

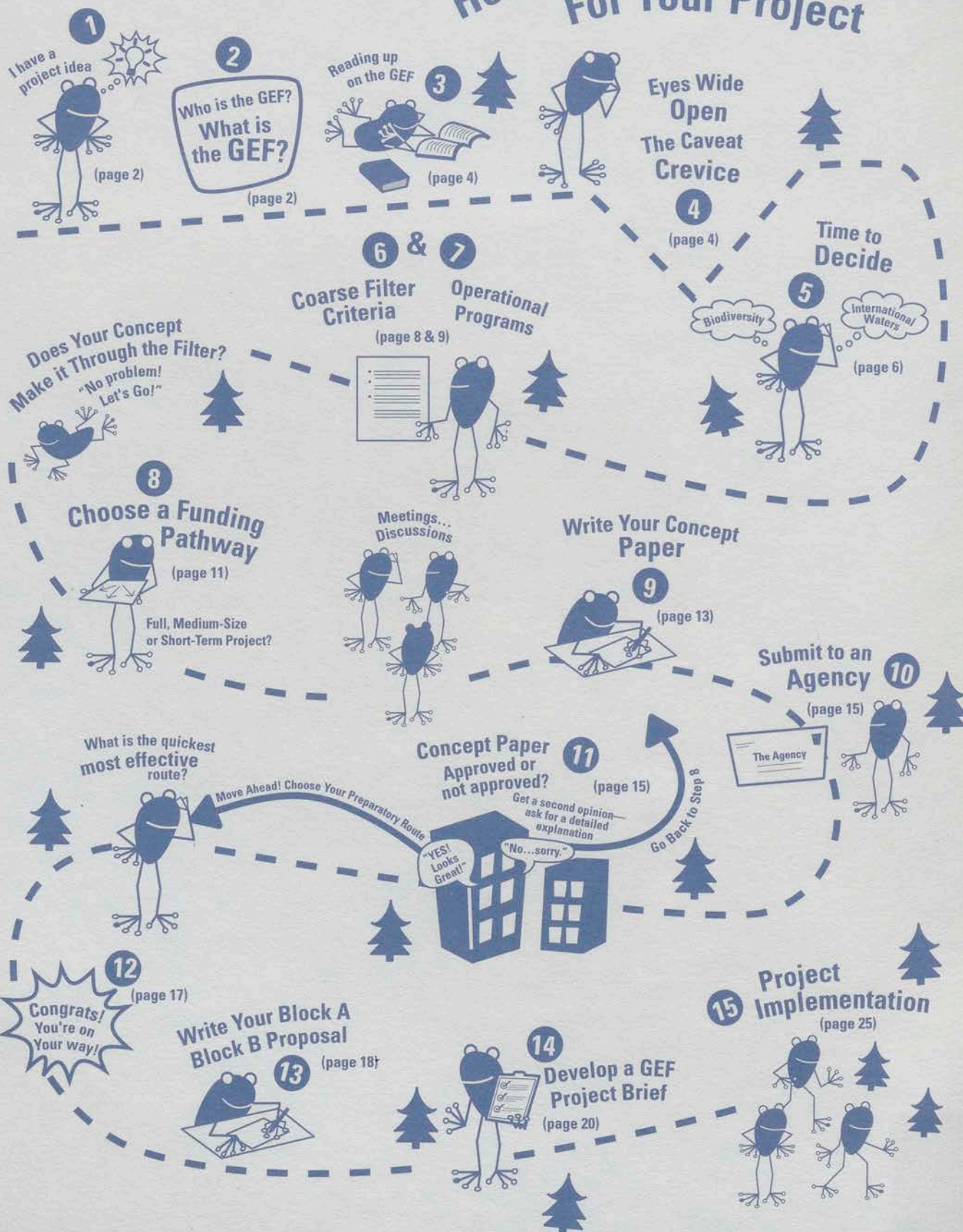
Biodiversity, International Waters and the GEF

*An IUCN Guide to
Developing Project
Proposals for the Global
Environment Facility*

IUCN
1997
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IUCN
The World Conservation Union

How to Get Funding For Your Project



BIODIVERSITY, INTERNATIONAL WATERS AND THE GEF:

An IUCN Guide to Developing Project Proposals for
the Global Environmental Facility

Written by: Jeff Griffen

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Why Should You Read This "How To" Guide

The guide is designed to provide the reader with plain-language, step-by-step directions for taking the important preparatory steps to accessing Global Environment Facility (GEF) funds for biodiversity and international waters conservation.

It is meant to be as "short and sweet" as possible, and is designed to cut through bureaucratic generalities. It will hopefully provide you with helpful insights into how to target GEF funding opportunities, design winning project ideas and get the money working for biodiversity or international waters conservation on the ground or in the water.

The guide is split into two sections: Biodiversity and International Waters. These two Focal Areas make up about 60% (45% for Biodiversity and 15% for International Waters) of GEF's overall program. Given that they have different criteria and emphases, this guide covers each with step-by-step descriptions. One-half of GEF's funds also go to climate change and ozone layer depletion projects, but this guide does not cover the climate change and ozone depletion programs.

Why Is This Guide Necessary

GEF's co-funding approach is a new one on the international stage. Unlike most other international entities, GEF is required to work with other entities to get the job done. It is required to leverage other funds to support components of projects with which it is involved. This requirement, and the detailed project-specific criteria related to this requirement, have been some cause for confusion.

Second, GEF itself does not develop its own projects. It subcontracts, so-to-speak, with three existing international agencies: the World Bank, UNDP and UNEP. The novelty of this approach and the different organizational cultures add another element of complexity.

Third, the GEF has been designated as the interim financial mechanism for the biodiversity and climate change conventions. GEF funding must comply with the guidance issued by the respective conferences of the parties.

Fourth, since it was created in 1991, the GEF has been steadily defining and re-defining its overall approach, producing an Operational Strategy, Operational Programs, policies, and case studies on everything from "participation" to "incremental cost." As a result the process has become much more complex and competitive, not to mention perplexing for all concerned.

And finally, without this guide you would be forced to rely on the official guidance provided by GEF—over 50 publications on GEF alone—each painting only a part of the overall picture that you need to see in order to get GEF co-financing.

It is easy to get off track as you move your idea from the conceptual stage to the project brief. This guide attempts to show you how to survey the GEF landscape ahead of time, allowing you to choose your route. It also will provide you landmarks to mark your progress as you guide your project concept through to project brief development.



Section One: Introduction

Think of It as a Warm-Up

Ok, let's get right to the point. How does one get money from the GEF? To be fair to all of our readers, let's start at the beginning.

STEP 1

So, You Have a General Idea for a Project to Conserve Biodiversity or International Waters, or Maybe You Already Have a Project Idea Developed?

If you have a project concept or even a fully developed project, read on, because this guide will first explain the basic criteria used to determine whether GEF will even consider funding your project. Second, it will explain how you actually go about customizing your idea to fit GEF's specific project development criteria (once you have decided that you want to try for GEF financing and that your idea is eligible for GEF funds).

How far Will This Guide Take You?

This guide is intended to help you through the preparatory steps – from project concept to the point where your project brief is being written with the active support and involvement of one of the IAs.

STEP 2

What Exactly Is the Global Environment Facility?

In basic, informal terms, the GEF is an international funding mechanism (i.e. pot of money) with some confusing rules and regulations on how the money is to be spent. The GEF was created in 1991 to provide co-financing to developing countries and those with economies in transition for projects and activities that protect the global environment. The 1992 United Nations Conference on the Environment and Development forged an agreement about the need to balance human growth with responsible management of the environment. The GEF was recognized as a means to that end. As a result, GEF has become what they call the interim funding mechanism for two international treaties: 1) the Convention on Biological Diversity, and 2) the United Nations Framework Convention on Climate Change. Many of the countries that have ratified these treaties simply do not have the financial resources to meet all of their obligations under these

treaties without assistance from the international community. GEF exists to provide that assistance.

What does it fund?

As the interim funding mechanism, the GEF provides co-financing to eligible (see Glossary for italicized words) countries for projects that achieve global environmental benefits in four main programme areas or "focal areas": Biodiversity, International Waters, Climate Change, and the Ozone Layer. Most of GEF's money goes to Biodiversity and Climate Change projects, with International Waters a distant third and Ozone Layer an even more distant fourth.

The GEF's Principal Players

When GEF was established, participants decided to use existing international bureaucracies to implement the GEF "on the ground." A new Secretariat was established to oversee and direct the GEF, and new staff were hired at the three international organizations that implement the GEF: the World Bank, the United Nations Development Programme (UNDP), and the United Nations Environment Programme (UNEP). In GEF language, these three agencies are known as "Implementing Agencies" or IAs. You ultimately will need to choose one of these IAs to work with in developing your project brief. The World Bank and UNDP are the biggest IAs in GEF, each with about 45% of GEF's Biodiversity and International Waters portfolio. In addition to GEF's own rules and regulations, each organization brings to the table its own culture and its own programmatic priorities, making GEF an organizational mix.

The Convention on Biological Diversity Secretariat

The GEF exists to assist countries in meeting their obligations under the Convention on Biological Diversity (as well as the United Nations Framework Convention on Climate Change). The Secretariat for the Convention on Biological Diversity is responsible for ensuring that the Convention on Biological Diversity is a dynamic, effective instrument for conserving biological diversity. Its concern lies with the convention itself, with the countries that belong to the convention and with GEF's role in implementing the convention.

The Global Environment Facility Itself

GEF Council

The GEF comprises 160 member countries. These countries are in turn represented on the GEF Council, which comprises 32 representatives (16 from developing countries, two from countries in transition, and 14 from developed countries). The GEF Council determines the guidelines for the GEF's programmatic approach. The GEF Council must approve all Full Projects and Medium-Size Projects over US\$750,000 before they can be implemented. It meets twice a year in Washington, D.C.

GEF Secretariat

As the gatekeeper to GEF funding, the GEF Secretariat oversees the grant-making program, sets grant-making policy and implements the GEF Council's and the Convention Secretariat's directives. The GEF Secretariat works closely with the agencies in developing the overall co-funding program. Every preparatory project (Block A, Block B) and every Full Project and Medium-Size Project brief are reviewed and need to be cleared by the Secretariat. The GEF Secretariat answers to the GEF Council, and the GEF as a whole works closely with the Conference of Parties to the Convention on Biological Diversity. The Secretariat's perspective is crucial, as they have veto power over any project submitted for approval by any one of the IAs. It is located in Washington, D.C.



Implementing Agencies

The World Bank

The World Bank implements GEF projects that usually complement its regular loan making programs in client countries. The World Bank has a central GEF office located in the Global Environment Coordination Division in Washington, D.C. Staff includes four regional coordinators and three specialists, and the division works closely with their counterparts in other World Bank country offices. Together, they work with client country governments and NGOs to develop GEF projects that co-finance World Bank loan initiatives in those countries.

The World Bank's GEF niche

In theory, The World Bank is supposed to undertake investment-related projects under the GEF, while the UNDP undertakes technical assistance and capacity building. In reality, there is little difference in the type of projects the two Implementing Agencies submit to GEF. You should be aware of one factor that distinguishes the World Bank's niche from UNDP's. The Bank tends to deal with larger biodiversity projects (bigger budgets)

than UNDP and doesn't usually handle smaller biodiversity projects. In addition, the Bank is fairly centralized in Washington, D.C., (though this is changing) and does not do as well with projects that require more of an on-the-scenes presence.

United Nations Development Programme (UNDP)

The UNDP develops and implements GEF projects that complement its mission to promote sustainable human development programmes in more than 130 client countries around the world. The UNDP-GEF program is composed of a GEF Central Unit located in the Sustainable Energy and Environment Division of UNDP's Bureau for Policy and Programme Support at UNDP's headquarters in New York. UNDP-GEF Regional Coordinators are posted in each one of UNDP's five Regional Bureau offices in New York (Africa, Arab States, Asia and the Pacific, Europe and Commonwealth of Independent States, and Latin America). The Regional Coordinators work closely with each UNDP country office and are responsible for developing and winning approval for each project.

UNDP's GEF niche

UNDP's niche is defined by its network of 133 field offices and the many years of experience with capacity building programmes in developing countries. In addition, UNDP's corporate programme has emphasized "sustainable human development" in recent years. This translates into UNDP supporting sustainable farming, fishing and other types of economic development activities that make it easier for UNDP to find funds of its own to co-fund your project concept (if it is found to be eligible).

United Nations Environment Programme (UNEP)

The UNEP implements GEF projects that complement its mission to increase awareness of and leverage strategic action toward ameliorating environmental degradation and the loss of biodiversity around the world. Staffed by eight people, UNEP's GEF office is located in UNEP Headquarters in Nairobi, Kenya. UNEP-GEF also has a liaison officer in Washington, D.C., and one regular UNEP staff member in each of UNEP's five regional offices [Mexico City (Latin America), Geneva, (Europe), Bahrain (W. Asia), Nairobi (Africa), and Bangkok (Asia-Pacific)] serves as the GEF officer for his or her region.

UNEP's GEF niche

UNEP-GEF specializes in raising awareness of biodiversity and international waters issues, regional trans-boundary projects, targeted research, regional training programs, and capacity building related to environmental law and innovative technologies. UNEP facilitates regional

priority-setting and action-planning and provides links between GEF activities and existing global, regional and national environmental assessments. Its "Regional Seas" initiatives are examples of this.

Scientific Technical Advisory Panel (STAP)

Appointed by the executive director of UNEP, the STAP is a 12-member panel of eminent scientists that provides scientific and technical advice to GEF on the formulation of policies and programs. The panel maintains a roster of hundreds of scientists from all over the world who are called upon to advise the IAs on the scientific rigor and appropriateness of project proposals.

GEF Operational Focal Point

Each country participating in GEF has nominated a GEF Operational Focal Point. This government official usually resides in the Ministry of Foreign Affairs or Ministry of Environment (or related ministry). The GEF Focal Point is very important. This person's endorsement is required for every co-financing request that is submitted to GEF.

STEP 3

Researching the GEF: How Do I Find Out More About the GEF?

This guide is designed to help you navigate your way across the GEF landscape with efficiency and efficacy. Because of space limitations, it is not intended to serve as a replacement for existing information on GEF. There are many other reference documents, case studies, and so on published by the World Bank, GEF, and others of which you should at least read a few. Indeed there are some key documents that you must have in addition to this guide in order to facilitate your application process. These are listed in Box #1.

STEP 4

Eyes Wide Open: Some Caveats on the GEF Itself

Are you sure you want to pursue GEF Biodiversity project financing? Before you proceed any further, you should understand a few points.

GEF is in essence a co-funding program. Put aside your thoughts of GEF being like a big foundation or bilateral grant-making entity. IT IS NOT.

What does this mean for you? It means that GEF, in most cases, will not be the only financier of your project. It means that you must be concerned with and understand a fancy and unnecessarily intimidating term called "incremental cost." It means that you must take the incremental cost

approach to developing a "bundle" of activities to conserve a particular biodiversity resource because GEF will only pay for those incremental costs. What do we mean by a bundle? Any brief submitted to GEF should be considered a bundle because you will be asking GEF to fund only one-half of the pieces in that bundle. The other pieces would need to be funded by other sources (government, bilaterals, the agencies themselves). Note: this is a whole subject in itself and is discussed later in more detail.

GEF's Biodiversity Programme deserves its reputation for being inaccessible and difficult to understand.

Why is this so? Imagine if you were trying to come to agreement on any one point in an international, consensus-driven organization such as GEF. Specific priorities are exclusive, and nobody wants to be excluded. Therefore ambiguity and generalities carry the day. Imagine the guidance that would emerge from a large, international conference composed of different, innumerable interests and you have the GEF Operational Strategy.

GEF's Biodiversity Programme is built upon a conceptual framework that is vague and that eludes specific definition.

Terms such as "global benefit," "global significance" and "incremental cost" and "baseline" are absolutely central to GEF's programme. THEY CANNOT BE DEFINED IN AN ABSOLUTE SENSE. If you decide to proceed, you will need to accept this and get used to dealing with a fair amount of subjectivity, uncertainty and ambiguity. Even GEF's own people do not have an absolute benchmark to which they can reliably refer.

Although it is improving, the GEF project development and approval process can be onerous and slow.

GEF does not fund research for research's sake.

We all know that research into our world's environmental problems is sorely needed. But precisely because it is such a huge, worldwide need, GEF is careful about what type of research and how much of it is supported by GEF financing. They will not fund just any research project related to the environment. Research must be targeted on specific, applied issues related to GEF's own programmatic objectives.

Many NGOs have had a great deal of difficulty actually receiving GEF funds from the agencies or from government even once a project has been approved.

NGOs reading this guide should be aware that once a project that you help to develop is approved by GEF, you may still face additional obstacles (competitive bidding) with respect to actually getting one of the IAs to disburse

Box 1 **GEF Documentation: What Is Useful and How to Get It**

Hundreds of kilos of documentation are available on GEF free of charge. The following are some that you should think about obtaining if you are interested in pursuing GEF:

GEF Secretariat

- The GEF Operational Strategy, published February 1996.
- GEF Operational Programs (April 1997)
- An Introduction to Medium-sized Projects: An Information Packet and Application Materials
- Principles for GEF Financing of Targeted Research
- Annual Report for the Global Environment Facility 1995 and 1996
- Quarterly Operations Reports
- The GEF Project Cycle
- Public Involvement in GEF-Financed Projects
- The Global Environment Facility: A Self-Assessment
- Global Environment Facility: Information Booklet

These and a list of more than 50 other GEF publications can be obtained by contacting:

Raul Rodriguez

GEF, 1818 H Street, NW, Washington, D.C. 20455 USA

Tel: 202/473-8935, Fax: 202/522-3240, or

on the World Wide Web:

<http://www.worldbank.org/html/gef>

Other non-GEF documentation on GEF is available from various sources.

IUCN

- The Global Environment Facility from Rio to New Delhi: A Guide for NGOs
- To Nani G. Oruga—An NGO Guide to the Global Environment Facility

- Biodiversity in the Seas: Implementing the Convention on Biological Diversity in Marine/Coastal Habitats
- A Guide to the Convention on Biological Diversity
- Guide to the Convention on Biological Diversity
- Partners or Hired Hands: Procurement reform for effective collaboration between NGOs and multi-lateral institutions—the case of the GEF

These and many other useful IUCN publications can be found in the IUCN Publications Catalogue and can be obtained by contacting:

IUCN Publication Services Unit

219c Huntingdon Rd., Cambridge, CB3 0DL, UK

or on the World Wide Web at: <http://www.iucn.org>

WWF

- The Global Environment Facility: Sharing Responsibility for the Biosphere, by David Reed

UNDP/UNEP/World Bank

- Global Environment Facility: Independent Evaluation of the Pilot Phase
- Monitoring & Evaluation Guidelines for Biodiversity Conservation Projects
- Incorporating Social Assessment & Participation into Biodiversity Conservation Projects
- Issues & Options in the Design of GEF-Supported Trust Funds for Biodiversity Conservation (Paper #11)
- Financing Innovation and Instruments
- A Guide from UNDP to Medium-Size Projects
- A Guide from UNEP to Medium-Size Projects

Note: The World Bank has been a prolific sponsor of environmental studies and publications. Many of them are quite useful. You can buy these through the Publications Department: Fax: 202-477-6391, or on the World Wide Web at: <http://www.worldbank.org> or through E-mail: books@worldbank.org

the money to your organization. Make sure you discuss this with the IA as early on in the project development process as you can. Be aware that you may experience what it is like to help the IAs reform their contracting practices in order to encourage the development of partnerships between IAs and NGOs.

Some additional International Waters-Specific Caveats

Are you sure you want to pursue GEF International Waters project financing? Before you proceed any further, you should understand a few points right up front.

International Waters is a small part of GEF's overall program.

This means that there is a smaller pie to compete for under the IW Focal Area. The International Waters is limited to 15% of GEF's total portfolio value, (Biodiversity accounts for 40%). This means that far fewer IW projects are considered, much less approved, by GEF. In fact, rumor has it that with all of the existing IW projects under development, the IW "pipeline" may be full (i.e. they may not be able to consider new projects). Check with your IA and make sure that this is not a problem.

It can take one year (maybe two) for GEF funds to do something "on the ground" with International Waters.

Sometimes the complexity of an IW project can require a detailed planning process (Strategic Action Programme) to be conducted before any projects are implemented. This can take upwards of one year, meaning that it could take almost two years to actually see some action "on the ground."

A good deal of inter-country coordination is involved.

It does take a good deal of international/regional coordination work to get a GEF IW project moving forward. As a result, IW projects are usually developed with substantial direct involvement of one or more of the Implementing Agencies.

Yes, you will need to find some way of building co-funding into your IW project.

GEF is a co-funding program for global environment projects. It is required to leverage other sources of funding for and with every project if funds. What does this mean for you?

- It means that you will have to spend a significant amount of time securing co-funding for your proposal.
- It means that GEF, in most cases, will not fund the entire budget of a proposal.
- It means that you are required to put a "package" together as a proposal. A GEF proposal should be considered a package because you will need to bring other financial resources to bear on specific, project activities. A GEF proposal is required to include co-funding of specific activities (they vary by proposal), and yet the proposal must still be a lucid, integrated document. The IA you choose will help you do this, but you still must be able to find co-funding for at least 30% of a project proposal. Hopefully your eyes are wide open. If you are still interested then please read on.



STEP 5


Time to Decide—Does My Project Idea Fit Under the Biodiversity Focal Area or the International Waters Focal Area?

The remainder of this guide is separated into two sections—Biodiversity and International Waters. Before going any further, you need to decide whether you are pursuing funding under GEF's Biodiversity Focal Area or under the International Waters Focal Area. The criteria and operational emphases are different, so they are treated in separate sections. *Biodiversity comprises more than 40% of GEF's grant-making program, whereas International Waters comprises less than 15%.*

Either way, you should take a moment and look at the Biodiversity Operational Programs (in Section two) and International Waters Operational Programs (in Section Three) for a list of the type of activities that are supported by GEF under these two programs. If your project concept involves a transboundary coastal or marine area, a group of small island states, or a large river basin involving more than one country, then you should go to the International Waters section for a description of how to proceed with project development opportunities.

The approach of GEF's International Waters Focal Area (IW) is different from its Biodiversity counterpart. By definition, a project under IW must be transboundary, involving at least two countries and usually more. This immediately makes most projects under IW more complex because you must have the participation and endorsement of at least two countries that are eligible for GEF funding. In addition, trying to coordinate inter-country action is complicated and often requires a regional or international perspective by the project sponsor.

This means that in many cases (not always) a project sponsor is some sort of regional inter-governmental or international institution. A local NGO or even many international NGOs, unless their expertise was in the marine environment, would find this a difficult program under which to develop a project. This also tends to require that the Implementing Agencies (UNDP, World Bank and UNEP) play direct and active role in project development.

If International Waters idea can be justified under the Biodiversity Focal Area, you may want to submit it under Biodiversity. 



