GCP/RAS/175/SWE
GCP/RAS/179/WBG BOBLME/REP/3

REPORT[1] OF THE FIRST TECHNICAL MEETING OF THE BAY OF BENGAL LARGE MARINE ECOSYSTEM PROGRAMME (BOBLME)

27-29 April 2004
Bangkok, Thailand

[1] Provisional report issued pending printing and distribution of formal report

REPORT OF THE

BAY OF BENGAL LARGE MARINE ECOSYSTEM PROGRAMME
First Technical Meeting
Bangkok, Thailand, 27-29 April 2004

OPENING OF THE SESSION

1. The First Technical Meeting of the Bay of Bengal Large Marine Ecosystem Programme (BOBLME) held at the FAO Regional Office for Asia and the Pacific (RAP) from 27 to 29 April 2004 was attended by 21 participants from Bangladesh, India, Indonesia, Malaysia, Maldives, Myanmar, Sri Lanka, Thailand, representatives from FAO and the Regional Coordinator of BOBLME. The list of the participants is given as Appendix B.

2. During the opening session, Mr. He Changchui, Assistant Director-General and Regional Representative of FAO RAP welcomed the participants on behalf of FAO. He recalled the FAO's long and close association with fisheries resource management of the Bay of Bengal. He noted that the scope of this association is now expanding to cover the entire large marine ecosystem in the Bay. With the catalytic grant from the International Waters portfolio of the Global Environmental Facility (GEF), a project to address the sustainable management of the living marine resources of the Bay is being developed. The ADG highlighted that among the objectives of the Programme there is the opportunity to reinforce the work of FAO in promoting the Code of Conduct for Responsible Fisheries.

3. The ADG congratulated the participants on their achievements in the Programme over the past year, especially with regard to the preparation of the national reports and the development of a broad stakeholder consultation process.

4. He summarized the objectives of the present meeting and wished the participants all the best in their work. The full text of his speech is attached as Appendix D.

5. Dr. Random Dubois, Senior Environment Advisor of the Investment Centre Division, FAO, Rome, introduced the Agenda for the meeting and explained the expected outputs from the participants during this three day meeting. The Agenda is given as Appendix A. The list of documents placed before the meeting is given in Appendix C.

OBJECTIVES OF THE TECHNICAL MEETING AND DESCRIPTION OF *MODUS OPERANDI*

6. The overall purpose of the meeting was to continue the process of developing a project proposal for the BOB LME by further narrowing down the issues to be addressed and the activities to be supported by the project. This was to be achieved through a logical framework (logframe) approach that identifies the goals, objectives, outputs and activities of the project.

7. The expected output of the workshop was a logical framework outline that could be further refined and worked on as a basis for the full project proposal.

8. A brief outline of how logical framework analysis can be used to develop the project document was presented to the workshop, together with an explanation of the process that would be used during the workshop in order to develop this.

9. It was concluded that a 'bottom-up' approach to the development of the logframe would be used. This would use the 'problem tree analysis' already developed by the current project as the starting point.

REVIEW OF ECOLOGICAL APPROACHES THAT HAVE BEEN USED IN OTHER SELECTED LME'S

10. There are 63 marine ecosystems globally and the many involve developing countries and receive support form GEF. These are all in different stages of development with some at an early stage, as is the case for the BOBLME, while others are further progressed. Four LME models were presented that can be used to describe the approach and objectives of LME's in general. Four dimensions were used to describe these LME's approaches in terms of where they lay on in terms of:

- Self-sustaining arrangements vs one-off project
- Science vs Management
- Fisheries vs Environment
- Ecology vs Socio-economics

Commission for the Conservation of Antarctic Marine Living Resources (CCMALR)

11. CCCMALR in based on a convention that provides scientific research as well as management advice for living marine resources of Antarctic waters. It also has a comprehensive monitoring function. The enabling conditions that facilitated the formation of the Commission included existing international agreements relating to high seas and its initial focus resource on krill. It does not have a logframe but does have comprehensive objectives and activities agreed by the 23 member countries.

Baltic Sea LME

12. The overall goal of the LME is the better land and water resource management practices on a wide geographic basis. At the project level it should create pre-conditions for application of an ecosystem approach in managing the Baltic Sea LME and achieving and maintaining sustainable biological productivity in the Baltic Sea.

13. The trans-boundary issues include eutrophication, degraded conditions, harmful blooms, ecological disturbance, over fishing, harmful algal blooms and contaminant loading. The Baltic Sea focuses on land based activity and much of the focus is on the interaction between land and water.

14. The LME works through three international bodies – Helsinki Commission (HELCOM), International Baltic Sea Commission (IBSFC) and the International Commission for Exploration of the Sea (ICES). The programme has 5 thematic coordinating centres and works on agriculture interventions to improve marine environment and testing the institutional arrangements stakeholder interactions. The Baltic Sea LME is based on the normal logframe template, with detailed activities and outputs. The enabling environments for this were the existing conventions and commissions as well as a Baltic Sea Joint Comprehensive Environmental Action Program as a pre-cursor to developing the Trans-boundary Diagnostic Analysis.

Benguela Current LME

15. The project goal is to implement the Strategic Action Programme (SAP) to bring about integrated, sustainable management of the Bengela Current.

16. Issues identified - Declining fish stocks, uncertainty of ecosystem status (information gap), water quality issues, habitat degradations, algal blooms and institutional capacity.

17. A three country, five-year programme, has formed its own specific institutional arrangement Interim Benguela Current Commission (IBCC) which is hoped to act as a pre-cursor to a more sustainable commission. Institutionally there is a network of activity centres, 6 advisory groups and a secretariat. There are also established links with GOOS for monitoring. A well-developed logframe is available.

South China Sea/Gulf of Thailand LME

18. The project goal is to create an environment at regional level in which collaboration and partnership of SCS is fostered and encouraged and to enhance the capacity of participating governments.

19. The project objectives are to elaborate and agree on a strategic action plan and to assist the countries to achieve environmental targets. Emphasis on habitats with fishery issues dealt with mainly in the Gulf of Thailand.

20. A seven country, five-year project which is focusing on mangrove, coral reefs, seagrass, estuaries/wetlands habitats has been initiated. Main Trans-boundary issues are degradation/loss of biodiversity. Countries have proposed pilot sites to be included in the project.

21. Enabling pre-cursors were the availability of a TDA and a framework SAP and the use existing institution (COBSEA) as a framework for endorsing the approach. A trust fund for donor co-financing of activities has been established. The project has developed a detailed logframe.

DEVELOPMENT OF LOGICAL FRAMEWORK

Priority issues

22. The agreed priority issues, root causes and critical constraints/barriers as a precursor to developing solutions, activities for the logical framework are shown in Appendixes E to H.

Logframe

23. A logframe was developed that built on the identified priority issues, root causes and critical constraints/barriers. A draft logframe was accepted by the meeting, subject to further modification through written comments as described below.

24. The draft Logframe is at Appendix I. As a guide to developing the full project brief, GEF guidance is provided at Appendix J.

AGREEMENT ON INITIAL SUB-REGIONAL COMMON/SHARED ISSUES AND CANDIDATE SITE FOR DETAILED PREPARATION UNDER PROJECT FORMULATION PHASE

25. The meeting agreed on a set of shared issues and candidate sites for inclusion in the project development. These are at Appendix K

NEXT STEPS

26. The Project cycle for a GEF project is given at Appendix L.

27. The next steps in developing the Project were discussed and agreed as follows:

Step	**Date**
BOBLME 1st Technical Meeting (Bangkok)	27-29 April
Detailed Project Formulation	1 May - 30 July
Prepare Draft Project Brief	August
Draft Project Brief Circulated to Countries	6 September
2nd Regional Workshop (Colombo) - tentative	**27 - 30 September**
STAP Review (GEF Scientific Technical Advisory Panel)	15 November 2004
Submission for Internal Review in Implementing Agency (IA)*	1 December 2004
Initial Submission of Project to GEFSEC	9 January 2005
Final Submission of Project to GEFSEC	9 February 2005
Circulate to GEF Council	19 February 2005
GEF Council Work Programme Approval	**February 2005**
Project Appraisal Finalization of Project Document Project Negotiation/Final Country Clearance Submission for GEF-CEO Endorsement (including finalization of co-financing arrangements)	
Submission to World Bank Board for Approval	**before June 2005**

Signing of Letter of Agreement between WB and FAO Signing of the Project Document between FAO and Countries	
Project Start-up	**July 2005**

* Assumes one month prior to initial submission to GEFSEC

28. In meeting this schedule, the milestones were agreed.

Activity	**Deadline**
Complete form on national project endorsement process, including process to confirm counterpart co-financing (in kind and cash) commitments	URGENT
Provide feedback on potential donor interest (donor interest at national level in areas related to proposed project activities). Information required to develop project financing plan, including co-financing	17 May 2004
Provide written comments on logframe with inputs from National GEF Focal Points and National Task Force members	31 May 2004
Review logframe and provide information on related ongoing and planned activities supported by national governments and other donors ***(form to be provided)***	
Facilitate project preparation process – National Coordinators will be requested to provide advise and assist in setting up appointments at key national institutions (Environment, other institutions with responsibility for coastal and marine environment, planning/finance ministries (as required))	June 2004

