops for 30 participants each from Competent Authorities and other biosafety regulatory personnel on risk assessment and risk management conducted

Laboratory equipped with necessary facilities for risk assessment and risk management (it is already under component C) (see Annex 8)

Two 5-day training workshops held for 30 participants each (NBC members, NBFP, private sector) on handling of requests conducted

A 2-day workshop held for identification of socio-economic priorities for decision making conducted

An internal manual on procedures for handling requests of GMOs in Tanzania prepared

Specific biosafety units within the seven Competent Authorities (see Section A2 for the list of CAs) for handling GMO issues strengthened

Two, 3-days training workshops on GMO administrative issues (responsible personnel within CAs, NGOs, Private sector) conducted

A networking mechanism for cooperation and information exchange among CAs, NGOs, private sector etc. developed

C. An operational system for monitoring of environmental effects and enforcement on biosafety is in place by 2009

Three 2-days training workshops for 15 Inspectors from each CAs, 40 Custom officers and 20 Judiciary officials (dispute settlement, handling of court cases and enforcement) conducted

One of the potential laboratories into a centre of excellence for R&D on biosafety upgraded

Equipment for detection of GMOs (see Activity A1 (c)) purchased

GMO testing protocol developed

Two, 5-days training workshops for 8 laboratory technicians from each CAs for GMO detection conducted

On-the-job training provided to officials from different authorities with real case studies to make sure that the system for handling requests is functioning

Guidelines for monitoring (in cooperation with sector ministries) environmental effects developed
 Guidelines and rules for emergency cases (including remediation) and TORs for responsible persons developed
 Training for emergency operations for all principal actors (including high ranking officials – see risk management) provided
 An updated inventory of emergency equipment and replacement/procurement of any additional requirements maintained
 Emergency response procedures for NBF and Competent Authorities established
 D. A functional national system for promoting public awareness and involvement in biosafety decision-making is in place by 2009
 Government agency/responsible institutions for managing public awareness and education campaigns relating to Biosafety identified
 Surveys for public opinion carried out
 Public debates to create awareness organized
 Public education and involvement plan prepared
 Outreach material (e.g. leaflets, Newsletter, Biosafety website) developed and disseminated
 Three 2-day awareness raising workshops for parliamentarians, media, NGOs and other stakeholders conducted
 Public debates (biannual) and meetings (biannual), including educational competitions (annually) or events (annually) organized
 Entry points for public participation in decision-making on GMOs identified and institutionalized
 Institution/agency specializing in developing and delivering public service campaign identified
 National website for dissemination of biosafety information established and updated regularly

Mauritius

A. A fully functional and responsive regulatory regime in line with CP and national needs exists
 Implementing regulations needed to make the GMO Law fully operational drafted and submitted to concerned Ministries
 35 policy makers, lawyers, Senior Government Officers, scientists, National Biosafety Committee members, University of Mauritius staff trained on the implementation of GMO Law and the Cartagena Protocol
 B. A functional national system for handling request, performing risk assessment, decision-making, performing administrative tasks, handling, storing and exchanging information in line with the BCH requirements is in place
 Technical guidelines on the handling of requests, transport, labelling of GMOs are finalised
 35 persons from the Ministry of Agriculture, Food Technology and Natural Resources, Ministry of Environment, Ministry of Health and Quality of Life, Ministry of International Trade, State Law Office, Custom Departments, Research Organizations and University staff Workshop trained on procedures for the handling of applications for release of GMOs into the environment
 10 officers/technical staff trained on risk assessment/risk management (two one-week training courses for 10 officers/technical staff)
 10 officers/technical staff trained on handling, transport and packaging of GMOs
 Application forms for LMOs permit available on the website
 Operational manuals for regulators on handling requests, namely written procedures on administrative processing, risk assessment and decision making prepared
 C. A functional national system for “follow-up”, namely monitoring of environmental effects and inspections is in place
 Guidelines/Procedures on monitoring prepared
 10 officers /inspectors/technical staff trained in LMOs testing and monitoring carried out (two one-week training courses)
 Laboratory facilities adequately equipped for detection of GMOs
 D. Mauritius has a functional national system for public awareness and participation
 50 persons from the general public, media, NGOs, journalists, policy makers, and scientists and NGO representatives trained on “Public awareness and participation in the NBF of Mauritius”
 Outreach material for main users developed and published
 Lessons learnt and best practices documented and shared

Tunisia

A. Biosafety is integrated into the national biotechnology strategy of Tunisia
 Two preparatory workshops to consult main stakeholders, collect views and identify salient points to develop a biotech/biosafety strategy are carried out
 Biotech/biosafety strategy drafted
 A workshop on the drafted strategy is carried out
 The strategy is agreed upon and submitted for approval
 B. A fully operational and responsive regulatory regime in line with existing national laws and other international obligations is in place
 Two workshops for decision-makers to create awareness and to accelerate approval of the two draft Laws in Parliament are carried out
 Review and final adoption of the biosafety regulatory regime
 Identification of priority actions needed to implement the regulatory regime is carried out
 Workshops for decision makers on identified priority actions
 Training guides on the National Biosafety Regulatory Regime are prepared
 Two training courses for legal and administrative staff on the interpretation and operation of the new National Biosafety Regime are carried out
 C. An efficient national system for handling requests and decision-making is in place
 Methodologies for RA/RM of LMOs are drafted and finalized
 Statutory forms for applications or requests, including a review of the utility of these forms by selected experts carried out
 Statutory forms are finalized and in use
 Two workshops on risk assessment and risk management for members of the Commission for Biosafety and other administrative personnel carried out
 Training guides on handling applications prepared and in use
 D. An effective national system for follow-up activities, namely monitoring, inspections and enforcement is in place
 Methodologies for monitoring of environmental effects developed, finalized and in use

Enforcement actions required for handling, transport, use, transit and release of LMOs developed, finalized and in use
 Existing laboratories for LMO detection are equipped and certified
 Two sets of training guides for monitoring and enforcement respectively are developed, finalized and in use
 Two intensive courses for technicians to enable them to carry out laboratory inspections carried out
 Two 4-day training workshops for inspectors and custom officials on LMOs identification carried out
 An overseas study tour for inspectors and officers to counterpart agencies experienced in monitoring, inspection an enforcement activities carried out
 E. An active national system for public awareness and participation is in place
 Plans for public participation, awareness, education on biosafety and safe use of biotechnologies developed, finalized and implemented
 Education materials on biosafety prepared
 Public awareness raised via mass media
 Homepage on biosafety created
 Standards for producing and validating data related to LMOs to be entered in the national biosafety homepage developed
 A training guide on public information and participation produced
 A series of special workshops designed for different target audience such as government officials, journalists, scientists, NGO representatives and members of the public conducted
 A series of training workshops for stakeholders, including the public, on public participation in the implementation of the Tunisian NBF carried out
 Lessons learned and best practices identified, shared and disseminated
 Source: project documents

4. Executing Arrangements

8. The **Implementing Agency** for the three projects was the United Nations Environment Programme (UNEP). In this capacity, UNEP had overall responsibility for the implementation of the projects, project oversight, technical support and co-ordination with other GEF projects.

9. The Division of Environment (DoE) in Tanzania, the Food and Agricultural Research Council in Mauritius and the Division of Environment and Quality of Life in Tunisia were appointed **National Executing Agencies**. All three agencies are also the National Focal Points (NFP) to the Cartagena Protocol on Biosafety. The NEAs were responsible for the management of the project, ensuring that the objectives and activities would be realised. The NEA was also responsible to establish a National Coordinating Committee (NCC), appoint a full time National Project Coordinator (NPC) and to provide the necessary scientific, technical, financial and administrative support to the work of the NCC, working in close co-operation with relevant government agencies, the scientific community and the public and private sectors.

10. The **National Project Coordinator** was to be responsible for the overall co-ordination, management and supervision of all aspects of the National Project. He/she had to report to the National Co-ordinating Committee and UNEP, and liaise closely with the chair and members of the National Coordinating Committee and National Executing Agency in order to coordinate the work plan for the National Project. He/she was responsible for all substantive, managerial and financial reports from the National Project. He/she had to provide overall supervision for any staff in the NBF Team as well as guiding and supervising all other staff appointed for the execution of the various National Project components.

11. The **National Co-ordinating Committee** (NCC) was established by the National Executing Agency (NEA) to advise and guide the implementation of the National Biosafety Framework. This committee should have included representations of all government agencies with mandates relevant to the Cartagena Protocol on Biosafety and representations from the private and public sectors. This Committee was intended to be multi-disciplinary and multi-sectoral in fields relevant to the Cartagena Protocol on Biosafety.

Project Cost and Financing

12. The three projects fall in the Middle-size Project (MSP) category. They were expected to mobilize \$614,300 (Tanzania), \$207,900 (Mauritius) and \$919,260 (Tunisia) in co-financing, mostly from government sources. The estimated projects costs at design stage and associated funding sources are presented in Table 4, 5 and 6.