Section Two: *Biodiversity*



Section Two: Biodiversity

Developing Your Project Idea Further: How to Make it Happen

This section describes the key preparatory steps you must take in order to develop a successful GEF biodiversity project brief. It will provide you with as clear and concise of a perspective on the GEF programmatic landscape as possible. This section will highlight potential obstacles so you can be prepared to overcome or avoid them and move smoothly through the project brief development process.

The steps described in this section are intended to be cumulative, and if followed, will take you from project concept to the initial stages of writing your GEF project brief. Following these steps will improve the chances of your project brief being developed without any fatal accidents or frustrating delays.

STEP 6

"Coarse Filter" Criteria for GEF's Biodiversity Funding: How Do I Tell Whether My Project Concept Meets Basic GEF Criteria? (Box #2)

An important question to ask yourself before proceeding further is, "What do the GEF people look for when they conduct a 'coarse filter' review of a Biodiversity project concept?" Many project concepts are either rejected outright by GEF, or worse yet, are stuck somewhere in the system because the project concept developers did not ask this question. You should know the general criteria GEF applies to determine eligibility.

The Eligibility Test: Is Your Idea Eligible for GEF Support?

In order for a country to be eligible for GEF Biodiversity financing, the country must:

- have ratified the Convention on Biological Diversity (CBD); and
- qualify as a developing country under the CBD or be eligible for assistance from the UN system or the World Bank.

The Global Significance Test: "Does the Project Concept Deal With a Significant Biodiversity Resource?"

The proposed intervention must be concerned with biodiversity that is of global significance. Determining what is of global significance is an inexact exercise. Though certain countries are known to be extremely biodiversity-rich (Brazil, China), every country in the

world possesses some type of globally significant biodiversity. A globally significant biodiversity resource must be unusually rich or unique in its composition or in its rarity at a species, site, or ecosystem level. Rarely does GEF agree to focus on just one species. International studies and assessments that attest to the significance of your biodiversity resource are extremely helpful in proving global significance. There is a whole body of work available to assist in this task (see Box #3).

The "Strategic" Approach Test: Is Your Project Concept Strategic in Its Approach?

The proposed project should be strategic, not a gap-filling measure such as a request for providing operating funds for a program or salary money. In general, GEF considers a project concept to be "strategic" if:

- The concept fits into an overall framework of proposed needed action. For example, say there exists a regional strategy agreed to by several countries for the conservation of migratory birds. A "strategic" project would be developed based upon this regional strategy.
- The concept clearly identifies the biodiversity resource, estimated threats to the resource and how the threats will be removed. In other words, the concept should provide some hint that a thoughtful analysis of the situation has been undertaken, rather than proposing a preconceived solution to a preconceived problem.

The National Priority Test:

One of GEF's primary rules is that all projects must be country-driven and consistent with national priorities. You will have to prove that there is a demonstrated national commitment to the project concept. You need to do this in two ways:

- ① You will need to get your national GEF Focal Point to provide a written endorsement of your concept before the IA can formally submit it to GEF.
- ② It helps to show that your concept addresses priorities defined in national policies, strategies or action plans of various sorts. Examples of these are: National Biodiversity Conservation Strategy and Action Plan, Capacity 21 Strategy, Country Study on Biodiversity, or other official policies, laws or program strategies.

Co-funding Test: Does Your Project Concept Have Co-Funding From Other Sources? If Not, Is There a Good Potential for Co-Funding?

Remember that GEF financing is co-financing. GEF is required to leverage other sources of money to assist in the global conservation of biodiversity. This is why the majority of project briefs submitted to and approved by GEF have co-funding built into them. The proposed project must be able to support a "bundle" of activities to address the problem.

The Complementary Test: Is Your Project Concept Complementary to One of the Implementing Agency's Regular Programs?

Does the project concept offer some chance for UNDP, WB or UNEP to complement/co-fund some of the proposed activities? If your project concept is developed into a project brief, it will need to have a human development aspect to it. For example, if a concept is being developed in Kazakhstan, an element of the project would ideally help to shape and be consistent with UNDP-Kazakhstan's overall programmatic approach.

This is important because:

GEF likes to see the Implementing Agencies co-fund GEF projects with their own regular program resources. For example, if the World Bank presents a project brief to GEF for Mexico, GEF looks favorably on the World Bank's Mexico lending program providing some co-funding to the GEF project. Why does GEF like to see this? Because if an IA co-funds a project with some of its own funds, it is an indicator of commitment. Plus, GEF likes to see as much funding as possible go to the cause of biodiversity conservation.

STEP 7

The Operational Program Test: Does Your Idea Fit within one of GEF's four biodiversity Operational Programs?

Once you've considered the coarse filter criteria, and decided that your concept indeed does meet them, then you need to consider your concept in light of one or more of the four Biodiversity Operational Programs (normally known as grant-making categories). The Operational Programs (OP) define what kind of project and what kind of activities will be considered for funding under each. It is crucial that you get copies of the OPs in order to ensure that your concept is consistent with one of them. For now, they are summarized in Annex #1.

Box 2 The "Coarse Filter" Test

YES NO

The Eligibility Test

Is your idea eligible for GEF support?

YES NO

The Global Significance Test

Does your idea involve globally significant biodiversity?

YES NO

The "Strategic" Approach Test

Is your project concept strategic in its approach?

YES NO

The National Priority Test

Your idea must be "country driven."

YES NO

Co-Funding Requirement

Your idea must accommodate other funders.

YES NO

The Complementary Test

Does your idea complement one of the IA's programs?

YES NO

Operational Program Test

Does your idea fit within one of GEF's four biodiversity operational programs?

The four Biodiversity Operational Programs are:

- ① Arid and Semi-arid Ecosystems;
- ② Coastal, Marine and Freshwater Ecosystems;
- ③ Forest Ecosystems; and
- ④ Mountain Ecosystems.

As you can see, the OPs are defined on the basis of ecosystem type. Each OP provides a detailed, six to ten page description of what type of projects GEF wants to support under each of the four categories, of what kind of activities GEF will pay for and priority approaches to be used. It is crucial for you to get a copy of these OPs as you develop your project concept further. You can get a copy of them on the Internet:

<http://www.worldbank.org/html/gef> or directly from the GEF Secretariat or one of the Implementing Agencies (see Box #1). Bullet point summaries of each Operational Program are included in Annex #1 for you to consider as you develop your project concept.

Remember, your concept must be consistent with the specific guidance given by one of the four Biodiversity programs in a country that is eligible for GEF support. Realistically, these four OPs, as they are defined, include almost the entire surface of the earth (except for the polar regions). In this regard, they do not

Box 3 Reference Documents

Nearly every country in the world contains globally significant biodiversity. GEF people rely upon recognized reference materials to help them determine whether a biodiversity resource is indeed globally significant. The following is a list of the primary resources that are used. Of course, there are others and the list is changing all the time. You should also note

that these reference materials are not the last word on significance or level of priority. These references provide the possibility for you to link your species or site of concern to internationally recognized priorities for biodiversity conservation.

Global

- IUCN. 1996. **The 1996 IUCN Red List of Threatened Animals**. Compiled by the IUCN Species Survival Commission in association with the World Conservation Monitoring Centre (WCMC) and BirdLife International. IUCN, Gland and Cambridge.
- IUCN. 1994. **IUCN Red List Categories**. IUCN, Gland, Switzerland.
- IUCN and WWF. 1988. **Centres of Plant Diversity: A Guide and Strategy for their Conservation**. IUCN, Gland.
- Johnson, N. 1995. **Biodiversity in the Balance: Approaches to Setting Geographic Conservation Priorities**. Biodiversity Support Programme, Washington, D.C.
- Myers, N. 1988. Threatened biotas: "Hotspots" in tropical forests. *Environmentalist* 10 (4): 243-256.
- WWF and IUCN. 1994. **Centres of Plant Diversity: A Guide and Strategy for their Conservation: Volumes 1-3** World Wildlife Fund/UK, Godalming, and IUCN, Gland, Switzerland.
- Bibby, C., M. Crosby, M. Heath, T. Johnson, T. Long, A. Sattersfield, and S. Thirgood. 1992. **Putting Biodiversity on the Map: Global Priorities for Conservation**. International Council for Bird Preservation, Cambridge, U.K.
- Heywood, V.H. and R.T. Watson. 1995. **Global Biodiversity Assessment**. Cambridge University Press, Cambridge, England, UK.
- Johnson, N. 1995. **Biodiversity in the Balance: Approaches to Setting Geographic Conservation Priorities**. Biodiversity Support Programme, Washington, D.C.
- Kelleher, G., C. Bleakley, and S. Wells. 1995. **A Global Representative System of Marine Protected Areas, Vol. I-IV** Great Barrier Reef Marine Park Authority, IUCN, and the World Bank, Washington, D.C. USA.
- McNeely, J.A., J. Harrison, and P. Dingwall (eds) 1994. **Protecting Nature: Regional Reviews of Protected Areas**. IUCN, Gland, Switzerland.
- McNeely, J.A., K.R. Miller, W.V. Reid, R.A. Mittermeier, and T.B. Warner. 1991. **Conserving the World's Biological Diversity**. IUCN, Gland, Switzerland.
- WCMC (World Conservation Monitoring Centre). 1992. **Global Biodiversity: Status of the Earth's Living Resources**. Chapman and Hall, London.

Africa

- Collar, N.J. and S.N. Stuart. 1985. **Threatened Birds of Africa and Related Islands**. 3rd edn. ICBP/IUCN, Cambridge. 761 pp.
- MacKinnon, John and Kathy MacKinnon. 1986a. **Review of the Protected Areas System in the Afrotropical Realm**. IUCN, Gland and UNEP, Nairobi.

- WWF and IUCN. 1994. **Centres of Plant Diversity: A Guide and Strategy for their Conservation: Volume 1** (Europe, Africa, The Middle East and Southwest Asia) World Wildlife Fund/UK, Godalming, and IUCN, Gland, Switzerland.
- Pomeroy, D. 1993. Centres of High Biodiversity in Africa. *Conservation Biology* 7(4): 901-907.

Asia-Oceania

- Braatz, S., G. Davis, S. Shen, and C. Rees. 1992. **Conserving Biological Diversity: a Strategy for Protected Areas in the Asia-Pacific Region**. World Bank Technical Paper No. 193. The World Bank, Washington, D.C.
- Dinerstein, E. and E.D. Wikramanayake. 1993. Beyond Hotspots: How to prioritize investments in biodiversity in the Indo-Pacific Region. *Conservation Biology* 7:55-65.
- Dahl, A.L. 1986. **Review of the Protected Areas System in Oceania**. IUCN/UNEP, Gland, Switzerland.
- MacKinnon, John and Kathy MacKinnon. 1986b. **Review of the Protected Areas System in the Indo-Malayan Realm**. IUCN, Gland and UNEP, Nairobi.
- WWF and IUCN. 1994. **Centres of Plant Diversity: A Guide and Strategy for their Conservation: Volume 1** (Europe, Africa, The Middle East and Southwest Asia). **Volume 2**, (Asia and the Pacific) World Wildlife Fund/UK, Godalming, and IUCN, Gland, Switzerland.

Europe/Central Asia

- Krever, V., E. Dinerstein, D. Olson, and L. Williams. 1994. **Conserving Russia's Biodiversity: An Analytical Framework and Initial Investment Portfolio**. World Wildlife Fund/US., Washington, D.C. USA.
- WWF and IUCN. 1994. **Centres of Plant Diversity: A Guide and Strategy for their Conservation: Volume 1** (Europe, Africa, The Middle East and Southwest Asia). **Volume 2**, (Asia and the Pacific) World Wildlife Fund/UK, Godalming, and IUCN, Gland, Switzerland.

Latin America and the Caribbean:

- Dinerstein, E. et al., 1995. **A Conservation Assessment of the Terrestrial Ecoregions of Latin America and the Caribbean**. The World Bank (in association with World Wildlife Fund), Washington, D.C.
- Biodiversity Support Programme/Conservation International/The Nature Conservancy/Wildlife Conservation Society/World Resources Institute/World Wildlife Fund. 1995. **A Regional Analysis of Geographic Priorities for Biodiversity Conservation in Latin America and the Caribbean**. Biodiversity Support Program, Washington, D.C.
- WWF and IUCN. 1994. **Centres of Plant Diversity: A Guide and Strategy for their Conservation: Volume 3**, (The Americas), World Wildlife Fund/UK, Godalming, and IUCN, Gland, Switzerland.

Please note that this list expands with the publication of every new journal and study. It is important to keep up on this literature or consult someone who does.

provide any specific guidance. In fact, because they are so broad, these OPs do little in the way of culling project concepts by ecosystem type. The key point is that they describe the type of project activities and approaches GEF will finance.

Deciding which Operational Program to use in developing your idea further:

Obviously, if your idea is for a project in rain forest in the middle of the Amazon, then it fits under the Forests Ecosystem OP. But if your idea is for a project in an area with some drylands, some forests, and some mountains, then you need to use your best judgement regarding which ecosystem type is the most predominant and choose the corresponding OP.

You are about to begin investing some real time and effort in the task of getting co-funding from GEF. But first, you need to look ahead at GEF's Biodiversity funding options. You need to survey the GEF funding landscape; familiarize yourself with the four different funding "pathways" under the Biodiversity Focal Area (Table #1). This will give you an idea of the different "route" options available for you and their corresponding requirements and benefits.



STEP 8

Choosing a Funding Pathway—Different Options for Pursuing Funding Under GEF. Take a Few Minutes to Familiarize Yourself With the Different Funding Pathways.

This is the first point where you should be able to see around the bend to what the rest of the project development process entails. Remember—your goal is to get a co-funded project brief approved by GEF. In order to make this happen, you'll have to choose what kind of project brief you will produce and how you will go about preparing it. In other words, you need to choose a pathway and a route along that pathway.

GEF Funding Pathways and Routes

Did you know that GEF has four different pathways by which you can access GEF funds? Before you go another step, you should read this explanation very carefully. This will help you decide just which pathway and which route along that pathway to take in your pursuit of GEF

financing. These different pathways have different minimum and maximum funding levels and correspondingly different requirements. Each pathway has different preparatory routes you can follow. These routes differ according to the amount of preparatory funding and time you need to complete a project brief.

GEF has established four funding pathways to serve its biodiversity portfolio. The four funding pathways are:

- ① Full Projects,
- ② Medium-Size Projects,
- ③ Short-Term Interventions, and
- ④ the Small Grants Program.

Table #1 provides a straightforward, comparable summary of these four different funding pathways. Each column in the table covers one of the four pathways, summarizing the procedural and major content requirements for each pathway, the various preparatory routes along each pathway, and the funding available along these preparatory routes through different combinations of what are called in GEF language "Block A's" and "Block B's."

Choosing the Right Funding Pathway

The easiest criterion you can use to help you focus on one pathway is how much money you think your project will require once it is fully developed.

Full Project Pathway

If you think that the project will be fairly large and will require more than US\$1 million, then you are definitely thinking about the full project pathway.

Medium-Size Project Pathway

If the project will require less than US \$1 million then the medium-size project pathway is your pathway. It is designed to have few requirements and to be completed more quickly than the full project pathway.

Small Grants Program Pathway

If you are a local NGO or community organization and you are looking for support for a community-oriented biodiversity project less than US\$50,000 please proceed directly to the more detailed description of the SGP in Box #4.

Short-Term Intervention Pathway

If your concept is in need of implementation urgently (to save a species or sub-population from extinction), then you should look at the short-term interventions pathway.

Box 4 UNDP-GEF Small Grants Program (SGP)

The Small Grants Program was created by GEF to support local, community-level and community-inspired action to conserving biodiversity and international waters (as well as fighting climate change).

Note: You must be an NGO or community group located in one of the 40 countries listed below where an SGP is operational in order to apply to the SGP. If you are not in one of those countries, STOP RIGHT HERE. YOU ARE NOT ELIGIBLE for SGP FUNDING.

If you are in one of those countries and you are a local NGO or community group, then you need to contact the UNDP office in your country, or the office in New York listed below for more information. Each country program has different criteria that we do not have space to tell you about here.

The following are some guidelines that all Small Grant Programs follow:

- To be eligible for SGP support, your project concept must fit the GEF/SGP country program strategy and country-specific criteria (as determined by each national steering committee).

- In addition, project proposals must meet GEF's overall eligibility as well the Operational Program-specific criteria for Biodiversity or International Waters criteria (see main text of this guide).

Several different kinds of activities are eligible for funding under the GEF/SGP:

- Community-based assessment and planning (only for very promising activities);
- Pilot demonstration activities (these kinds of activities are the bulk of what SGP funds); project would test or demonstrate innovative, community-level approaches to conserving the global environment.
- Capacity development: project would provide technical assistance and training activities to community-based organizations and/or NGO capacity.
- Monitoring and analysis: support for NGOs or Universities to analyze SGP activities and identify successful or unsuccessful activities and draw lessons from these activities.
- Dissemination, networking and policy dialogue: project would be designed to promote a supportive policy environment for community-level action in GEF program areas.

For more information on SGP write:

UNDP-GEF
Small Grants Program Coordinator
UNDP-GEF
304 E. 45th Street
10th floor
New York, New York 10017
Fax: 212-906-6690
E-mail: peter.hazelwood@undp.org

For specific information on your country's SGP, contact UNDP office and ask for the SGP contact information.

Countries with GEF Small Grants Programmes

Africa

Botswana, Burkina Faso, Cameroon, Cote d'Ivoire, Ghana, Kenya, Mali, Mauritius, Senegal, and Zimbabwe, (in 1997-98: Tanzania, Uganda)

Asia and Pacific

India, Indonesia, Nepal, Pakistan, Papua New Guinea, Philippines, Sri Lanka, and Thailand.
(in 1997-98: Indochina - Cambodia, Laos, Vietnam, Bhutan Kazakhstan, Malaysia)

Europe

Poland, Turkey, (in 1997-98: Albania, Morocco)

Latin America and Caribbean

Barbados (incl. Anguilla, Antigua, British Virgin Islands, Dominica, Grenada, Montserrat, St. Christopher and Nevis, St. Vincent, St. Lucia), Belize, Bolivia, Brazil, Chile, Costa Rica, Dominican Republic, Ecuador, Mexico, and Trinidad and Tobago, (in 1997-98: Guatemala, Peru)

Northern Africa and Middle East

Egypt, Jordan, Tunisia,
(in 1997-98: the Palestinian Authority)



Enabling Activity Note:

You may have heard about "Enabling Activity" (EA) projects being funded by GEF all over the world. Enabling Activities are one-time opportunities. If you are a government official, your government is eligible for only one Biodiversity EA project. The Enabling Activity pathway is limited to one project for each country, and funding is limited to US\$ 350,000 or less. If you are an NGO, you are not eligible to apply for an EA project. It is intended to assist the eligible national governments with the preparation of a national biodiversity strategy and action plan. It will also help to prepare the country's first report to the Convention on Biological Diversity Conference of Parties.



STEP 9

Write a Concept Paper: the 1st Document You Need to Write for GEF

Now that you have an idea of the different pathways available under GEF's funding program, the next step is to write a concept paper. You should be doing this with an operational program and a pathway in mind. This will help you anticipate what additional requirements will be needed in the future as you develop your concept paper into a project brief.

As the first step along each one of GEF's four biodiversity funding pathways, the concept paper is extremely important. Make sure you take enough time to do a good, thorough job. The concept paper format and a model concept paper are included in Annex #2. Refer to that sample as you write your concept paper. Keep the length to two pages. Use this process of developing your concept paper as an opportunity to summarize for yourself the most important elements of your project idea. IF YOU CANNOT STATE BRIEFLY AND CLEARLY WHAT IT IS YOUR PROJECT IDEA PROPOSES TO DO, THEN CHANCES ARE YOU NEED TO DO SOME MORE THINKING ABOUT IT.

Checklist



Development of a Good Concept Paper: A Checklist

- Review the coarse filter criteria and the Operational Program details to decide how eligible your project idea is for GEF.
 - Consult with people concerned (stakeholders) with your project idea. Develop support and participation.
 - Write the concept paper. As you look at the format of the sample concept paper you will see points familiar to you from your earlier discussion of coarse filter criteria and Operational Programs. There are 15 sections in the concept paper format. Seven of these are self-explanatory. The remaining eight are highlighted in the following checklist of key points. Your concept paper should do a good job of addressing these points in a clear, brief manner.
- Content of concept paper:
- **Eligibility** Make sure that your country has ratified the Convention on Biological Diversity and receives assistance from the World Bank or the United Nations.
 - **Operational Program** Choose the Operational Program most pertinent to your idea (Annex #1).
 - **Linkage to national priorities** Make sure your project idea (or concept) is linked to a national priority, action plan or program.
 - **Project rationale and objectives** What priority biodiversity resource will be conserved? What problem related to this resource does the concept intend to solve? In addition, be sure to provide proof of the global significance of the biodiversity resource.
 - **Expected outcomes** Briefly and clearly describe the expected outcomes of your project concept. Remember that GEF wants to see measurable results, not just a gap-filling exercise.
 - **Planned activities** Briefly and clearly describe what basic measures will be taken to remove the threats which cause the problem.
 - **Stakeholders** Briefly and clearly describe who the stakeholders are and how they already have been involved in developing this concept and in implementing the project.
 - **Estimated budget of project to be developed** Provide an estimate as best you can on the size of the resulting project. Include an estimate of co-financing.