CLOSING OF MEETING

29. The meeting adjourned on 29 April 2004.

APPENDIX A

AGENDA

1. Opening of the Session

2. Objectives of the Technical Meeting and description of *modus operandi*

3. Review of ecological approaches that have been used in other selected LME "best practices"

4. Review of BOBLME priority issues and underlying root causes

5. Development of logical framework

6. Summary of progress and next steps

7. Agreement on initial sub-regional common-shared issues and candidate site for detailed preparation under project formulation phase

8. Closing of the Session

APPENDIX B

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APPENDIX C

LIST OF DOCUMENTS

1. Cover Note/User's Guide
2. Agenda
3. Basic Typology to Integrating an Ecosystem Approach to the BOB LME
4. Convention on the Conservation of Antarctic Marine Living Resources (CCAMLR)
5. Baltic Sea LME
6. Benguela Current LME
7. Priority Regional Issues, Root Causes and Critical Constraints in BOB LME (problem tree)
8. Priority Issue # 1. Overexploitation of Living Marine Resources
9. Shared Pilot Activities (homework)
10. Formulation and Post-Formulation Calendar (February 2005 Inter-Sessional Work Program)

APPENDIX D

Opening Address by Mr. He Changchui, Assistant Director-General and Regional Representative for Asia and the Pacific

I should like to welcome all of you to the technical meeting of the Bay of Bengal Large Marine Ecosystem Programme. The FAO Regional Office for Asia and the Pacific is particularly pleased to have the privilege of hosting your august meeting and contribute to the deliberations which will be taking place over the next three days to elaborate a vision and action plan for the responsible and sustainable management of the Bay of Bengal Large Marine Ecosystem.

I should like to recall FAO's continued and close association since 1979 with the landmark Bay of Bengal Programme which reached out to millions of small-scale fisherfolk in seven countries - Bangladesh, India, Indonesia, Malaysia, Maldives, Sri Lanka and Thailand. The regional programme addressed common problems areas in the Bay of Bengal – such as fishing technology, post-harvest fisheries and coastal fishery resource management – and evolved from a technology-driven to a socio-economic orientation. Managed by FAO in close collaboration with and financial support from the seven countries, external financing in the amount of $ 20 million was provided by Denmark, Japan, Sweden and the UK. In addition to the main umbrella programme, supplementary projects were financed by UNDP, the Arab Gulf Programme for the UN Development Organization, the International Maritime Organization and several others.

Following the completion of the BOBP and its many documented successes as well as remaining outstanding issues, and in view of the importance of the fisheries resources for the livelihood of fishers, the Global Environment Facility (GEF) agreed to finance the formulation of a much larger and wider project to cover the entire large marine ecosystem in the bay. Recognizing the need for integrated and coordinated management of their coastal and near-shore living marine resources, and the environmental threats to those resources, the seven BOPB countries and Myanmar supported the development and submission of a relevant proposal which resulted in a GEF project preparation grant which may lead to the development of the Bay of Bengal Large Marine Ecosystem Programme. The present grant is implemented by the World Bank with FAO as executing agency. Besides in-kind contributions of the eight participating countries and the US National Oceanic and Atmospheric Administration, substantial financial resources are provided by the Swedish International Development Agency for the programme development phase which is now operational.

The BOBLME programme intends to provide the participating countries with a comprehensive framework for and an identification of the specific actions required to address the priority transboundary problems of the Bay of Bengal; the potential for national and inter-country investments, technical and capacity-building interventions with the ultimate aim to improve the management of the living marine resources and the health of the Bay of Bengal large marine environment as a whole.

The objectives of the future programme will, among other things, reinforce the work carried out by FAO for the promotion of the Code of Conduct for Responsible Fisheries in support of national efforts for the long-term sustainable development of fisheries. This indeed requires due attention to the maintenance of the productivity of ecosystems – with a focus on those particularly at risk, and the rehabilitation of those already damaged – and the promotion of environmentally

sound and sustainable technologies. One dimension of these efforts is the development and application of an eco-system approach to fisheries, including raising awareness of the concept with policy makers, lead administrators and the industry. It is at this junction that the work you will be undertaking here in Bangkok takes on a critical importance.

Only a little over a year ago, FAO had the pleasure of welcoming you to the First Regional Workshop, kindly hosted by the Government of Thailand in Pattaya, which formally launched the preparatory phase of the BOBLME. You produced a most challenging work plan and agenda of outputs, and even more importantly, fostered national and regional team-building, essential components for carrying out the programme's activities and designing a full-scale project to manage sustainably the Bay of Bengal Large Marine Ecosystem.

I should like to take this opportunity to congratulate you on the excellent results achieved to date in such a short period of time. In particular, I welcome the preparation of eight national reports which form an invaluable contribution to defining the national and regional baseline of information on the environmental health of the Bay of Bengal Large Marine Ecosystem.

This could not have been achieved without the excellent inputs from the wide range of stakeholders at the national level, including the National Coordinator, the Programme Steering Committee Member, the National Task Force, the National Review Group, the National Workshop and the National Consultant. I believe that this broad consultation process at the national level has strengthened the capacity of a core group of stakeholders in the eight participating countries to understand and address the complex national and regional issues surrounding the sustainable management of the Bay of Bengal.

You will now be preparing a Logical Framework which will guide future project preparation and development of the Project Brief to improve the environmental health of the Bay and meet the needs of the people whose livelihoods depend on the resources of the Bay of Bengal. The Project Brief also will be the ultimate output of the development phase of the programme whose preparation you have so successfully undertaken during this past year.

By the end of this workshop, it is expected that you will reach consensus on the overall approach to incorporating ecological considerations into the BOBLME framework; the development of a logical framework to guide future preparation activities; a "shortlist" of candidate sub-regional activities from which initial pilot projects will be selected and prepared during the formulation of the Project Brief; and the next steps and follow-on actions and responsibilities needed to support continued programme formulation.

FAO is privileged to cooperate with the BOBLME countries in this important task. Once again, you have a challenging task to accomplish in the upcoming three days. I am confident that the output from this meeting will be as excellent as the other outputs produced by you in the context of the BOBLME Programme so that its objectives will be fully achieved in the near future.

I wish you all the very best for a most productive meeting and a pleasant stay at FAO and in Bangkok.

APPENDIX E

PRIORITY ISSUE #1 - OVEREXPLOITATION OF LIVING MARINE RESOURCES

This priority issue can be split into three key issues:

- Fisheries overexploitation in coastal fisheries(includes IUU)
- Unmanaged expansion of offshore fisheries
- Non-targeted fishing in offshore waters

Key Issues	Root Causes	Critical Constraints (Barriers)
Coastal		
Fisheries overexploitation (includes IUU)	• Excess fishing capacity	• Ineffective management arrangements (including inadequate monitoring, control & surveillance) • Lack of integrated policy on sustainable exploitation and use of marine resources • Inadequate resource assessment and its incorporation into fisheries management • Lack of alternative livelihoods and food security of coastal populations[1] • Lack of inter-country collaboration[2] (research assessment, management & surveillance) • Lack of data and harmonization in data collection • Lack of harmonization in fisheries legislation/management tools • Weak/outdated institutional capacity
	• Coastal populations (numbers and poverty - lack of alternative livelihoods	
	• Conflicting policy objectives	
	• Destructive gears and practices	
Offshore		
Unmanaged expansion	• Increasing world demand for fish	
Non-targeted fishing	• Absence of appropriate vessels/technology	

[1] Applies to coastal fisheries only
[2] Applies to offshore fisheries only

APPENDIX F

PRIORITY ISSUE # 2 - DEGRADATION OF CRITICAL HABITAT

Regional Priority	Critical Habitat	Main Threats	Main Root Causes	Critical Constraints (barriers)
Critical Habitat Degradation	Mangroves (including estuaries & coastal lagoons)	Habitat conversion[2] Unsustainable exploitation (including illegal felling, collection of fry, mud crabs) Indirect sources of degradation[3] Invasive species Salinization Unmanaged tourism	Poorly planned economic development Upstream interventions affecting fresh-water flow Non-sustainable agriculture practices Government's leasing of coastal lands Export driven fisheries (live reef food fish/ornamentals) ---------- Population growth Poverty Landlessness Migration into coastal areas	Low lease cost of state coastal land and islands Lack of alternative livelihoods Weak enforcement of existing CZM regulations Lack of public awareness Data gaps Weak local community capacity/involvement Weak national institution capacity
	Coral Reefs	Unsustainable & destructive fishing practices (including ornamentals) Dredging, reclamation & mining[4] Land-based pollution (especially sewage) Coral mining Unmanaged tourism Oil spills[5]		
	Sea Grass Beds[1]	Destructive fishing gear Dredging, & reclamation Sedimentation Deforestation Land-based pollution Nutrient enrichment		

[1]Analysis/project supported interventions will depend on availability of data.