Table 4. Estimated project cost in Tanzania

Component	GEF (US \$)	Government in-kind (US \$)	Total (US \$)
Regulatory regime	110,000	76,000	186,000
Handling requests	102,500	87,500	190,000
Systems for follow up (Monitoring and evaluation)	252,000	303,000	555,000
Public education, awareness and participation	84,000	75,000	159,000
Project management and coordination	158,800	72,800	231,600
Technical support	70,000	0	70,000
TOTAL	777,300	614,300	1,391,600

Table 5. Estimated project cost in Mauritius

Component	GEF (US \$)	Government (US \$)	Total (UD \$)
Regulatory regime	18,000	12,000	30,000

Handling applications	63,000	27,100	90,100
Monitoring for environmental effects and Inspection	95,000	37,000	132,000
Public awareness and participation	27,000	9,500	36,500
Project coordination and management	124,800	102,300	227,100
Consultancy (regulations, operational manuals guidelines, etc)	30,000	20,000	50,000
Technical support	70,000		70,000
TOTAL	427,800	207,900	635,700

Table 6. Estimated project cost in Tunisia

Component	GEF (US \$)	Government (US \$)	Total (UD \$)
Biosafety strategy	34,300	15,000	49,300
Regulatory regime	59,600	30,000	89,600
Handling applications	71,600	22,000	93,600
Monitoring and Inspection	352,100	565,500	917,600
Public participation and information	76,500	71,000	147,500
Project coordination	96,800	200,760	297,560
Technical support	70,000		70,000
Other project support	88,000	15,000	103,000
TOTAL	848,900	919,260	1,768,160

Implementation Issues

13. The Mid Term Reviews (MTRs) were originally scheduled for April in Mauritius, and June 2009 in Tunisia and Tanzania. In all three cases, internal reviews were carried out by the UNEP Task Manager. The review for Tunisia took place in October 2009 and it concluded that the project should have been put on a higher priority by Tunisia and that it was important to make an effort to deliver the intended results based on the set time targets. Delays and under-utilisation of funds were identified and a revised work plans developed accordingly. In Mauritius, the review was carried out in May 2009 and it noted that the achievement of the project outputs was possible, except for the adoption of a GMO Act, which was being delayed. Several recommendations were issued to try to achieve the adoption of the act within the original time frame of 2010. In Tanzania, the review was carried out in June 2009 and it proposed a revised work plan. It also mentioned that the network of centres of excellence was going to be extremely dependent on the commitment of Government and the designated institutions to provide technical support to regulatory decisions, which seemed to emerge as a crucial point for the long term sustainability of the project outcomes.

14. All the projects suffered delays ranging from one year in Mauritius to almost four in Tunisia. In some cases, this seems to have been partially due to causes of force majeure, including, for example, major flooding in Tanzania, which delayed the procurement process through UNDP by approximately nine months. In Tunisia, the Arab Spring seems to have played a role in the delay of the project delivery. In any case, it seems relevant for the evaluations to carefully consider the full range of reasons and whether any actions could have been taken by UNEP and the national partners to avoid protracted delays. This is especially relevant for Tunisia as the project suffered significant delays.

15. In Tanzania, several outputs were not delivered and a number of reasons are mentioned throughout the PIR reports and final reports, which seem to justify this outcome. These include budgetary constraints, non-alignment with national priorities and the fact that certain issues were in fact already covered by the existing legislation and by a parallel national project, the Environment Management Law Support program, and by other bilateral biosafety projects, including the USAID funded Program for Biosafety Systems. Tunisia and Mauritius seems to have been able to deliver most of the required outputs. However, it was noted in the last available PIR report that the regulatory framework had still not been adopted in Tunisia, probably due to a lack of political will. Equally, at the time of the final report, Mauritius did not seem to have established a Biosafety Office. The evaluations should therefore pay careful attention not only to the delivery of outputs, but also to the likelihood of long term sustainability and institutional change. It should also look at whether the project design correctly identified the needs and priority for action.

TERMS OF REFERENCE FOR THE EVALUATIONS

Objective and Scope of the Evaluation

16. In line with the UNEP Evaluation Policy, the UNEP Evaluation Manual and the Guidelines for GEF Agencies in Conducting Terminal Evaluations, the Terminal Evaluations of the Projects “Support for Implementation of the National Biosafety Framework for Tanzania”, “Support for the Implementation of the National Biosafety Framework for Mauritius”, “Support for Implementation of the National Biosafety Framework for Tunisia” will be undertaken upon completion of the project (Tanzania, Mauritius) or immediately before the completion of the project (Tunisia) to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluations have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and their executing partners – the National Executing Agencies and the national partners in particular. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the projects’ expected outcomes, which may be expanded by the consultants as deemed appropriate:

To what extent were the projects able to support Tanzania, Mauritius and Tunisia in establishing a national biosafety framework in accordance with national development priorities and international obligations?

To what extent were the projects able to assist Tanzania, Mauritius and Tunisia to establish and consolidate a fully functional and responsive regulatory regime in line with the Cartagena Protocol and national needs and priorities?

To what extent were the projects able to assist Tanzania, Mauritius and Tunisia to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making and performing administrative tasks?

To what extent were the projects able to assist Tanzania, Mauritius and Tunisia to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement?

To what extent were the projects able to assist Tanzania, Mauritius and Tunisia to establish and consolidate a functional national system for public awareness, education, participation and access to information?

Overall Approach and Methods

The Terminal Evaluations of the Projects “Support for Implementation of the National Biosafety Framework for Tanzania”, “Support for the Implementation of the National Biosafety Framework for Mauritius”, “Support for Implementation of the National Biosafety Framework for Tunisia” will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP Task Manager (Nairobi), and the UNEP Fund Management Officer at UNEP/DEPI (Nairobi). They will be in-depth evaluations using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts.

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

A **desk review** of project documents and others including, but not limited to:

Relevant background documentation, inter alia UNEP and GEF-3 policies, strategies and programmes pertaining to biosafety at the time of the project’s approval;

Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;

Project reports such as progress and financial reports from the executing partners; National Coordination Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence;

Documentation related to project outputs;

Relevant material published, e.g. in journals and books

Interviews with:

UNEP Task Manager and Fund Management Officer and other relevant staff in UNEP as necessary;

Interviews with project management, National Coordination Committee and key partners to the extent possible;

Stakeholders involved with this project, including NGOs, private sector, academia, national organizations and institutes, including National Competent Authorities, regional and international organizations and civil society representatives, including rural communities to the extent possible;

Relevant staff of GEF Secretariat and

Representatives of the government and other organisations (if deemed necessary by the consultant).

Country visits. The evaluation consultant will schedule a visit to each country to interview relevant stakeholders and the project team. To the extent possible, the visits should take place back to back to limit the amount of travel required.

Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

The evaluation will assess the project with respect to a **minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

Ratings. All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

In attempting to attribute any outcomes and impacts to the project, the evaluator should consider the difference between *what has happened with and what would have happened without the project*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

As these are terminal evaluations, particular attention should be given to learning from the experience. Therefore, the “*Why?*” question should be at front of the consultant’s minds all through the evaluation exercise. This means that the consultant needs to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “*why things happened*” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “*where things stand*” today.

Evaluation criteria

Strategic relevance

The evaluations will assess, in retrospect, whether the projects’ objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the GEF Biodiversity focal area, strategic priorities and operational programme(s).

The evaluations will also assess whether the projects’ objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

Achievement of Outputs

The evaluation will assess, for each component, the project’s success in producing the programmed results as presented in Table 3 above, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the projects in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project objectives).

Effectiveness: Attainment of Objectives and Planned Results

The evaluations will assess the extent to which the project’s objectives were effectively achieved or are expected to be achieved.

The evaluations will reconstruct the Theory of Change (ToC) of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control).

The assessment of effectiveness will be structured in three sub-sections:

Evaluation of the **achievement of direct outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs.

Assessment of the **likelihood of impact** using a *Review of Outcomes to Impacts* (ROtI) approach as summarized in Annex 8 of the TORs.

Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the project’s direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.

Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project’s own results statements as presented in original logframe and any later versions of the logframe. This sub-section will refer back where applicable to sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project’s success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

Sustainability and replication

Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability.

Four aspects of sustainability will be addressed:

Socio-political sustainability. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? To what extent was the project able to reach out to the stakeholders identified in the design phase (academia, private sector, civil society including rural communities etc)?

Financial resources. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?

Institutional framework. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies,

sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?

Environmental sustainability. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

Catalytic role and replication. The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

catalyzed behavioural changes in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at national and regional level;

provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;

contributed to *policy changes* (on paper and in implementation of policy);

contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;

created opportunities for particular individuals or institutions (“*champions*”) to catalyze change (without which the project would not have achieved all of its results).

Replication, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluations will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

The evaluations will assess the cost-effectiveness and timeliness of project execution. They will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its programmed budget and (extended) time. They will also analyse how delays have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the projects will be compared with that of other similar interventions and to each other’s. The evaluations will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency, all within the context of project execution.

The projects suffered from moderate to significant delays. To what extent were the projects efficiently managed and what lessons can be learnt for future projects? To what extent did these challenges have an impact on the delivery of project outcomes and the achievement of the project objective?