Table 1

	Pathway 1 Full Projects	Pathway 2 Medium-Size Projects	Pathway 3 Short-Term Response Measures	Pathway 4 Small Grants Programme(SGP)
Pathway Description	The "classic" GEF funding path Time Needed: Min: 6 months; Max: 16 months	The "new" GEF funding path designed to appeal particularly to NGOs; Time needed: Min: 4 months, Max: 9 months	Little-used "emergency" intervention window	The local community and NGO- oriented GEF funding path
Concept Paper	No preparatory funding available from GEF	No preparatory funding available from GEF	No preparatory funding available from GEF	No preparatory funding available from GEF
PDF Block A	Up to US\$25,000 to prepare Block B or Full Project	Up to US\$25,000 for development of concept paper into a Medium-Size Project proposal	This window may require a small amount of preparatory funding	No PDF Block A, instead Community-Based Assessment & Planning Grants On rare occasions, up to US\$2,000 is available to assist with preparing proposal
PDF Block B	Up to US\$350,000 to prepare Full Project	No PDF B available	No PDF B available	No PDF B available
Project Brief	GEF funding usually from US\$1 million and higher Full project format	GEF funding from US\$50,000-\$1 million Different format from the Full Project Brief	No minimum or maximum Full project format	GEF funding from US\$1- \$50,000
Overall Requirements	<ul style="list-style-type: none"> National GEF Focal Point endorsement Co-funding/incremental cost approach Approval of GEF Council required Scientific Technical Advisory Panel review More detail in project development Eligible organizations for funding: government, NGOs, community groups More time – min. 6 months, max. 16 months Globally significant biodiversity Adherence to 1 or more of GEF's 4 Biodiversity OPs 	<ul style="list-style-type: none"> National GEF Focal Point endorsement Co-funding/incremental cost approach GEF Council approval <u>not required</u> unless the request exceeds US\$750,000 Less detail in project development Eligible organizations for funding: government, NGOs, community groups Less time – minimum of 4 months, maximum of 9 months Globally significant biodiversity Adherence to 1 or more of GEF's 4 Biodiversity OPs 	<ul style="list-style-type: none"> Nat'l GEF Focal Point endorsement Co-funding/incremental cost approach GEF Council approval Eligible Organizations: Government, NGOs, Community Groups Demonstrated urgency and timeliness of proposed project (Why now?) Globally significant biodiversity Adherence to 1 or more of GEF's 4 Biodiversity OPs 	<p>This funding path is <u>only</u> available to community-based organizations (CBOs) and local NGOs in one of the 40 countries with SGPs.</p> <ul style="list-style-type: none"> Globally significant biodiversity Adherence to 1 or more of GEF's 4 Biodiversity Operational Program Co-funding (can be in-kind) Check with national SGP Coordinator in your country for other requirements
Project Brief Content and Design Criteria	<p>See detailed Operational Program descriptions available from GEF for list of fundable activities and preferred approaches</p> <ul style="list-style-type: none"> Incremental cost approach Integrated, innovative approaches to conservation and development Must be designed to ensure sustainability 	<p>See detailed Operational Program descriptions available from GEF for list of fundable activities and preferred approaches</p> <ul style="list-style-type: none"> Incremental cost approach to developing proposed project intervention Integrated, innovative approaches to conservation and development Must be designed to ensure sustainability 	<ul style="list-style-type: none"> Must achieve measurable impact in short period of time High degree of threat, vulnerability, urgency Demonstrated timeliness Innovative approaches Long-term sustainability of short-term intervention 	<p>See SGP description for details on types of projects funded</p> <ul style="list-style-type: none"> Must fit globally and nationally specific criteria Must facilitate community participation in all aspects Improve local employment opportunities and access to technical assistance
Preparation Routes	Concept Paper→Block A→Block B→Final Project Brief (See Box #6 for details) Note: There are 4 different possible routes along this pathway (See Box 6)	Concept Paper→Block A→Med.-Size Project (See Box #6 for details) Note: There are 2 different routes along this pathway (See Box 6)	Block A→Full Project	Concept Paper→Project Proposal

- Secure a written endorsement of your project concept from your country's GEF Focal Point.
- Submit the Concept Paper to one of the Implementing Agencies (including the written endorsement from the GEF Focal Point).

Note: If you have a number of project concepts on your table, then go through them using the criteria given to you in the first stage. Think strategically. Prioritize. Innovate. Be realistic. Don't propose a project to save a wetland at the mouth of the Ganges River when the primary threat to the wetland is upstream pollution. What can GEF realistically hope to accomplish there? The threats (pollution from India) are too great to be removed by one GEF project.

STEP 10

Submit the Concept Paper to One of GEF's Implementing Agencies

Based upon the information given earlier about the Implementing Agencies, decide which one you think your idea would best complement and send them the concept paper. If you're wondering how to physically submit your concept paper to one of the IAs, look at Annex #3 for an illustration of the different entry points. The illustration also gives you a general idea who is involved in each IA and how proposals tend to move through the departments.

After you've submitted the concept paper, and it has reached the Headquarters offices of one of the IAs, you should expect to hear back from them within three to four weeks. Remember that the IA will be reviewing your concept paper based on the coarse filter criteria described earlier. The inside back cover of this book provides the information you need in order to contact one of the GEF Implementing Agencies or the GEF Secretariat.

What to Do, What to Expect, and How Much Time Should It Take. Be Prepared for the Following Scenarios:

No response

If you don't hear back within one month, send an e-mail message, a fax or telephone the Agency and ask them what's going on with your concept paper. If you still get no response, then e-mail, fax or telephone the public affairs person at the GEF Secretariat and ask them to follow up for you.

Negative response

If you do hear back from the Implementing Agency and the response is negative, you have two choices. If you

feel that the rationale given by the agency for rejecting your concept paper is weak, or if no reason is given at all and you still think you have a winner of a concept, send it to the GEF Secretariat directly; tell them what happened and ask them to give you a second opinion. Remember, when dealing with large international agencies such as the UN and the World Bank, a broad base of support always helps. Develop as much support within your country as you can for your project concept. This is a reality that you should not overlook.

Positive response

See next step.

STEP 11

Your Concept Paper Is Approved. What now? Choose Your Preparatory Route

Now that your concept paper has been approved for consideration, the real work begins. You overcome your first major obstacle on the path to project brief development. Remember, the approval of your concept paper does not guarantee funding from GEF. You still have a lot of work to do. To help you do this work, GEF has created two different sizes of project development grants. The "Block A" grant provides up to US\$25,000 in funding and the "Block B" provides up to US\$350,000 in funding. Both are available (if you can provide convincing justification) to help you pay for the activities needed in order to develop the project brief.

Block A

Block A is short for Project Development Facility "A" Grant. This is a grant of up to \$25,000 that is made available by the IAs to assist project proponents in doing preliminary preparatory work on the development of a project proposal. In most cases a Block A is used at the early stages of project proposal development; the major issues need to be clarified in order to determine whether to proceed with additional project development activities. In most cases, a Block A produces a Block B proposal for additional, more detailed project proposal development work. However, sometimes, if the Block A can gather enough information, it is possible to develop the project brief directly.

Block B

Block B is short for Project Development Facility "B" Grant. This is a grant of up to \$350,000 that is made available by GEF to assist project proponents in doing advanced, detailed preparatory work on the development of a project proposal. If you are applying for a Block B then you already know many of the details related to what your project proposal will do. In fact, usually, a Block B produces a Full Project brief.



Before we go any further, let's back up a few steps. Remember, in Step #3, you were introduced to the four pathways available under GEF as described in Table #1. You were also told that each pathway has different routes to the summit—the project brief. Now is the time to choose one of those routes along one of those pathways.

The Short-term response measure pathway will not be discussed here because it is so rarely used and really requires you to work closely with the IA of your choice to push all the proper buttons (see Box #5). If you find it to be the one you want to pursue, simply submit your concept paper directly to one of the agencies and begin detailed discussions as early as possible.

Now is the time to apply the information on funding pathways because your next step now will depend upon which pathway you have chosen. If you have decided to go for a Full Project (the Full Project pathway) then, as you see in Box #6 you have four different possible preparation routes. If you have decided to go for the Medium-Size Project, then you have two possible routes (much simpler).

So, once again, which funding pathway are you going to take?

- ① Full Project; or
- ② Medium-Size Project

As you will see in Box #6, there are six possible routes. You will also see that each route shares the same beginning and ending; the concept paper is the beginning and the project brief is the ending.

The steps along the pathway in between the beginning and the ending are what you need to consider now, based primarily on how much assistance you need in

Box 5 Short-Term Response Measures Pathway

GEF defines short-term response measures as: "Proposed activities that enable the GEF to respond to an urgent need, or seize a promising country-driven opportunity in a timely manner."

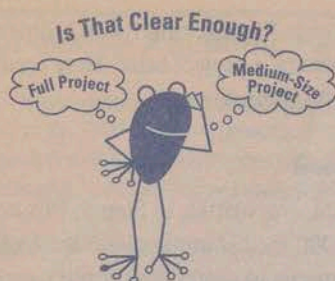
This pathway is rarely used for perhaps two reasons: 1) It is a little-known pathway; and 2) GEF has been very picky about just what qualifies for this pathway. They have been strict about wanting only those situations that are truly urgent, timely, and can benefit from a targeted, short-term project that "saves" the situation and yet yields long-term sustainable benefits.

The following operational criteria will be used to guide consideration of proposed activities:

- **Likelihood of success:** Projects should demonstrate that they are well-designed and feasible. Supporting assessments of technical quality and conducive country policy and program framework
- **Cost effectiveness:** Information provided to assess the nature and significance of the costs related to biodiversity benefits
- **Degree of threat, vulnerability or urgency:** Are there known imminent threats to a species or ecosystem? What is the degree of vulnerability?
- **Opportunism:** Is there a fortunate combination of factors such as the emergence of a conducive national policy environment?
- **Demonstration value:** Does the proposed project involve innovative approaches to implementing biodiversity activities to be tested?

order to provide GEF with a project brief that is sufficiently detailed. Some routes have more steps than others because some project concepts need more assistance to be developed into project briefs than others. In other words, each route is simply a different combination of the Block A and the Block B grants. Some routes use both in order to develop a project brief. Other routes use only one. It all depends upon how much assistance your situation requires in order to provide GEF with the necessary detail.

Hint: If you can avoid using one of the Blocks, then by all means do so. GEF requires you to write a proposal in order to secure the Block A and/or the Block B funding. Proposals take time and effort to write. Proposals also take time for GEF to review them.



The agencies will also help you decide just which route to take, but the more informed you are, the better decision you can make. Besides, you should be involved because the route you choose will determine how long it takes to complete your project brief and the amount of GEF co-financing that brief can actually request!

The particular route that you choose (choices illustrated in Box #6) depends upon 1) how much funding (if any) you may already have, and 2) how much work will be required. More specifically, your route choice depends upon:

- whether you have any other financing available to fund the development of your project document;
- how complex the situation is where you want to implement the project (i.e. is it in a remote wilderness area with few complicating factors, or is it on the coastline of India with many complicating factors?);
- how much preparatory work has already been done (i.e., is there already a strategic plan for the area in question that was developed in consultation with local communities and/or relevant stakeholders?);
- how much other information you have gathered already that is related to the biodiversity (species lists) of the area, related institutions (public and private), laws, and policies; and
- whether specific possible sites have been identified where the project would be implemented.

Routes Down the Full Project Pathway

As you can see in Box #6, you have four possible routes along the Full Project pathway. Each will take you to the ultimate goal of getting the Full Project written, submitted and approved. Read Box #6 carefully.

- If you don't have any additional information, be prepared for the IA to suggest that you prepare a Block A proposal for preparatory funding. This proposal will provide you with up to US\$25,000 to further develop your brief. If the issues around your project concept are complex, you may need to take the long haul route #1. If the issues are not so complex, then you may be able to take a faster, shorter route #2.

- If you do have additional information on this project concept, then the agency will want to know whether you have a good idea of all of those coarse filter criteria we mentioned earlier to you. If so then, chances are that you can go directly to the development of a Block B proposal, as illustrated in Step #3 of Box #6. The Block B will provide you with up to US\$350,000 to develop your final full project brief.

Routes Down the Medium-Size Project Pathway

As you can see in Box #6, you have two possible routes along the Medium-Size Project pathway. But unless you have other preparatory funding to produce the project brief itself, then your next step after the concept paper has been approved is to produce a Block A proposal. This proposal will provide up to US\$25,000 to pay for any additional meetings, field work and expert input needed to finalize a Medium-Size Project brief.

STEP 12

Congratulations, You Are on the Way. Now, Keep Your Eyes on the Prize!

Now that your concept paper has been approved, you are moving. You are moving up the preparatory pathway along a specific route. As you work forward, you need to keep your eye on the prize, so to speak. What is the prize? The prize is the transformation of your concept paper into a good, strong project brief for submission and approval by GEF.

Checklist



Status Check: What Should I Have Done so Far?

Before we begin talking about developing good projects, let us take a moment to review the key points to know and the steps you should have taken up to this point.

- ☐ You must be a representative of a governmental or nongovernmental organization in a country that is eligible for GEF assistance.
- ☐ You have a project idea
- ☐ You have been introduced to what GEF is and who GEF is.
- ☐ You have been given information on how to get more detailed information about GEF's programs.
- ☐ You have been given the chance to look into funding under GEF's International Waters Focal Area.
- ☐ You have been given several reasons as to why you may not want to pursue GEF funding.

- You have weighed your project idea against the coarse filter criteria provided to you as a way to determine whether your idea is, on its face, eligible for GEF assistance.
- You have been introduced in Table #1 to the four possible funding pathways available to you under the Biodiversity Focal Area: 1) the Full Project Brief Pathway, 2) the Medium-Size Project Brief Pathway, 3) the Short-term Intervention Project Brief Pathway, and 4) the Small Grants Program Pathway.
- You have written a concept paper based on the format developed by GEF and provided in this guide.
- You have obtained a written endorsement of the concept paper from your country's GEF Focal Point.
- You wrote the concept paper (your first document for GEF) and submitted it to an Implementing Agency (UNEP, UNDP, or World Bank).
- Your concept paper has either been approved by the IA, or, if not, then you are either strengthening your concept paper for resubmission, or asking the GEF Secretariat or another IA for a second opinion.
- If your concept paper was approved, then you have looked over Box #6, and, based on the specifics of your situation, you have consulted with your IA and decided upon which route to take down your funding pathway.
- Having decided upon your specific route, you are now beginning to write your second document—a preparatory Block A or a Block B proposal (unless you have other preparatory funding to help you begin developing a project brief).
- This leads us to where most of you will be now—at the stage of writing a Block A or a Block B proposal.

STEP 13

Writing a Block A or Block B Proposal

You are now starting to develop a Full Project brief, or a Medium-Size Project brief, or perhaps a short-term intervention brief. Whichever type of brief it is, your next step will most likely be to develop a Block A proposal or a Block B proposal. You have made it to the point on the pathway where one of the IAs will be providing you with detailed, case-by-case help (consultants) developing your project brief. The guidance provided to you by this guide so far should also help you produce the Block A and B and project brief.

Remember: These Block A and Block B grants can only be used to prepare a project brief. They cannot be used as projects unto themselves.

Block A Proposal

To repeat what was written in Step 6, this is a grant of up to US\$25,000 that is made available by GEF to assist project proponents in doing preliminary preparatory work on the development of a project proposal.

Once you have done a Concept Paper, you have essentially completed all the work necessary to then complete a Block A proposal. The Implementing Agency can work with you on filling in any gaps that remain once you transfer your concept paper information over to the Block A form. Remember that the Block A is usually meant to help project developers in the early stages of development. Basic questions such as "What would the policy and institutional framework be for this project?" or "What kind of threats would the biodiversity resource face? What would the resulting project need to overcome in order to bring about the desired outcome?" For your reference we have included a model Block A in Annex #4.

Block B

This is a grant of up to US\$350,000 that GEF makes available to assist project proponents in doing advanced, detailed preparatory work on the development of a project brief.

If you have enough information, and a lot of consultations and background work has been undertaken already, then you may be moving right from the concept paper to the Block B. If this is the case, then in order to write the proposal requesting Block B funds, you will need more detailed information regarding:

- project description;
- objectives and justification of the project in view of the GEF Operational Strategy;
- a summary of the stakeholders' commitment;
- identification of key stakeholders;
- a summary of the level and nature of local and national consultations already undertaken;
- the project idea's relationship to international conventions, national strategies and action plans and other national priority setting documents;
- a summary of the Implementing Agency country assistance; and
- a preliminary financing plan for the resulting project brief.

Box 6 **Choosing a Funding Pathway & an Associated Route**

Unless your project concept is very small, in which case you would apply to the Small Grants Programme, or extremely urgent and opportune, in which case you'd apply to the "Short-Term response measures" window, you will have two funding pathway choices:

A. Full Projects B. Medium-Size Projects

This is an important decision because, as you can see in Table #1, the funding pathway you decide to pursue will determine how much funding you can compete for and how long the process of preparing the proposal and getting the money will take. (Full Projects take longer to prepare and get approved than do Medium-Size Projects.)

A. Full Project Pathway: One pathway, four different routes along that pathway

Route #1: The "Long Haul" Route:

Concept Paper → Block A → Block B → Full Project Brief

In this route, you would go through each preparatory step along the entire pathway: from the Block A to the Block B to the Full Project Brief. This is the most tedious and labor intensive route. You would follow it if your concept was in its early stages and the project situation was complex. A Block A helps you sort through initial information regarding possible

sites, possible threats and their root causes, stakeholder identification, and institutional/legal frameworks. With the necessary detail, you could then move straight down the line to the Block B, which would provide you with more funding to conduct the necessary field visits and meetings to produce a detailed Full Project brief.

Route #2: The Skip "Block B" Route:

Concept Paper → Block A → Block B → Full Project Brief

In this shortened route, you would use the Block A to develop your Full Project brief directly, skipping over the Block B step and saving the time and effort required to apply for a Block B. You would use this route on the rare occasion that a great deal of preparatory work has already been undertaken (local

consultations, priority program identification). With a well-developed project idea, you may only need a small amount of preparatory work to finalize the project brief according to GEF requirements.

Route #3: The Skip "Block A" Route:

Concept Paper → Block A → Block B → Full Project Brief

Following this route, you would go straight from concept paper to the Block B. You could do this in the event that you have a clear idea as to the extent (scope) of the project brief to be developed. In other words, you would already have possible project sites identified, threats to the biodiversity described, and the institutional arena defined. With this information already

developed, you have the necessary detail to justify a Block B request to GEF, skipping the Block A. The Block B would provide you with the necessary funding to conduct the meetings and consultations and field visits in order to develop a winning Full Project brief.

Route #4: The "Skip Both Block A and Block B" Route: **Concept Paper → Block A → Block B → Full Project Brief**

Straight to the Full Project proposal: This is very rarely used. You would go directly to the Full Project submission only if you had

other funding to support the work necessary to prepare a satisfactory GEF project proposal.

B. Medium-Size Project Pathway: Two options

If you are going for the Medium-Size Project Pathway, then things are purposefully designed to be simpler and faster (fewer options).

Route #1: The "Easy Enough" Route:

Concept Paper → Block A → Medium-Size Project Brief

Medium-Size Project entry point: For the Medium-Size Project pathway, the first step is to submit a concept paper for review and approval by one of the implementing agencies and the GEF

Secretariat. If you had enough detail you might be able to jump the Block A step, but this would be extremely rare.

Route #2: The "I've Got Other Funding" Pathway:

Concept Paper → Block A → Medium-Size Project Brief

In this route you would skip the Block A step and, using other funding, prepare the Medium-Size Project brief.

We have included a model Block B in the Annex #4 for your reference.

STEP 14

Developing a GEF Project Brief: Important Elements for Good Project Design

What we want to leave you with is a solid understanding of the crucial concepts involved in developing a strong project brief. Such an understanding will help you avoid potential obstacles to getting the brief approved. The following pages outline the concepts crucial to the proper structuring of a brief and concepts that are crucial to the content of a brief and its proposed approach.

If you understand these concepts and how they fit together, you will be familiar with the approach used to bring these concepts together in a lucid, "well-built" brief. We use the word "built" here because that is really what GEF will require you to do: build a strong brief out of different conservation and development components. Do not underestimate the time or effort it can take to produce a good project brief.

Let us focus on the key concepts related to the structural or architectural requirements of a GEF project brief.

Structuring the Project Brief

- Incremental Cost Framework
- Baseline
- Alternative Scenario
- Logical Framework Approach

Incremental Cost Framework for Project Brief Development

As you move down your chosen pathway toward developing a project brief, you should be familiar with the incremental cost approach to project brief development. The IA will assist you with this, but you would help yourself by at least being familiar with the incremental cost framework GEF uses for biodiversity project briefs. The Incremental Cost framework is actually quite simple—there are only two basic pieces to the framework.

The Incremental Cost framework IS NOT a separate calculation that you hire an economist to figure out.

The Incremental Cost framework IS a simple, mechanism for helping GEF to understand what is occurring already in your project area and what additional is being proposed.

The Incremental Cost framework requires you to:

- ① Pay attention to and quantify the BASELINE: The baseline is that which the country is already undertaking in its national interest in the sectors and geographic areas related to those of your project.
- ② Envision the Alternative Scenario: What in addition to the existing baseline needs to occur in order to achieve your desired outcome?

If you understand these two points, then you will understand more than most people do about incremental cost. Now, of course, it is a bit more complicated than that. Let us go into more detail about the BASELINE and the ALTERNATIVE.

Baseline

How do you begin to quantify this thing called a "baseline?" Well, it is actually fairly easy. Here's a simplified example: You are developing a project to establish a protected area that has to date only existed on paper. Let us say that you have done your analysis of the situation regarding the biological diversity in the protected area—the threats to biodiversity, and the root causes of those threats. You have done an analysis of the local communities that are located in the protected area and the other issues related to land use in the protected area. Let us say the project will be working to develop new policies, new income generating activities, new agricultural and forest management practices and alternative sources of energy. In defining these things, you have defined what your "alternative" will be. In order to calculate your baseline, you would have to get information from various sources as to just what is going on in relation to all of the activities your alternative is proposing. In other words, what are the government, NGOs or other international organizations already doing in these agricultural, forestry, community development, and policy-related sectors? You will need to research their programs and budgets. Add their budgets based on the number of years your project will be running, and there is your baseline.

Alternative

How do you develop your alternative scenario? Remember that the alternative is so named because it is considered to be the "alternative" to the baseline. Well, now this is THE question, because the alternative scenario is essentially that "bundle" of activities that will comprise your project brief. Some sticks (incremental activities) in that bundle will be funded by GEF and some will have to be funded by co-funders. Some sticks will build upon activities already underway or planned

(the Baseline) and some will be entirely new. You develop the alternative scenario—the project brief's most essential parts—the objective, project's approach, the outputs, the activities, the stakeholders, and so on—through a process that is (once again) much easier than it sounds.

That process is called the "Logical Framework Approach."

Logical Framework Approach

The Logical Framework Approach (or "log frame") is a method—a tool—to help you develop a clear framework for what the project will do (the alternative scenario) like an architectural drawing for a house. The log frame approach is the method that enables you to develop a solid foundation and a clear framework for your project brief. The approach usually involves a workshop where stakeholders "build" a logical framework for the project brief. This may sound complicated, but it's actually quite simple. There are whole manuals written on the log frame approach, but to familiarize yourself with the basic tenets, follow us through these steps:

- ① For practical purposes, the log frame concept/approach provides you with the tools to sit down and define the *project purpose* such as "What change will the project bring about?" "What will people be doing differently at the end of the project than they were at the beginning?" They actually want you to describe the end-of-project situation in two sentences.
- ② This then leads you to define your main problem. A clearly defined *problem definition* provides you with the foundation upon which you can build the project. A bad problem definition would not provide any direction to the project itself. For example, the problem definition, "biodiversity is being lost," does not lead you logically to any particular action. Whereas if you said, "Protected area management is weak to nonexistent," you would be closer to the mark. Already, just from that sentence you can begin to guess just what the project will do.
- ③ Next we move on to *threats* and their *root causes*. What are the threats that are creating the problem? What are the root causes of those threats? Perhaps one threat to the biodiversity is overgrazing of domestic animals. Perhaps one of the root causes of this threat is an inadequate grazing regime for local herders.
- ④ Next step: Go backwards. If we want to solve the problem as we have defined, then we have to remove the threats that are causing the problem. If we want to remove the threats that are causing

the problem, then we have to remove the root causes. Are you beginning to see the framework? This is not so complicated (but don't tell anybody that because otherwise consultants will be out of business).

- ⑤ Next, just what will the project actually do on the ground? In other words, what will the *activities* and *outputs* be for this project? Well, following our framework, they should be designed so that they actually remove the root causes of the threats which are causing the problem in the first place.

Deciding What Is Incremental and What Is Not:

Once you have the alternative scenario defined and the baseline underlying the alternative defined, the next step is to decide just what activities and outputs suggested in the alternative scenario are "incremental" and what are not incremental. From GEF's perspective, a nonincremental activity or output is something that will produce a national benefit (i.e. something that makes economic sense in its own right). An incremental activity is something that produces a global benefit (i.e. something that does not necessarily make sense in its own right for a country to undertake).