[2]Includes urban development, reclamation/dredging, and aquaculture and agriculture development resulting in degradation of nursery/spawning/feeding grounds.

[3] Includes sources of sedimentation (deforestation, dredging, etc.) and oil spills (shipping, harbours, etc.)

[4] Includes sand mining

[5] Both small & large vessels

APPENDIX G

PRIORITY ISSUE # 3 - LAND-BASED SOURCES OF POLLUTION

Regional Priority	Key Issues	Root Causes	Critical Constraints (barriers)
Land-based Sources of Pollution	Domestic liquid waste/sewage Agricultural runoff Aqua-culture discharge Solid waste Industrial pollution Sedimentation Ship-breaking Fish processing plants	Poorly planned economic development Deforestation Unmanaged tourism Agriculture and aqua-culture intensification ---------- Population growth Urbanization Coastal migration Changes in patterns of industrial development[1]	Lack of public awareness Lack of scientific information/systematic monitoring Weak enforcement Lack of water treatments plant and management, especially for domestic waste Lack of affordable/appropriate technology Policy failure (eg polluter pays principle not applied and under-valuation of environmental "goods and services") Lack of knowledge of other "best practices" Outdated and non-harmonized environmental legislation Lack of harmonized effluent and ambient water quality criteria Weak institutional capacity ---------- Low GDP per capita (scarce financial resources) Scale and complexity of drainage area

[1]Trends include shifts from heavy to lighter industries, relocation of industries away from large urban areas, and proliferation of small and medium size industries.

APPENDIX H

PRIORITY ISSUE # 4 - SHIP-BASED SOURCES OF POLLUTION

Regional Priority	Key Issues	Root Causes	Critical Constraints (barriers)
Ship-based Sources of Pollution[1,2]	Ship pollution[3]	TBD	TBD
	Oil spills		
	Ballast/invasive species		

[1]Includes dumping as defined by London Convention (1972) and Protocol (1996).

[2]Possible project supported interventions will not duplicated those of other regional programmes (e.g., IMO).

[3]Includes hazardous wastes.

APPENDIX I

DRAFT BOB LME LOGICAL FRAMEWORK (LOGFRAME)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS & RISKS
Goal			
A healthy BOBLME and enhanced food security and reduced poverty for coastal communities			
Objective(s) of the Program	**Indicators**	**Means of Verification**	**Assumptions**
Elaborate an agreed Strategic Action Plan (SAP) that addresses priority issues and is based (i) better understanding of these issues (ii) an improved capacity achieved through collaborative activities and (iii) an improved policy and institutional framework.			

Outputs	Indicators	Means of Verification	Assumptions
Component 1 - Overexploitation of living marine Resources			• National governments and regional organizations continue to collaborate together • Continued support for the implementation of the BOBLME SAP • Governments continue to support regional approach to managing living resources and environmental issues in the BOBLME
(Coastal and fisheries)			
Output 1: Improved/strengthened institutional capacity and resource management	# of regional meetings attended by policy makers # of national plans adopting changes leading to conservation of living marine resources	Meeting documentation Plans/policies	
Output 2: Improved integrated policies	# of sectoral policies adopted	Documents verifying relevant policy changes	
Output 3: Improved resource assessments and incorporation of the results into decision making for sustainable management for selected stocks	# of species-specific, regional/sub regional management plans prepared and implemented	Management Plans	
Output 4: Improved data collection that is harmonized across the region	# of countries adopting harmonized data collection systems and participating in exchange of data	Memoranda of Understanding Documentation demonstration harmonized data collection	
Output 5: Improved fisheries legislation	# of countries modifying existing fisheries legislation	Drafts of modified legislation	
(Coastal only)			
Output 6: Adoption of alternative livelihoods	# of countries adopting new policies in support of alternative livelihood approaches	Policy statements	
(Offshore only)			
Output 7: Collaborative offshore fishery assessments	# of assessments involving 2 or more BOB country participants	Ship logs Assessment reports	
Component 2- Degradation of critical habitats			
Output 1: Identification and implementation of alternative livelihood strategies	# of countries adopting new policies in support of alternative livelihood approaches	Policy statements	
Output 2: Strengthened capacity at the national, local government and community levels in developing and enforcing ICM	# new province/ community-based ICM initiatives	Documentation of initiatives	
Output 3: Improved planning and management of critical habitats including interconnected fish refugia	# of fishing refugia identified in region	Draft national acts	
Output 4: Increased national capacity for critical habitat management	Centre of excellence able to provide training Status of critical habitats	Assessment reports	

Outputs	Indicators	Means of Verification	Assumptions
Component 3- Land-based sources of pollutions			
Output 1: Estimate the total amount and type of pollutants entering the BOB	The estimate (and inputs and model used to derive the estimate)	Report	
Output 2: Improved policies that will lead to strengthened enforcement	# of studies	Studies	
Output 3: Identified hot spots and possible infrastructure investments (such as water treatment plants) to be incorporated under the SAP	List of priorities identified in the SAP	SAP	
Output 4:Strengthened environmental legislation	# of countries adopting changes to their respective national legislation	Draft of new legislation	
Output 5: Harmonized effluent and ambient water quality criteria	Agreed criteria # of countries adopting new criteria	Draft implementing legislation	
Component 4-Financial Sustainability			
Output 1: Trust Fund Established (?)	Trust Fund (?)	Legal instrument	
Component 5-SAP Preparation			
Output 1: SAP Completed	Approved SAP	Report	
Component 6-Project Management			
Output 1: Project Implemented (Phase 1)	Project implemented on time at cost	Monitoring/supervision/project completion reports	
Output 2: Program Regional Implementation Mechanism Established	Agreement deposited with relevant International Organization	Report	

Components/Activities:	Indicators	Means of Verification	Assumptions
Component 1 : ***Overexploitation of living marine resources***			
(Coastal/Offshore)			
• Activity 1a Conduct regional analysis of lesson learnt in co-management from existing and past pilot/demonstration activities, including role of central authorities and communities, Monitoring, Control and Surveillance • Activity 1b Facilitate the mainstreaming of the lesson learnt in fisheries co-management through national and regional development plans and policies • Activity 1c Develop appropriate management tool kit and field through pilot sites for the region • Activity 1d Identify and strengthen a center of excellence as a model best practice.	**US$**	• Project Monitoring/Supervision Reports • Audit Statements • Annual Work Plans	• MOF and other key Ministries agree to proposed BOBLME Program • Economic growth continues in region to enable countries to meet counterpart financing commitments • National Main-line agencies and regional organizations incorporate results from relevant project-supported activities
• Activity 2a Regional networking of fisheries and environment Senior Officials • Activity 2b Based on activity 2a improve national inter-sectoral coordination and policy development			
• Activity 3a Collaborative regional resource assessment, including data collection of selected species eg grouper, lobsters, Hilsa • Activity 3b Development of regional/sub-regional management plans incorporating the results of assessment			
• Activity 4a: Improve the collection of basic fisheries data (eg fleets, landings, effort) to meet local, national, regional and global needs • Activity 4b: Coordinate and standardize order to facilitate its use and exchange			

Components/Activities:	Indicators	Means of Verification	Assumptions
Component 1 (Cont'd)			
• Activity 4a: Improve the collection of basic fisheries data (eg fleets, landings, effort) to meet local, national, regional and global needs • Activity 4b: Coordinate and standardize order to facilitate its use and exchange			
• Activity 5a: Provide mechanism to facilitate sharing of information on national legislation (and policies, where appropriate) • Activity 5b: Regionalize and facilitate implementation FAO Code of Conduct for Responsible Fisheries			
(Coastal only)			
• Activity 6a: Regional analysis of lessons learnt on alternative livelihoods approaches, including retraining of existing generations and incentives for next generations (eg education), with a particular focus on women • Activity 6b: Facilitate the mainstreaming of alternative livelihood approaches, through national and regional development plans and policies			
(Offshore only)			
• Activity 7: Collaborative assessment of the potential offshore resources and their role in the ecosystem (both pelagic and demersal) and identification of fishing grounds for improved management			
Component 2 : ***Degradation of critical habitats***			
• Activity 1 As for Activity 6a and 6b in Resource Overexploitation, highlighting differences for mangrove dwellers			

