



Global Environment Facility and the Fifth Replenishment

Focusing on International Waters and
Biodiversity Focal Area Strategies

11th Global Meeting of the Regional Seas Conventions and Action Plans
Bangkok, Thailand
6th October 2009



Presentation Points

- Some useful backgrounds on GEF
- Fifth replenishment of the GEF Trust Fund
- Programming for GEF-5
- Overall approach to focal area strategies
- Biodiversity focal area strategy for GEF-5
- International waters focal area strategy for GEF-5 (proposed draft, as of September 2009)
- GEF Projects for Regional Seas



About GEF

What is the GEF?

- The Global Environment Facility (GEF) is a global partnership among 178 countries, international institutions, non-governmental organizations (NGOs), and the private sector to address global environmental issues while supporting national sustainable development initiatives.
- The Facility was established as one of the principal mechanisms for global environment funding and international cooperation.



About GEF

- The GEF is the designated financial mechanism for several multilateral environmental agreements (MEAs) or conventions, assisting countries in meeting their obligations under the conventions that they have signed and ratified.
 - Convention on Biological Diversity (CBD)
 - United Nations Framework Convention on Climate Change (UNFCCC)
 - Stockholm Convention on Persistent Organic Pollutants (POPs)
 - UN Convention to Combat Desertification (UNCCD)
- The GEF is also associated with many global and regional MEAs that deal with international waters or transboundary water systems, assisting developing countries in meeting the objectives of the Conventions through fund initiatives.



About GEF

- The GEF operates for the purpose of providing new and additional grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits.
- The GEF provides grants for projects related to six focal areas:
 - biological diversity;
 - climate change;
 - international waters;
 - land degradation, primarily desertification and deforestation;
 - ozone layer depletion; and
 - persistent organic pollutants.



GEF Instrument

In July 1994, with the formal adoption by the participating States, the Instrument for the Establishment of the Restructured Global Environment Facility became effective. An additional amendment to the Instrument was approved by the Third GEF Assembly and became effective on September 14, 2007.

- BASIC PROVISIONS (Restructuring and Purpose of GEF, Participation, Establishment of GEF Trust Fund, Eligibility)
- CONTRIBUTIONS AND OTHER FINANCIAL PROVISIONS FOR REPLENISHMENT
- GOVERNANCE AND STRUCTURE (Assembly, Council, Secretariat, Implementing Agencies, Scientific and Technical Advisory Panel (STAP))
- PRINCIPLES OF DECISION-MAKING
- RELATIONSHIP AND COOPERATION WITH CONVENTIONS
- COOPERATION WITH OTHER BODIES
- OPERATIONAL MODALITIES
- REPORTING
- TRANSITIONAL AND FINAL PROVISIONS



GEF Governance and Structure



- The Assembly – consists of Representatives of all Participants, meets once every three years, reviews the general policies of the Facility, reviews and evaluates the operation of the Facility, review the membership of the Facility, considers amendments to the present Instrument.
- The Council – is responsible for developing, adopting and evaluating the operational policies and programs for GEF-financed activities.
- The Secretariat – headed by the CEO/Chairperson of the Facility, services and reports to the Assembly and the Council.
- Implementing Agencies (GEF Agencies) – assist eligible governments and NGOs in the development, implementation, and management of GEF projects.
- The Scientific and Technical Advisory Panel (STAP) – acts as an advisory body to the Facility (the Secretariat was established by UNEP).



GEF Agencies



The three initial partners implementing GEF projects:

- The United Nations Development Program (UNDP)
- The United Nations Environment Program (UNEP)
- The World Bank

Seven more agencies have joined the GEF family over the years

- The Food and Agriculture Organization (FAO)
- The Inter-American Development Bank (IaDB)
- The United Nations Industrial Development Organization (UNIDO)
- The Asian Development Bank (ADB)
- The African Development Bank (AfDB)
- The European Bank for Reconstruction and Development (EBRD)
- The International Fund for Agricultural Development (IFAD).



