PHASE 1 TOOLKIT MODULE : TAKING STOCK

CONTENTS



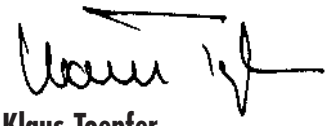
UNEP-GEF Toolkits for the Development of National Biosafety Frameworks

Foreword

On 11 September 2003, the Cartagena Protocol on Biosafety entered into force. Between September 2003 and April 2005, 119 countries have answered this call and have ratified or acceded to the Protocol, one of the fastest ever rates of ratification for any international environmental agreement. This high level of participation has brought with it a high demand for capacity building for effective implementation of the CPB from many countries where the introduction, and safe use, of Living Modified Organisms (LMO) biotechnology is new to both national governments and to the general public. UNEP believes that, for the success of the Cartagena Protocol, it is crucial that countries are assisted in building their capacity to implement the Protocol.

This unprecedented demand for capacity building assistance has presented a challenge to CPB Parties, and for this reason, UNEP welcomed the adoption by the Council of the Global Environment Facility in November 2000 of the GEF Initial Strategy on Biosafety, which aimed to assist countries to be prepared for the coming into force of the Cartagena Protocol. One of the components of the Initial Strategy is the UNEP-GEF global project on the Development of National Biosafety Frameworks. This project started in June 2001 and is assisting over 100 countries to develop a draft for a national biosafety framework.

UNEP, in its capacity as an Implementing Agency of the GEF, has been providing administrative and technical assistance to the countries participating in the Development Project through its team of Regional Coordinators, and through the organization of regional and sub-regional workshops. In addition the UNEP Biosafety Unit has coordinated the production of four toolkits that provide guidance on the main steps in the development of a national biosafety framework. Revised versions of the toolkits, incorporating lessons learned from the early participating countries are presented here in this publication as part of the overall efforts that UNEP is making to the successful implementation of the Cartagena Protocol on Biosafety.



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1. Introduction

1.1 Purpose of this toolkit module

This is the second module of a toolkit that aims to provide a practical "how-to" guide for countries to assist them in developing and implementing a project aimed at developing their draft National Biosafety Frameworks (NBF), under the UNEP-GEF Project on Development of National Biosafety Frameworks. The toolkit is designed to be flexible and is tailored to meet the diverse needs of different countries, allowing them to select those tools and ideas that are most useful to their situation, needs and priorities. The toolkit is divided into four modules, each addressing one of the phases listed in the national project document:

Phase 0 Module the vision (or rationale) of the project design, its guiding principles, and the establishment of institutional and management structures.

Phase 1 Module the instigation of surveys and the preparation of inventories in the different sectors pertaining to biosafety and biotechnology within the country, including their entry into national databases.

Phase 2 Module the identification of stakeholders, and the consultation, analysis, and training activities needed to identify the priorities and parameters for the drafting of the National Biosafety Framework (NBF).

Phase 3 Module the drafting of the NBF including consultation with stakeholders for their endorsement.