Components/Activities:	Indicators	Means of Verification	Assumptions
Component 2 (Cont'd)			
• Activity 2a Regional analysis of lessons learnt from previous community involvement in ICM demo/pilot sites • Activity 2b Facilitate the mainstreaming of lessons learnt through improved ICM • Activity 2c Identify and strengthen a center of excellence as a model of best practice of ICM			
• Activity 3a: Identify and fill gaps in knowledge and extent of critical habitats across the region; • Activity 3b: Understand the inter-connectedness between the critical habitats at the regional level and their regional significance; and • Activity 3c. Develop regional mapping to include coral reefs, mangroves, seagrasses and other critical habitats, using GIS tools			
• Activity 4 Identify and strengthen centers of excellence for habitat management and incorporate these into best practice.			
Component 3 : ***Land-based sources of pollution***			
• Activity 1 Regional analysis of existing pollutant load data			
• Activity 2 Studies to evaluate policies of "polluter pays", "user fees", "precautionary approach" etc, as a mean to address policy failures, including strengthening of enforcement			
• Activity 3 Identify criteria and priotorise regional hot spots as possible sites for domestic effluent treatment plants			
• Activity 4: Provide a mechanism to facilitate sharing of information of national legislation (and policies, where appropriate)			

Components/Activities:	Indicators	Means of Verification	Assumptions
Component 3 (Cont'd)			
• Activity 5. Develop regional criteria for effluent and ambient water quality (criteria = maximum allowable level ie upper threshold)			
Component 4- Financial sustainability			
• Activity 1a Preparation of financial management strategy • Activity 1b Donor Conference • Activity 1c Establishment of Trust Fund (?)			
Component 5- SAP Preparation			
• Activity 1. Finalize TDA • Activity 2 Preparation of SAP with inputs from project results			
Component 6- Project Management			
• Activity 1. Establishment of Project Coordinating Unit • Activity 2 Design and implement a Monitoring and Evaluation Program • Activity 3 Inform & disseminate project information (webpage, newsletter, ?) • Activity 4a Conduct detailed institutional analysis • Activity 4b Hold regional decision-making meeting (External Affairs) • Activity 4c Finalize program implementation arrangements			

APPENDIX J

GEF GUIDANCE

GEF Strategic Priorities – International Waters

GEF Operational Programme 8: Water-body Operational Programme

GEF Operational Programme 9: Integrated Land and Water Multiple Focal Area

Review Criteria for GEF Full-sized Projects

GEF Strategic Priorities by Focal Areas and Other Programs

	Biodiversity
BD-1	Catalyzing Sustainability of Protected Areas
BD-2	Mainstreaming Biodiversity in Production Landscapes and Sectors
BD-3	Capacity Building for the Implementation of the Cartagena Protocol on Biosafety
BD-4	Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues
	Climate Change
CC-1	Transformation of Markets for High Volume Products and Processes
CC-2	Increased Access to Local Sources of Financing for Renewable Energy and Energy Efficiency
CC-3	Power Sector Policy Frameworks Supportive of Renewable Energy and Energy Efficiency
CC4	Productive Uses of Renewable Energy
CC5	Global Market Aggregation and National Innovation for Emerging Technologies
CC6	Modal Shifts in Urban Transport and Clean Vehicle/Fuel Technologies
CC-7	Short Term Measures
	International Waters
IW-1	Catalyzing Financial Resources for Implementation of Agreed Actions
IW-2	Expand Global Coverage with Capacity Building Foundational Work
IW-3	Undertake Innovative Demonstrations for Reducing Contaminants and Addressing Water Scarcity
	Ozone Depletion
OZ-1	Methyl Bromide Reduction
	Persistent Organic Pollutants
POP-1	Targeted Capacity Building
POP-2	Implementation of Policy/Regulatory Reforms and Investments
POP-3	Demonstration of Innovative and Cost-Effective Technologies
	Sustainable Land Management
SLM-1	Targeted Capacity Building
SLM-2	Implementation of Innovative and Indigenous Sustainable Land Management Practices
Priority #	**Capacity Building**
CB-1	Enabling Activities (climate change and biodiversity)
CB-2	Cross-cutting Capacity Building
	Integrated Approach to Ecosystem Management
EM-1	Integrated Approach to Ecosystem Management
	Small Grants Progam
SGP-1	Small Grants Progam

OPERATIONAL PROGRAM NUMBER 8
WATERBODY-BASED OPERATIONAL PROGRAM

GUIDANCE

8.1 Guidance for this operational program (OP) comes from the GEF Council in the Operational Strategy. Operational Programs in the International Waters focal area provide a planning framework for the design, implementation, and coordination of different sets of GEF International water projects that can achieve particular global environmental benefits. Through different operational programs, emphasis is placed on a variety of interventions and certain types of projects that can lead to implementation of more comprehensive approaches for restoring and protecting the international waters environment. Operational programs are established to ensure systematic coordination among implementing agencies, countries, and other actors as well as to generate programmatic benefits for the global environment that would not otherwise be achievable.

8.2 In the Waterbody-Based operational program, the GEF will play a catalytic role in assisting a group of countries seeking to leverage cofinancing in association with national funding, development financing, agency regular programs, and private sector action for necessary elements of a comprehensive approach for sustainably managing the international waters environment. The goal is to assist countries in making changes in the ways that human activities are conducted in a number of sectors so that the particular waterbody and its multi-country drainage basin can sustainably support human activities. GEF helps countries to utilize the full range of technical, economic, financial, regulatory, and institutional measures that are necessary.

8.3 Projects in this operational program focus mainly on seriously threatened waterbodies and the most imminent transboundary threats to their ecosystems as described in the Operational Strategy[1]. Consequently, priority is placed on changing sectoral policies and activities responsible for the most serious root causes or needed to solve the top priority transboundary environmental concerns. GEF may fund the transaction costs of neighboring countries collaborating on defining the priority transboundary environmental concern of the waterbody and determining expected baseline and additional actions needed to resolve each priority concern. Based on the countries' commitments to change sectoral policies or activities and to fund expected baseline investments, GEF may fund the agreed incremental cost of additional measures.

PROGRAM OBJECTIVES

8.4 The long-term objective of the program is to undertake a series of projects that involve helping groups of countries to work collaboratively with the support of

[1] Imminent transboundary concerns that seriously threaten waterbodies include, pollution, over-exploitation of living and non-living resources, habitat degradation, and nonindigenous species.

implementing agencies in achieving changes in sectoral policies and activities so that transboundary environmental concerns degrading specific waterbodies can be resolved.

8.5 Short-term objectives of the program are to:

(a) undertake a series of projects that utilize a spectrum of interventions for addressing different transboundary environmental concerns in different types of waterbodies that are representative of diverse geographic settings across the world;

(b) derive lessons learned from experiences in using various types of institutional arrangements at the national and regional levels for collaboration in addressing transboundary priority environmental concerns; provisions will be included for periodic stock-taking and review of lessons learned as projects are implemented;

(c) assess the usefulness of Strategic Action Program formulation in leveraging national/donor actions at the policy/investment levels, in coordinating support of regular implementing agency programs, and in serving as a logical framework for M&E;

(d) initiate actions toward resolving transboundary environmental concerns for a variety of waterbody settings with at least one freshwater basin project and one large marine ecosystem project in each of the world's five development regions;[2] and

(e) fully develop a GEF strategic approach to a specific, damaged Large Marine Ecosystem (LME) so that significant investments are leveraged and regular programs of implementing agencies are harnessed to address priority transboundary environmental concerns in the highly damaged large marine ecosystem.

PROGRAM SCOPE

8.6 The operational program consists of projects that utilize different types of interventions to make changes in sectoral policies and activities which degrade the international waters environment. A range of transboundary environmental concerns, different types of waterbodies, and a number of geographic settings are utilized across the world to test various interventions and learn from implementation. Implementing agencies assist the countries with tasks according to their comparative advantages. Groups of countries work collaboratively in learning about and resolving priority transboundary environmental concerns.

[2] The five development regions are Sub-Saharan Africa, Asia, Latin America/Caribbean, Middle East/North Africa, and Eastern Europe/Former Soviet Union.

8.7 Waterbodies with varied ecological systems and economic value will be the subject of GEF projects. Freshwater systems range from transboundary river and lake basins to transboundary groundwater systems. Marine waters are primarily addressed through LMEs. These are the equivalent of sea-based ecosystems for areas of common circulation or enclosed/semi-enclosed seas. There are 49 that make up the continental shelfs and associated currents and these provide about 95 percent of ocean fish catches. Certain priority portions of LMEs, limited ocean spaces, or certain living resources of the ocean can also be targeted for interventions in this operational program.

Characteristics of the Waterbodies

8.8 The waterbodies chosen for projects will encompass a range of different transboundary environmental concerns, geographic settings, and regions as follows:

(a) transboundary concerns are defined by neighboring countries in a transboundary diagnostic analysis;

(b) transboundary concerns create significant threat to the functioning of the ecosystems and a focus is placed on the highest threats;

(c) most countries contributing to the problems wish to collaborate;

(d) resources are programmed to support projects in many different development regions rather than being clustered on one continent; and

(e) LMEs address marine issues, coastal zone issues, and relevant freshwater basin concerns.

