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CONFERENCE OF THE PARTIES TO THE  
CONVENTION ON BIOLOGICAL DIVERSITY

Sixth meeting

The Hague, 7-19 April 2002

Item 17.1 of the provisional agenda\*

**FINANCIAL RESOURCES AND MECHANISM (ARTICLE 20 AND 21)**

*Second review of the effectiveness of the financial mechanism for the Convention on Biological Diversity: analysis of findings and appendices*

*Note by the Executive Secretary*

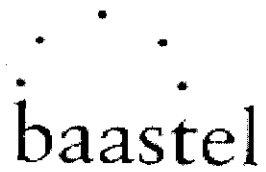
1. Pursuant to decision V/12, in which the Conference of the Parties decided to conduct the second review of the effectiveness of the financial mechanism at its sixth meeting and adopted terms of reference for the review, the Executive Secretary is circulating herewith, for the information of participants in the sixth meeting of the Conference of the Parties, the final report of the independent evaluator commissioned to conduct the review. The executive summary of that report provided by the evaluator has been issued separately as document UNEP/CBD/COP/6/13/Add.1.
2. The final report of the independent evaluator is being made available in the language and form in which it was received by the Secretariat of the Convention on Biological Diversity.

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\* UNEP/CBD/SBSTTA/7/1.

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**SECOND REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM FOR  
THE UNITED NATIONS CONVENTION ON BIOLOGICAL DIVERSITY**

**ANALYSIS OF FINDINGS**

***Information Document***

***Submitted by***

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## ACRONYMS

BD	Biological Diversity
BLS	Bird Life Seychelles
CBD	Convention on Biological Diversity
CAS	Country Assistance Strategy
CDI	Capacity Development Initiative
CEO	Chief Executive Officer
CHM	Clearing House Mechanism
COP	Conference of the Parties
EA	Enabling Activities
EMPS	Environmental Management Plan of the Seychelles
FAO	Food and Agricultural Organisation
GBF	Global Biodiversity Forum
GCEP	General Corporation for Environment Protection
GEF	Global Environment Facility
GTI	Global Taxonomy Initiative
IA	Implementing Agency
IC	Incremental Costs
IDCCP	Intergovernmental Committee for the Cartagena Protocol on Biosafety
IFC	International Finance Corporation
INGO	International Non Governmental Organisations
IUCN	World Conservation Union
LDC	Least Developed Country
LFA	Logical Framework Analysis
M&E	Monitoring and Evaluation
MOE	Ministry Of Environment
MOU	Memorandum Of Understanding
MP	Management Plan
NBSAP	National Biodiversity Strategies and Action Plans
MSP	Medium-Sized Programs
NCS	National Conservation Strategy
NEAP	National Environmental Action Plan
NGO	Non Governmental Organisation
NN	Nizhni Novgorod
OECD	Organization for Economic Cooperation and Development
OED	Operations Evaluation Department
OP	Operational Program
OPS1	First Overall Performance Study
OPS2	Second Overall Performance Study
OS	Operational Strategy
PA	Protected Area
PDF	Project Development and Preparation Facility
PIR	Project Implementation Review
PME	Participatory Monitoring and Evaluation

PPR	Project Performance Report
RSCN	Royal Society for Conservation of Nature
SBSTTA	Subsidiary Body on Scientific, Technical and Technological Advice
SGP	Small Grants Program
STAP	Scientific and Technical Advisory Panel
TOR	Terms of Reference
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
WB	World Bank
WSSD	World Summit for Sustainable Development
WWF	World Wildlife Fund

*This report was prepared by le Groupe-conseil Baastel ltée. The following members of the review team contributed to data gathering, analysis and production of this report: Howara Stewart, Susan Abs, Evan D. Green, Andre Lalonde, Clemencia Vela Witt, Valery Neronov, Ma'an Mohammed Al-Huneidi, Antoine Moustache, and Alain Lafontaine, Team leader.*

## **ACKNOWLEDGEMENTS**

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### **Note to the Reader**

This information document (UNEP/CBD/COP/6/INF.4) presents the detailed analysis of the findings from the Second Review of the Effectiveness of the Financial Mechanism for the CBD. It should be read in conjunction with the Pre-session document (UNEP/CBD/COP/6/13/add.1) which contains a detailed description of the mandate, the methodology used as well as the main conclusions and recommendations from the Second Review.



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## ANALYSIS OF FINDINGS BASED ON EVALUATION CRITERIA

### **1.1 Overall Scope of Evaluation**

#### **1.1.1 Overview of diversity of CoP Guidance generated and challenges related to this diversity**

The guidance to the GEF at CoP I (Decision I/2) was generally at a broad program level, calling for projects that promoted conservation and sustainable use of biological diversity. Since the First Review and up to CoP V, many new CoP decisions have added to a growing list of issues such as agro-biodiversity, pollinators, endemic species, and numerous priority ecosystems. Decisions have generally become broader in scope, looking at more integrated approaches to the implementation of the convention (e.g. ecosystem based approaches), and nuancing some earlier CoP decisions. A complete list of the CoP decisions is provided in Appendix G.

As new Guidance is added with each CoP, the result has been a long list of somewhat unfocused or repetitive (albeit sometimes more nuanced) guidance. Many respondents from across sectors noted that CoP guidance can be difficult to interpret and implement. They suggested that the list is unsystematic, overlapping, and provides no clear priorities. (One donor called it “a jumbled mix of instructions”). This situation has arisen in part because the CoP is evidently a political process, and as such, some decisions are generated by specific national agendas, and do not have the same relevance for – or support from – other countries. This political nature of the CoP process, which attempts to accommodate the needs and views of all parties, also limits the potential for prioritizing issues.

This situation is also due in part to the fact that guidance is provided in numerous documents covering diverse topics over a period of years. Guidance is issued as sets of discrete decisions, with little sense of relationships among topics and relative priorities. This is further complicated by the use of inconsistent terminology, numerous cross-references among decisions, and references to other CBD documents. Indeed, the review team required considerable time to collect, review and organize CoP guidance to enable a systematic evaluation of whether it had been followed. This situation hinders straightforward communication and implementation of CoP guidance to the Financial Mechanism and its partners.

Both questionnaires and field visits indicated that even among focal points and other key players, there is a lack of familiarity with CoP guidance, and whether GEF policies, procedures and projects comply with the guidance. These findings are consistent with those of OPS2, which found that the GEF has had difficulties in translating broad Convention guidance into practical operational activities. Since discussions and decisions in the CoPs often derive from very complex political processes “...the consistency of guidance from the Conventions must be such that it can be

translated into meaningful action in support of Convention objectives”<sup>1</sup>. On a positive note, OPS2 found that overall the GEF has been responsive to the UNFCCC and the CBD. “The Operational Strategy and Programs, by and large, reflect the objectives and priorities of the Conventions”.<sup>2</sup>

The CBD Strategic Plan being developed is a first step in providing a useful tool to further organize and present CoP guidance, strategic direction, and priorities, but it will likely require being furthered. IN the end, what is needed is a relatively simple and understandable document. Implementation of CoP guidance would no doubt be enhanced by the use of simpler, more coherent ways to compile and present the guidance, and more consistent formats and language.

In light of this analysis, the review team would like to encourage the CBD to further the Strategic planning process that it has initiated, in order to better organize and present CoP guidance in a way that can be more easily understood, operationalized, monitored and evaluated.

***Recommendation:*** *The CoP should instruct the CBD Secretariat to search for ways to compile and present CoP guidance in a simpler, more coherent format, which can be more easily understood, operationalized, monitored and evaluated. This could involve instructing the CBD Secretariat to further refine the Strategic Plan in development and encourage the introduction of targets, and possible timelines in relation to the Guidance.*

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<sup>1</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 52-53.

<sup>2</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 52.

## **2.2 Responsiveness**

### **2.2.1 Brief introduction to key issues**

In this section, we focus on key issues identified by the CoP to the CBD relating to the responsiveness to the Convention and its guidance. Although our main topic is responsiveness of the GEF to CoP guidance, we include an analysis of the developing country parties responsiveness to the guidance, since the GEF is supposed to respond to the demand expressed by eligible parties. The main points covered include:

- Conformity of GEF activities with the guidance of the CoP;
- Incorporating CoP guidance on an ongoing basis into the development of the Operational Strategy (OS) and programmes, to ensure that the objectives of the Convention are addressed;
- Developing policies and procedures that fully comply with CoP guidance in a straightforward and timely manner;
- Increasing its flexibility to respond to the thematic longer-term programme of work of the CBD, in accordance with the guidance of the CoP;
- Promoting the catalytic role of the GEF in mobilising funding from other sources for GEF-funded activities;
- Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the CoP in their support for country-driven activities funded by the GEF; and
- Increasing support to priority actions identified in national plans and strategies of developing countries.

### **2.2.2 Conformity with CoP Guidance**

#### **2.2.2.1 Communication between CBD and GEF**

One of the factors likely to affect responsiveness is the communication of the requirements from the Convention, and to take into account the constraints related to its implementation. In the following sections, we look at both formal and informal communication among the CoP, CBD Secretariat and GEF Secretariat.

#### ***Official communications between the two political bodies***

The agreements guiding the communication between the CoP and the GEF Council are specified in a joint Memorandum of Understanding (MOU) between the parties. According to the MOU, the GEF is instructed to follow the guidance of the CoP. The Guidance is augmented every two years through the CoP process where new decisions are reached. There is then an internal GEF

review process to see how its activities respond to the guidance and make adjustments as required. Interviewees noted that the GEF uses the Program Review process, to examine concordance of its programmes with CoP guidance and identify gaps.

The key formal mechanism for GEF reporting to the Convention is a report to each CoP meeting (every two years) on its activities and their compliance with the Convention. Some of our interviewees suggested that, while this is seen as a useful instrument of communication, this reporting of results by the GEF is not perceived by all parties as being independent. Furthermore, there is some perception among interviewees that CoP representatives do not always appreciate this reporting to the fullest extent.

#### ***Informal communications between secretariats***

There are also semi-formal communication mechanisms between the GEF and the CBD Secretariat, including Interim ISOC meetings (not institutionalized), and the Task Force on Biodiversity, with representation from the IAs. In addition, the CBD Secretariat is required to comment on the conformity with the Convention of each GEF-supported project going through the approval process. These mechanisms are recognized by many respondents as instrumental in ensuring better communication between the two bodies.

Numerous additional opportunities exist for informal communication on strategic and programmatic issues. It is now routine to send GEF documents to the CBD Secretariat for comments, while the CBD Secretariat ensures that the GEF has a slot during CoP discussions. In the end, these two mechanisms do not guarantee integration of the comments or views from one party or another into any final product.

Additional layers of guidance have increased complexity and confusion, and may provide a barrier to mainstreaming convention priorities in country dialogues. A mechanism is needed to increase discussion and interpretation of CoP guidance between the GEF Secretariat and the CBD. Indeed, guidance needs to be operationalized by the GEF Secretariat in consultation with the CBD Secretariat, so that it can outline clear rules as well as possibilities for flexible interpretation and application by the three IAs.

There has been an increased willingness between the two bodies over the past two years to work through the existing communication channels. However, in order to improve communication, the CoP could also investigate the appropriateness of broadening the consultations between the CBD and GEF Secretariats, and some key developed and developing countries representatives between CoP meetings, in order to better identify issues and constraints related to upcoming items for further CoP Guidance. This could help to ensure a swifter responsiveness to the Guidance. The CoP and the GEF may also want to devise a joint impartial review and reporting process to the CoP to ensure better perception by the delegates of GEF reporting to the CoP.

***Recommendation: The CoP should investigate the appropriateness of broadening the consultations between the CBD Secretariat, the GEF Secretariat, and some key developed and developing countries representatives prior to each***

***CoP; this could also serve as a mechanism for increasing discussion and interpretation of CoP guidance.***

#### **2.2.2.2 Difference and similarities in perception of CoP guidance**

Many review respondents agreed that there are differences in perception of the meaning of CoP guidance. As one interviewee said, “there are varying interpretations because the guidance lends itself to that”. As noted above, the body of CoP guidance offers a wide-ranging list of items, subject to diverse interpretations.

According to some interviewees, differences in perception and interpretation can be noted between the CBD and the GEF Secretariats, as well as between the GEF Coordination Units of the IAs and their field offices. For example, some sources suggested that there were differences of opinion on the interpretation of the CoP guidance on Biosafety at the HQ level, leading to the organization of two workshops to clarify the scope of the guidance. At the field level, it seems that in many cases the process of developing CoP guidance is seen as a high level political exercise, which leaves decisions open to broad or narrow interpretation.

Data collected from national focal points supports the claim that there are varying interpretations of GEF compliance with CoP guidance, and also supports the argument that there are significant weaknesses in overall understanding of CoP guidance. 28% of focal points responded, “I don’t know” in answer to the question of whether or not GEF policies and procedures comply with CoP Guidance. Similarly, when the same respondents were asked to evaluate the level of adequacy of GEF support for policies and procedures that fully comply with CoP guidance, 41% answered, “I don’t know”.

Interviewees generally agreed that detailed knowledge of CoP Guidance is still lacking at the field level. This supports the view that insufficient progress has been made since the first review, which found that field officers were not knowledgeable about CoP Guidance. The following were identified as challenges in communicating the Guidance:

- The CoP process deals with an increasingly broad network of players but as it broadens, it tends to become weaker;
- The changes and varying qualifications of the personnel involved in the process;
- The general burden of work on the IAs (GEF is only one aspect of their work);
- The responsibility of field officers vis-à-vis the guidance and their role in applying it
- Competition among IAs for GEF resources;
- The complex nature and cumbersome language of the guidance; and
- The lack of effective education/communication tools on the guidance.

The communication challenge is of central importance as this diversity of interpretations of the Guidance appears to be related to the often-negative perception of the transparency of decision making within the GEF. Country Dialogue Workshops and introduction of the Internet Forum have

been positive steps to improve communication, but there is room for progress in that area to ensure common understanding and uniform selection criteria for projects.

In view of these challenges, the CoP may want to impress on the GEF the need to:

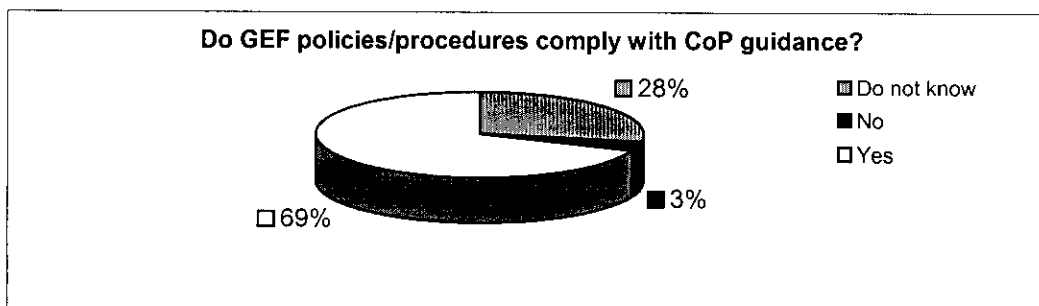
- Reinforce the communication efforts now underway through the country dialogue workshops
- Identify additional means for enhancing the responsibility of the IA field officers vis-à-vis their role in ensuring compliance with CoP guidance in their application of the GEF OPs
- Ensure greater technical capacity in GEF and Implementing Agencies, especially in the field, to understand the technicalities of CBD guidance and GEF OPs.

***Recommendation:*** *The CoP should instruct the GEF and CBD Secretariats to undertake further efforts to clearly communicate to all stakeholders what is eligible or not for funding, based on CoP guidance and the GEF Operational Strategy. There is also a need to enhance understanding of CoP Guidance at all levels.*

### 2.2.2.3 Responsiveness of the GEF and conformity of operational strategy, programmes, policies, procedures and projects

#### *Programme and policy level*

Our research generally suggests that GEF policies and procedures comply with CoP guidance, as is illustrated by the graph below, which depicts questionnaire responses from national focal points, also supporting the claim that there are varying perceptions of GEF compliance with CoP guidance.



Similarly, at the programme and policy level, it was also the general perception of interviewees that the 13 programme priorities designed and approved in 1995 by the GEF are broad enough to allow any CoP guidance to be integrated therein<sup>3</sup>.

It should be noted that the GEF OS specifies that “flexibility will be an integral element of implementing this strategy so that the GEF may respond to changing circumstances, and may learn from and be responsive to evolving scientific and technical knowledge, insights of countries, and

<sup>3</sup> For further information on the programme priorities, please see: GEF, 1996. *Operational Strategy of the Global Environment Facility*.



guidance of the conventions”<sup>4</sup>. The necessity to adjust to new guidance from the CoP is also recognized in the programme of the GEF, and included in the “Ten Operational Principles” for the GEF Work Program.

Some interviewees from the GEF, the CBD and donor agencies suggested that the OS might not be specific enough, leading to overlap in operations, and a lack of focus. The Strategy has not been revised since 1995, and may suffer from the same lack of focus as the CoP guidance. If a focussed process of strategic planning for the guidance (by the CBD) takes shape and targets are identified, the rationalization of the CoP guidance could also help focus the GEF OS. However, as one donor noted, the key issue in the conformity of the OS of the GEF to CoP guidance is the capacity of the GEF (and IAs) to understand and interpret the guidance so that they can translate it into practical operations.<sup>5</sup>

#### **2.2.2.4 Flexibility to respond to thematic long-term program of CBD**

A number of donors (with the Danish and Dutch in the lead) are embarking on a longer-term, more integrated approach to development assistance. This shift comes in response to the lessons learned in development cooperation, which point to the merit of such approaches promoting local ownership, capacity development and aid effectiveness. Within this context, a key responsiveness issue is the adequacy of the GEF’s response in developing a more flexible, longer-term, more integrated vision to support to biodiversity conservation. The anchor for this approach could be the national biodiversity strategies and action plans (NBSAP’s) now underway or recently adopted by most developing country parties. Indeed, the first review already identified this need.<sup>6</sup>

The GEF has been supporting the development of strategies through its enabling activities mechanism. If effectively followed up, these could be a first step in integrated national approaches to biodiversity conservation and mainstreaming of biodiversity into national development, as part of a longer-term approach. Interviews with the GEF indicate that they are also considering this question. Yet, a critical concern is the lack of prioritization in some strategies. A review of some of these strategies indicates that while some have clearly defined directions for implementations, time frames and responsible parties, many do not include such details and may not effectively support a long-term programmatic approach by the GEF. Further CoP and GEF guidance on the contents of these strategies and refinements to those that exist may help to support a programme approach over time.

According to some GEF interviewees, a dialogue is already underway and the GEF seems likely to move in the direction of some form of long-term programmatic approach, in support of the implementation of these strategies. Indeed, the GEF proposed introducing the programmatic approach in an Information Paper in May 2001. It proposed “a longer term financial support

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<sup>4</sup> Global Environment Facility 1996. *Operational Strategy of the Global Environment Facility*, Washington.

<sup>5</sup> GEF, February 1998. *Report of the Fourth Meeting of the CoP to the Convention on Biological Diversity*. GEF, Washington. P. 27.

<sup>6</sup> CBD, 1998. *Review of the Effectiveness of the Financial Mechanism*, Note by the Executive Secretary, Conference of the Parties to the Convention on Biological Diversity, Fourth meeting, Bratislava, UNEP/ CBD/ CoP /4/ 16, p. 19.

through a country-based program, which would go beyond the scope of an individual project to support an integrated set of projects, funded through a phased, multi-year commitment.”<sup>7</sup> This would be piloted in a few countries over the next few years.

Interviewees identified the following concerns that may come into play in implementing a longer-term, programme approach:

- How can this longer-term commitment be made possible by the GEF, given its defined time limits on financial commitments?
- How can this approach be kept fully consistent with the principle of responsiveness to the country needs?
- How will the issue of competition for financial resources for projects versus programmes, and within programmes be dealt with at the country level?
- How will this approach redefine the role of IAs and the GEF Secretariat, as a central role may be required in setting up a programme focus and procedures?

A number of preconditions have been appropriately identified by OPS2 for the introduction of this approach, such as:

- An interface between GEF and government agencies and stakeholders across sectors, if the process is to remain country-driven;
- The credibility of the GEF, built through GEF-funded projects integrated into national development strategies;
- Local capability in program management and links with other sources of finance, including a clear commitment of domestic financial resources;
- Commitment of agencies to work across sectoral ministries in order to mainstream global environmental issues into national development; and
- A high level of national political and financial commitment to the environment and to the proposed program.<sup>8</sup>

Although the GEF is making efforts to respond to the longer-term thematic work programme of the CBD, further progress will require planning instruments that have longer-term orientation and that are embraced by the various IAs and partners (including other donors). This will also require the development of specific management capacities within the GEF and its IAs and in the countries where the approach is adopted.

***Recommendation:*** *The CoP should support GEF efforts to move towards a programmatic approach in support of the thematic, longer-term programme of the CBD, and encourage it to develop appropriate instruments and capacities to bring this approach to maturity.*

<sup>7</sup> GEF, April 2001. *The GEF Programmatic Approach: Current Understandings*. Council Paper GEF/C.17/Inf.11.

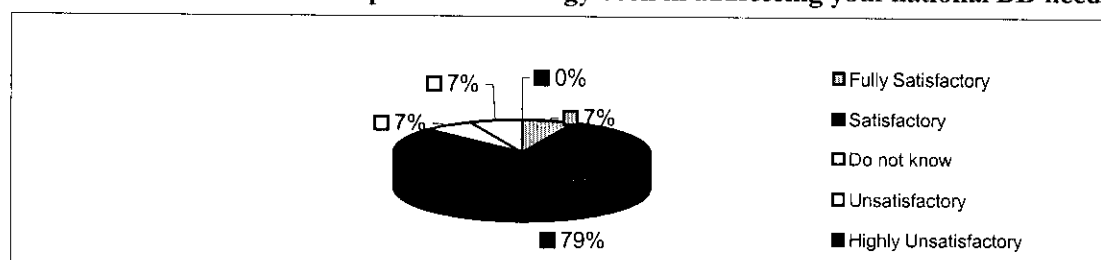
<sup>8</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

## 2.2.3 Financial Mechanism and Developing Country Parties

### 2.2.3.1 Responsiveness to Developing Country Parties' priorities

As indicated in the graph below, the majority of Focal Points who responded to our questionnaire believed that the GEF OS is by and large relevant for addressing their national BD needs. Indeed, 79% found the relevance satisfactory and another 7% found it highly satisfactory.

“ How relevant has the GEF Operational Strategy been in addressing your national BD needs? ”



On the other hand, our data also suggests that few focal points knew about the GEF Programme priorities. This was exemplified by the typically low rate of response when requested to list which programme priorities they found most relevant to their country. This may point to the need for the GEF to better communicate its programme and relevant opportunities at the country level, as noted earlier.

Participants from all sectors, including IAs, Focal Points and NGOs, reported difficulties in both accessing and understanding GEF's policies and procedures. They noted that it is hard to keep up with GEF procedures through its memo system, as sometimes memos do not arrive at the Operational Focal Points or IAs, due to bottlenecks at the Focal Point and/or the Headquarters of the IA. Even when they do arrive, they often refer to previous circulars, which the recipient may or may not have seen. Along these lines, the OPS2 finds that in-country understanding of GEF is still weak and needs “urgent attention”. The Country Dialogue Workshops, which started two years ago, have greatly increased understanding of the GEF, but this is not enough, as “there is a broader unfilled information gap about GEF at the country level that must be addressed more systematically”.<sup>9</sup>

Many respondents noted that the OS clearly lays out basic GEF approaches, but they would like more detail on priorities within and among programmes, and changing priorities over time. This is complicated by the overlay of CoP guidance since the OS was produced in 1995. Many developing country representatives would also like greater transparency in delineation of GEF's priorities and

<sup>9</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 115.

funding allocations for specific regions, countries and sub-topics, in order to allow them to better position their proposals for success.

Several interviewees reported that it is often difficult to obtain documents from the GEF Secretariat, either in hard or electronic versions. For example, one regional NGO focal point suggested that the Project Tracking Map on the GEF website would be a good tool to facilitate public involvement, but it doesn't have enough information. The GEF website is seen as very useful by many respondents, but others noted that GEF should not depend on the website for communications since Internet access in developing countries is often limited by technical and/or financial barriers. This is consistent with the findings of the OPS2, as they argue that "the GEF needs to become more adept at spreading its messages in easily understandable information products, well beyond its present reliance on website services."<sup>10</sup>

Our field visits support these conclusions. For example, key stakeholders from government, IAs and NGOs in Ecuador indicated that they are trying to address the priorities of the Convention, CoP guidance and GEF programs. However, many felt that GEF principles, criteria, operational strategies and procedures are still unclear. What exists on paper is quite general and there is a perception that there are "unwritten rules" which only become explicit when proposals enter the approval process. This complicates and lengthens the project cycle for both IAs and proponents, and excludes organizations that do not have the resources and patience to learn the true "rules of the game". Operational strategies, programmes and other procedural documents need to be written in clear language for easy comprehension.

The World Bank also addresses this issue of relevance, noting that in one case, "the underlying factors for biodiversity loss or degradation were generally thoroughly explored and outlined during project preparation...", but "...the project's design did not necessarily address these factors satisfactorily, such as the need for mainstreaming BD concerns or addressing the necessary policy framework"<sup>11</sup>. Although a 2000 World Bank's BD study cites many positive examples of relevance of the OPs and OS to country priorities, it also observes that "the projects' design and expected achievements rarely matched the implementation environment"<sup>12</sup>.

Our research on this issue is consistent with the findings of the OPS2 that "country stakeholders do not find it easy to understand the GEF's goals, objectives, and operational modalities, particularly with respect to ... global environmental benefits and incremental cost financing. Good information products from the GEF would help to alleviate the many misconceptions and misunderstandings which prevail about the GEF mandate and processes".<sup>13</sup>

<sup>10</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 91.

<sup>11</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB – Operations Evaluation Dept., p. 5.

<sup>12</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB – Operations Evaluation Dept., p.34

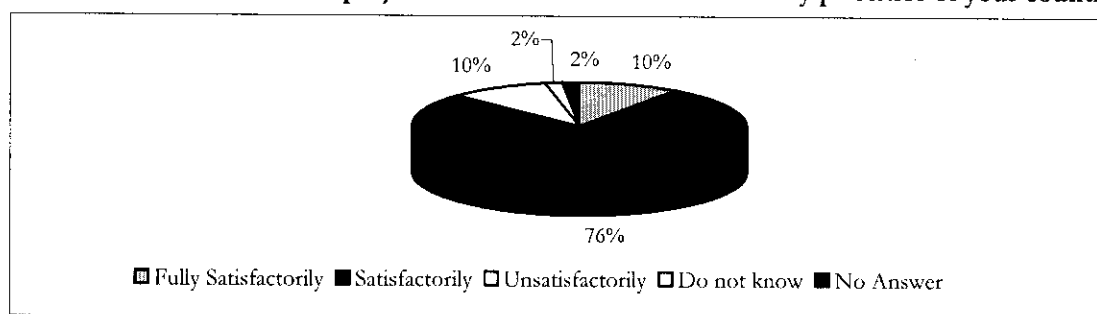
<sup>13</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 117.

***Recommendation:*** *The CoP should instruct the GEF Secretariat and its IAs to better and clearly communicate the GEF programmes, directions, priorities and current opportunities at the country level. This could include communicating to them in their native language to all interested parties.*

### **Relevance of GEF supported projects**

At the project level, data from the questionnaire sent to focal points suggests that a significant majority found that GEF projects reflected their country's BD priorities, as illustrated below:

**'How well do GEF projects reflect the national biodiversity priorities of your country?'**



The findings from our field visits generally support the view that some countries have made strong links between GEF projects and national priorities, enhancing overall relevance. For instance, the National Bio-diversity Conservation Project in Russia linked efficiently with local biodiversity priorities and initiatives. These were related mostly to the first two objectives, i.e., BD conservation and sustainable use. The guidelines, as demonstrated in the Management Plan for the Kerchinsky Reserve (a pilot project within the national programme located in Nizhni Novgorod oblast), included extensive interaction with all stakeholders in parks, buffer and transition zones. Indeed, such enhanced participation can help ensure that national BD priorities are accounted for in GEF projects.

According to our research, the involvement of the Focal Points within governments and the field offices of IAs helped to ensure that projects addressed country priorities. In addition, it is evident that GEF has funded many projects initiated by national environmental NGOs, who often have solid country knowledge and experience, sometimes even more than their respective governments. Projects often mobilized the strongest players within and outside government, ensuring that real priorities are being met.

However, in Ecuador, the NBSAP is too new to assess relevance of projects to national priorities. Until its completion in 2001, there was no strategy to guide the choice of projects and no clear national GEF strategy. The lack of national frameworks for biodiversity planning in some

countries has meant that some projects are driven by the interests of parties who have knowledge of GEF and resources to pursue project funding. These may or may not respond to national biodiversity priorities. For example, there is a preponderance in the GEF portfolio of protected areas (PAs) projects, even though for many countries, there is an equal need to focus on biodiversity outside PAs, as well as sustainable use and benefit-sharing. Complicating matters is the fact GEF projects can follow national priorities only when these also provide global benefits.

The OPS2 interim report concluded that many GEF projects did not seem to reflect country priorities. "A good deal of country ownership seemed apparent, but many GEF projects did not seem country driven in terms of involvement of the designated national Operational Focal Points. This was understandable when the GEF was new and its operational objectives, strategy and policies were not well known. However there is now a need for a better in-country mechanism for coordinating GEF activities".<sup>14</sup>

The recent completion of biodiversity strategies and plans for many countries should help guide the GEF, the IAs and the country stakeholders in further addressing a broader range of country priorities, as long as prioritization of those actions is clear. All steps should be taken to ensure that national BD priorities are reflected in GEF projects and activities, and that the GEF OS and OPS also match national BD priorities. Enhanced country participation in project planning can facilitate this occurrence.

***Recommendation:*** *While recognizing the efforts of the GEF to meet country priorities, the CoP should encourage the financial mechanism to further enhance the relevance of its projects by ensuring that IAs continue to apply and improve stakeholder participation in project identification and planning, strengthening the leadership role of the country.*

#### ***GEF communications to partners and stakeholders***

Over the last two years, the GEF has initiated outreach and communications to stakeholders, including: Country Dialogue Workshops; project and issue-based workshops at Convention meetings; dissemination of best practices and lessons learned; targeting info to NGOs; outreach to media, and; the GEF website; all of which are important for enhancing communication overall.

It appears that the GEF has had some successes with its website and the Country Dialogue workshops in the last two years. The country dialogue workshops are organized by the IAs with the participation of the GEF Secretariat and coordinated by UNDP. The OPS2 study has rightly noted that the sessions have improved understanding of GEF programs and procedures.<sup>15</sup> However, there

<sup>14</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 115.

<sup>15</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington

might be a need to broaden the audience, as data collected elsewhere in our review suggests that many stakeholders are still unclear about GEF programs and procedures.

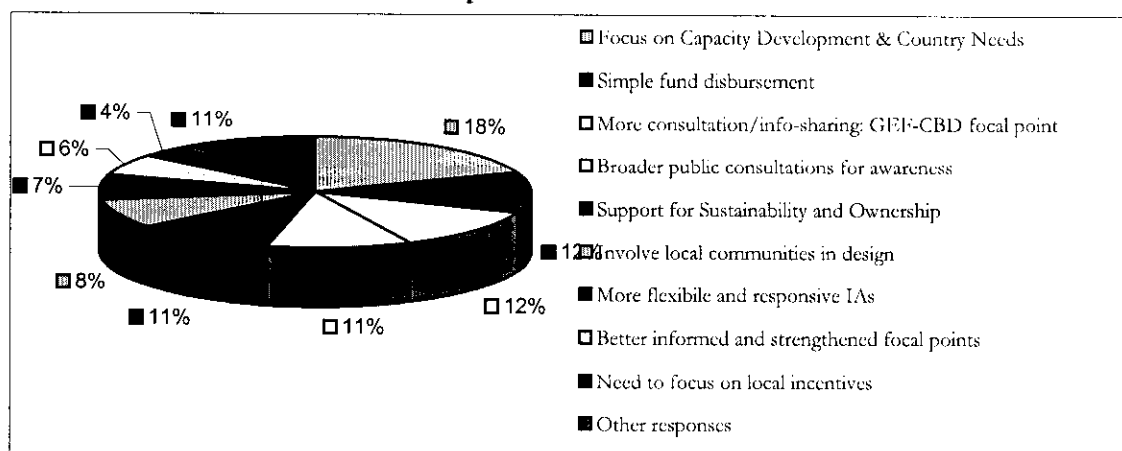
Special efforts have also taken place to involve NGOs in GEF consultations. CoP guidance is also shared at GEF Council meetings and at pre-Council NGO meetings. In particular, some of our NGO respondents mentioned that they appreciate the opportunity to participate in meetings before the GEF Council meetings and during the CoP meetings. This is a helpful mechanism for ensuring that GEF projects and strategies match national BD priorities as well. However, they pointed out that it is often too late to respond and be proactive, rather than reactive. It was also pointed out that all receptivity to comments is key for ensuring that consultations are credible. Indeed, the participatory efforts and approaches in place at present are noteworthy and recognized, yet it is important to ensure that these are further enhanced. In addition, the continuation of Country Dialogues Workshops, if designed to reach out to more and diverse stakeholders, should also help to broaden the portfolio to address a range of national BD issues, and help ensure that GEF projects properly reflect national BD priorities.

***Recommendation:*** *the CoP encourage the GEF Secretariat and its IAs to sustain its efforts to enhance communication with developing country stakeholders, with an increasing role and a broadened audience for Country Dialogue Workshops, which can enhance cooperation among all parties at the country level.*

***How CoP guidance could be implemented to better address country needs***

National focal points were asked directly how they thought the CoP Guidance to the GEF could be implemented to better reflect country and local needs. Their responses were then compiled and the following broad categories of suggestion for actions by the GEF emerged out of this analysis of the responses:

**‘How can CoP Guidance to GEF be implemented to better reflect local needs?’**



These responses support our findings for the Review. As noted in the previous section, participatory planning processes for projects and national strategies are key for ensuring adequate response to national and local BD priorities.

### ***Strengthening developing country representation at the CoP***

Several respondents noted that successful implementation of CoP guidance at the country level is also affected by the weaknesses in country representation at the CoP itself. One donor suggested that if national CoP delegates were better prepared for the CoP participation, they could more effectively communicate their needs during international negotiations. While the CoP efforts to strengthen representation from developing countries are recognized, respondents noted that this may only cover minimal delegations to convention meetings. Developed countries often send large delegations, while many developing countries have one or only a few people. The people often change over time hampering continuity in the country's knowledge of the CBD and its positions on issues at hand. It is also difficult for a small delegation to attend concurrent sessions. Capacity and financial issues are barriers. In addition, these representatives may have limited capacity to address the diverse issues under the CoP, and little administrative, financial and technical support. Some are over-burdened by their responsibilities for multiple environmental conventions.

For example, in the case of Ecuador, the delegation has varied in size and composition over time, although it is getting larger. At times, delegates sent from a given Ministry had limited technical knowledge. At other times, consultants/NGOs have attended, using GEF project funds, while Government staff have not been able to attend. Over time, continuity is growing as a core group has developed, and a National Working Group on Biodiversity, consisting of over 120 volunteer scientists, has been formalized by government. These are the types of innovative measures that are needed when resources are scarce. Developing country representation at CoP meetings requires strengthening if the CBD is to succeed. The following suggestions by respondents are supported by the review team:

- holding regional preparatory meetings for the SBSTTA (scientific and technical body of GEF) to strengthen their support of national delegations at the CoP;
- undertaking capacity-building for decision-makers including CoP delegates; and
- improving coordination among CoP delegations and Focal Points and assess and respond to needs for capacity development of all of these.

#### **2.2.3.2 Responsiveness/support of developing country parties**

The importance of ensuring that national governments are on-board, promoting and supporting BD initiatives remains crucial, and is not only a function of the GEF itself, but is a major responsibility shared by Developing Country Parties, as political commitment, although it can be facilitated from the outside, truly comes from within national borders. Many interviewees noted that GEF funding has been effective in stimulating government interest in biodiversity issues where it has not existed before. But, in the end, this remains a task for country actors. Our data suggests that



national endorsement of projects is often limited to either the environment or financial authority, with less awareness and commitment from other ministries and political actors, and other sectors of society. Overall, this support from the government is an essential factor in achieving project success, and the objectives of the CBD.

Interviews and field visits shed light on some examples of the importance of government commitment. In Seychelles, the government assisted the project with financial advances on two separate occasions when delays were experienced in financial disbursement from the World Bank, which indicates a high level of commitment. Our field visit suggested that this was a main factor in project success. Government personnel from Foreign Affairs involved in the project M&E were seen as facilitating the project execution. In addition, the CBD focal point indicated that the Government had led the strategy for biodiversity conservation that culminated in the NBSAP. As government is the main agent and facilitator of BD projects in Seychelles, it provided an enabling environment for the development of projects related to biodiversity.

Similarly, in China, “the GEF’s Environmental Technical Assistance Project was the largest and most complex project of its kind... and has also been one of the most successful and effective. China, notwithstanding the magnitude of environmental problems it is facing, now has one of the most comprehensive environmental frameworks and competent environmental protection institutions of any developing country in the world. Most of the credit for those achievements rests squarely with the Chinese government”<sup>16</sup>.

Our research suggests that often the degree of national commitment for projects varies with the personnel in the government, especially those working in the Operational Focal Points. One NGO focal point noted that when a capable government officer is in place, projects are often better designed and articulated with other national initiatives. Therefore, commitment from within can strengthen and wane with the changing of the political guard, in many cases. For example, in Argentina, one officer circulated projects to relevant agencies and parties for their comments, thus generating greater “buy-in” than before, and this was very much unlike the actions taken by the preceding officer in that position.