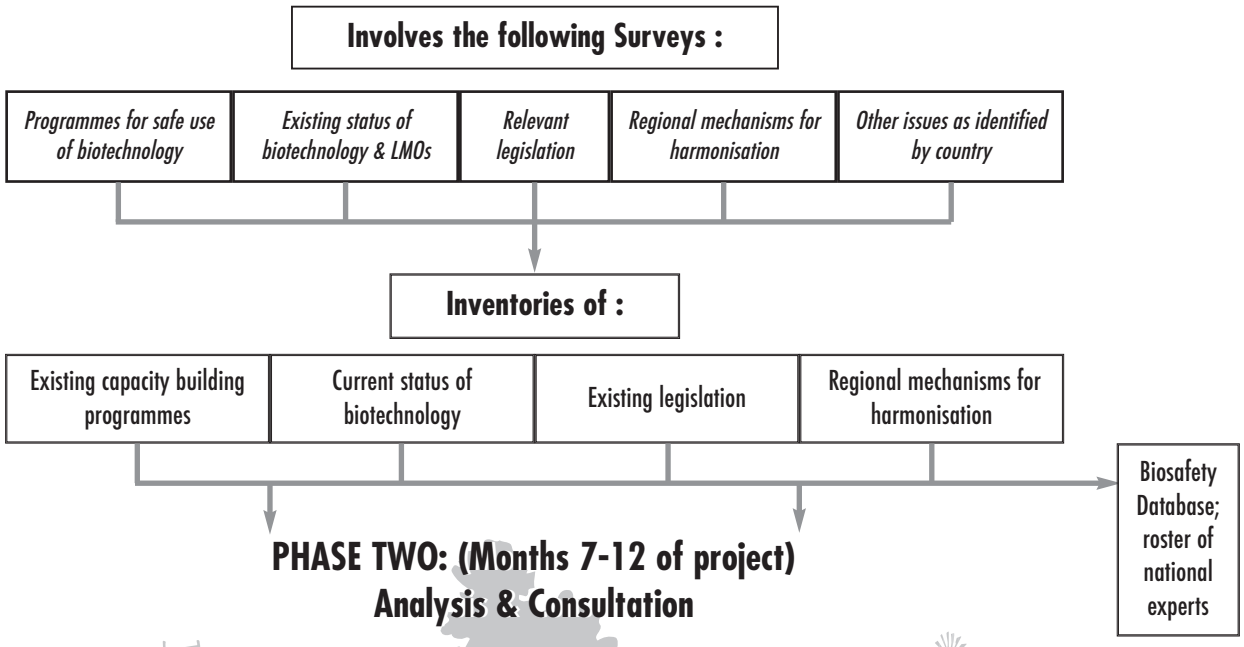
1.2 Using this toolkit module

This module covers Phase 1 of a country's NBF project, and provides guidance on gathering and organising the information necessary for a country to develop its NBF by carrying out surveys and preparing inventories. In this way, the information collected can be made accessible to stakeholders, and can be used effectively in the development of the NBF. The activities in Phase 1 (Figure 1) follow the establishment of the institutional and management structures for the project during Phase 0, and provide the information necessary for the analysis and consultation during Phase 2 of the project.

This module covers the following areas:

- Scope of surveys
- Database design
- Data entry and production of inventories
- Hiring and contracting of surveyors

Figure 1: Gathering and organising Information for the development of NBF



2. Scope of surveys: gathering the necessary information

What is the difference between a Survey and an Inventory

A **Survey** is the systematic process of collection and analysis of qualitative and quantitative information and data, from a number of different sources, to determine the current status of a particular sector, activity, asset, or system. The results of these surveys provide the basis for decision-making on the development of national biosafety frameworks. Surveys are **not just** about collecting statistics! Many of the surveys carried out to collect the necessary information will result in inventories with related comments on areas such as legislation, scientific disciplines available, etc.

An **Inventory** is a way of organising data and information obtained in surveys, either through a simple list or in a more elaborate format. The organisation and storage of this data and information and data needs to be done in a format and a medium that is accessible to all stakeholders, and is clear and understandable to all those that need to have access to that information and data. The information and data will need to be stored in such a way that it is readily available for analysis and synthesis for decision-making on the development of national biosafety frameworks.

2.1 Why does a country need to carry out surveys ?

The **first step** for a country in developing its NBF is to answer the question "Why does the country need a national biosafety framework?". This provides the rationale or national vision for the development of a NBF.

The **second step** for the country to make certain that the framework will be effective in ensuring the safe use of modern biotechnology, is to collect relevant data and information on biotechnology and biosafety, both within the country and possibly in its immediate neighbours. In order to develop legal, administrative, decision-making and public participation systems for biosafety that are relevant and workable, the country will need a comprehensive picture of what scientists, agriculturalists and industrialists are actually doing in areas related to biotechnology and biosafety in the country. They will also need to look at all aspects of federal, national, and local law to see which, if any, systems of law or regulations are relevant to biotechnology or biosafety. These might include an examination of phyto-sanitary systems, alien species, import of controlled substances, transport of goods, etc.
Countries need to focus their efforts on what they **need to know**, rather than on **what would be nice to know**. There must be a reason for collecting the information, and countries will need to focus their efforts on gathering and organising only the information required. The emphasis should be on the actual needs and priorities of the country, and the information needed to develop a national biosafety framework. At the same time, countries will need to keep in mind the obligations and information requirements under the Cartagena Protocol on Biosafety for the biosafety clearing house.

2.2 Who has ownership of information collected during surveys?

Please note that all information collected by countries during the surveys for the NBF project belongs to these countries for use by them in the development of their national biosafety frameworks. The UNEP/GEF Biosafety team for the "Development of National Biosafety Frameworks" project does not require access to this information and has no rights over the ownership of this information, or in seeing or keeping the data.