Factors and processes affecting project performance

Preparation and readiness. This criterion focusses on the quality of project design and preparation. Were project stakeholders adequately identified? Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed? Were sufficient components integrated into the project design to ensure the obtaining of commitment of government representatives? Were sufficient provisions integrated into project design to minimise delays in implementation? Were the projects designed with the needs of the countries in mind and to what extent were they aligned to national priorities?

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

Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?

Evaluate the effectiveness and efficiency of project management by the National Executing Agencies and how well the management was able to adapt to changes during the life of the project.

Assess the role and performance of the units and committees established and the project execution arrangements at all levels.

Assess the extent to which project management, as well as national partners, responded to direction and guidance provided by the National Coordination Committee and UNEP supervision recommendations.

Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems. How did the relationship between the project management team and the national coordinators develop?

Assess the extent to which MTR recommendations were followed in a timely manner.

Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

Stakeholder participation and public awareness. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The TOC analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and outcomes to impact. The assessments will look at three related and often overlapping processes: (1) information dissemination

between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluations will specifically assess:

the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project?

the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;

how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders in decision making.

Country ownership and driven-ness. The evaluation will assess the performance of national partners involved in the project, as relevant: In how far has the national partner assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project and the timeliness of provision of counter-part funding to project activities?

To what extent has the national and regional political and institutional framework been conducive to project performance?

How responsive were the national partners to the National Executing Agencies coordination and guidance, and to UNEP supervision?

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

Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;

Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;

Present to what extent co-financing has materialized as expected at project approval (see Table 1, 4, 5 and 6). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluations will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).

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

Analyse the effects on project performance of irregularities (if any) in procurement, use of financial resources and human resource management, and the measures taken by the National Executing Agencies or UNEP to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

UNEP supervision and backstopping. The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

The adequacy of project supervision plans, inputs and processes;

The emphasis given to outcome monitoring (results-based project management);

The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);

The quality of documentation of project supervision activities; and

Financial, administrative and other fiduciary aspects of project implementation supervision.

Monitoring and evaluation. The evaluations will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document.

The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

M&E Design. Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:

Quality of the project logframe (original and possible updates) as a planning and monitoring instrument; analyse, compare and verify correspondence between the original logframe in the Project Document, possible revised logframes and the logframe used in Project Implementation Review reports to report progress towards achieving project objectives;

SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?

Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?

Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?

Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?

Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

M&E Plan Implementation. The evaluation will verify that:
the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

Use of GEF Tracking Tools. These are portfolio monitoring tools intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool to meet its unique needs. Agencies are requested to fill out these forms at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tool for this project, and whether the information provided is accurate.

Complementarities with UNEP strategies and programmes

UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluations should present a brief narrative on the following issues:

Linkage to UNEP's Expected Accomplishments and POW 2008-2009, 2010-2011 and 2012-2013. The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ToC/ROI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS) would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.

Alignment with the Bali Strategic Plan (BSP). The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

Gender. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?

South-South Cooperation. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

The Consultants' Team

For this evaluation, the evaluation team will consist of one consultant. The consultant should have experience in project evaluation. A Master's degree or higher in the area of environmental sciences or a related field and at least 15 years' experience in environmental management, with a preference for specific expertise in the area of biosafety and biodiversity is required. Fluency in French is necessary.

By undersigning the service contract with UNEP/UNON, the consultants certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

The evaluation consultant will prepare an evaluation for each country. The evaluator will start by preparing three **inception reports** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

The review of design quality will cover the following aspects (see Annex 9 for the detailed project design assessment matrix):

Strategic relevance of the project

Preparation and readiness (see paragraph 25);

Financial planning (see paragraph 30);

M&E design (see paragraph 33(a));

Complementarities with UNEP strategies and programmes (see paragraph 34);

Sustainability considerations and measures planned to promote replication and upscaling (see paragraph 23).

The inception reports will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.

The inception reports will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

The inception reports will be submitted for review and approval by the Evaluation Office before the evaluation team travels to the field.

The main evaluation reports should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The evaluator will deliver high quality reports in English by the end of the assignment. The team will also provide the executive summary and the conclusions, lessons learned and recommendations section in French or the Tunisia project. The reports will follow the

annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The reports will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The reports should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the reports, the author will use numbered paragraphs and make cross-references where possible.

Review of the draft evaluation reports. The evaluation consultant will submit the zero draft reports latest two weeks after conducting the field visits to the UNEP EO and revise the drafts following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft reports with the UNEP Task Manager, who will ensure that the report does not contain any blatant factual errors. The UNEP Task Manager will then forward the first draft report to the other project stakeholders, in particular the national partners, for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report.

The evaluation consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The consultant will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

Submission of the final Terminal Evaluation report. The final report shall be submitted by email to the Head of the Evaluation Office, who will share the report with the Director, UNEP/GEF Coordination Office and the UNEP/DEPI Task Manager. The Evaluation Office will also transmit the final report to the GEF Evaluation Office.

The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

As per usual practice, the UNEP EO will prepare a **quality assessment** of the first draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 4. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings are the final ratings that will be submitted to the GEF Office of Evaluation.

Logistical arrangement

This Terminal Evaluation will be undertaken by an independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize field visits (if any), and any other logistical matters related to the assignment. The UNEP Task Manager and local partners will, where possible, provide logistical support (introductions, meetings, transport etc.) for the country visit, allowing the consultants to conduct the evaluation as efficiently and independently as possible.

Schedule of the evaluation (tentative)

Activity	Date (s)
Start of the evaluation	29 June 2014
Inception reports	25 July 2014
Comments from Evaluation Office	8 August 2014
Field visits	11– 22 August 2014
Zero Draft reports	26 September 2014
Comments from Evaluation Office	10 October 2014
First draft reports	17 October 2014
Comments from stakeholders	31 October 2014
Final reports	15 November 2014

The consultant will be hired under an individual Special Service Agreement (SSA). There are two options for contract and payment: lumpsum or “fees only”.

Lumpsum: The contract covers both fees and expenses such as travel, per diem (DSA) and incidental expenses which are estimated in advance. The consultants will receive an initial payment covering estimated expenses upon signature of the contract.

Fee only: The contract stipulates consultant fees only. Air tickets will be purchased by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The payment schedule for the consultant will be linked to the acceptance of the key evaluation deliverables by the Evaluation Office:

Final inception report: 20 percent of agreed total fee

First draft main evaluation report: 40 percent of agreed total fee

Final main evaluation report: 40 percent of agreed total fee

If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Submission of the final evaluation report:

The final report shall be submitted by email to:

Mr. Michael Spilsbury, Chief

UNEP Evaluation Office

Email: michael.spilsbury@unep.org

The Head of Evaluation will share the report with the following persons:

Brennan Van Dyke

Director

UNEP/ GEF Coordination Office

Email: brennan.vandyke@unep.org

Shakira Khawaja

UNEP/DEPI Fund Management Officer

Email: shakira.khawaja@unep.org

Alex Owusu Biney

Task Manager

UNEP/DEPI

Email: alex.owusu-biney@unep.org

The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy.

2. Chronogramme of the Evaluation and list of people met

2.1 Chronogramme of the field visits

<i>Date</i>	<i>Place</i>	<i>Activities</i>
29/7/2014	Home based	Interview of UNEP task manager
3/8	Travel to Dar es Salaam	
4/8	Dar es Salaam	Briefing at Division of environment Thomas Bwana and O. Kamukuru BS focal point, M. Ndebelamatwi, finance officer, Division of environment Meeting with Godwin D. Ndossi Hubert Kairuki Memorial University; Ms Margaret Komba, Ministry of Communication, Science and technology, Mr George Kafumu, Ministry of Environment Acting ADEC; Mr Julius Ningu, Director of Environment
5/8	Dar es Salaam	Meeting with Mugassa S. T. Rubindamayugi, Mr Monloka lab scientist, Ms Eva, Department of molecular biology and biotechnology, UoDES; Mr Alois Kullaya, Mr Emmarold E. Mneney, Mikacheni agricultural research institute; Mr Nicholas Nyange, Tanzania commission for science and technology; Abdallah Ramadhani, Tanzania organic agriculture movement (TOAM), Alliance for Biodiversity Tabio (TABT)
6/8	Travel from Dar es Salaam	