The Russian case is similar; they have had a strong national team throughout their national BD programme. Yet, initially strong government commitment for the programme is less clear today, following a series of changes among senior government officials. The impact of the project is therefore in doubt. Such management changes often reflect changes in national priorities. The Russian programme still appears to have strong support from regional governments such as in Nizhni Novgorod oblast. But in the decade since discussions of the programme first began, there has been a general waning of national interest in Russia in environmental issues, including BD issues, in favour of socio-economic issues, such as poverty, jobs and so on.

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<sup>16</sup> World Bank, November 2000. *OED Review of the Bank’s Performance on the Environment*, Draft, p.32.

The case of Jordan also supports this trend. Our field research suggests that there was generally good government understanding and commitment for the GEF interventions, especially through their National Environment Strategy and NEAP and the completion of the protected area network (by the Royal Society for the Conservation of Nature). For example, both cash and in-kind contributions were offered by the government, such as allocation of staff, making office space available, vehicles and communication services to national teams working on the various GEF projects. This was directly responsible for the project's early successes. However, interviewees noted that government bureaucracy and continuous staff turnover has impeded effective implementation of GEF projects, and decreased chances for sustained overall political commitment. The local institutions rely strongly on personal interaction and personal levels of communication and chemistry for cooperation.

While the CBD and subsequent CoP decisions emphasize the importance of country-driven projects, this term masks some complications in identifying exactly what that means. It is logically often taken to mean "national government driven", since it is governments that are the signatories to the Convention. On the other hand, all countries have a diverse array of both government and non-government players in the BD field, all of which will need to buy in to projects, if they are to have positive and sustainable results. In some cases, evidence suggests that NGOs had equal or greater capacity and experience than government, yet were "slowed down" by ineffective or discontinuous government attention to BD. In other cases, it seemed that the GEF portfolio is "NGO-driven", by a small group of experienced NGOs and with minimal involvement by responsible government authorities, other NGOs, academics and the private sector.

We support a suggestion that emerged from our interviews, that given the weak institutional capacity of many government agencies, it is equally important to have project endorsement by NGOs and other civil society bodies, (e.g. local government, community organizations and universities) to enhance overall political commitment. The Developing Country governments can be catalysts in this process. Even where government environmental authorities have the will and interest, they often lack technical and financial capacity as well as influence within government to commit to and support BD, and therefore, they also need the support from sectors of civil society.

Many ways to enhance political commitment were suggested through our field visits and interviews. Some countries have set up national GEF committees to advise the Operational Focal Point on the degree to which project proposals meet national priorities. This has helped to speed up the in-country selection process and ensure broader commitment. For example, Ecuador is presently organizing such an advisory committee, aiming for broad representation, and plans to use its new 2001 Biodiversity Policy, National Strategy and Action Plan to guide decisions. Several respondents rightly suggested that governments be asked to clearly demonstrate their commitment to integration of biodiversity through concrete actions (e.g. legal reform, adoption of policies) as part of the criteria for project approval, in addition to attempting to rally support outside government.

***Recommendation:*** *The CoP should instruct the GEF and developing country Parties to ensure that all possible steps for enhancing political and civil society commitment and having BD projects be country-driven are taken, and steps already being taken on this front are continued and improved. This can include having stakeholders demonstrate and clearly articulate commitment early in the process, and broadening the scope of which groups to seek commitment from in society.*

### 2.2.3.3 Leveraging of funding in addition to GEF funding

The 1998 evaluation concluded, “GEF grants have leveraged additional funding for global environmental benefits from both Implementing Agencies and other funding sources” and noted that leveraging was greater during GEF 1 (1994-7) than during the Pilot Phase. It is crucial that the GEF act as an effective and catalytic mobilizer of additional funds and co-financing.

Recently, the GEF’s own Performance Report stated that “GEF projects, particularly through the involvement of the IFC, have played a major role in seeking to redirect and mobilize private capital, expertise and privately held technology”<sup>17</sup>. This year’s Biodiversity Programme Study indicated the GEF “...has provided and leveraged a substantial amount of funding for BD conservation and sustainable use around the world, \$1.18 billion of direct financing and about \$2 billion in leveraged co-financing”<sup>18</sup>. Many reported mobilizing “substantial financial resources” during implementation, which were not anticipated at project approval. Trust funds (e.g. in Peru, Bhutan) have attracted funds exceeding estimates during design. For example, “the Peru National Trust Fund project has been one of the WB’s most successful trust fund examples, mobilizing to date US\$27 million. It could be argued that in some cases, the actual resources leveraged are higher than reported; for example, projects rarely account for the actual cost of in-kind government counterpart contributions”<sup>19</sup>.

An evaluation of the Small Grants Programme found that many countries have succeeded in attracting both co-financing grants and significant volunteer inputs. Projects also reported stimulating actions and outcomes going beyond the project, such as: (a) replication or expansion of GEF-supported models or demonstrations; (b) development common methodologies which were applied elsewhere, (c) changes in attitudes and awareness, (d) broader country policy changes<sup>20</sup>.

A table revealing summary co-financing data from the review period, broken down both by OP and by IA, is found on the following page:

<sup>17</sup> GEF Project Performance Report 2000, GEF Council – April 10, 2001, p.88

<sup>18</sup> Singh, S. and C. Volonte 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p.60

<sup>19</sup> GEF Project Performance Report 2000, GEF Council – April 10, 2001, p.20

<sup>20</sup> Global Environment Facility. *GEF Lessons Notes 5*, January 1999. GEF Secretariat Monitoring and Evaluation Program, Washington., p. 2

### GEF Co-financing: 1997-2001

O.P.	Total Portfolio Breakdown			World Bank		UNDP		UNEP <sup>21</sup>		Multi IA	
	Total # of Projects with Co-financing	Total Co-finance Cost (\$mill.)	Average \$ Co-finance Costs (\$mill.)	Total # of Projects	Total Co-finance Cost (\$mill.)	Total # of Projects	Total Co-finance Cost (\$mill.)	Total # of Projects	Total Co-finance Cost (\$mill.)	Total # of Projects	Total Co-finance Cost (\$mill.)
1	18	328.49	18.25	5	263.83	9	53.88	2	2.08	2	\$8.7
2	22	283.8	12.9	10	141.38	12	142.42	--	--	--	--
3	26	383.01	14.73	16	268.13	10	114.88	--	--	--	--
4	6	37.96	6.32	2	19.23	4	18.73	--	--	--	--
S.T.	7	89.8	12.82	1	37.50	3	46.51	3	5.79	--	--
Multi O.P.	39	1255.15	32.18	29	971.46	4	10.04	2	20.84	4	252.81
<b>Total</b>	<b>118</b>	<b>\$2 378.21</b>	<b>\$20.15</b>	<b>63</b>	<b>\$1 701.53</b>	<b>42</b>	<b>\$386.46</b>	<b>7</b>	<b>\$28.71</b>	<b>6</b>	<b>261.51</b>

Compiled from: GEF Monitoring and Evaluation Unit. Project Data File. 2001 – Co-financing Period 1997-2001

Many examples of leveraged funding/co-financing were found through our interviews, field visits and desk studies. A specific example of leveraging financing was found in our field visit to Jordan, where sustainability was enhanced in July 2000, when the RSCN secured a \$3 million from USAID to expand the tourism and socio-economic programme pioneered in the Dana GEF initiative. RSCN has also gained institutional sustainability by raising over \$1.5 million for a trust fund to maintain RSCN running core costs.

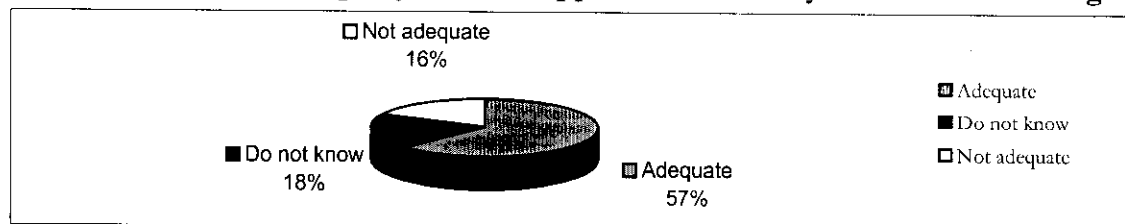
Similarly, in Russia, our data suggests that overall:

- The programme clearly has been catalytic at national, regional and local levels.
- Nationally, they were able to help attract further support from the WWF, USAID and other bilateral donors, as well as from the federal budget in a period of very tight resources.
- Regionally, in the Baikal regions and NN, they were able to stimulate investments and support from regional administrations, NGOs and private sector.
- They were also able to stimulate a great deal of local support through small project funds that financed hundreds of initiatives with at least 50% of resources coming from the local proponents.

Responses to our questionnaire support this positive view of the GEF's role as a catalytic mobilizer of funding and co-financing. National focal points found that the GEF's catalytic role in mobilizing funding was generally adequate, as reflected in the graph below:

<sup>21</sup> It is important to point out that the OPS1 has recognized that UNEP is NOT a funding agency and it is therefore not realistic to expect that it will provide the same level of co-financing as the UNDP or the World Bank.

“What is the level of adequacy of GEF support in their catalytic role in mobilizing funding?”



Overall, generally speaking, “GEF projects have played a major role in attracting co-financing from other sources during project preparation and implementation”<sup>22</sup>. However, “although there were many instances of projects that mobilized finances beyond the anticipated project co-financing, the experience in leveraging financing has not been uniform. The GEF’s experience in leveraging financing, particularly for BD projects, can be characterized as generally adequate but somewhat uneven, and expectations that projects will generate substantial additional financial support during implementation...” are often not realized. The exception seems to be with conservation trust funds. “However, the EAP region’s BD portfolio has not leveraged significant resources for BD conservation over and above project co-financing”<sup>23</sup>.

In sum, the success of the GEF in continued financial leveraging will be crucial in the years ahead. The experience gained will be particularly relevant for ensuring funding in view of emerging programmatic approaches, and the funding needs likely to be attached to them.

***Recommendation:*** *In view of the tremendous BD conservation needs, the CoP should encourage the GEF to continue to further and build its role as a catalyst and lever of additional funding.*

<sup>22</sup> GEF, April 2001, *GEF Project Performance Report 2000*, GEF Council, p. 2.

<sup>23</sup> GEF, April 2001, *GEF Project Performance Report 2000*, GEF Council, p. 87.

## 2.3 Effectiveness

### 2.3.1 Brief introduction to key issues

In this section, we focus on key issues identified by CoP that relate to the effectiveness of the financial mechanism, including:

- The effectiveness of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives;
- Improving the efficiency, effectiveness and transparency of the cooperation and coordination among implementing agencies with a view to improving the processing and delivery systems of the GEF and to avoid duplication and parallel processes;
- The need to enhance cooperation between the Implementing Agencies to increase efforts to improve the processing and delivery systems of the Global Environment Facility; and
- Inter-secretariat cooperation.

### 2.3.2 Effectiveness of policies and programmes

In terms of GEF effectiveness at the policy and program level, the GEF already has in place a system that allows tracking of expenditures by Operational Program. As the financial mechanism for the Convention on Biological Diversity (CBD), GEF addresses issues of global importance under its operational programs (OPs). These OPs represent the following ecosystems: (a) arid and semi arid (OP1); (b) coastal, marine and freshwater (OP2); (c) forest (OP3); and (d) mountain (OP4). OP12, integrated ecosystem management, and OP13, agricultural biodiversity are recent additions<sup>24</sup>, reflecting the broader ecosystem based approach promoted by the CoP guidance.

In terms of classification of projects by operational program for the review period 1997-2001, OP3 (forests), continues to have the largest number of projects and GEF allocation, with a total of 36 projects and an allocation of \$159.6 million.<sup>25</sup> This is followed by OP2 (coastal, marine, and freshwater), with 32 projects and an allocation of \$139.9 million. OP1 (arid and semi-arid) and OP4 (mountains) consist of 32 projects and \$152.4 million, and 32 projects and \$139.9 million, respectively. In addition, there are 7 projects dealing with short-term response measures, with an allocation of \$41.6 million<sup>26</sup>. Enabling Activities account for 209 projects and \$62.1 million, while Multi-OP has 44 projects, for \$344.8 million.

On the next page, a summary table provides a breakdown of biodiversity projects approved during the period 1997-2001, broken down by each OP and for each of the three main implementing agencies (as well as for multi IA projects).

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<sup>24</sup> GEF, September 2001. *Biodiversity Program Status Review*. FY01. Draft

<sup>25</sup> In terms of the distribution of projects by Operational Program (OP), it is recognized that many of the projects, in addition to the primary OP assigned, also fall within classifications of other ecosystems.

<sup>26</sup> GEF, September 2001. *Biodiversity Program Status Review*. FY01.

Summary breakdown of GEF Portfolio by Operational Programme and Implementing Agency, projects approved between 1997 – 2001

Operational Programs	Total Portfolio Breakdown			World Bank			UNDP			UNEP			Multi IA		
	Total # of Projects	Total GEF cost (\$mill.)	Average cost (\$mill.)	Total # of Projects	Total GEF cost (\$mill.)	Average cost (\$mill.)	Total # of Projects	Total GEF cost (\$mill.)	Average cost (\$mill.)	Total # of Projects	Total GEF cost (\$mill.)	Average cost (\$mill.)	Total # of Projects	Total GEF cost (\$mill.)	Average cost (\$mill.)
<b>1</b>	32	152,353	4,76	11	70,656	6,423	14	60,876	4,348	5	3,771	0,754	2	17,05	8,525
<b>2</b>	32	139,924	4,373	13	43,175	3,322	19	96,749	5,092	0	—	—	0	—	—
<b>3</b>	36	159,570	4,432	20	97,300	4,865	15	61,645	4,110	1	0,625	0,625	0	—	—
<b>4</b>	10	51,063	5,106	3	30,18	10,06	7	20,883	2,983	0	—	—	0	—	—
<b>EA</b>	209	62,092	0,297	25	3,747	,15	126	18,891	0,15	56	35,866	0,640	2	3,587	1,793
<b>STRM</b>	7	41,56	5,937	1	10,389	10,389	3	24	8	3	7,171	2,39	0	—	—
<b>Multi O.P.</b>	44	344,798	7,836	32	265,543	8,298	4	17,955	4,489	4	9,56	2,39	4	51,74	12,935
<b>Total</b>	370	\$951,36	2,57	105	\$520,99	\$4,96	188	\$300,999	\$1,60	69	\$56,993	\$,83	8	\$72,377	\$9,05

Source: Compiled from: GEF Monitoring and Evaluation Unit. Project Data File. 2001.

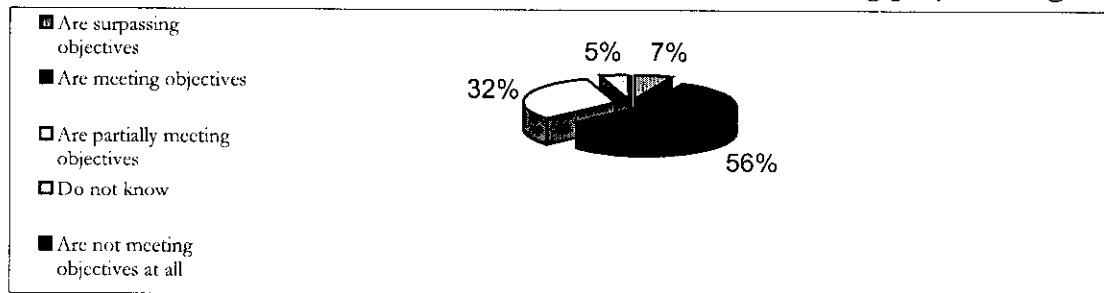
It appears that globally the GEF, through its OPs, is effectively addressing the priority areas of concern for the CoP. However, there are some indications that funding factors are beginning to play a more important role in project selection and thus, in the overall effectiveness of the GEF's policies and programs to respond to the CoP. Indeed, interviewees pointed out that although in the past, funding was not a factor in project selection, there are now cases where funding concerns have been raised during project selection, as competition for funding between a growing number of priorities and players increases. In addition, some key interviewees (IAs and GEF) suggested that the flexibility of the Operational Strategy is likely to be impeded in the future due to the growing evidence of increased competition for available funding. It is worth noting that two out of the three funding scenarios presented at GEF Replenishment Meetings indicate that the BD focal area will receive fewer resources in GEF-3 than it did in GEF-2.

***Recommendation:*** *The CoP should request an increase in funding levels attributed to the implementation of the CBD through the GEF.*

### 2.3.3 Effectiveness of GEF projects

A critical effectiveness issue relates to whether or not GEF projects are actually achieving objectives that are set forth during the project design. This is a precondition to ensuring broader compliance with the guidance. The question was posed to national focal points, and the responses are reflected in the graph below. 7% of the focal points thought the GEF projects in their country had surpassed their objectives, 56% believed they had met their objectives, while 32% (a significant minority) believed they only partially were meeting their objectives.

**“Are GEF projects achieving objectives set forth during project design?”**



These findings are similar to those of the recent GEF Biodiversity Program Study, which had posited slightly lower success rates, suggesting that about half of the projects had “mostly achieved their objectives”, while 8% had “fully achieved objectives”. The other half of the projects were reported as either achieving objectives partly or minimally<sup>27</sup>. The study also noted that about half of those projects that focused on protected areas were assessed to have fully or mostly met their objectives, even though these are considered among the most difficult to implement. According to

<sup>27</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.



the study, about half the projects had substantially addressed land degradation issues and another 10% partially did so<sup>28</sup>. It is important to note that such reports summarize completed projects, most of which date back some years. Newer projects, which are more likely to be effective, are not yet counted.

### **2.3.4 The most important factors contributing to GEF project success**

In view of the challenge in achieving expected results of BD projects, it is important to analyse what are the likely key factors in ensuring project success and what are the major impediments to success. This issue was also covered through our survey given to focal points. They identified the following issues as centrally important to success:

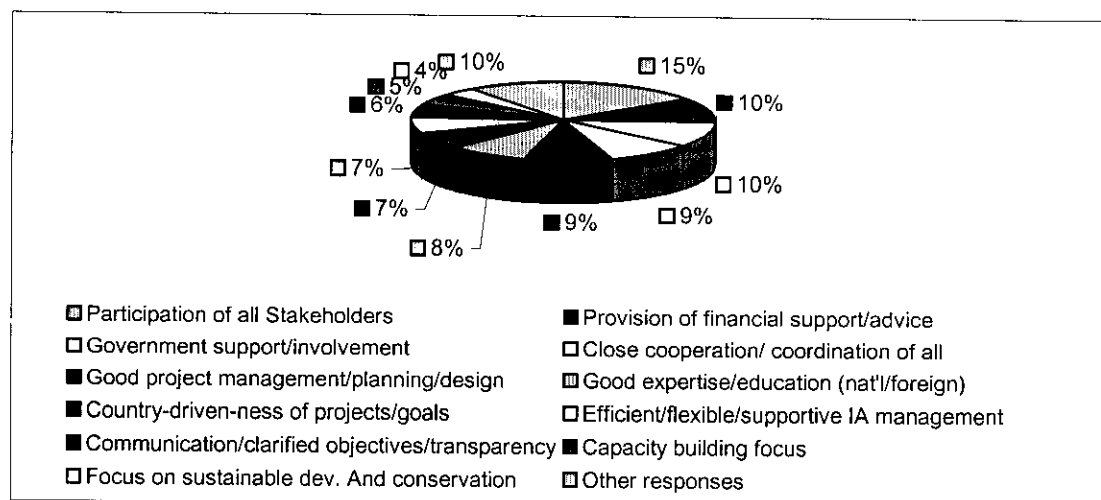
- Participation of all stakeholders, especially national and local ones, in both planning and implementation;
- Provision of financial support, funding and advice;
- Government support and involvement;
- Close overall cooperation and coordination of all (IAs included);
- Good project management (including some degree of administrative and financial independence), good planning and realistic design;
- Good education, technical, scientific and other expertise (foreign when necessary) of all project participants (involving all national expertise);
- Country-driven-ness of projects and project goals must be compatible with national goals for better overall ownership;
- Good (choice of) IA for efficient management, continued support, flexible implementation and responsiveness;
- Good communication and clarified objectives and vision throughout, transparency;
- An emphasis on capacity development; and
- A focus on sustainable development, conserving BD, and preserving ecosystems.

The proportional responses for each of these factors are provided in the graph below:

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<sup>28</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.

**“What are the most important factors contributing to GEF project success?”**



These factors were extremely similar to those mentioned during field visits, interviews and in other reports. For example, the GEF “Lessons Notes” also point out that capacity building is key for successful outcomes and sustainability and provides specific suggestions (as noted under Capacity-building below)<sup>29</sup>.

From field visits in the Seychelles, it was reported that the *Avian Ecosystems* Project was a success because there is good cooperation between the Implementing Agency (BLS), the Ministry of Environment & the Ministry of Foreign Affairs, among other factors also mentioned above. Additionally, there were clear national priorities as laid out in the Seychelles’ NBSAP, which were country-driven. This was found to be very similar in the case of Jordan, where some of the key factors that contributed to the success of the projects reviewed were strong inter-institutional cooperation among different stakeholders (such as cooperation among government and GEF IAs) and the greater involvement of the local community and NGOs in the project execution.

Similarly, in Russia, some of the most important factors for project success included: (a) having the right people in place, keeping them in place and ensuring good working relations among them, (b) supporting already identified Russian and local priorities, and (c) having good capacity at the start of the programme, and then building on this further (e.g., through training of PA staff, raising public awareness of BD issues).

***Recommendation:*** *The CoP instruct the GEF Secretariat and its IAs to place greater emphasis on ensuring that the criteria for project success identified in this report are explicitly addressed early in the design and planning stages of GEF projects, and are monitored throughout implementation, with adjustments as required.*

<sup>29</sup> Global Environment Facility. *GEF Lessons Notes 8*, June 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

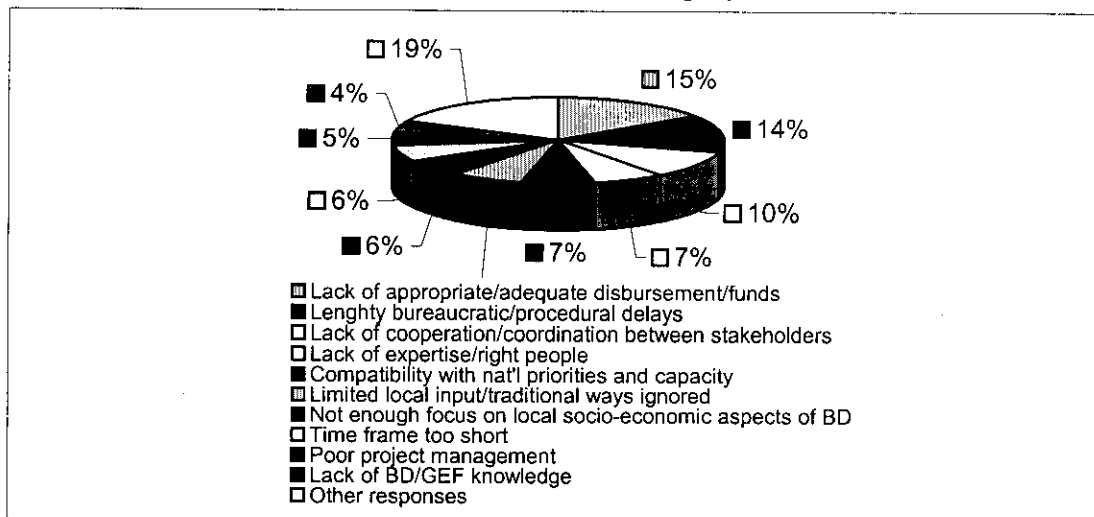
### 2.3.5 Key constraints to GEF effectiveness

Much can also be learned from the review of the factors that negatively affect the achievement of GEF project results. National focal points identified a number of factors they judged as the most important impediments to GEF project success in their respective countries. Below is a list of the main responses to this question in our questionnaire:

- Lack of ongoing and adequate financial support or untimely disbursement thereof;
- Long or bureaucratic administrative procedures, especially at project beginning; simplify project cycle, reduce IA procedural delays/conditionality;
- Lack of coordination and cooperation between stakeholders, IAs, and all institutions;
- Lack of expertise and proper training at government and other levels, shortage of the right people;
- Not enough focus on local socio-economic contextual aspects of BD, leading to low commitment and sustainability;
- Not enough focus on or compatibility with national priorities and actual level of capacity, resources and expertise in the developing countries;
- Limited local input in planning, allowing traditions to be ignored and the process to be too donor-driven;
- Inappropriate time frame for achievement of objectives (too short);
- Poor Project Management or inflexibility thereof, lack of manager credibility; and
- Lack of knowledge of GEF and BD in general.

The proportional responses of these main impediments to the success of GEF projects are represented in the graph below:

**Most important impediments to GEF project success**



Once again, these categories of responses are supported, and repeated, by our other sources of data, and similar central impediments were brought forth through field visits, interviews and the relevant literature reviewed.

For example, many of these factors were echoed in the recent GEF Biodiversity Program Study, which cited the following constraining factors: (a) lack of implementation capacity, (b) unrealistic and over ambitious objectives, and, (c) shortage of time and funds.<sup>30</sup> The authors further recommended that each project conduct a 'capacity assessment exercise' prior to project initiation' in order to make capacity development of individuals, institutions and systems a priority.<sup>31</sup> This harkens back to the repeated response of assessing and ensuring capacity for achieving project success. As subsequent sections sustainability make clear, our review stresses capacity development as a key issue for project success, and the GEF too, recognizes this central and crucial element, through its support the for the Capacity Development Initiative (CDI).

In addition to the aforementioned foci, our field visits and interviews also identified the following factors as further impediments to project success:

- Strong differences of personal opinion of the various stakeholders;
- The complexity of biodiversity issues; and
- The lack of attention to the root causes of biodiversity loss.

There are, of course, a number of factors that are outside GEF and IA control but which may greatly affect the ability to yield the expected results for given projects. Some of the key factors identified through this review process (through interviews and field visits) against which the rate of success of GEF projects has to be put in perspective include, among others:

- Security problems including internal conflicts, civil unrest;
- Problems posed by corruption and internal politics;
- Delays in the government procurement of equipment/technology;
- Changes in government;
- Economic crisis;
- Bureaucratic hurdle in the country;
- The lack of system wide ownership (institutional turfs); and
- The fear of innovation from the recipient country.

Overall, it can be concluded that there are indications that the financial mechanism is having some success in achieving project objectives, but that there is definitively scope for improvement. Some of the factors affecting negatively project success are outside the control of the GEF. However, a great number of other factors can be tackled in project design, like the crucial importance of capacity assessment, and by mitigating well the factors presented here.

***Recommendation:*** *The CoP should instruct the GEF Secretariat and its IAs to put more emphasis on sound project design, and planning, including better situation analysis of factors which will affect project success, stronger needs assessment for capacity development, and more realistic goal-setting.*

<sup>30</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.

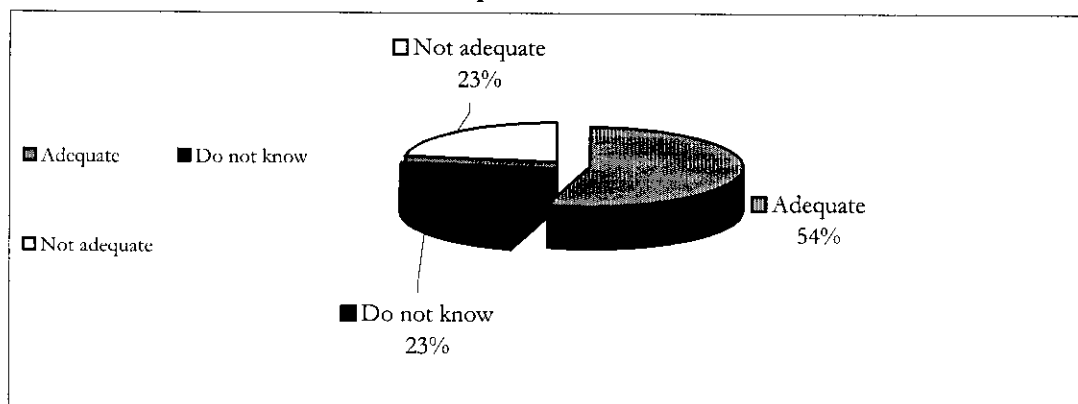
<sup>31</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 6.

### 2.3.6 Synergies among the GEF family of institutions

There is a strong rationale to support improved cooperation and coordination between Implementing Agencies in view of increased effectiveness in responding to the CoP Guidance. The way international agencies work with the national governments and go about their business sends clear signals about their own view of the significance of the conventions, and, thus, may influence the commitment of the partner to the agreement. This coordination becomes especially key when one talks of moving from the project approach to a more programmatic or thematic approach, where it is understood that a common frame of action is set (i.e. the national biodiversity strategy). Confusion caused by the different agendas of various donors in a given country is widely recognized as a factor negatively affecting chances of project success<sup>32</sup>. As the GEF itself points out, “by... build(ing) lasting relationships, and adapt(ing) procedures to reinforce partnerships and minimize the burden on counterparts, international agencies can significantly enhance their long-term contributions to sustainability”<sup>33</sup>. Thus, IA coordination can greatly influence the overall effectiveness of GEF BD initiatives.

IA procedures and inter-agency coordination has a great effect on GEF project effectiveness in BD. This is why it was important to gain an understanding of how developing countries perceived this cooperation and coordination, and the GEF’s support for it. National focal points responses to this question are reflected in the graph below:

**“ How adequate are GEF efforts to improve efficiency, effectiveness, and transparency of process of cooperation between the IAs?”**



Our varied sources of data and information suggest numerous examples of, and potential mechanisms for, collaboration amongst the IAs. For example, the GEF itself has reported finding such collaboration. “UNDP/GEF projects interact with similar interventions, benefiting from synergy effects and engaging in joint activities. This contributes to reducing overlaps between projects and donor competition... PIR reporting shows numerous examples of collaborative work with a wide range of projects and organizations including UNDP programs (Sudan Community-Based Rangeland Rehabilitation Project) other UN agencies, multilateral and bilateral donors, regional development banks... Examples of synergies are the formalization of agreements for the

<sup>32</sup> Singh, S. and Volonte C.2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 29.

<sup>33</sup> GEF, April 2001. *Achieving Sustainability of Biodiversity Conservation*, GEF Council, p. 17.

sharing of information, local human resources, trainees and experiences (Vietnam Protected Areas) and the development of thematic networks (Jordan, Lebanon Syria...)<sup>34</sup>.

In addition, the WB and the UNDP, in two separate proposals, have both established a programmatic approach to BD protection in the mountain ecosystems of Pakistan. "This synergy will ensure complementarity between the two GEF initiatives, one focused on PA management and the other on rural community development"<sup>35</sup>.

In Latin America, our interviewees pointed out that the Meso Inter-American Corridor project involved a joint effort between all three IAs. In another example, the World Bank, later picked up a BD action plan for Papua New Guinea, which started as a UNDP Enabling Activity project, in a collaborative and coordinated way, through the Consultant Trust Fund. In addition, the Biodiversity Planning Support Program has also seen joint operation between UNDP and UNEP.

Agencies also appear to work well together on country dialogue workshops or similar events. For instance, our field visit in Russia revealed that an MOU had been signed between the Government of Russia and the three IAs in 1999 to help them better co-ordinate and collaborate. This better co-ordination is reflected in the conference they jointly sponsored in mid – 2001 to provide information on the GEF to a wide range of Russian partners.

Our data suggests that the largest part of the growing cooperation that takes place between IAs is happening mainly at the policy/strategy level, portfolio balance/program level, or in early project planning only. For instance, in the Capacity Development Initiative (CDI), the IAs agreed on a format for portfolio assessment. As a GEF Project Performance Report notes, on another occasion, UNEP worked with the GEF to put in place "new technical guidelines and methodologies both at the international and national levels to assist countries in developing national strategies and frameworks for bio safety and other topics"<sup>36</sup>.

However, according to some of our IA interviewees, there are few formal mechanisms to really support cooperation. There are now, for instance, regular meetings between the WB and UNDP, and there are also pipeline discussions on projects, wherein descriptions of projects are floated and shared among agencies. Unfortunately, interviews suggest that proactive collaboration is generally not happening, especially in the longer-term. Collaboration happens on a case-by-case basis. Our data suggests there are relatively few examples of actual joint implementation of projects in the field, and a general weakness of exchange of information/lessons learned between similar projects amongst IAs.

Yet, our interviews revealed that there is a good attempt at maintaining external consultative methods through the Biodiversity Task Force, which exists for, and amongst, all three IAs. The Task Force sometimes meets once a week (sometimes via teleconferencing if out of Washington D.C.), but usually only meets twice a month (due to daily work loads, travel demands and scheduling

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<sup>34</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 62.

<sup>35</sup> GEF, July 1997. *GEF Intersessional Work Program Proposed for Council Approval*, pp. 4/9.

<sup>36</sup> GEF, April 2001, *Project Performance Report 2000*, GEF Council, p. 2.

conflicts). This mechanism could potentially be used for enhancing coordination overall. Another mechanism is the exchanges of staff between agencies. It was often suggested that personalities can sometimes work to enhance cooperation between IAs during the project development itself in an informal manner.

In addition, issues of IA overlap and complementarity can be adequately discussed and addressed (informally through telephone and email) at the pipeline (PDF) stage when there is good communication between IAs at an early stage. Plans for long-term, maintained collaboration and cooperation can be deduced. Yet, no matter how the issue of IA coordination and collaboration is addressed, the real constraints to cooperation must be understood and mitigated.

### ***Constraints to cooperation***

There are obviously constraints to cooperation amongst the IAs at various levels and stages. For example, according to one of our interviewees in the IAs, at the project implementation stage, inter-institutional mechanisms for cooperation exist but they are often not rigorously applied since most staff that would take a leadership position in such cooperation is overwhelmed. Sometimes extra demands, personality differences and different and competing imperatives between IAs have proven to be major obstacles. In addition, the time consuming bureaucratic demands involved in enhancing overall cooperation can often act as disincentive to pursue it. Furthermore, often differing bureaucratic or administrative procedures leads to the lowering of overall coordination and collaboration. As one of our interviewees at the GEF pointed out, IA blended projects are almost impossible due to differences in: financial mechanisms, operational policies and the mere complexity of the organizations involved. These types of difficulties, though, are not only GEF related but can be expanded to collaboration in general with other donors. One option which could enhance overall collaboration and coordination could be to ensure effective coordination of assistance planning and implementation at the country level.

Another impediment to collaboration between IAs, according to various interviewees, resides in the recognized competition between IAs, most predominantly for financial resources. Administration fees to IAs for GEF project management were indicated as one central factor acting as a catalyst for this competition, from our interviews and field visits. The situation is also complicated by the relationship between the IAs themselves and between the IAs and the countries. There is often competition between agencies around specific 'territories'. In fact, often the country offices' independence can and has played against good cooperation at this level.

The importance of this issue of competition is supported by some of the findings of our field visits. For example, in Seychelles, one of our key informants pointed out that IAs would block each other's mandates where there were overlapping mandates between them, rather than acting in a complementary fashion<sup>37</sup>. In Russia, there were problems associated with lack of effective cooperation mechanisms among the IA's, reflected by the situation that arose in 1998-99, when both the World Bank-GEF and UNDP-GEF portfolios each had included plans for support to the same

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<sup>37</sup> It should be noted here that some of the representatives from the HQ of Implementing Agencies who commented on the draft review report disagreed with this view and rather believed that the IAs were working closely and well on a joint project in this country.

protected area in the Kamchatka Peninsula region on the Pacific coast. Although some data sources suggest that this had negative results, there is also strong evidence, which suggests that this case has precipitated improvements in GEF IA coordination in Russia, which culminated in the signing of an MOU in 2000 between the government and the three IAs on coordination mechanisms.

These constraints to needed IA collaboration and coordination must be addressed. As the GEF moves towards a programmatic approach, actions must be taken to improve the availability of formal mechanisms for cooperation and support the development of national capacity to coordinate donor input, as enhanced IA coordination and collaboration overall, will surely greatly affect the effectiveness of the financial mechanism for the CBD.

***Recommendation:*** *The CoP should instruct the GEF to put more emphasis on the development of a more harmonized system of reporting and communication among GEF IAs (and government) to allow for more effective project implementation, coordination and exchange of lessons learned, and to ensure the mechanisms for sustaining collaboration are developed and implemented.*

***Recommendation:*** *The CoP should support the development of the national government capacity for donor coordination in general in the field of biodiversity.*

#### ***Synergies across conventions***

Synergies across conventions can also raise overall effectiveness in addressing BD concerns. This was also recognized by the CBD which, in compliance with decisions V/8 IV/15 of the CoP (which recommended that the CoP should request the Executive Secretary to jointly collaborate with the Secretariat of the Convention to Combat Desertification in the implementation of the programme of work), signed a Memorandum of Cooperation in July 1998, addressing institutional cooperation, exchange of information and lessons learned, coordination of programmes of work, joint actions, liaison arrangements and consultation, reporting, and further guidance. This related in particular to biodiversity issues associated with the scientific and technical linkages between desertification and biodiversity (i.e., dry and sub-humid lands) including climate change, forests and wetlands<sup>38</sup>.

The GEF also encourages multi OP projects, although these are still considered to be in the early days, which is progress in terms of enhancing cross-convention synergies. For example, the GEF recently approved a carbon sequestration/ forestry management project in Senegal; another one is addressing coral bleaching and international water issues. One of the success stories is the Meso-American Corridor Project, which integrates concerns from RAMSAR, World Heritage, Migratory Birds and Sites Species. Along these lines, the GEF's OP12 is about the integration of land and water; According to some GEF interviewees, there is lot of enthusiasm about the potential

<sup>38</sup> UNEP, April 2000. *Consideration of Options for Conservation and Sustainable Use of Biological Diversity in Dryland, Mediterranean, Arid, Semi-Arid, Grassland and Savannah Ecosystems. Possible Elements of a Joint Work Programme Between the Secretariat of the Convention to Combat Desertification on the Biological Diversity of Dry and Sub-humid Lands.* UNEP/CBD/CoP/5/INF/15, pp. 1 and 2.



of this OP, but there are also indications that the lack of clarity in its focus may impede its effectiveness.