However, all countries will need to consider national issues about ownership of information and data collected during surveys and inventories. Each country must take into account its national laws governing the use, dissemination, and transfer of data, and rules or regulations on treatment of confidential information. The NPC, NEA and NCC will need to be aware of these laws and regulations in the country, and an important part of the initial survey and inventory should be to look at the collective and institutional responsibility and liability of different parties, within and outside government.

Similarly, countries may have laws and/or regulations etc on freedom of information, privacy, etc that set limits as to what information may be made available and to whom. These laws should be taken into account when the surveys/inventories are carried out. The government will also need to assure informants and organizations about the rights of individuals to possess, or access data and, if necessary, establish controls on sensitive information being made widely available. The issues of openness and transparency on one hand, and confidentiality of information are likely to be debated strongly during public consultations in the development of the NBF.

Countries should also be aware that there might also be international considerations as national laws concerning confidentiality may have implications for interchange of data with other countries.



2.3 What areas should the surveys cover?

In trying to work out the areas that are relevant to the development of a NBF, countries may find the following questions useful:

1. What are you intending to do with any genetically modified organisms in your country?

    - Are you producing transgenic organisms for research?
    - Are you producing transgenic organisms for commercial use?
    - If not, do you intend to produce transgenic organisms?
    - Do you intend to import or are you already importing transgenic organisms?
    - Do you intend to export or are you already exporting transgenic organisms?

2. What is the current state of the biotechnology industry?

3. Are any research institutes working with, or manufacturing, living modified organisms?

4. What are the national priorities in relation to LMOs?

5. Are there existing laws, legal and institutional/administrative systems, local, national and international obligations related to Biosafety, even in a peripheral manner?

    You need to know what is already regulated, as this will allow you to identify any gaps, and to see whether existing laws could be extrapolated and/or amended for use on LMOs. The survey would need to look at all laws that could impact on biosafety, such as trade, environment, agriculture, industry, health, health and safety, regulation of animal usage, food, feed, pesticide and chemicals used in industry or in agriculture. The survey enables you to look for examples of laws of a similar nature on which to base any new national laws if they are required.

    The following may help to further define the scope of the surveys:

    - What government departments (including local government) may have jurisdiction in relation to LMOs?
    - What is the legal system, knowing that a legal system may contain one or more of the following: common law, civil law, mixed system, federal laws and state laws?
    - What are the levels of competence held by different bodies where these may cover areas such as: laws, bylaws, guidelines, regulation, guidance, codes of practice administered at federal, state or regional level?
    - What are the possible range of responsibilities and overlap between different agencies and departments, led, as well as the gaps where there is no, or inadequate, coverage?
    - What are the current or planned environmental laws that could impact on health, trade, agriculture, food, feed, worker protection, etc?
    - Are there other examples of other regulated industries that may be using the technologies in the country such as pesticides, radioactive material, etc.?

6. Have there already been any inventories related to crops or domestic animals and their centres of origin in your country? (Note that information may be available from international treaty on plant genetic resources or other sources)

7. What is the scientific resource base? For all these organizations, a minimum need will be institutional names and addresses. The relevant areas could include:

    (a) Biotechnology research institutions (e.g. traditional biotechnological processes such as fermentation and modern Biotechnology as defined by Cartagena protocol);

    (b) Biotechnology research personnel, technologies and facilities;

    (c) For larger countries: details of scientific societies/associations may assist in assessing the resource base. In some countries that do not have such structures a list of governmental funded projects from different ministries may help in this area. For smaller countries that have a relatively smaller body of scientists, a survey of all scientists may be possible and more helpful.

8. What are the local cultural and agricultural practices with respect to local traditions of seed distribution, seed exchange, storage, etc?

9. Who were the stakeholders identified during Phase 0?

10. What information is there about existing local database and/or inventories?

11. Are there any national/international biotechnology activities and/or programmes?

12. What are the existing information flow mechanisms and/or systems?

13. What are the possible mechanisms for public participation within the country? These could include provision in national legislation, policies, decision-making processes of government agencies, or on a *de facto basis,* for:

    - Public participation and consultation;
    - Consultation between different government agencies on policy development;
    - Interdepartmental working groups to develop policies;
    - Availability of resources for public participation and consultation, such as financial, capacity building, etc.
    - Provision for public participation and consultation in terms of Local government processes and traditional systems of decision-making.