As you might guess, this is not a clearly defined area and the determination of just what is incremental (i.e. global benefit) and what is not incremental (i.e. national benefit) is something that is more art than science. As a general rule, though, development-related activities are considered to be a national benefit and more traditional conservation-related activities (such as the activities that are detailed in the Operational Programs) are considered to be of global benefit. There are exceptions to this, so be sure to ask your IA. The Operational Programs list examples of activities that are considered to be incremental.

Structure of Project Brief: In Summary

From a project design perspective, the incremental cost approach provides the incremental framework for structuring your GEF project brief. The framework forces you or enables you (depending upon your perspective) to take into account what is already going on "on the ground" and in the different policy arenas where your project will be working. From GEF's perspective, it shows them that you are indeed taking into account the Baseline (what is already occurring) as you propose a needed alternative. GEF requires you to use the Logical Framework Approach to develop your alternative. Of course, the more complex the project situation, the more complex the incremental calculations.

Content of the Project Brief

The content of your project brief should thoroughly and clearly reflect the following points:

- Strategic approach to removing threats and their root causes
- Co-funding /linkage to IA program
- Global benefits/global significance
- Sustainability
- Country driven
- Participation

Above are the key elements that you will need to be aware of as you prepare your project brief. *Remember: The more you understand these things—the more you can help the IA in completing the document—the stronger your brief—the faster your brief is reviewed and approved.*

Strategic Approach to Removing Threats and Their Root Causes

Perhaps the best way to explain what is meant by a “strategic approach” is to offer simple, contrasting illustrations of two different projects—one nonstrategic and one strategic—developed to address the same situation.

Let's say that you have a situation in a mountainous area where wildlife is extremely rare where it used to be plentiful, particularly a wild goat thought to be nearly extinct. A “nonstrategic” project would request funding from GEF to create a captive breeding program for the wild goat. The project would build a facility and breed goats. A “strategic” project would be designed based upon an analysis of the situation. The analysis would identify the threats (overhunting, habitat degradation) to the biodiversity resources, and the corresponding root causes of those threats (poverty, lack of enforcement of hunting laws, etc.) Does that make sense? Do you see the difference between the two projects developed to address the same situation?

Although there are exceptions to every rule, strategic projects on the whole share the following characteristics. They:

- analyze the whole picture related to the biodiversity resource of concern;
- are designed to have a measurable impact;
- are designed to solve the problem one and for all;
- are not stop-gap measures intended as a temporary solution to a long-term problem.

If you are asking yourself any of the following questions, then you are beginning to think about how to develop a strategic project.

- What should be the approach of your project concept or idea? (i.e. How should the project go about protecting the biodiversity resource?)
- What is the problem that I want this project to solve?
- What are the major threats to the biodiversity resource I want to conserve?
- What are the root causes of those threats?
- How can I permanently remove those root causes so the biodiversity resource is not threatened any longer?
- How can the project combine conservation and development to conserve biodiversity?
- How can this project be designed so that the key programs developed by the project are able to continue even after the project's GEF financing is gone?

Co-Funding/Linkage to an IA Program—The GEF Paradox

We just finished telling you that GEF encourages projects to take a strategic approach. This means that in many cases, to adequately address the identified threats to the biodiversity resource, the project must integrate more traditional conservation-oriented activities such as protected area establishment with development-oriented activities such as providing alternative sustainable livelihoods for farmers or fishermen. Is this clear?

Now, here is the paradox: even though GEF requires you to include both conservation and development components in your project brief, GEF itself will only finance the conservation-oriented activities (as a general rule, although there are exceptions so ask the IA). Other funding—co-funding—needs to be found to finance the development-oriented activities. This is why co-funding is required—usually, in order to address all of the root causes, the project must include activities that by definition the GEF cannot or will not fund.

Consequently, you need to ask yourself, “How could the project be designed so GEF supports the more traditional biodiversity conservation activities and other funders (government, private industry, international donors) support more development-related activities?”

Linkage with IA's own programs: Many times, the IA working with you is able to provide some co-funding from its non-GEF resources. This is why we urged you to look into this at the beginning of this guide. Assess how your project idea can be complementary to what one of

the IAs are doing in your country. Then, you need to work with the Implementing Agency to find co-funding—either in-kind or additional funds. Can government provide in-kind? What can the community contribute in cash or in-kind? What can other international agencies support? This is a serious requirement. You are going to have to commit some real time to it.

To summarize: your project should be designed in a seamless way so that finding co-funding and/or linkages with IA programs plays a significant role in developing the project brief. You should design the project brief to be co-funded and start working on securing co-funding from the very beginning of your project development efforts, not after the fact. You should do it that way if the brief is going to be a lucid, integrated document. One of the agencies will help you do this, but they have limited staff and even more limited time, so if you can do it, your brief will be processed much more quickly than if you leave it up to the agencies. Plus, other funders are often times more impressed if a local government organization or NGO comes to them with a request rather than a big, international agency.

Sustainability

Sustainability, as it relates to the design of a project, is an important concept to understand. If your project design is unsustainable, chances are it will not be approved. A legitimate question for you to consider: "What type of sustainability does GEF want projects to promote or achieve?" *In GEF's eyes, a project is "sustainable" if the resulting situation produced by the project can carry on without follow-on funding from GEF.* When thinking of developing a strong project brief, you should be thinking of how to maximize sustainability in five key areas:

- ① **Social sustainability** In order to claim that the project will be able to continue on into the future once GEF funds disappear, you need to think about how to involve local communities in the project design and how they in turn will actively participate in and feel a sense of ownership of the project activities.
- ② **Financial sustainability** This complements social sustainability. In order for a project to be financially sustainable, the project must be designed in such a way as to ensure that activities will continue once GEF financing runs out. This is an extremely important issue. If your project's approach is too expensive for local conditions to perpetuate in the long term, it will not be approved. In many cases, countries have developed national or local environmental funds (trust funds) to guarantee long-term financial support for conservation activities.

- ③ **Ecological sustainability** This is a crucial concept if one is concerned with the long-term results of conservation activities. Unfortunately it is also very difficult to measure or quantify. Questions such as the following might be asked of your project: "Is the protected area large enough to support viable populations of the particular species?" or "If the wetland is cleaned up through the project, what guarantee is there that it won't be fouled up again?"
- ④ **Economic sustainability** If your project proposes to help people develop alternative incomes, you will need to show just how these new incomes will be sufficient for people. For example, will the project promote a stable operating environment for local business?
- ⑤ **Institutional sustainability** Are the project's implementing institutions sustainable? Often a project requires existing institutions to work together in new ways. You should think about how to ensure that this can continue after the project financing is finished.

To summarize, sustainability is not something you address in one paragraph of the project brief. Your project's specific activities and outputs should be designed to be sustainable. Sustainability should be built in to the design of the project itself!

Global Significance/Global Benefits

The global significance/global benefits issue is a somewhat subjective one. Despite the vague, ill-defined quality of the terms "global," "significance" and "benefits," it still provides GEF with a fairly strategic, selective way of targeting its money on priority biodiversity resources.

There is no internationally recognized designator of global significance. What is globally significant to one country may only be of national, regional or even site-specific significance to another. Any country can justify a global investment in protecting its biodiversity. Please don't misunderstand—not every site can be justified as being of global significance. GEF will require you to prove the global significance (and thereby the global benefit) of conserving the particular resource of concern. To assist you with this task, Box #2 contains useful references for you to review and, if applicable, cite, in your project document.

In addition, if you are able to provide a detailed, positive response to a reasonable number of the following it will be convincing proof of an area's global significance:

Determining species significance

- Are the species of concern rare, threatened, or endangered? Are they included in the IUCN Red List or a National Red Book? Are they listed by CITES?
- Is the area of concern listed as World Heritage Site?
- Do the species or the area of concern provide a useful service (e.g. medicinal plants; important transnational water catchments; wild relatives of domesticated species)?

Determining site significance

- Is the area identified as a global priority by one or more of the numerous international reference documents (e.g. Centres of Plant Diversity, Vavilov's Centers of Diversity for wild relatives of domesticated crops. See list in Box #2)?
- Is the area recognized as a priority area under an international conservation agreement such as the Ramsar Convention on Wetlands or the Bonn Migratory Species Convention?
- Is the area along a recognized international flyway or migratory route?
- Does the area form part of what are known as the world's biodiversity "hotspots"?
- Does the area harbor any outstanding features (e.g. largest; rarest, most pristine)?
- Ecological representativeness/landscape complexity: Does the site harbor a diversity of habitat types, ecological processes, or biological communities?
- Is the site unique and thereby irreplaceable? Is the site under serious threat?
- Does the area possess an international value to science, culture, humanity or other aspects that go beyond the national scope?

Also include any other justification/highlights to illustrate that GEF funding has values that are beyond the national frontiers either on its own merits or on a cumulative basis.

Country Driven

This guide doesn't need to tell you how important it is for your brief to be driven by people from the country where the project will be implemented. This is an obvious point, but many times in the past, projects have been pushed through the system that were not really owned or driven by the host government, NGOs, or local communities. This doesn't happen much any more, but there are still varying degrees of involvement by host-country institutions.

On paper, you can prove that your project is country-driven by linking your project idea to a specific national priority. It helps if it is listed in a National Environmental Action Plan, a National Conservation Strategy, a Coastal Zone Management Plan or a Five-Year Plan. Even better, if an on-the-ground strategy for the particular area of concern has already been done, then you will have no problem showing that your national park project is country-driven.

In person, you can show that your project is country-driven by using the telephone, the fax machine, and e-mail to tell the IAs and the GEF Secretariat about it. *The more actively host country institutions are involved—the more "ownership" they display through personal visits, letters, telephone calls, or e-mails to GEF—the more favorably your project brief will be considered.*

Participation

There is a lot of rhetoric in the international arena about participation and stakeholder involvement. In fact, in almost every document written by the IAs or the GEF, you will notice that participation is emphasized. Some of it is substantial and convincing; some of it is not. You need to be convincing in your treatment of participation in your project brief. Stakeholder participation in project design, development, and implementation is indeed a good thing. In fact, it really is necessary in order for your project to be sustainable, effective, and, well, successful. It is crucial for you to document the participation of stakeholders in the design process of your project. You should be able to provide specific and compelling answers to questions like: "How many different stakeholders (e.g. farmers, local governments, indigenous groups) were involved?" "How did stakeholders participate in the design of the project?" "How much input did stakeholders provide and how is that input reflected in the design of the project?" And finally, someone who reads your project brief should be able to understand easily how stakeholders will be key players in the implementation of the project's activities.

STEP 15

Project Implementation: What Happens After the Project Brief Is Approved?

This is a good question because just when you thought you were out of the woods, there are still some issues you most likely will have to deal with. Those issues are:

Transforming a GEF Project Brief into an IA Project Document


Because GEF uses existing international agencies to implement its program, there are some delays involved with—you guessed it—paperwork. For example, if you develop a project brief with UNDP and it is approved by the GEF Secretariat and the GEF Council, UNDP will then have to turn that GEF document into a UNDP project document. In the past, this has caused three to four month delays (some longer). However, UNDP is working hard to eliminate this problem (they do not like it either, as it's just more paper work), you may face it to some degree with any of the IAs.

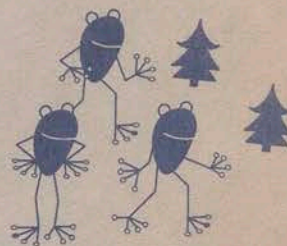
Clarifying Implementation Arrangements:

If you are a government representative, you will find that your government has legal agreements with each of the Implementing Agencies that govern how projects are to be implemented. In some countries, the IA administers the project funds, and in other countries, the project funds are signed over to government and the government agency is responsible for all implementation arrangements.

Possible Problems for NGOs in Accessing Project Funds

In the past, NGOs have faced some unexpected obstacles to being able to implement projects they have been instrumental in developing. If you are an NGO-sponsor of a project brief with one of the IAs, you may face delays in actually being able to access budgetary resources from the approved project. Why? Well, the IAs have procurement systems that are not used to working in partnership with NGOs, but instead were designed to contract goods and services out to the lowest bidder. Although this situation is changing, if you are an NGO, you could find yourself having to bid on a project that you developed! Be sure that you discuss this issue with the IA and your government's GEF Focal Point as soon as you can.

If you want more information on this issue, IUCN has published a paper entitled: *Partners or Hired Hands: procurement reform for effective collaboration between NGOs and multi-lateral institutions—the case of the GEF*. This paper can be requested free of charge from Mr. Rohit Burman at IUCN's Washington, D.C., office, 1400 16th St. NW, Washington, D.C. 20036 Tel: 202-797-5454, Fax: 797-5461, or E-mail: rburman@iucn.org or from Mr. Randy Curtis at: The Nature Conservancy, 1815 N. Lynn St., Arlington, VA 22209 Tel: 703-841-5300, Fax: 703/841-4880, or E-mail: rcurtis@tnc.org 



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Section Three: International Waters



Section Three: International Waters

STEP 6

Following directly from Section One, Step 5, page 6.

"Coarse Filter" Criteria for GEF Funding in International Waters

The overall objective of the International Waters program is to catalyze the implementation of complete, ecosystem-based approaches to managing international waters in order to realize global benefits.

What does this mean? It means that GEF recognizes that most International Waters issues are too big to be handled by GEF alone or even by one project. They want to see partnerships developed to tackle these issues. They want to see your concept paper be serious about leveraging funding. So, before you go any further in this guide, you should ask yourself "What do the GEF people look for when they conduct a coarse filter, review of an International Waters project concept?" or in other words, "Does my project concept meet the general requirement criteria for GEF's International Waters Focal Area?" To help you answer these questions, we've summarized the overall coarse filter criteria for you below.

The following are the coarse filter criteria GEF applies to determine whether your IW concept is pursuable:

The eligibility test: Is your idea eligible for GEF support?

In order for a project to be eligible for GEF financing under the International Waters program, each one of the countries to receive support from GEF must be eligible for GEF financing. In order for the country to be eligible for GEF International Waters financing, the country must be eligible for assistance from the UN system or the World Bank.

The transboundary test: Is the issue of concern truly a transboundary one?

- The concept must involve a "transboundary issue," whether it is a river basin, a lake, a coastal area, a large marine ecosystem or a contaminant issue whereby local sources of contamination to international waters are eliminated.
- Is there a demonstrated regional commitment to the project concept? Each of the participating countries' GEF Focal Points must endorse your project concept. Of course it also helps to show that the project

concept is consistent with national and regional planning documents and assessments of various sorts that support a regional approach. Examples of these would be: the Global Plan of Action (GPA) to protect the marine environment from land-based sources, a National Biodiversity Conservation Strategy, Coastal Zone Management Strategies, and UNEP's Regional Seas Action Plans.

Note: Two Operational Programs (OP #8 and #9) require a multi-country (two or more) approach.

The imminent threat test: Does your transboundary concept address one or more the following imminent threats to international waters?

- Land-based sources of surface and groundwater pollution that degrade the quality of international waters (toxic substances and heavy metals of priority interest).
- Land degradation resulting from desertification and or deforestation that leads to transboundary concerns.
- The physical, ecological degradation and/or hydrologic modification of critical habitats that sustain biodiversity and the ecological processes associated with international waters.
- The unsustainable use of living and non-living marine resources resulting from inadequate management measures.
- Ship-based sources of chemical washings or the introduction of non-indigenous species.

The severity test: Does your concept address a threat that is severe enough?

- Ask yourself what the severity of the transboundary problem is. What ecological significance is there? What are the human health implications? What is the spatial extent of the damage? Is critical habitat being damaged?
- Will the threat cause irreversible damage to biodiversity and/or human livelihoods?

Leveraging Test: Does your project concept plan to leverage development assistance from other sources?

If not, is there a good chance for it to leverage other funds? Remember that GEF is required to leverage other sources of money to assist in the protection of International Waters. Once your concept is developed into a Full Project, it must be able to support a package

of various programs to address the problem. Are there any other resources pledged to this effort from international agencies, the private sector or other country commitments?

The overall role test: Does the concept bolster GEF's overall role in the International Waters program? In other words, does the concept:

- assist groups of countries to better understand environmental concerns of IW and help them to address them;
- build institutional capacity to collaboratively solve transboundary problems;
- implement measures that address the priority transboundary environmental concerns;
- include the "precautionary principle" or the "polluter pays" principle;
- involve all relevant stakeholders; and
- use sound science and proven technological innovations.



STEP 7

The "Operational Program" Test: Does Your Concept Fall Within the Scope of One of International Water's Three Operational Programs?

Once you've considered the coarse filter criteria, and decided that your concept meets these first step criteria, then you need to consider your concept in light of one or more of International Waters' three (3) Operational Programs (otherwise known as grant-making categories or programs). The Operational Programs (OP) define what kind of project and what kind of activities will be considered for funding under International Waters.

It is crucial that you get copies of these Operational Programs in order to make sure that your concept is covered by one or more of these Operational Programs. They are:

- OP #8: Waterbody-Based;
- OP #9: Integrated Land and Water; and
- OP #10: Contaminant-Based.

These Operational Programs are detailed, six to ten page descriptions of what types of projects GEF wants to support under each of the three categories (OPs), of what kind of activities GEF will pay for and priority approaches to be used. It is crucial for you to get a copy of these Operational Programs as you develop your project concept further. You can get a copy of these documents

on the Internet: <http://www.worldbank.org/html/gef> or directly from the GEF Secretariat or one of the Implementing Agencies.

In general, the three OPs are concerned with the following types of priority activities:

- Control of land-based sources of surface and groundwater pollution that degrade the quality of international waters.
- Prevention and control of land degradation where transboundary environmental concerns result from desertification or deforestation.
- Prevention of physical or ecological degradation, and hydrologic modification, of critical habitats (such as wetlands, shallow waters, and reefs) that sustain biodiversity, provide shelter and nursery areas for the production of fish.
- Control of unsustainable use of marine living resources as well as nonliving resources resulting from inadequate management measures such as overfishing, excessive withdrawal of fresh water, and resource extraction.

For now, however, the following bullet point summaries in Box #8 of each Operational Program are included for you to consider as you develop your project concept.

Developing Your Concept Further: How to Actually Make It Happen

This section will lead you through the process of developing a GEF IW proposal step by step. Just as a salmon must struggle upstream on its way to the spawning ground, so too, will your project idea have to clear various obstacles, and pass through various bottlenecks and hoops. The purpose of this section is to highlight these potential obstacles and snags so that you can avoid the obstacles, pass smoothly through the bottlenecks and minimize delays.

The steps below are intended to be cumulative, and if followed will almost certainly improve the chances of your proposal winding its way through the GEF process without any fatal problems or frustrating delays.

You are about to begin investing some real time and effort in the task of getting funding from GEF. But before you plunge in, we think it would be helpful for you to have a wide angle view of GEF's International Waters funding options. The next step you need to take is to survey the GEF funding landscape; familiarize yourself with the three different funding pathways under the International Waters Focal Area. This will give you an idea of the different route options available for you and help you plan your moves.

Box 7 **International Waters Operational Program: Summary Points**

Each Operational Program is summarized under three subheadings: 1) *Emphases*, 2) *Fundable Activities*, and 3) *Project Examples*.

Waterbody-Based Operational Program

Emphases:

- Focus on "hotspots" and ecological status of marine ecosystems
- Areas where transboundary concerns create significant threats to ecosystem functioning
- Narrow, prescriptive measures to address most imminent transboundary threats
- Use of sound science and technological innovations
- Projects that leverage co-financing in association with national funding, regular IA programs and private sector initiatives.

Fundable Activities:

- Strategic Action Program (SAP) formulation
- Collaborative transboundary diagnostic analysis
- Use of information technology and computer simulations as resource management tools
- Building communication infrastructure of joint committees and stakeholder participation
- Identification of key stakeholders through stakeholder analysis
- Activities aimed at harmonizing institutional elements: water quality standards, regulations, permit processes, waste minimization/pollution prevention requirements.
- Fostering commitments to change sectoral policies and activities responsible
- Incremental costs of technical assistance, capacity building, limited demonstrations and certain investments

Project Examples:

- Black Sea Environment Programme
- Environmental Management in the Danube River Basin

Integrated Land and Water Operational Program

Emphases:

- Focus on Africa and Small Island Developing States (SIDS)
- Projects that focus on integrated approaches to the use of better land and water resource management practices
- Proactive interventions aimed at protection of International Waters with important biodiversity
- Prevention of damage to threatened waters vs. remediation of damaged ecosystems
- Address cross-cutting issues of Land Degradation and arid and semi-arid ecosystems Biodiversity Operational Programs
- Stakeholder involvement/analysis and participation of different sectoral ministries

Fundable Activities:

- Transboundary Diagnostic Analyses
- Strategic Action Programme (SAP) Formulation and Implementation

- Development of and strengthening of multi-country institutional arrangements
- Determining what sectoral changes are needed to achieve goals of sustainable development

Project Examples:

- SAP for South Pacific SIDS
- SAP for Tumen River Basin
- Integrated Management of Lake Chad Basin

Contaminant-Based Operational Program:

Emphases:

- Multi-country approaches not required. No requirement that projects be tied to a particular multi-country collaborative effort. (single country projects eligible)
- Projects that demonstrate ways of overcoming barriers to the adoption of best practices that limit contamination of the international waters environment
- Projects that leverage significant private sector support.
- Focus on poorly addressed contaminants; pollution prevention stressed over remediation.
- Demonstration projects/components that apply/test innovative policies or economic instruments.
- Stakeholder analysis and involvement essential
- Land-based Activities Demonstration
- Ship-Related Contaminants
- Global Contaminants Component: persistent toxic substances (POPs, mercury, dioxin)
- Regional/Global Technical Support Component: To help set priorities for possible GEF interventions

Fundable Activities:

- Project preparation including an analysis of types, sources and fluxes of priority contaminants, the barrier being removed, and a strategy for implementing needed baseline and additional actions
- Projects that test strategies countries might wish to pursue under the Global Programme of Action for Land-Based Activities.
- Activities that help characterize the nature, extent and significance of contaminants.
- Interventions to prevent the transfer of non-indigenous species in ship ballast water.
- Demonstration of new technology to help ships avoid collisions in busy corridors and to prevent unauthorized releases of contaminants from ships.
- GEF may support the agreed incremental costs of processes and measures that demonstrate prevention or reduction of releases in recipient countries.
- Contaminant candidates include mercury, dioxins, PCBs, persistent organic pollutants and endocrine-disrupting pesticides, among others.

Project Examples:

- Development of Ballast Water Risk Management Approaches and Control
- Global International Waters Assessment (GIWA)

STEP 8

International Waters Funding Pathways? Before you Dive In to These Waters, Take a Few Minutes and Figure Out How and Where You Might Want to Get Involved.

This is the first point where you should be able to see around the bend to what the rest of the project development process entails. Remember—your goal is to get a co-funded project proposal approved by GEF. In order to make this happen, you'll have to choose which type of project proposal you will produce and how you will go about preparing it. In other words, you need to choose a pathway and a route along that pathway.