***Recommendation: The CoP should instruct the CBD Secretariat to continue to act in favour of collaboration with other Global Convention Secretariats.***

***Recommendation: The CoP should recognize and continue to support the efforts of the GEF in promoting multi OP projects in order to increase potential synergies between conventions.***

## **2.4 Efficiency**

### **2.4.1 Brief introduction to key issues**

In this section, we focus on key issues identified by CoP that relate to the efficiency of the financial mechanism:

- The efficiency of the GEF-funded activities on the implementation of the Convention and in the achievement of its three Objectives;
- Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects; and Additional appropriate steps to expedite the project preparation and approval process;
- Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven;
- Urging the GEF to continue improving access to funding by developing country Parties and increase flexibility in its operational criteria;
- Exploring the possibility of promoting diverse forms of public involvement and more effective collaboration between all tiers of government and civil society, including the feasibility of a programme of grants for medium-sized projects. Such exploration should take into account the eligibility criteria set out by the Conference of the Parties;
- Promote utilization of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention;
- Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the GEF; and
- Applying in a more flexible, pragmatic and transparent manner the incremental cost principle.

### **2.4.2 GEF Flexibility in Applying Operational Strategy and Procedures**

We saw in previous sections of this report that the GEF OS is generally considered flexible enough to effectively cover the CoP Guidance. We also noted some challenges in the application of the strategy, which seemed to be more linked with the interpretation of specific individuals as to what is to be covered or not under the OS. We noted in that respect that further education of, or communication to in-country professionals (from both IA and national stakeholders) as to both the GEF strategy and programme, and the CoP guidance was required.

In addition, interviewees noted that the flexibility of the OS could be further witnessed through its ability to initiate new initiatives (such as taxonomy and invasive species programmes). New operational programmes such as the agro-biodiversity and integrated ecosystem management, also demonstrate some increased flexibility. Examples of such flexibility and room for innovation were also found in the field. For instance, the Ecuador Galapagos project involves common law jurisdictions, which set precedents for other issues that may be incorporated by the OS in the future.

However, there are signs that the OS is not always adapted to local priorities. As a Government official in the Seychelles summarized it, the GEF provides funds for projects with global significance and hence it is always difficult to show to GEF the importance of an issue that has strong local significance. Yet, this does not take away from the fact that national benefits have been an integral part of GEF projects. This has been partially addressed through co-financing, and also, greater efforts are being placed on incorporating alternative livelihood strategies in projects. The point here is to emphasize the need to ensure that locally significant priorities are accounted for in the OS of the GEF and its projects, and to ensure that flexibility of GEF strategies and procedures is always being enhanced.

#### **2.4.2.1 Incremental cost criteria**

We will deal in more detail with a review of the challenges and opportunities related to GEF procedures and disbursements in the following section on streamlining of the project cycle. However, this specific discussion on flexibility in the context of overall efficiency warrants, at this stage, a further review in the application of the ‘incremental cost principle’.

Indeed, the First Review of the Financial Mechanisms noted the lack of recipient country involvement in the calculation process, and the near exclusive use of international consultants in defining its value and pointed out to the need to simplifying the process<sup>39</sup>. An independent evaluation of GEF (1998) also found that the incremental cost determination process had excluded recipient country officials because of a lack of understanding of the concept and methodologies. The new streamlined procedures were seen as an improvement, but possibly not enough to engage officials unless further efforts were made to do so. They recommended “simpler, more straightforward guidance to recipient countries and a strategy to involve them more”<sup>40</sup>. The 1998 GEF evaluation also noted that “there is no single, commonly understood methodology for calculating incremental costs (IC) in the focal area of biodiversity”<sup>41</sup>.

Our interviews with NGOs, donors, the CBD and GEF Secretariats, as well as our field visits, all suggest that this is still at present a very troublesome area, with a general lack of understanding of the concept and what it means in the area of BD, and how to measure and apply it. As one interviewee noted, “put simply, the boundaries between a local and global benefit can be fuzzy.” It appears that partner countries often don’t work out the incremental costs in their project budgets, as they count on the IA’s and a selected number of international consultants to do it or to help them. As noted by one of our GEF interviewees, it is still the case that an incremental cost analysis can only be made by relatively few specialists, and the results are not transparent for non-experts.

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<sup>39</sup> CBD, 1998. *Review of the Effectiveness of the Financial Mechanism*, Note by the Executive Secretary, Conference of the Parties to the Convention on Biological Diversity, Fourth meeting, Bratislava, UNEP/ CBD/ CoP /4/ 16, p. 11.

<sup>40</sup> Porter. G. *et al*, 1998. *Study of GEF’s Overall Performance*. Global Environment Facility Washington, p. xviii.

<sup>41</sup> Porter. G. *et al*, 1998. *Study of GEF’s Overall Performance*. Global Environment Facility Washington, p. xix.

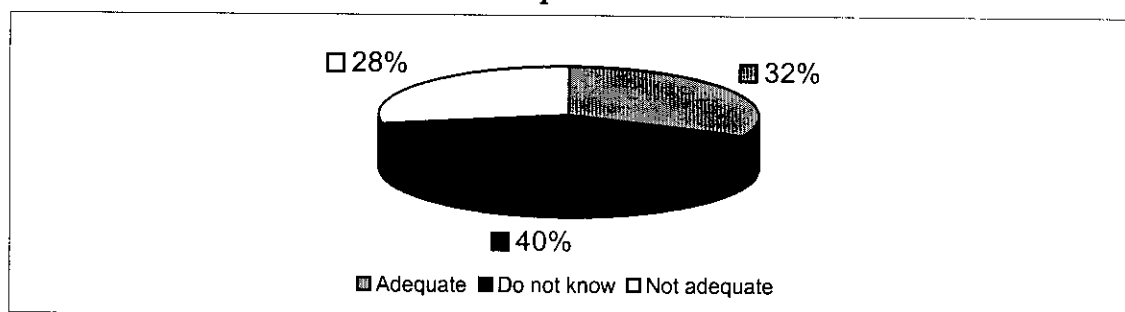
In addition, one donor interviewee pointed out that the complicated nature of the incremental cost process often drives project proponents away from the GEF. This was also confirmed by a GEF evaluation of Medium Sized Projects in Ecuador, which found that the themes of “incremental costs” and “co-financing” are factors in discouraging NGOs from applying to the MSP fund, and need to be clarified.<sup>42</sup>

Some bilateral donors and regional NGO interviewees questioned the feasibility and relevance of the incremental cost principle for BD projects, and whether it may be substituted by a more generalised approach. This supports the view expressed by the participants in the first review of the Financial Mechanism who suggested that BD projects present the greatest challenge in applying the incremental cost concept and that most methods used to that date were “questionable”, with no “clear, workable criteria”.<sup>43</sup>

As interview and field visit data also suggests, overall, the application of the incremental cost principle is an area of general weakness for the GEF. OPS 2, in its report agreed with arguments and evidence presented above, and identified confusion among IAs and recipient countries in defining “global environmental benefits” and the role of GEF in financing activities that address country development needs, rather than global benefits. The study found that “progress has been made in deriving a practical approach to determining incremental costs at the technical level between the GEF Secretariat and the GEF units in the IAs. However, there is confusion at the country level and among the other stakeholders over definitions of global environmental benefits and incremental costs”<sup>44</sup>.

Along these lines, National focal points were asked to assess the adequacy of GEF support over the last years for applying the incremental cost principle in a flexible and transparent manner. The results of this survey suggest a very mixed view, complemented by a general lack of knowledge of the work carried out at this level. These views are reflected in the graph below:

**“ How adequate is GEF support for applying the incremental cost principle in a flexible and transparent manner? ”**



<sup>42</sup> GEF, Julio 2001, *Ayuda Memoria* (Mission de Evaluation). Ministry of Environment, Ecuador.

<sup>43</sup> CBD, 1998. *Review of the Effectiveness of the Financial Mechanism*, Note by the Executive Secretary, Conference of the Parties to the Convention on Biological Diversity, Fourth meeting, Bratislava, UNEP/ CBD/ CoP /4/ 16, p. 11.

<sup>44</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 116.

Interviewees also noted, however, that the GEF has already made huge efforts to clarify the concept, create methodologies and address remaining issues, even though they were also prompt in noting the impact of this work wasn't felt in the field. For instance, the GEF Secretariat has sought to base its work on a consultative process that would be as comprehensive as possible, and would attempt to take into account the views of stakeholders who may participate in a GEF project at different stages of the project cycle. As a first step in this direction, the Secretariat commissioned the preparation of an 'issues' assessment report related to the incremental cost determinations for GEF funded projects. The assessment summarized the opinions and comments of over 30 individuals who were involved in different stages of the GEF project cycle, including: Council Members, alternates, political and operational focal points, Convention focal points, executing agencies, project directors, NGOs, consultants, task managers and staff from the IAs, Convention Secretariats, STAP, and the GEF Secretariat<sup>45</sup>. The assessment report outlined the main issues and challenges that were identified in the interviews and written submissions as well as suggestions for addressing those challenge. After reviewing the assessment and proposed recommendations, the Council requested the Secretariat to continue its work to make the application of incremental costs more pragmatic and flexible by addressing the concerns raised. The GEF Secretariat, together with the IAs and Convention Secretariats, then worked in partnership with the International Institute for Environment and Development, to organize a workshop to provide inputs into the development of guidelines for agreeing upon incremental costs as well as simplified approaches to incremental costs determination in the GEF focal areas<sup>46</sup>.

As noted more recently in a CBD Quarterly report, the GEF has examined the need for agreements on incremental costs in its project approval processes, and is promoting its use in the Country Dialogue Workshops and other outreach and communication endeavours.<sup>47</sup> Furthermore, the GEF has considered the need for agreements on incremental costs in its project criteria review/project cycle, and will promote its use in the country dialogue workshops and outreach and communication. The current main issues are the conceptual challenges of defining a sustainable baseline, simplification of applying the incremental cost concept in medium-size projects, and consideration of incremental costs in programmatic approaches.<sup>48</sup> Our data suggests that the GEF has taken stock of the challenges related the incremental cost and its impediments on efficient operations. Furthermore, as our interviewees pointed out, the GEF is at present working on a much-simplified version of the incremental cost appreciation, which would essentially involve preset percentages. Efforts in this direction must continue to enhance overall efficiency.

***Recommendation:*** *The CoP should support the efforts of the GEF in simplifying the application of the incremental cost principle and urge it to adopt a procedure that would allow for transparent and straightforward negotiations with the developing country parties.*

<sup>45</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/CoP/5/7, pp. 15 and 16.

<sup>46</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/CoP/5/7, pp. 15 and 16.

<sup>47</sup> CBD, April 2000. *Quarterly Report on the Administration of the Convention on Biological Diversity*. UNEP/CBD/QR/8, p. 19.

<sup>48</sup> CBD, April 2000. *Quarterly Report on the Administration of the Convention on Biological Diversity*. UNEP/CBD/QR/8, p. 19.

### 2.4.3 Streamlining the Project Cycle

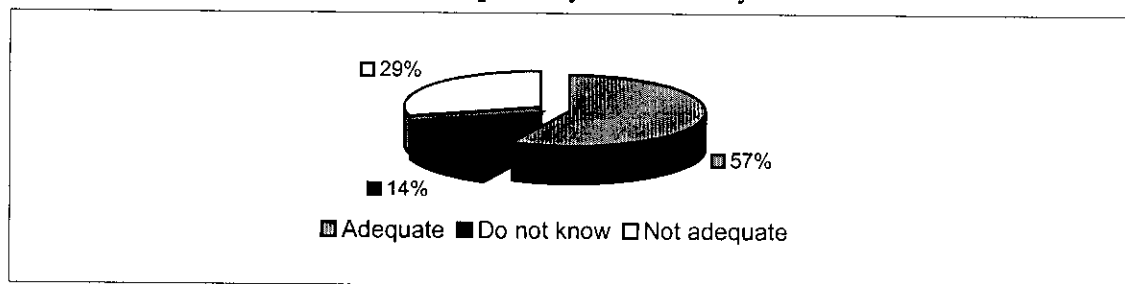
#### 2.4.3.1 General Discussion on Streamlining

A broader issue in efficiency, as signalled by the CoP, relates to the streamlining of the GEF project cycle to simplify and to increase transparency and country driven-ness. This proved to be a concern of central importance throughout this review process. In fact, this remains a work in progress, which focal points that responded to our questionnaire, as well as the interviewees in general outside of the GEF, will all be watching closely.

New authorities were provided to the CEO in 1998 for project approval to help the streamlining by authorizing the CEO to endorse final project documents without awaiting a four-week review by Council members<sup>49</sup>. The GEF recently reported that its disbursement performance was improving, noting that the time between Council approval and Board approval for full-sized projects was pointing to an overall reduction trend since GEF-1. In addition, “cumulative disbursements for the entire GEF portfolio increased... and trends were mostly positive... Disbursements in relation to commitments were 53% as of June 2000, up from 46% in June 1999... For UNEP, the ratio has shown steady improvement to 60% in June 2000, up from 52% in June 1998... In the same period the WB ratio has gone up to 43% from 39% in June 1999. This, in particular, is a significant improvement since 1999 when nearly half of projects had disbursement lags of 50% or more”<sup>50</sup>.

On this issue, national focal points were asked about their own appreciation of the efforts of the GEF in this respect over the past three years, and their responses are reflected below. One can note that while a majority pointed out they thought the GEF efforts were adequate – acknowledging the efforts made to date - a significant minority thought that they were not adequate, which tends to suggest need and scope for overall improvement in simplified processes and procedures for the project lifecycle.

#### “How adequate are GEF efforts to streamlining the project cycle to simplify and to increase transparency and country-driven-ness?”

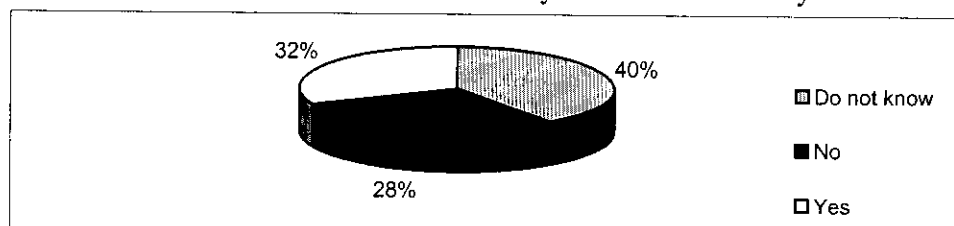


<sup>49</sup> GEF, April 2000. *Third Progress Report on Actions to Implement the Recommendations of the Study of GEF's Overall Performance*. GEF Council, p. 5.

<sup>50</sup> GEF, April 2001. *GEF Project Performance Report 2000*. GEF Council, p. 8.

Although some GEF data may suggest that project procedures have improved in many ways, when it comes to the ‘timeliness’ of fund disbursement, the evidence from focal points suggests a significant inadequacy. For example, when asked if GEF project preparation and disbursement processes are “sufficiently predictable and timely”, one participant summed up the response of many through this review process, “they are predictable, but not timely”. As can be seen from the Graph below, the focal points respondents are more or less evenly split on this issue, suggesting there are varying performances in the field, and an overall need for improvement on this issue.

**“ Is the GEF project preparation and disbursement process for full/medium sized projects sufficiently flexible and timely?”**



The GEF’s own Performance Reports noted that “disbursement performance continues to improve... Time elapsed from GEF Council approval to Bank Board approval for full-sized projects is showing an overall downward trend since the beginning of GEF-1”<sup>51</sup>. Although, the same report also notes, more importantly, that “...projects were delayed by project-specific factors such as the enabling environment not permitting projects to move forward, delays in finalizing co-financing arrangements or crises outside the Bank’s control... Over-optimistic programming and under-estimating complexity have also been common factors... In any event, the Bank’s management will need to assess how the current trend of increasing elapsed time between GEF approval and Bank approval can be reversed, (as) ...time elapsed from Bank Board approval to effectiveness has increased for the third successive year”<sup>52</sup>. It was also pointed out that GEF project approval times are longer than other international donors, and much longer than bilateral donors.

In the same light, many interviewees including donors, NGOs, IA staff, and STAP, along with participants interviewed on field visits, all strongly underlined the continued frustration with this situation, which persists despite the fact that it has been mentioned three times by the CoP and noted in numerous evaluations. Specifically:

- In Ecuador, many interviewees noted that the process is taking longer over time;
- In Seychelles, it was noted that GEF procedures for securing funds for projects are lengthy. Financial mechanisms both nationally and internationally proved to be complex and too long;
- In Jordan, it was noted that the GEF response to national requests was far from timely, bringing long delays and implying many mechanisms to get a project approved. In the case

<sup>51</sup> GEF, April 2001. *Project Performance Report 2000*. GEF Council, pp. 84-85.

<sup>52</sup> GEF, April 2001. *Project Performance Report 2000*. GEF Council, pp. 84-85.

of the agro-biodiversity project reviewed, for example, one of our key interviewees noted that it took about five years to start implementation.

Interviewees identified the following main reasons for delay in project preparation and approval:

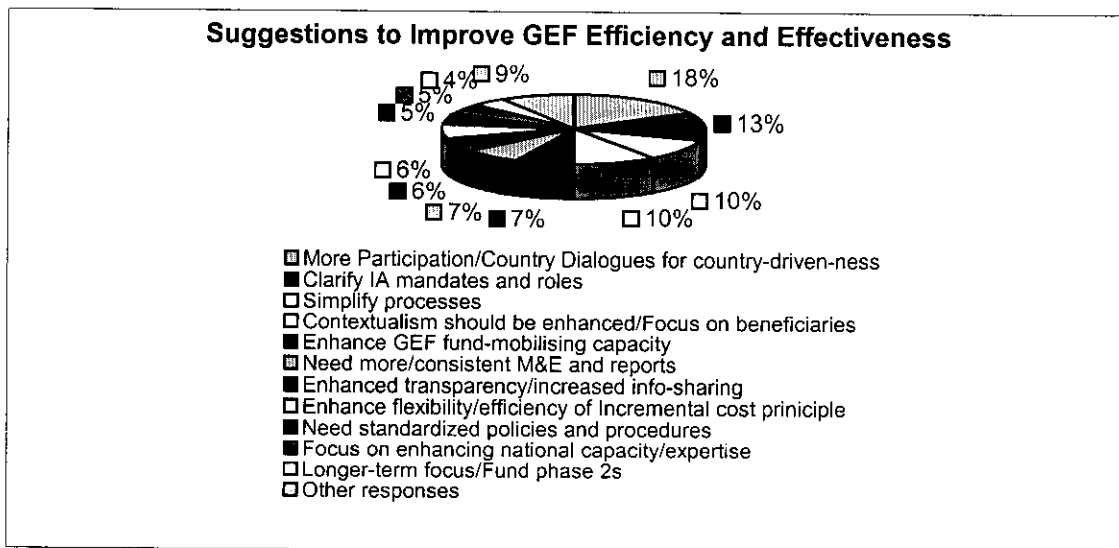
*At the GEF and IA level:*

- Some pointed to the apparent lack of clarity on the relative roles of GEF Secretariat, IA headquarters and IA field offices in design and approval of GEF projects;
- Some respondents felt that the number of specialists at the headquarter offices of the IAs and at the GEF who must review proposal added to delays;
- Data suggests that IAs need to respond to new GEF formats and requirements for proposals, which can add to delays; and,
- Most argued that inconsistent requirements among IAs complicated participants' work, and added to overall delays.

*At the country level:*

- Most pointed to a general lack of communication within and among government agencies, IAs, NGOs and other core participants;
- Data strongly suggests that there are many overly ambitious projects with too many goals and activities (takes too much design and planning work); and
- Many respondents pointed to the technical and administrative weakness of many Operational Focal Points.

In support of these aforementioned areas for improvement in GEF efficiency overall, questionnaire respondents brought forth the following categories of suggestions for overall improvement represented in the graph below:





Our field visits also pointed out numerous complicating factors for efficiency:

- For Russia, complicating factors for project approval included frequent changes in the government's administrative structure and ongoing headaches related to the requirement to pay a high national value-added tax of 20%, which could not be waved (and GEF would not pay). This caused delays as national counterparts looked for ways to pay this tax (this was also noted in the Seychelles field visit)<sup>53</sup>. IA contracting and disbursement processes were also a major source of discontent among national partners, especially among NGOs and other smaller partners who have had a lot of difficulty understanding and coping with demands and unpredictable delays; and
- In Jordan, complications to the project approval process were usually due to bureaucratic government procedures, and GEF IA procedures, as well as an uneven workload distribution among the governmental and GEF IA staff. Lack of incentives for local government employees, local communities to participate in project implementation and follow-up activities, as well as, overlap among the mandates of different local institutions (MOE, GCEP and MOMRAE in land use) were also mentioned as factors.

Similarly, the 1999 project performance review by the GEF identified factors leading to unsatisfactory performance that are in line with our own findings, namely: (a) inadequate implementation capacity of executing agencies (including NGOs); (b) time needed for participatory approaches; (c) reduced government/other contributions; (d) lack of government commitment; and (e) procurement delays.<sup>54</sup>

The need to address this particular area of weakness is paramount, as the negative effects and externalities, which come as a result of procedural and disbursement delays, and a non-streamlined project cycle, are quite extensive, beyond efficiency. Among many others, respondents identified the following negative results due to the long time span between project design and start:

- the considerable momentum and stakeholder enthusiasm developed during project design dissipates, with a "decrease in interest and engagement";
- government officials and other project planners may no longer be in place when the project starts;
- the process discourages organizations (especially smaller NGOs or institutes, but also government agencies) who do not have the time or resources to be involved for the 1-3 years needed for project design and approval;
- potential project proponents go to other funders, who have faster, less complicated processes;
- it becomes difficult to attract the interest of the private sector, who lose patience;

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<sup>53</sup> It is important to note that Bank GEF full-sized projects never finance local taxes and this may be a complication, but they do constitute counterpart contribution and, according to the Bank, demonstrate counterpart commitment. Furthermore, the World Bank pointed out that these problems were tackled at the mid-term review and prompt resolution was helped by decentralization of responsibility for procurement and financial management to the Bank's Moscow office.

<sup>54</sup> Global Environment Facility. *GEF Lessons Notes 10*. Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

- it appears that the lengthy preparation phase has tended to select for the largest environmental NGOs, who usually have more time and resources and often support from international NGOs, to participate in project development. While they may be quite capable, smaller environmental NGOs or NGOs from other fields have a harder time accessing GEF funds, and this was the case in Ecuador. Thus procedural delays are leading to some inequality and unfairness in project participant selection.

There were a number of concerns about transparency in the project approval processes that were noted by focal points generally, and interviewees in the field in particular. Several informal references were also made to that effect by a number of focal point respondents to our questionnaire, referring to the role of IAs in project selection, and also in project planning. Another interviewee mentioned in that respect that it was difficult to distinguish between requirements of GEF and those of the intermediary body representing them (i.e. the IAs). Yet, it is also important to note that it is often positive that the GEF reflect the internal procedures of its IAs, and therefore must be consistent with them in their efforts to mainstream GEF assistance.

Since the last review, there has also been signs of a growing consensus within the GEF (as discussed in both the 1998 and 1999 Performance Reports) that project instruments need to be more long-term and flexible, using a phase approach with firm performance benchmarks as the basis for continued support. Indeed, this may help improve both efficiency and effectiveness of GEF operations. As the GEF itself points out, in view of the programming challenges ahead in biodiversity, there is an “urgent need” for “clear guidelines for adaptive management and flexible approaches”, and “to fully examine the implications of this direction on internal procedures and incentives”<sup>55</sup>. In addition, “project cycle and review criteria may need to be changed to reduce the required level of exactitude on project details, and encourage analysis of risks and uncertainties and how the project will be monitored and adapted over time”<sup>56</sup>.

This needed streamlining of the project cycle is an area of difficulty for the GEF and its IAs, and is a hurdle that can be overcome, by focusing on enhancing overall efficiency, and making improvements in timely fund disbursements and related administrative and operational procedures. This should become a higher priority for the GEF, as the global awareness of weakness on this issue is quite extensive, negative effects are having damaging effects on the ground, and possibilities for positive change abound.

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<sup>55</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 3.

<sup>56</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 3.

***Recommendations: The CoP should:***

- ***instruct the GEF Secretariat and its IAs to take onboard or scale up its efforts to achieve more efficient project management generally, through continued efforts to reduce approval time, simplify procedures, and reduce delays in disbursement.***
- ***Instruct the GEF Secretariat to continue efforts to improve guidelines for fund management to allow for longer term, more adaptive and flexible support but also promote more accountability and transparency at the national level.***

#### 2.4.3.2 Medium-sized Projects

In response to CoP guidance in decision II/6, paragraph 10, and in its efforts to increase flexibility, improve responsiveness to developing country parties priority needs, and provide opportunities for a wider range of stakeholders under the financial mechanism, in 1996, the GEF Council approved more expeditive procedures for the development, approval and implementation of medium-sized projects (projects not exceeding US \$1 million in GEF funding).<sup>57</sup>

In June 1999, 23 medium-sized projects had been approved under the biodiversity portfolio, for an overall GEF financing of US \$17.2 million. This represented about 70% of the entire medium-sized projects submitted, suggesting that medium-sized projects were popular in the area of biodiversity.<sup>58</sup>

The value added of MSP as an instrument under the GEF was generally recognized by the key informants interviewed through this review. MSPs have made a unique contribution in the promotion of the objectives of the CBD. However, one must note that the MSP does seem to also suffer from some of the procedural problems associated with full projects and this is worrisome as this mechanisms was created to help ensure a more expeditive process.

Indeed, a recent evaluation mission for MSP projects in Ecuador, one of the countries we visited, noted that project approvals take an average of 14-16 months, with one taking 30 months, due to bottlenecks within the government and the IAs.<sup>59</sup> Our field visit also revealed that there is no marked difference in the efforts for an MSP or a Full-sized Project<sup>60</sup>, as there should be. Furthermore, in Ecuador in particular, the demand for MSP was quite low. Respondents mentioned several factors for this, which included:

- complexity of the process dissuades project officers from trying to implement MSP;
- insufficient technical capacity of most Ecuadorian NGOs;
- lack of time and funds for NGOs to design a project; and
- the challenge of incremental costs and co-financing.

<sup>57</sup> GEF, February 1998. *Report of the Fourth Meeting of the CoP to the Convention on Biological Diversity*. GEF, Washington, p. 22.

<sup>58</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/CoP/5/7, p. 6.

<sup>59</sup> GEF (Mission de Evaluation), Julio 2001, *Ayuda Memoria*. Ministry of Environment, Ecuador.

<sup>60</sup> GEF (Mission de Evaluation), Julio 2001, *Ayuda Memoria*. Ministry of Environment, Ecuador.

In addition, some of our interviewees (most notably, in the GEF) also noted the challenge that is still associated with MSP, notably the need to reach out to more local types of organizations from civil society and the private sector. At this point, most of the groups involved through MSP outside the government were larger types of NGOs such as WWF and IUCN. This finding is in agreement with another finding from our field visit in Ecuador, which suggested that insufficient efforts to involve local NGOs and companies was evident, as these large NGOs tended to be the only ones who can the most afford a lengthy approval and planning process.

As the MSP remains one of the primary mechanisms through which the GEF can simplify and enhance the overall timeliness of disbursements and streamlining the project lifecycle more generally, enhanced efforts to improve related processes are necessary. Moreover, this mechanism should ensure that all possible steps are taken for involving a broader array of local NGOs and the private sector.

***Recommendations:*** *The CoP should instruct the GEF to further simplify the IA – GEF approval, disbursement and reporting procedures for MSPs with a view to increase potential for smaller NGO and private sector involvement through this funding window.*

#### 2.4.3.3 Use of international consultants

An independent evaluation of the GEF in 1998 found that the use of international consultants, while often necessary, appropriate and generally effective, has been criticized by recipient countries for reducing the local involvement needed to promote country-driven projects that become locally “owned”. The study recommended a GEF policy, parallel to that for stakeholder participation, to promote increased use of local and regional consultants, encourage a mix of local and foreign experts, and secure greater recipient government participation in consultant selection.<sup>61</sup> This use of international consultants is also often criticized from a general cost-effectiveness perspective. However, there are benefits that international consultants can often bring to the project or program. For example, according to the GEF, participation in projects by international experts and consultants has been seen positively in some countries and has often strengthened their networks. It has also been instrumental in building applied capacity (through their involvement in planning convention management related issues).<sup>62</sup> In addition, it is recognized that often the effective preparation of projects requires the use of international consultants. Although local expertise is preferred, it is often not available.

Overall, there was a general agreement from our interviews and field visits that the use of international consultants is generally more efficient and effective, when they are teamed up with regional or local consultants for specific purposes. In other words, the use of international consultants is most efficient if using them allows developing countries to meet other goals, like the

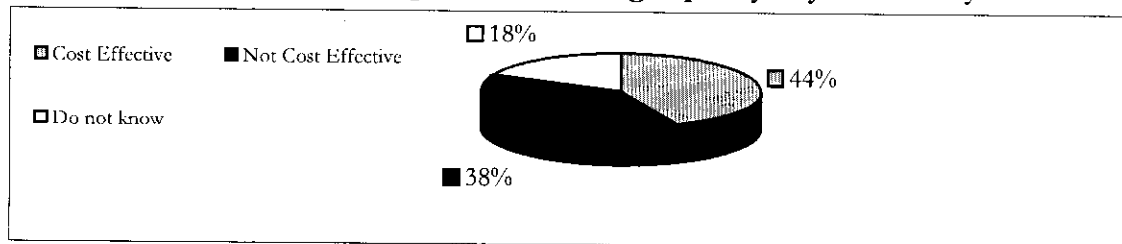
<sup>61</sup> Porter, G. *et al.*, 1998. *Study of GEF's Overall Performance*. Washington: GEF, p. xiv.

<sup>62</sup> Global Environment Facility. *GEF Lessons Notes 9*, Dec. 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 3.

transfer of capacity. In some cases national or regional capacity does not exist, and in those cases, the use of international experts through twinning arrangement with local resources that have good knowledge of the local context can be part of an effective approach.

The mixed score on cost-effectiveness of international consultants was also shared by the focal points who responded to our survey, whose views are presented in the graph below. These mixed views may be a reflection of the varying levels of existing expert capacity in the countries covered, as alluded to earlier.

**“ How Cost-Effective is the use of International consultants for planning/ implementing BD projects, given the existing capacity of your country? ”**



Our field visits support this general direction. For instance, in Seychelles, it was indicated by various stakeholders that international consultants are not necessarily cost effective. However, in the context of the Small Island States they represent or bring skills that are either scarce or not available at all. Preference would be to opt for national consultants when available. Twinning arrangements were also seen as adequate, especially in the early stages to build capacity. Seychellois respondents pointed out that in the World Bank project covered by the review for instance, international consultants worked alongside Seychellois counterparts in the ‘Island Assessment & Island Restoration’ undertakings, and involved the secondment of numerous staff from the Ministry of Environment. In this case, the use of international consultants was both effective and efficient.

GEF interviewees outlined that recently, there has been less use of international consultants, although other interviews pointed out there is still a fair amount of reliance on their services by IAs, especially for project preparation. The recently completed Biodiversity Programme Study argued, with reference to using international consultants, that “while there are sufficient scientific inputs, especially from international scientists, expanding the number of local scientists remains one of the more challenging aspects of project execution”<sup>63</sup>. This issue of building local capacity should thus be central as well to the selection and management practices of consultancies in GEF projects. The GEF has pointed out to its willingness to pursue this route. Through its partnership undertaken with UNEP to mobilize the scientific and technical community, the GEF expects to be in a position to promote greater involvement of local/regional experts in its activities.<sup>64</sup> And, indeed, efforts in this direction are required for purposes of elevating the level of national capacity in biodiversity and being more cost-effective in projects. In addition, the GEF could make increased and better use of the STAP roster of expertise, and strengthen the links between STAP and SBSTTA.

<sup>63</sup> Singh, S., Volonte C., 2001. *Biodiversity Program Study*. Global Environment Facility Monitoring and Evaluation Unit, p. 48.

<sup>64</sup> GEF, April 200. *Third Progress Report on Actions to Implement the Recommendations of the Study of GEF’s Overall Performance*. GEF Council, p. 7.

***Recommendations: The CoP should:***

- *Reiterate its support to the GEF thrust to use more local and regional expertise with a view to cost-effectiveness and greater contextualization of the assignments;*
- *Encourage the GEF to favour twinning arrangements between local and international resources in cases where local capacity is restrained, with a longer-term view to fostering capacity transfer;*
- *Encourage, more generally the GEF to put this issue of building local capacity central stage to the selection and management practices of consultancies in GEF projects.*
- *Encourage the GEF to make increased and enhanced use of the STAP roster of expertise, and finds ways to enhance and strengthen the links between STAP and SBSTTA.*

#### 2.4.3.4 Monitoring and Evaluation Systems

Monitoring and Evaluation is vital to ensuring efficiency in the management of GEF activities and, as pointed out in another section, is also a tool for reporting on the overall effectiveness of the financial mechanism in working towards fulfilling the objectives of the convention. The Secretariat is still going through the process of defining the M&E function of the GEF, as the CoP did not provide clear guidance on this issue. Usually, there is consultation taking place between GEF Sec, and the Convention secretariats to comment on M&E ToRs, drafts and final reports. Adequate monitoring and evaluation is even more crucial in view of the move by the GEF to more flexible and iterative approaches to management (in the future), as such management processes will require clear feedback mechanisms.

The GEF has made efforts towards developing a framework to monitor its activities and has ensured competent staff, and various systems in place in the GEF M&E Unit. From our interviews and field visits, data reveals that the M&E team at the GEF is perceived as good, independent, and rigorous in its evaluations. One can note that, for instance, the Biodiversity Enabling activity report that was produced two years ago was a good piece of evaluative work. Similarly, another work, 'Achieving Sustainability of Biodiversity Conservation' done by the GEF's M&E unit in 2000, is a good piece that exemplifies overall M&E progress, and also for demonstrating how the GEF is acting as a catalyst for furthering issues of M&E. Another report from 2000 found that "resources continued to be provided to the IAs in FY00 to allow them to participate actively in corporate M&E activities"<sup>65</sup>. Therefore, from a global or macro perspective, GEF M&E can be seen in a positive light, and much progress has taken place on this front. Yet, it must be remembered that the work of the M&E unit in the GEF Secretariat is to look at the *overall* performance of the GEF. This is done in the context of policy guidance. The difficulty arises in monitoring of results and impacts of GEF work, which has to build on project level monitoring.

In terms of results and performance at the project level, the GEF relies on M&E functions of the IAs. In general, the monitoring and evaluation happening in the IAs has tended to be focus

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<sup>65</sup> GEF, April 200. *Third Progress Report on Actions to Implement the Recommendations of the Study of GEF's Overall Performance*. GEF Council, p. 12.

on inputs and outputs, without a clear focus on results and impacts for projects. The quality of reporting has been noted as improving, with the availability of more project evaluations and completion reports, and program status reports, evaluations and thematic reviews. However, the GEF reports that PIR reporting in all agencies continues to focus on implementation rather than on outcomes, project impacts and the project context.<sup>66</sup> The recent BD program study noted that “the fact that GEF projects, by and large, do not systematically collect data on their impacts on BD was one of the surprising findings of this study... for most of the projects there was no baseline data against which the current status could be compared... There were no clear field indicators... The lack of information related to impacts appears to be an indicator of the preoccupation of GEF projects reviewed with activities and tasks”<sup>67</sup>. There is a need for M&E of GEF BD activities at the IA level to evolve, and for results and impacts to become central elements of reporting overall. However, this will require a good understanding of correct, measurable and appropriate indicators of progress towards the achievement of clear objectives.

However, “several reports have highlighted... the limited GEF experience with impact indicators – even the work regarding identification of program level indicators for BD is still in progress”<sup>68</sup>. As the GEF itself notes in a report, there is a need to develop indicators for each of the biodiversity OPs. Indeed, “specific BD indicators will ultimately assist in the assessment of project impacts and achievements”<sup>69</sup>. The emphasis on indicators is of course important for all the IAs as well. In one of the World Bank’s evaluations of its BD activities, they found that “most projects focused on quite ambitious M&E systems... but too little effort was given to the identification and use of feasible indicators related to threats to BD...Reasons include lack of assessment of competence and capacity related to implementation of M&E program”<sup>70</sup>. The Bank itself is correct to argue that “a BD M&E plan should, among other things: state clearly what indicators will be chosen; specify how M&E will be done and by whom; specify how information will feed back into management decisions”<sup>71</sup>. A Bank evaluation found that this very important benchmark was generally weakly addressed in the projects included in its study, and when it was addressed, it often lacked precision. In addition, the Bank found that “there was little emphasis on systemic ecological monitoring... and instead often focused on project performance...i.e. budgeting, accounting”<sup>72</sup>. Moreover, as interview data also confirms, the study also noted that “another problem some projects had was neither the objectives, nor the indicators of success, were clear”<sup>73</sup>.

As the GEF points out on capacity development, monitoring of results also has to be improved. More attention is needed to identifying specific capacity development needs, as well as

<sup>66</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>67</sup> Singh, S., Volonte C. 2001. *Biodiversity Program Study*. Global Environment Facility Monitoring and Evaluation Unit, pp. 38-40.

<sup>68</sup> GEF, April 2001. *Project Performance Report 2000*. GEF Council, p. 66.

<sup>69</sup> GEF, April 2001. *Project Performance Report 2000*. GEF Council, p. 21.

<sup>70</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects – Draft Report*. WB: Operations Evaluation Dept., p. 6.

<sup>71</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects – Draft Report*. WB: Operations Evaluation Dept., p. 25.

<sup>72</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects – Draft Report*. WB: Operations Evaluation Dept., p. 25.