14. What experience is there in public participation and consultation in different areas? These could include:

    - Preparation of national development plans and sustainable development strategies;
    - Preparing reports for international conferences such as UNCED and WSSD, conventions such as biodiversity, climate change, labour, health, human rights, etc;
    - Preparation of other legislation and policies in such as social welfare, employment, health, women's issues, etc; and
    - Poverty reduction strategies.

2.4 What specific information will the surveys collect?

A more detailed list of the initial surveys for each of the three main areas for the production of inventories - Biotechnology/Biosafety, Legislation and ongoing Projects/Activities – is suggested in this section. These lists are the result of consultation with experts and representatives of the countries that participated in the Pilot Phase of the UNEP-GEF Biosafety Project. They help to provide guidance on how to assess the status of a country's resources, and the state of knowledge in the different sectors that will need to be involved in the drafting of a national Biosafety Framework.

Note Several items or categories indicated are already part of the current version of the Pilot Biosafety Clearing-House (see Annex 1). For these items, the 'format' and the so-called 'controlled vocabulary' are provided, in a form consistent with the BCH version, in a different section of this module. Their use is strongly recommended in the collection and storage of the relevant data at national level.

Topic 1 - Biotechnology/Biosafety

Three general categories of surveys are proposed for this specific area:

- Biotechnology
- Conventional Safety
- General Science.

A clear indication of the relevant activities and full contact details would constitute the minimum suggested content for each entry under the following categories:

a. Biotechnology and related experts/expertise

- Existing laboratories and/or Institutions and/or Centre of Excellence working in biosafety and/or biotechnology
- Experts and related expertise
- Active research programmes
- Present use of LMOs in the country (research/trade/contained use/release into the environment)
- Risk assessment and/or risk management
- Molecular biology and genetics

b. Conventional safety and related experts/expertise

- Existing laboratories and/or Institutions
- Experts and related expertise
- Active research programmes
- Systems for quarantine
- Systems for safe import of goods
- Biological safety
- Invasive species
- Weeds
- Alien species
- Noxious pests
- Epidemiology
- Phyto-sanitary measures
- Veterinary safety
- Food safety

c. General science and related experts/expertise

- Existing laboratories/Institutions
- Experts and related expertise
- Active research programmes
- General expertise in biological sciences (plant breeding, microbiology, botany, entomology, etc.)
- General expertise in human sciences (sociology, economy, etc.)



Topic 2 - Legislation

Official references, with adequate explanations to cover the subject area and a short description of the contents would constitute the minimum suggested content for each entry

- Existing legislation/regulation/guidelines on LMOs
- Import/export of living organisms
- Food safety (and human health related issues)
- Plant/animal quarantine
- Pesticide/herbicide use
- Introduction of new species
- Invasive species
- Biodiversity
- Endangered species
- Socio-economic impact
- Intellectual Property Rights (IPR)
- Indigenous people
- National Biosafety Frameworks already existing in the region or about to be implemented
- International obligations that have been incorporated into National Law, or are still to be implemented. The major treaties applicable here include those arising from
- Membership of the World Trade Organisation (WTO) and responsibilities under the General Agreements on Tariffs and Trade (GATT) which cover goods, services and intellectual property.
- The Convention on Biological Diversity,
- Framework Convention on Climate Change,
- Regional Seas Conventions,
- Convention to combat desertification,
- The Vienna Convention and the Montreal Protocol on Ozone,
- Basel Convention on the control of transboundary movements of hazardous wastes and their disposal including the Prior Informed Consent processes for certain hazardous chemicals in International Trade procedures (including the London Guidelines for the exchange of Information on Chemicals in International Trade) and
- The Convention on International Trade in endangered species of wild fauna and flora (CITES)

Topic 3 - Projects/Activities

Name of the project, the agencies involved, the funds allocated or planned to be allocated, the duration of the activity and the contact persons would constitute the minimum suggested contents for each entry

- Existing programmes/activities/opportunities in capacity building related to biotechnology/biosafety
- Existing inventories/collections of species/varieties
- Relevant existing web site
- Relevant donors' programmes
- Relevant NGOs' programmes
- Relevant activities in biodiversity
- Public participation programmes/experiences
- Indigenous people programmes/experiences
- Environmental Impact Assessment programmes/experiences
- Social Impact Assessment programmes/experiences

2.5 How should these surveys be carried out?

Countries will need to look at a number of practical issues before carrying out the surveys.