GEF Funding Pathways and Routes

Did you know that GEF has different pathways by which you can access GEF funds (Table #2)? Before you go another step, you should read this explanation very carefully. This will help you decide just which pathway and which route along that pathway to take in your pursuit of GEF financing. These different pathways have different minimum and maximum funding levels and correspondingly different requirements. Each pathway has different preparatory routes you can take. These routes differ according to the amount of preparatory funding needed and time needed to complete.

The Small Grant Program: Attention Small NGOs and Community Organizations

Attention to those of you local NGOs and community organizations working at the community level: If you are looking for support for a community-oriented small proposal to conserve international waters (US\$50,000 and less), you should go directly to the more detailed description of the Small Grants Program in Box #4.

Table #2 has been designed to give you a straightforward, comparable summary of the different funding pathways and their preparatory routes. The table gives the procedural and major content requirements for each pathway, the three preparatory tools (Block A, Block B, Strategic Action Program (SAP), and the funding available under each. GEF essentially has established two funding pathways to serve its IW portfolio: A) Full Projects, and B) Medium-Size Projects. Local NGOs and community-based groups can apply for IW funding through the Small Grants Program, but this is rarely used for IW projects. It is included in Table #2 because it is possible, though we won't discuss it any further here.

Now that you have an idea of the different pathways available under GEF's funding program, the next step is to write a concept paper. You should be doing this with a pathway in mind. This will help you anticipate what additional requirements will be needed in the future as your concept paper develops into a Full Project proposal.

STEP 9

Write a Concept Paper: the 1st Document You Need to Write for GEF

As the first step along the funding pathway for GEF, the concept paper is extremely important. Make sure you take enough time to do a good, thorough job. Make sure your information is complete on how the concept is consistent with coarse filter criteria given under point #6. The concept paper format is included in Annex #2.

The Strategic Action Program

Before you make any decisions about funding pathways or before you begin to write your concept paper, we need to consider the Strategic Action Program—an often used GEF-financed preparatory project that you may have to undertake before actually developing and seeking funding for a regular project.

One of the first questions asked by GEF people about a concept paper for a regional project submitted under the International Waters Focal Area is, "Does it need a SAP first?" (see Box #8) In other words, "Before we go ahead with developing a project here, do we need to have the countries involved do a Strategic Action Program to help everyone agree on priority, transboundary actions?" The answer to this question will direct you to different entry points and routes along the Full Project pathway. What do we mean by this? We mean that if, for example, after reviewing your concept paper and the situation in general, GEF says that you really should do a SAP first, then your whole time-frame and approach will be very different than if the situation did not call for a SAP.

Position Yourself: To Do a SAP or Not to Do a SAP? That Is the Question.

Before you begin writing your concept paper, see Box #9 for a list of the existing SAPs under development or recently completed. If there already is a SAP for the regional waterbody that you are interested in, that SAP must be the overriding framework within which you develop your concept paper.

Table 2	Pathway 1 Full Projects	Pathway 2 Medium-Size Projects	Pathway 3 Small Grants Programme (SGP)
Pathway Description	The "classic" GEF funding path Time Needed: Min: 12 months, Max: 24 months	The "new" GEF funding path Time needed: Min: 4 months, Max: 12 months	The local community and NGOs oriented GEF funding path
Concept Paper	No preparatory funding available from GEF	No preparatory funding available from GEF	No preparatory funding available from GEF
PDF Block A	Up to US\$25,000 to prepare Block B or Full Project	Up to US\$25,000 for development of concept paper into a Medium-Size Project proposal Note: Not possible to do a Strategic Action Program on this pathway. This pathway is best for a situation where a SAP has been done or a significant regional/transboundary action capacity already exists	No PDF Block A, instead Community- Based Assessment & Planning Grants On rare occasions, up to US\$2,000 is available to assist with preparing proposal
PDF Block B	Up to US\$350,000 to prepare Full Project Note: Depending upon existing regional management/strategic planning capacity, the development of a Strategic Action Program (SAP) may be required at this stage or at the Full Project stage	No PDF B available Note: Possible to do a SAP on this pathway but is best for a situation where a SAP has already been done or a significant regional action capacity exists.	No PDF B available
Project Brief	GEF funding usually from US\$1 million and up Note: the development of a Strategic Action Program (SAP) may be required at this stage	GEF funding from US\$50,000-\$1 million Different format from the Full Project Brief	GEF funding from US\$ 1-\$50,000
Overall Requirements	<ul style="list-style-type: none"> • National GEF Focal Point endorsement • Co-funding • Incremental cost approach • Approval of GEF Council required • Scientific Technical Advisory Panel review • More detail in project development • Organizations eligible to apply: government, NGOs, community groups • More time—min. 12 months, max. 24 months 	<ul style="list-style-type: none"> • National GEF Focal Point endorsement • Co-funding • Incremental cost approach • GEF Council approval <u>not required</u> unless the request exceeds US\$750,000 • Less detail in project development • Organizations eligible to apply: government, NGOs, community groups • Less time—minimum of 4 months, maximum of 12 months 	<p>This funding path is <u>only</u> available to community-based organizations (CBOs) and local NGOs in one of the 40 countries with Small Grant Programs</p> <ul style="list-style-type: none"> • Issues must be transboundary • Adherence to one or more of GEF's three International Waters Operational Programmes • Co-funding (can be in-kind) • Check with national SGP Coordinator in your country for other requirements
Project Content and Design Criteria	<p>See detailed descriptions of the three IW Operational Programs for list of fundable activities and preferred approaches The descriptions are available from GEF</p> <ul style="list-style-type: none"> • Incremental cost approach • Integrated, innovative approaches to conservation and development • Must be designed to ensure sustainability 	<p>See detailed descriptions of the three IW Operational Programs for list of fundable activities and preferred approaches The descriptions are available from GEF</p> <ul style="list-style-type: none"> • Incremental cost approach to developing proposed project intervention • Integrated, innovative approaches to conservation and development • Must be designed to ensure sustainability 	<p>See SGP description for details on types of projects funded. Must fit globally and nationally specific criteria</p> <ul style="list-style-type: none"> • Must facilitate community participation in all aspects • Improve local employment opportunities and access to technical assistance
Preparation Routes	<p>Concept Paper→Block A→Block B→Project Brief Note: There are eight routes along this pathway depending upon when and if you need to do a SAP (All described in Box #10)</p>	<p>Concept Paper→Block A→Project Brief Note: There are two possible routes along this pathway (See Box #10)</p>	<p>Concept Paper→Project Proposal</p>

A time-saving action would be to send your concept paper to the IW specialist from the relevant IA and ask whether it is consistent with one of the priority incremental activities identified by the SAP.

Choosing whether to do a SAP will have implications with respect to which preparatory route you will take and how much time will be required to get a project operating "on the ground."

If you want to develop a Full Project under OP #8 or #9, then you need to get a ruling from an IW specialist right away as to whether your situation calls for a SAP or you need to submit a concept paper under an existing SAP for implementation of a GEF-eligible (incremental) component of the SAP. If you want to develop a Full Project under OP #10, then chances are that the situation will not require a SAP, although you should still ask the IW specialist just to be sure.

If you want to develop a Medium-Size Project, then you have the following choices: 1) find a situation that does not require a SAP (difficult to do under OP #8-#9, but it can be done), 2) propose a concept to implement an incremental action recommended in the SAP, or 3) propose a concept paper that is consistent with OP #10, which does not require a SAP. Either way, you should speak with the IW specialist at your agency.

Note: the IW specialist names and contact numbers are listed on the inside back cover.

Checklist



Development of a Good Concept Paper: A Checklist

- Review the coarse filter criteria and the Operational Program details to decide how eligible your project idea is for GEF.
- Choose one of the three IW Operational Programs under which you will develop your IW concept paper.
- Consult stakeholders (concerned people) about your project idea. Develop support and participation.
- Consider whether your concept may require the development of a SAP before you can proceed with project brief development.
- Consult list of ongoing SAP projects and consult with IW experts at one of the GEF IAs.
- Write the concept paper. As you look at the format of the sample concept paper you will see points familiar to you from your earlier discussion of coarse filter criteria and Operational Programs. There are 15 sections in the concept paper format. Seven of these are self-explanatory. The remaining eight are highlighted in the following checklist of key points. Your concept paper should do a good job of addressing these points in a clear, brief manner.
Content of concept paper:
 - **Eligibility** Make sure that at least one of the participating countries is eligible for GEF assistance.
 - **Operational Program** By now you should have chosen the OP most pertinent to your idea (based

Box 8 The Strategic Action Program (SAP)

In order to be as effective as possible in transboundary and in many cases multi-country situations, GEF sometimes requires a first step preparatory project called the "Strategic Action Programme" or SAP. In many cases, the SAP is an appropriate first step to help countries define priority problems, establish country and IA commitments to specific actions, and agree on additional interventions for their priority transboundary concerns.

Based on this kind of analysis, the SAP helps countries to establish clear regional priorities for actions to address the transboundary problems, assess what is already going on to address these problems (establish a baseline), and determine what kind of co-funding (incremental cost) will be needed to adequately address the transboundary issues at hand.

The SAP itself does not actually do anything "on the ground." It is a process of regional consultations that yields an action program. Following a SAP, GEF could fund a capacity-building, technical assistance, or investment project to help harmonize regulatory or policy frameworks, build institutional capacity or demonstrate implementation of needed interventions. A SAP should, for example, describe a whole menu of needed actions (projects) to address the transboundary problem. In other words, a SAP should produce some Block B proposals for developing Full Projects that would implement the activities identified under the SAP. Note: See pp. 53-55 of GEF's Operational Strategy for more detail.

Box 9 Strategic Action Programs (Completed and Under Development)

Region	Project Title	IA	Countries Involved
Europe/CIS	Danube River Strategic Action Program (SAP) Status: completed and available on Web: http://www.cedar.univie.ac.at/danis/sap1.html	UNDP	Bosnia-Herzegovina, Bulgaria, Croatia, Czech Rep., Hungary, Moldova, Romania, Slovakia, Slovenia, Ukraine, Fed. Rep. of Yugoslavia.
	Black Sea Strategic Action Program (SAP) Status: completed and available on Web: http://www.domi.invenis.com.tr/blacksea/news/bssap.html	UNDP	Russia, Turkey, Georgia, Romania, Ukraine, Bulgaria
Note: also Asia-Pacific	Caspian Sea Strategic Action Program (SAP) Status: under development	UNDP	Russia, Iran, Kazakhstan, Turkmenistan, Azerbaijan
	Dnieper River Basin Strategic Action Program (SAP) Status: under development	UNDP	Russia, Belarus, Ukraine
Africa	Okavango River Basin Strategic Action Program (SAP) Status: under development	UNDP	Botswana, Angola, Namibia
	Benguela Current Large Marine Ecosystem Strategic Action Program (SAP) Status: under development	UNDP	Namibia, Angola, South Africa
	Lake Chad Strategic Action Program (SAP) Status: under development	UNDP	Cameroon, Central African Rep., Chad, Niger, Nigeria
	Lake Tanganyika Strategic Action Program (SAP) Status: under development	UNDP	Congo, Tanzania, Burundi, Zambia
	Gulf of Guinea Large Marine Ecosystem Strategic Action Program (SAP) Status: under development	UNDP	Benin, Cameroon, Cote d'Ivoire, Ghana, Nigeria
Asia/ Pacific	Tumen River Basin Strategic Action Program (SAP) Status: under development	UNDP	China, Mongolia, North Korea, Russia, South Korea
	South Pacific Strategic Action Program (SAP) Status: Completed	UNDP	Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, PNG, W. Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu
	South China Sea Strategic Action Program (SAP) Status: under development	UNEP	Cambodia, China, Indonesia, Malaysia, Philippines, Thailand, Vietnam
	West Indian Ocean Strategic Action Program (SAP) Status: under development	UNEP	Comoros, Kenya, Mauritius, Madagascar, Mozambique, La Reunion (Fr), Seychelles, Somalia, S. Africa, Tanzania
Latin America	Río de la Plata Estuary and Maritime Front Strategic Action Program (SAP) Status: under development	UNDP	Argentina, Uruguay
	Bermejo River Basin Strategic Action Programme (SAP) Status: under development	UNEP	Argentina, Bolivia
Arab States Europe/CIS	Red Sea and Gulf of Aden Strategic Action Programme (SAP) Status: nearly completed and soon to have a Web site.	UNDP	Djibouti, Jordan, Egypt, Saudi Arabia, Sudan, Yemen
	Mediterranean Strategic Action Programme (SAP) Status: under development	UNEP	Albania, Algeria, Bosnia-Herzegovina, Croatia, Cyprus, Egypt, France, Greece, Israel, Italy, Lebanon, Libya, Malta, Monaco, Morocco, Slovenia, Spain, Syria, Tunisia, Turkey

upon the discussion above). The concept should fit well under one of the Operational Programs and bolster GEF's overall role.

- **Linkage to national priorities** Make sure your project idea (or concept) is linked to a national priority, action plan or program.
- **Transboundary, regional issue** Make sure your issue is a transboundary one and that there is a demonstrated commitment to a transboundary approach.
- **Project rationale and objectives** How are the threats imminent and worthy of GEF committing its limited resources to ameliorating them? What problem related to this resource does the concept intend to solve? For project concepts under OP #'s 8 and 9 be sure to provide proof of the global significance of the biodiversity resource.
- **Expected outcomes** Briefly and clearly describe the expected outcomes of your project concept. Remember that GEF wants to see measurable results, not just a gap-filling exercise.
- **Planned activities** Briefly and clearly describe what basic measures will be taken to remove the threats that cause the problem.
- **Stakeholders** Briefly and clearly describe the stakeholders and their participation in developing this concept and how they will be involved in implementing the project.
- **Estimated budget of project to be developed**

Provide an estimate on the size of the resulting project. Include an estimate of co-financing:

- Is your project concept the result of an existing, transboundary or regional strategy to conserve international waters? If so, be sure to emphasize how they are linked. If not, then do not forget to discuss what sort of national and/or regional priorities it does address.
- Submit the Concept Paper to one of the Implementing Agencies (including the written endorsements from the GEF Focal Points).
- Secure a written endorsement of your project concept from each one of the participating country's GEF Focal Points. If you find it difficult to secure the necessary endorsements, send your concept to one of the IW specialists and ask them for assistance. If they think your concept is a good one, then they most likely can help.

STEP 10

Submit the Concept Paper to One of GEF's Implementing Agencies

Based upon the information given earlier about the Implementing Agencies, decide which one you think your idea would best complement and send them the concept paper. If you're wondering how to physically submit your concept paper to one of the IAs, look at Annex #3 for an illustration of the different entry points. After you've submitted the concept paper, and it's reached the headquarters of one of the Implementing Agencies, you should expect to hear back from them within three to four weeks.

What to Do, Expect, and How Much Time it Should Take. Be Prepared for the Following Scenarios:

No response

If you don't hear back within one month, send an e-mail message, a fax or telephone the relevant agency's IW specialist and ask him/her what's going on with your proposal. If you have difficulty contacting the person, contact the GEF Secretariat and ask the International Waters specialist there to follow up for you.

Negative response

If you do hear back from the Implementing Agency and the response is negative, you have two choices. If you feel the rationale given by the agency for rejecting your proposal is weak, or if no reason is given at all and you still think you have a winner of a concept, send it to the GEF Secretariat directly. Tell them what happened and ask them to give you a second opinion. Remember, sometimes agencies don't pursue something because they are busy and no political heavyweight is supporting it. Get as much political backing as you can for your project concept. This is a reality that you should not overlook.

Positive response

See next step.

Box 10 Pathways for International Waters Funding

A. Full Project Pathway: SAP Required

Please note: Of course, if you have other funding to support preparatory work, then you are not required to apply for either Block A or Block B funding (as shown below). They are not requirements. The two Blocks are

there if you need them to assist with project preparation work. The preparation work is required whether you apply for Block funds or not.

Route #1: The "Long Haul" Route:

Concept Paper → Block A → Block B → SAP Development & Implementation → Full Project

In this route, you go from concept paper to Block A (and Block B if necessary) to SAP development and then when the SAP is done, you implement the SAP by developing

your project with a Block B to Full Project. This is the longest and the most laborious route to doing something on the ground.

Route #2: The "Semi-Long Haul" Route:

Concept Paper → Block A → Block B → SAP Development & Implementation → Full Project

This route is essentially the same as route #1, except you would skip the Block B step and go right to the SAP. You would only do this if you had sufficient detail from Block A

to develop a SAP Development proposal, or if you had other preparatory financing.

Route #3: The "Skip Block A" Route:

Concept Paper → Block A → Block B → SAP Development & Implementation → Full Project

In this route, you skip the Block A and go right from the Concept Paper to the Block B proposal. The Block B would then yield a project proposal to develop a SAP.

SAP implementation would follow up with a Full Project brief for implementation of GEF-eligible components of the SAP.

Route #4: The "Skip Both Blocks" Route:

Concept Paper → Block A → Block B → SAP Development & Implementation → Full Project

In this route, you would skip over both Blocks and their attendant paper work. Of course, you could/would only do this if you had other preparatory funding to prepare a SAP

development proposal, or if for some unforeseen, highly unlikely situation when you already had all the necessary detail.

A. Full Project Pathway: No SAP Required

If no SAP is required, then you are simply deciding which preparatory route to take in developing the Full Project brief.

Route #5: The "Long Swim" Route:

Concept Paper → Block A → Block B → Full Project Brief

In this route, you would go straight through the entire pathway: from the Block A to the Block B to the Full Project brief. This is the most tedious and labor intensive route. You would use this route if your concept was in its nascent stages and the situation was a complex one. A Block A helps you sort through the information regarding possible sites, possible

threats and their root causes, stakeholder identification, and institutional/legal frameworks. With the necessary detail, you could then move straight down the line to the Block B, which would provide you with more funding to conduct the necessary field visits, meetings, and so on to produce an even more detailed full project proposal.

Box 10 Pathways for International Waters Funding

A. Full Project Pathway: No SAP Required (continued)

Route #6: The "Skip Block B" Route:

Concept Paper → Block A → Block B → Full Project Brief

In this shortened route, you would use the Block A to develop your Full Project brief directly, skipping over the Block B step and saving the time and effort required to apply for a Block B. You would use this route if you had

a well-developed project concept but it needed a small amount of work to finalize the project proposal according to GEF requirements.

Route #7: The "Skip Block A" Route:

Concept Paper → Block A → Block B → Full Project Brief

Straight to the Block B: You would go straight to the Block B on the occasion that you had a fairly well-developed project concept with details such as possible project sites identified, threats to the biodiversity described, the institutional arena defined, and so on. With all of this detail already in hand,

there is no need to waste time and energy applying for a Block A. Instead you can go directly for a Block B which would provide you with the necessary funding to conduct the meetings and consultations and field visits in order to develop a winning Full Project proposal.

Route #8: The "Skip Both Block A and Block B" Route: Concept Paper → Block A → Block B → Full Project Brief

Straight to the Full Project proposal: This is very rarely used. You would go directly to the Full Project submission

only if you had other funding to support the work necessary to prepare a satisfactory GEF project proposal.

B. Medium-Size Project Pathway

Note: If you are going down the Medium-Size pathway under International Waters, then there is either already a SAP for the region in which you propose to work or your

concept involves an issue that does not require a SAP, or your concept fits under the OP#10: Contaminants.

Route #9: The "Easy Enough" Pathway:

Concept Paper → Block A → Medium-Size Project Brief

You would take this route if your concept needed the Block A funds to develop the Medium-Size Project brief.

Route #10: The "I've Got Other Funding" Pathway:

Concept Paper → Block A → Medium-Size Project Brief

In this route you would skip the Block A step and, using other funding, prepare the Medium-Size Project brief.

Note on the routes: It is also possible sometimes to combine the Block B step with the SAP Development and Implementation step, shortening the route considerably.



STEP 11

Concept Paper Is Approved. What's Next?

Choosing a Funding Pathway and an Associated Preparatory Route

You hear back from the IA that your concept appears to be an excellent opportunity and they suggest a next step to be taken. The next step will depend upon how much information you have already gathered. More specifically, they will want to know:

- ① how strong the existing regional cooperative framework is and whether specific priority actions have already been agreed upon by the countries of concern;
- ② whether consensus has been developed among the important stakeholders;
- ③ whether you have a good description of the related institutions and laws and policies; and
- ④ whether you have identified possible sites (locations) where the project would be implemented.

After you have received feedback from the IW specialist on your concept paper once again, which funding pathway are you going to take?

Some Possible Scenarios

If your concept involves an issue for which there is not an existing, specific international or regional plan or agreement on action, then there is a good chance that GEF will suggest that you go with developing a Strategic Action Program before you press ahead with actual "on the ground" or "in the water" projects. Or, perhaps your situation does not call for the development of a SAP, which would mean that you could go for a Full Project or a Medium-Size project immediately. Either way, there are several different routes you could end up following down your funding path of choice. This means that you and the particular IA you would be working with will be choosing among the 10 routes illustrated in Box #10.

If your concept involves an issue for which there is a recent, regional plan from which you can derive your own project, then GEF may say a SAP is not needed and you can go straight for either the Full Project pathway: No SAP required (routes #5-8) or you can choose to go for a smaller project via the Medium-Size grant pathway (routes #9-10).

Operational Program #10:

If your project concept is consistent with the priorities under the Operational Program #10, the SAP is not a factor and you can simply decide whether you want to go for a Full Project (routes 5-8) or a Medium-Size co-funded grant (routes 9-10).

Additionally, something entirely unexpected could be suggested. This is the GEF after all! The key under the International Waters Focal Area is to develop a good working relationship with the IW specialist at the relevant agency. He/she will help you work out the possibilities and take you through the necessary corresponding steps. The complexity of the IW Focal Area makes for many contingencies. It is impractical for us to attempt to cover them all here.



STEP 12

Congratulations, You Are on the Way. Now, Keep Your Eyes on the Prize!

Now that your concept paper has been approved, you are moving. You are moving up the preparatory pathway along a specific route. As you work forward, you need to keep your eye on the prize, so to speak. What is the prize? The prize is the transformation of your concept paper into a good, strong, project brief for submission and approval by GEF.

Checklist

Status Check: What Should I Have Done so Far?

Before we begin talking about developing good projects, let us take a moment to review just where you should be now in the process. Let us review the steps you have taken so far.


- ☐ You must be a representative of a governmental or nongovernmental organization in a country that is eligible for GEF assistance.
- ☐ You have a project idea
- ☐ You have been introduced to what GEF is and who GEF is.
- ☐ You have information on how to get more information about GEF's programs.
- ☐ Your eyes have been opened to some of the difficulties in pursuing GEF funding.
- ☐ You have been given the chance to look into funding under GEF's Biodiversity Focal Area and have decided that your project concept is indeed a transboundary initiative that fits International Waters criteria.
- ☐ You have weighed your project idea against the coarse filter criteria provided to you as a way to determine whether your idea is, on its face, eligible for GEF assistance.
- ☐ You have been introduced in Table #2 to the three funding pathways available under the International Waters Focal Area: 1) the Full Project Brief Pathway, 2) the Medium-Size Project Brief Pathway, and 3) the Small Grants Program Project Brief Pathway.
- ☐ You have investigated whether your idea may involve a situation that requires a SAP to be developed before a project brief can be proposed.
- ☐ You have written a concept paper based on the format developed by GEF and provided in this guide.
- ☐ You have obtained a written endorsement of the concept paper from GEF Focal Points in at least one GEF eligible country.
- ☐ You have submitted this concept paper to an Implementing Agency (UNEP, UNDP, or the World Bank).