<sup>73</sup> Singh, S., Volonte C. 2001. *Biodiversity Program Study*. Global Environment Facility Monitoring and Evaluation Unit, p.29.

intended results and qualitative impacts. Project reporting has here tended to be limited to outputs (e.g., number of trainees) rather than changes in individual skills or organizational performance. Projects also need to explicitly address organizational barriers to the application of new individual and institutional capacities (how they will enable and disable those trying to use new skills).<sup>74</sup>

Some of our interviewees argued that the first challenge is to get some ‘order’ and overall harmonization in the system, and the second is to develop program level indicators that can rely on an aggregated analysis of sound project level results and impact monitoring. This will allow in particular, better reporting overall around convention priorities. Indeed, the GEF has recognized this need, yet, there is much work to be done.

From our review, we found that a significant proportion of stakeholders felt that improved monitoring and evaluation, and accompanying relevant reporting, if strengthened, could contribute significantly to improved overall impact, sustainability, effectiveness and efficiency of GEF BD projects in the developing world.

***Recommendation:*** *The CoP, while recognizing the progress made by the GEF, should instruct the financial mechanism to pursue overall improvement and harmonization for its system of M&E (GEF Secretariat and IAs). Project level M&E should be focused on impacts and results, rather than inputs and outputs, and must include usage of appropriate indicators.*

#### 2.4.4 GEF Support of Enabling Activities

##### 2.4.4.1 GEF Support of Enabling Activities and National Biodiversity Strategies

Our review indicates that the GEF’s programme in supporting enabling activities has made considerable progress over the period covered. An independent evaluation of GEF in 1998 noted that the GEF made a major adjustment to approval procedures for enabling activities (EA), resulting in a significant acceleration of approvals in 1996-7. But the study team did not believe this was as helpful in improving national reports and communications as was anticipated. They recommended a comprehensive analysis of EA before the end of 1998 to assess the successes and weaknesses of these projects plus responses.<sup>75</sup> The GEF reported that by March 1999, “worthwhile and cost-effective” national biodiversity planning was being done as part of enabling activities in 121 countries. 28 had finalized NBSAPs, 20 had drafts, and 33 had submitted first national reports, while 32 had drafts<sup>76</sup>. By June 30, 2000, “the GEF had supported 185 enabling activities and clearing house mechanisms (CHMs) ... with a total allocation of US\$46.62 million”<sup>77</sup>. Our research supports the view of the GEF Secretariat that reports should be seen primarily as “setting the stage for national biodiversity planning”, given the severe challenges to implementation, such as national

<sup>74</sup> Global Environment Facility. *GEF Lessons Notes 8*, June 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

<sup>75</sup> Porter, G. *et al*, 1998. *Study of GEF's Overall Performance*. Washington: Global Environment Facility, p. xviii.

<sup>76</sup> CBD, December, 1999. *Report of the Global Environment Facility*. UNEP/CBD/CoP/5/7, p. 14.

<sup>77</sup> GEF Study Team, October 2001. *GEF Second Overall Performance Study (OPS2) - Interim Report*. Washington, p. 36.



commitment and capacity.<sup>78</sup> In addition, needs assessments form an integral part of overall effectiveness and efficiency.

By 2000, an interim assessment of BD enabling activities found that most countries receiving GEF assistance did effective planning and that progress was made on several national biodiversity strategies and action plans.<sup>79</sup> Interview data reveals wide differences in progress towards completing NBSAPs. For example, a number of the reporting Parties in the Asia/Pacific region have completed or nearly completed their NBSAPs, often based on previous work in developing national environmental action plans or conservation strategies, while others are only beginning. These vary widely in content and level of detail.<sup>80</sup>

Among Parties from the Africa region that have submitted national reports, half are currently (as of Sept. 2000) preparing NBSAPs. Most Parties started the process in late 1997 or early 1998. The majority of the Parties reporting are undertaking the preparation of NBSAPs with financial assistance from the GEF. A number of Parties note that the NEAPs or management programmes have previously been prepared or are in progress, and NBSAPs are in part based on these plans that are, in several cases, complete and have been adopted by the relevant legislature<sup>81</sup>. In the Caribbean, most Parties report the development of NBSAPs, although in some cases this development is at a fairly early stage. Yet, the “GEF is supporting the process in most countries”<sup>82</sup>.

The Mexican NBSAP was featured in one of the GEF Lesson Notes as a success story in forging a national plan, with broad participation and high-level political commitment. One participant agreed that the process was effective in engaging the right politicians and stakeholders; defining priorities and strategies; and responding to Mexico’s obligations under the CBD. “If the GEF hadn’t called for this, it wouldn’t have happened”, an interviewee noted.

However, the Mexican participant also argued that (a) there was weak integration of the plan with national development policies, for example, the Secretary of Environment does not always use it when dealing with other ministries, and (b) the diverse parties who helped to design it were no longer involved: “everyone has gone back to their work”. Like other data suggests, this exemplifies the possibility or risk that the strategy stays only at the political level, and is then not well-implemented and integrated into national priority activities. Indeed, along these lines some of our interview respondents also noted that the product-oriented approach of writing a strategic document may not be enough to put in motion an effective process in which all the key stakeholders work together on a national strategy that can be operationalized and adapted over time, as needed.

<sup>78</sup> Global Environment Facility. *GEF Lessons Notes 9*, Dec. 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 1.

<sup>79</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>80</sup> Blinger, A., Sept. 2000. *Capacity Development Initiative: Country Capacity Development Needs and Priorities – Report for Small Island Development States*. GEF-UNDP strategic partnership, Washington, pp. 58-59.

<sup>81</sup> Blinger, A., Sept. 2000. *Capacity Development Initiative: Country Capacity Development Needs and Priorities – Report for Small Island Development States*. GEF-UNDP strategic partnership, Washington, pp. 58-59.

<sup>82</sup> Blinger, A., Sept. 2000. *Capacity Development Initiative: Country Capacity Development Needs and Priorities – Report for Small Island Development States*. GEF-UNDP strategic partnership, Washington, pp. 58-59.

That being said, several reports from the Pacific Parties also make reference to the importance of the NBSAP process in promoting dialogue between diverse stakeholders, and in facilitating the development of a better awareness and understanding of cross-sector responsibility, and this was also supported by interviews. This is an important process, as one Party reports overlaps of mandate and areas in which there is no clear coordinator, while another draws attention to deficiencies in integration resulting from restrictions inherent in the existing legislative framework<sup>83</sup>.

Many respondents noted that the production of these biodiversity strategies has been valuable, especially where countries had nothing, and that the GEF truly “enables in cases where they wouldn’t be done”. They identified the following benefits:

- stimulates *governments* to make long-term biodiversity strategies, whereas in the past, it was the international NGOs who promoted these tools and primarily NGOs who used them;
- brings together diverse parties with a stake in biodiversity to discuss priority issues and possible actions;
- collects and synthesizes dispersed biodiversity baseline information, including maps;
- provides a context and background for proposing project to GEF and other donors; and
- making participants aware of related initiatives, e.g., sustainability strategies, sectoral strategies.

GEF M & E program conducted an interim assessment of how well GEF-supported enabling activities have helped countries meet obligations under the CBD, and listed 12 “Best Practices for Success”<sup>84</sup>. Their list of ‘Best Practices’ includes:

- iterative approach to project preparation;
- adapt international models and guidelines to local conditions;
- use innovative methods for popular participation and sharing scientific information;
- include capacity building;
- link with relevant initiatives;
- use local and regional expertise; and
- get high-level political, government and business support.<sup>85</sup>

The GEF has been instrumental in supporting, through its enabling activities, processes for diagnosis, common understanding and planning for biodiversity conservation. In addition, the enabling activity mechanism has become more efficient and responsive over the period covered by this review.

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<sup>83</sup> Blinger, A., Sept. 2000. *Capacity Development Initiative: Country Capacity Development Needs and Priorities – Report for Small Island Development States*. GEF-UNDP strategic partnership, Washington, pp. 58-59.

<sup>84</sup> Global Environment Facility 1999. *Interim Assessment of Biodiversity Enabling Activities*. GEF Secretariat Monitoring and Evaluation Program. GEF Secretariat, Washington.

<sup>85</sup> Global Environment Facility. *GEF Lessons Notes 9*, Dec. 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

#### 2.4.4.2 Flexibility in Support for Enabling Activities

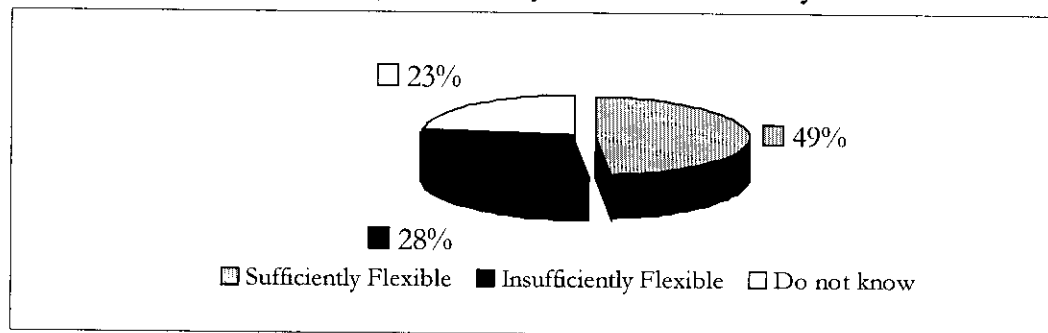
The flexibility of GEF guidelines and procedures and support of enabling activities is crucial for project success, and an important aspect of the efficiency and overall performance of the financial mechanism of the CBD. This issue has emerged as a crucial matter for developing countries, who, for the majority, are inextricably linked to such activities, which help them better strategize and plan the directions they would like to follow.

According to the GEF, after initial difficulties with the first set of operational criteria for enabling activities in 1995, project-processing time was reduced from about 500 days in 1995 to about 100 days in 1998 with the adoption of the second set of operational criteria.<sup>86</sup> There has thus been considerable progress at this level, which would then confirm the view of almost half the focal point respondents on this issue.

Our interviews also suggest that GEF and CBD representatives agree that guidelines and procedures have become sufficiently flexible when compared to the first review period. For instance, there is now an expedited approval process for projects under \$350,000. The question is to communicate these guidelines clearly to the countries involved and therefore enhance the enabling activity mechanism overall.

Along these lines, it was important to assess and integrate the national focal points' views on their perception of the flexibility of GEF guidelines and procedures in support of enabling activities in their respective countries. The responses to this question support our findings from other sources, and are reflected in the graph below:

**“ How flexible have GEF guidelines/procedures become in supporting ‘enabling activities’ in your country over the last three years? ”**



The main weakness in these national ‘enabling activity’ efforts raised by respondents is the apparent lack of attention to follow-up in some cases, once the biodiversity strategies and plans are in place. For example, those involved in Ecuador’s National Strategy noted that this stems in part from the lack of GEF funding (under “Enabling Activities”) for capacity development and implementation. The result is that often there is a large input of resources over a relatively short time

<sup>86</sup> GEF, February 1998. *Report of the Fourth Meeting of the CoP to the Convention on Biological Diversity*. GEF, Washington, P. 27.

to produce documents, which may or may not then be used further, as it should. In addition, follow-up may also be limited by the restrained technical, administrative and/or financial capacity of government agencies, especially environment authorities, even when they are willing. In fact, as one respondent noted well, “responsible authorities often don’t know what to do with these strategies”.

Although in principle all GEF projects must demonstrate how they are justified by a country’s NBSAP for project approval, OPS2 noted, along similar lines, that “it is not clear whether the NBSAPs, often developed with wide participatory effort (within countries), and at significant cost to the GEF, are playing any role in country processes for identifying priority projects for GEF support and in integrating global biodiversity conservation priorities into national plans, policies and legal frameworks. Further, OPS2 country visits revealed that the capacity built within countries in the course of preparing NBSAPs tends to be dissipated in the absence of timely follow up. GEF Secretariat and the IAs need to take responsibility in catalyzing action to ensure that NBSAPs are documents for integrated BD conservation planning”<sup>87</sup>. In addition, the study’s focus on evaluating enabling activities noted that CoP guidance on the topic was so broad that it was difficult to respond in operational terms. Our research also confirmed that many local stakeholders find the guidance on enabling activities too general. Some efforts are being made to establish better guidelines and criteria.

Yet, the OPS2 study also found that “enabling activities have generated government commitment and created a clear understanding about the GEF among non-institutional stakeholders such as NGOs and community-based organisations by explaining how efforts to achieve global environmental improvements can also have direct local and national benefits”.<sup>88</sup>

In sum, our data suggests that significant improvement in flexibility of the GEF’s guidelines and procedures in support of enabling activities has occurred. It is important that this mechanism continue to evolve, both in terms of flexibility and effectiveness overall. The GEF should ensure that such important and effective activities do not come to a dead end. Follow-up and proper integration of the fruits of enabling activities must be the focus.

***Recommendation: The CoP should recognize the significant progress made by the GEF in this area, and:***

- ***further instruct the financial mechanisms to promote more effective follow-up to biodiversity plans, for example, by ensuring that national strategies identify implementation activities, timelines and responsible parties, and that stakeholder participation in plan preparation continue during implementation.***
- ***further instruct the financial mechanism to consider extending funding for enabling activities into the early implementation phase of NBSAPs, if strategies include a detailed action plan, with defined participants, to provide bridge funding to take advantage of the momentum created during plan preparation and reduce time lags. This should not, however, supercede the need for longer-term implementation support from the financial mechanism.***

<sup>87</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 37.

<sup>88</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 58.

- *further instruct the GEF Secretariat to ensure that all GEF proposals continue to demonstrate how projects will respond to national biodiversity strategies as well as CBD objectives.*
- *further instruct the GEF Secretariat and its IAs to continue to promote support for needs assessment and capacity development in support of implementation of the Convention, through the enabling activities mechanism.*

## 2.5 Impact

### 2.5.1 Brief introduction to key issues

In this section, we focus on the key impact related issues as identified by the CoP, including the development of capacity to:

- define and implement a wide range of national and local strategies, plans and programmes;
- better manage the many socio-economic, legal, and political dimensions of bio-diversity;
- educate, communicate and build public awareness about bio-diversity issues and priorities;
- understand, identify, describe, monitor and report on different components of BD; and
- better manage and utilise information related to BD and BD activities; and conserve and sustainably use bio-diversity in different ecological zones (e.g., forests, coastal zones, inland waters, and so on).

The CoP has called for a wide range of impacts in three broad areas: promoting and orienting international co-operation and action, mainstreaming of bio-diversity issues and capacity building for bio-diversity. The last two, mainstreaming and capacity building, were within the scope of our review of the financial mechanism. We also considered the broader issue of the impact of GEF activities on bio-diversity itself.

### 2.5.2 Impacts of GEF activities on biodiversity

#### 2.5.2.1 Challenges in Achieving and Measuring Impacts

A recent review of the GEF's BD portfolio underlined their difficulties in assessing the impacts of these projects on BD. Problems arose because most projects didn't collect this kind of information and, in any case, most didn't have baseline data to compare with post-project results. The recent Biodiversity Program Study suggests that about 20% of projects had collected some impact data, and another 20% planned to do so<sup>89</sup>. All projects have impacts on biodiversity. Yet, it has been considered too early to measure the effects, and also very difficult to measure. Here, there is a problem of the absence of a baseline, the lack of causal relationship clarity, and understanding where the responsibility for impacts lies, as there is a diversity of actors, who each affect the environment.

Our interviews with representatives of NGOs and bilateral agencies and members of the STAP considered the question of project impacts on BD. Many noted the challenge of measuring such impacts in the absence of a clear framework for monitoring and evaluating BD impacts. While recognising the challenges of establishing clear and measurable objectives, people also pointed out that there might be billions of dollars spent on BD projects without knowing if they are really having

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<sup>89</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.

an impact on BD. Indeed, our interviews with IAs and focal points revealed that lack of baseline studies and information presented a serious obstacle to the measurement and reporting of impacts.

In 1999, the GEF's M & E group reported that the IA's reporting focused on implementation rather than on outcomes, impacts or results<sup>90</sup>. Rating projects as to whether they were achieving their immediate objectives and other performance indicators, fully 93% were rated as either "highly satisfactory" or "satisfactory"<sup>91</sup>. But this said little or nothing about their actual effects on BD. This situation is being addressed to some extent by the GEF Secretariats more recent efforts, such as their Millennium Ecosystem Assessment<sup>92</sup>. In addition, the situation may be improving, at least for newer projects in forested ecosystems, where most now carry out baseline biological and social studies<sup>93</sup>.

### 2.5.2.2 Tracking Results and Impacts

The national focal points that responded to our questionnaires felt the impacts of BD projects were mostly in the following areas:

- choosing national priorities for BD conservation and sustainable use;
- designing / developing national frameworks / action plans for BD conservation;
- establishing legal frameworks and policies;
- establishing protected areas and conservation zones;
- establishing BD monitoring systems; and
- improving conservation in specific zones of high priority such as forests and coastal zones.

Impacts on BD can be gauged in many 'indirect' ways. Level of mainstreaming of BD, and level of capacity development rendered, are both lenses through which to gauge the achievement of BD impacts. BD impacts can also be gauged indirectly, though far less precisely, by looking at the results of GEF efforts to improve standards of management in PAs.

It is important to remember that a key indicator of the impact of GEF projects is the degree to which these projects influence the formulation of new policies, regulations and laws that promote an enabling environment for BD conservation. The OPS2 report cites examples of this kind of influence, like, for instance, in Jordan, where "the Bio-diversity Country Study and the Jordan Dana and Azraq projects together with the GEF Climate Change initiatives positively influenced the decision to create a new Ministry of Environment. In addition, in South Africa, the Cape Peninsula Bio-diversity Conservation Project led to the designation of the Cape Peninsula National Park as a World Heritage Site".<sup>94</sup>

<sup>90</sup> Global Environment Facility. *GEF Lessons Notes 9*, Dec. 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>91</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>92</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

<sup>93</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.

<sup>94</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 32.

However, many BD projects themselves don't actually collect information on their impacts and don't have baseline data to compare with post-project results in any case. Expectations of performance of IAs, governments or the GEF itself, should be clearly set and designed at the outset, supported by incentives, and project continuation should be predicated on results achieved.

As the OPS2 report has suggested, it is, in most cases, premature to judge impacts on global BD. "Despite these limitations, it is the view of OPS2 that the GEF has already been able to produce a wide array of (rich) project results which can be considered important process indicators towards achieving future positive environmental impact"<sup>95</sup>. Future actions should therefore be built on lessons learned so far. In addition, the most effective and efficient projects are simple and strategically focused on basic building blocks for biodiversity conservation and sustainable use, avoiding broad and overly ambitious goals. This includes use of pilot projects/activities, demonstration projects, and models that can be replicated once they are proven to work. "OPS2 concludes that the GEF has laid the foundation for a concerted, science-based effort at stemming biodiversity loss"<sup>96</sup>. The next step is to ensure that BD projects build upon replicable successes, and on this foundation.

***Recommendation: The CoP should instruct the GEF Secretariat to:***

- ***ensure that lessons learned from successful past projects (as well as less successful ones) are disseminated as models for use by others.***
- ***encourage projects which focus on basic building blocks, such as institutional and legal frameworks; plans and strategies; capacity development for key players; and practical field activities.***

### 2.5.3 Impacts on Mainstreaming of Biodiversity

#### *General Evidence*

BD and GEF focal points that responded to our questionnaires felt the main impact of BD projects on mainstreaming was better co-ordination of BD conservation activities with other sectors. However, overall, respondents felt that mainstreaming was a central area of weakness in terms of impacts of GEF BD projects. Yet, mainstreaming of BD is a crucial impact to be sought out by the GEF and Developing Country parties.

The GEF's own performance review in 2000 found that there were clear opportunities for poverty alleviation, improved livelihoods and empowerment of rural communities in the implementation of GEF projects, particularly BD projects<sup>97</sup>. They also felt that *some* projects are successfully linking BD conservation and sustainable use with improvements to the well being of stakeholders<sup>98</sup>, for example in India's Eco-Development project and the Azraq Wetlands in Jordan<sup>99</sup>.

<sup>95</sup>GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

<sup>96</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 114.

<sup>97</sup> GEF, April 2001, *GEF Project April, Performance Report 2000*, GEF Council, p. 95.

<sup>98</sup> GEF, April 2001. *Project Performance Report 2000*, GEF Council, p. 2.

<sup>99</sup> GEF April 2001, *Project Performance Report 2000*, GEF Council, p. 18.



Indeed, in Jordan, the development of business-like approaches to the management of both RSCN as an institution, and to protected areas has led to greater efficiency and effectiveness in implementing biodiversity programmes and greater credibility in the eyes of the donors. We found similar encouraging signs in our brief review of Russia's national bio-diversity programme, where the Kerchinsky Reserve, for example, was supported in their development of a management plan strongly focused on the communities surrounding the reserve. This example highlights the importance of addressing BD from a wider-scope perspective, in order to mainstream BD into national and local practices.

The field visits and interviews suggest that mainstreaming has occurred in some instances. For example, in Seychelles, the focal point responded positively and said that there is local evidence for rise in understanding and commitment to bio-diversity principles as reflected in wildlife clubs, and national media coverage of critical bio-diversity issues. Yet, overall, the evidence presents a mixed bag of results. A review of current initiatives in Ecuador indicates that biodiversity is only being partially integrated into other initiatives such as the Sustainable Development Strategy, Forest Law, and other environmental and other sectoral policy frameworks. In addition, it has also been noted by our interviewees that it is a significant challenge to get biodiversity mainstreamed in IA activities and also into national activities overall.

#### ***Conservation and Sustainable use of Biodiversity: Mainstreaming beyond Protected Areas – The Way Forward***

As earlier mentioned, impacts on BD can also be gauged indirectly, for example, by looking at the results of efforts to improve PA management and conservation, and efforts to improve environmental management beyond PAs. An assessment of 49 projects protecting BD in 320 protected areas covering a total of 60 million hectares found that more than half had fully or mostly met their objectives<sup>100</sup>.

Many interview and questionnaire respondents noted that while there has been much attention to PAs, there has been much less focus on conserving and sustainably using BD outside of PAs. This preponderance of PA projects results in part from the strong influence of national NGOs (such as are found in Ecuador) who have this focus, being supported by INGOs such as the IUCN and Nature Conservancy who have similar interests. In addition, the government agencies that do get involved with GEF projects are often those responsible for conservation and PAs, but have no mandate for BD activities outside these areas, such as environmental impact assessments, or planning of agricultural, forestry, or water sector policies and strategies. A bias towards PA projects may be further strengthened by some donors who prefer to support PA projects because they tend to be more focused and straight-forward. The kinds of projects needed to promote sustainable conservation and use and benefit sharing - through developing alternative livelihoods and changing patterns of resource use for example - tend to be more complex, more ambiguous, experimental, and longer.

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<sup>100</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

Many interviewees suggested that one way to better address these issues and overcome these obstacles is by reaching out to a broad new set of project participants, with new perspectives and skills. One way to do this would be to use more local experts working in the field, for example, not just those based in the largest cities. While the OPS 2 study suggests that GEF projects are increasingly moving away from a narrow focus on protected areas towards the broader “production landscape” approach, some also find that even in these new areas, the GEF seem to be working with the same group of stakeholders. Some interviewees suggested bringing in new local NGOs who can provide effective liaison between communities and scientific or academic specialists in BD. Social scientists, such as anthropologists, also need to be encouraged to take a greater interest in BD and given greater opportunities to participate in project design and implementation. Government specialists responsible for forestry, agriculture and water management should also be brought into partnerships with BD specialists.

In addition to broader participation and consultation overall, it is also important to note that the IA dialogue with country sectoral ministries has helped in the process of mainstreaming BD. This dialogue process, with the IAs at the center, can allow effective mainstreaming channels at the country level to be pursued, and is important for the furthering of the mainstreaming process overall.

In addition, the GEF needs to root its projects more strongly in a sustainable development context and emphasise projects promoting sustainable use and the sharing of the benefits from biodiversity products and services. To date, most projects of this kind remain at a small scale, with limited impacts and uncertain sustainability<sup>101</sup>. In most countries there are still few organisations within government or civil society who can prepare strong, nationally important projects focused on these sustainable use and BD benefit-sharing issues.

Another way to further mainstream biodiversity is to ensure that conservation and sustainable use are integrated into national and sectoral strategies. Several Ecuadorian interviewees said that GEF should directly fund mainstreaming through providing funding for implementing NBSAPs and integrating project results and products into national plans and programs. Indeed, projects should be designed to ensure full integration with, and ownership of, the project within all responsible agencies, and with all stakeholders.

Although mainstreaming is indeed a difficult objective to achieve with BD, our data suggests that emphasizing benefit sharing (the subject of a subsequent section) can be a good facilitator and catalyst in the mainstreaming process. In addition, it is necessary to position GEF BD projects well within an overarching sustainable development framework in order to facilitate cross-ministry and cross-issue ‘tackling’ of BD within a wider national context of appropriate objectives.

**Recommendation: the CoP should instruct the GEF Secretariat and its IAs to:**

- **communicate more strongly to government authorities that the GEF supports biodiversity outside Protected Areas and provide more support to projects**

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<sup>101</sup>GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

**promoting the second two CBD objectives, sustainable use and benefit sharing of biodiversity products and services.**

- **To root projects more strongly in a sustainable development context and, at the same time, develop and promote practical methods and concrete case studies of how to mainstream BD into sectoral and national policies, plans and activities.**

#### 2.5.3.2 GEF Support for Incentive Measures

A central element in achieving sustainable impacts of BD, and mainstreaming the issue of BD in developing countries, at the local level, is the provision of incentive measures, by the GEF, to mainstream BD objectives at all levels of society and state in order to enhance ownership and sustainability of BD projects. An indicative and thorough listing of GEF economic incentive measures and other innovative financial instruments and approaches is provided in 'Achieving Sustainability of Biodiversity Conservation', a report of a GEF Thematic Review from July 2000.<sup>102</sup>

IAs, like the World Bank, have "made many efforts to overcome the dilemma (benefits of environmental abuse vs. benefits from environmental conservation/ sustainability) with more promotion of win-win policies, more quantitative measurement of economic benefits from improving the environment, more emphasis on better resource management, and helping members improve M&E and enforcement of environment regulations"<sup>103</sup>. One specific positive example comes from Cuba, with reference to the Savannah Cuba Way project; respondents argued that watershed conservation was indeed taking place, but objectives were being achieved through an integrated tourism and conservation approach, emphasizing incentives at the local and regional levels.

Several Ecuadorian interviewees (across sectors) mentioned that economic analysis of biodiversity values, and economic incentives for conservation and sustainable use will help to "sell" the idea to the private sector and politicians. Furthermore, politicians often respond to votes and economic factors (while some have a genuine interest), and all such incentives should be 'used' to help gain support for biodiversity conservation.

#### 2.5.4 Impacts on Capacity-building

The most impressive impact results to date have been in capacity development. This faithfully reflects CoP's guidance, which has called for capacity building in many areas, including:

- taxonomy;
- preparation and implementation of national strategies, plans and programmes;
- biosafety;
- access to genetic resources and sharing of benefits;

<sup>102</sup> GEF, July, 2000. *Achieving Sustainability of Biodiversity Conservation*. Report of a GEF Thematic Review. GEF Monitoring and Evaluation Program.

<sup>103</sup> World Bank, November 2000. (First) *Review of the (World) Bank's Performance on the Environment*. Operations Evaluation Department, WB: OED, p. 5.

- preservation and maintenance of traditional lifestyles, knowledge and practices related to BD;
- the clearing-house mechanism including information systems technologies;
- design and implementation of incentive measures;
- development of appropriate legal and policy frameworks;
- coral bleaching;
- inland water ecosystems;
- forest ecosystems; and
- education, public awareness and communications in bio-diversity.

Respondents to our questionnaire, CBD and GEF focal points, clearly felt that most of GEF project impacts related to capacity development, and they identified the following activities where GEF projects have had the greatest impacts:

- raising awareness of local and government people about BD conservation;
- enhancing and disseminating knowledge concerning BD conservation;
- training and building individual capacities related to BD conservation and sustainable use;
- improving co-ordination of BD conservation activities;
- enhancing participation in both planning and implementation of BD activities; and
- establishing Trust Funds for funding future BD activities.

Along similar lines, the OPS2 report found that “while it still premature to estimate the precise impact that the program the GEF’s BD program has had on the status of global biodiversity, the program has resulted in building institutional and individual capacity in biodiversity conservation, in developing the new conservation approaches, in forging effective partnerships, in strengthening legal frameworks, in influencing policy and creating awareness of the importance of conserving biodiversity within the context of sustainable national development”.<sup>104</sup> The bigger challenge is sustaining capacity development well beyond project life. Evidence from the GEF suggests that newer projects have tended to include activities to enhance local capacities for implementation early in the project to ensure participants will be able to carry out the necessary tasks over the longer term.

A recent study found that capacity building has formed an integral part of all the GEF-financed biodiversity projects and that capacity development activities were among the most successful components of these projects. One impressive example, which interviewees, as well as the OPS2 noted, was Nepal’s Biodiversity Conservation Project, where the leading national NGO, the King Mahendra Trust for Nature Conservation, delivered effective training in support of the Royal Chitwan National Park. Training targeted not just park officials and staff of the Department of National Parks and Wildlife Conservation, but also local community leaders, research students and park visitors<sup>105</sup>.

However, IA and field visit interviewees suggested that while some broad capacity development comes as a result of stakeholder participation, GEF projects often focus their capacity

<sup>104</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 27-28.

<sup>105</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington

development efforts mostly on government agencies. The effects of this approach may be short lived in those countries where changes in government are accompanied by wholesale changes in government staff. Further, capacity development often focuses on Ministries of Environment, who are hampered by low salaries and poor working conditions, which make it difficult for them to build up strong internal capacities.

A review of projects in Ecuador revealed that a core group of several NGOs, with strong technical capacity have provided a large part of the local consulting services for GEF projects. They have strengthened their capacity over time through this experience, combined with their strong ties with international conservation NGOs. This has helped to build national capacity in civil society. At the same time, there are examples where this capacity has not been transferred to those government institutions, which have responsibility for biodiversity, due to weak linkages between consultants and government in project implementation. This is being recognized as a problem, and a follow-up project explicitly addresses this by pairing consultants directly with government counterparts.

GEF Lesson Notes is devoted to the issue of Capacity Development, noting that it should focus on (a) transferring technologies and technical skills; (b) reinforcing new institutional structures; (c) improving project design and management skills; and (d) stimulating networks within and among countries<sup>106</sup>. It also suggests that more attention be paid to identifying specific capacity needs and intended results, and to measuring qualitative impacts. Furthermore, reporting on capacity has been limited to outputs (e.g., number of trainees) rather than changes in individual skills or organizational performance. Moreover, projects also need to explicitly address organizational barriers to the application of new individual and institutional capacities<sup>107</sup>.

Our interviews and field visits strongly suggest that many feel that the GEF's capacity development needs to focus on a broader range of government and non-government organisations (including the private sector) and extend to other sectors, such as agriculture and forestry, for example. For instance, while NGOs and academic bodies are often involved in specific project activities, their input should be brought to the project management level to strengthen capacity development and national ownership. There is general agreement that strengthening of capacity development in the GEF portfolio can be achieved by integrating it into the GEF projects and programs, rather than stand-alone capacity activities.

#### **2.5.4.1 Are GEF projects increasing availability of qualified local professionals at field level?**

Though the GEF is committed to stimulate greater involvement of local and regional experts in their projects<sup>108</sup>, expanding the number of qualified local professionals involved in GEF projects remains a challenge for many projects. The GEF's own assessment is that their projects' involvement of national academics and other experts helps generate enthusiasm and strengthen

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<sup>106</sup> Global Environment Facility. *GEF Lessons Notes 8*, June 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

<sup>107</sup> Global Environment Facility. *GEF Lessons Notes 8*, June 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

<sup>108</sup> GEF, April 2000. *Third Progress Report on Actions to Implement the Recommendations of the Study of GEF's Overall Performance and the Policy Recommendations for the Second Replenishment Period*. GEF Council Agenda Item 13(GEF/C.15/9), p. 7.

national networks. It also helps academics apply their knowledge to planning and implementation of practical BD activities.<sup>109</sup> “While there are sufficient scientific inputs, especially from international scientists, expanding the number of local scientists remains one of the more challenging aspects of project execution”<sup>110</sup>.

The GEF reports that newer projects tend to include activities to enhance local capacities for implementation early in the project to ensure participants will be able to carry out the necessary tasks over the longer term, and this is indeed a positive step forward. One example cited in the literature is Lebanon’s Strengthening of National Capacity and Grassroots In-Situ Conservation Project (UNDP-GEF) where technical assistance was used to initiate activities and train local participants who now are fully in charge of the project<sup>111</sup>. Another example is Russia’s national bio-diversity programme, where international support has been used very sparingly, mostly during planning, and local capacity and use of local professionals has been of central importance. Visiting specialists helped Russian experts to better understand the priorities and *modus operandi* of the GEF, but the majority of expertise used was local, according to those interviewed in the field in the country.

#### 2.5.4.2 Adequately strengthening local capacities to monitor

As already stressed, GEF projects need to be embedded in a strong system of monitoring, evaluating and reporting capacity and practices.

The literature and documents reviewed confirmed the need for more focus on building capacities, especially at the local level, for monitoring. The GEF’s *Lesson Notes 10* and their *Project Performance Reports* in 1998 and 1999, for example, called for a move away from an “approvals” culture towards a “results” culture. They stress that this move requires better integration of information and lessons gathered from monitoring and evaluation into planning and management. The documents suggest that this will require “a major effort to reorient the way GEF operates”<sup>112</sup>. The more recent Biodiversity Program Study recommends “a far more effective monitoring system, based on a pre-initiation baseline study...”. This system would formulate indicators and standards prior to baseline studies and would ensure baseline studies to record:

- the status, trends and rates of change of existing bio-diversity resources;
- available capacity (individual, institutional and systemic); and
- relevant socio-economic and political parameters.

And, furthermore, “...control samples would also be used to help distinguish project impacts from other impacts”<sup>113</sup>. This focus on local level capacity for monitoring and evaluation is crucial for the measuring, and indeed, the achievement, of impacts.

<sup>109</sup> Global Environment Facility. *GEF Lessons Notes 9*, Dec. 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 3.

<sup>110</sup> Singh, S. and C. Volonte 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 48.

<sup>111</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 20.

<sup>112</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 4.

<sup>113</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 7.

### 2.5.4.3 Capacity development for indigenous and local communities and the incorporating traditional knowledge and lifestyles

The importance of building capacity at the local level is clear, but there also needs to be specific emphasis placed on the incorporation of traditional knowledge and a focus on indigenous communities overall. By early 2001, GEF could report direct funding of nearly \$203 million and another \$397 million in co-financing for 25 projects where indigenous communities were actively involved in designing and implementing BD conservation and sustainable use activities<sup>114</sup>.

In 2000, a World Bank representative said that theirs was one of the few international agencies with specific operational guidelines on indigenous peoples. These guidelines directed people to ensure that all projects funded by the World Bank, which affect indigenous peoples, must ensure informed participation (of these people) in a culturally appropriate manner. Thus, World Bank projects that deal with the conservation and sustainable use of bio-diversity are expected to give priority attention to the participation of indigenous peoples in their design, preparation and implementation<sup>115</sup>.

However, the Biodiversity Program Study of the GEF has found that while there are some examples of traditional ecological knowledge integrated into project activities, this knowledge tends mostly to be obtained through consultations, then documented. It is seldom used in actual conservation or sustainable use programmes in the same projects. The Global BD assessment project, for example, completed a separate volume on indigenous knowledge and ethics entitled '*Cultural and Spiritual Values of BD*' but the review found little sign of this knowledge actually being applied in projects<sup>116</sup>.

### 2.5.4.4 Capacity development for information management systems and knowledge development

The GEF's revised operational criteria for enabling activities make provisions for capacity building in support of the clearing-house mechanism, including financial assistance to purchase hardware, software, and to cover the costs of access and training<sup>117</sup>. Assessments of capacity-building needs and establishment of focal points for "Country Clearing-House Mechanisms" could then be carried out through the enabling activity framework<sup>118</sup>. A Clearing-House Mechanism (CHM) Unit has developed web pages on biosafety and for various biodiversity key words. Web pages were also developed for expert panels on access and benefit sharing, on coral bleaching, on liaison groups on agro-biodiversity, on indicators, on dry lands and on the ecosystem approach are currently under development. On-line electronic databases provide rosters of experts and of National Focal Points<sup>119</sup>.

<sup>114</sup> Singh, S. and C. Volonte 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 3.

<sup>115</sup> CBD, April 2000. *Quarterly Report on the Administration of the Convention on Biological Diversity*. UNEP/CBD/QR/8, p. 14.

<sup>116</sup> Singh, S. and C. Volonte 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p.48

<sup>117</sup> GEF, February 1998. *Report of the Fourth Meeting of the CoP to the Convention on Biological Diversity*. GEF, Washington, p. 6.

<sup>118</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7, p. 12.

<sup>119</sup> CBD, April, 2000. *Quarterly Report on the Administration of the Convention on Biological Diversity*. UNEP/CBD/QR/8, p. 18.

However, our field visits and interviews suggested that, despite considerable effort to build information systems and data bases as enabling activities for the CBD, there remain challenges in building credible centralized information repositories that can and will be maintained when GEF or other donor support ends. Some respondents also reported that some parts of databases were not scientifically credible due to lack of rigorous data quality standards. On some of our field visits, it proved difficult to find reports, maps, posters and other products from GEF projects, as they were dispersed among government and NGO offices or lost. In addition, there has been mixed success in establishing a credible and useable biodiversity information centre and data bank in Ecuador to become part of the CHM. Lack of rigorous scientific standards, and diversity of information sources and formats have provided barriers.

However, within the context of enabling activities, and the GEF's support thereof, various IAs argue that often it is more difficult for some projects to show results, where other projects can more feasibly demonstrate objectives achieved to at least some degree. For example, some IA respondents felt that their activities, which include data management, best practices, and the creation of a scientific knowledge base, often involve a realistic time lag before the outcomes are measurable. Indeed, such activities are not as 'immediately demonstrable' as other activities pursued. These types of activities provide more of a leveraged benefit to other IAs and institutions that may use these on a multi-country replication basis 5 or 10 years down the road. On this score, many successes have been achieved, but are difficult to demonstrate in terms of achieving impacts. For these types of "enabling activities" a challenge is posed by the requirement of developing different kinds of impact indicators, and the specificity and unique nature of these 'outcomes' should be recognized.