The **first step** is to identify what expertise or human resources exist in the country for carrying out surveys. Some key points to remember are:

- Countries need to take a creative approach and not just look at biosafety or biotechnology issues – other areas such as the survey and analysis of social issues, agriculture, employment, health, public opinion and politics could offer a number of useful examples of how to carry out surveys and could help identify resources and expertise
- Expertise on surveys within the country could be found in
- Government agencies such as social agencies (health, income, labour, employment, etc), agricultural (e.g. extension)
- Universities and academic institutions
- Private sector firms – marketing, opinion polls, tourism, media
- NGOs – social, environmental
- Find out who has expertise in surveys by looking at
- National development plans – how is the baseline information collected for these and how is it organised and stored?
- Reports for international conventions e.g. National reports for CBD, reports to ILO, Human Rights, rights of the child, WHO, etc.
- Reports done by government agencies or others for government on decision making for social issues, employment, health, agriculture, national statistics, etc

- Preparation of Development projects – baseline surveys for donor projects in agriculture, health, women's issues, social issues, poverty, etc
- Evaluation studies of donor funded projects
- Poverty Reduction Strategies
- NBSAP
- National statistics
- Opinion polls
- Marketing surveys

The **next step** is to look at how this information and data is to be organised into inventories and stored so that it is easily accessible for analysis and decision-making. This requires expertise in the analysis and processing of both qualitative and quantitative information collected in the surveys, and the storage of this information in both physical form and electronic so that it can be easily accessible to both government agencies and other stakeholders.

The same sources, as the above, could guide the country in identifying existing human resources in the country. This is not just the use of databases on computers, although this will be necessary (especially for BCH) but also the physical systems to be used, i.e. old-fashioned filing systems.

Countries that are planning to contract out the work of carrying out the surveys, whether to other government agencies, private consultants, or academic institutions, will need to be aware of contractual issues that they will need to look at. Annex 2 provides some guidance on how such contracts can be prepared.

Although a great deal of data may be collected and is indicated here, only that which could be useful in devising a National Biosafety Framework should be attempted, and 'questions' should only be directed at those who are likely to have the relevant information. Otherwise you may find yourselves swamped with data much of which cannot be used.

It is critically important to decide what is needed, why it is needed, and what it could be used for, before collecting any data.

3. Data entry and production of inventories

The *storage* of data and information collected during surveys is a critical issue, as it will affect both the accessibility of that data and information and how it can be used. It would be best to use. a planned entry form (possibly electronic) on which data and information can be directly organised and stored as soon as they are collected. However, this ideal situation is not always possible and several attempts may be needed before data and information can be stored in a stable location. The advantage of this approach is that the repeated attempts provide an opportunity to modify and better organize the entry form while collecting data.

Although the use of expert professionals to carry out the tasks of collection and storage is strongly recommended, the project managers must have a clear idea of the following:

- **Why does the information need to be collected?**
- **What is the information going to be used for?**
- **How is the information going to be used? and**
- **Who is likely to need access to the information?**

Generally speaking, an electronic database is a good option for storing and accessing data and information, especially when they are needed for multiple uses and users. A directory of the experts in biotechnology/biosafety could be used, for example for identifying an expert in a specific field, to count how many experts are available in a specific region of the country. or to easily send a circular fax/letter/e-mail/newsletter to advise all of them on a specific issue. For flexibility the different components (or fields) of a single data entry (or record) need to be identified. This allows the users to search each field for specific points of interest.



Example:
A very simple expert directory may have the following format where each bullet constitutes a field and all of them define a record

	Main area(s) of expertise:
• Title	
• Name	• .....
• Organization	• .....
• Designation	• .....
• Address	• .....
• City	• .....
• Phone	• .....
• Fax	• .....
• Email	• .....

The importance of separating the data in a record into different fields is evident when this information has to be used to produce inventories. For example, data on expertise in different specialized fields can be used to produce:

a) List of Experts available with a specific expertise;
b) List of Experts available in a particular location within a country;
and/or
c) Labels for invitation to a meeting

In storing the information identified as needed for this project, it could be useful to keep in mind that the inventories produced are likely to be used in Phase 2 of the project (Consultation and Analysis) for discussions with different stakeholders to analyse and identify national resources and expertise, as well as any gaps.