GEF Policies

- The GEF operates on the basis of series of policies and procedures adopted by the GEF Council.
 - Operational strategy
 - Focal area strategies
 - Public involvement
 - Incremental costs, and
 - Resource allocation framework [RAF – System for Transparent Allocation of Resources (STAR) for GEF-5]



GEF Operational Strategy



- The Operational Strategy from 1995 lays the foundation for GEF's efforts in 6 focal areas, incorporating guidance from conventions for which GEF serves as financial mechanism as well as establishing operational guidance for international waters and ozone activities, the latter consistent with the Montreal Protocol on Substances that Deplete the Ozone Layer and its amendments.
- In 2007, the original 15 Operational Programs under the GEF Operational Strategy was replaced with a set of revised Focal Area Strategies presenting long-term Strategic Objectives as well as medium-term Strategic Programs.
- The Focal Area Strategies would be revised at each replenishment cycle.



Operational Principles of GEF



- Linkage to conventions
- GEF funds agreed **incremental costs**
- Ensure cost-effectiveness
- Country-driven and based on national priorities designed to support sustainable development
- Maintain sufficient flexibility to respond to changing circumstances
- Transparency of information
- Stakeholder consultation and participation



Operational Principles of GEF



- Emphasize catalytic role and leverage additional financing from other sources (**co-financing**)
- Country and project eligibility (e.g., in conformity with the eligibility criteria decided by the Conference of the Parties of each convention, eligible to borrow from the World Bank (IBRD and/or IDA), or be an eligible recipient of UNDP technical assistance)
- Monitoring and evaluation on a regular basis



Incremental Costs

- GEF funds the "incremental" or additional costs associated with transforming a project with national benefits into one with global environmental benefits.
- The incremental cost of protecting the global environment is a measure of the economic burden that would be placed on a country for undertaking its development in a way that does so.
- It is a recognition that development undertaken with global environmental protection in mind sometimes costs more than the same development pursued with only the national interest in mind.



Incremental Costs

Example: complementing the baseline development activities in a river basin to ensure conservation of unique and threatened biodiversity through hydrobiological programs and alternative sustainable livelihoods.

More example: including biological corridors to enhance biodiversity conservation of globally threatened and endemic species and facilitate biodiversity conservation between continental land masses.



Co-financing



A variety of financial contributions (in-cash and/or 'in-kind'):

- Project preparation (PDF) funds previously authorized;
- Resources from the GEF agency;
- Resources from other non-GEF sources that will be managed jointly or in parallel with the GEF allocation as part of the financing package for the GEF project and without which the project could not be implemented;
- Government counterpart resources;
- Other sources

(http://thegef.org/Documents/Council_Documents/GEF_C20/C.20.6.pdf).



Co-financing



Co-finance for GEF projects is important because it:

- expands the **resources** available to finance environmental objectives;
- is a key indicator of the strength of the **commitment** of the counterparts, beneficiaries, and Implementing and Executing Agencies to those projects; and
- helps ensure the **success** and local acceptance of those projects by linking them to sustainable development, and thereby maximizes and sustains their **impacts**.



GEF Resource Allocation System



- The Resource Allocation Framework (RAF) has been a system for allocating GEF resources to recipient countries. RAF implementation began in July 2006 and applies to resources for financing biodiversity and climate change projects through the 4th replenishment of the GEF.
- Countries can also receive GEF financing for projects in the other focal areas (international waters, land degradation, ozone layer depletion, and persistent organic pollutants), cross-cutting capacity building projects, the Small Grants Programme (which finances smaller projects that encourage wider participation by civil society), and through regional and global projects.



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The Fifth Replenishment



- Donor nations fund the GEF. Every four years, they commit money through a process called the “GEF Replenishment.”
- GEF-4 replenishment will fund activities until June 30, 2010.
- At the November 2008 meeting, the Council requested the Trustee of the Global Environment Facility, in cooperation with the CEO and Chairperson of the Facility, to initiate discussions on the fifth replenishment of resources of the GEF Trust Fund (“GEF-5”).
- The GEF-5 replenishment is expected to fund 4 years of GEF operations and activities, beginning July 1, 2010 and ending June 30, 2014 (FY11-FY14).