Characteristics of the Interventions

8.9 Assistance may be provided by the GEF to:

(a) conduct a transboundary diagnostic analysis to identify priority transboundary environmental concerns;

(b) formulate a Strategic Action Program of actions each country needs to take to address the priority transboundary concernes (including differentiation of agreed expected baseline actions and those that would be additional in nature) and to leverage non-GEF resources for implementing both baseline and additional actions;

(c) support the incremental cost of technical assistance, capacity building, limited demonstrations, and certain investiments needed to address the priority transboundary concerns as outlined below unter “Types of Activities”, and

(d) encourage the use of sound science and technological innovations for management.

EXPECTED OUTCOMES

8.10 International water projects normally require a long-term commitment on the part of governments, implementing agencies, donors, and the GEF to leverage the intended sectoral changes --to address the root causes -- of complex environmental problems in this focal area. Many GEF international water projects require political commitments on the part of neighboring countries to work together. It takes time to nurture the capacity to work together, establish factual priorities, and decide on joint commitments for action. Collaborative processes are fostered through a logical progression of GEF-funded activities --from project development to analyses of transboundary priority environmental concerns to formulation of an international water Strategic Action Program to eventual regional capacity building or country-specific investment projects. The strategic action program is a key element for the GEF because it will contain the agreed transboundary analyses for determining priorities and the array of expected baseline and additional actions needed for resolving each priority problem. Some groups of countries may already have in place the analyses and identified the environmental protection commitments needed to support formulation of a strategic action program, and in those cases Project Development Facility (PDF) funds might be utilized to pull together the array of reasonable baseline and additional actions needed to solve the priority transboundary problems and then quickly proceed to project preparation in conjunction with leveraged funding.

8.11 The GEF will normally play an important catalytic role in restoring/protecting waterbodies but it will be only a small part of the larger multicountry effort with assistance from donors and implementing agency (IA) regular programs. Development or strengthening of multicountry institutional arrangements are often appropriate measures for support and countries should ensure financial sustainability of these arrangements to ensure that the expected outcomes can be achieved, which in some cases may be years after the GEF project has been completed.

8.12 Expected outcomes of this program include reduction of stress to the international waters environment in parts of all five development regions across the globe as a result of countries' changing their individual sectoral policies, making critical investments, developing necessary programs, and collaborating jointly in managing transboundary water resources. In addition, achievement of the program objectives listed herein may be considered as an expected outcome of the programming of projects in this operational program.

8.13 Key assumptions are that:

(a) over time, the full range of technical, economic, financial, regulatory, and institutional measures necessary to restore and protect the waterbody would have been taken by collaborating countries to accompany the leveraged development assistance of regular programs of the

implementing agencies, international co-funding of investments, and private sector action; and

(b) participating and donor countries would have committed funding for needed baseline actions.

PROGRAM OUTPUTS

8.14 The outputs of this program are a representative number of transboundary freshwater basin international water projects (both surface and subsurface basins) as part of a freshwater basin component as well as a representative number of international water projects focusing on marine/coastal ecosystems (or perhaps limited oceanic areas and their living resources) as part of a large marine ecosystem component of the program. Different considerations, elements, and interventions may be characteristic of projects addressing these varying types of waterbodies, consequently two distinct components are required for programming. Of course, since each project addresses transboundary concerns, global environmental benefits constitute the fundamental program output.

8.15 Another significant output involves the programming (or targeting) of individual GEF projects in one area to make a catalytic, on the ground impact in a case that is so complex that no single country, no single donor, or no single implementing agency can make a real difference. These programmatic global environmental benefits represent a synergistic effect from GEF activities.

8.16 Outputs from individual international water projects include:

(a) a comprehensive transboundary environmental analysis identifying top priority multi-country environmental concerns;

(b) a strategic action program consisting of expected baseline and additional actions needed to resolve each transboundary concern;

(c) country commitments to implement expected baseline and additional actions;

(d) documentation of stakeholder participation in determining expected baseline and additional actions to be implemented;

(e) implementation of measures with incremental costs that help resolve the priority transboundary environmental concerns; and

(f) monitoring and evaluation indicators related to the international waters project and subsequent actions following project completion (process indicators, stress reduction indicators, and environmental status indicators).

TYPES OF ACTIVITIES

8.17 This operational program heavily relies on cooperation among Implementing Agencies as part of specific projects as well as a significant commitment from each Implementing Agency to target its regular development assistance programs to the international waters project area along with the GEF. These Implementing Agency commitments to action (including regular agency programs such as capacity building) and individual country commitments to baseline and additional specific actions are often contained in Strategic Action Programs developed with GEF assistance. Typical GEF projects first contain activities to complete this strategic work and gain agreement among countries and then with implementing agencies. Then, subsequent regional capacity building or country-specific investment projects fund the incremental costs of priority additional measures along with baseline actions funded by countries, implementing agency regular programs, donors, private sector, or other sources.

8.18 Indicative activities for projects in each of the two components of this operational program include:

Transboundary Freshwater Basin Component

8.19 A number of transboundary lake basins, river basins, and groundwater basins provide settings for application of the operational program to projects in this component. Rather than addressing all the environmental problems in the basins of these waterbodies, GEF seeks to focus on the top priority problems that are transboundary in nature so that sectoral policies and activities that create the problems are changed in the basin. Joint actions among nations and regional cooperative institutional arrangements are often key features of these projects. The projects run the range from capacity building and technical assistance to specific investments with incremental costs. Demonstration projects are often included to test new or innovative interventions. Institutional elements such as water quality standards/regulations, permit processes, or water minimization/pollution requirements are harmonized among countries. Institutional arrangements such as commissions are often developed or strengthened to provide mechanisms for countries to sustain actions after the GEF projects ends. The scientific community is often also involved in providing advice as part of the institutional arrangements.

Large Marine Ecosystem Component

8.20 With ninety-five percent of all marine fisheries in the world coming from 49 large marine ecosystems that make up continental shelf areas, projects in this component are essential for food security and for sustainable use of coastal resources. Linkages among coastal areas, marine waters, and their contributing freshwater basins are highlighted to provide the necessary comprehensive approach to addressing transboundary environmental concerns.

8.21 Integrated freshwater basin-coastal area management measures are important for protecting large marine ecosystems. In hotspots of transboundary environmental damage,

targeted technical assistance or investment projects are encouraged to address serious problems. If only several of a large number of riparian countries wish to proceed, formulation of a strategic action program would be a useful, incremental first step. In addition, cooperating countries may wish to jointly address environmental problems of an oceanic area not included in a large marine ecosystem. Use of new technological and institutional tools is encouraged. Technological advances are being introduced that use information technology and computer simulation to help make critical management decisions for marine resources and tools such as the Code of Conduct for Responsible Fishing consistent with the Law of the Sea Convention also exist. Some projects may address issues (e.g. destructive fishing techniques) that are common to many countries in which changes in sectoral policies or activities re needed to maintain the environmental sustainability of marine and coastal waters.

Indicative Activities for Capacity Building or Investment Projects

(a) technical assistance for countries deciding how they jointly desire to work together with committee structures to collaborate more effectively;

(b) funding the communication infrastructure for committees and for stakeholder participation;

(c) advice and assistance in stakeholder/NGO participation design, conducting social assessmens, etc.;

(d) limited demonstration projects to determine feasibility;

(e) feasibility studies;

(f) technical assistance and capacity building in how country interministerial teams work, how they involve stakeholders and how they determine expected baseline and additional priority actions; and

(g) advice and facilitation in formulation of the strategic action program.

8.22 The GEF may fund the incremental cost of priority elements of the strategic action program that address the transboundary priorities. This funding could provide cost-shared incentives for leveraging government, private sector, or donor action in implementing priority solutions on the ground. Examples of indicative activities might include:

(a) a modest cost share in supporting establishment of an industrial toxics pretreatment program or physical interventions to separate easily treated municipal wastewater from more dangerous industrial wastewater;

(b) incremental cost funding for wetland restoration to provide habitats and to mitigate the effects of pollutants before they reach international waters;

(c) innovative approaches such as tradable pollution discharge permit systems or offset programs to cost-effectively improve water quality in shared basins;

(d) cost-share best management practice installation for nonpoint source control of land-based pollution in degraded, priority watersheds; and

(e) building a human resources capability to strengthen institutions. Hotspots of transboundary degradation may be targeted for funding if information is sufficient to characterize the transboundary nature of the problem and the country (or countries) commit to undertaking the needed measures. Single-country versions of strategic action programs may be appropriate to leverage other funding for baseline and additional actions.

INTERAGENCY COORDINATION AND PUBLIC INVOLVEMENT

8.23 All three implementing agencies are normally involved on a task force for project preparation with environmental ministries of each participating nation. This is because each implementing agency has a comparative advantage, something additional, to bring to the table with its regular programs. Formulation of strategic Action Programs (SAP) is the responsibility of the collaborating governments and national/regional stakeholders. Strategic action programs formulation provides an opportunity for implementing agencies to support country initiatives according to the implementing agency's comparative advantage and to bring their regular programs to bear where needed. While multiple implementing agency involvement is not mandatory, it will be encouraged. It is through strategic action program formulation that baseline and additional priority actions are identified.