2.2 List of people met

	<i>Surname</i>	<i>name</i>	<i>organization</i>	<i>task</i>	<i>Email</i>
Mr	Bwana	Thomas	Division of Environment	Principal Environment Officer	tbwana2000@yahoo.com
Dr	Kullaya	Alois K.	Ministry of Agriculture, Food Security and Cooperatives, Mikochei Agricultural Research Institute	Principal Agricultural Research Officer, WEMA Country Coordinator	akkullaya@yahoo.co.uk , akullaya@mari.or.tz
Ms	Makwaia	Esther	Division of Environment	Biodiversity and Natural Habitat Conservation	esther_makwaia@hotmail.com
Mr	Mayanga	Kamukuru O.	Division of Environment	Principal Environment Officer	okamukuru@yahoo.com
Dr	Mneney	Emmarold E.	Cashew biotechnology department, MARI	research scientist, biotechnology	emneney@gmail.com , cbu@mari.or.tz
Prof	Mtui	Godliving			gmtui@amu.udsm.ac.tz
Ms	Ndebelamatwi	Margareth	Division of Environment	Finance Officer	margarethnaima@gmail.com ; margarethrichard@yahoo.com
Prof	Ndossi	Godwin D.	Hubert Kairuki memorial university, 322 regent estate Dar es Salaam	deputy vice chancellor, finance, planning & administration	gndossi2@yahoo.co.uk ,
Dr	Ningu	Julius	Vice president's Office Division of Environment Luthuli Street, P.O.Box 5380, Dar es Salaam, Tanzania	Director, Division of Environment	jkningu@yahoo.com
Mr	Nyange	Nicholas	Tanzania commission for science and technology	chief research officer	nnyange@costech.or.tz

Mr	Ramadhani	Abdallah	Tanzania organic agriculture movement	Tabio coordinator	tabiosecretariat@gmail.com, mkindee@yahoo.com
Mr	Rubindamayugi	Mugassa S.T.	University of Dar es salaam, Department of molecular biology and biotechnology	senior lecturer	mugassa@udsm.ac.tz, mugassa@yahoo.com

3. Synthesis of the Interviews

Date	29/8/2014 h. 17 00 – 17 40	4/9/2014 h. 10 00 - 11 00	3/9/2014 h. 11 30 - 12 30	3/9/2014 h. 13 00 - 14 15
People / organization	Alex Owusu-Biney, UNEP projects coordinator (skype interview)	T. Buana, O. Kamukru, M. Richard, finance officer, Division of environment	Godwin D. Ndossi, deputy vice chancellor, Hubert Kairuki memorial university, BSC member	Margaret Komba, Ministry of communication science and technology, Science and technological development Assistant director, BSC member
Context				
Threats to human health and biodiversity	Both Mauritius and Tunisia took part in the GEF Pilot Biosafety project managed by UNEP. The project was focused on stocktaking and inventory of biotechnology and biosafety status. For Mauritius a major outcome was the Biosafety Act (GMO Act 2004) and Tunisia a biosafety policy/draft law. – Pilot phase was for 18 countries - www.unep.org/biosafety/Pilot_project.aspx . Tanzania from Global development project to implementation – Outcome a final draft National Biosafety Framework with an Environment Management Plan which recommends the development of specific biosafety regulation. www.unep.org/biosafety/Development_Projects.aspx . The current projects for all the three countries are follow up implementation projects to the earlier interventions	GMO can transbound from neighboring countries; all sectors included in the national NBF	Statistics inexistent, a few people use insulin, mass diffusion of GMO drugs could be more risky, several drugs side effects took years to detect or were detected after improvement in scientific knowledge,	GMO drugs are approved along MoH procedures, established independently from the project and under WHO standards. Yeasts are imported from South Africa
Changes in the natural resource base, benefits in the environment and human living conditions	Each project is to support implementation of the Cartagena Protocol on Biosafety for which the GEF is the financial mechanism to provide funding for capacity building support. The interventions are to support the development of a regulatory framework to support the safe use and transboundary movement of Living Modified Organisms and to manage potential adverse impacts on biodiversity and human health	Weed relatives of wheat can take some GMO such as herbicide resistant genes; to avoid escape to the environment		
Concurrent actions in the Biosafety sector	The three countries had mechanisms in place, Tunisia had policy, the other two had law; Mauritius has developed at laboratory level capacity for development of GMOs and needed capacity to assess risk and detect GMOs and also develop mechanisms to be able to deal with commercial / release of LMO; idem in Tanzania for cotton	BCH project implemented, collaboration with other institutions in capacity building		
Framework				

Policies, strategies and plans in the Biosafety sector	They changed orientation in the three countries and speed up the project; in Tanzania broad environmental law, no regulations, generic law. The project did make specific regulations and set up a network of centers of excellence to provide technical and material support across several key stakeholder institutions including the regulatory agencies, universities and research institutions; in Mauritius some national resources from University, Agriculture and the Sugar Research Institute, to have national laboratory to monitor LMO; Tunisia had capacities strengthened through collaborative support from Agriculture, Environment, Universities and Biotechnology Center in Sfax	Environmental policy was about biodiversity conservation; the environmental act did give to the MoE the task of regulating biosafety; Ministry of science and technology supported the development of a biotechnology policy in 2010, that is under that Ministry; Cartagena protocol did give to WHO GMO standards for drugs. MoH representative is in national BSC; food and drug authority is under the MoH (food is under the Health policy); when dealing with food, there is coordination between agriculture, health, industry, livestock, while environment is coordinating		Harmonization of policy, but implementation stages are different, and level of enforcement are different, Tanzania is strict reliability, while Kenya and Uganda use a looser approach
Institutional commitment and arrangements	Tunisia national gene bank and national reference laboratory and Ministry of Agriculture provided support to the coordination agency, Tanzania through the network of centers of excellence enhanced national commitment to the process in addition to the higher level coordination from the Division of Environment which is under the Office of the Vice President; in Tunisia and Tanzania environment leads the sector, in Mauritius agriculture leads National coordination with support from the University, regulatory institutions and the Sugar Research Institute and national capacities were enhanced in the three countries	BS project coordinator is the biodiversity conservation assistant director, plus 2 assistants committing some staff time on the BSC; the BSC people are the same but for a few changes; it has to be renewed early, as some people have to be replaced	Project addressed right issues through a consultative process, several sectors, regional skills mobilization	She advises the minister about who meets criteria, for EIA. MoE receives application and asks the sector institution for the risk assessment whose report is revised by Ministry of science and technology development; this is submitted to the national BSC and the MoE decides; an independent expert contracted by the applicant did the identification of the GMO; the output is approval, approval with reservation or rejection
Biosafety regulatory framework coordination, mobilization of resources, information exchange	Tanzania centre of excellence capacity development was key achievement. Most of Mauritius key players are in the same compound; close institutions; willingness joined. In Tunisia gene bank and national reference laboratory did lead the process, in addition volunteering support of national experts helped to achieve results at a lower cost. Many changes after the project in the information exchange. All the three countries did participate to the global biosafety clearing house project which supported information exchange	The NBF operations depends on the application of biotechnology, as there is no formally approved GMO crops in the field; research is under way.		
Procedures				
Risk assessment, notifications procedures	Tunisia is still ongoing; in Tanzania the development of these tools was successful; in Mauritius the material developed supported decision making	Training held on risk assessment and scientific advise. These procedures are in place coming through the MoE assistants to the BSC; BSC adviser to risk assess, the MoE decides	Food and Drug authority has lab only in Dar es Salaam	The EIA is performed by the applicant; the EIA is more comprehensive than the Risk assessment; EIA experts are registered, laboratories are accredited

Follow-up / M&E procedures	Monitoring was done at project level and Steering committee level with supervisory follow up and Technical support by UNEP. The project did go through evaluations processes; the monitoring was done through the adoption of guiding tools. M&E plan were implemented in all three countries, in Tanzania some delays due to the death of the national project coordinator and also flooding of the UNDP office who UNEP had requested to facilitate the procurement of equipment	In the regulation drafted there is no specific procedure, for monitoring after environmental release, monitoring is not yet structured as no release up to now	In Dodoma trials on GMO maize hybrids by US seed company; Tanzania seed co. is spill off of the Kenyan one. Develop a kit for rapid test at custom level or doesn't work	They organize training for national BSC members about GMO about the procedure for assessing the GMO. New issues are coming out and need further training, equipment, etc. Indian co. provider of the equipment of laboratory, it took from December to June. They review the documents of the application of hybrid maize trials in Dodoma under the Water efficient maize for Africa project (WEMA project supported by Monsanto) that is trying conventional maize to test the procedure. Prior informed consent not yet applied, no request. prof. Ramjiin Muyenvili, National institute for medical research, drug tests for one month, then doses reduction
Biosafety clearing house mechanism	Embedded, changes are going on, they know how to assess information and share	BCH is not working, it was run with project funds; they are trying to revive it; information uploaded on central biosafety portal at UNEP		
Assets				
Technical facilities / field access	UNEP provided Technical support to the countries; to help them to assess equipment; training in risk assessment, gene detection, administrative systems, Biosafety Decision making and monitoring and enforcement, additional support was client specific. Annual project coordinators meetings was used to create a platform for sharing experiences. Technical facilities are working now; they made requests in areas they wanted support, and they received them	Development of capacity in laboratory and authorities were great; Geographical dimension is oversized with respect to resources: not all stakeholders were reachable, for training and awareness creation; sampling of people from several places, not enough; training health and agriculture, livestock and industry people (medical research institute, food and drug authority, food industry). The FDA laboratory received equipment and training; the Biosafety centre of excellence - they made a need assessment of and provided support -, and the University of Dar es Salaam, and the Zanzibar agricultural research institute.		