Example:
A theoretical inventory to be presented at a national meeting with scientists, in Phase 2 of the Project, to identify possible lack of expertise in fields related to risk assessment for the environmental release of LMOs:

List of organizations in the country that have scientists with relevant expertise in Risk Assessment:

Expertise ***(Names of Organizations)***	***(Number of Organizations)***	
Botany	12	.....
....., ...		
Microbiology	10	.....
....., ...		
Molecular Biology	4	.....
....., ...		
Immunology	1	.....
....., ...		
Entomology	0	.....
Epidemiology	0	.....
....., ...	.....	

Each of the actors in the project will have an important role to play and these roles need to be clearly understood and differentiated. The role of the National Coordinating Committee (NCC) and National Project Coordinator (NPC) will be to identify the information needs (i.e. the number and types of organisations able to provide a specific expertise in the country). They will need to call upon a different expert to provide the tools that will help them to meet the needs. For example, they would use an expert on surveys to carry out the surveys, and a computer expert to draw up an electronic database on the basis of the information collected. The different experts will need to work together in order to achieve the main goal of this Project to assist countries to develop their National Biosafety Frameworks.

Annex I:
Identification of a possible format for the National Biosafety Database

This Annex contained a formal description of the databases available on the BCH central Portal at the time that Toolkit 1 was produced. Since then, the fully operational version of the BCH has been launched on 27 February 2004 following the first Meeting of the Conference of the Parties serving as the Meeting of the Parties to the Cartagena Protocol on Biosafety (COP-MOP 1) and therefore modifications have been made to the BCH central portal.

This Annex has therefore been removed. For an updated full description of the present central portal structure we invite you to go to www.biodiv.org/bch or refer directly to the CBD Secretariat at bch@biodiv.org.

Annex 2:
Some General Considerations on Contracts and Contractual Agreements[3]

This annex is intended to provide guidance on preparation of contractual agreements to contract out the work of carrying out the surveys, whether to other government agencies, private consultants, or academic institutions.

1. What is a contract?

A Contract is an "agreement between two parties whereby one party provides goods or services in exchange for some consideration (usually money) provided by the other party". Contracts are the normal way of doing business in open, competitive markets.

2. Contracts versus Agreements

Under some circumstances, such as the provision of services by Government agencies, parastatal bodies, or municipalities, a more appropriate instrument is either a Memorandum of Agreement (MoA) or Memorandum of Understanding (MOU). These are usually used by public bodies or in non-competitive environment and have a monetary value.

Knowing when to use a contract or an agreement therefore requires that one replies to two questions:

a) Is the agreement with a government entity?
b) Is this organization in a situation of exclusive authority as far as the service under consideration is concerned, and is this a unique service?

If that is so, a MOA or MOU should be the contractual instrument.
For example, when a government agency is sub-contracted to carry out a particular survey, this usually is done through an MOU or MOA. When a private consultant or a commercial consulting firm is sub-contracted, then this is done through a contract.

3. The Contracting Process

The contracting process involves three phases: the **Preparation Phase,** the **Selection Phase,** and the **Administration Phase.**

The **Preparation Phase** involves the planning and definition of the requirements and services to be provided as well as ensuring that sources of funding are available for such purposes. It is also the time to work out the legal status of the parties for the contract or MOU. This is particularly important for project operations, which may have no intrinsic legal status.

The **Selection Phase** generally involves a set of procedures defined by the parent institution of the contracting body (e.g. the project). Most institutions and governments have procurement and contracting procedures, and in many cases there is a body within the government apparatus specialized in procurement and contracting issues. The extent to which this body is involved in the contracting on behalf of a project depends on local legislation, and the nature and size of the contract. The NPC will need to have a set of the bidding and contracting procedures that set out the applicable rules for all the steps leading to the signature of a contract/agreement.

The **Administration Phase** involves monitoring the progress of the contract/agreement, making payments, addressing claims, and evaluating the final product.

All these phases are subject to the laws and provisions of the country and institution where the contract will be issued. There are also conditions for funding agents and all of these elements must be taken into account before proceeding.