8.24 Stakeholder involvement and participation of different sectoral ministries in each recipient country constitute important elements of GEF activities concerning international waters. Stakeholder involvement will differ at each level of planning and administration. Participation of these various stakeholders (including the private sector) within and across countries can improve the quality, effectiveness, and sustainability of projects. However, there is a need to identify the key stakeholders through a stakeholder analysis or social assessment, as well as the levels at which their involvement will be critical and the means to ensure their effective participation. Linkage through computer-based networks is promising. Networking among stakeholders and government organizations can foster broad involvement in planning and implementing GEF international waters projects and should help to improve the quality, public awareness, and scientific basis of international waters projects. These technological innovations promote transparency among cooperating nations regarding key information, encourage broader participation by stakeholder groups within country and across countries, and provide a basis for evaluation. Interministerial coordination is essential so that actual changes can be made in sectoral activities.

RESOURCES

8.25 With a large number of highly damaged and threatened waterbodies worldwide, the coming 3-year period will be utilized to select good examples of projects in each of the two components of the operational program. During the planning period, half the projects will be in an initial strategic stage while half will have been reviewed by Council and will have begun implementation. The modest estimate of financial resources needed for this operational program is $75 - 90 million for FY1998 - 2000 to accomplish objectives stated herein.

OPERATIONAL PROGRAM NUMBER 9 INTEGRATED LAND AND WATER MULTIPLE FOCAL AREA OPERATIONAL PROGRAM

GUIDANCE

9.1 Guidance for this Operational Program (OP) comes from the GEF Council in the Operational Strategy. While there is no single convention that provides guidance, such as with the other GEF focal areas, an intricate web of conventions and action programs may provide an initial basis for countries to collaborate. Operational Programs in the International Waters (IW) focal area provide a planning framework for the design, implementation, and coordination of different sets of GEF IW projects that can achieve particular global environmental benefits. Through different OPs, emphasis is placed on various kinds of interventions and certain types of projects that can lead to implementation of more comprehensive approaches for restoring and protecting the international waters environment.

9.2 The Integrated Land and Water Multiple Focal Area OP is broader in scope than the Waterbody-Based OP. While projects still are aimed at achieving changes in sectoral policies and activities as well as in leveraging donor and regular Implementing Agency (IA) program participation, these projects focus on integrated approaches to the use of better land and water resource management practices on an area-wide basis. The goal is to help groups of countries utilize the full range of technical, economic, financial, regulatory, and institutional measures needed to operationalize sustainable development strategies for international waters and their drainage basins. Global benefits often are produced in other GEF focal areas by these projects, and the crosscutting issue of land degradation is an important element. With this more area-wide focus, and with biodiversity considerations often included in project objectives, more proactive interventions aimed at the protection of international waters with important biodiversity are common. In addition, projects addressing linkages among the coastal zone, oceans, climate change, and international waters may also provide multiple focal area benefits. Prevention of damage to threatened waters is stressed in this OP while remediation of damaged systems is more often stressed in the Waterbody-Based OP.

PROGRAM OBJECTIVES

9.3 The long-term objective of the program is to achieve global environmental benefits through implementation of IW projects which integrate the use of sound land and water resource management strategies as a result of changes in sectoral polices and activities that promote sustainable development.

9.4 Short-term objectives of the program include:

(a) undertake a series of international water projects, in several development regions, that address the cross cutting issues of land degradation and include a focus on Africa;

(b) assess the usefulness of the Strategic Action Program (SAP) concept for IW projects with multiple focal area benefits in: facilitating collaboration among IA's and countries; leveraging the involvement of regular IA programs and donors; and serving as a logical framework for M&E;

(c) derive lessons learned in testing workable mechanisms to improve community, NGO, stakeholder, and interministerial participation in planning, implementing, and evaluating projects in this OP, especially as they relate to the special needs of Small Island Developing States; and

(d) develop projects in two or three areas of threatened marine waters in close cooperation with Operational Programs in the climate change and biodiversity focal areas and with the coastal/marine priority of the Conference of the Parties of the Convention on Biological Diversity.

PROGRAM SCOPE

9.5 While the Waterbody-based OP focuses on the ecological status of transboundary waterbodies and on the narrow, prescriptive measures necessary to address the top priority transboundary concerns, Operational Program Number 9 focuses on area-wide interventions that typically involve integrated management of land and water resources. Like Operational Program Number 8, projects in this OP are often multi-country in nature, but unlike Operational Program Number 8 they often focus on preventive measures to address threats rather than remedial, highly capital-intensive measures. In addition, global benefits in multiple focal areas are often associated with projects in this OP. Consequently, close cooperation with Operational Program Number 1 (arid and semi-arid zone ecosystems) and Operational Program Number 2 (coastal, marine, wetlands) is important. Interactions between the oceans and climate are frequently reflected in the physical, chemical, and biological characteristics of marine systems. Collaborating nations that desire to address sustainable protection of their coastal zone resources may often wish to examine linkages with climate as part of their marine ecosystem project.

9.6 With components devoted to the cross cutting issue of land degradation, and the special conditions and needs of Small Island Developing States, projects in this OP often involve determining what sectoral changes are needed to achieve the goals of sustainable development as well as what type nature of measures are needed to ensure that the ecological carrying capacity of the waterbody is not exceeded. Consequently, with these considerations and the area-wide nature of interventions, community involvement and stakeholder participation become especially important in this OP. In addition, projects often involve processes that link biodiversity protection or climate change considerations into the thinking of sectoral managers (water engineers, agricultural officials, tourism development organizations, etc.) to ensure that sectoral policies and activities are modified to address sustainability and to protect aquatic/marine ecosystems.

9.7 As with the Waterbody-Based OP, the process of formulating a SAP may be useful to help provide a focus for setting priorities among countries, determining baseline and additional actions for addressing the priorities, and leveraging other forms of assistance. Single country projects may be appropriate if world-class biodiversity of habitat conditions warrant priority and, as part of project preparation, undertaking the equivalent of a SAP may be useful.

EXPECTED OUTCOMES

9.8 Similar to GEF expectations with regard to the Waterbody-Based OP, IW projects in Operational Program Number 9 will normally require a long-term commitment on the part of governments, IAs, donors, and the GEF to leverage the intended sectoral changes -- to address the root causes -- of complex environmental problems in this focal area. Because land degradation resulting in damage to the water resources in one nation often occurs upstream in another nation, political commitments on the part of neighboring countries to work together, establish factual priorities, and decide on joint commitments for action need to be nurtured. Collaborative processes are fostered through SAP formulation. Project Development Facility funds may be utilized by participating countries as part of project preparation to pull together the array of reasonable baseline and additional actions needed to solve the priority problems.

9.9 The GEF can be a catalyst for action to bring about the successful integration of improved land and water resource management practices on an area-wide basis. But the complexity and far-reaching nature of the issues will result in the GEF being only a small part of the necessary multi-country, multi-stakeholder effort. Active involvement of donors and built-in consideration by IA regular programs are also expected. Similar to the Waterbody-Based OP, development of or strengthened multi-country institutional arrangements are often appropriate measures for support, and countries should ensure financial sustainability of these arrangements to ensure that the expected outcomes can be achieved. This may be years after the GEF project has been completed.

9.10 Expected outcomes of this program include reduction of stress to the international waters environment in selected parts of all five development regions across the globe through participating countries making changes in their sectoral policies, making critical investments, developing necessary programs, and collaborating jointly in implementing land and water resources protection measures. Achievement of the program objectives listed herein may be considered as an expected outcome of the programming in this OP as would be increased global environment benefits in several focal areas. Since the GEF is in an active learning mode in this focal area, periodic stocktaking and review of lessons learned will be programmed.

9.11 Key assumptions are that:

(a) over time, the full range of technical, economic, financial, regulatory, and institutional measures necessary to protect the international waters environment would have been taken by collaborating countries to

accompany the leveraged development assistance of regular programs of the implementing agencies, international co-funding of investments, and private sector action;

(b) participating recipient and donor countries would have committed funding for needed baseline and some additional actions; and

(c) countries will have put into practice lessons that have been learned.

PROGRAM OUTPUTS

9.12 The outputs of this program include a representative number of IW projects as part of a land degradation component, a Small Islands Developing States Component, and a multiple focal area component. Different considerations, elements, and interventions may be characteristic of projects addressing these situations consequently, three distinct components are required for programming to ensure balance and to generate the global environmental benefits in different focal areas.

9.13 Outputs from individual IW projects in this OP include:

(a) a comprehensive transboundary environmental analysis identifying top priority multi-country environmental concerns;

(b) a strategic action program consisting of expected baseline and additional actions needed to implement an integrated approach to land and water resources management;

(c) country commitments to implement expected baseline and additional actions;

(d) documentation of stakeholder participation to determine expected baseline and additional actions to be implemented as well as community involvement in the project.

(e) implementation of measures related to integrated management of land and water resources that have incremental cost and that can generate global environmental benefits in several focal areas; and

(f) indicators related to the international waters project and subsequent actions following project completion (process indicators, stress reduction indicators, an environmental status indicators).