Sources of financial resources	Tanzania and Mauritius have laws which provides mechanisms for funding, that has to be practicalized; laboratories have to charge for analyses in the three countries; laws obliged applicants to pay for permits, law also mandates governments to provide budgetary support in addition to grants from within and donor support. As parties to the Cartagena Protocol on Biosafety the countries also have access to support from the GEF	Undp was in charge of procurement, it was late by 2 years, flood destroyed documents that had to be remade; delay in equipment procurement resulted in delay in lab technique training. No problem with Anubis, no problem with procurement documents. Not sure that resources are adequate, as they are also working on other issues		
Human resources and external collaborations	Human resources from countries, from capacity building by UNEP team, from experts (national and international). They can request GEF support and have national programs and other ones (Usaid Program on Biosafety Systems, ABNE and AATF Africa Projects in Tanzania; EU TAEIX project support for Tunisia), aside of GEF and Government support. RAEIN-Africa Biosafety support for Mauritius. Regional collaborations through Sadc, Comesa, EAC in science, biotechnology and biosafety specifically	International collaborations exist by letter, not implemented; they did a MoU with 11 national organizations that make the centre of excellence.	Local capacity to identify GMO not declared is undersized	
Awareness				
Perception by the decision makers' and public opinion	People involved in biotechnology have understanding, general public has different consciousness; there are mechanisms at institutional level for continuous engagement of public opinion in the three countries; documents have been made available through the project to support public awareness interventions	People making opinion in media started to know what is happening with GMO use	Press talks about the GMO but is not always well informed	
Participation by the scientific community	Very satisfactory participation of the broad scientific community, in Mauritius, Tanzania and Tunisia for civil society, farmers, that contributed	Academy involved in the regulations, see also the experience of the Center of excellence		
Project				
Implementing agency role	All three were well positioned, in Mauritius the sugar sector well endowed. They brought stakeholders, talked to high level government in all countries.	Ambitious project, addressing a lot of things in the project, some were outside their reach and were left out; They did achieve what they did expect		Project design is appropriate, in identifying issues and implementing actions
Logframe / indicators	Original projects had proper indicators, they were reviewed and adapted in the three countries to ensure monitoring and evaluation activities are factored into all the project interventions and were used to check the progress, and used in annual meetings for steering them. Final documents in Tunisia not yet finalized, but advance draft available. All three countries had clear logframes with indicators refer to Annex I of the project document. Project activities were adapted to ensure that monitoring of indicators and results were properly assessed and revised where necessary			
Date	3/9/2014 h. 14 45 - 15 00	3/9/2014 h. 15 15 - 15 30	5/9/2014 h. 10 15 - 11 15	5/9/2014 h. 11 30 - 12 00
People / organization	George Kafumu, acting ADEC	Julius Ningu, Director of environment, EA head	Mugassa S. T. Rubindamayugi, senior lecturer, Monloka lab scientist, Eva, lab scientist. UoDeS, Department of molecular biology and biotechnology	Alois Kullaya, principal agricultural research officer, WEMA country coordinator, Mikacheni agricultural research institute
Context				
Threats to human health and biodiversity	Strong challenges. Neighbor countries are very informal			Breeder's rights are protected under their own regime of patents. Farmers don't pack food, they sell it bulk, so packaging labels don't exist. Farmers can recycle seed up to 3 hectares. They want to build a capacity in improving crops with GMO as it is public sector. Bt cotton in Burkina Faso is funded by Monsanto and innovation shared with researchers

Changes in the natural resource base, benefits in the environment and human living conditions			Biotechnology drugs are widespread also in restrictive legislation countries of Europe. The Indian crow is invasive species in Zanzibar	
Concurrent actions in the Biosafety sector				
Framework				
Policies, strategies and plans in the Biosafety sector				
Institutional commitment and arrangements	The framework is there, in the MoE, policy and regulations are ok	Institutional coordination, higher than at the technical level, should be explored	Institutions have no set position on developing biosafety issues	
Biosafety regulatory framework coordination, mobilization of resources, information exchange			Safety by biological hazard needs to be improved	1% OGM in food threshold
Procedures				
Risk assessment, notifications procedures			These facilities don't match certification levels for GMO handling laboratories; the law should make it reality. This lab has not properly been designed to handle biosafety risk. No protection for people working in biotechnology premises exists	
Follow-up / M&E procedures	Monitoring is a fact of time, not immediate results it has to be extended and needs resources	Many borders make difficult the monitoring		
Biosafety clearing house mechanism				
Assets				
Technical facilities / field access			He organized training on biosafety, in charge of a course on such topic; you can have a lab and not resources to run it	
Sources of financial resources				
Human resources and external collaborations				A delegation of 14 Sade countries, and EU delegate, had different position, not on safety, but on political consideration following European approach; it is difficult to enforce.
Awareness				
Perception by the decision makers' and public opinion	People perception on GMO impact on how to manage them increased, but needs results. Terminating technology in seed is seen as a challenge by farmers; common understanding has to be built. Let people be informed, by presenting several viewpoints to several audiences	Concerns are about having a strong monitoring system and have people informed on the GMO technology benefits and costs	Not enough awareness given to the general public	
Date	5/9/2014 h. 12 00 - 12 30	5/9/2014 h. 13 10 - 13 40	5/9/2014 h. 15 30 - 16 00	
People / organization	Emmarold E. Mneney, research scientist biotechnology cashew	Nicholas Nyange, chief research officer, Tanzania commission for science and technology	Abdallah Ramadhani, TABIO coordinator, Tanzania organic agriculture movement (TOAM), Alliance for Biodiversity Tabio (TABT)	

Context			
Threats to human health and biodiversity	If it creates no threats, the GMO technology requires at least 10 years from research to the farm	Local food markets are bulk materials, not dosis or packs. Economic progress will bring more GMO; local production by laboratories in Tanzania is progressing	Organic agriculture movements are active and concerned with terminal genes in improved varieties; they have many organic farmers exporting to Europe; Tanzania cotton board is intending to introduce Bt cotton, as they are Government body they apply for permission; WEMA project is intending to introduce GMO maize from Monsanto; cassava laboratory at MARI is experimenting GMO
Changes in the natural resource base, benefits in the environment and human living conditions	Private can be interested in seed production, not in research	There are applications for research in agriculture, health, etc. Scientists are interested in genetically engineered Bt cotton, research etc. Kenya is producing GMO maize, Malawi and Uganda Bt cotton	Transborder trade is the source of GMO, not local production. Malawi cotton, Zambia cotton banana, Uganda maize GMO; GMO labeling is not required in South Africa and several SADC countries. GMO research stage is over, they are a business. Physicians are seen as party oriented depending on the side they take.
Concurrent actions in the Biosafety sector			
Framework			
Policies, strategies and plans in the Biosafety sector	No supportive policies for private sector investments, no private investments in breeding of crops		
Institutional commitment and arrangements		They participated in the elaboration of the biotechnology policy. Stakeholders' participation is important; the project was people based	They work on environmental protection and human health, advocating for not using GMO, also because it is not good for small farmers; more emphasis on human health
Biosafety regulatory framework coordination, mobilization of resources, information exchange	The regulatory framework does allow the genetic engineering application, they have resources to do it, and to oversee the biotechnology development, and regulate it. Bt cotton technology can now be used here	Transboundary trade is central to the regulations. The regulatory systems is up to the tasks	The regulation is ok, its enforcement is not up to expectation, so there is import of GMO corn flakes from South Africa. Tanzania FDA has to ask MoE permit to be able to authorize. consumers have to be involved in decision making
Procedures			
Risk assessment, notifications procedures	Training of people testing GMO, improved reliance, they have a laboratory for genetic engineers; they can do qualitative and quantitative detection of GMO or transform local varieties. Research on transformation of cassava resistant to virus was authorised by MoE, field trials will require a new authorization	Guidelines and administrative forms were developed; in presence of more trade for consumption more training is required	
Follow-up / M&E procedures			
Biosafety clearing house mechanism			
Assets			
Technical facilities / field access		The BS laboratory has little activity, the national NBC has little resource. Dar es Salaam university labs have less sophisticated laboratory than MARI	
Sources of financial resources			
Human resources and external collaborations	Capacity building very effective, scientists benefitted from training, on risk assessment and risk management for people impacting on legal framework, or that could train other people		
Awareness			

Perception by the decision makers' and public opinion	Awareness was raised, including policy makers	People awareness stimulated through education, to learn about benefits of new technology and of the potential risks was raised from research to administration. GMO market acceptance was raised. Guidelines have to be understood by users through training, printed material, education information	There is consciousness on GMO costs and benefits. They deal with reserachers, local authorities, MoA in with awareness raising on GMO and organic agriculture. Parliament members in Dodoma met in 2013 twice for awareness raising; some bet on development some on protection; they think there is no rush in doing GMO; they also made aware journalists, they also are divided On behalf of the Division of environment they trained farmers in several provinces and some consumers in DeS and other places in 2010 on rhw BS regulation - especially about strict liability -, in total 400 people. They taught consumers about recognition of GMO labeling through Bokomo corn flakes from South Africa. They summarized the GMO regulation to the farmers; and distributed 500 copies of the regulation. Some people are interested in GMO, as it is a very specialist's issue. Awareness raising has to continue
Participation by the scientific community			There is consciousness on GMO costs and benefits. GMO research stage is over, they are a business. Physicians are seen as party oriented depending on the side they take
Project			
Implementing agency role			
Logframe / indicators			