#### **2.5.4.5 Capacity development for fair and equitable access to and sharing of genetic resources**

Promoting the sustainable use and sharing of the benefits of BD is not only an important dimension of mainstreaming BD at national and local levels, but also for greater impact overall. BD conservation tends to have a limited, dedicated constituency. Enhanced capacity for sustainable use, access to, and benefit sharing of genetic resources, offer the potential to bring BD issues into the mainstream of socio-economic life. This aspect of capacity building facilitates the achievement of other areas of impact as well.

The GEF's "enabling activities criteria" were modified to make it possible to request financing for "stock taking" activities related to equitable access and sharing of benefits from genetic resources within the context of BD projects or through discrete short-term activities. The GEF has also indicated a commitment to supporting specific 'benefit sharing initiatives', such as policy, regulatory and institutional frameworks for mechanisms that will facilitate access to genetic resources and benefit sharing<sup>120</sup>.

A more recent GEF study, "the OPS2 study, found that of the projects examined, more than half demonstrated efforts towards achieving benefit sharing. OPS2 visited a number of projects where benefits accruing at local and community levels provide good incentives for conservation and

<sup>120</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7, p. 13.



sustainable use by the very people who live with, own and depend on biodiversity”.<sup>121</sup> Benefit sharing has shown to be an area of improvement in the realm of capacity building under the GEF. However, expansion of this is required to other sectors of society. An introduction of new players is needed, as well as a wider scope of recipients for capacity building in the area of access to, and sharing of benefits of genetic resources.

**Recommendation: the CoP:**

- *Instruct the GEF Secretariat and its IAs to support the systems approach to capacity development, as promoted through the CDI initiative and the mainstreaming of capacity development support within the GEF portfolio, supporting a wider scope of capacity development areas and recipients, at all levels.*
- *instruct the GEF Secretariat and its IAs to support projects that build capacities for effective, participatory monitoring and evaluation into management systems, especially at the local level, to ensure adequate monitoring of biodiversity impacts.*
- *instruct the financial mechanism to put greater emphasis on the incorporating and integrating of local traditional and indigenous knowledge into BD projects.*
- *encourage the GEF Secretariat and its IAs to promote the effective involvement (not just consultation) of a whole new set of players in new kinds of projects in order to achieve the necessary results in sustainable use and benefit sharing.*

**2.5.4.6 GEF support for capacity development in specific environmental operational sectors and initiatives – A brief look at progress**

A meeting of the Interim Steering Committee held in February 2000 to elaborate on the implementation of the GBIF-project, highlighted the need to focus strongly on accelerating the **Global Taxonomy Initiative**<sup>122</sup>. By early 2001, direct funding of \$29.6 million and co-financing of \$21.4 million had been allocated to four projects focused on taxonomy, and in support of the GII<sup>123</sup>. The CBD secretariat hosted a November 2000 meeting of the Global Taxonomy Initiative Coordination Mechanism, followed by a workshop organized by DIVERSITAS, in conjunction with the Secretariat, on Establishing Global and Regional Taxonomic Networks. This followed on a series of four workshops in 1997. A key accomplishment in November was the development of a framework of principles and an action plan for “removing the so-called taxonomic impediment that has frustrated some aims of the CBD”<sup>124</sup>.

The GEF worked with UNEP to develop technical guidelines and methodologies, both international and national, to help countries develop their national strategies and frameworks for

<sup>121</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 30.

<sup>122</sup> CBD. April 2000. *Quarterly Report on the Administration of the Convention on Biological Diversity*. p. 15.

<sup>123</sup> Singh, S. and C. Volonte 2001. *Biodiversity Program Study*, Global Environmental Facility, Monitoring and Evaluation Unit, Washington, p. 3.

<sup>124</sup> CBD, April 2001, *Quarterly Report on the Administration of the Convention on Biological Diversity*. p. 4.

**Biosafety**<sup>125</sup>. UNEP's Biosafety Project has helped participating countries prepare national biosafety frameworks; 17 of these countries had requested additional funding to implement the Cartagena Protocol by early 2000<sup>126</sup>. A great deal of work has been done on biosafety, with the first meeting of the Intergovernmental Committee for the Cartagena Protocol on Biosafety, held in Montpellier, France in November 2000.<sup>127</sup>

In terms of **Marine and Coastal biodiversity** under threat, a March 2000 UNEP study revealed that by early 2000, 13 out of 111 Parties had established, or were establishing national measures to prevent the introduction of potentially harmful alien species into marine and coastal areas<sup>128</sup>. CBD has also organized meeting of Liaison Group on Coral Reefs on the margins of the Ninth International Coral Reef Symposium.<sup>129</sup> In addition, the CBD has a programme of work on Marine and Coastal Biodiversity and a Programme Officer for this topic started work in December 2000. The Programme of Work includes a proposal for integrating the issue of coral reefs into the programme; a work plan on coral bleaching; and information on the degradation of reef ecosystems.

For **Agricultural Biodiversity**, by 2000, the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) had developed the main elements of a work programme that was in harmony with the 'ecosystem approach'. They identified management practices, technologies and policies that would promote the positive, and mitigate the negative, impacts of agriculture on biodiversity through expanding knowledge, understanding and awareness of the many goods and services provided by the different levels and functions of agricultural biodiversity<sup>130</sup>. Furthermore, the GEF Implementing Agencies participated in the assessment on agricultural biodiversity activities carried out by FAO on behalf of the CoP<sup>131</sup>.

In early 2000, the Executive Secretary of the Convention prepared a note (UNEP/CBD/SBSTTA/5/6) suggesting ways and means to implement the **Inland Waters Ecosystem** work programme, identifying gaps and obstacles in implementing the work plan of the SBSTTA. In order to respond to the CoP's suggestion to develop a roster of specialists in inland water ecosystems, the GEF nominated 223 experts from 44 countries by early 2000<sup>132</sup>.

In **Forest Biodiversity**, as of the year 2000, some 60% of the 320 protected areas supported by GEF projects are in forested ecosystems<sup>133</sup>, and much success has been achieved in this area. Some specific example of success in this area include: "The Forest Resources Management Project

<sup>125</sup> GEF, April 2001. *Project Performance Report 2000*, GEF Council. Washington, p. 2.

<sup>126</sup> GEF, April 2001. *Project Performance Report 2000*, GEF Council. Washington, p. 20.

<sup>127</sup> CBD, January 2001. *Quarterly Report on the Administration of the Convention on Biological Diversity*, UNEP/CBD/QR/11, p. 4.

<sup>128</sup> UNEP, March 2000. *Progress Report on the Implementation of the Programmes of Work on the Biological Diversity of Inland Water Ecosystems, Marine and Coastal Biological Diversity, and Forest Biological Diversity*, (Decisions IV/4, IV/5, and IV/7). UNEP/CBD/COP/5/10, p. 6.

<sup>129</sup> CBD, January 2001. *Quarterly Report on the Administration of the Convention on Biological Diversity*, UNEP/CBD/QR/10, p. 4.

<sup>130</sup> UNEP, April 2000. *Agricultural Biological Diversity: Review of Phase I of the Programme of Work and Adoption of a Multi-Year Programme of Work. The Ecosystem Approach: Towards its Application to Agricultural Biodiversity Coverage in National Report*. UNEP/CBD/Cop/5/INF/10. p. 1.

<sup>131</sup> GEF, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7. Report of the GEF to the Fifth Meeting of the Conference of the Parties to the Convention on Biological Diversity, pp. 16-17.

<sup>132</sup> UNEP, March 2000. *Progress Report on the Implementation of the Programmes of Work on the Biological Diversity of Inland Water Ecosystems, Marine and Coastal Biological Diversity, and Forest Biological Diversity* (Decision IV/4, IV/5, and IV/7). UNEP/CBD/CoP/5/10. p. 4.

<sup>133</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 3.

in Bangladesh (which) has contributed to better infrastructure, increased GIS capacities, trained some permanent staff abroad, and assisted in the development of a management system for data”<sup>134</sup>.

The operational programme in *Arid and Semi-Arid Ecosystems* increased more than four times, from about US \$29.0 million during the pilot phase to US \$110.1 million by 1998-99 <sup>135</sup>. As desertification is an increasingly relevant and prevalent global issue, and threat, this area of GEF BD activity has also increased in importance and emphasis.

Innovative approaches to the prevention or control of *Alien Species* can be supported through short-term response measures designed to test their viability <sup>136</sup>. The GEF had allocated \$34.5 million in direct funding to seven projects by 1999, as well as \$35.5 million in co-financing for the control and eradication of alien and invasive species. The GEF Council has approved the following projects that address alien species: a global project on Development of Best Practice and Dissemination of Lessons Learned for Dealing with Alien Species that Threaten Biological Diversity; Ecuador’s Galapagos Island and South Africa’s Cape Peninsula conservation project <sup>137</sup>. The UNEP’s GEF Project on Invasive Species has been instrumental in generating best practices to prevent, control and eradicate “alien species that threaten BD”<sup>138</sup>.

In sum, GEF support for capacity development in the aforementioned specific environmental areas and/or sectors is improving. As environmental issues and problems have increasing relevance and prevalence in international fora, the GEF is providing the necessary adequate accompanying support to new areas of focus, although further improvements, and enhanced support are urged. Some important improvements and increases in support and funding have been noted in Forest Biodiversity, Biosafety and Global Taxonomy.

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<sup>134</sup> World Bank, November 2000. OED (First) *Review of the (World) Bank’s Performance on the Environment*. Operations Evaluation Department, p.20.

<sup>135</sup> GEF, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7. Report of the GEF to the Fifth Meeting of the Conference of the Parties to the Convention on Biological Diversity, p. 24.

<sup>136</sup> Singh, S. and Volonté C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 3.

<sup>137</sup> GEF, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7. Report of the GEF to the Fifth Meeting of the Conference of the Parties to the Convention on Biological Diversity, p. 11.

<sup>138</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 72.

## 2.6 Sustainability

### 2.6.1 Brief Introduction to Key Issues

In this section, we focused on key sustainability issues identified by the CoP, including:

- the need to ensure the longer-term sustainability of GEF-funded activities and their contributions to achieving the core objectives of the CBD;
- the need to promote genuine country ownership through greater participant country involvement in GEF-funded activities;
- the need to support projects and programmes that both address national priorities and fulfil the obligations of the Convention;
- the need to ensure allocation of necessary financial resources to projects; and
- the need to promote the sustainability of project's benefits, including their potential contributions of experience in the conservation and sustainable use of biological diversity that can be applied by others.

### 2.6.2 Sustainability of Project Outcomes

The issue of how to ensure the longer-term sustainability of efforts and outcomes is critical for the GEF's programmes in support of the Bio-diversity Convention, as for all international co-operation agencies. There was broad agreement among our sources – country visits, questionnaires, interviews and the literature - about how to best ensure this sustainability. Four highly interrelated

***Financial Sustainability : Sustained Capacity  
Development at All Levels : Promotion of  
Ownership and Political Commitment through  
Participation at All Levels (and more) =  
Enhanced Sustainability of GEF project results***

factors stand out in most analyses: participation and partnerships, capacity development, the promotion of ownership and financial sustainability. To a considerable degree, these factors follow the logical sequence indicated above. Establishing effective participation and

partnerships tends to be a critical first step. Capacity development of many kinds, among a wide range of participants and partners needs to begin from the earliest stages – it probably begins in the design phase of most programmes. Ownership of national programmes also needs to be stressed from the outset. Ensuring effective national leadership, including broad participation and capacity development to support this leadership and partnership, are critical for ensuring real, effective ownership. Participation without ownership and political support will seldom lead to sustainable outcomes. Strong national ownership, in turn, while it will not guarantee long-term financial sustainability of activities, remains one of the best ways to promote this sustainability (especially when it is strengthened through effective capacity development). In addition, issues like: appropriate timeframes for GEF projects, IA coordination and cooperation and the level of mainstreaming of BD into national policies and priorities, as well as level of replicability of projects and the integration of lessons learned, are all centrally important to the achievement of sustainability.

It should be noted that although some of these cross-cutting issues have been brought forth and examined through the evaluation ‘lenses’ of achieving impacts and responsiveness (among others), the emphasis here is on the crucial need to ensure sustainability of GEF project outcomes and results.

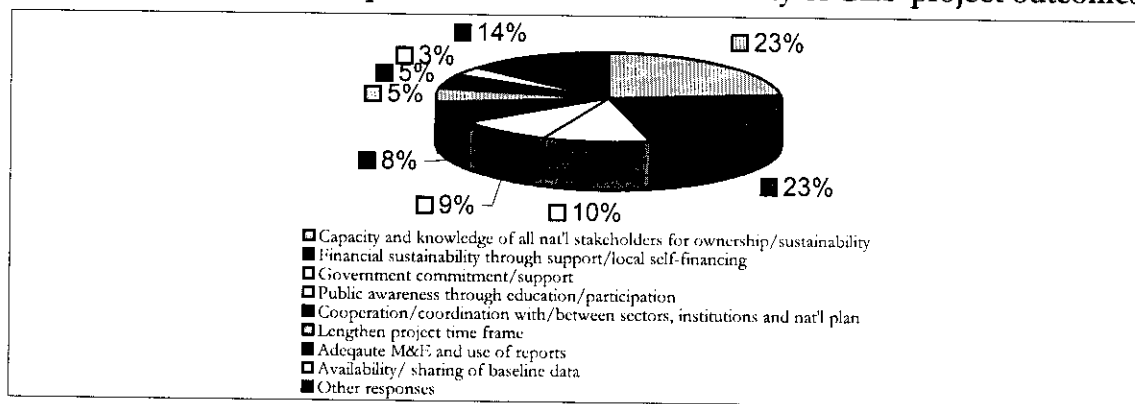
### 2.6.2.1 The most important factors for sustainability of GEF project outcomes

The CBD and GEF Focal Points who responded to our questionnaire indicated that, in their opinions, the most important factors for ensuring sustainability of GEF BD activities were the following:

- “Ensuring capacity development of government and local stakeholders to maintain project management and activities after initial funding ends in order to nurture ownership and sustainability...”;
- “Financing sustainability of activities through government’s continued support and local self-financing activities / incentives”;
- “Government commitment, support and ownership”;
- “Public awareness through education and participation, for ownership”;
- “Co-operation / co-ordination / integration with other sectoral and institutional activity, and the national strategy / action plan”;
- “Allowing enough time for achievement of outcomes, lengthen project time frame”;
- “Adequate monitoring and evaluation, follow up reports and use thereof.”.

And these are reflected in the graph below, with proportions of their occurrence:

“ What are the most important factors for sustainability of GEF project outcomes? ”



NGO partners, STAP members and representatives of bilateral donors interviewed gave similar responses. They identified the following similar main factors that contribute to the sustainability of the outcomes of GEF projects:

- stakeholder involvement;
- developing capacities of all those who will be involved, not just environmental authorities, but sectoral and other national and regional agencies, as well as NGOs, other aspects of civil society, the private sector;

- ensuring national ownership, including the necessary tools to effectively carry out all dimensions of the programme nationally;
- taking the necessary steps to involve local communities and ensure co-operation of the local people on the ground; especially by designing win-win scenario where there is clear benefits for both local governments and communities and for the global environment;
- making effective linkages with broader local and national development objectives, including effective integration of GEF projects into IA's ongoing and future programmes; and
- ensuring sustainable financing.

The literature of the GEF, its IAs and others, reflects and supports the same broad conclusions regarding the fundamental importance of participation and partnerships, capacity building, ownership and financial sustainability for ensuring the longer term sustainability of outcomes. For example, the GEF's "Lessons Notes" identified the following 'measures' that can contribute to sustainability', which we have linked with our main areas of focus in brackets:

- consistency among national goals and project objectives (mainstreaming);
- real government interest and commitment (ownership);
- incentives to participate (participation);
- training of participants, including local government and NGO staff (capacity development);
- promoting public awareness and creating new values (capacity development);
- motivating project officers (participation, ownership);
- tapping diverse and new sources of financing (sustainable financing);
- efficient management (capacity development);
- participation by beneficiaries and private sector (participation, sustainable financing); and
- country-specific social and economic factors (mainstreaming, ownership)<sup>139</sup>.

Similarly, "five ingredients for sustainability" were identified in a review of BD enabling activities:

- a policy framework that incorporated the right incentives (participation, ownership);
- long-term sources of funding (sustainable financing);
- necessary levels of public awareness and education about benefits of these approaches (capacity development);
- local ownership, derived from allowing stakeholders to genuinely participate and influence outcomes (participation, ownership); and
- an institutional framework that includes business organisations and has the capacities to ensure continued implementation (participation, capacity development, sustainable financing)<sup>140</sup>.

Our field visits and IA interviews also support these broad conclusions, and brought other important factors to light. For example, one IA interviewee argued, "integration into local systems is key, there is a need to get local commitment for resources for continuing projects". Indeed, the

<sup>139</sup> Global Environment Facility, October 2000. *GEF Lessons Notes* – No. 1 to No. 10: March 1998.

<sup>140</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington.

GEF can help in this process by facilitating the process of necessary mainstreaming. This of course remains difficult in LDCs, but the importance of moving from ‘conservation’ and isolated initiatives’ to mainstreaming and a larger contextual picture remains paramount for sustainability. Another IA respondent suggested that sustainability of outcomes could be enhanced if a well-defined problem statement is developed as a basic principle of sound project design, which is no different than other donor approaches. In general, all IA respondents agreed that there should also be active participation in project design of all stakeholders to maximize country ownership and government buy-in with well-expressed budget lines. Respondents also noted that there is a need for robust co-financing and distribution of risk to help ensure a high incentive for success. All of which supports and expands on the conclusions above.

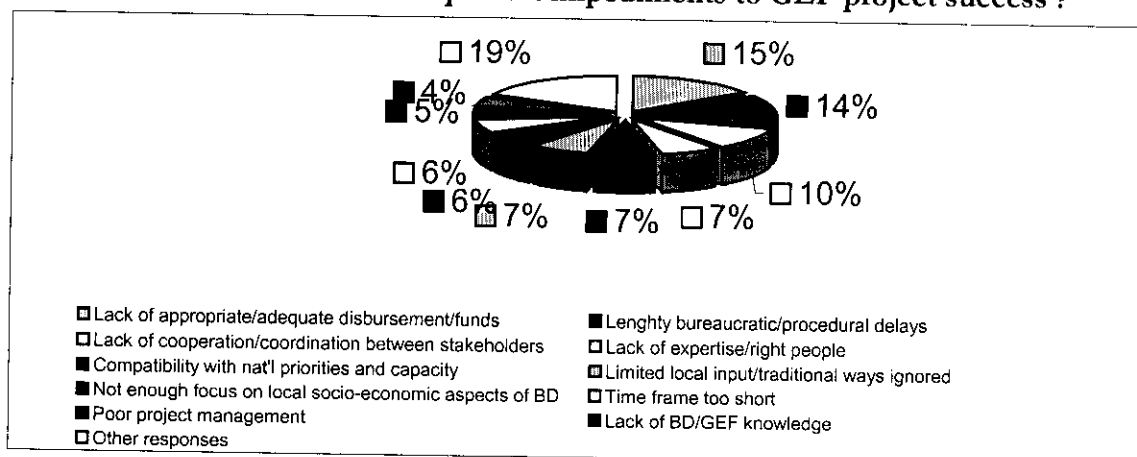
### Major Obstacles to Sustainability?

The following key obstacles to achieving sustainable outcomes for GEF projects were identified mainly in our interviews with STAP members and NGO and bilateral representatives:

- the same obstacles that face socio-economic development initiatives, such as lack of capacities, lack of ownership and inability to ensure financial sustainability of outcomes;
- need for better monitoring and evaluation of real results, related to goals and objectives;
- inability to generate BD-friendly and sustainable livelihoods;
- failure to mainstream BD into other economic development sectors;
- need for more adaptation to local circumstances – including needs to address poverty, promote involvement and ownership by local populations and minimise external controls;
- tendency for GEF guidelines on stakeholder involvement to result in much consultation, but not enough genuine stakeholder participation in the design and implementation of activities; and
- a GEF’s emphasis on the global picture that gives rise to projects that do not put much emphasis on local benefits, though these are often accurately identified by local stakeholders.

Along these lines, focal points who responded to our Questionnaire felt that the following factors were the main impediments to successful GEF projects:

“ What are the most important impediments to GEF project success ? ”



The Biodiversity Programme Study by the GEF highlighted the difficulties involved in demonstrating the values of BD to economic growth and security. Economic growth is a preoccupation of most governments and citizens of developing countries. So inability to clearly show the economic contributions of BD undermines the sustainability of BD initiatives. The short to medium term economic benefits of conservation are not always clear and the opportunity costs are usually high.<sup>141</sup> A related issue, especially for local communities, is the uneven distribution of costs and benefits at local, regional and international levels.

From IA interviewees, it was argued that potential constraints to sustainability of outcomes can be related to the need to respond to GEF conditionalities such as: negotiation of financial contributions; political and economic cycles (changes in government, economic crisis); security problems including internal conflicts, and; lack of domestic capacity. Other factors that can hinder the sustainability of project outcomes include a lack of capacity of recipient agencies /organisations at project start-up (inability to absorb the project resources). IA respondents also suggested that often projects could also be at the mercy of political and economic impacts that can suddenly change the project objectives and project incentive structures, particularly for longer-term projects. However, some IA respondents believed that most of the risk management factors are beyond GEF intervention.

#### 2.6.2.2 How sustainable are the bio-diversity activities being funded by GEF?

The situation appears quite diverse, with some notable positive and negative experiences. Overall, there are some important cautionary notes. From our various sources of data and information, our study finds mixed results overall for GEF achievement of sustainability.

*In Russia*, despite the problems of frequently changing administrative structures and the uncertainties that these create, major achievements of the national BD programme appear likely to be sustainable in the coming decade for a number of reasons: 'Social contracts' were signed by stakeholders in the Baikal regions, committing them to agreed actions and a federal government programme of support to BD already budgeted for the period 2002 – 2010. In addition, there was a high degree of local ownership of project activities in the Nizhni Novgorod oblast. Furthermore, a national Council for Bio-diversity Strategy Implementation was established to guide the strategy's implementation and ensure its funding from various sources.

However, *in Ecuador*, an evaluation of a major GEF-funded BD project concluded that the \$US 7 million project has not produced a sustainable institutional or financial result, according to our interviewees. The original project, intended to strengthen National Protected Areas management, was found to be over designed and overly ambitious, attempting 35 activities. Weak linkages between project consultants and government staff responsible for PAs resulted in a lack of institutional change and poor transfer of knowledge and skills. On the positive side, it was noted that initiatives such as management plans and Regional Coordinating Committees for protected areas, and a national Biodiversity Information Centre might have laid useful groundwork. However, the lack of analysis of the viability and replicability of these activities means that their sustainability

<sup>141</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 67.



remains uncertain, according to those we interviewed. Yet, designers of a follow-up project to further strengthen Ecuador's PAs system have closely studied lessons learned during the previous project. The new project lays out measurable objectives in a Logical Framework Analysis; focuses on a few key activities with concrete impacts; incorporates pilot/demonstration activities, to be analyzed for replicability; and aims for financial sustainability, through the use of a Protected Areas Trust Fund, and other mechanisms to attract donors, yet reduce the need for long term outside support.

Maintenance of infrastructure is another key to sustainability. In our Ecuadorian case study, new visitor centres and other infrastructure were cited as a positive project outcome, but recent visits by protected areas officials indicated that 70% are abandoned or deteriorated.

*In Jordan*, data collected also suggests some positive occurrences took place, as this remains an example of a country where sustainability of some projects has been somewhat achieved. Field visits and interviews suggest that important factors and impediments for sustainability have been addressed and mitigated. For Jordan, sustainability of actions has evolved as it has progressed from the country study preparation to the NBSAP level and now work is progressing on the Bio-safety framework. The development of successful eco-tourism ventures established under GEF now covers the costs of the Dana Protected Areas (RSCN).

Our Desk Study review of all relevant literature similarly shows mixed evidence for the achievement of sustainability of GEF project outcomes. For example, the India Eco-development project is cited in GEF's *Project Performance Report 2000* as an example where "concern for sustainability has already been demonstrated through the focus on revolving funds, local contribution requirement and community monitoring"<sup>142</sup>. However, for another project, "in Indonesia... there has been no expert training in the field. This is a major constraint in achieving sustained commitment among staff to continue the project activities beyond project closing"<sup>143</sup>.

Overall, the Biodiversity Program Study found that "of the projects reviewed, a little over 10% of the projects seemed to have taken steps to assure sustainability in a substantial manner, another 24% had partially provided for it, and about 15 to 20% had planned to provide for it but it was not clear if they had actually done so. Nearly 30% seemed to not have addressed sustainability issues"<sup>144</sup>. Therefore, our assessment concurs with those who "believe that additional work is needed to analyze further and improve understanding of GEF and its partners of the factors that influence sustainability of biodiversity conservation and approaches that are successful in addressing them"<sup>145</sup>. In addition, our data confirms the study's findings, which state that while many projects included plans for sustainability, no information was collected on whether they actually were. GEF

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<sup>142</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 92.

<sup>143</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects – Draft Report*. WB: Operations Evaluation Dept., p.20.

<sup>144</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 51.

<sup>145</sup> GEF, July 2000. *Achieving Sustainability of Biodiversity Conservation. Report of a GEF Thematic Review*. GEF Monitoring and Evaluation Program, p. 27.

should support independent post-completion assessments to judge project impacts and whether activities and gains have endured.<sup>146</sup>

### 2.6.3 Sustainability – the roles of GEF, the Implementing Agencies, and Developing Country Parties

#### *The Way Forward*

In order for sustainability of GEF project results to be enhanced, the four aforementioned areas of crucial importance for Sustainability; ‘enhanced participation’, ‘sustained capacity development’, ‘political commitment’, and ‘financial sustainability’; will need to be addressed significantly by the GEF, its IAs and Developing Countries themselves. The GEF has a crucial role to play in terms of enhancing national and local ownership through enhanced participation, catalyzing political commitment, and ensuring that GEF and national BD priorities are in line, in addition to ensuring that the four areas are addressed more generally.

***Recommendation:*** *The CoP should recommend to the GEF that all four main areas of importance for sustainability of GEF objectives, namely: Participation, Capacity Development, Ownership/ Commitment, and Financial Sustainability, be properly addressed in all cases, in order for chances for sustainability to be enhanced overall.*

There are pro-active steps to be taken and roles to be played by the GEF and its IAs, for better chance to be had at achieving sustainability of project outcomes overall. The focus here is on the GEF ensuring that: projects have appropriate and adequate timeframes for achieving sustainable objectives; lessons are learned and strengths are built upon; replicability of projects is a central objective and theme; promoting mainstreaming of BD and ensuring compliance and complementarity with national priorities; being a pro-active catalyst in the mobilization of finances, and; enhancing and ensuring political commitment and ownership through, among other things, enhanced participation.

#### 2.6.3.1 Ensuring Financial Sustainability

In addition, our data suggests what a GEF evaluation had pointed out in 1998, that another key constraint, financial sustainability, needs to be addressed, yet, often, is not. The evaluation noted a “lack of serious financial planning for continuation of project activities”<sup>147</sup> after GEF projects are completed. BD projects were found to be more likely than others GEF projects to have these kinds of sustainability problems. They suggest that project proposals need to thoroughly assess available options for ensuring financial sustainability; they recommend greater use of trust funds and more leveraging of other sources of fund capital.

The BD Program Study recommended that sustainability could be improved by “funding patterns that are compatible with the economic realities of the host country”. That is to say that

<sup>146</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 8.

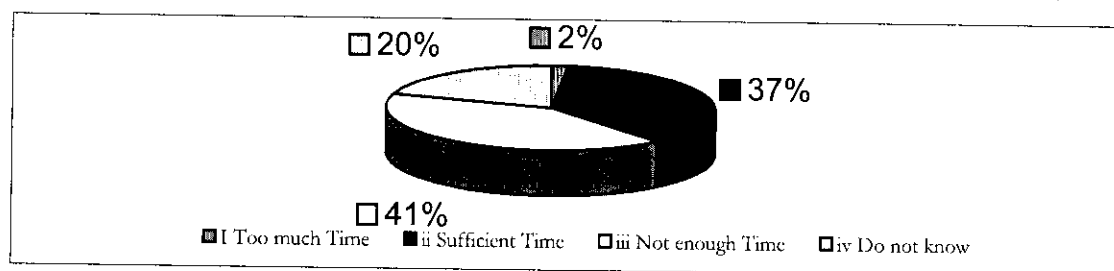
<sup>147</sup> Porter, G. et al, 1998. *Study of GEF's Overall Performance*. Washington: Global Environment Facility, p. xv.

projects should always aim, among other objectives, to demonstrate how conservation objectives can be met on a sustained basis with a level of financial (and other) resources likely to be available in the country over the longer-term. They also suggested that the GEF needs to move away from “big-budget”, time-bound projects towards activities that can disburse funds over a longer period, based on agreed qualitative benchmarks of progress.<sup>148</sup> In the same vein, the study recommends that a “frugal financial culture” be established in projects, to make for easier transitions away from GEF funding.

### 2.6.3.2 Time required to properly face sustainability issues

The focal points that had responded to our questionnaire had mixed views when asked whether or not the current GEF operational timeframe was sufficient for purposes of sustainability. The largest group, over 40% of respondents, felt that GEF projects do not have enough time to respond effectively to sustainability issues. As many as 37 % felt they did have enough time, while 20% said they did not know, which in itself might suggest a lack of attention to sustainability issues among respondents. Their responses are reflected in the graph below:

“ Is the current operational timeframe enough to address sustainability? ”



The prevalent view of the focal points reflects a broader consensus found in much of the literature that was reviewed. An independent evaluation of GEF in 1998 for example, recommended that the IAs should move to projects of five to seven years duration rather than the current three to five, in cases where this extra time would help demonstrate project viability to other potential sources of project financing.<sup>149</sup> More recently, it has been suggested that projects need to be less “time bound” during their implementation, and designed instead so that a phase or a project is considered complete simply when its objective is properly achieved.<sup>150</sup> This approach would involve flexible, indicative budgets linked with dynamic and responsive work planning designed to address emerging issues and changing circumstances<sup>151</sup>. A related suggestion brought forth by the Biodiversity Program Study, is to move away from “big budget” projects, towards projects that spend the same amounts of money or less, over significantly longer periods<sup>152</sup>.

<sup>148</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, Global Environment Facility, Monitoring and Evaluation Unit, Washington, p. 5.

<sup>149</sup> Porter, G. et al, 1998. *Study of GEF's Overall Performance*. Washington: Global Environment Facility, p. xv.

<sup>150</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 6.

<sup>151</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>152</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 7.

A World Bank review of their projects went even further along these lines stating “the normal project cycle of 5-7 years is normally not sufficient to achieve tangible results... these activities are long-term in their nature... Again the short life of most projects and the lack of post-project funds to sustain activity render the long-term impact of these project components doubtful... this was clearly seen in Ecuador, where the otherwise successful training program only barely got off the ground before the project was closed”<sup>153</sup>. Among the many examples on this issue, another referred to by the World Bank itself was the “Brazil Mato Grosso Natural Resources Management Project: (where) the project design was optimistic, with inadequate consideration for time required for project objectives to be achieved”<sup>154</sup>. Similarly, another World Bank project (BD Conservation Nepal/Pilot Phase) was seen as having “tried to do too much in too short of a time period”<sup>155</sup>.

If the time-bound project model were changed to a more flexible results-based model, the making of arrangements for long-term project sustainability would be a condition for final phases of funding. If internal funding were unlikely, continued external support would be arranged, perhaps through trust funds.<sup>156</sup>

***Recommendation: the CoP should instruct the financial mechanism to be more flexible in adopting appropriate and feasible timeframes for projects to achieve sustainable results; in most cases, that will mean extending the current GEF project life span.***

#### 2.6.3.3 Learning from experience – avoiding risks and building on strengths

A Central element in sustainability is the ability of BD projects to build on successes and learn from previous experiences. The literature of the GEF and others is unanimous on the importance of learning lessons, and helping others to learn lessons, both for promoting sustainability of outcomes and for improving project performance in general. The emergence of the GEF Secretariat’s “Lesson Notes” is an example of this growing recognition. The various studies and reports are less unanimous on how well these functions are being done by the GEF and its IAs. The Bio-diversity Programme Study, for example, describes the apparently quite thorough processes followed by the GEF and IAs to ensure that new projects are designed to reflect past lessons. But the same study also states that the mechanisms for ensuring lessons are effectively used in new and ongoing projects still need further strengthening. The study notes that a number of project documents still speak only vaguely of the “lessons learned” that are reflected in their design, and some have none at all. Overall, about half the projects that the study assessed reported the incorporation of some lessons from past projects into their design. They found, however, that there was little difference between the impacts of “lessons learned” on older projects and on newer

<sup>153</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 30.

<sup>154</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p.13.

<sup>155</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 28.

<sup>156</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 64.

ones<sup>157</sup>. Our field visit to Ecuador revealed that many project products (reports, studies, lessons) are either hard to find, dispersed, or not being used (e.g., a Wildlife Strategy was completed with no Action Plan or implementation funds). Often, even Implementing Agencies do not have core project documents, according to our sources. It is crucially important for lessons learned from projects to be integrated into planning, design and implementation of other projects. Mechanisms for ongoing processes of lessons learned, and their proper integration, must be established and/or strengthened.

#### 2.6.3.4 Ensuring effective approaches can be adapted by others projects

The GEF has recognised that the facility's mandate as a catalyst means that it must pay close attention to the issue of helping others "replicate" (though "adapt" is a far better notion) effective approaches. The GEF "Lesson Notes" series, initiated in March 1998, is a response to this imperative; it aims to summarise and disseminate valuable experiences and interest readers in obtaining more detailed evaluation studies available from the GEF.

There is also an emerging view that static information, such as lists of 'things' that must be done and must not be done, checklists, databases and so on, are necessary but not sufficient. These static approaches are not as effective as more dynamic, flexible and targeted ways of helping others build on the lessons of their peers. New approaches proposed include "pools of expertise", composed of experienced practitioners that could be tapped for ideas, advice, and collaboration on how to adapt effective approaches and useful lessons to new situations.<sup>158</sup> This could be extremely effective and helpful in places like Small Island developing states, where qualified manpower is scarce. More generally, there is much wider scope for greater horizontal exchange of information and ideas through networks, and pilot/demonstration sites, and capacity building that focuses on adapting effective approaches to new situations.<sup>159</sup>

Two concrete examples of the adaptation of effective approaches developed by others are cited in the GEF's Project Performance Report for 2000. "The WB reports that in the case of the India Eco-development project participatory approaches for PA management have been adopted by a number of non-GEF financed projects throughout the country"<sup>160</sup>. This extension of their approach outside of the project has given all parties new opportunities for sharing their lessons and experiences, and for training and practical exchange visits between states and protected areas. Similarly, Indonesia's Kerinci-Seblat Project also introduced a community-based protected area management approach called 'village conservation agreements'. "The country's Ministry of Home Affairs now intends to apply this approach and it's guidelines in other Indonesian national parks"<sup>161</sup>.

***Recommendation:*** *The CoP should instruct the GEF Secretariat and its IAs to seek out and support adaptable and replicable dynamic approaches for projects, which could include, for example, creating/supporting 'pools of expertise' and should*

<sup>157</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 5.

<sup>158</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 8.

<sup>159</sup> GEF 2000. *Project Implementation Review*. GEF, Washington.

<sup>160</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 19.

<sup>161</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 88.

***instruct the GEF to support mechanisms for project participants to share experiences and learn from each other.***

### **2.6.3.5 The need to improve and sustain capacity development**

As suggested above, capacity development of many kinds is universally recognised as a key pre-requisite for ensuring the sustainability of BD project outcomes. Indeed, as one IA representative interviewed suggested, “international consultants should basically be working themselves out of a job. The real challenge is developing the capacity of government agencies themselves so they can take on GEF work themselves in a sustainable manner”. One could also argue that a further challenge is ensuring appropriate capacity in civil society as well. Overall, sustainability of GEF project outcomes depends on the ability to develop, and then sustain, capacities build up during project implementation.

In recognition of the strong emphasis placed on capacity building by the CoP to the CBD (and for Climate Change) the GEF Council agreed on a strategic partnership bringing together the GEF Secretariat, the UNDP, UNEP, other international agencies, the Convention Secretariats and the STAP for a comprehensive assessment of capacity building needs and a recommended strategy and action plans for addressing those needs, the Capacity Development Initiative (CDI). The GEF also approved measures to better assist recipient countries in meeting immediate capacity building needs including up to US \$450,000 per country for enabling activities. While these additional resources are not expected to meet all capacity building needs, they should allow countries to plan and assess their priority concerns. The proposed CDI in the meantime aimed to better identify the right ways to move forward on planning for future capacity development in recipient countries<sup>162</sup>.

Recent work has found that a significant number of the BD projects financed by the GEF focus on capacity development and that the capacity development components of other projects were often the most successful parts of these projects. In general, these projects had more success in developing individual capacities than institutional or systemic capacities<sup>163</sup>. In addition, it was also noted by OPS2 that “numerous instances of GEF biodiversity projects that have served as demonstration models for successful conservation and capacity building that have led to the replication of similar projects elsewhere using both GEF and/or other donor funding”<sup>164</sup>.

However, the Bio-diversity Programme Study reported that there were still weaknesses at the project level. None of the projects they looked at, for example, “had formally assessed training needs or gaps in skills or knowledge in order to determine the training objectives of a project”<sup>165</sup>. In addition, we also found that many projects have included training, but results were not measured, and there has been little ‘training of trainers’ to promote expanded and on-going learning opportunities.