- ☐ Your concept paper has either been approved by the IA, or, if not, then you are either strengthening your concept paper for resubmission or asking the GEF Secretariat or another IA for a second opinion.
- ☐ If your concept paper was approved, then you have looked over Box #10, and, based on the specifics of your situation, you have consulted with your IA International Waters specialists and decided whether your project situation will require a SAP.
- ☐ You have decided, in consultation with one of the IAs which route to take down your funding pathway.
- ☐ Having decided upon your specific route, you are now beginning to write your second document—a preparatory proposal. Your first was the concept paper. Now your second is either a Block A, a Block B or a SAP proposal.
- ☐ This leads us to where most of you will be now—at the stage of writing a Block A, a Block B, or a SAP proposal.

You are now starting to develop a Full Project brief or a Medium-Size Project brief. Your next step will most likely be to develop a Block A proposal or a Block B proposal. The guidance provided to you already should help you produce these, especially with the assistance of the one of the IA's.

See Section II, Step #8 for a review of the different roles of the Block A and Block B preparatory grants.

Given the complexity and uniqueness of each International Waters project situation, it does not make sense for us to try and provide you with much more detailed insight into how to put together a project brief for International Waters. Once you have made it as far as you have here, you should be well along in your cooperation with one of the Implementing Agencies' International Waters specialists.

See Section Two, Steps #9 and 10 for a discussion of key issues related to writing a strong GEF project brief, as well as issues that can arise related to actual implementation of project activities. 



Annexes

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Annex I: GEF Biodiversity Focal Area Operational Programs

Operational Program #1: Arid and Semi-Arid Zone Ecosystems

Objective

The conservation and sustainable use of the biodiversity in arid and semi-arid ecosystems.

Areas of Emphasis

- Protected areas, size
- Absorptive capacity
- Reduced fragmentation (threat removal)
- Sustainable use
- Incorporation of biodiversity protection into the main productive sectors of the economy
- Strengthened institutions and well-trained staff

Examples of traditional conservation-oriented activities that GEF is able to support:

- ① Demarcating, gazetting, strengthening, expanding and consolidating conservation areas.
- ② Assessing the impact of natural disturbances and the compound effect of anthropogenic stress.
- ③ Control of alien, invasive species.
- ④ Capacity-building for biosafety activities formulated on a case-by-case basis in the context of a specific project responding to country-driven national priorities.
- ⑤ Identifying components of biological diversity important for its conservation with regard to the indicative list of Annex I of the CBD.
- ⑥ Identifying processes and categories of activities that have or are likely to have significant adverse impacts on the conservation of biodiversity.
- ⑦ Piloting selected activities that are country-driven national priorities and that develop and/or test methods, such as rapid biological/social assessment or data management systems of importance for the conservation of biodiversity.
- ⑧ Demonstrating and applying techniques to conserve biodiversity important to agriculture, such as wild relatives of domesticated plants and animals.
- ⑨ Collaboration with indigenous and local communities to conserve and maintain their knowledge, innovation and practices relevant to conservation of biological diversity.

- ⑩ Incorporating components for targeted research important for biological diversity conservation when relevant to project objectives and consistent with national priorities.
- ⑪ Including sustainable use awareness components when relevant to project objectives and consistent with national priorities.

GEF can support sustainable development activities in areas surrounding critical habitats that require integration of biodiversity protection and sustainable development into sectoral plans. Typical examples:

- ① Integrating biodiversity conservation and sustainable use objectives in land use and natural resource use management plans.
- ② Pilot projects providing alternative livelihoods for local and indigenous communities residing in buffer zones of globally important biological areas.

GEF is able to support the modification of existing activities in order to protect biodiversity. Examples of those activities are:

- ① Integrated rural development on a sustainable basis, e.g. range management involving not only livestock, but also agriculture, infrastructure, marketing, wildlife, and tourism.
- ② Soil conservation and restoration of degraded areas to conserve biodiversity.
- ③ Natural resources management activities that emphasize integrated resource use with conservation and development, such as use of water resources and its distribution in order to spread out grazing pressure and prevent vegetation deterioration.
- ④ Energy conservation projects that emphasize conservation of trees and alternative energy sources to conserve the natural vegetation.
- ⑤ Establishing long-term cost recovery mechanisms and financial incentives for sustainable use.

Operational Program # 2: Coastal, Marine and Freshwater Ecosystems

Objective

The conservation and sustainable use of the biological resources in coastal, marine, freshwater ecosystems, including lakes, rivers, wetlands and island ecosystems.

Areas of Emphasis

- Tropical island ecosystems
- Threat removal (i.e. cleaning up the watershed to avoid polluting the coastal area)
- Incorporation of the protection of coastal and freshwater biodiversity into main economic activities
- Sustainable use of biological diversity
- Strengthened institutions and well-trained staff

Examples of traditional conservation-oriented activities that GEF is able to support:

- ① Demarcating, gazetting, strengthening, expanding and consolidating systems of conservation areas, particularly in critical habitats or representative systems of coastal, marine and freshwater conservation areas.
- ② Assessing the impact of natural disturbances and the compound effect of anthropogenic stress.
- ③ Remedial actions in areas under threat.
- ④ Control of alien, invasive species.
- ⑤ Capacity-building for biosafety activities formulated on a case-by-case basis in the context of a specific project responding to country-driven national priorities.
- ⑥ Identifying components of biological diversity important for its conservation with regard to the indicative list of Annex I of the CBD.
- ⑦ Identifying processes and categories of activities that have or are likely to have significant adverse impacts on the conservation and sustainable use of biodiversity.
- ⑧ Piloting selected activities that are country-driven national priorities and that develop and/or test methods such as rapid biological/social assessment, and data management and analysis systems for the conservation of biodiversity.
- ⑨ Demonstrating and applying techniques to conserve biodiversity importance to agriculture, such as wild relatives of domesticated plants and animals.
- ⑩ Collaboration with indigenous and local communities to conserve and maintain their knowledge, innovation and practices relevant to conservation of biological diversity.
- ⑪ Incorporating components for targeted research important for biological diversity conservation when

relevant to project objectives and consistent with national priorities.

- ⑫ Including sustainable use awareness components when relevant to project objectives and consistent with national priorities.

Examples of activities that could be modified specifically to sustainably manage biodiversity:

- ① Integrating biodiversity conservation and sustainable use objectives in water and land use, and natural resource use management plans.
- ② Integrated pilot projects providing alternative livelihoods to local and indigenous communities residing in buffer zones of globally important biological areas.
- ③ Tenure reform and land titling in the buffer zones—in the coastal zone, marine environment, and freshwater systems around globally important protected areas.
- ④ Reducing habitat fragmentation, encroachment, and pollution.
- ⑤ Establishing long-term cost recovery mechanisms and financial incentives for sustainable use.

Operational Program # 3: Forest Ecosystems

Objective

The conservation and sustainable use of the biological resources in forest ecosystems.

Areas of Emphasis

- Complementarity
- Protected areas, size and corridors
- Absorptive capacity
- Reduced encroachment
- Incorporation of biodiversity protection into the main productive sectors of the economy
- Sustainable use
- Institutional strengthening

Examples of traditional conservation-oriented activities that GEF is able to support:

- ① Demarcating, gazetting, strengthening, expanding, and consolidating protected forest areas, and maintaining forest corridors within the main productive landscapes, particularly in areas that are critical habitats or of importance for migratory species.
- ② Assessing natural disturbances and the compound effects of anthropogenic stress.
- ③ Remedial actions in forest under threat.
- ④ Control of alien, invasive species.

- ⑤ Capacity-building for biosafety activities formulated on a case-by-case basis in the context of a specific project responding to country-driven national priorities.
- ⑥ Identifying components of biological diversity important for its conservation with regard to the indicative list of Annex I of the CBD.
- ⑦ Identifying processes and categories of activities that have or are likely to have significant adverse impacts on the conservation of biodiversity.
- ⑧ Pilot activities that develop and/or test methods such as rapid biological/social assessment, and data management and analysis systems for the conservation of biodiversity.
- ⑨ Demonstrating and applying techniques to conserve biodiversity important to agriculture, such as wild relatives of domesticated plants and animals.
- ⑩ Collaboration with indigenous and local communities to conserve and maintain their knowledge, innovation and practices relevant to conservation of biological diversity.
- ⑪ Incorporating components for targeted research important for biological diversity conservation when relevant to project objectives and consistent with national priorities.
- ⑫ Including sustainable use awareness components when relevant to project objectives.

GEF can support sustainable development activities in areas surrounding critical habitats that require integration of biodiversity protection and sustainable development into sectoral plans.

In addition, consistent with the incremental cost approach, GEF could pay for activities that could be modified specifically to protect biodiversity. Typical examples are:

- ① Integration of biodiversity conservation and sustainable use objectives in land use and natural resource use management plans.
- ② Integrated pilot projects providing alternative livelihoods to local and indigenous communities residing in buffer zones of globally important biological areas.
- ③ Integrated conservation and development projects around protected forests.
- ④ Participatory management of natural resources and alternative livelihoods.
- ⑤ Tenure reform and land titling in the buffer zones around important protected forests.
- ⑥ Sustainable production/use of natural products (e.g. sustainable forest management practices).
- ⑦ Improvement in rural and community wood lots

specifically to remove pressure on fuel wood obtained from protected forests; adjustment of sustainable logging regimes to protect natural habitats of global significance; intensification of agricultural productivity in surrounding areas to minimize encroachment on marginal forested areas of high biodiversity value.

- ⑧ Establishing long-term cost recovery mechanisms and financial incentives for sustainable use.

Operational Program # 4: Mountain Ecosystems

Objective

The conservation and sustainable use of biological resources in mountain ecosystems

Areas of emphasis

- Complementarity
- Protected areas, size and linkage
- Absorptive capacity:
- Threat removal
- Sectoral integration
- Sustainable use
- Institutional strengthening

Examples of traditional conservation-oriented activities that GEF is able to support:

- ① Demarcate, gazette, strengthen, expand, and/or consolidate protected mountain areas and their buffer zones; create and strengthen participatory and co-management schemes to build local ownership; promote transborder protected areas and their cooperative management.
- ② Develop socio-economic activities to reconcile biodiversity conservation with human needs.
- ③ Assess the impact of natural disturbances and the compound effects of anthropogenic stress.
- ④ Linking in situ conservation of wild species and genetic material with agro-biodiversity.
- ⑤ Controlling alien, invasive species.
- ⑥ Strengthening capacity-building for biosafety activities formulated on a case-by-case basis in the context of a specific project responding to country-driven national priorities.
- ⑦ Identifying components of biological diversity important for its conservation with regard to the indicative list of Annex I of the CBD.
- ⑧ Identifying processes and categories of activities that have or are likely to have significant adverse impacts on the conservation and sustainable use of biodiversity.

- ⑨ Piloting selected activities that are country-driven national priorities and that develop and/or test methods and tools, such as rapid biological/ecological/social assessment, geographic information systems, and data analysis systems of importance for the conservation of biodiversity.
- ⑩ Demonstrating and applying techniques to conserve biodiversity important to agriculture, such as wild relatives of domesticated plants and animals.
- ⑪ Collaboration with indigenous and local communities to conserve and maintain their knowledge, innovation and practices relevant to conservation of biological diversity.
- ⑫ Incorporating components for targeted research important for biological diversity conservation when relevant to project objectives and consistent with national priorities.
- ⑬ Including sustainable use awareness components when relevant to project objectives.

GEF can support sustainable development activities in areas surrounding critical habitats that require integration of biodiversity protection and sustainable development into sectoral plans. Typical examples:

- ① Integration of biodiversity conservation and sustainable use objectives in land use and natural resource use management plans.

- ② Integrated pilot projects providing alternative livelihoods to local and indigenous communities residing in buffer zones of globally important biological areas.

In addition, consistent with the incremental cost approach, GEF could pay for activities that could be modified specifically to protect biodiversity. Typical examples are:

- ① Integrate land use development and sustainable management, alternative livelihoods and poverty alleviation programs, and tenure reform and land titling (in and around protected mountain areas and their buffer zones, and in riparian corridors, river basins and watersheds that link highland with lowland ecosystems).
- ② Soil conservation and restoration of degraded mountain areas to conserve biodiversity;
- ③ Conservation of agro-biodiversity and its linkage to sustainable use practices.
- ④ Energy conservation projects and alternative energy sources (such as solar, mini-hydro, and wind) in order to conserve the natural mountain vegetation.
- ⑤ Establishing long-term cost recovery mechanisms and financial incentives for sustainable use.

Annex II: Medium-Size Project Concept Paper

Any entity proposing a Medium-Size Project should submit a project concept paper to one of the GEF Implementing Agencies. The purpose of the concept paper is to:

- provide sufficient substantive information to enable the Implementing Agency to understand the rationale for GEF financing and the context in which the proposed activities will be undertaken;
- enable the Implementing Agency to determine whether the project concept is eligible for GEF funding; and
- provide information needed by the government focal point to determine whether the government favors development of the project concept.

Eligible projects should:

- be undertaken in an eligible country;
- be consistent with national priorities and programs;
- address one or more of the focal areas;
- be consistent with the Operational Strategy, including its operational programs or short-term measures;
- cover only the agreed incremental costs of measures to achieve global environmental benefits in the focal areas;
- provide for public involvement in project design and implementation; and
- be endorsed by the government(s) of the country/countries in which the project is being implemented.

If the project proposer wishes to check whether (a) the project is being undertaken in an eligible country and/or (b) it is consistent with the Operational Strategy, he or she can send the concept initially to the GEF Secretariat, which will inform the proposer whether the concept meets these basic eligibility requirements. If so, the concept should then be sent to an Implementing Agency for further consideration.

The Implementing Agency will inform the project proposer whether the concept should be developed into a fuller project proposal. If so, the Implementing Agency may assist the proposer in developing a project brief. A request for financial assistance to prepare the project brief may be submitted using the form for project preparation financing included in this information kit.

Annotations to the Project Concept Paper

- ① **Project Name** The name usually explains what the project is expected to achieve.
- ② **Proposed GEF Implementing Agency** This should indicate to which Implementing Agency (UNDP, UNEP, World Bank) the project proposer will submit the project concept paper. If the concept is submitted to more than one Implementing Agency, this should be indicated in the concept paper.
- ③ **Country or Countries in Which the Project Is Being Implemented** If the project is to be implemented in more than one country, its title can reflect that it is to be implemented in a given region, but the names of all the countries in which the project is to be implemented should be included in the proposal. If the project has global applications, it should be called a global project.
- ④ **Country Eligibility** Countries may be eligible for GEF funds in one of two ways: (1) if they are eligible for financial assistance through the financial mechanism of either the United Nations Framework Convention on Climate Change or the Convention on Biological Diversity (those developing countries that have ratified the convention are eligible under the convention's rules); or (2) if they are eligible to borrow funds from the World Bank (IBRD and/or IDA) or to receive technical assistance from UNDP through a Country Programme. In both cases, a country must have ratified the climate change or biodiversity convention to receive GEF funds in the relevant focal area.
- ⑤ **GEF Focal Area** The relevant focal area(s) (biodiversity, climate change, international waters, ozone depletion) should be listed. Some projects cut across several or all focal areas.
- ⑥ **Operational Program/Short-Term Measure** Medium-Size Projects should fall into at least one GEF operational program or be a short-term measure, as defined by the Operational Strategy.
- ⑦ **Project Linkage to National Priorities, Action Plans, and Programs** This should explain how the project is linked to national priorities, environmental action plans, relevant sectoral activities and other national activities.

⑧ **Status of GEF National Operational Focal Point Review**

This section should indicate when the concept has been submitted to an operational focal point for endorsement and when it has been endorsed. Project preparation funds cannot be released until the concept paper has been endorsed by the operational focal point.

⑨ **Project Rationale and Objectives** This should explain the goal and purpose of the project. It should also explain briefly the relationship of the GEF-financed activities to the baseline (or co-financed) activities.

⑩ **Expected Outcomes** This should identify which concrete results (changes) are expected from the project in order to address global environmental issues (i.e. it should explain the global environmental benefits of the project).

⑪ **Planned Activities to Achieve Outcomes** This should identify what specific activities the project will undertake to achieve expected outcomes benefiting the global environment.

⑫ **Stakeholders Involved in Project** This should briefly describe stakeholder groups that will be involved in the project and/or those groups affected by the project activities.

⑬ **Information on Project Proposer** Information on the proposer should include: name, type and location of the entity. Additional information, such as the date of establishment, mandate/terms of reference, and membership/leadership of the entity, evidence of registration/accreditation, latest annual budget (including sources of revenue), and relevant experience or activities, including prior or ongoing activities with the Implementing Agencies, can be attached to the concept paper.

⑭ **Information on Executing Agency** If the project proposer intends to execute the project, information should be provided on its unique or special qualifications for this role. If a different entity is expected to execute the project on the ground, information should be included, as appropriate, on the name, type, and location of such entity. Additional information, such as the date of establishment, mandate/terms of reference, membership/leadership of the entity, latest annual budget (including sources of revenue), and relevant experience or activities, including prior or ongoing activities with the Implementing Agencies, can be attached to the concept paper.

⑮ **Estimated Budget** The budget should include a preliminary estimate of the GEF-financed portion of project execution costs, the portion expected to be financed by other sources and the total.

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EXAMPLE Medium-Size Project Concept Paper: Parangaricuti

- ① **Project Name**
Parangaricuti nature conservation and sustainable use project through medicinal plants management
- ② **GEF Implementing Agency**
United Nations Development Program (UNDP)
- ③ **Country or Countries in Which the Project is Being Implemented**
Swalti, Parangaricuti and Rimicuari States
- ④ **Country Eligibility**
CBD ratification: January 19, 1995
- ⑤ **GEF Focal Area(s)**
Biodiversity
- ⑥ **Operational Program/Short-Term Measure**
This proposal would fall within the Forest and Mountains Operational Programs. Experience gained during project preparation and implementation should help other indigenous and local communities in the region to address conservation and sustainable use issues. It would also set the stage for GEF support on this important thematic area of COP guidance.
- ⑦ **Project Linkage to National Priorities, Action Plans, and Programs**
Swalti has one of the highest indigenous populations in the region. Approximately 70 percent of the population is indigenous and are distributed in two distinct geographic areas: the Parangaricuti in the highlands and central valleys, and the Rimicuari in the lowlands of the oriental part of the country. The government of Swalti has identified both regions as of the highest priorities in its National Biodiversity Strategy to address the preservation and maintenance of knowledge, innovations and practices of indigenous communities embodying traditional lifestyles. With this action, the government hopes to promote the wider application of indigenous knowledge with the approval and involvement of the holders of such knowledge and encourage the equitable sharing of benefits generated by that knowledge and practices.
- ⑧ **Status of GEF National Operational Focal Point Review (Dates)**
Submitted: March 15, 1997 Acknowledged: Pending Endorsed: Pending
- ⑨ **Project Rationale and Objectives**
The project will assist in conserving and sustainably managing nationally significant medicinal plants, their habitats, species and genomes. Particular attention will be given to endemic species and those under threat by protecting them in-situ and by cultivating them in home gardens. Medicinal plants provide a vital contribution to health services throughout Swalti and neighboring countries and are especially important to the rural poor. Sustainable use will be boosted through ex-situ propagation/conservation in the region and by monitoring levels of extraction and impact on wild populations.
- ⑩ **Expected Outcomes**
A viable management system for medicinal plants and animals under intense use; increased cultivation and production of selected medicinal plants and animals on farms and in home gardens; indigenous information on medicinal plants and animals recorded, used, stored and preserved; improvement of the indigenous capacity to conserve plant species improved.
- ⑪ **Planned Activities to Achieve Outcomes**
Expansion of in-situ conservation including establishing four key botanical reserves in both states; establishing community organizations and management for botanical reserves; planting and natural regeneration of selected species; promotion of alternative village income through the medical attention and training to be provided on site. On sustainable use, of rates and levels of extraction of selected plant and animal species used for medicinal purposes will be monitored through agreed methods, management plan of extractive activities will be established and sylvicultural options pursued based on improved natural resource management practices. On the policy side, the government will promote appropriate legal and policy frameworks and will strengthen the multi-disciplinary capacity in the health sector to make use of lessons learned and best practice; benefit sharing pilot initiatives will be established.
- ⑫ **Stakeholders Involved in Project**
Stakeholder involvement through "shamans" has been strong, western trained medical doctors have been somewhat reactive about the approach and the project will make efforts to bring them into the project. The project will start in the indigenous states and may expand to other regions as part of the regular country's health program. Strong awareness program will be set in motion before the project begins to create a more receptive attitude.
- ⑬ **Information on Project Proposer**
The project will be coordinated by the Parangaricuti and Rimicuari Solidarity Committees. These have been established as regional NGOs with institutional development support from international and nationally recognized NGOs.
- ⑭ **Information on Executing Agency (if different from above)**
Same as above.
- ⑮ **Estimated Budget (in US\$ or local currency)**
GEF: \$525,000 Co-financing: \$25,000 (in-kind) TOTAL: \$550,000
Incremental costs will be calculated based on the agreed policies, estimation will be completed during project preparation.