4. Evaluation matrix

Question	Criteria	Indicators		Sources	Answer to the question
		Target	Achievement		
To what extent was the project able to support Tanzania in establishing a national biosafety framework in accordance with national development priorities and international obligations?	Impact	1. Operationalize NBF, Biosafety Regulations and Biosafety Guidelines	National Environmental Policy reviewed; National Environmental Action Plan (NEAP, 2013) including biosafety issues in place	Programme document, PIR, Programme terminal report, Interview of stakeholders	Policy and planning documents were approved and put in place as planned
To what extent was the project able to assist Tanzania to establish and consolidate a fully functional and responsive regulatory regime in line with the Cartagena Protocol and national needs and priorities?	Effectiveness	2. An approved regulatory regime reflecting policies and defining all other NBF components in compliance with CPB and other international obligations fully funded	National Biosafety Guidelines (2007), Environmental Management (Biosafety) Regulations (2009) operational. 8 Biosafety Manuals (2010) elaborated & distributed on: Handling GMOs request/ application, GMOs Detection, Risk Assessment and Risk Management, Confined Field Trials, Socio economic issues for consideration in the decision making process, Contained laboratory GMOs research, GMOs Emergency Measures, Biosafety Inspection of Confined	Programme terminal report, Interview of stakeholders	The regulatory mechanism has been put in place and its procedures are being tested at a pilot level

			Field Trials of GM Plants in Tanzania. NaBS framework document and Biosafety Regulation translated into Swahili.		
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for handling request, perform risk assessment, testing of GMOs, decision-making and performing administrative tasks?	Effectiveness	3. Number of decisions on LMOs release / introduction made as a result of requests	Decision on contained use of GMO in laboratory research for disease resistance authorizing the Agriculture research institute to do the operations with GMO in their laboratory; no request for release of GMO received up to date. Biosafety Inspectors Tool Kit developed (biosafety inspectors use a standard operating procedure for field trials. Tropical pesticides institute of the MoA in charge of phytosanitary inspections including GMO.	Direction of environment, Interviews of stakeholders	The implementation of the procedures for the authorization of GMO release / introduction is at the pilot stage
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for “follow-up”, namely monitoring of environmental effects and enforcement?	Effectiveness	4. Trained people on regulatory regime in place who know how to interpret the Cartagena protocol and what are the compliance rules (practical applicability) 5. Connection to the other countries signatory of the Cartagena protocol via BCH	Training in 2010 (55 people), training in 2012 (28 laboratory technicians) BCH website established but not functioning; participation to 2 regional meetings on biosafety; Long term study on Risk Assessment and Management (MSc) with University of Wales	Direction of environment, Interviews of stakeholders	Capacity building on monitoring GMO was partial, the monitoring mechanism has not yet been deployed country-wide, no GMO laboratory analyses have been requested
To what extent was the project able to assist Tanzania to establish and consolidate a functional national system for public awareness, education, participation and access to information?	Effectiveness	6. Number of public debate, meetings and educational competition on biosafety	Awareness raising workshops: Inception in 2007 (53 people, Competent Authorities), for media in 2008 (36 people), for the regions in 2011 (53 + 54 + 55 people), for judiciary and lawyers in 2012 (45 people), for stakeholders in 2011 (46 people), awareness raising in 2012 (180 people, Competent Authorities, Bureau of standards, policy maker, technical officers, member of parliament Inspectorates, private sector), public dialogue in 2012 (148 people); Surveys for public awareness on biosafety issues in 2012; GMO issues distributed through fliers in environmental public education; disseminates	Programme document, PIR, Programme terminal report, Interview of stakeholders	Awareness raising of the general public, institutions, politicians, the private sector and academy including representatives of the regions was effectively performed

			of Biosafety information at exhibitions (Farmer's day week, Public Service Week, World Environment day, Poverty week, water week etc.)		
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5. Summary co-finance information and a statement of project expenditure by activity

5.1 Project costs by component

Component/sub-component	Estimated cost at design (US\$)	Actual Cost (US\$)	Expenditure ratio (actual/planned)
C1. Regulatory regime	110,000	110,000	100%
C2. Handling requests	102,500	102,500	100%
C3. Systems for follow up (Monitoring and evaluation)	252,000	252,000	100%
C4. Public education, awareness and participation	84,000	84,000	100%
Project management and coordination	158,800	158,800	100%
Technical support	70,000	70,000	100%
TOTAL	777,300	777,300	100%

5.2 Co-financing repartition

Co financing (Type / Source)	IO own Financing (US\$)		Government (US\$)		Other (US\$)		Total (US\$)		Total Disbursed (US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
• Grants	777,300	777,300					777,300	777,300	
• Loans									
• Credits									
• Equity investments									
• In-kind support			614,300	614,300			614,300	614,300	
• Other									
Totals							1,391,600	1,391,600	

6. Quality of project design

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?		Yes, they contribute to strengthening the national environmental governance & international integration	project document
Does the project form a coherent part of a UNEP-approved programme framework?		yes, it is in line with the UNEP medium term strategy	project document, UNEP medium term strategy
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?		yes, the UNEP-GEF project on building capacity on BCH, the UNEP-GEF Project on Development of National Biosafety Frameworks and other UNEP-GEF Biosafety Unit initiatives	project document, UNEP medium term strategy, UNEP-GEF project on building capacity on BCH, the UNEP-GEF Project on Development of NBS framework
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	yes, the sub-region is importing biotechnology innovation and integrating the economic development	project document
	ii) the UNEP mandate and policies at the time of design and implementation?	yes, it fulfills the UNEP mandate to promote and assist the deployment of the CBD / Cartagena protocol	UNEP medium term strategy
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	yes, the economic governance focus area and the biosafety strategy	UNEP medium term strategy
	iv) Stakeholder priorities and needs?	yes, the baseline situation analysis on biotechnology and biosafety in Tanzania (2004) provided inputs for the project design	project document
Overall rating for Relevance			HS
Intended Results and Causality			
Are the objectives realistic?		Yes, the achievement of the immediate objectives is realistic as the project design tackles immediate needs	project document
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?		The project intervention logic is realistic with reference to the achievement of the immediate objectives, following a rational casual pathway, although it gives limited room to the private sector participation	project document
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?		The timeframe is in line with the technical delivery approach of the project but doesn't consider the longer time needed for political decision on critical issues such as the enactment of the regulatory framework; reference to long term impact is provided by the project document but not structured in a comprehensive ToC	project document
Are the activities designed within the project likely to produce their intended results		yes, they converge on the strengthening the NS framework	project document
Are activities appropriate to produce outputs?		yes, they contribute to the implementation of the NBS framework	project document

Are activities appropriate to drive change along the intended causal pathway(s)	yes, they are relevant to the achievement of the project impact and success of the control of LMO release and introduction in the country	project document
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	the project document includes a table of the role and tasks of the stakeholders, although it doesn't establish a structured analysis of their interaction	project document
Overall rating for Intended Results and causality		S
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?	The project management is centered on the national execution agency, without considering the structuring of an ad hoc management unit; counterpart resources are expected to be contributed by it but no work plan for their mobilization exists	project document
Does the project intend to make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	yes, the project is embedded in the lead environmental institution and completes the development of the NBS framework; no reference to sister initiatives by other donors exists in the project document	project document
Overall rating for Efficiency		S
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	the project targets immediate objectives, in order to operationalize the NBS framework; it expects that its benefits will provide resources for sustaining the outcomes / benefits but doesn't include activities to promote the mobilization of private resources and participation in the running of the NBF	project document
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	yes, in a sketchy way, possibly due to the fact that the previous project and initiatives that led to the development of the environmental act and NBF already considered such issues	project document
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	the regulation of NBF and strengthening of the inspection capacities are expected to create the conditions for funding the NBF but no explicit economic approach to accomplish such goal is including the project document	project document
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	yes, the informality of many activities and weak field deployment of the NBF capacities can jeopardise the sustainability of results	project document
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	yes, although incompletely; in fact there is no reference to other donors' initiatives (sector wide approach) and challenges of the informal sector role in trade and innovation delivery	project document

Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	the project concerns the environmental legal framework not direct interventions in the field, although the former has for object the preservation and use of natural resources	project document	
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;	yes, although they are unequal to the size of the challenge and limitation of resources of national authorities; thus it is expected to achieve its immediate objectives	project document
	ii) strategic programmes and plans developed	the project establishes the regulatory framework for BS but doesn't directly deal with the planning of actions in such sector	project document
	iii) assessment, monitoring and management systems established at a national and sub-regional level	yes, the project has a component assisting the establishing of a monitoring framework for LMO release and introduction	project document
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]	yes, the project objective is the strengthening of the institutional framework and its alignment to the international standards promoted by the Cartagena protocol	project document	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?	the project is the output of political decisions; its success is expected to foster such process; awareness raising activities are contributing to create a sensibilized public opinion thus promoting decision making	project document	
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?	the project doesn't specifically include measures supporting financial sustainability as it expects that success will promote political support and greater private investment to biotechnological innovation	project document	
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?	the project delivers its assistance through the national executing agency and creates benefits for a wide range of institutions and individuals thus establishing the conditions for the emergence of champions	project document	
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?	yes, the local coordination mechanism, capacity building and awareness raising actions that strengthen local ownership in mainstreaming the Cartagena protocol	project document	
Overall rating for Sustainability / Replication and Catalytic effects		S	
Risk identification and Social Safeguards			
Are critical risks appropriately addressed?	the risk analysis is very sketchy and doesn't consider those related to the complex political framework in charge of decision making	project document	
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	the project assumptions are properly identified as they are part of the environmental legal framework and NBF already established at the time of the project inception; although the economic dimension of such challenges is not assessed	project document	

Are potentially negative environmental, economic and social impacts of projects identified	negative economic and social impacts are identified but there is no specific analysis of their interaction with the project activities	project document
Overall rating for Risk identification and Social Safeguards		MS
Governance and Supervision Arrangements	The project is supervised by the National focal point for CP and UNEP biosafety unit; the National coordinating committee providing advise and guide to the implementation	project document
Is the project governance model comprehensive, clear and appropriate?	yes, it is embedded in the environmental policy making at the highest level: the project is supervised by the National focal point for CP and UNEP biosafety unit	project document
Are roles and responsibilities clearly defined?	yes, the project document defines the roles and tasks of the stakeholders, the decisions being concentrated in the Implementing agency and national executing agency, while the National Biosafety committee advises the execution by taking into consideration the inputs of the other key stakeholders	project document
Are supervision / oversight arrangements clear and appropriate?	yes, the project hierarchy is directly connected with the policy making level, although such relation is not explicitly structured	project document
Overall rating for Governance and Supervision Arrangements		HS
Management, Execution and Partnership Arrangements		
Have the capacities of partner been adequately assessed?	yes, the project strengthens the partner institutions' capacities following the assessment of the needs for reinforcing the NBF	project document
Are the execution arrangements clear?	yes, the project concentrates decisions in the hands of the key institution that receives inputs from the other ones directly and through the Biosafety coordination committee	project document
Are the roles and responsibilities of internal and external partners properly specified?	the project document Table 1 defines roles and tasks of each partner; but it is not structured as decisions making is concentrated in the hands of the key institution	project document
Overall rating for Management, Execution and Partnership Arrangements		S
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning	yes, the budget, structured along GEF activity based modality, is in line with the execution needs	project document budget plan
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential	the use of resources concentrates on systems for follow up, public participation and project management; in the absence of detailed cost estimates it is difficult to assess cost effectiveness	project document, budget plan
Financial and administrative arrangements including flows of funds are clearly described	yes, the financial and administrative arrangements are in line with the project execution hierarchy	project document, budget plan
Overall rating for Financial Planning / budgeting		HS
Monitoring		

Does the logical framework: I. capture the key elements in the Theory of Change for the project? II. have 'SMART' indicators for outcomes and objectives? III. have appropriate 'means of verification' IV. adequately identify assumptions	the Logframe describes activities and uses indicators related to their execution and immediate effects. They are both internal and external, often qualitative, and in most cases have no numerical target; means of verification are not properly described, assumptions are extensively identified	project document
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	milestones are appropriate while performance indicators are mostly related to immediate outputs	project document
Is there baseline information in relation to key performance indicators?	indicators being mostly qualitative, no baseline data have been collected to monitor them	project document
Has the method for the baseline data collection been explained?	no reference to baseline data collection is planned in the project document	project document
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??	targets values are mostly absent from the Logframe, being mostly qualitative	project document
Has the time frame for monitoring activities been specified?	The M&E plan concentrates on reporting project activities and financial disbursements, no provisions are made for indicator collection	project document
Are the organisational arrangements for project level progress monitoring clearly specified	The UNEP task manager and National coordinating committee are in charge of the monitoring plan	project document
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	no budget allocation exists in the project document concerning monitoring activities	project document
Overall, is the approach to monitoring progress and performance within the project adequate?	by not establishing a structured data collection mechanism the project is unable to collect baseline and progress quantitative indicators systematically	project document
Overall rating for Monitoring		MS
Evaluation		
Is there an adequate plan for evaluation?	evaluation is performed through the project progress reports, mid-term and final evaluation reports; no specific provision exists in the project document about the approach to data collection / survey	project document
Has the time frame for Evaluation activities been specified?	yes, it corresponds to the reporting schedule	project document
Is there an explicit budget provision for mid term review and terminal evaluation?	mid-term review and terminal evaluation are not included in the project budget	project document
Is the budget sufficient?	yes, the budget is adequate to funding the planned activities	budget plan
Overall rating for Evaluation		MS

7. RoTI results score sheet

Results rating of project entitled:		Support for Implementation of the National Biosafety Framework for Tanzania					
		R a t i n g (D - A)		R a t i n g (D - A)		R a t i n g (+)	O v e r a l l
Outputs	Outcomes		Intermediary		Impact (GEBs)		
To have a fully functional and responsive regulatory regime in line with CPB and national needs	Functional and transparent national biosafety framework in place in accordance with national development priorities and international obligations	B	Safe biodiversity conservation, exchange and use	C	Environmental governance at country, regional and global levels is strengthened to address agreed environmental priorities	B	B C
To have fully functional national systems for handling requests		B	Biotechnology innovation in line / contributing to economic development and natural resources conservation	C			
			Biological disaster risk management capacities and tools developed and used	C			

To have a fully functional system for monitoring and enforcement		D	Resources raised to run the NBF	D		
			International collaboration promoting best biotechnology / biosafety practices	B		
To have fully functional systems for: - Public awareness - Public education - Participation - Access to information		B	Society-wide stakeholder's participation in innovation / biosafety debate	B		
			Social acceptance and political consensus on innovation	B		
	Rating justification:		Rating justification:		Rating justification:	
	The project outcome was partly achieved, components convergence being hampered by the lack of resources		Intermediary states are likely to be continued although the project didn't tackle the contribution of the private sector to make sustainable the running of the NBF		The project contributes to the achievement of environmental governance for the safe release and introduction of LMOs. Sustainability is challenged by the limited involvement of the private sector in the coordination mechanisms and resources mobilization	

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9. Brief CVs of the evaluator

Mr *Giorgio V. Brandolini* has received an *MSc in agriculture* at *Milan university*, Italy, in 1986, and specialized in the evaluation of natural resources with *Istituto agronomico per l'oltremare* in Florence in 1991. At the beginning of his career he tackled the development challenges from a rural community, environmental sustainability and technology transfer perspective. He managed field projects fostering rural development and food security in a participatory way. With the time his areas of interest became broader encompassing community development, inclusiveness and local governance in line with the evolution of the development cooperation priorities.

His full time commitment to M&E started with the assessment of the micro-realization programme in the Comoros islands in 2006. His field assignments as an evaluator involved the recruitment of monitors and organization of team work (induction, training and coaching of evaluators and counterparts M&E staff) as well as coordination of field deployment, surveying, data management, statistical processing and presentation of findings and recommendations to stakeholders. In performing these tasks he adopted and innovated M&E strategies and practices developed by UN agencies and other organizations, e.g., by adapting the highly structured WFP approach in structuring the evaluation questions, indicators and survey tools to logistic and cultural constraints (Côte d'Ivoire 2008-09) and by cross-checking sources of information and field data in situations dominated by difficult access to the beneficiaries (Afghanistan 2010-11).

He is active in the formulation of policies and strategies aimed at streamlining environmental issues into development policies and agricultural strategies, in the identification and formulation of strategies and programmes addressing natural resources conservation, non wood forestry product use, food security and community development, and in and in the project cycle management of International biodiversity conservation and forest governance programmes. His field work tackles agro-forestry, natural resources conservation & use, community ownership. He is acquainted with EU Biodiversity Policy as well as with international environmental policies such as REDD+, FLEGT, CBD, Kyoto protocol, CITES, Bern Convention, Ramsar Convention.

Team leader of missions assessing needs and performing participatory M&E of environmental and development programs as well as elaborating environmental profiles of tropical countries rich in biodiversity. He is active in conducting the evaluation of environmental programmes (ex-ante, mid-term, ex-post), as well as the assessment of community dynamics and women participation in the conservation of agricultural biodiversity and traditional knowledge and contribution to household income generation and community governance.

He provides his advice on strategies and design of work plans tackling institutional aspects of agricultural biodiversity conservation and use for the Ministries of Agriculture and Forestry of Afghanistan, Iraq, Eritrea, Kosovo, Peru, etc. his field experience in integrating environmental issues into development policies, strategies and programmes covers Africa, the Middle East, South Asia, Eastern Europe and Latin America.