Actions to be taken during the preparation phase

1. Budgetary provision

The first step is to verify whether there is a budgetary allocation to cover the contract, and whether this provision can be accessed. This depends on specific rules and conditions between the financing entity (i.e. the UNEP-GEF project(and the host institution (i.e. the NEA) of the project.

[3] Excerpts from the UNOPS Operations Manual



2. TOR

The TORs (Terms of Reference) are of critical importance, and should be as clear and precise as possible as they eventually become an integral part of the contract. The TORs also provide the basis for contract evaluation once the contract is completed. Finally, clear and precise TORs will limit the chances of any disputes or counter claims over the contract arising later.

3. Approval of the TORS and budget

These will depend on the system within each country and the NPC will have to take national rules and procedures fully into consideration.

Actions to be taken during the selection phase

Again, the host government of a project usually regulates this. The UN has also specific rules for procurement of goods and services. The following applies to small and simple contracts, but is not as relevant for large or complex contracts.

1. Identification of Contractors

The first step is to identify prospective contractors, and prepare a short list. This process depends on factors such as government selection procedures, the value of the contract, urgency, etc. There are often explicit rules that define the selection process. These rules will help the NEA to decide if the selection should be based on a roster of qualified candidates, done through open advertisement, or through established references of a contractor's track record, etc.

2. Solicitations

The short-listed contractors are then asked to submit a "proposal" or invited to "bid". Proposals are requested in more complex cases when services are hard to quantify or are subject to technical considerations. Invitations to bid are normally used for simpler cases; it is generally the method for ensuring economy and efficiency through a pre-specified value-for-money competition among eligible contractors.

3. Opening of bids, Evaluation of bids and Awarding of Contracts

There are rules for each of these steps to ensure transparency in the awards of contracts. Generally, all bids must be received in sealed envelopes, collected in a safe place (sometimes by an independent party) and opened at a set date in presence of suitable witnesses.

All received and opened bids must be recorded, and given to the person in charge of making the comparative analysis of the bids, according to predefined criteria. This person must have sufficient knowledge of the issue/subject being analyzed. The role of the analyst is to prioritize the proposals and to identify the best contenders.

The analysis is then submitted for approval and award of the bids. The process should be transparent and all the bidding contractors should be properly notified of the results.

Actions during the contract implementation

Many things can go wrong, even when the TORs and the contracting process have been done properly.

Therefore the NPC and NEA should maintain a proactive attitude, monitoring progress and staying informed about any problems encountered. A contract is a partnership, and best results can only be attained when this partnership is active.

At the same time, there is also a need to take normal administrative actions, which are also a part of the contract. Therefore, it is necessary to ensure that someone in the host institution/unit/project is entrusted with the responsibility of administrating and supervising the contract, and that this person keeps the management well informed of present issues and potential problems.

The following page is a sample format for simple TORs for consultants:

Terms of Reference

Project No.: _____ **and Title:** _____
Post Title: _____
Budget Line: _____

I. Background of the relevant Project Objectives and Activities

Notes:
Indicate the background of the project and/or activity, which the contract is intended to support. Identify all the elements of the problem that the contract is supposed to solve.

II. Description of the Required Services

Notes:
The description should be detailed as to the activities to be performed or services to be rendered :e.g., modalities of a survey (defining area, data needed, means to be employed, etc.); organization of database (defining target data, system to be used for data entry, software and other materials, amount of data, etc.

It is also very important to elaborate the work plan and/or specifications to be provided by the proposer.

III. Duration, Timing and Fees

Notes:
Set an appropriate timeframe, i.e. duration of activities/services from start to completion, indicating any factors influencing that timeframe, such as seasonal considerations. Indicate fees and their modalities (instalments etc.).

IV. Monitoring/Progress Control

Notes:
Specify progress control (responsible officer(s)) and reporting requirements (periodicity, deadlines, formats, copies, recipients, etc.) Please note that many consultancies do not achieve their objectives and may go astray due to a lack of adequate steering by project teams.

V. Definition of Expected Outputs/Results

Notes:
Define clearly the final product - e.g. survey completed, inventory produced, research undertaken, data collected/elaborated, etc. Whatever you specify is what you will get. Therefore poor identification of expected results will not assist you getting the best out of the consultant. Clear contents, outputs, deadlines, number of copies, etc will help you make your case with the consultant in case of any dispute. It is suggested that the definition of outputs be an active subject of communication with the consultant beforehand.....They cannot be defined in isolation.