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<sup>162</sup> CBD, December 1999. *Report of the Global Environment Facility*. UNEP/CBD/COP/5/7, pp. 13-14.

<sup>163</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 3.

<sup>164</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 32-33.

<sup>165</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p.23.

The World Bank reported that their BD projects' performance in capacity building was often "not as good as expected, with times needed to fully implement training programmes for targeted stakeholders often exceeding the time frame of the project"<sup>166</sup>. The recent BD Program Study also pointed out that what is necessary is an emphasis on sustaining capacities beyond project life, as "sustaining capacity after project termination through continuing training/education was not an issue that many projects examined and most projects design failed to take this into consideration as part of the sustainability considerations"<sup>167</sup>. In addition, local capacity needs to remain a target for sustainability concerns. It is important for the CoP to support the mainstreaming of capacity issues in the GEF portfolio, and this can be done primarily by strengthening the capacity building components of GEF projects and programs, rather than 'stand alone' capacity initiatives.

The BD Programme Study recently concluded that, in general, "...sustaining capacity after project termination through continuing training / education was not an issue that many projects examined and most projects design failed to take this into consideration as part of the sustainability considerations"<sup>168</sup>. Recent studies also reconfirmed the critical role of capacity building in ensuring sustainability and that projects need to ensure activities that will enhance local capacities for project implementation *early* in the project, *not* as an afterthought near the end of the project. The Lebanon Strengthening of National Capacity and Grassroots In-Situ Conservation Project (UNDP) was cited as an example where technical assistance was needed to initiate activities and train local participants but the project is now fully in the hands of trained national staff.<sup>169</sup> This stands as a good example of attained sustainability through a focus on capacity development. A similar process was followed in Russia's National Biodiversity Programme, where a few highly skilled international specialists helped national experts during programme design, allowing national experts to lead throughout the implementation phase.

In sum, although significant improvements and progress has been made by the GEF in capacity building, this issue remains paramount for the achievement of sustainability and should therefore remain an important issue to be addressed by the GEF. Moreover, developing capacities at all levels, especially the local level, for capacity beyond project life should also be addressed.

#### 2.6.3.6 Nurturing and Improving National and Local Ownership

The issue of promoting and ensuring national and local ownership of BD initiatives is of central importance to sustainability. As questionnaire responses and desk studies suggest, this is an issue that is of central importance to all stakeholders, at all levels. Similarly, the OPS2 report underlines the fundamental importance of country ownership of GEF projects both for attaining project outcomes and for promoting effective integration of global environmental agenda and country development priorities<sup>170</sup>. The study points out that the IA's key operational contact points in each government help ensure GEF projects are planned and undertaken within a national

<sup>166</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p.6.

<sup>167</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 31.

<sup>168</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p.31.

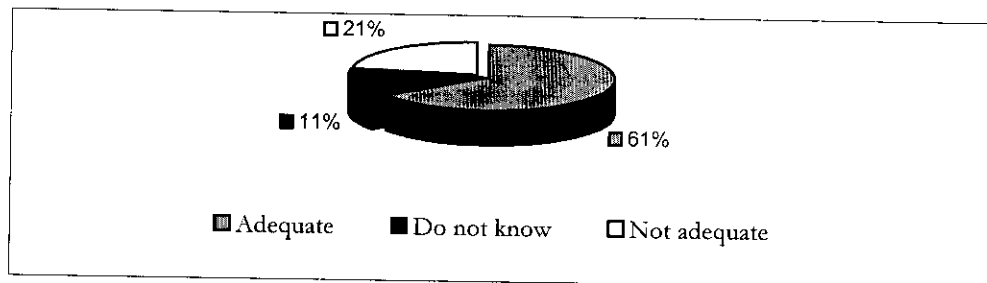
<sup>169</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 20.

<sup>170</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington

sustainable development framework. The GEF can play a crucial role in promoting national and local ownership of BD projects and objectives, by helping to enhance and ensure political commitment, expanding participation in BD activities and decisions, and ensuring there is a link between GEF and national BD priorities.

Overall, focal point respondents in our survey provided the following views on the GEF's overall level adequacy in promoting greater country ownership:

**“What is the level of GEF adequacy in promoting greater country ownership through greater involvement?”**



The Bio-diversity Programme Study suggested that some failures to meet objectives might be the results of insufficient attention to issues of *livelihood, tenure and underlying causes*. It recommends that all PA projects, for example, need to explicitly address these issues. They need to invest in “*production landscapes linked to protected areas*”, in order to meet basic requirements of local communities for income and natural resources, especially in cases where they will be restricted from protected areas.<sup>171</sup> This can enhance chances for improved national and local ownership (and of course, mainstreaming). In other words, because other national and local priorities will always compete with BD for available resources, it is necessary to find ways to achieve BD objectives while also meeting other priorities such as poverty alleviation and job creation.

Our review of the national BD programme in Russia pointed to several ways that the GEF could better nurture local ownership in many countries. More efficient and transparent contracting and management procedures would make projects more accessible and “user friendly” to a wide range of national stakeholders, as argued in the earlier section on efficiency. Complex and arcane contracting and management procedures and reporting requirements may not be barriers to government agencies, yet they are often onerous and downright baffling to important partners like NGOs and private sector organisations. Streamlined, clear procedures and publicly available guidelines can greatly facilitate these partners’ participation and ownership of project activities.

Another GEF project, shows that enhanced participation can result in furthered national ownership, enhancing chances for success and sustainability. “The objective of the ISP project was to promote community participation in the decision-making process concerning environment and sustainable development. Active participation of communities resulted in sound proposals including co-management; institutionalization of citizen’s participation...The enthusiastic participation of

<sup>171</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 6.



communities was a hallmark of the Bermejo River Project. Participation took place at all levels: government, provincial and municipals levels down to the community level”<sup>172</sup>.

Ownership for enhanced political support and greater chances at sustainability are dependent on GEF’s ability to ensure BD initiatives are in line with national priorities, and whether or not they can enhance participation of all stakeholders. Similarly, the OPS2 report suggests that the more GEF activities become country-driven, the more opportunities will exist for governments to integrate these activities into the larger context of their own national development and environmental priorities<sup>173</sup>. OPS2 also found that “global environmental activities funded by the GEF need to be operationalized in a broader sustainable development context, not least because of the need for national and local support for their continuation beyond the project timeline and for further replication of project results”<sup>174</sup>.

***Recommendation: The CoP instructs the GEF Secretariat and its IAs to continue to work on the development of effective incentives to encourage national and local authorities and local communities to undertake biodiversity conservation and sustainable use. These can be tailored to national and local conditions.***

### ***Political Commitment***

Political commitment is a key factor in the achievement of sustainability of GEF BD project outcomes. The effect of enhanced political commitment on project impacts has already been discussed. Recent work suggests ways to generate and sustain the political will needed for this sort of support to BD activities. One way is to clearly demonstrate their potential contributions to economic growth and security (or at least the absence of negative economic effects). Another is to provide credible answers to questions about the extent to which BD needs to be conserved and the degree to which this conservation is compatible with human use. Other more familiar factors contributing to political commitment identified in a GEF review included awareness building, developing individual and institutional capacities, adequate policy and legal frameworks, adequate and diverse financial resources and ensuring the availability of sound knowledge and information<sup>175</sup>.

Trust funds have been noted as being an important tool for increasing political commitment to biodiversity. A study of GEF experience with Conservation *Trust Funds*, from Mexico, found that national support, including political commitment, could be enhanced by:

- involvement in project governance by senior representatives from all sectors (e.g., a Mexican trust fund was directly supported by the country’s President, national NGOs, academic and business leaders and board members from diverse regions, sectors and age groups);
- credible, transparent grant procedures and logical framework analysis to identify impacts;
- systematic linkage with others working in conservation / sustainable use and with national and regional priorities, rather than new structures and processes;

<sup>172</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 77.

<sup>173</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 57.

<sup>174</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 57.

<sup>175</sup> GEF, July, 2000. *Achieving Sustainability of Biodiversity Conservation. Report of a GEF Thematic Review*. GEF Monitoring and Evaluation Program, pp. 5-11.

- capacity development (e.g. Mexican NGOs conducted workshops to help target groups prepare better proposals); and
- constant, direct local participation such as community or technical advisory committees in buffer zones (e.g., Mexico used local technical advisory committees in each protected area).

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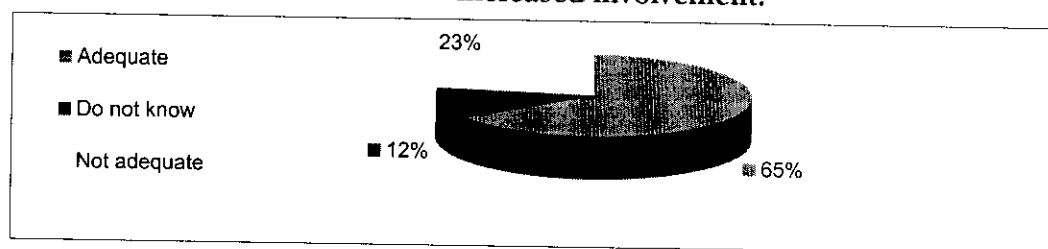
Political commitment remains a critical component in enhancing the potential for sustainability of GEF projects. Pro-active steps are necessary on both sides, in the national government and from the GEF or IAs, in order for this necessary commitment to come to fruition.

### Participation

The CoP's decision II/6 recommended that the GEF explore ways of promoting diverse forms of public involvement and more effective collaboration among all levels of government and civil society in order to more effectively implement GEF policies, strategies and programmes. An example of a GEF initiative to involve and promote the support and participation of stakeholders is the Global Bio-diversity Forum (GBF), which aims to foster analysis and dialogue on key ecological, economic, institutional, and social issues related to the three objectives of the CBD. In analysing and sharing experiences on issues and options critical to the development and implementation of the CBD, the GBF complements national, regional and global environmental activities on the CBD.<sup>177</sup>

Respondents to our questionnaire seem to have felt that GEF support for greater country ownership of GEF activities, through enhanced participation, was adequate, and this data is reflected below:

**“ How adequate is GEF support for promoting greater country ownership through increased involvement? ”**



The value of recipient country participation in project preparation is widely recognised, and where it is achieved, the results are positive, especially from the perspective of longer-term sustainability. The recent Biodiversity Program Study recommended that, wherever ‘appropriate’, project preparation should include gathering of early design ideas in workshops involving national or regional stakeholders. A broader group of participants should then be asked to identify possible barriers to project implementation and ways to overcome them<sup>178</sup>.

<sup>176</sup> Global Environment Facility. *GEF Lessons Notes 7*, April 1999. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

<sup>177</sup> GEF, June 2000. *GEF Project Implementation Review – Project Report – Global BD Assessment*. GEF Council, p.1

<sup>178</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 6.

In fact, “public involvement and effective stakeholder participation have been important features of the GEF since it was restructured. The 1996 Public Involvement Policy was a major policy development for the GEF. (Indeed,) the PIR 1999 identified the need for full community involvement at all stages of project design, implementation, monitoring and evaluation, together with an assessment of the broader political, social and economic environment”<sup>179</sup>.

Evidence of good participation is mixed for GEF projects. On the positive side, is the Russian project cited in the previous section, where there was a very high level of national participation in project preparation. The country had a vast pool of national expertise available and used outside specialists very judiciously during project preparation, mainly in planning workshops, especially to explain the GEF procedures and priorities to national specialists. This approach appears to have had a positive effect on sustainability. It gave rise to project activities that were clearly in line with real Russian priorities and needs, feasible in the Russian context and likely to receive long-term support.

Two example of effective stakeholder involvement cited in the GEF’s reports are the Mediterranean Monk Seal Project, which succeeded in developing a national Monk Seal Conservation Strategy for Mauritania (which was not originally envisaged)<sup>180</sup> and Jordan’s Dana Reserve where local community members work as park rangers<sup>181</sup>. Another positive example was cited in the GEF’s PPR for 2000; the India Eco-development project, where they have been able empower communities and give them decision-making responsibilities, all while demonstrating a direct relationship between conservation of BD and improved socio-economic conditions at the community-level. “Village Eco-development Committees are now recognised by government and have become the most effective institutions operating in their villages. Women have begun to play a prominent role both as decision makers and beneficiaries in some communities”<sup>182</sup>.

However, while GEF policies on public involvement have often stimulated participation, efforts have “sometimes been insufficient to gain the full benefit of their insights or to build ownership”<sup>183</sup>. The main focus has been communities and local organizations, with less success in engaging the private sector and women’s groups.

The Biodiversity Program Study estimated that stakeholder consultation had been ‘comprehensive’ in about 30% of the projects they reviewed and ‘partial’ in another 20%. It was ‘planned’ for another 25%, but the reviewers did not have the information needed to assess this. Major weaknesses of these processes were the limited involvement of the private sector and limited accessing of traditional and indigenous knowledge. Indeed, most projects were being implemented through institutions with little experience in stakeholder participation.

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<sup>179</sup> Cited in the PIR 2000 para 48.

<sup>180</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p.73

<sup>181</sup> Global Environment Facility. *GEF Lessons Notes 2*, March 1998. GEF Secretariat Monitoring and Evaluation Program, Washington, p. 4.

<sup>182</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 92.

<sup>183</sup> Global Environment Facility. *GEF Lessons Notes 10*, Oct. 2000. GEF Secretariat: Monitoring and Evaluation Program, Washington, p. 2.

Furthermore, a recent World Bank study has found that their BD projects had "...often failed to involve all relevant stakeholders, including regional and local public authorities, private sector entities, and relevant local communities, during their various phases"<sup>184</sup>, and recognized that this could diminish these projects' outcomes and potential for sustainability. The study cited an Indonesian example where communities had expressed interest in participating in economic ventures related to PA management, but were deterred by a lack of transparency about conservation strategies, approaches and benefits. The study also concluded that "communities were seldom involved in decision-making processes related to the actual management of the targeted BD resources in their areas"<sup>185</sup>. At the national level, data suggests that many feel that while local stakeholders may be extensively involved in project planning and implementation in *some* countries, stakeholders elsewhere are often *consulted* rather than allowed to *participate* meaningfully in project design or implementation.

Similarly, our interviews with NGO, STAP and bilateral representatives also provided rich feedback on the issue. Most felt that while GEF policy on stakeholder involvement was clear, the implementation of this policy is uneven, with some impressive successes and some pro forma approaches designed mainly to meet GEF requirements. Some of those interviewed felt that stakeholders tend to be consulted rather than actually allowed to participate meaningfully in project design or implementation. They may, for example, be given draft material to respond to but are only rarely been actually involved in project design, implementation or monitoring. Where they have been involved in design, they are sometimes left out of the implementation. More recent initiatives, such as a second phase of Peru's National Trust Funds, "have been more effective at involving stakeholders in project preparation and implementation"<sup>186</sup>.

Along similar lines, the OPS2 also found both positive and negative evidence on participation. "The OPS2 team's country visits found evidence of good participatory processes, benefit-sharing and positive socio-economic impacts from GEF projects in all the focal areas"<sup>187</sup>. In an assessment of 49 BD projects involving 320 protected areas, covering a total of 60 million hectares, OPS2 concludes that more than 50% have achieved some benefit sharing and put in place measures for ensuring sustainability. While at least half of these projects involved reasonable stakeholder participation, only a fifth could claim to have achieved "ownership" by stakeholders.

The BD Program Study suggests that stakeholder participation can be strengthened by:

- understanding local social and cultural factors and reflecting this in project design;
- creating institutional structures to support participation during implementation;
- ensuring science and technology includes indigenous knowledge and social sciences; and,

<sup>184</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 6.

<sup>185</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 6.

<sup>186</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 16.

<sup>187</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 77.

- identifying and using the right indicators for assessing the effectiveness of participation.<sup>188</sup>

### ***The Involvement of NGOs and the Private Sector***

From interviews and field visits, data collected suggests that the GEF is far more effective and successful in their involvement and inclusion of NGOs and civil society, then that of the private sector.

GEF's own thematic review last year concluded that their principle of stakeholder involvement, their history of reaching out to the NGO community and of involving the scientific and technical community has stimulated the kinds of multi-level and multi-sectoral partnerships necessary for sustaining BD conservation over the longer term.<sup>189</sup> Many examples are cited of GEF's reaching out to the NGO community. A GEF-NGO teleconference held on Apr. 17, 2001 involved 23 participants included representatives of NGOs from all continents and the GEF Secretariat. This conference strengthened GEF-NGO collaboration in preparation for the World Summit for Sustainable Development (WSSD) and in disseminating information and lessons learned<sup>190</sup>. Another example is the 150 GEF-financed projects that are either executed or co-executed by NGOs, or include contracts or sub-contracts with NGOs. The GEF's Small Grants Programme has financed more than 1,200 NGO-executed projects.<sup>191</sup>

In addition, the World Bank and the Seychelles' Policy, Planning & Services Division agree that current GEF measures are good at promoting the sustainable involvement of local stakeholders in project design. The World Bank Desk Officer saw the GEF measure as adequate as they can disburse funds directly to NGOs or in the case of a Government proposal; GEF can request for details of and can consult with NGOs.

However, while studies like the OPS2 found some notable examples of NGO achievements in furthering GEF goals, they also found many squandered opportunities for mobilizing civil society support<sup>192</sup>, as considerable opportunities remain for using NGO and CBO strengths more fully in GEF activities, including in mobilization of civil society support. NGOs in particular would like to see greater direct, substantive participation of stakeholders and recognition of the wealth of valuable knowledge among these stakeholders. They found that sustainable development and conservation models and practices promoted in GEF projects have often been developed by "experts", often from outside the country, and don't make effective use of the potential contributions of local people.

Our questionnaire data suggests that focal points are reasonably happy with the GEF measures to involve NGOs and local community groups in building long-term support for BD initiatives that address local socio-economic priorities. Over three quarters of respondents rated these measures as either "satisfactory" or "fully satisfactory" while less than 10% rated them

<sup>188</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 3.

<sup>189</sup> GEF, July, 2000. *Achieving Sustainability of Biodiversity Conservation. Report of a GEF Thematic Review*. GEF, Monitoring and Evaluation Program, p. 25.

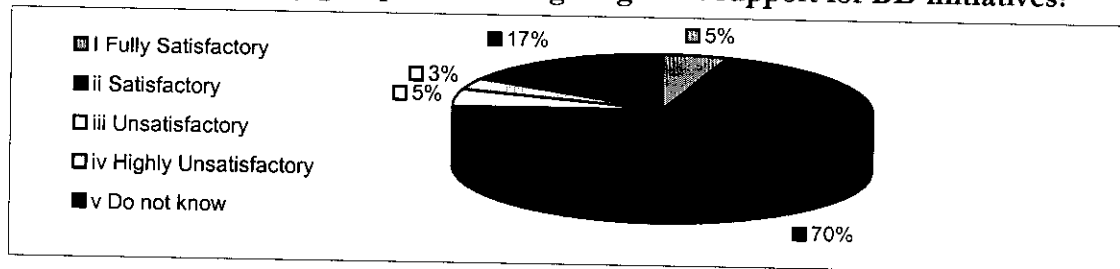
<sup>190</sup> GEF, May 2001. GEF-NGOs Teleconference-April, 2001. Discussion Notes, p. 1.

<sup>191</sup> GEF, May 2001. GEF-NGOs Teleconference-April, 2001. Discussion Notes, p. 1.

<sup>192</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington

“unsatisfactory” or “highly unsatisfactory”. The rest did not know. The responses are reflected in the graph below. However, it should be noted that the focal points sometimes have their own views as to what constitutes an adequate level of NGO and local community involvement. Thus, these results should be considered with that in mind.

**“ What is your level of satisfaction with the GEF’s effective involvement of NGOs and local community groups in building long-term support for BD initiatives? ”**



When it came to GEF efforts to involve the private sector in particular, however, the response was dramatically different. Only about a third of respondents rated these effort “satisfactory” or “fully satisfactory”, while about 40% said these efforts were either “unsatisfactory” or “highly unsatisfactory”.

In support of the above data, our interviews with IA representatives suggest that GEF often puts little effort into the involvement of the private sector as well. Channels remain limited (IFC or INGOs like IUCN or WWF) to do so, and there is no formal mechanism for touching base with the private sector in developing countries.

Overwhelming evidence suggests that more work is needed to involve the private sector. All agreed that private sector involvement has been weak and needs much greater attention. OPS2 suggests that a key factor for successfully engaging private sector partners is providing clear incentives and enabling conditions for them, such as opportunities to influence regulatory goals, measures and compliance schedules and to negotiate voluntary agreements instead of regulations. “OPS2 also believes that private sector involvement and investment will enlarge the pool of resources for GEF projects and further national development strategies. Expanded private sector involvement thus directly addresses the problem of excess demand”<sup>193</sup>. It is also suggested that the private sector is better engaged as a group than as individual firms, in order to avoid the appearance of favouritism for one business or industrial sector<sup>194</sup>. OPS2 found “encouraging evidence of GEF efforts to engage the private sector in its activities on behalf of the global environment. However, OPS2 finds that many opportunities remain unexploited and that many barriers to a wider engagement of the private sector in GEF projects still exist. At the same time, OPS2 believes there are powerful rationales for seeking such engagement on a substantially increased scale”.<sup>195</sup>

<sup>193</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p.74

<sup>194</sup> Global Environment Facility. *GEF Lessons Notes 4*, November 1998. GEF Secretariat Monitoring and Evaluation Program, Washington.

<sup>195</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2), - Final Draft*. GEF, Washington, p. 73.

This same study pointed out potential boost to financial and political sustainability that can result from more effective involvement of the private sector. They suggest that more GEF projects should demonstrate the different kinds of commercial potential in conservation, such as benefits from consumers' preferences for "green" products or companies.<sup>196</sup> "In the BD portfolio, conservation efforts in production landscapes is a growing priority, reflecting the predominance of this land use. In this context, engaging economic actors – from small scale farmers to commercial firms, - will play a crucial role, for which economic instruments and market transformation approaches are powerful tools. Yet GEF efforts to use these approaches within the BD portfolio are very limited, representing a largely untapped opportunity". Promising efforts in eco-tourism and agro forestry sectors should be encouraged, although OPS2 believes there are also important opportunities in mining and commercial forestry, and questions current guidelines banning projects in the latter sector"<sup>197</sup>.

Yet, it is important to note that although private sector involvement is encouraged, it must be contextually appropriate, guided by the principle of country driven-ness. In addition, measure like ecotourism and agro forestry are not presented as panaceas here, but rather potentially helpful suggestions for enhancing private sector inclusion, where appropriate.

***Recommendation:*** *The CoP should instruct the GEF and developing country parties to review existing procedures in view of ensuring a greater access and participation to other stakeholders (in particular, local NGOs women's groups and the private sector) to project preparation, implementation and monitoring. Strong, effective ownership can be built with synergies between NGO and the private sector partners.*

***Recommendation:*** *The CoP should instruct the GEF and developing country parties to place more emphasis and effort in stimulating private sector involvement, where appropriate. For example, with the use economic instruments, market transformation, "conservation in production landscapes", and promotion of eco-tourism and agro-forestry, where contextually appropriate and feasible.*

#### 2.6.3.7 Integration of biodiversity into other sectors - Mainstreaming

Mainstreaming of BD is of central importance for purposes of sustaining BD outcomes. The GEF has a role to play in this regard, but responsibility, in the end, lies with developing countries to further mainstream BD initiatives into their overall national policy and sector frameworks. Although this issue has been dealt with in the section on 'Impacts', the overall sustainability of GEF project outcomes, too, requires a significant level of mainstreaming. There are many opportunities for mainstreaming of BD at the national level.

For example, as the GEF itself notes, "several projects use sustainable rural development as a conservation tool to support the dual goals of conservation and poverty alleviation and resolve the competitive demands of communities and wildlife for land and resource use. By exploiting linkages,

<sup>196</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington., p. 8.

<sup>197</sup> GEF Study Team, 11 November 2001. *Second Overall Performance Study (OPS2)*, - Final Draft. GEF, Washington, p. 73.

like the ones exemplified in the Periya Tiger Reserve, the projects provide one of the best opportunities for mainstreaming BD into national sustainable development strategies and poverty alleviation agendas<sup>198</sup>. Yet, there is still concern that relatively few BD projects are being mainstreamed and this can and has impacted negative on overall sustainability of GEF project outcomes. Data collected suggests that part of the problem of mainstreaming BD is that often BD priorities and goals are not 'in-line' with national goals and priorities.

Through our interviews and field visits, one of the frequently mentioned weaknesses with both preparation and implementation of biodiversity strategies by the developing country parties is their lack of articulation and linkages with initiatives in directly related fields, such as natural resources and sustainable development. There are few examples of integration of biodiversity into sectoral planning for key fields such as agriculture, forestry, tourism and mining. Furthermore, beyond integration with environmental plans at the country level, our research further indicated that biodiversity plans are rarely integrated into broader national development or economic policy and planning. Despite national plans, biodiversity is often not well known among other government agencies and is still often perceived to be in the "environment" sector.

This situation is well illustrated by the case of Hungary, which has a Biodiversity action program within a National Environmental Action Program; a National Sustainable Development Strategy; and is part of the European Union Biodiversity Strategy, yet these initiatives "have little to do with each other", according to our interviewees. Similarly, in Ecuador, there have been attempts to create links between the Sustainable Development Strategy, Biodiversity Strategy and Forest Strategy, but these still appear to have few institutional and operational linkages, in part due to lack of implementation strategies and minimal resources. In the case of Nepal, it is reported that efforts have been made to link the National Biodiversity Five-year Plan with Forestry Plans, but substantive issues still need to be linked.

The existence of both political and operational focal points for CBD and GEF should theoretically help with this integration. Typically, the Political focal point is in the Ministry of Foreign Affairs, Finance or Planning, while the Operational Focal Point (GEF only) is the environment authority. Yet, coordination between these may be non-existent or weak. Indeed, the role of focal points overall needs to be emphasized and support for them needs to be greatly increased, both substantially and financially. Indeed, their needs to be a broadening of the roles and responsibilities of the focal points, for purposes of enhancing sustainability. Yet, although the CBD and GEF representatives can indeed help facilitate the process of mainstreaming, but this process, like BD initiatives in general, should be country-driven. As one of our IA interviewees suggested, the GEF and IAs should play an *advisory* role and provide staff time to ensure that conservation and sustainable use of biodiversity are mainstreamed in their development program cooperation frameworks with the countries and therefore ensures integration with national development priorities.

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<sup>198</sup> GEF, April 2001. *GEF Project Performance Report 2000*, GEF Council, p. 91.



The World Bank reports suggest that often projects (mostly international waters projects, but many of these have a strong BD dimension) ‘use’ the GEF to enable governments integrate the management of complex regional ecosystems into their mainstream development planning. “This is done through regional initiatives in the Mediterranean, the Baltic, the Caspian, Red, Black and Aral seas and tropical lakes including Lake Malawi and Lake Victoria”<sup>199</sup>. The same report though, says there was an absence of “...systemic process supported by the Bank to set priorities and get them incorporated into country programs”<sup>200</sup>. As the Bank itself notes, what is most “relevant and important is that these projects have not been mainstreamed in the countries themselves. We found little evidence to support the likelihood of projects mainstreamed in the countries we visited”<sup>201</sup>.

For the World Bank, “whilst most CASs include specific sections on the environment, they often present the environment in isolation from other priorities, rather than as a cross-sectoral issue. In addition, CASs tended to make reference to ongoing GEF activities, but do not place WB-GEF assistance strategically enough in the CAS framework. It is therefore expected that the Bank’s activities in support of conservation and sustainable use of BD will further emphasize mainstreaming of BD in the productive landscape”<sup>202</sup>.

Future activities in support of conservation and sustainable use of BD will need to continue emphasising “...mainstreaming of BD in the productive landscape”<sup>203</sup>. The Biodiversity Program Study correctly recommends that GEF strengthen involvement with all government sectors, especially those outside forest and environment (especially to focus on “greening” of energy, agriculture, water resources and irrigation, rural development, fisheries, planning, finance departments) in order to enhance project impacts and sustainability.<sup>204</sup> However, mainstreaming must be a priority for national governments that must take the lead in the mainstreaming process. Mainstreaming is crucial in order for chances of overall sustainability to be greatly enhanced.

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<sup>199</sup> World Bank, November 2000. *OED (First) Review of the (World) Bank’s Performance on the Environment*. Operations Evaluation Department, p. 16.

<sup>200</sup> World Bank, November 2000. *OED (First) Review of the (World) Bank’s Performance on the Environment*. Operations Evaluation Department, p. 22.

<sup>201</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 35.

<sup>202</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 14.

<sup>203</sup> World Bank, July 2000. *Bank Performance in Biodiversity Conservation and Sustainable Use: Findings from an Evaluation of Selected Bank Supported Projects* – Draft Report. WB: Operations Evaluation Dept., p. 14.

<sup>204</sup> Singh, S. and Volonte C., 2001. *Biodiversity Program Study*, GEF, Monitoring and Evaluation Unit, Washington, p. 8.

## **Appendices**

### **Second Review of the Effectiveness of the Financial Mechanism for the United Nations Convention on Biological Diversity**

30 November 2001

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## Appendix A: Summary of Coverage for Interviews Conducted

<b>Type of organisations</b>	<b>Number of interviews conducted</b>
NGOs	5
STAP members	3
CBD Secretariat Members	5
GEF Secretariat	6
Donor Agencies	4
Implementing Agencies	5
Other People Met/Interviewed	3
<b>Total</b>	<b>30</b>

### **I – NGOs**

<u>Region/Country</u>	<u>Respondent Organization</u>	<u>Person Interviewed</u>
CEE/Hungary	Central & Eastern European Working Group for the Enhancement of Biodiversity (CEEWEB)	Andras Krolopp
North America/USA	Counterpart International	Vance Hartke
South America/Argentina	Fondacion Ecologica Universal	Liliana Hisas
Central America/Mexico	WWF	Paul Sanchez Navarro
South Asia/Nepal	Rural Construction Nepal	Sarba Raj Khadka

### **II – STAP**

<u>STAP Biodiversity Members</u>	<u>Respondent Organization</u>
Dr. Madhav Gadgil (Chairman of STAP)	Indian Institute of Science
Dr. Christine Padoch	Institute of Economic Botany
Professor Dennis Anderson	Oxford University

### **III – CBD Secretariat Members**

Tony Gross  
 Alexander J.F. Heydenael  
 Sam Johnston  
 Arthur Nogueira  
 Yibin Xiang

### **IV - GEF Secretariat Members**

Patricia Bliss-Guest  
 Jarle Harstad  
 Ramesh Ramankutty  
 Mario A. Ramos  
 Avani Vaish  
 Claudio Volonte

## **V – Donor Agencies**

<u>Region/Country</u>	<u>Respondent Organization</u>	<u>Person Interviewed</u>
Europe/Denmark	Danced-Dancee	Peter Pouplier
Europe/Netherlands	DGIS	Ton van der Zon
North America/Canada	CIDA	Charles Parker
Europe/Germany	GTZ	Andreas Gettkant

## **VI - Implementing Agencies**

Mark Zimsky	UNEP
Kathy MacKinnon	World Bank
Miguel Toralba	UNDP
Eduardo Fuentes	UNDP
Nick Remple	UNDP

## **VII - Other People Met/Interviewed**

Lief Christofersson	GEF Secretariat (OPS2)
Mohammad Reza Salamat	Counsellor-Permanent Mission of Iran to the UN
Juha Uitto	Monitoring and Evaluation Specialist - GEF

## Appendix B: Summary Breakdown of Responses Received

Region	No. of developing countries from which completed questionnaires were received	% Breakdown of completed questionnaires by regions
Africa	17	28%
Asia/Pacific	17	28%
EEC	12	20%
Latin America	15	24%
<i>Total</i>	<i>61</i>	<i>100%</i>

Questionnaire Responses Received From:	Contact Name:	CBD or GEF Focal Point:	Region:
Senegal	Aida Ba	CBD	Africa
Togo	Yao Djiwonu Folly	GEF	Africa
Namibia	Phoebe Barnard	CBD/GEF	Africa
Djibouti (2)	Mohamed Ali Moumin	CBD/GEF	Africa
Sudan	Nadir Mohamed Awad	CBD	Africa
Eritrea	Tekleab Mesghena	CBD/GEF	Africa
Benin	Pascal Z. Yaha	CBD/GEF	Africa
Mauritius	V. Sannasse	SBSTTA focal point	Africa
Madagascar (2)	Lala Rakotovao	CBD	Africa
Uganda	David Hafashimana	ICCP Focal Point	Africa
Burkina Faso	Soumayila Bance	CBD	Africa
Cameroon	Mary Mbantenkhu	PFN-BioSecurity-Cam	Africa
Kenya	Cecelia Katunge Nzau	ICCP Focal Point Biosafety	Africa
Niger	Ali Harouna	CBD & ICCP focal point	Africa
Mozambique	Daude Mohamede	???	Africa
Oman	Mohammed bin Ali Al-Hakmani	CBD/GEF	Asia/Pacific
Lebanon	Lara Samaha	CBD	Asia/Pacific
Federated States of Micronesia	Okhean Ehmes/Jane Chigiyal	CBD	Asia/Pacific
Cote D'Ivoire	Kone Alimata	GEF	Asia/Pacific
Niue	Judy Nemaia	CBD/GEF	Asia/Pacific
Cambodia	Khieu Muth	CBD/GEF	Asia/Pacific
Bhutan	Tshering Tashi	CBD/GEF	Asia/Pacific
Fiji	Epeli Nasome	CBD	Asia/Pacific
Vietnam (2)	Ngoyen Ngoc Sinh	GEF	Asia/Pacific
China	Yue Ruisheng	CBD	Asia/Pacific
Republic of Korea	Suho Seong	GEF	Asia/Pacific
Samoa	Jim Dunlop	GEF	Asia/Pacific
Marshall Islands	Kino Kabua	RMIEPA National IA	Asia/Pacific

Egypt	Ossama El-Tayeb	CBD	Asia/Pacific
Nepal	Tulshi Prajapati	CBD	Asia/Pacific
Palau	Yousau Bells	Both	Asia/Pacific
Jordan	Raed Bani Hani	CBD	Asia/Pacific
Indonesia	Pratiwi Sudarmono	CBD	Asia/Pacific
Vanuatu	Ernest Bani	Both	Asia/Pacific
Georgia	Malkhaz Adeishvili	CBD	EEC
Hungary	Gabor Nechay	CBD	EEC
Czech Republic	Milena Roudna	CBD	EEC
Turkey	Cevre Bakanligi Bitki Koruma	CBD	EEC
Slovenia	Gordana Beltram/Emil Ferjancic	CBD	EEC
Albania	Zamir Dedej	CBD	EEC
Belarus	Oleg Ivanov	CBD	EEC
Poland	Zofia Chrempinska	CBD	EEC
Slovak Republic (2)	Igor Ferencik	CBD	EEC
Latvia	Ilona Mendzina	CBD	EEC
Romania	Adriana Baz	CBD	EEC
Kazakhstan (not good format)	Yerlan Zhumabayev	CBD	EEC
Panama	Mariosl Dimas	CBD	Latin America
Guatemala	Juan Carlos Godoy	CBD	Latin America
Mexico	Lic. Luz Maria Ortiz Ortiz	CBD	Latin America
Costa Rica	Lesbia Sevilla	CBD	Latin America
Dominican Republic	Lic. Renato Rimoli	CBD	Latin America
Paraguay	Nelida Rivarola	CBD	Latin America
Chile	Ximena Nascimento	CBD	Latin America
Bolivia	Beatriz Zapata Ferrufino	Both	Latin America
Haiti	Joseph Toussaint	Both	Latin America
Bahamas	Donald Cooper	Both	Latin America
Cuba	Jose Rodriguez Duenas	Both	Latin America
Nicaragua	Mauramartha Duarte	CBD	Latin America
Argentina	Marcelo Cima	Both	Latin America
Uruguay	Ana Aber	CBD	Latin America
El Salvadore	Jorge Ernesto Quezada Diaz	CBD	Latin America

## Appendix C: Field Visits

### *Status and Focus of the Field Visits*

<b>Region/ Country</b>	<b>Projects covered (IAs)</b>	<b>Evaluation team member conducting field visit</b>	<b>Dates of field visits</b>
Asia-Pacific/ Jordan	1. Final Consolidation and Conservation of Azraq Wetlands and Dana Wildlands by RSCN to Address New Pressures (UNDP)  2. Conservation and Sustainable Use of Dryland Agro-Biodiversity of the Fertile Crescent -Regional Project (UNDP)	Mr. Ma'an Mohammed Al-Huneidi (Jordanian)	Aug. 10 – 15
Latin America/ Ecuador	1. Biodiversity Protection (World Bank)  2. Biodiversity Enabling Activity (UNDP)	Ms. Susan Abs (Canadian) and Mrs. Clemencia Vela Witt (Ecuadorian)	Sept. 10 – 15
EEC/ Russia	1. Biodiversity Conservation (World Bank)	Mr. Howard Stewart (Canadian) and, Mr. Valery Neronov (Russian)	Sept. 17 - 22
Africa/ Seychelles	1. Management of Avian Ecosystems (World Bank)  2. Clearing House Mechanism Enabling Activity (UNEP)	Mr. Antoine Moustache (Seychellois)	October



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**Appendix E: Evaluation Matrix**