9.14 Key assumptions include:

(a) implementing agencies will cooperate with each other and participating countries, according to their comparative advantages; and

(b) barriers to adoption of integrated approaches to land and water management can be overcome through the projects or with the assistance of regular programs of agencies.

TYPES OF ACTIVITIES

9.15 The OP relies on cooperation among Implementing Agencies as part of specific projects as well as a significant commitment from Implementing Agencies to target regular development assistance programs to the international waters project area along with the GEF. The Implementing Agency commitments to action (including regular agency programs such as capacity building and lending) and individual country commitments to baseline and additional specific actions are often contained in Strategic Action Programs developed with GEF assistance. Different types of activities characterize each component of Operational Program Number 9 as follows:

Land Degradation Component

9.16 A special linkage exists between land degradation in dryland areas and management of both surface and groundwater resources in transboundary drainage basins. Rehabilitation of damaged catchments, adoption of sustainable land use systems, and integration of water resources management and land management practices are priorities for both transboundary basins and ecologically important multiple country dryland settings. Opportunities will be sought for deriving global environmental benefits in other focal areas, such as climate change and biodiversity, with sound water resources management measures and revegetation initiatives being important elements of international waters projects that address this cross-cutting issue.

9.17 Improved watershed and catchment management, sustainable land-use and conservation systems, as well as sound sectoral development and economic policies are essential to addressing transboundary water-related environmental concerns related to land degradation. Especially in dryland regions, land degradation can be linked with changes in climate and river flow regimes and with the overuse of water resources by sectoral activities such as agriculture. This can also result in degraded subsurface water supplies, some of which have transboundary implications. Support for preparation of water resources management strategies by riparian countries, for a transboundary dryland basin is a common characteristic of these projects to provide a basis for harmonization of sectoral water uses among basin countries in an environmentally sustainable manner. This often requires commitments to reduce water withdrawals in dryland basins so that sufficient quality and quantity of water are provided to sustain the international waters environment and its ecological diversity.

9.18 SAP formulation projects are encouraged as first steps of projects in this component. Water resources management strategies are integral elements of these SAPs, because of the processes involving multicountry commitments to environmentally sustainable water use in these dryland basins. While projects are sought worldwide, an

initial emphasis will be placed on Africa and on close cooperation with the GEF arid and semi-arid ecosystems OP.

Small Islands Developing States (SIDS) Component

9.19 With their special conditions and needs, SIDS require more integrated approaches to improved land and water management in order to address threats to their water resources. In particular, projects in this component stress integrated freshwater basin - coastal area management as key elements to ensure a sustainable future for these island states. As noted in the GEF Operational Strategy, activities are typically targeted to six major issues SIDS have in common (coastal area management and biodiversity, sustainable management of regional fish stocks, tourism development, protection of water supplies, land and marine-based sources of pollution, and vulnerability to climate change). Regional groups of SIDS often share access to marine resources and experience common water-related environmental problems (for example, saltwater intrusion into groundwater supplies as a result of rising oceans) or stocks of fish being depleted by foreign fishing fleets that can be addressed through the GEF in the context of altering sectoral activities on each island state to meet sustainable development goals. SIDS share common environmental problems and solutions to those problems that reflect the partnership between their representative regional organizations and the capacity and institutional building needed on each island state to more comprehensively address these problems. The transboundary issues then involve international cooperation among sovereign island states as well as transborder issues among the many islands of individual states as they utilize measures to protect their water resources.

9.20 The GEF helps facilitate the analysis of environmental problems and the setting of specific priorities for modifications of sectoral policies and activities that might be needed on particular islands. The GEF also helps strengthen regional approaches to joint management and helps leverage needed investments. Processes similar to SAP formulation may be appropriate for regional groupings of SIDS. Close linkages to the biodiversity focal area and the climate change area are evident.

Multiple Focal Area Component

9.21 GEF projects integrating several focal areas have the potential to multiply global benefits from GEF interventions. For example, wetland restoration and protection initiatives can provide benefits for both biodiversity protection and water quality improvement. Biodiversity protection and carbon sequestration have linkages and important roles in restoring damaged transboundary basins. In areas with globally significant biodiversity concerns, especially unique wetlands, coastal areas, and coral reefs, multiple focal areas projects might be appropriate for addressing current and anticipated threats in order to correct or prevent environmental damage. If the unique ecosystem lies mostly in one country, a single country project would be appropriate aimed at sectoral policies and activities needed to ensure that sustainable development can occur. Likewise, joint IW/biodiversity projects aimed at certain endangered aquatic/marine species that cross borders are appropriate for this component.

9.22 Various linkages with the climate change focal area exist as well. As part of an international waters project, innovative technologies, information systems, and simulation modeling may be utilized to build predictive capabilities to improve environmental management. Some additional activities might provide significant value-added for countries in managing coastal zones by incorporating possible changes in climate scenarios in these predictive tools. Benefits in several focal areas may then result from sectoral interventions based on the IW project.

INTERAGENCY COORDINATION AND PUBLIC INVOLVEMENT

9.23 All three IAs are normally involved on a task force for project preparation with environmental ministries of each participating nation. This is because each IA has a comparative advantage, something additional, and unique to bring to the table with its regular programs. Formulation of a SAP is the responsibility of the collaborating governments and national/regional stakeholders. SAP formulation provides an opportunity for IAs to support country initiatives according to the IA's comparative advantage and to bring their regular programs to bear where needed. While multiple IA involvement is not mandatory, it will be encouraged. It is though SAP formulation that baseline and additional priority actions are identified.

9.24 Stakeholder involvement and participation of different sectoral ministries in each recipient country constitute important elements of GEF activities concerning international waters. Stakeholder involvement will differ at each level of planning and administration. Participation of these various stakeholders (including the private sector) within and across countries can improve the quality, effectiveness, and sustainability of projects. However, there is a need to identify the key stakeholders through a stakeholder analysis, or social assessment, as well as the levels at which their involvement will be critical and creating the means to ensure their effective participation. Linkage through computer-based networks is promising. Networking among stakeholders and government organizations can foster broad involvement in planning and implementing GEF international waters projects and should help to improve the quality, public awareness, and scientific basis of international waters projects. These technological innovations promote transparency among cooperating nations regarding key information, encourage broader participation by stakeholder groups within country and across countries, and provide a basis for evaluation. Interministerial coordination is essential so that actual changes can be made in sectoral activities.

RESOURCES

9.25 With potential linkages among focal areas, judicious GEF programming may have a synergistic effect on global benefits. Consequently, the 3-year resource requirements for the OP will exceed the requirements in other operational programs ($90 - 105 million) in international waters.

REVIEW CRITERIA FOR GEF FULL-SIZED PROJECTS

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
1. Country Ownership				
• Country Eligibility	• Country be a party (ratified) to the Convention appropriate to the project focal area (UNFCCC or CBD) **and** 1. <u>For grants within the financial mechanism,</u> country be in conformity with eligibility criteria decided by the COPs; or 2. <u>For grants outside the framework of the financial mechanisms of the Conventions</u>, country be eligible for country assistance from the UNDP or the World Bank. *(For international waters projects, only 2 applies)* • For ODS projects, country should be eligible for country assistance from the UNDP or the World Bank and ineligible for funding under the multilateral fund of Montreal Protocol.		• Ratification of the London Amendment to the Montreal Protocol.	

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
	• For Land Degradation projects, ratification of the UNCCD by the country.			
• Country Drivenness	Concept consistent with priorities of the country as identified in: • National reports/ communications to Conventions • National or sector development plans such as NBSAPs, energy sector plans, etc. (explain how stakeholders were involved in development of these plans and how project idea evolved). • Recommendations of appropriate regional intergovernmental meetings or agreements.	Clear description of project's fit within: • National reports/communications to Conventions • National or sector development plans • Recommendations of appropriate regional intergovernmental meetings or agreements.		
• Endorsement	• No endorsement is required at pipeline entry but endorsement is required if PDFs are requested.	• Endorsement by national operational focal point.		
2. Program & Policy Conformity				
• Program Designation & Conformity	Identify: • primary Operational Program; strategic priority or	Description of consistency of project objectives with Operational Program		

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
	• Short-term measures; or • Enabling Activities	objectives and strategic priority.		
• Project Design	Outline the incremental reasoning of the concept, including: • Problem statement (a preliminary gap analysis and the description of the two alternatives should follow). • What would happen without GEF (programs & global environmental consequences) – baseline scenario. • What would happen with GEF (programs & global environmental consequences) – alternate scenario.	Describe: • sector issues, root causes, threats, barriers, etc, affecting global environment. • Project logical framework, including a consistent strategy, goals, objectives, outputs, outcomes, inputs/activities, measurable performance indicators, risks and assumptions. • Detailed description of goals, objectives, outputs, outcomes, and related assumptions, risks and performance indicators. • Brief description of proposed project activities, including an explanation how the activities would result in project outputs, outcomes (in no more than 2 pages).[1]	• Finalize project description, including • the project logical framework and • details of project activities, inputs, and related risk and assumptions and performance indicators for activities and inputs. • Finalize incremental cost.	