As a team leader he developed integrated packages of M&E participatory survey and analysis tools intended to expand, diversify and speed up the access to information, by interrogating beneficiaries and other stakeholders, cross-checking their feedback and statistically processing huge amount of data. He developed integrated systems of data collection and verification of data reliability through the cross-checking of project output with the beneficiaries / implementing partners' perception in order to assess the linkages among delivery mechanisms and outcome. He has expanded his M&E approach to include learning and accountability (upstream and downstream) in shaping evaluation strategies. While performing these tasks in challenging contexts he developed a deep understanding of the fundamentals of socio-economic development that he addressed by assembling and managing the diversified expertise of expat / national experts and local field monitors / facilitators working in multidisciplinary teams.

He published on a wide range of topics: project & evaluation methodology agriculture & biodiversity, local economic development & social cohesion, traditional health care & cultural heritage. He has excellent negotiation and communication skills and is accustomed to deal with international donors, Government officials, civil society representatives and community leaders. He is creative and acquainted to swiftly address emerging and hidden issues while working under pressure and across cultural barriers. He is fluent in English, French and Spanish.

10. Comparative analysis of the Tanzanian Biosafety framework with those of Mauritius and Tunisia

This section presents the comparative advantages of the Tanzanian Biosafety framework with those of Mauritius and Tunisia.

The implementation of the NBF has revealed the existence of external and internal conditions that impact on its sustainability. The projects have been designed by the representatives of the institutions involved in the operationalization of the NBF, although participation of high level decision makers has been quite limited. In fact, as a follow up of former initiatives establishing (i.e., elaborating the BS approach) the projects identification gave for granted and paid little attention to:

- the economic development context and linkage with the precautionary principle,
- the political consensus on biosafety and decision makers' commitment to operationalize the NBF,
- private parties willingness to contribute to biosafety decision making processes.

The 4-5 components of the projects addressed key elements of the NBF, but did it mainly at the technical level and, typically, provided inputs to the decision makers but did not strengthen the decision making process. Thus, the awareness raising campaign and strategic documents elaboration/approval had little impact on the people in charge of orientating / directing the NBF in contributing to economic development and natural resources conservation. The substantial absence of private parties from the decision making process – they being key players in creating the activities to be regulated under the NBF - contributed to create a decision making vacuum that here and there hampered the operationalization of the NBF. Further hurdles consisted in the decreasing importance of the agricultural and food sector in Mauritius, the lack of human resources in Tanzania, the integration with / appeal of the import market framework in Tunisia.

The projects were effective in developing strategies, regulatory and technical knowledge, in building capacities, in coordinating institutions – especially the technical ones. Although political support for the frameworks varied from country to country, all projects faced challenges in the orientation of the NBF because they did not attempt to mediate conflicting interests, strengthen political and institutional processes and ensure the mobilization of sufficient resources.

The capacities built face the challenge of being updated and utilized or being lost, especially in Mauritius and Tanzania. The implementation of the NBF is expected to rely heavily on information collection, systematization and sharing. The projects concentrated on the elaboration of regulations and guidelines and gave little space to the development of the ICT tools (software programmes) for sharing information, but in Tunisia where several tools using social media were developed and deployed, including facebook and twitter.

A further challenge is presented by the operationalization of GMO monitoring. As it is expected to be integrated within the ongoing inspection systems, its implementation will face the same hurdles already hampering the reliability of existing systems, for example the great extension of Tanzania and the comparative advantages of NBF services supplied in the import markets.

The mechanisms raising awareness supported by the projects were effective but to a limited extent. The easier to reach stakeholders are now aware of the challenges related to biotechnologies but they represent a small group in the context of public opinion.

The interest of private parties to invest in biotechnology based production and import is crucial for the execution of the BS monitoring procedures. Their willingness to abide to the formal market rules – and specifically the BS regulations – depends on how much this is effective in creating enabling conditions for economic initiatives.

The projects' design took for granted the participation of the private sector and the strength of the decision making processes. Achievements were notable at the technical level but had minimal impact on the economic and political context orienting the NBF over the long term. Such approach hampered the operationalization of the NBF and threatens their sustainability.

The following grid (Table 3) compares the key elements of this analysis through the Strengths – Weaknesses – Opportunities – Threats (SWOT) approach.

SWOT analysis of the projects in Tanzania, Mauritius and Tunisia

<i>Feature</i>	<i>Mauritius</i>	<i>Tanzania</i>	<i>Tunisia</i>
Strengths	Highly qualified professionals resources	High level / effective institutional coordination of the NBF	Highly qualified professionals resources
	Strong connection NBF – academia	Strong connection to Academia through the the Network of the Centers of excellence	Strong connection NBF – academia
	Well established economic / trade monitoring system		Strong skills in GMO detection analysis
	Awareness of the public opinion on Biosafety		Well established economic / trade monitoring system
	Cluster approach to research and development		

Weaknesses	Limited involvement of the private sector	Limited involvement of the private sector	Limited involvement of the private sector
	Sector lead institutional coordination of the NBF	Limited size of the professional pool	Lack of a BS legal framework
	Limited establishment of the BS legal framework	Lack of financial resources	Dispersion of research and development initiatives
	Prevalence of administrative concerns	Weak economic / trade monitoring system	Prevalence of technical concerns
	Limited financial resources	Weak research and development system	Limited contribution of ICT in the running of the NBF
	Limited contribution of ICT in the running of the NBF	Limited contribution of ICT in the running of the NBF	

	Drain of BS capacities by other sectors / activities	Drain of BS capacities by other sectors / activities	
Opportunities	High technology based development	Natural resources based development	High value markets integrated development
	Limited extension of the country	Political consensus on natural resources protection	Value chain of high value products
	Availability of financial resources	Regional integration of development	
Threats	Small scale of the economy	Informal economy	Comparative advantages of NBF services supplied in the import markets
	Decreasing role of agriculture and food in economic development	Large extension of the country	Weak coordination of the economic development

		Technology dependence from neighbor countries	
		Prevalence of low value goods production	

Annex 11: UNEP Evaluation Quality Assessment

Evaluation Title:

Evaluation of the Project: National Biosafety Framework for Mauritius, Tanzania and Tunisia

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

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

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Final report: Summary presents main findings and conclusions		4
B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Project context provided, although some repetitions and overlaps among the three reports had to be eliminated (most notably in cases when the same circumstance could not apply to all three reports) Final report: Improved consistency and flow	3	4
C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	Draft report: Analysis based on information provided by EOU and UNEP TM Final report: Same as above	4	4
D. Achievement of outputs: Does the report present a well-reasoned,	Draft report: Not in detail, only general overview	3	4

	complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Final report: More details added for final version		
E.	Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: ToC was of good quality, good analytical analysis Final report: Same as above	5	5
F.	Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: Yes, although at times difficult to follow in terms of logical sequence and flow, some repetitions in the three reports which were not based on the same conditions Final report: Improved consistency and repetitions eliminated	3	4
G.	Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Partially, sometimes including sections which were not dealing with S and R and needed more accurate substantiation Final report: Sections revised	3	4
H.	Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: Efficiency of the projects was analysed Final report: Same as above	4	4
I.	Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: This section needed major rework, initially it did not present a discussion of all points and in several cases, it presented repetitions from one report to the other without taking into account the differences in background Final report: Eliminated repetitions and improved analysis	2	4
J.	Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Conclusion are ok Final report: Same as above	4	4
K.	Quality and utility of the recommendations: Are recommendations based on explicit	Draft report: R needed work and fine tuning Final report:	3	4

<p>evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?</p>	<p>Improved</p>		
<p>L. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?</p>	<p>Draft report: Lessons needed work and fine tuning Final report: Improved</p>	<p>3</p>	<p>4</p>
<p>Report structure quality criteria</p>			
<p>M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?</p>	<p>Draft report: Repetitions and overlaps between reports required accurate cross-checking and made it sometimes difficult to follow the logical flow, sketchy list of abbreviations, occasional use of the wrong country name Final report: Consistency improved after substantial revision</p>	<p>2</p>	<p>4</p>
<p>N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?</p>	<p>Draft report: Yes good description Final report: Same as above</p>	<p>4</p>	<p>4</p>
<p>O. Quality of writing: Was the report well written? (clear English language and grammar)</p>	<p>Draft report: Writing style needed major editing, many sections convoluted and hard to follow, use of words which do not actually exist and missing verbs etc increased the difficulty or reading the report Final report: After major editing efforts, quality has improved but it is still not excellent</p>	<p>2</p>	<p>3</p>
<p>P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.</p>	<p>Draft report: No numbers of paragraphs Final report: Paragraphs introduced, but layout still not perfect</p>	<p>4</p>	<p>4</p>
<p>OVERALL REPORT QUALITY RATING</p>		<p>3.3</p>	<p>4</p>

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	Yes		4
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?	No, Mauritius projects was terminated years ago, but was not submitted to EOU for evaluation		3
S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?	Yes		4
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?	Yes, R provided to the extent possible considering that some of the projects closed a long time ago		4
U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?	Yes		5
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?	Yes, only minor comments received in all cases		4
W. Participatory approach: Was close communication to the EO and project	Yes		5

maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?			
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?	Yes		5
OVERALL PROCESS RATING			4.375

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.