Medium-Size Project Concept Paper

① Project Name

② GEF Implementing Agency

③ Country or Countries in Which the Project is Being Implemented

④ Country Eligibility

⑤ GEF Focal Area(s)

⑥ Operational Program/Short-Term Measure

⑦ Project Linkage to National Priorities, Action Plans, and Programs

⑧ Status of GEF National Operational Focal Point Review (Dates)

⑨ Project Rationale and Objectives

⑩ Expected Outcomes

⑪ Planned Activities to Achieve Outcomes

⑫ Stakeholders Involved in Project

⑬ Information on Project Proposer

⑭ Information on Executing Agency (if different from above)

⑮ Estimated Budget (in US\$ or local currency)

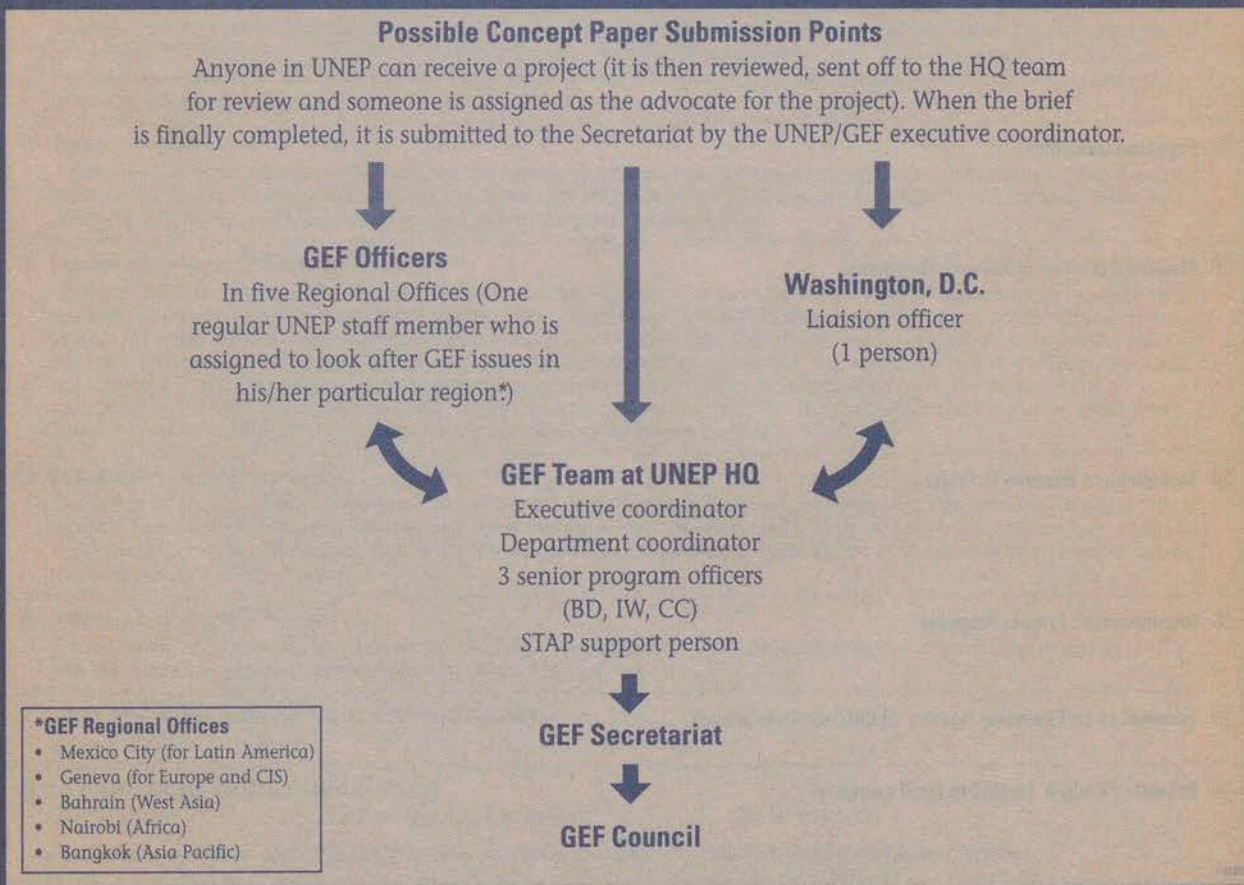
Annex III: What Happens to My Project Concept When It Is Submitted to One of the IAs?

What happens to your project concept paper (or any other paperwork) once it is submitted to GEF? Where does it go? Before you begin working with one of the Implementing Agencies on the detailed development of your project concept into a project brief, perhaps a little background information is in order so you can understand just what happens to your paperwork once it goes to one of the Implementing Agencies.

A project concept can be submitted to almost any official within each one of the three agencies. If you have built a relationship with anyone in one of the agencies, see if you can use that person as your

concept paper's advocate. These are big bureaucracies, and it always helps to have someone inside looking out for your proposal. But regardless of your entry point to one of the agencies, your concept paper ultimately will make it to the GEF officers within the particular IA, although each agency processes these things internally in a different way. The following figures are intended to give you at a glance an overall idea as to the general "who's" and "where's" of their work, so you can have a better idea of which people to contact and what to expect. We think this kind of information will help you, the project developer, in being more strategic and effective in dealing with the agencies.

Movement of GEF Project Concept Papers at UNEP



Movement of GEF Project Concept Papers at the World Bank:

Possible Concept Paper Submission Points

One can submit a concept to any World Bank representative although it will soon find its way to the country offices and the GEF Coordination Unit.

World Bank Headquarters

Country offices located at HQ:
Country managers
Sector leader

Country Offices

Located in-country
Resident representative
Sector team

GEF Coordination Unit

4 regional coordinators:
• Latin America & East Asia •
• Africa & South Asia •
• Europe & Central Asia •
• Middle East & North Africa •
2 Biodiversity specialists
1 International Waters specialist

GEF Secretariat

GEF Council

Movement of GEF Project Concept Papers Within UNDP:

Possible Concept Paper Submission Points

All must start with their UNDP country office, but one can submit a concept to the regional coordinator or the chief technical advisor.

UNDP Country Offices

133 offices worldwide
Environmental officer
(1 person usually)

UNDP Headquarters

Primary responsibility:
GEF regional coordinators
(1 for each 5 regions)

UNDP-GEF Chief Technical Advisor*

International Waters
or Biodiversity

GEF Secretariat

GEF Council

*If submitted to the technical advisor, a concept paper is passed on to the regional coordinator who, in turn, will pass them on to the appropriate country office for approval and formal submission into the UNDP-GEF pipeline.

Annex IV: Proposal for PDF Block A Grant of US\$22,000 Numenor

Part I: (to be completed by World Bank)

1. a) **Project Title:** Forest Management and Monitoring Program (FMMP) for environmentally sustainable forestry in Numenor
b) **ID No:** —
c) **Implementing Agency:** World Bank
d) **Executing Agency:** Tree Savers
e) **IA Focal Point:** —
f) **Principal Focal Area:** Biodiversity
g) **Cross-cutting area:** —
h) **Scope:** National
i) **Country:** Numenor
j) **Country Endorsement:** Letter from Department of Environment and Conservation supporting this proposal and Numenor National Executive Council approval of Aman Integrated Conservation and Development Project (both attached).
k) **National Focal Point:** Tree Savers Aman ICDP/Department of Environment and Conservation
2. **Country Eligibility:** Numenor ratified the Biodiversity Convention in July 1993.
3. **Program Eligibility:** The proposed project consists of developing a model forest management and monitoring program for environmental and social impacts of environmentally sustainable forestry to maximize the conservation of biological diversity.
4. **Region and Country Priority:** Numenor
5. **Nature and Scope of Expected Project:** The main objective of the project is to develop a forest management and environmental and social monitoring program which will meet guidelines established by the Forestry Stewardship Council (FSC). A model FMMP will be prepared for an operation in the Aman ICDP, and through this, operational guidelines elaborated for FSC certified operations in Numenor. The guidelines will identify needed actions to conserve biological diversity (both within and outside of production forests), maximize social benefits, and achieve sustainable wood production in the biological and cultural context of Numenor. The guidelines will be developed in the context of the current Numenor Logging Code of Practice and provide recommendations on necessary modifications in order to achieve sustainability. This has not been done before and is needed if independently certified environmental forestry is to be tested as an alternative to existing unsustainable industrial forestry practices in Numenor.
6. **Linkage of the FMMP to IA Program:** The forestry sector portion of the Structural Adjustment Credit helped the government to develop and approve Numenor's Logging Code of Practice, which promotes sustainable yields of timber in Numenor. However, this code needs to be improved and applied to make forestry operations sustainable from the biological and cultural standpoints, the sustainable use standpoint. This PDF would support the practical adaptation and enhancement of the Code of Practice to real situations through a pilot operation in the Aman Basin. The envisaged project is a possible candidate for the proposed medium grants window of the IFC's Small and Medium Scale Enterprise Program. Should this source of funds not be approved, the Bank Group will undertake to mobilize funding through other sources such as NGOs, foundations, bilateral and multilateral agencies, and ongoing GEF activities under which this operation might qualify.
7. **IA Contact Person:** Jan Hitchcock, Principal Economist, EA3

Part II: Information on Grant Activities

1. **Summary of project objectives and description.** The objective of the project is to establish a forest management and monitoring program (FMMP) for environmentally sustainable forestry operations in the lowland tropical forests of the Aman River Basin of Numenor, and elaborate Forest Stewardship Council (FSC) guidelines for independently certified forestry in Numenor. The project will have two activities and outputs: 1) the development of a model FMMP for a specific pilot eco-forestry operation in the Aman ICDP; and 2) the development of operational guidelines for FSC certified operations in Numenor. For the Aman ICDP pilot FMMP, FSC principles will be elaborated

upon based on existing biodiversity assessments, forest inventories and local community participation programs that have been carried out under Tree Savers supervision in the Aman ICDP. A multidisciplinary team including a tropical forester, conservation biologist, social scientist, FSC Numenor board member, representation of Numenor Forests Authority and Department of Environment and Conservation will develop the specific criteria that would be the basis for FSC certification.

The Project funding will permit the team to help Tree Savers synthesize existing information into a specific FMMP for those communities who will be participating in the proposed environmentally sustainable forestry operations. The FMMP will address the needs of the Aman lowland tropical forests and customary land owners.

For the development of operational guidelines for FSC certified operations in Numenor, the multidisciplinary team will draw on information from the pilot FMMP for the Aman ICDP to inform a workshop of key stakeholders. The workshop will clarify how the applicability of the model may vary depending on the scale (i.e., from smaller community based to larger industrial) of forestry operations. The workshop will also clarify how social and ecological monitoring may be accomplished depending on the scale of operations as mentioned above. The workshop will confirm broad guidelines for Numenor.

2. **GEF Thematic Area:** Biodiversity

3. **Expected Global Benefits.** The FMMP and elaborated FSC guidelines will have the following global benefits: 1) Facilitate timely certification for a pioneering sustainable forestry initiative in Numenor, which is urgently needed in order to mitigate the imminent habitat destruction of proposed industrial logging by other firms and thus conserve globally important biodiversity in the 2.3 million hectare Aman River Basin. 2) Provide a model FMMP for other parts of Numenor that could facilitate FSC guidelines to take hold on a national level and also serve as a model for other [tropical countries which have very diverse timber species and/or landowner patterns based on customary rights or similarly local control/ ownership of forest resources.
4. Description of PDF activities by component for GEF-funded projects. This grant would be used to cover the costs of a multidisciplinary team that will develop the specific FMMP for the lower Aman River Basin and the FSC guidelines for Numenor.
5. Expected outputs and completion date. The team will conduct its field work in Aman in July or August 1996. It is expected that 1.5 weeks in the field working with Tree Savers field staff and local clan members representing broad coverage of lower Aman will permit the team to complete the pilot FMMP for the Aman ICDP, and three days in Port Balar will be needed for the workshop.
6. Other contributors and national level support. Tree Savers will provide logistical support in Aman as well as contributing the participation of some of the ICDP technical field staff. Tree Savers will also facilitate the participation of local clan members through Save the Tree's existing community awareness program. The Thorin Pine Company, an FSC-certified supplier of timber, will contribute technical inputs to the field work regarding proposed timber harvesting procedures. The Numenor government's Department of Environment and Conservation (DEC) will contribute time of pertinent staff to participate in the project. The Department of Environment and Conservation and Forest Authority will participate in the workshop to develop guidelines.

7. Items to be Financed (US\$)	PDF Grant	Other Contribution
a) Personnel (including two international airfares)	17,620	
b) Accommodations	1,500 - Lorien	4,000 (8 persons @ \$50/day x 10 days)
c) Local travel within Numenor (Mandos-Lorien Mandos)	8 x 360	
d) Tree Savers contribution	—	
Technical staff		2 staff
Administrative/Logistical		
e) Thorin Pine contribution	—	one person
f) Numenor government contribution	—	two persons
Total	\$22,000	\$14,000

Team

Conservation Biologist:	Person X (Tree Savers contribution)
International Tropical Forester:	to be confirmed
Social Scientist:	Person Y (Tree Savers contribution)
FSC Board Member:	Person Z
Numenor Forester:	to be confirmed
Forest Authority:	to be confirmed
Thorin Pine Company: DEC:	to be confirmed
DEC:	to be confirmed

Part III: Background on the Applicant Institution

1. **Applicant:** Tree Savers.
2. **Background:** Tree Savers was established in 1981. Its mission is the conservation of biological diversity.
3. **Organizational structure:** Tree Savers is a not-for-profit organization based in Numenor.
4. **Leadership:** The President of Tree Savers is Jane Doe and a 12-person board of directors.
5. **Membership:** Tree Savers has more than 10,000 members in Numenor.
6. **Recent Programs:** Summaries available upon request.
7. **Publications:** Publication list available upon request.
8. **Annual Budget and Sources of Revenue:** Fiscal Year 1995 annual budget was \$600,000. Sources were as follows: General membership (43%); Foundations (6%); Government (sources 30%); Corporations (4%); Investment income and miscellaneous (17%).

Contact Persons: Person A,B,C
Tree Savers
Tel. & Fax

Annex V: Global Environment Facility Proposal for Project Development Funds (PDF) Block B Grant

Country: Eriador

Project Name: Biodiversity Conservation and Environmental Management in the Northern Balar-Nurnen Sea Corridor

Requesting Agency: World Bank

Executing Agencies: World Bank working with Ministry of Environmental Protection and Nuclear Safety (MEP)

Estimated Cost: US\$7.85 million

Financing Plan (tentative): GOE—US\$750,000

GEF—US\$3.45 million, Co-financing—US\$3.65 million

Project Duration: Four years

PDF Block B Funds Requested: US\$250,000

PDF Co-Financing: US\$30,000 (GOE) (in-kind) US\$100,000 (Danish Environmental Protection Agency)

Background

1. Eriadorian territory covers 37% of the Nurnen and Balar Sea coasts and includes the most diverse and extensive coastal wetland and nearshore marine habitats in the Nurnen Sea region. The coastal region contains a mosaic of globally and internationally significant wetland and marine communities, agricultural lands, factories and major population centers, with an estimated 7 million inhabitants. The natural areas function as an ecological corridor along the northwestern border of the Nurnen Sea. One element of the corridor is the flyway for millions of migratory waterbirds that overwinter there or pass through adjacent seas. These wetland and marine ecosystems are threatened by habitat loss, pollution, and inadequate monitoring and protection.
2. **International and Global Importance of Biodiversity in the Corridor.** The diverse wetland communities found in the northwestern shelf are unique in the Nurnen Sea. The shallow fresh and salt water communities and mudflats comprise one of the largest wetland complexes in the world. They are also components of an ecological corridor that links natural communities in the northern Nurnen Sea region and provide critical wintering and feeding habitat for over a million waterbirds migrating through the northwest shelf along various continental flyways. Fifteen out of the continent's 27 threatened bird species stop over or breed in the Nurnen Sea, and the wetlands of the NW shelf support the majority of the world's populations of the white pelican and the red-breasted goose. The survival of some species depends on these wetlands. For example, an estimated 60% of the world population of the broad billed sandpiper use these wetlands for stopover and molting. In addition, the region contains areas of undisturbed steppe, Eriador's most endangered habitat. These steppe communities are species-rich and support a large number of endemic plant and animal species. Together, the marine, wetland and adjoining steppe communities support more than 100 species found in the Red Data Book of Eriador and the IUCN Red List.
3. The terrestrial and marine biota of the project region have been impacted by human activities that have adversely affected other regions of the Nurnen Sea. Steppe and wetland habitats have been converted to suburban development, fish ponds and other agricultural uses and undisturbed habitats are threatened with conversion. Some sites have been degraded by pollution from domestic, municipal, and industrial wastes and agricultural runoff, marine pollution from shipping industry, unsustainable land use practices and overharvesting. The Phyllophora algal fields, which support abundant and diverse benthic and fish communities, have been impacted by overharvesting and eutrophication. Some underlying causes of these impacts are inadequacies in many aspects of land and water use, planning and enforcement, and public involvement programs. The new government is committed to changing these practices and the policies that support them.
4. **Links With Regional Strategic Work.** The project would implement priority actions identified by recent strategic work, including the regional Nurnen Sea Environment Program. It also complements two Bank loan projects in the region that are under preparation: the Umbar Municipal Infrastructure Project and the Southern Eriador Environment Project. The Umbar Municipal Infrastructure and Southern Eriador Environment projects focus on water and wastewater issues in urban environments, with limited proposed development objectives in natural communities. These projects address engineering investments in water infrastructure, utility and tariff reform,

and training and equipment to strengthen programs in environmental regulation and water quality monitoring. Because these projects address sewage treatment facilities (in addition to water delivery systems), the quality of wastewater discharged into the Nurnen Sea and its tributaries would be improved, a priority identified by the Nurnen Sea Environment Program. The proposed project would complement the MEDWET program by conserving stopover/wintering/breeding sites used by birds that also utilize neighboring wetlands (e.g., in Rohan and Isengard).

5. **Links with National Biodiversity Conservation Priorities.** This proposal builds on the results and recommendations of previous and ongoing dialogue with the GOE on Eriadorian conservation priorities. The project concept was the consensus of Eriadorian MEP staff, scientists, educators and NGOs. The activities are identified as national priorities in the following documents:
 - (i) *Eriador National Biodiversity Strategy*: The National Biodiversity Strategy, now in preparation, identifies the project region as one of three centers of Eriadorian biodiversity, and as the highest national priority for improving the protection of threatened ecosystems.
 - (ii) *Nurnen Sea Strategic Action Plan (NSSAP)*: The 1996 NSSAP identifies the priority actions for achieving sustainable development in the Nurnen Sea region. This biodiversity proposal would directly address biodiversity and landscape protection objectives and indirectly address complementary Bank projects to control pollution and land use impacts through improved practices in monitoring, environmental management, and enforcement.
 - (iii) *Biodiversity and Nurnen Sea Wetlands Strategies and Coastal Zone Management Activities*. Biodiversity strategy and planning activities completed in the last two years have each established the priorities adopted in the provincial wetlands proposal. These include the 1994 "Eriador: Suggested Priorities for Environmental Protection and Natural Resource Management," the 1994 "Conservation of Nurnen Sea Wetlands: A Review and Preliminary Action Plan," the 1995 "Report on the Biodiversity of the Eriadorian Nurnen Sea Area" and the 1996 "Coastal and Marine Biodiversity of the Nurnen Sea: A Regional Investment Strategy" (RIS).
6. **Lessons Learned From Pilot Phase GEF Activities.** The lessons learned from other GEF-financed activities, including the Danube Delta project and the Nurnen Sea Environment Program, and from other environmental projects in the region, include: i) Maintain support for building capacity in the MEP, but emphasize its regional offices. The MEP has been strengthened in recent years, in part through GEF-funded activities, which has yielded improvements in environmental management. The project would contribute to further strengthening the MEP and the provincial Committee for Environmental Protection, especially their regional offices. ii) Increase the involvement of NGOs. The project calls for extensive NGO participation, and the implementation of these components would be facilitated by an NGO representative working within the PCU. iii) Improve the connection of the project with socio-economic and regional development: Local resource users asked that sustainable development rather than strict protection be emphasized under the project, which has been incorporated into the project design for the protected areas; and iv) Emphasize social aspects of management planning and implementation. The management planning exercises in the GEF biodiversity projects in the eastern hemisphere that are nearing completion left insufficient time for public participation, consensus building and broader issues of management planning. Under this proposed project, the management plans would be drafted based on existing information and would identify specific field studies needed for the final plan. This would allow focusing on the social aspects of management planning.
7. **Project Objectives** The general objective of the project is to conserve biodiversity and assist with sustainable development on the Eriadorian coast and upland sites of the Nurnen Sea and the Sea of Balar. The specific project objectives are to: i) establish a network of regional and national protected marine, wetland, and upland areas within the Eriador Balar-Nurnen Sea coastal zone; ii) strengthen the governmental and nongovernmental organizations involved in environmental management of the region and improve the regulatory framework for environmental protection of flyway ecosystems; iii) improve the knowledge and awareness of local communities on the ecologic and economic value of the wetlands, associated upland landscapes, and waterbird resources; and iv) support international cooperation activities under the Agreement on the Conservation of Continental Migratory Waterbirds recently signed by Eriador, including monitoring migratory waterbirds.
8. **Project Description** The project components are as follows:
 - a) **Support Regional and Site-Specific Protected Area Planning.** This component would define and implement a network of marine and terrestrial communities protected areas in the ecological corridor along the northwest shelf of the Nurnen Sea. It would include: i) preparation of a "corridor plan" that introduces the concept of zoning into the region, starting with reserves and open space, building on the coastal zone management workshops provided through EU-TACIS; ii) a cadastre of significant wetlands that would be removed from consideration in the ongoing land privatization process; iii) a plan of the expanded

protection of Serech wetlands and associated uplands in order to create a functional network of protected wetlands and associated uplands that would function as a migratory waterbird refuge system; iv) preparation and implementation of management plans would be prepared for selected wetlands and upland sites; and v) restoration of natural water flows to selected wetlands.

- b) Strengthen Institutions and Regulatory Framework.** Under the proposed project, equipment and training would be provided to relevant GOs and NGOs to strengthen their roles and capacities in managing biodiversity inside and outside protected areas. The project participants include the following groups: NGOs and educators engaged in environmental protection and public education; local and provincial governments, including regional MEP marine and land-based inspectorates and the provincial Committee for Environmental Protection; and protected areas management staff.
 - c) Standardize Monitoring and Improve Dissemination of Results.** The water quality monitoring activities (training and equipment) would be funded through bilateral assistance rather than GEF. No PDF funds are sought for preparation of water quality monitoring activities. The project would support and expand existing waterbird monitoring efforts to ensure semi-annual migratory bird counts and applied ecological studies (habitat use, movements, banding studies, and pollution loading in tissues), and dissemination of information (i.e., journal publications), both in country and internationally. Under the project, three activities would be undertaken to strengthen and coordinate the currently disparate water quality and biodiversity monitoring efforts: i) refine and standardize existing monitoring efforts to ensure their utility for analyzing long-term trends, and ii) support additional monitoring efforts of species and water quality as needed; and iii) provide technical assistance and equipment to implement the monitoring program.
 - d) Expand Public Education and Awareness.** Under the project, the following activities would be undertaken to promote public education and awareness: i) Environmental education programs would be expanded and strengthened, mainly for elementary and secondary school students. Support would also be provided to develop environmental education training in the local teachers' college and development of a wetlands and waterbird management curriculum for two local colleges; ii) current efforts underway to develop greater public awareness of the economic and ecologic values of wetlands and waterfowl would be expanded to ensure that local communities are integrated into project management; and iii) workshops on mainstreaming biodiversity conservation would be held, aimed at regional planners/policy makers.
 - e) Support international cooperation under the Agreement on the Conservation of Continental Migratory Waterbirds.** The importance of international agreements and cooperation in the conservation of migratory waterbirds is recognized by Ecuador, which is a signatory of the Agreement on the Conservation of Continental Migratory Waterbirds. In addition to the wetland habitat conservation and restoration activities of the project (described above), additional priority elements of the action plan of the agreement would be implemented. These include according and implementing strict protection for endangered migratory waterbirds and supporting international cooperation activities under the agreement.
9. **Description of PDF Activities** PDF grant funds are requested for project preparation, including a detailed assessment of the investment and technical assistance needed under each component of the project. The PDF grant would finance the costs for national and international consultants for the activities listed in Table 1 and described below. The key activities and outputs to be financed under the PDF Block B grant are:
- a) Social Assessment.** A Social Assessment (SA) that targets local populations that utilize priority project sites for hunting, fishing, grazing and agriculture would be prepared and incorporated into the project to improve the effectiveness of project design and identify potential social risks. The Social Assessment would entail identification of: i) key stakeholders located near the protected areas demonstration sites, ii) their needs vis-a-vis likely impact on protected area ecosystems, iii) mechanisms and rural development options to address these needs in a manner that would also support project objectives, and iv) mechanisms for the involvement of key stakeholders in overall project preparation/implementation and management of the protected area. This will entail socioeconomic assessment of key stakeholder communities living in the vicinity of the protected area sites, and the participatory preparation of a rural development plan that would link local community benefits with sustainable conservation of demonstration site natural resources. The team undertaking this activity should include expertise in participatory social assessment, stakeholder analysis, micro-enterprise and rural development in the region.
 - b) Public Participation Plan.** One of the project objectives, to promote support among the population in the corridor for wetland and waterbird conservation, will require preparation of a public participation plan. Efforts to

ensure stakeholder involvement would include working with farmers to mitigate agricultural impacts on adjoining wetlands and managing upland habitats for waterfowl foraging habitat; working with the regional and national agencies responsible for protected areas management to coordinate and expand their management responsibilities with regard to wetland and waterbird conservation; and working with NGOs to raise public awareness and promote natural resources management. The Public Participation Plan would work with key stakeholders identified in concert with the Social Assessment, and develop the steps for their participation in the project.