[1] A project/program could undertake detailed design (specification of project outputs) during the first phase of implementation, with clear benchmarks for approval of the subsequent phase. A project could also include several phases, where achievement of the clear benchmarks at the end of each phase is a

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion

		• Global environmental benefits of project (performance indicators at objective and outcome level should refer to the environmental, socio-economic, institutional and policy/legal impact of the project).
		• Incremental Cost Estimation based on the project logical framework and on the principle of cost-sharing.
		  • Describe project outputs/outcomes(and related activities and costs) that result in *global* environmental benefits
		  • Describe project outputs/outcomes (and related activities and costs) that result in joint *global and national* environmental benefits.
		  • Describe project outputs/outcomes		

necessary condition for approval of the next phase. In such projects, describe in detail the project output for the first phase and describe briefly the project activities for that phase.

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
		(and related activities and costs) that result in *national* environmental benefits. • As appropriate, describe the process used to jointly estimate incremental cost with in-country project partner. • Present the incremental cost estimate. If presented as a range, then a brief explanation of challenges and constraints and how these would be addressed by the time of CEO endorsement.		
• Sustainability (including financial sustainability)	Indicate factors that influence continuation of project benefits after completion of project implementation.	Describe proposed approach, within and/or outside the project, to address factors that influence continuation of project benefits after completion of project implementation.	Finalize specific actions to be undertaken, within and/or outside the project, to address factors that influence continuation of project benefits after completion of project implementation.	
• Replicability	Outline the potential for repeating the project lessons and transferring experience	Describe the proposed approach to knowledge transfer, if any (e.g.,	Finalize specific actions, with work plan and budget for knowledge transfer, if any	

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
	elsewhere.	dissemination of lessons, training workshops, information exchange, national and regional forum, etc and provide the budget associated with these efforts. It could also be within project description).	(could be within project description).	
• Stakeholder Involvement / Intended Beneficiaries	Identify major stakeholders, relevant to project objectives: • Private sector • NGOs • Communities • public agencies • marginal groups in ecosystem-based projects such as nomads, transhumants, young people and women • others	• Describe how stakeholders have been involved in project development. • Describe the approach for stakeholder involvement in further project development and implementation. • Describe how the marginal groups are going to be involved in the project implementation.	Finalize the roles and responsibilities of relevant stakeholders in project implementation, including a public participation strategy.	
• Monitoring & Evaluation		• Describe how the project design has incorporated lessons from similar projects in the past. • Describe approach for project M&E system, based on the project logical framework, including the following elements: • Specification of	• Finalize M&E Plan , including • Detailed budget • Final organizational arrangements for implementing M&E • Specification of indicators for project activities, including intermediate benchmarks, and	• On an annual basis, during project implementation, submit project implementation report to GEF M&E as input into the PIR. • Prepare project completion report and submit it to GEF M&E. • For biodiversity: Project

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
		indicators for objectives and outcomes, including intermediate benchmarks, and means of measurement. • Plan for providing baseline (initial project condition determined by indicators); to be completed during the first year of implementation • Outline organizational arrangement for implementing M&E. • Indicative total cost of M&E (to be reflected in total project cost). • For biodiversity: Project Information Form (PIF) and relevant score-cards filled out (these are being finalized and will be applied to all GEF-3 projects). • For International Waters, refer to the "Program Performance Indicators for GEF IW Programs"	means of measurement. • For biodiversity: Project Information Form and score-cards updated, if necessary.	Information Forms and relevant score-cards completed for mid-term and at end of project

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
		• For Climate Change, refer to "Measuring Results From Climate Change Programs"		
3. Financing				
• Financing Plan	• Indicate financing instrument, if known	• Estimate total project cost • Propose type of financing instrument	• Finalize project cost, including: ✓ Detailed costing by activity and sub-activity ✓ Financial plan with timing of disbursements. • Finalize financing plan and financing instrument	
• Cost-effectiveness		• Estimate cost effectiveness, if feasible. • Describe alternate project approaches considered and discarded.		
• Co-financing	• Indicate the nature of co-financing: whether it is "initial" co-financing critical to project success or "subsequent" co-financing which would be mobilized during implementation. • If PDF-B is requested, provide preliminary co-financing sources and	• Specific sources covering all the initial co-financing needs should be identified and the corresponding expressions of interest or commitment from those sources documented. If letters with expressions of interest or commitment are available, please attach.	• Letters of commitment from co-financiers should be attached. • Update the financing plan with respect to the status of any co-financing that would be mobilized during implementation. • Provide supporting documentation for co-financing	• report to the Secretariat any substantive changes on the co-financing arrangements throughout the project cycle.

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
	estimated amount	• Estimate sources of co-financing to be mobilized during implementation • Clearly identify if co-finances are in-kind or in-cash contributions. Provide explanation if co-financing amount or sources during WPI deviate substantially from those indicated during pipeline entry.	financing.	
4. Institutional Coordination & Support				
• Core commitments & Linkages	Identify linkages to IA's: • Country/regional/sub-regional/global/sector programs. • GEF activities with potential influence on the proposed project (design and implementation).	Describe how the proposed project is located within the IA's: • Country/regional/global/sector programs. • GEF activities with potential influence on the proposed project (design and implementation).		
• Consultation, Coordination and Collaboration between IAs, and IAs and ExAs	• Identify relevant activities of other IAs (and ExAs) in the country/region. • Outline coordination, collaboration between IAs (and IAs and ExAs) in project design, if any.	• Describe how the proposed project relates to activities of other IAs (and relevant ExAs) in the country/region. • Describe planned/agreed coordination, collaboration between IAs in project implementation		

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
		in project implementation. • Provide documentation to support these consultations and agreements (e.g. minutes of the meetings, memos, MOUs, etc.)		
• Implementation/execution arrangements	• Explain how the IA will ensure a high quality technical and financial implementation of the project (e.g. international project coordinator, supervision by country-based staff or HQ, UNOPS, arrangements with other involved agencies.	• Attach a written plan for implementation/execution arrangements, or clearly address the plan in the Project Executive Summary.		
5. Response to Reviews				
Council		Respond to Council Comments at pipeline entry.	Respond to Council comments at work program inclusion.	
Convention Secretariat	Respond to comments from Convention Secretariat.	Respond to comments from Convention Secretariats .		
GEF Secretariat	Respond to comments from GEFSEC on draft project concept document.	Respond to comments from GEFSEC on draft project brief.	Respond to comments from GEFSEC at work program inclusion	
Other IAs and relevant ExAs	Respond to comments from other IAs, ExAs on draft project concept document	Respond to comments from other IAs, relevant ExAs on draft project brief.		
STAP		Respond to comments by STAP at work program inclusion		

	Pipeline Entry	Work Program Inclusion	CEO Endorsement	Implementation/Completion
Review by expert from STAP Roster		Respond to review by expert from STAP roster.[2]	Respond to review by expert from STAP roster at work program inclusion	

[2] STAP Roster Review, and IA response, is a required annex of the project brief.

APPENDIX K

SHARED PILOT ACTIVITIES TO ADDRESS SUB-REGIONAL ISSUES COMMON TO SEVERAL BOBLME COUNTRIES

Over-exploitation of Living Marine Resources

Straddling/migratory Stocks. Implement a co-ordinated/collaborative fisheries management pilot activity for a sub-regional shared/straddling stock; to include as outputs policy recommendations and species-specific fishery management plans (FMP).

Regional activity
- Conservation of sharks (THA, MYA, SRL, MDV, INS, BGD, MAL, IND)

First ranked group of species
- Indian mackerel [Rastreliger spp] (THA, MAL, MYA, INS, IND)
- Hilsa (BGD, IND, and MYA)

Second ranked group
- Lobster (THA, SRL, MYA, IND, MDV)
- Grouper (MAL, MYA, THA, SRL, IND, MDV)

Degradation of Critical Habitat

Biodiversity Conservation. Sub-regional actions directed at improved management and restoration of marine habitats; can include conservation of marine mammals

Regional activity

- Coral reef mapping & spp composition (tourist/fisheries interaction) (THA, MAL, MYA, SRL, MAL, INS, IND, BGD)
- Seagrass [Dugong] ((MYA, THA, INS, MAL), (SRL, MAL, IND))
- Mangroves ((BGD, IND), (THA, INS, MAL,MYA),SRL))

Bi-national Protected Areas. Joint management of biosphere reserves and other coastal/marine protected areas

- Sunderbands (IND, BGD)
- Gulf of Manmar (IND, SRL)
- Mergui (THA,MYA)
- Others based on further investigation

Land-based Sources of Pollution

- Further investigate joint monitoring of heavy metals/pesticides, including TBT as in put into SPS issues eg WTO

APPENDIX L

World Bank GEF – Project Processing Cycle