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
<b>A - Responsiveness</b>	A.1 – Do the GEF project activities conform with the guidance of the CoP?	Selected portfolios of projects reviewed against CoP priorities	<ul style="list-style-type: none"> <li>• GEF Reviews, annual reports, CoP decisions</li> </ul>	Desk study
	A.2 - Does the GEF operational strategy relate to the main biodiversity challenges facing the recipient countries?	Especially for components of biodiversity that are particularly under threat as indicated in national biodiversity plans and national reporting (for example, GEF actions that are integrated with national biodiversity plans and related training)	<ul style="list-style-type: none"> <li>• A sample of biodiversity studies</li> <li>• Experts</li> </ul>	<ul style="list-style-type: none"> <li>• Desk study</li> <li>• Interviews</li> </ul>
	A.3 – Is the criteria for project approval consistently applied in a timely manner?	Review of a sample of projects for the countries to be visited to undertake a comparison of stakeholders' perceptions of selection criteria and project cycle timeliness	<ul style="list-style-type: none"> <li>• Project reports</li> <li>• Different stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Desk study</li> <li>• Interviews</li> </ul>
	A.4 - Does the national decision-making process for the identification and funding of projects adequately reflect the biodiversity priority needs of the recipient countries?	Ranking by stakeholders of relevance of selected project vis-à-vis priority needs expressed	<ul style="list-style-type: none"> <li>• National focal points, NGOs and academic institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Questionnaire</li> </ul>
	A.5 - Do the recipient governments understand the need and demonstrate commitment for the biodiversity project?	Chosen GEF biodiversity projects clearly integrated into national strategies and plans (e.g., national/regional/local development strategies) and are endorsed and promoted by the recipient country Parties	<ul style="list-style-type: none"> <li>• A sample of national biodiversity strategies</li> <li>• Recipient governments and</li> </ul>	<ul style="list-style-type: none"> <li>• Desk study</li> <li>• Interviews, field visits</li> </ul>



Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	A.6 – How can CoP guidance for the financing mechanism be made more country driven and relevant to local needs?	Stakeholders' suggested improvements	field staff	Questionnaire and interviews
	A.7 – Do national reports developed by Parties adequately reflect the overall needs of recipient countries to manage and protect their biological diversity?	Ranking by stakeholders	<ul style="list-style-type: none"> <li>National focal points, NGOs, academics and Bilateral donors</li> <li>National focal points, NGOs, academics and Bilateral donors</li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire</li> </ul>
	A.8 - Does the GEF Operational Strategy adequately instruct recipient countries to take relevant crosscutting issues into account as called for in the objectives of the Biodiversity Convention?	Evidence that national biodiversity strategies and related environmental action plans address cross-cutting issues (e.g., gender; good governance; control of alien species; strengthening capacity of recipient countries in taxonomy; development of indicators of biodiversity loss)	<ul style="list-style-type: none"> <li>A sample of national biodiversity strategies</li> <li>Different stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Desk studies</li> <li>Interviews</li> </ul>
	A.9 - Have donor funding commitments remained adequate for achieving long-term biodiversity benefits?	Trends in funding for the period 1994 – 1997 compared to 1997-2000  Ability of GEF and partner / recipient countries to commit and disburse available funds?	<ul style="list-style-type: none"> <li>GEF staff, Implementing Agencies, local government officials and Bilateral agencies</li> </ul>	<ul style="list-style-type: none"> <li>Interviews and desk studies</li> </ul>
	A.10 - Is the GEF operational strategy flexible enough to be periodically revised to respond to new guidance from the CoP?	Date, type and reason of changes to the Operational Strategy over the period covered	<ul style="list-style-type: none"> <li>GEF staff, CBD agencies</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	A.11 - Is there a common understanding of the	Comparison of definitions among	<ul style="list-style-type: none"> <li>Various</li> </ul>	Questionnaire

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	incremental cost criteria among the parties involved in GEF funded activities?	stakeholders	stakeholders	and interviews
	A.12 – In regard to actions taken to improve the effectiveness of the financial mechanism, has the GEF increased its flexibility to respond to the thematic longer-term work programme of the CBD, in accordance with CoP guidance?	Perception of increased flexibility of the GEF	<ul style="list-style-type: none"> <li>• GEF staff and CBD staff</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
	A.13 – On a reciprocal basis, does the GEF routinely invite CBD representatives to GEF meetings and are GEF representatives invited to CoP meetings?	As determined by participating representatives to various meetings	<ul style="list-style-type: none"> <li>• GEF and CBD meeting minutes</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
<b>B - Effectiveness</b>	B.1 – Do GEF policies and strategies fully comply with CoP guidance in a straightforward and timely manner?	Level of achievement as reported and evaluated	<ul style="list-style-type: none"> <li>• GEF reviews, annual reports to CBD.</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies, interview, field visits</li> </ul>
	B.2 - To what degree are the GEF biodiversity projects achieving what they set out to achieve?	Outcomes reported and confirmed compared to objectives set out in the project design	<ul style="list-style-type: none"> <li>• GEF field officers</li> <li>• National governments and NGOs</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Questionnaire and field visits</li> </ul>
	B.3 - Which factors contribute to successful outcomes and which impede success?	Range of enabling factors and constraints as expressed by interviews and respondents	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews, questionnaire and field visits</li> </ul>
	B.4 - How effective are the mechanisms for overseeing, monitoring and evaluating the compliance under its operational programmes with the policy, strategy, program priorities	Degree to which M&E systems measure the compliance of CoP guidance for the operational programmes)	<ul style="list-style-type: none"> <li>• GEF staff, CBD staff, Bilateral agencies, International</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews and field visits</li> </ul>

<b>Evaluation Criteria</b>	<b>Questions to guide the evaluation team in its data collection and analysis work</b>	<b>Indicators</b>	<b>Data Collection Source</b>	<b>Data Collection Method</b>
	and eligibility criteria established by the CoP?		<ul style="list-style-type: none"> <li>• NGOs</li> <li>• GEF reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	B.5 - What are the key constraints to the GEF's ability to develop policies and procedures that fully comply with the guidance of the CoP?	Constraints expressed by interviewees and respondents	<ul style="list-style-type: none"> <li>• GEF staff, CBD agencies and International NGOs</li> <li>• National focal points, NGOs and academic institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews and field visits</li> <li>• Questionnaire</li> </ul>
	B.6 - Do existing mechanisms for inter-institutional cooperation adequately facilitate prompt implementation of CoP guidance?	Communication channels among the GEF Secretariat, Implementing Agencies and Convention Secretariat	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
	B.7 - How could these mechanisms be made more effective?	Models of effective communication and partnership	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>
	B.8 - Have the recommendations from the first CBD review been adequately implemented?	Recommendations that have or have not been implemented	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and the CBD Secretariat</li> <li>• Relevant GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Desk Studies</li> </ul>
<b>C - Efficiency</b>	C.1 - In relation to the GEF project cycle,	Differences between traditional	<ul style="list-style-type: none"> <li>• Review of GEF</li> </ul>	<ul style="list-style-type: none"> <li>• Desk</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	does the GEF exercise sufficient flexibility in applying its operational criteria for project selection for enabling activities in developing countries?	project selection process and the process for enabling activities (e.g., evidence of the degree to which it is more efficient, stream-lined, transparent and country-driven)	documents describing the management process for enabling activities and the actual time to process a sample of proposals <ul style="list-style-type: none"><li>• GEF staff and Implementing Agencies</li></ul>	studies  <ul style="list-style-type: none"><li>• Interviews</li></ul>
	C.2 - Is the GEF disbursement and project management cycle sufficiently predictable and timely in order to expedite the project preparation, approval and disbursement process?	Perceptions and ranking by stakeholders	<ul style="list-style-type: none"><li>• National focal points, NGOs and academic institutions</li></ul>	Questionnaire and field visits
	C.3 - Does the GEF planning and implementation process efficiently link with local biodiversity priorities and initiatives as related to the three CBD objectives?	Presence or absence of bottlenecks encountered in incorporating GEF funded activities into national/regional/local development biodiversity strategies (e.g., national/, coastal zone, forest sector, poverty reduction, tourism, etc.)	<ul style="list-style-type: none"><li>• Implementing Agencies, NGOs and academic institutions</li></ul>	Interviews and field visits
	C.4 - How appropriate is the use of international consultants and contractors for country-level projects?	Evidence of coherent capacity development strategies that guide the use of international specialists (as opposed to meeting short-term needs to fill gaps in local capacities	<ul style="list-style-type: none"><li>• National focal points, GEF staff</li></ul>	Interviews, questionnaires and field visits

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
		when there are recruitment problems or lack of local capacity etc.) Views expressed by managers	<ul style="list-style-type: none"> <li>GEF Secretariat and Implementing Agencies</li> </ul>	Interviews and field visits
C.5	Would contracting of international consultants, with involvement by recipient country counterpart consultants be a useful way to promote local consultant capacity building?	Identification of constraints and needs as identified by Parties in their national reports, such as: - Appointment of personnel; - Procurement of equipment/technology; - Domestic banking; - Logistical support to international consultants etc.	<ul style="list-style-type: none"> <li>GEF staff, Implementing Agencies and recipient country government officials</li> </ul>	<ul style="list-style-type: none"> <li>Interviews and field visits</li> </ul>
C.6	Which domestic factors, if any, have complicated the project approval and implementation process or contributed to a delay in project implementation?	Evidence of the degree to which timely disbursement improves project implementation success	<ul style="list-style-type: none"> <li>GEF staff, Implementing Agencies and recipient country government officials</li> </ul>	<ul style="list-style-type: none"> <li>Interviews and field visits</li> </ul>
C.7	How can these domestic factors be better managed in the future in order to expedite the project preparation and approval process?	Reported performance of the programme	<ul style="list-style-type: none"> <li>GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>Desk studies, field visits and interviews</li> </ul>
C.8	Has the programme for providing grants for medium-sized projects been implemented in an efficient manner?	Evidence of other funding mechanisms being more efficient or streamlined/	<ul style="list-style-type: none"> <li>GEF/Implementing Agencies and local governments</li> </ul>	<ul style="list-style-type: none"> <li>Interviews, desk studies and field</li> </ul>
C.9	How could project planning for country level interventions be achieved more economically?			

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
<b>D - Impact</b>		Emergence of new partnerships?		visits.
	D.1 – Does the planning for biodiversity projects adequately integrate key CBD issues such as poverty eradication and social dimensions?	Evidence of adequate analysis and measures in planning documents on the link between loss of biodiversity and increased poverty and social inequality. And vice-versa: evidence of links between better biodiversity management and protection and reduced poverty, improved equity etc.	<ul style="list-style-type: none"> <li>• Review of a sample of project reports for countries to be visited</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies, field visits and interviews</li> </ul>
	D.2 – Has the GEF addressed the major impacts of biodiversity loss?	Ranking of impacts by respondents	<ul style="list-style-type: none"> <li>• GEF report, reviews,</li> <li>• Discussion with stakeholders and observation</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies,</li> <li>• Field visits</li> </ul>
	D.3 – Have GEF projects helped to increase the availability of qualified local professionals who can provide technical assistance at the field level?	Evidence of professional development in recipient countries and improvements in their ability to provide technical advice on biodiversity management and protection (including the development of a consultative process for national reporting requirements)	<ul style="list-style-type: none"> <li>• Sample of project documents for countries of field visits</li> <li>• Implementing Agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> <li>• Field visits</li> </ul>
	D.4 – Has the GEF contributed adequately to strengthening the local institutional capacity to develop monitoring programmes with	Evidence of professional development in recipient country institutions and improvements in	<ul style="list-style-type: none"> <li>• Sample of project reports for countries of field visits</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies (such as the</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	suitable indicators?	their ability to run these institutions (e.g., enhanced capacities for local planning and management, enhanced awareness, enhanced capacities for participatory, rigorous M&E, enhanced capacities for sustainable financing of biodiversity management and protection)		WCMC Study: "Biodiversity Indicators for Monitoring GEF Programme) and, field visits
	D.5 – Within the context of the operational programmes, has the financial mechanism provided resources for participation in the Global Taxonomy Initiative and for promoting awareness of the initiative?	Evidence of resources targeted at taxonomic activities (especially for small island States)	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies and GEF interviews</li> </ul>
	D.6 – Does the financial mechanism support activities for capacity building in biosafety?	Evidence of resources targeted at capacity building in biosafety (such as the UNEP International Technical Guidelines on Safety in Biotechnology or for the GEF to develop an initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety)	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.7 - Has the GEF and its partners supported human and institutional capacity-building programmes to promote the development and implementation of legislative, administrative and policy measures on the fair and equitable	Evidence of resources targeted at this issue (this could include relevant efforts towards building capacity in the scientific, technical, business, legal and management	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	access to and sharing of genetic resources?	skills for access to genetic resources)		
	D.8 – Has the GEF supported capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the conservation and sustainable use of biodiversity?	Evidence of resources targeted at support for projects that strengthen the involvement of local and indigenous people (including the preservation and maintenance of their knowledge, innovations and practices and ensuring their prior informed consent for their participation in biodiversity activities)	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.9 – Has the GEF implemented their revised operational criteria for enabling activities in relation to the clearing-house mechanism?	<p>Evidence of resources targeted at:</p> <ul style="list-style-type: none"> <li>- Support for capacity- building for the purpose of the clearing-house mechanism including training for developing countries in information and communications technologies such as the internet.</li> <li>- Support for country-driven pilot projects that focus on priority areas identified by the CoP to begin implementation of the main features of the pilot-phase of the clearing-house mechanism</li> </ul>	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>



Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	D.10 – Has the GEF provided adequate and timely support for the design and approaches relevant to the implementation of incentive measures?	Evidence of support for projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biodiversity	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.11 – In regard to coastal and marine resources under threat, has the GEF supported relevant capacity-building projects to address the issue of coral bleaching?	Evidence of specific efforts to address the issue of coral bleaching	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.12 – Does the GEF support, as a priority, projects which implement its operational programme on agricultural biodiversity through the development and implementation of other relevant operational programmes	Evidence of support for such projects (for example, support for development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture?)	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.13 – Within the context of implementing national biodiversity strategies and action plans, does the GEF provide adequate and timely support to eligible projects which help Parties to develop and implement cross-sectoral plans for the conservation and sustainable use of biodiversity of inland water ecosystems?	Evidence of cross-sectoral project support for inland water ecosystems including capacity-development efforts for monitoring trends related to information gathering and dissemination among riparian communities	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.14 – Within the context of implementing national biodiversity strategies and plans, does the GEF provide adequate and timely	Evidence of the timely use of the clearing-house mechanism to include activities that contribute to	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	financial support to Parties for projects and capacity-building activities for implementing the work programme on forest biodiversity?	halting and addressing deforestation and forest ecosystems under threat, basic assessments and monitoring of forest biodiversity (such as taxonomic studies and inventories)		
	D.15 – As a priority, does the GEF support projects that implement the CBD's work programme on biodiversity of dry and sub-humid lands through the development, review and implementation of the operational programme (especially on arid and semi-arid ecosystems)?	As determined by the biodiversity operational programme portfolio	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.16 – Does the GEF support projects that promote the conservation and/or sustainable use of endemic species?	Evidence of resources targeted at such projects (including activities that implement the Global Invasive Species Programme)	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.17 – Does the GEF provide adequate and timely support for country-driven projects that address the issue of alien species?	As indicated by the biodiversity project portfolio focus on such issues	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	D.18 – Does the GEF provide support for access and benefit-sharing activities for genetic resources?	Evidence of resources targeted at such support for stock-taking activities (for example, assessments of relevant legislative, administrative and policy measures, the formulation of access and benefit-sharing mechanisms that include monitoring, assessment and incentive measures, benefit sharing initiatives such as support for	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
<b>E - Sustainability</b>	E.1 – Are GEF interventions able to address root causes of biodiversity loss (such as poverty, inequity, population and consumption pressures) given constraints such as “incremental costs” guidelines?	entrepreneurial developments by local and indigenous communities and appropriate targeted research components) Evidence of initiatives such as support/creation of protected areas, removal of threats to biodiversity, awareness-raising, mainstreaming of biodiversity issues, more sustainable use of resources, institutional strengthening for biodiversity management and evidence of distribution of overall GEF portfolio around priority CoP issues	<ul style="list-style-type: none"> <li>• Sample of project reports for countries of field visits</li> <li>• GEF/Implementing Agencies</li> <li>• Review of overall funding</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> <li>• Interviews,</li> <li>• Desk studies</li> </ul>
	E.2 - How sustainable are selected actions and projects funded under the mechanism?	Degree to which there is continuation of project benefits after the termination of GEF funding	<ul style="list-style-type: none"> <li>• Observation in the field and interviews with local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Field visits for projects being implemented and interviews and questionnaires for projects already completed</li> </ul>
	E.3 - Do recipient countries have an adequate level of political commitment to sustain efforts towards attaining the objectives of the CBD?	Degree to which recipient country government meets CBD commitments in a manner that corresponds to national reports (e.g.,	<ul style="list-style-type: none"> <li>• Sample of Project reports</li> <li>• National focal</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
		evidence of real, effective links with other related policies and programmes)	<ul style="list-style-type: none"> <li>points, field officers and project managers</li> </ul>	<ul style="list-style-type: none"> <li>Interviews during field visits</li> </ul>
	E.4 - Are transparency and participatory measures adequate to promote local involvement and support for the objectives of the biodiversity convention?	Evidence of local understanding and commitment to biodiversity principles (including biodiversity strategies and action plans; promotion of gazetted protected areas; awareness-raising activities and capacity development)	<ul style="list-style-type: none"> <li>NGO's and community groups</li> <li>Project managers and field officers from Implementing Agencies</li> </ul>	<ul style="list-style-type: none"> <li>Interviews during Field visits</li> <li>Interviews during field visits</li> </ul>
	E.5 - How effective are measures to involve NGOs and local community groups in building long-term support for biodiversity initiatives that address local socio-economic priorities?	Evidence of enhanced participation and consultation among NGOs and community groups for biodiversity projects, programmes, policies of local / national socio-economic priorities as related to a consultative process for biodiversity management and protection activities	<ul style="list-style-type: none"> <li>Project managers and local NGOs</li> </ul>	<ul style="list-style-type: none"> <li>Interviews during field visits and questionnaire</li> </ul>
	E.6 - What are the key constraints to sustainability of GEF funding for biodiversity interventions and how can they best be overcome?	Constraints expressed by interviewees and respondents and reflected in national reports	<ul style="list-style-type: none"> <li>GEF Secretariat and Implementing Agencies, CBD Secretariat and Bilateral agencies</li> <li>National focal points, NGOs and academic institutions</li> </ul>	<ul style="list-style-type: none"> <li>Interviews and field visits</li> <li>Questionnaire</li> </ul>
	E.7 - Does the operational period for the GEF	Review of sustainability analysis	<ul style="list-style-type: none"> <li>Sample of Project</li> </ul>	<ul style="list-style-type: none"> <li>Desk</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	financial mechanism allow enough time to address sustainability issues?	Perceptions of respondents	documents and GEF reviews <ul style="list-style-type: none"> <li>National focal points, NGOs and academic institutions</li> </ul>	studies <ul style="list-style-type: none"> <li>Questionnaire</li> </ul>
	E. 8 - Is there adequate recipient country input in project preparation?	Review of process, including roles and responsibilities during selection and preparation of projects	<ul style="list-style-type: none"> <li>Recipient country government, NGO's and community groups in country visited</li> </ul>	<ul style="list-style-type: none"> <li>Interviews during field visits</li> </ul>
	E. 9 - To what extent are various local institutional stakeholders (government, private sector, NGOs, academic institutions) involved in project planning, implementation and monitoring?	Review of type and level of stakeholder participation in actual projects	<ul style="list-style-type: none"> <li>Recipient country government, project managers, field officers, NGO's, academic institutions and community groups in countries visited</li> </ul>	<ul style="list-style-type: none"> <li>Interviews during field visits</li> </ul>
	E. 10 - How are local sustainability concerns integrated at the earliest planning stages of GEF-funded activities?	Extent of sustainability analysis	<ul style="list-style-type: none"> <li>Sample of project preparation documents</li> </ul>	<ul style="list-style-type: none"> <li>Desk studies and field visits</li> </ul>
	E. 11 - Should the GEF strengthen its efforts to facilitate private local initiatives to create sustainable income-generating activities?	Level of present efforts and results compared to the overall portfolio	<ul style="list-style-type: none"> <li>GEF data on overall portfolio distribution</li> <li>GEF and Implementing Agencies</li> </ul>	<ul style="list-style-type: none"> <li>Desk studies</li> <li>Interviews</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	E.12 - Are field officers taking adequate steps to reduce the risks associated with projects by learning from unanticipated negative effects?	Extent to which lessons learned have been integrated in new project design and mistakes have not been repeated	<ul style="list-style-type: none"> <li>• GEF field officers and national governments</li> <li>• GEF Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Desk studies</li> </ul>
	E.13 - Is the potential for adaptability of projects and actions by others addressed in project planning?	Extent of analysis of potential for adapting projects and actions to other similar contexts	<ul style="list-style-type: none"> <li>• Sample of project preparation documents</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	E.14 - How can the current GEF project management approach better nurture local "ownership" of initiatives?	Improvements as suggested by respondents	<ul style="list-style-type: none"> <li>• National focal points, NGOs and academic institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Questionnaire and field visits</li> </ul>
	E.15 - How can capacity development issues be better addressed during project development and implementation?	Improvements as suggested by respondents	<ul style="list-style-type: none"> <li>• Sample of project preparation documents</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	E.16 - Is implementation of the ecosystem-based approach adequate?	Analysis of complementarities of activities, size of ecosystems, carrying capacity, cumulative impact, etc.	<ul style="list-style-type: none"> <li>• Sample of project preparation documents</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	E.17 - Does the GEF provide adequate support for capacity development for education, public awareness and communication for biodiversity interventions at the national and regional levels?	Evidence of support for such capacity development	<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
<b>F - Institutional Synergy</b>	F.1 - Is cooperation between Implementing Agencies being carried out in a manner that fully complies with the policy, strategy,	Means of cooperation, examples and results	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and Bilateral agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	programme priorities and eligibility criteria of the CoP in order to enhance support for country-driven activities?		<ul style="list-style-type: none"> <li>• GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk studies</li> </ul>
	F.2 – What are the strengths of cooperation among Implementing Agencies and how can they be built upon?	Examples of strengths in cooperation and how they can be built upon	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and Bilateral agencies</li> <li>• GEF reports</li> <li>• Field officers and national focal points in selected countries</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Desk studies</li> </ul>
	F.3 – What are the weaknesses in cooperation among the Implementing Agencies and how can they be overcome?	Examples of weaknesses in cooperation and how they can be rectified	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and Bilateral agencies</li> <li>• Field officers and national focal points in selected countries</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Interviews in the field</li> </ul>
	F.4 - Where are real inter-institutional cooperative synergies being realized between the Implementing Agencies?	Examples of where inter-institutional synergies can be found among the Implementing Agencies	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and Bilateral agencies</li> <li>• Field officers, national focal points in selected countries</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Interviews in the field</li> </ul>
	F.5 - Where could real synergies be further realized?	Examples of where inter-institutional synergies can be found	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies and Bilateral agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
		among similar institutions	<ul style="list-style-type: none"> <li>Field officers, national focal points in selected countries</li> </ul>	<ul style="list-style-type: none"> <li>Interviews in the field</li> </ul>
	F.6 – Are institutional synergies promoted to allow eligible countries to fulfill their obligations under the CBD?	Examples of how inter-institutional synergies can be found among similar institutions	<ul style="list-style-type: none"> <li>GEF reports</li> </ul>	<ul style="list-style-type: none"> <li>Desk studies</li> </ul>
	F.7 – In terms of implementing the CBD, do the parties fulfill their obligations as per the MOU with the Implementing Agencies?	Review of MOUs in light of actual cooperation	<ul style="list-style-type: none"> <li>MOUs</li> </ul>	<ul style="list-style-type: none"> <li>Desk study</li> </ul>
	F.8 - How effective has the GEF been in promoting the catalytic role in mobilizing funding from other sources for GEF-funded activities?	Proportion of joint financing with other donor/non-GEF funds (such as UNDP, UNEP, WB, and bilateral donors) as part of overall portfolio	<ul style="list-style-type: none"> <li>GEF reporting</li> <li>Bilateral/multilateral agencies</li> </ul>	<ul style="list-style-type: none"> <li>Desk study</li> <li>Interviews</li> </ul>
	F.9 - Is the perception of CoP Guidance in the field offices the same as at headquarters?	Differences in perception on what can be funded under the GEF for biodiversity	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing Agencies and field officers</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.10 - How do the perceptions of CoP Guidance differ?	Divergent perceptions as suggested by respondents	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing Agencies and field officers</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.11 – Why do the perceptions of CoP Guidance differ?	Views as suggested by respondents	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing Agencies and field officers</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.12 - How can any differences in perception be overcome?	Views as suggested by respondents	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing Agencies and field officers</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.13 - Should the GEF consider expanding the scope and coverage of the Operational	Perceived needs expressed by interviewees and desk studies	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>



Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	Strategy and program priorities in order to address additional guidance from the CoP?		<p>Agencies, field officers, CBD Secretariat and Bilateral agencies</p> <ul style="list-style-type: none"> <li>• GEF Operational Strategy and program reports</li> </ul>	<ul style="list-style-type: none"> <li>• Desk study</li> </ul>
	F.14 – Are there gaps between the GEF strategy and project implementation realities faced by the implementing agencies? If so, what are they?	Perception of the presence or absence of gaps and the types of gaps expressed by interviewees and respondents	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies, field officers, CBD Secretariat and Bilateral agencies</li> <li>• National focal points, NGOs and academic institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Questionnaire</li> </ul>
	F.15 - If there are gaps between the GEF strategy and project implementation realities faced by the Implementing Agencies, what adjustments are needed to overcome these gaps, if any?	Perception of the adjustments needed to overcome the gaps by interviewees and respondents to enhance cooperation to increase efforts to improve the processing and delivery systems of the GEF	<ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies, field officers, CBD Secretariat and Bilateral agencies</li> <li>• National focal points, NGOs and academic</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Questionnaire</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	F.16 – Are there adequate consultative methods for incorporating CoP guidance into GEF operational strategies?	Adequacy of existing consultative methods compared to needs	<ul style="list-style-type: none"> <li>institutions</li> <li>GEF Secretariat, Implementing Agencies, field officers and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.17 - Should the Project Manager at the field level incorporate guidance from both the Council and the CoP?	Perceptions that this may impede or improve communication and project effectiveness	<ul style="list-style-type: none"> <li>GEF Secretariat, Implementing Agencies, field officers and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
	F.18 - Are GEF financial resources for country-level biodiversity programming used to promote mainstreaming of biodiversity issues in development cooperation?	Diversity and quantity of examples of projects promoting mainstreaming	<ul style="list-style-type: none"> <li>National focal points, NGOs and academic institutions</li> <li>GEF Secretariat, Implementing Agencies, field officers and the CBD Secretariat</li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire</li> <li>Interviews</li> </ul>
	F.19 - Are GEF projects developed and funded in ways that complement other GEF and non-GEF initiatives in the country?	Level of institutional convergence in activities outputs/outcomes Extent of sharing of lessons learned	<ul style="list-style-type: none"> <li>National focal points, NGOs and academic institutions</li> <li>GEF Secretariat, Implementing Agencies, field</li> </ul>	<ul style="list-style-type: none"> <li>Questionnaire</li> <li>Interviews</li> </ul>

Evaluation Criteria	Questions to guide the evaluation team in its data collection and analysis work	Indicators	Data Collection Source	Data Collection Method
	F.20 - How are synergies across conventions being achieved with GEF support and management processes, and in CoP guidance?	Examples of synergies being achieved and their frequency of occurrence	<p>officers and the CBD Secretariat</p> <ul style="list-style-type: none"> <li>• GEF Secretariat, Implementing Agencies, field officers, CBD Secretariat and Bilateral donors</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews</li> </ul>

**Appendix F : Cross-Reference CoP Decision Table**

Cross-reference to evaluation matrix	CoP guidance assessment required	Reference decision
<b>A- Responsiveness</b>		
B /D. 19	The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties	Annex I, para. 1(b), Decision V/12
A. 10/B.9/ D. 19/F. 13	Requests the interim institutional structure to incorporate fully, on an ongoing basis, guidance from the Conference of the Parties into the further development of the Operational Strategy and programmes to ensure that the objectives of the Convention are addressed.	Para. 6, decision II/6
B. 5/B. 1	Developing policies and procedures that fully comply with the guidance from the Conference of the Parties in a straightforward and timely manner	Annex, para. 1(c), Decision IV/11
A. 12/A. 14	Increasing its flexibility to respond to the thematic longer-term programme of work of the Convention on Biological Diversity, in accordance with the guidance of the Conference of the Parties	Annex, para. 1(g), Decision IV/11
F. 8/B. 9	Promoting the catalytic role of the Global Environment Facility in mobilising funding from other sources for GEF-funded activities	Annex, para. 1(h), Decision IV/11
B. 4/B. 9	Including in its monitoring and evaluation activities the assessment of the compliance under its operational programmes with the policy, strategy, program priorities and eligibility criteria established by the Conference of the Parties	Annex, para. 1(i), Decision IV/11
A. 6/B.9/C.3/E.8/E.17/F.1/F.4/F.9/ F.15	Promoting efforts to ensure that the implementing agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the Conference of the Parties in their support for country-driven activities funded by the Global Environment Facility	Annex, para. 1(j), Decision IV/11
A. 11/E. 1	Applying in a more flexible, pragmatic and transparent manner the incremental cost principle	Annex, para. 1(e), Decision IV/11
A. 14/B.9/ C.3/E.14/ E.10	Increasing support to priority actions identified in national plans and strategies of developing countries	Annex, para. 1(d), Decision IV/11
<b>B-Effectiveness</b>		
B.2/B.4/B.9/C.2	The effectiveness of the financial mechanism and its institutional structure in providing and delivering financial resources, as well as in overseeing, monitoring and evaluating the activities financed by its resources	Annex I, para. 1(a), Decision V/12

D.1/D.2/D.4/E.1/E.5	The effectiveness of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives	Annex I, para. 1(c), Decision V/12
<b>C-Efficiency</b>		
C.3	The efficiency of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives	Annex I, para. 1(c), Decision V/12
B.9/C.2/C.6/C.7/C.8/E.7/E.10/F.15	Takes note of the recently adopted revised project cycle and the Operational Strategy which are anticipated to contribute to more timely approval and implementation of projects, and further requests the Global Environment Facility to take any additional appropriate steps to expedite the project preparation and approval process with a view to implementing fully the guidance of the Conference of the Parties contained in Annex I to decision I/2 on financial resources and mechanism entitled "Policy, strategy, programme priorities and eligibility criteria for access to and utilisation of financial resources" (UNEP/CBD/COP/1/17);	Para. 7, decision II/6
C.3/C.9/E.4/E.8	Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven	Annex, para. 1(a), Decision IV/11
C.2/C.6	Further simplifying and expediting procedures for approval and implementation, including disbursement, for GEF-funded projects	Annex, para. 1(b), Decision IV/11
C.1/F.8	Taking note with appreciation of the efforts of the Global Environment Facility to provide additional funding for biodiversity enabling activities under expedited procedures, and urging it to continue to improve access to funding by developing country Parties and increase flexibility in its operational criteria	Preambular para., decision V/13
<b>D-Impact</b>		
B.9/F.2/F.3/F.4/F.7	Projects should contribute to the extent possible to build cooperation at the sub-regional, regional and international levels in the implementation of the Convention.	Annex I, policy and strategy, decision I/2
B.6/D.4/E.5/F.5/E.6	The institutional structure should over time assist all eligible countries to fulfil their obligations under the Convention.	Annex I, policy and strategy, decision I/2
A.1/D.1/D.2/E.1	The conservation of biological diversity and sustainable use of its components is one of the key elements in achieving sustainable development and therefore contribute to combating poverty.	Annex I, para. 1, decision I/2
A.2/C.3/F.18	Development of integrated national strategies, plans or programmes for the conservation of biological diversity and sustainable use of its components in accordance with article 6 of the Convention	Annex I, para. 4(b), decision I/2
C.1/C.8/C.9/F.15	Requests the interim institutional structure operating the financial mechanism to facilitate urgent implementation of Article 6 of the Convention by availing to developing country Parties financial resources for projects in a flexible and expeditious manner	Para. 5, decision II/6
A.2/A.3/A.6/B.2/E.12/	Requests the interim institutional structure to implement the relevant provisions of the following decisions: II/7 on consideration of Articles 6 and 8 of the Convention, II/8 on	Para. 11, decision II/6

D.14	preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention, and II/17 on form and intervals of national reports by Parties	
C.6/C.7/D.4/E.3/E.5/E.6	Continue to provide financial assistance for the preparation of national reports, having regard to the constraints and needs identified by Parties in their first national reports, in accordance with decision IV/14	Para. 6, decision IV/13
D.3/D.19/ E.5/E.8/F.16	[support] For the consultative processes referred to in paragraph 6 of decision V/19, which are aimed at assisting with the preparation of second national reports, taking into account the fact that the Conference of the Parties may develop guidelines for subsequent national reports	Para. 2(e), decision V/13
A.5/A.12/ A.14/E.16	Strengthening conservation, management and sustainable use of ecosystems and habitats identified by national Governments in accordance with article 7 of the Convention	Annex I, para. 4(c), decision I/2
A.2/A.5/A.12/D.12/ D.18	Identification and monitoring of wild and domesticated biodiversity components, in particular those under threat, and implementation of measures for their conservation and sustainable use	Annex I, para. 4(d), decision I/2
B.4/D.4/E.9	[support] To strengthen capabilities to develop monitoring programmes and suitable indicators for biological diversity, in accordance with decision V/7	Para. 2(j), decision V/13
A.6/D.5/ D.19	Provide financial resources for country-driven activities within the context of its operation programmes to participate in the Global Taxonomy Initiative which take into account as appropriate, elements of the Suggestions for Action contained in the annex to decision IV/1 D.	Para. 2, decision IV/13
D.5/D.19	[support] To continue promoting awareness of the Global Taxonomy Initiative in the relevant activities of the Global Environment Facility, such as the Country Dialogue Workshops, and to facilitate capacity-building in taxonomy, including in its Capacity Development Initiative	Para. 2(k), decision V/13
A.2/A.5/A.12/A.14/ C.5/ D.3/D.4/ E.17	Capacity-building, including human resources development and institutional development and/or strengthening, to facilitate the preparation and/or implementation of national strategies, plans for priority programmes and activities for conservation of biological diversity and sustainable use of its components	Annex I, para. 4(e), decision I/2
C.5/D.3/D.4/D.6/ E.17	[support] For capacity-building in biosafety, including for the implementation by developing countries of the UNEP International Technical Guidelines on Safety in Biotechnology	Para. 2(a), decision III/5
D.6/D.7/ F.18	Welcomes the decision of the Council of the Global Environment Facility requesting its secretariat, in consultation with the Implementing Agencies and the Secretariat of the Convention on Biological Diversity, to develop an initial strategy for assisting countries to prepare for the entry into force of the Cartagena Protocol on Biosafety	Para. 1, decision V/13

D.3/D.4/D.5/E.17	<p>[support] For capacity-building, including taxonomy, to enable developing countries to develop and carry out an initial assessment for designing, implementing and monitoring programmes in accordance with Article 7, taking into account the special need of small island States (Note: The Conference of the Parties endorsed recommendation II/2 of the Subsidiary Body on Scientific, Technical and Technological Advice, concerning capacity-building for taxonomy)</p>	Para. 2(b), decision III/5
C.4/C.5/D.3/D.4/D.8/E.5	<p>Urges the Global Environment Facility, along with Governments, regional economic integration organisations, and competent international, regional and national organisations, to support human and institutional capacity-building programmes for Governments, non-governmental organisations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidance's on access to genetic resources, including scientific, technical, business, legal and management skills and capacities</p>	Para. 4, decision III/5
A.14/C.5/D.3/D.7/D.8/D.19	<p>Requests the Global Environment Facility to examine the support of capacity-building projects for indigenous and local communities embodying traditional lifestyles related to the preservation and maintenance of their knowledge, innovations and practices relevant for the conservation and sustainable use of biological diversity with their prior informed consent and their participation</p>	Para. 5, decision III/5
A.2/A.5/A.14/C.6/D.9	<p>In accordance with Article 16 of the Convention, and to meet the objectives of conservation of biological diversity and sustainable use of its components, projects which promote access to, transfer of and cooperation for joint development of technology</p>	Annex I, para. 4(f), decision I/2
D.9/D.19	<p>Requests the interim institutional structure to implement the relevant provisions of the following decisions: II/3 on clearing-house mechanism</p>	Para. 11, decision II/6
A.2/C.3/D.3/D.9/D.19	<p>[support] For supporting the following activities as critical components in the implementation of the clearing-house mechanism at the national, subregional and regional levels, including in the pilot phase, to which critical components the Global Environment Facility shall give effect by implementing its revised operational criteria for enabling activities in relation to the clearing-house mechanism as quickly as possible:</p> <ul style="list-style-type: none"> <li>(i) capacity-building for the purpose of the clearing-house mechanism, including training in information systems technologies that will allow developing countries to take advantage of the recent developments in electronic communication, including the Internet;</li> <li>(ii) country-driven pilot projects, focused on priority areas identified by the Conference of the Parties which would enable developing countries to begin to implement the main features of the pilot-phase of the clearing-house mechanism;</li> </ul>	Para. 2(d), decision III/5
A.2/A.14/	<p>In accordance with decision IV/2:</p> <ul style="list-style-type: none"> <li>(a) Support capacitybuilding activities and countrydriven pilot projects focused on</li> </ul>	Para.5, decision IV/13