The plan would be produced in cooperation with the MEP and selected national and local NGOs.

- c) **Institutional and Management Needs.** An assessment would be made of the institutional arrangements and management framework required for implementation of the activities supported under the grant and for the longer-term management of the protected areas network. This assessment would identify the roles of the project participants, evaluate the needs for achieving project success (e.g., professional development and training and equipment), and recommend the management structure for project implementation. The main components of the project may be implemented separately by the key players (e.g., public education and awareness, protected areas network planning and management, and international collaboration). The management structure for the project would be designed to minimize "capacity bottlenecks" by allowing for its implementation by key institutions (including NGOs), at the same time allowing for the integration of project activities.

The output would be a scheme for the institutional and management structure to implement the project that identifies the professional development and training needs of the project. This would be produced with the MEP, local governments, NGOs, and the Academy of Sciences.

- d) **Development of a Regional Protected Area Master Plan and a Model Management Plan.** Because developing a network of coastal protected areas is a central component of the project, a preliminary regional protected area master plan would be developed during project preparation. This plan would identify the key wetlands and associated upland sites in the corridor that are necessary for a biologically and socially sustainable refuge system for migratory waterbirds. Two additional activities planned under this component for PDF funding are: revise as needed the existing proposals for creation of two national parks in the project region; and preparation of a model management plan for one protected area. One of the lessons learned from the management planning exercises in other GEF biodiversity projects in the region is that more time is needed for public participation, consensus building, and broader issues of management planning. Under this project, the management plans would be drafted based on existing information and would identify specific field studies needed for the final plan. This would allow focusing on the social aspects of management planning. In order to expedite preparation of these management plans, a model management plan would be drafted for one wetland that would serve as an example to be followed for other management plans to be prepared under the project.

The output would be a protected area strategy for the project region, and a framework management plan for one site. These would be prepared with MEP, Academy of Sciences and local governments.

- e) **Public Awareness and Education.** This activity would involve the identification of the conservation awareness and education needs and opportunities in the priority protected area sites, and preparation of a plan for public awareness and educational activities that will support project implementation. NGOs and other organizations active in environmental education would be identified and consulted, and arrangements to ensure ongoing collaboration under the project would be established.

The output would be a public awareness and education plan to be implemented under the project. This would be prepared with the Ministry of Education, the Balar-Nurnen Sea ornithological station (which is already engaged in related activities) and local/national NGOs.

- f) **Biodiversity Monitoring and International Cooperation Plan.** The existing biodiversity monitoring activities would be assessed in order to identify areas in need of standardization, technical assistance and investment under the project. A detailed plan for ongoing assessment and monitoring under the project would be developed. PDF resources would also be used to explore opportunities to establish mechanisms for collaboration and information exchange among organizations involved with conservation along the Balar-Nurnen Sea coast, as well as with other signatories of the Agreement on the Conservation of Continental Migratory Waterbirds and other partner institutions concerned with the conservation of migratory species in the region. This component would also fund preparation of the monitoring and evaluation plan that would be used to evaluate the project itself.

The output would be concise plans for monitoring key biodiversity parameters within the project region and for achieving specific objectives in international cooperation of flyway management, and for monitoring and evaluation of the project itself. The plan would be prepared with the Academy of Sciences (especially the Balar-Nurnen Sea ornithological station) and the regional MEP offices.

- g) **Full GEF Proposal.** In addition to the elements described above, the full GEF proposal would include detailed cost estimates and specifications for project implementation. This activity would involve the preparation of detailed cost estimates and procurement specifications for all project activities, together with a financing and investment plan needed to implement the project. The plan would include incremental cost analysis to identify expenditures that would be financed by GEF, and would identify alternative sources of co-financing to support other portions and "nonincremental" aspects of the project.

10. The items to be financed and the expected preparation costs are summarized in the table below.

Biodiversity Conservation and Environmental Management in the Northern Balar-Nurnen Sea Corridor Preliminary Financing Plan US\$				
Project Component	GEF	GOE	Co-Financing*	Total
Social Assessment	35,000			35,000
Public Participation Plan	25,000	5,000		30,000
Institutional/ Management Needs	25,000			25,000
Protected Area Master Plan, Model Management Plan	60,000	10,000	50,000	120,000
Public Awareness and Education	25,000	5,000		25,000
Biodiversity Monitoring and International Cooperation Plans	25,000	5,000	50,000	80,000
Full GEF Proposal	30,000			30,000
Project Coordination/Travel Costs	25,000			25,000
Total	250,000	25,000	100,000	370,000
* Danish Environmental Protection Agency				

11. **Project Implementation.** Eriador recently adopted a new constitution that has resulted in uncertainty over which ministry or agency is authorized to sign international agreements. There is no timeframe for the resolution of this question, and under this interim condition, the MEP has experienced substantial delays in signing grant agreements. While the Bank will be the executing agency for the PDF, project preparation will be the responsibility of the MEP through its existing Project Management Unit (InterEcocentre). Because the project requires substantial commitments from the Academy of Sciences, Ministry of Forestry, NGOs, and local governments, a project steering committee comprised of representative of each of these will coordinate project implementation.
12. **Expected Date of Project Preparation Completion.** Project preparation is expected to be completed by December 1997.
13. **Eligibility and Country Commitment.** Eriador ratified the Convention on Biodiversity in December 1994 and is a signatory of the the Bonn and Berne Conventions, CITES and the Agreement on the Conservation of Continental Migratory Waterbirds. Eriador has committed substantial environmental management resources for pollution control and biodiversity conservation in the region of the proposed project.
14. **Justification for PDF Support.** The proposed project supports the objectives of the GEF operational program for biodiversity conservation and the operational strategy for coastal, marine and freshwater ecosystems. The wetlands and coastal zone targeted by the project contain a rich diversity of globally important benthic communities, fish stocks and waterfowl, making support for the protection of these areas consistent with the objectives of the biodiversity operational strategy.

15. The project is consistent with Article 8 (in-situ conservation) of the convention on biological diversity as it will support protection, management and extension of protected areas in a region of internationally important biodiversity; promote environmentally sound and sustainable development in areas adjacent to protected areas, with a view to assuring protection of these areas; promote recovery of threatened species through the development and implementation of plans and management strategies; and will support maintenance of viable populations of threatened and endangered species within and beyond protected area boundaries. The project is consistent with CoP3's emphasis on intersectoral cooperation in natural resource biodiversity conservation, building capacity in local institutions and communities, strengthening the involvement of local peoples, promoting environmental awareness and improving the dissemination of information.
16. The project is consistent with Agenda 21 and guidance from the CoP since it will promote conservation, management and sustainable use of threatened and endangered species; strengthen the involvement of local communities and build partnerships at the local, national and regional levels and promote cost-effective measures to conserve biodiversity, including economic incentives and alternative livelihood opportunities for local communities.
17. **Potential Sources of Co-Financing for Implementation.** The Danish Environmental Protection Agency and the National Forest and Nature Agency will provide \$100,000 for project preparation, and indicated their intention to provide US\$1 million co-financing for the project. Co-financing will also be sought from the Netherlands, Sweden, Norway, and Italy. Co-financing may also be sought from the Southern Eriador Environment Project, which is developing investments in air and water pollution control, water resources management and coastal zone management.

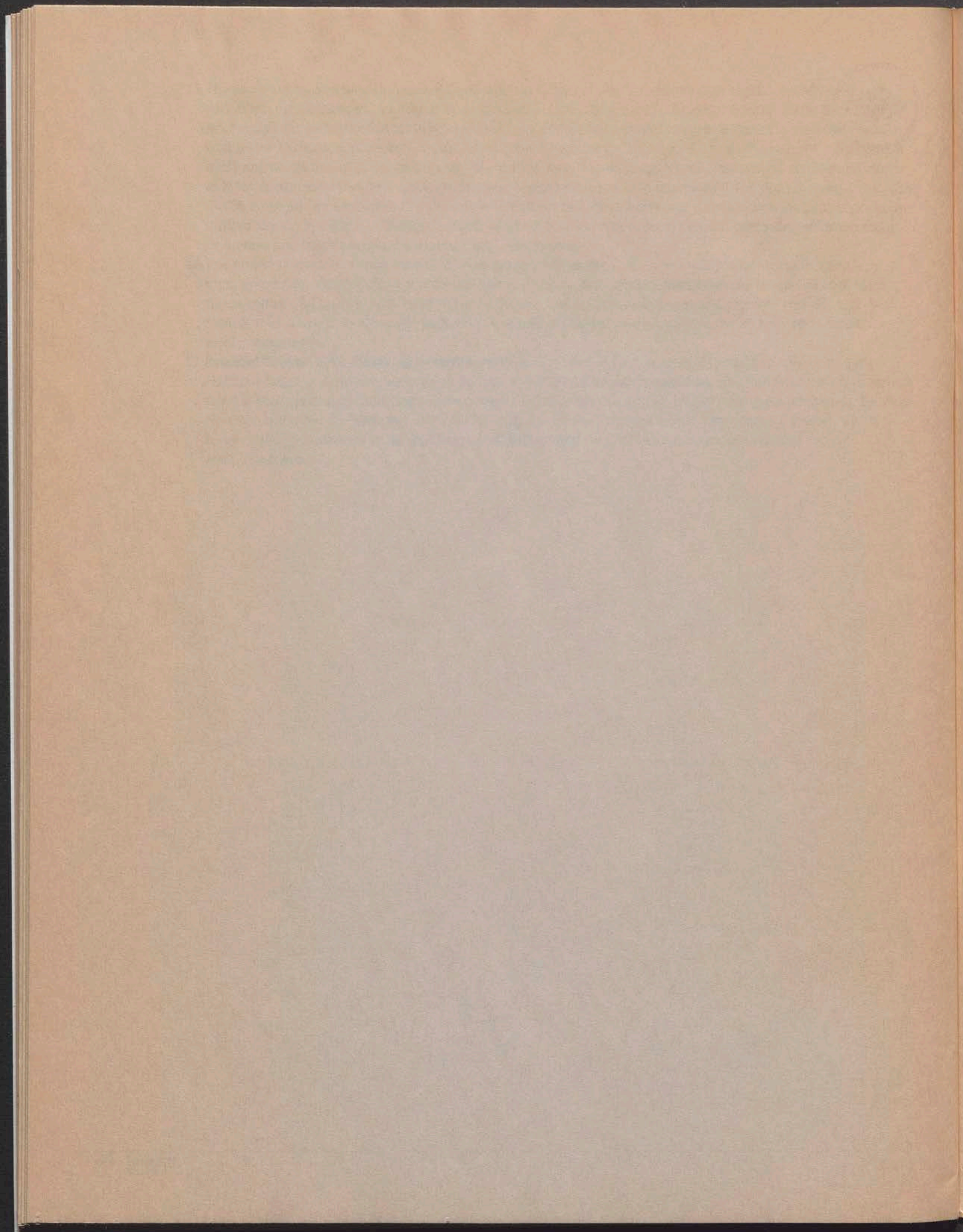


Library

of the

The following is a list of the books in the library of the
University of California, Berkeley, California.
The books are arranged in alphabetical order of the author's name.
The list is divided into two columns.
The first column contains the names of the authors and the titles of the books.
The second column contains the call numbers of the books.
The books are listed as follows:

Author	Title	Call Number
Adams, John Quincy	Diary	920.73 A3
Adams, John Quincy	Letters	920.73 A3
Adams, John Quincy	Speeches	920.73 A3
Adams, John Quincy	Writings	920.73 A3
Adams, John Quincy	Works	920.73 A3
Adams, John Quincy





Glossary

Block A	Block A is short for Project Development Facility "A" Grant. This is a grant of up to US\$25,000 that is made available by one of the IAs to assist project proponents in doing preliminary preparatory work on the development of a project proposal. In most cases a Block A is used at the early stages of project proposal development; the major issues need to be clarified in order to determine whether to proceed with additional project development activities. In most cases, a Block A produces a Block B proposal for additional, more detailed project proposal development work. However, sometimes, if the Block A can gather enough information, it is possible to develop the project proposal under a Block A.	Operational Program	An Operational Program is an intimidating GEF term for funding approaches, categories, and requirements. Under the Biodiversity rubric, there are four operational programs—Drylands Forests, Coastal and Freshwater, and Mountains. Under IW, there are three OPs—Waterbody-Based, Integrated Land and Water, and Contaminant-based. Each OP guides GEF's grant-making for forests, or water-body based, for example.
Block B	Block B is short for Project Development Facility "B" Grant. This is a grant of up to US\$350,000 that is made available by GEF to assist project proponents in doing advanced, detailed preparatory work on the development of a project proposal. If you are applying for a Block B then you already know many of the details related to what your project proposal will do. In fact, usually, a Block B produces a Full Project proposal.	Pathways	Pathways is a term specific to this guide. Funding pathways are so named in this guide to give the reader the sense of a journey from starting point (project idea) to ending point (project brief submitted to GEF). Each funding pathway leads to a particular kind of GEF project brief. Overall, there are four different pathways available under GEF—the Full Project Brief Pathway, the Medium-Size Project Brief Pathway, the Short-Term Intervention Project Brief Pathway, and the Small Grants Program Project Brief Pathway.
Eligible	In order to be considered eligible for GEF co-financing for a biodiversity project, a country has to have ratified the Convention on Biological Diversity and that country must be eligible to receive assistance from either the UN system or the World Bank. Note: Under International Waters, only the second requirement applies.	Project Brief	Project brief is a GEF-specific term meaning the final, full project document which is reviewed by the Implementing Agency, the GEF Secretariat and the GEF Council. If all three approve, then the project funding is made available.
Focal Area	In GEF language, a focal area is a subject area of emphasis. GEF has four focal areas—Biodiversity, Climate Change, International Waters and Ozone Depletion. In practice, Biodiversity and Climate Change comprise more than 80% of GEF's portfolio, with International Waters comprising 15% and Ozone Depletion the remaining few percentage points.	Project Development Facility (PDF)	The Project Development Facility is a fancy term for the preparatory funding GEF makes available to prepare its projects. Block A and Block B are the two most commonly used "blocks" from the Project Development Facility.
IA (Implementing Agency)	There are three Implementing Agencies for the GEF, the United Nations Development Program, the United Nations Environment Program, and the World Bank.	Routes	Each preparatory route is a different combination of project development grants (Block A, and Block B, and for International Waters – SAP).
NGO OP	Nongovernmental Organization Operational Program	(SAP) Strategic Action Program	A SAP is a regional preparatory project for GEF's international waters program. Often, countries have not developed regional strategies or agreement related to transboundary water resources, and a GEF-financed SAP will help them do just that before any GEF co-financed projects are implemented.
		UNDP	United Nations Development Programme
		UNEP	United Nations Environment Programme
		WB	The World Bank



The first step in the process of chemical analysis is the selection of a suitable method. This involves a careful consideration of the nature of the sample and the properties of the analyte. The method chosen should be capable of detecting and measuring the analyte in the presence of other components of the sample.

Once a method has been selected, the next step is to prepare the sample for analysis. This may involve the addition of reagents, the adjustment of pH, or the extraction of the analyte from the sample matrix. The goal is to create a solution in which the analyte is present in a form that is suitable for measurement.

The third step in the process is the measurement of the analyte. This is typically done using a spectrophotometer, which measures the absorbance of light by the sample. The absorbance is then related to the concentration of the analyte using a calibration curve.

Finally, the results of the analysis are interpreted. This involves comparing the measured concentration of the analyte to the known concentration of the standard solution. The difference between the two concentrations is then used to calculate the concentration of the analyte in the sample.

The accuracy of the results of a chemical analysis depends on many factors, including the quality of the reagents, the skill of the analyst, and the stability of the equipment. It is therefore essential to follow strict procedures and to use high-quality materials in order to obtain reliable results.

Chemical analysis is a fundamental part of many scientific disciplines, and it is essential for the development of new drugs, the study of environmental pollution, and the investigation of criminal cases. By understanding the principles of chemical analysis, we can gain a better understanding of the world around us.

The process of chemical analysis is a complex one, but it is also a very rewarding one. By following the steps outlined above, you can learn how to perform a chemical analysis and how to interpret the results. This knowledge is essential for anyone who wants to work in the field of chemistry.

1. Selection of method

2. Preparation of sample

3. Measurement of analyte

4. Interpretation of results

5. Calculation of concentration

6. Comparison of results

7. Evaluation of accuracy

8. Reporting of results

9. Conclusion

10. References

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10. References

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Contact Information for GEF

GEF Secretariat

The people at the Secretariat focus on particular Operational Programs: Mr. Walter Lusigi (Arid, Semi-Arid), Mr. Mario Ramos (Forests, an Coastal/Marine/ Freshwater), Mr. Hemanta Mishra (Mountains), and Mr. Al Duda (International Waters). To contact the GEF Secretariat directly:

Mr. Mohamed El-Ashry, Chairman and CEO
GEF Secretariat
1818 H St.
Washington, D.C. 20433 USA
Tel: 202-473-0508, Fax: 202-522-3240 or
E-mail: first initial and last name@worldbank.org

World Bank GEF

Any person at the Bank can receive an inquiry regarding a GEF project concept. There are four entry points for you to contact people at the Bank about your idea. The GEF Coordination Unit is the most direct route. The people to contact at this Coordination Unit are: Mr. Robin Broadfield (Africa and South Asia), Ms. Jo Albert (Europe, Central Asia), Ms. Kristin Elliott (Middle East, and North Africa), Ms. Christine Kimes (Latin America and East Asia), Ms. Kathy MacKinnon, Mr. Gonzalo Castro (Biodiversity Specialists) and Mr. Tony Garvey (International Waters). Each person's e-mail address is composed of: "first initial and last name@worldbank.org" However, if there is a Country Office located in your country, the resident representative is a natural choice, or, if not, then the country manager or the task manager in Washington D.C. To contact the World Bank GEF office directly:

Mr. Lars Vidaeus, Chief
Global Environment Division
1818 H Street, NW
Washington, D.C. 20433 USA
Tel: 202-473-4188, Fax: 202-522-3256 or
E-mail: lvidaues@worldbank.org

United Nations Development Program (UNDP) GEF

Any one of UNDP's country offices can receive inquiries about GEF project concepts. First you should try your local UNDP office located in your capital city. Second option is to try the UNDP-GEF regional coordinators in New York: Mr. John Hough (Africa); Ms. Inger Andersen (Arab States); Mr. Kevin Hill (Asia-Pacific); Mr. David Vouden (Europe and the CIS); and Ms. Hilda Paparoni or Mr. Nick Remple (Latin America and the Caribbean). All can be reached at the address listed below. For International Waters specifically: Mr. Andrew Hudson. Each person's e-mail address is composed of: first name.last name@undp.org. To contact the UNDP-GEF central office directly:

Rafael Asenjo, Executive Director or
Emma Torres, Dep. Director
UNDP-GEF Central Unit
345 E. 45th Street, 10th Floor
New York, New York 10017 USA
Tel: 212-906-5044, Fax: 212-906-6998 or
E-mail: rafael.asenjo@undp.org

United Nations Environment Program (UNEP) GEF

Any one of UNEP's staff members can be approached regarding a GEF project concept. You can contact your regional UNEP-GEF representative in Mexico City, Bangkok, Dubai or Geneva. Or you can try UNEP's GEF Coordination Office staff in Nairobi, Kenya. Mr. Ahmed Djoghla, executive coordinator, UNEP-GEF, Cyrie Sendashonga (Biodiversity Program officer), and Mr. John Pernetta (International Waters). Each person's e-mail address is composed of: first name.last name@undp.org. To contact the UNEP-GEF office in Nairobi directly:

GEF Unit-UNEP
P.O. Box 30552
Nairobi, Kenya
Tel: (254-2)-624165, Fax: x520825 or
E-mail: ahmed.djoghla@unep.org

UNEP also has a one-person GEF office in Washington, D.C.
Tel: 202-331-9140, Fax: 202-331-9333 or
E-mail: rkhanha@igc.apc.org

IUCN Contacts on the GEF

IUCN-The World Conservation Union
Attn.: Per Ryden
Rue Mauverney 28, CH-1196 Gland
Switzerland
Tel: 011-41-22-999-0001
E-mail: per@hq.iucn.org
World Wide Web Site: <http://www.iucn.org>

IUCN The World Conservation Union
Washington Office
Attn.: Mersie Ejigu
1400 16th Street, NW, Suite 502
Washington, D.C. 20036
Tel: 202-797-5454
E-mail: mejigu@iucn.org

Established in 1991, the Global Environment Facility (GEF) has become the world's largest single source of funding for projects that conserve biological diversity and protect international waters. The GEF utilizes three existing organizations – the United Nations Development Programme, the United Nations Environment Programme, and the World Bank – to develop and execute the projects. To date, GEF has approved US\$596 million in cofunding for biodiversity projects and US\$177 million for international waters projects worldwide.

However, many potential grantees have found the GEF's funding guidelines and operational norms difficult to understand. The GEF's multiple objectives, many stakeholders and somewhat complex operational strategy and guidelines as well as its unique, though little understood, 'incremental cost/global benefit' approach have left many institutions applying for funds at times confused and frustrated.

This 'unofficial' summary of GEF criteria for funding biodiversity and international water projects seeks to provide governments, organizations and NGOs with a simple, step-by-step guide on how to apply for GEF co-financing. It has been published by IUCN based on advice and information received from many different sources - including the GEF institutions themselves, project implementers and NGOs.

IUCN World Headquarters
IUCN – The World Conservation Union
Rue Mauverney 28
CH-1196 Gland, Switzerland
Tel: ++ 41 22-999 00 01
Fax: ++ 41 22-999 00 10
E-mail: mail@hq.iucn.org

For further copies:
IUCN Publications Services Unit
219c Huntingdon Road
Cambridge, CB3 0DL, UK
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E-mail: iucn-psu@wcmc.org.uk