C.3/D.3/D.9/D.19/ E.17	<p>priority areas, as critical components in the implementation of the clearinghouse mechanism at the national, subregional, biogeographic, and regional levels, both during and after the pilot phase;</p> <p>(b) Provide, as appropriate, increased support, in the framework of country-driven projects to promote the objectives of the Convention, to establish and strengthen biodiversity information systems such as, <u>inter alia</u>, training, technology and processes related to the collection, organisation, maintenance and updating of data and information and its communication to users through the clearinghouse mechanism;</p> <p>(c) Evaluate at the end of the clearinghouse mechanism pilot phase the experience of the Global Environment Facility's support for developing countries' activities, to consider additional efforts to meet the increasing interest in taking part in and having access to the clearinghouse mechanism, including in regional networking, and to report to the Conference of the Parties prior to the next meeting of the Subsidiary Body on Scientific, Technical and Technological Advice;</p>	
D.9/E.4	[support] For participation in the clearing-house mechanism of the Convention, in accordance with decision V/14	Para. 2(e), decision V/13
A.14/D.19/ F.8	Activities that provide access to other international, national and/or private sector funds and scientific and technical cooperation	Annex I, para. 4(h), decision I/2
A.5/A.14/ D.10	Innovative measures, including in the field of economic incentives, aiming at conservation of biological diversity and/or sustainable use of its components, including those which assist developing countries to address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated, in accordance with article 11 of the Convention	Annex I, para. 4(i), decision I/2
D.10/D.19	Reconfirms the importance of the Global Environment Facility's support for incentive measures, guidance for which was contained in Annex I to decision I/2, paragraph 4 (i), taking note of decision III/18	Para. 3, decision III/5
A.14/C.5/ D.3/D.10	Provide adequate and timely support for the design and approaches relevant to the implementation of incentive measures, including, where necessary, assessment of biological diversity of the relevant ecosystems, capacity-building necessary for the design and implementation of incentive measures and the development of appropriate legal and policy frameworks, and projects with components that provide for these incentives, in accordance with decision IV/10	Para. 7, decision IV/13
D.10/E.17	[support] For projects that incorporate incentive measures that promote the development and implementation of social, economic and legal incentive measures for the conservation and sustainable use of biological diversity, in accordance with decision V/15	Para. 2(h), decision V/13
A.14/D.8/ D.19/E.4/	Projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components	Annex I, para. 4(j), decision I/2



E.5/E.17					
A.2/A.5/A.12/B.9		[support] For the implementation of the priority activities identified in the programme of work on Article 8(j) and related provisions, in accordance with decision V/16		Para. 2(i), decision V/13	
A.2/A.5/A.12/A.14/ D.11/D.19		Projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat. Also, projects which promote the conservation of biological diversity and sustainable use of its components in other environmentally vulnerable areas such as arid and semi-arid and mountainous areas		Annex I, para. 4(k), decision I/2	
A.12/D.11		[support] For capacity-building at the national, subregional and regional level to address the issue of coral bleaching within the context of implementation of the programme of work on marine and coastal biological diversity, in accordance with decision V/3		Para. 2(d), decision V/13	
A.4/D.12/ D.19		[support] For supporting, as a priority, efforts for the conservation and sustainable use of biological diversity important to agriculture, in accordance with decision 3/11		Para. 2(c), decision III/5	
A.12/D.12		[support] For projects which assist with the development and implementation of the International Initiative for the Conservation and Sustainable Use of Pollinators in Agriculture, in accordance with decision V/5		Para. 2(c), decision V/13	
A.8/A.12/ D.13/D.19		Within the context of implementing national biological diversity strategies and action plans, provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and crosssectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems in accordance with decision IV/4		Para. 3, decision IV/13	
A.14/F.5/F.6/D.13		[support] For the implementation of capacity-building measures for developing and implementing national and sectoral plans for the conservation and sustainable use of inland water ecosystems, including comprehensive assessments of the biological diversity of inland waters, and capacity-building programmes for monitoring the implementation of the programme of work and the trends in inland water biological diversity and for information gathering and dissemination among riparian communities		Para. 2(n), decision V/13	
C.5/D.14/ D.19/E.17		In accordance with decision IV/7 and with Article 7 of the Convention and also within the context of implementing national biological diversity strategies and plans, provide adequate and timely financial support to Parties for projects and capacity-building activities for implementing the programme of work of forest biological diversity at the national, regional and subregional levels and the use of the clearing-house mechanism to include activities that contribute to halting and addressing deforestation, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat		Para. 4, decision IV/13	
A.12/D.12/		[support] As a priority, for projects which: (j) Implement the Convention's programme of work on agricultural biodiversity, in accordance with decision V/5, through the timely		Para. 2(b), decision V/13	

D.19	finalisation and implementation of its operational programme on agricultural biodiversity, and through the development and implementation of other relevant operational programmes; (ii) Implement the Convention's programme of work on biodiversity of dry and sub-humid lands, in accordance with decision V/23, through the development, review and implementation of its operational programmes, in particular, the operational programme on arid and semi-arid ecosystems; (iii) Assist in the implementation of the programme of work on forest biodiversity at the national, subregional and regional levels, and consider the operational objectives of the aforementioned programme of work as guidance for funding, in accordance with decision V/4	
A.2/A.5/A.14/D.7/D.16	Projects that promote the conservation and/or sustainable use of endemic species	Annex I, para. 4(l), decision I/2
A.2/D.17	Provide adequate and timely support for country-driven projects at national, regional and subregional levels addressing the issue of alien species in accordance with decision IV/1 C	Para. 1, decision IV/13
D.16	[support] For activities to implement the Global Invasive Species Programme, in accordance with decision V/8	Para. 2(m), decision V/13
D.1	Projects aimed at the conservation of biological diversity and sustainable use of its components which integrate social dimensions including those related to poverty.	Annex I, para. 4(m), decision I/2
A.2/E.17	<u>Requests the</u> Global Environment Facility, in preparing projects in conformity with the Conference of the Parties guidance on policy, strategy, programme priorities and eligibility criteria, to include in such projects, when relevant to the project's objectives and consistent with national priorities, project components addressing: (a) Targeted research which contributes to conservation of biological diversity and the sustainable use of its components including research for reversing current trends of biodiversity loss and species extinction; (b) Promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity	Para. 6, decision III/5
E.4/E.9	[support] For capacity development for education, public awareness and communication in biological diversity at the national and regional levels, in accordance with decision V/17	Para. 2(l), decision V/13
D.18/E.11	In accordance with decision IV/8, provide support for: (a) Stocktaking activities, such as, for example, assessments of current legislative, administrative and policy measures on access to genetic resources and benefit-sharing, evaluation of the strengths and weaknesses of a country's institutional and human capacity, and promotion of consensusbuilding among its different stakeholders; (b) Formulation of access and benefit-sharing mechanisms at the national, subregional and regional levels, including monitoring, assessment, and incentive measures;	Para. 8, decision IV/13

	(c) Capacity-building on measures on access to genetic resources and sharing of benefits, including capacity-building on economic valuation of genetic resources; (d) Within biodiversity projects, other specific benefit-sharing initiatives such as support for entrepreneurial developments by local and indigenous communities, facilitation of financial sustainability of projects promoting the sustainable use of genetic resources, and appropriate targeted research components.	
<b>D.18</b>	[support] For projects that will address the issue of access and benefit-sharing, in accordance with decision V/26	Para. 2(g), decision V/13
<b>E.16</b>	[support] For projects utilising the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single-species conservation programmes, in accordance with decision V/6	Para. 2(a), decision V/13
<b>E-sustainability</b>		
<b>D.4/E.1/E.6/E.13/E.14/F.18</b>	The sustainability of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives	Annex I, para. 1(c), Decision V/12
<b>B.9/C.5/D.3/D.4/E.4/E.5/E.8/E.14/E.17</b>	Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities	Annex, para. 1(f), Decision IV/11
<b>A.1/B.9/E.3</b>	Financial resources should be allocated to projects that fulfil the eligibility criteria and are endorsed and promoted by the Parties concerned.	Annex I, policy and strategy, decision I/2
<b>A.2/A.5/A.14</b>	Projects and programmes that have national priority status and that fulfil the obligations of the Convention	Annex I, para. 4(a), decision I/2
<b>E.13</b>	Projects that promote the sustainability of project benefits; that offer a potential contribution to experience in the conservation of biological diversity and sustainable use of its components which may have application elsewhere; and that encourage scientific excellence	Annex I, para. 4(g), decision I/2
<b>F-Institutional arrangement</b>		
<b>B.6/B.9/F.1/F.2/F.3/F.4/F.5/F.6</b>	Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the implementing agencies with a view to improving the processing and delivery systems of the Global Environment Facility, and to avoid duplication and parallel processes	Annex, para. 1(k), Decision IV/11
<b>F.15</b>	Urges the Implementing Agencies of the Global Environment Facility to enhance cooperation to increase efforts to improve the processing and delivery systems of the Global Environment Facility;	Para. 1, decision III/5
<b>C.5/D.3/D.4/E.4E.5/E.8/E.9/E.10/</b>	Projects should promote utilisation of local and regional expertise.	Annex I, policy and strategy, decision I/2

E.15			
C.8/E.4/ E.17	<p><u>Recommends</u>, for more effective implementation of its policies, strategies and programme priorities, that the Global Environment Facility explore the possibility of promoting diverse forms of public involvement and more effective collaboration between all tiers of government and civil society, including the feasibility of a programme of grants for medium-sized projects. Such exploration should take into account the eligibility criteria set out by the Conference of the Parties in Annex I to decision I/2 on financial resources and mechanism, contained in document UNEP/CBD/COP/1/17</p>	Para. 10, decision II/6	
C.5/D.3/D.4/E.4/E.5/E.8/E.9/E.10/ E.15	<p>Programme priorities should promote utilisation of regional and local expertise and be flexible to accommodate national priorities and regional needs within the aims of the Convention.</p>	Annex I, para. 3, decision I/2	
F.13	<p>Policy and strategy may be revised, as necessary, by the Conference of the Parties. A list of programme priorities may be revised by the Conference of the Parties, as necessary.</p>	Annex I, policy and strategy, and para. 2, decision I/2	
B.6/B.9/D.19/F.16/ F.17/F.20	<p>Guidance from the Conference of the Parties</p>	Para. 2, decision III/8	
A.7	<p>Reporting</p>	Para. 3, decision III/8	
B.4/D.4/D.5/D.13/ E.9	<p>Monitoring and evaluation</p>	Para. 4, decision III/8	
A.9	<p>Determination of funding requirements</p>	Para. 5, decision III/8	
A.13	<p>Reciprocal representation</p>	Para. 6, decision III/8	
A.13	<p><u>Requests</u> participation of a representative of the Subsidiary Body on Scientific, Technical and Technological Advice of the Convention and of the Scientific and Technical Advisory Panel of the Global Environment Facility in respective meetings of the Subsidiary Body on Scientific, Technical and Technological Advice and the Scientific and Technical Advisory Panel on a reciprocal basis, as provided for in the <u>modus operandi</u> of the Subsidiary Body on Scientific, Technical and Technological Advice and in the terms of reference of the Scientific and Technical Advisory Panel</p>	Para. 8, decision II/6	
B.6	<p>Inter-secretariat cooperation</p>	Para. 7, decision III/8	
D.8	<p><u>Requests</u> the Secretariat of the Convention and the Global Environment Facility to collaborate in preparing, for consideration by the Conference of the Parties at its fourth meeting, a proposal on the means to address the fair and equitable sharing of the benefits arising out of genetic resources including assistance to developing country Parties.</p>	Para. 7, decision III/5	

## **Appendix G: CoP Decisions and Guidance**

All CoP Decisions, provided here in order, are hyperlinks. By clicking on a CoP decision, one can read more information about the decision and related CoP guidance.

Please note that all CoP decisions with an asterisk (\*) are emphasized in the Terms of Reference for the Second Review of the Financial Mechanism for the Convention on Biodiversity.

<b>No.</b>	<b>Title</b>	<b>Conference</b>
	(TORs emphasis on I/2, II/6, III/5, IV/11, IV/13, V/13)	
1	<u>I/1 Rules of procedure for the Conference of the Parties</u>	COP 1 (Nassau, Bahamas, Nov. 94)
2	<u>I/2 Financial resources and mechanism*</u>	COP 1
3	<u>I/3 Clearing-house mechanism for technical and scientific cooperation</u>	COP 1
4	<u>I/4 Selection of a competent international organization to carry out the functions of the Secretariat of the Convention</u>	COP 1
5	<u>I/5 Support to the Secretariat by international organizations</u>	COP 1
6	<u>I/6 Financing of and budget for the Convention</u>	COP 1
7	<u>I/7 Subsidiary Body on Scientific, Technical and Technological Advice</u>	COP 1
8	<u>I/8 Preparation of the participation of the Convention on Biological Diversity in the third session of the Commission on Sustainable Development</u>	COP 1
9	<u>I/9 Medium-term programme of work of the Conference of the Parties</u>	COP 1
10	<u>I/10 Location of the Secretariat</u>	COP 1
11	<u>I/11 Preparation for the second meeting of the Conference of the Parties</u>	COP 1
12	<u>I/12 International Day for Biological Diversity</u>	COP 1
13	<u>I/13 Tribute to the Government of the Commonwealth of the Bahamas</u>	COP 1
14	<u>II/1 Report of the first meeting of the subsidiary body on scientific, technical and technological advice</u>	COP 2 (Jakarta, Nov. 95)
15	<u>II/2 Publication and distribution of scientific and technical information</u>	COP 2
16	<u>II/3 Clearing-house mechanism</u>	COP 2
17	<u>II/4 Ways and means to promote and facilitate access to, and transfer and development of technology</u>	COP 2
18	<u>II/5 Consideration of the need for and modalities of a protocol for the safe transfer, handling and use of living modified organisms</u>	COP 2
19	<u>II/6 Financial resources and mechanism*</u>	COP 2
20	<u>II/7 Consideration of Articles 6 and 8 of the Convention</u>	COP 2
21	<u>II/8 Preliminary consideration of components of biological diversity particularly under threat and action which could be taken under the Convention</u>	COP 2
22	<u>II/9 Forests and biological diversity</u>	COP 2

No.	Title	Conference
23	<u>II/10 Conservation and sustainable use of marine and coastal biological diversity</u>	COP 2
24	<u>II/11 Access to genetic resources</u>	COP 2
25	<u>II/12 Intellectual property rights</u>	COP 2
26	<u>II/13 Cooperation with other biodiversity-related conventions</u>	COP 2
27	<u>II/14 Convening of an open-ended intergovernmental workshop on cooperation between the convention on biological diversity and other international conventions on related issues</u>	COP 2
28	<u>II/15 FAO global system for the conservation and utilization of plant genetic resources for food and agriculture</u>	COP 2
29	<u>II/16 Statement to the International Technical Conference on the Conservation and Utilization of Plant Genetic Resources for Food and Agriculture</u>	COP 2
30	<u>II/17 Form and intervals of national reports by Parties</u>	COP 2
31	<u>II/18 Medium-term programme of work of the Conference of the Parties for 1996-1997</u>	COP 2
32	<u>II/19 Location of the Secretariat</u>	COP 2
33	<u>II/20 Financing of and budget for the Convention</u>	COP 2
34	<u>II/21 Venue and date of the third meeting of the Conference of the Parties</u>	COP 2
35	<u>II/22 Convening of regional and subregional meetings for the Parties to the Convention</u>	COP 2
36	<u>II/23 Tribute to the Government and people of the Republic of Indonesia</u>	COP 2
37	<u>III/1 Pending issues arising from the work of the second Meeting of the Conference of the Parties</u>	COP 3 (Buenos Aires, Nov. 96)
38	<u>III/2 Report and recommendations of the second meeting of the Subsidiary Body on Scientific, Technical and Technological Advice</u>	COP 3
39	<u>III/3 Use of languages in the meetings of the Subsidiary Body on Scientific, Technical and Technological Advice</u>	COP 3
40	<u>III/4 Clearing-house mechanism to promote and facilitate technical and scientific cooperation</u>	COP 3
41	<u>III/5 Additional guidance to the financial mechanism*</u>	COP 3
42	<u>III/6 Additional financial resources</u>	COP 3
43	<u>III/7 Guidelines for the review of the effectiveness of the financial mechanism</u>	COP 3
44	<u>III/8 Memorandum of understanding between the Conference of the Parties to the Convention on Biological Diversity and the Council of the Global Environment Facility</u>	COP 3
45	<u>III/9 Implementation of Articles 6 and 8 of the Convention</u>	COP 3
46	<u>III/10 Identification, monitoring and assessment</u>	COP 3
47	<u>III/11 Conservation and sustainable use of agricultural biological diversity</u>	COP 3
48	<u>III/12 Programme of work for terrestrial biological diversity: forest biological diversity</u>	COP 3
49	<u>III/13 Future programme of work for terrestrial biological diversity: dryland, mountain and inland water ecosystems</u>	COP 3

No.	Title	Conference
50	<u>III/14 Implementation of Article 8 (j)</u>	COP 3
51	<u>III/15 Access to genetic resources</u>	COP 3
52	<u>III/16 Ways to promote and facilitate access to and transfer and development of technology, as envisaged in Articles 16 and 8 of the Convention</u>	COP 3
53	<u>III/17 Intellectual property rights</u>	COP 3
54	<u>III/18 Incentive measures</u>	COP 3
55	<u>III/19 Special session of the General Assembly to III/19 Special session of the General Assembly to review implementation of Agenda 21</u>	COP 3
56	<u>III/20 Issues related to biosafety</u>	COP 3
57	<u>III/21 Relationship of the Convention with the Commission on Sustainable Development and biodiversity-related conventions, other international agreements, institutions and processes of relevance</u>	COP 3
58	<u>III/22 Medium-term programme of work for 1996-1997</u>	COP 3
59	<u>III/23 Administrative matters</u>	COP 3
60	<u>III/24 Budget of the Trust Fund for the Convention on Biological Diversity</u>	COP 3
61	<u>III/25 Date and venue of the fourth meeting of the Conference of the Parties</u>	COP 3
62	<u>III/26 Convening of regional and subregional meetings for Parties to the Convention</u>	COP 3
63	<u>III/27 Tribute to the Government and people of the Argentine Republic</u>	COP 3
64	<u>IV/1 Report and recommendations of the third meeting of the Subsidiary Body on Scientific, Technical and Technological Advice, and instructions by the Conference of the Parties to the Subsidiary Body on Scientific, Technical and Technological Advice</u>	COP 4 (Bratislava, May, 1998)
65	<u>IV/2 Review of the operations of the clearing-house mechanism</u>	COP 4
66	<u>IV/3 Issues related to biosafety</u>	COP 4
67	<u>IV/4 Status and trends of the biological diversity of inland water ecosystems and options for conservation and sustainable use</u>	COP 4
68	<u>IV/5 Conservation and sustainable use of marine and coastal biological diversity, including a programme of work</u>	COP 4
69	<u>IV/6 Agricultural biological diversity</u>	COP 4
70	<u>IV/7 Forest biological diversity</u>	COP 4
71	<u>IV/8 Access and benefit-sharing</u>	COP 4
72	<u>IV/9. Implementation of Article 8(j) and related provisions</u>	COP 4
73	<u>IV/10 Measures for implementing the Convention on Biological Diversity</u>	COP 4
74	<u>IV/11 Review of the effectiveness of the financial mechanism*</u>	COP 4
75	<u>IV/12 Additional financial resources</u>	COP 4
76	<u>IV/13 Additional guidance to the financial mechanism*</u>	COP 4
77	<u>IV/14 National reports by Parties</u>	COP 4
78	<u>IV/15 The relationship of the Convention on Biological Diversity with the Commission on Sustainable Development and</u>	COP 4

No.	Title	Conference
	<u>biodiversity-related conventions, other international agreements, institutions and processes of relevance</u>	
79	<u>IV/16 Institutional matters and the programme of work</u>	COP 4
80	<u>IV/17 Programme budget for the biennium 1999-2000</u>	COP 4
81	<u>IV/18 Date and venue of the fifth meeting of the Conference of the Parties</u>	COP 4
82	<u>IV/19 Tribute to the Government and people of the Slovak Republic</u>	COP 4
83	<u>Annex II - The programme of work</u>	COP 4
84	<u>V/1. Work plan of the Intergovernmental Committee for the Cartagena Protocol on Biosafety</u>	COP 5 (Nairobi, May, 2000)
85	<u>V/2. Progress report on the implementation of the programme of work on the biological diversity of inland water ecosystems (implementation of decision IV/4)</u>	COP 5
86	<u>V/3. Progress report on the implementation of the programme of work on marine and coastal biological diversity (implementation of decision IV/5)</u>	COP 5
87	<u>V/4. Progress report on the implementation of the programme of work for forest biological diversity</u>	COP 5
88	<u>V/5. Agricultural biological diversity: review of phase I of the programme of work and adoption of a multi-year work programme</u>	COP 5
89	<u>V/6. Ecosystem approach</u>	COP 5
90	<u>V/7. Identification, monitoring and assessment, and indicators</u>	COP 5
91	<u>V/8. Alien species that threaten ecosystems, habitats or species</u>	COP 5
92	<u>V/9. Global Taxonomy Initiative: implementation and further advance of the Suggestions for Action</u>	COP 5
93	<u>V/10. Global strategy for plant conservation</u>	COP 5
94	<u>V/11. Additional financial resources</u>	COP 5
95	<u>V/12. Second review of the financial mechanism</u>	COP 5
96	<u>V/13. Further guidance to the financial mechanism*</u>	COP 5
97	<u>V/14. Scientific and technical cooperation and the clearing-house mechanism (Article 18)</u>	COP 5
98	<u>V/15. Incentive measures</u>	COP 5
99	<u>V/16. Article 8(j) and related provisions</u>	COP 5
100	<u>V/17. Education and public awareness</u>	COP 5
101	<u>V/18. Impact assessment, liability and redress</u>	COP 5
102	<u>V/19. National reporting</u>	COP 5
103	<u>V/20. Operations of the Convention</u>	COP 5
104	<u>V/21. Cooperation with other bodies</u>	COP 5
105	<u>V/22. Budget for the programme of work for the biennium 2001-2002</u>	COP 5
106	<u>V/23. Consideration of options for conservation and sustainable use of biological diversity in dryland, Mediterranean, arid, semi-arid, grassland and savannah ecosystems</u>	COP 5
107	<u>V/24. Sustainable use as a cross-cutting issue</u>	COP 5
108	<u>V/25. Biological diversity and tourism</u>	COP 5
109	<u>V/26. Access to genetic resources</u>	COP 5



No.	Title	Conference
110	<u>V/27. Contribution of the Convention on Biological Diversity to the ten-year review of progress achieved since the United Nations Conference on Environment and Development</u>	COP 5
111	<u>V/28. Tribute to the Government and people of Kenya</u>	COP 5
112	<u>V/29. Date and venue of the sixth meeting of the Conference of the Parties</u>	COP 5

## **Appendix H: Questionnaire for Focal Points**

### QUESTIONNAIRE FOR THE SECOND REVIEW OF THE EFFECTIVENESS OF THE FINANCIAL MECHANISM FOR THE CONVENTION ON BIOLOGICAL DIVERSITY

**Respondent's Organization:** *(Please check appropriate category)*

- i) Government: CBD Focal Point \_\_\_\_\_; or GEF Focal Point \_\_\_\_\_;  
ii) Other (Specify) \_\_\_\_\_

**Respondent's Experience with the GEF:** *(Please fill out appropriate category)*

- i) Number of completed GEF projects: National \_\_\_\_\_;  
Regional/global \_\_\_\_\_;  
ii) Number of projects under implementation: National \_\_\_\_\_;  
Regional/global \_\_\_\_\_;  
iii) Number of projects under preparation: National \_\_\_\_\_;  
Regional/global \_\_\_\_\_;

Total number of projects \_\_\_\_\_

Do you know of projects in other GEF focal areas in your country (i.e., international waters, and climate change) that are also dealing with the conservation and sustainable use of biodiversity resources?

Yes \_\_\_\_\_, or No \_\_\_\_\_

- vi) How long have you been involved with GEF activities? \_\_\_\_\_ years

**Region:** Africa \_\_\_\_\_, Arab States \_\_\_\_\_, Asia and Pacific \_\_\_\_\_, Eastern Europe and Central Asia; \_\_\_\_\_, Latin America/Caribbean \_\_\_\_\_

Is your country a Small Island Developing State? Yes \_\_\_\_\_ No \_\_\_\_\_

## **INTRODUCTION AND RATIONALE FOR QUESTIONNAIRE:**

The GEF is the financial mechanism to support country-driven projects from developing country Parties in meeting their obligations under the Convention on Biological Diversity (CBD). Please be aware that this review is a different exercise than the one requested by the GEF Council, Second Overall Performance Study of the GEF (OPS2) which is on-going. Evaluators of both reviews are in contact to reduce overlaps in questions and collection of information sources.

The Conference of the Parties (CoP) adopted the terms of reference for this second review of the effectiveness of the Mechanism at its fifth meeting in May 2000, and requested that the Executive Secretary contract an experienced independent evaluator to undertake the review.<sup>1</sup> This questionnaire is designed to capture insights from government focal points from developing countries involved in carrying out

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<sup>1</sup> See CoP Decision V/12

guidance specified by the Conference of the Parties over the past 3 years. Your responses will feed into a multi-faceted evaluation that includes interviews, desk studies and field visits. This questionnaire only covers issues that are most relevant to this type of data collection tool.

Your answers will be combined with feedback from other individuals and institutions involved in the planning and implementation of GEF activities. This information will be used to help determine how well the guidance of the CoP have been addressed in the field by the financial mechanism since the first review was undertaken in 1997. The findings and recommendations of this second review will be discussed at the sixth meeting of the Conference of the Parties to be held in April, 2002 in The Hague, Netherlands. Please keep in mind that your responses should focus on the period (Nov. 1996 – June 2001). Your participation is much appreciated as it will provide valuable guidance and insights needed to enhance the effectiveness of the financial mechanism.

**Please send the completed questionnaire (no later than June 29, 2001) by email: [developpement@baastel.ca](mailto:developpement@baastel.ca) or fax: (++1) 819-595-8586 -- Direct contact tel.: (++1) 819-595-1421.**

A. Responsiveness to the Biodiversity Convention

A-4<sup>2</sup>) How well do GEF projects reflect the national biodiversity priorities of your country? (as stated in your country's national biodiversity strategy and action plans or other national plans)

- i) Fully satisfactory \_\_\_\_\_
- ii) Satisfactory \_\_\_\_\_
- iii) Unsatisfactory \_\_\_\_\_
- iv) Highly unsatisfactory \_\_\_\_\_
- v) Do not know \_\_\_\_\_

A-6) How can CoP guidance to GEF be implemented to better reflect local needs in your country? (Please indicate in order of priority, two ways to improve this relevance)

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

A-14) How relevant has the GEF Operational Strategy been in addressing your national biodiversity needs?

- i) Fully satisfactory \_\_\_\_\_
- ii) Satisfactory \_\_\_\_\_
- iii) Unsatisfactory \_\_\_\_\_
- iv) Highly unsatisfactory \_\_\_\_\_
- v) Do not know \_\_\_\_\_

A-15) Which GEF programme priorities<sup>3</sup> have the most relevance to your national biodiversity strategy?

(Please list up to three)

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

iii) \_\_\_\_\_  
\_\_\_\_\_

<sup>2</sup> These number codes correspond to the coding systems used in the overall evaluation matrix

<sup>3</sup> Of the 13 programme priorities found in Annex I of Decision 1/2

B. Effectiveness of the Financial Mechanism

B-2) On average, are the GEF projects in your country achieving the objectives identified during project design?

*(please check appropriate answer)*

- i) Are surpassing objectives \_\_\_\_\_
- ii) Are meeting objectives \_\_\_\_\_
- iii) Are partially meeting objectives \_\_\_\_\_
- iv) Are not at all meeting objectives \_\_\_\_\_
- v) Do no know \_\_\_\_\_

B-3-1) What do you see as the two most important factors that have contributed to successful GEF project outcomes? (starting with the most important)

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

B-3-2) What do you see as the two most important factors that impede successful GEF project outcomes? (starting with the most important)

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

B-5) Has the GEF developed policies and procedures that comply with CoP guidance?

Yes \_\_\_\_ No \_\_\_\_ Do not know \_\_\_\_

(If not, please explain with concrete examples)

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

B-9) Over the last three years, has the GEF adequately supported the following actions to improve the overall effectiveness of GEF support in your country? (please check appropriate box for each type of action)

Actions to improve the effectiveness of the financial mechanism	Adequacy of GEF support			If not adequate, please suggest a way that it can be improved
	Adequate	Not adequate	Do not know	
i) Further streamlining its project cycle with a view to making project preparation simpler, more transparent and more country-driven				
ii) Further simplifying and expediting procedures for approval and implementation including disbursement, for GEF funded projects				
iii) Developing policies and procedures that fully comply with the guidance from the CoP in a straightforward and timely manner				
iv) Increasing support to priority actions identified in national plans and strategies of developing countries				
v) Applying in a more flexible, pragmatic and transparent manner the incremental cost principle				
vi) Promoting genuine country ownership through greater involvement of participant countries in GEF-funded activities				
vii) Increasing its flexibility to respond to the thematic longer-term programme of work of the CBD in accordance with the guidance of the CoP				
viii) Promoting the catalytic role of the GEF in mobilizing funding from other sources for GEF-funded activities				

<p>ix) Including in its monitoring and evaluation activities, the assessment of the compliance under its operational programmes with the policy, strategy, programme priorities and eligibility criteria established by the CoP</p>				
<p>x) Promoting efforts to ensure that the Implementing Agencies fully comply with the policy, strategy, programme priorities and eligibility criteria of the CoP in their support for country-driven activities funded by the GEF</p>				
<p>xi) Undertaking efforts to improve the efficiency, effectiveness and transparency of the process of cooperation and coordination between the Implementing Agencies with a view to improving the processing and delivery systems of the GEF, and to avoid duplication and parallel processes</p>				



C. Efficiency of the Financial Mechanism

C-1) How flexible have GEF guidelines and procedures become (over the last three years) in supporting “enabling activities”<sup>4</sup> in your country? *(please check appropriate answer)*

- i) Sufficiently flexible \_\_\_\_\_
- ii) Insufficiently flexible \_\_\_\_\_
- iii) Do not know \_\_\_\_\_

C-2) Is the GEF project preparation and disbursement process for full and medium size projects sufficiently predictable and timely? *(please check appropriate answer)*

- i) Yes \_\_\_\_\_ No \_\_\_\_\_ Do not know \_\_\_\_\_

If no, please provide an example from a GEF project:

\_\_\_\_\_

C-4) Given the existing capacity in your country for addressing biodiversity issues, how cost effective is the use of international consultants and contractors for planning and implementing your country-level biodiversity projects? *(please check appropriate answer)*

- i) Very cost effective \_\_\_\_\_
- ii) Cost effective \_\_\_\_\_
- iii) Not cost effective \_\_\_\_\_
- iv) Do not know \_\_\_\_\_

D. Impact of the Financial Mechanism

D-1) Please list below up to four CoP guidance measures to the financial mechanism that have been of high priority in your country over the past three years<sup>5</sup>, and indicate whether or not the GEF supported these over the same period:

Guidance measures <i>(list four priority measures for your country)</i>	GEF support <i>(check appropriate box)</i>		
	Yes	No	Do not Know

<sup>4</sup> The GEF Operational Strategy defines biodiversity “enabling activities” as those activities that “prepare the foundation for the design and implementation of effective response measures required to achieve the Convention objectives...[and]... to assist a recipient country to gain a better understanding of the nature and scope of its biodiversity assets and issues as well as a clearer sense of the options for the sustainable management and conservation of biodiversity”

<sup>5</sup> Relevant CoP guidance measures are outlined in Decision documents I/2, II/6, III/5 and IV/13

i)			
ii)			
iii)			
iv)			

**D-20) Could you provide two examples of recently completed GEF projects that have had a demonstrated impact on biodiversity in your country:**

<b>Name of project:</b>	<b>Describe impact on biodiversity:</b>
i)	
ii)	

**E. Sustainability of the Project Outcomes**

**E-1) What are the two most important issues for the sustainability of outcomes for GEF-funded projects?**

i) \_\_\_\_\_  
\_\_\_\_\_

ii) \_\_\_\_\_  
\_\_\_\_\_

**E-5) How effective are GEF measures to involve NGOs and local community groups in building long-term support for biodiversity initiatives that address local socio-economic priorities? (please check appropriate answer)**

- i) Fully satisfactory \_\_\_\_\_
- ii) Satisfactory \_\_\_\_\_
- iii) Unsatisfactory \_\_\_\_\_
- iv) Highly unsatisfactory \_\_\_\_\_
- v) Do not know \_\_\_\_\_

**E-5b) How effective are GEF activities in involving the private sector?**

- i) Fully satisfactory \_\_\_\_\_
- ii) Satisfactory \_\_\_\_\_
- iii) Unsatisfactory \_\_\_\_\_
- iv) Highly unsatisfactory \_\_\_\_\_
- v) Do not know \_\_\_\_\_

E-7) Does the current operational timeframe period for GEF project financing (i.e., three years for medium size projects and five years for full projects) allow enough time to address the sustainability issue? (please check appropriate answer)

- i) Too much time \_\_\_\_\_
- ii) Sufficient time \_\_\_\_\_
- iii) Not enough time \_\_\_\_\_
- iv) Do not know \_\_\_\_\_

E-14) How can the current management arrangements for GEF funded projects be improved in order to nurture local ownership? (list a maximum of two ways starting with the most important)

i)

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ii)

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---

E-15) Could you provide two examples of GEF projects that have promoted a mainstreaming of biodiversity issues in your country's national development? (In each case, briefly summarize how they do this)

Examples of projects	Ways that they have promoted mainstreaming of biodiversity issues
i)	
ii)	

E-16) Roughly what portion of current GEF projects in your country complement other GEF and non-GEF interventions?  
*(please check appropriate answer)*

- i) Less than one quarter of GEF projects \_\_\_\_\_
- ii) Between one quarter and half of GEF projects \_\_\_\_\_
- iii) More than half of GEF projects \_\_\_\_\_
- iv) Do not know \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Please provide suggestions below on how the GEF financial mechanism can be further improved (please keep responses brief)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Please send the completed questionnaire (no later than June 29, 2001) by email:  
[developpement@baastel.ca](mailto:developpement@baastel.ca) or fax: (+1) 819-595-8586**

**If you have any question, you can also contact us directly at the following address:**

**Alain Lafontaine**

**Director, International Programs**

**Baastel**

**P.O. Box 1874,**

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**Canada**

**Tel.: (+1) 819-595-1421.**

**Appendix I : Terms of Reference for the Review**

**TERMS OF REFERENCE FOR THE SECOND REVIEW OF THE  
EFFECTIVENESS OF THE FINANCIAL MECHANISM**

**Decision V/12**

**Second review of the financial mechanism**

The Conference of the Parties,

1. Decides to adopt the annex to the present decision, containing the objectives and criteria for the second review of the effectiveness of the financial mechanism to be conducted in time for the sixth meeting of the Conference of the Parties;
2. Decides also that this second review should be conducted under the authority of the Conference of the Parties;
3. Decides further that, based on the results of the review, the Conference of the Parties shall take appropriate action to improve the effectiveness of the mechanism if necessary.

**TERMS OF REFERENCE FOR THE SECOND REVIEW OF THE  
EFFECTIVENESS OF THE FINANCIAL MECHANISM**

**A. Objectives**

1. In accordance with Article 21, paragraph 3, the Conference of the Parties will review the effectiveness of the mechanism, including the criteria and guidelines referred to in Article 21, paragraph 2, with a view to taking appropriate action to improve the effectiveness of the mechanism if necessary. For this purpose, effectiveness will include:

(a) The effectiveness of the financial mechanism and its institutional structure in providing and delivering financial resources, as well as in overseeing, monitoring and evaluating the activities financed by its resources;

(b) The conformity of the activities of the Global Environment Facility (GEF), as the institutional structure operating the financial mechanism, with the guidance of the Conference of the Parties; and

(c) The efficiency, effectiveness and sustainability of the GEF-funded activities on the implementation of the Convention and in the achievement of its three objectives.

**B. Methodology**

2. The review will cover the activities of the financial mechanism for the period from November 1996 to June 2001, with special emphasis on those activities that have been concluded during the same period.

3. The review will cover all operational programmes of the financial mechanism relevant to the Convention on Biological Diversity.

4. The review should be carried out by an independent evaluator and shall draw upon, inter alia, the following sources of information:

(a) Information provided by the Parties and countries on their experiences regarding the financial mechanism;

(b) Reports prepared by the Global Environment Facility, including its reports to the Conference of the Parties, programme status reports, operational reports on GEF programmes and the GEF pipeline, reports of the GEF Monitoring and Evaluation Programme, in particular the second Overall Performance Study, operational reports on GEF programmes and the annual programme performance report;

(c) Project reviews and evaluation reports prepared by the Implementing Agencies;

(d) Information provided by other relevant stakeholders in GEF-financed biodiversity activities.

#### C. Criteria

5. The effectiveness of the financial mechanism shall be assessed taking into account, inter alia:

(a) The steps and actions taken by the financial mechanism in response to the actions requested by the Conference of the Parties at its fourth meeting to improve the effectiveness of the financial mechanism, as set out in the annex to its decision IV/11;

(b) The actions taken by the financial mechanism in response to the guidance of the Conference of the Parties, as contained in decisions I/2, II/6, III/5, IV/13 and V/13;

(c) The findings and recommendations of the second Overall Performance Study of the GEF;

(d) Any other significant issue raised by the Parties.

#### D. Procedures

6. Under the authority and with the support of the Conference of the Parties, the Executive Secretary shall contract an experienced independent evaluator to undertake the review, in accordance with the above objectives, methodology and criteria.

7. The Parties, countries and stakeholders, including relevant organizations, are invited to communicate to the Executive Secretary, by 30 September 2001, their detailed views on the effectiveness and efficiency of the financial mechanism on the basis of experience during the period under review.

8. The communications referred to above shall be structured along the lines of a questionnaire designed by the evaluator using the criteria adopted in the present terms of reference, to be sent to the Parties as soon as practicable after the fifth meeting of the Conference of the Parties. The evaluator shall prepare a compilation and synthesis of the information received.

9. The evaluator will undertake such desk studies, interviews, field visits and collaboration with the GEF secretariat as may be required for the preparation of the study, subject to the availability of resources

10. The compilation and synthesis of the information and recommendations for future improvements received in response to the questionnaire and the report of the evaluator shall be submitted to the Bureau for review and comments prior to their circulation.

11. The draft compilation and synthesis, and the report of the evaluator, will also be made available to GEF (the GEF secretariat and Implementing Agencies) for its review and comments. Such comments shall be included in the documentation and identified by source.

12. The Executive Secretary shall submit the documents to Parties at least three months prior to the sixth meeting of the Conference of the Parties