The Fifth Replenishment



- GEF-5 replenishment meetings:
 - Planning Meeting, November 14, 2008, Washington DC
 - First Meeting, March 17-18, 2009, Paris, France
 - Second Meeting, June 25-26, 2009, Washington DC
 - Third Meeting, October 14-15, 2009, Paris, France
- Key documents include:
 - Working Document: GEF-5 Programming Document (GEF/R.5/19/Rev.1)
 - Information Document: GEF-5 Focal Area Strategies (GEF/R.5/Inf.14)
- GEF-5 Meeting documents are available at:
http://www.gefweb.org/interior_right.aspx?id=48



Targets for Replenishment: Four Levels



- The current level at about **\$3.13 billion** does not provide an adequate level of resources to significantly increase support for climate change activities. The resource allocation system would also remain unchanged.
- A replenishment target of **\$5 billion** would represent only a marginal improvement over GEF-2 levels in inflation-adjusted terms, but would nevertheless provide for increases in activities across all focal areas.



Targets for Replenishment: Four Levels



- A target of **\$6.5 billion** would represent a doubling of the current level, with real potential for enhanced impact. It would provide scope for increases in all focal areas, and would improve the feasibility of a pragmatic resource allocation system.
- A target of **\$9 billion** provides room for significant increases in activities across the board with the potential for transformative engagements, particularly in climate change mitigation. It also provides room for potential expansion of the scope of the resource allocation system to all the focal areas of the GEF.



Resource Allocation System for GEF-5



- In November 2008, the Evaluation Office presented the Mid-term Review of the Resource Allocation Framework (RAF) that had been operating under GEF-4 for the focal areas of biodiversity and climate change.
- As part of its decision on the mid-term review, the GEF Council requested the GEF Secretariat, in collaboration with the GEF Agencies and STAP, to improve the design of the resource allocation system and indices for GEF-5, taking into account the experience with the RAF and the recommendations of the mid-term review.



Resource Allocation System for GEF-5



- Following the Mid-Term Review of the RAF, GEF Council made specific recommendations:
 - a) Scenarios (options) for an expansion of the RAF for all focal areas by GEF-5
 - b) Steps towards improving the RAF for BD and CC in GEF-5
 - c) Rules and procedures for reallocation of unused RAF resources in GEF-4
- GEF SEC proposes to change the name from the RAF (Resource Allocation Framework) to the System for Transparent Allocation of Resources or 'STAR'.



Resource Allocation System for GEF-5



Compared with the RAF in GEF-4, the STAR in GEF-5 has the following features:

- Expanded replenishment scenarios – to better capture the potential impacts of the replenishment on allocations: low (\$3.1 billion), medium (\$5/\$6.5 billion) and high (\$9 billion);
- More allocation options – developed to provide more flexibility of allocations:
 - 1) a continuation of the ‘status quo’ into GEF-5 with only two focal areas under the STAR: one for CC and the other for BD;
 - 2) individual allocations under three major labels: CC, NR and Chemicals (or CH); and,
 - 3) individual allocations of the four focal areas: CC, BD, LD, International Water or IW and CH.



Resource Allocation System for GEF-5



- New Global Benefits Index (GBI) for Biodiversity – improve GBI by using a new indicator for Biodiversity (IUCN Red List); also new eligibility indicators for other focal areas – International Waters is the most challenging as index is per country and IWs focal area addresses transboundary water issues. Three fundamentally different types of transboundary water bodies: surface freshwater, groundwater, and large marine ecosystems. It is possible to identify indicators for each of the water body types, but very difficult to identify simple common indicators supported by globally available data sets that would allow aggregation across the focal area;
- New rules of allocation – the group allocations and 50% rule (as part of GEF-4) were abolished;
- New presentation of results – a map generation software program was adapted and used to generate maps to show the allocation range for different continents.



Resource Allocation System for GEF-5



- Members of the STAR ad hoc committee, as well as other available members of Council, representatives of the Trustee, GEF Agencies, Evaluation Office, Convention Secretariats and STAP, are invited to further discuss options and scenarios for a resource allocation system under GEF-5, in Paris, France, October 16, 2009.
- The meeting will discuss the paper “System for Transparent Allocation of Resources (STAR): Options and Scenarios”. Available at http://www.gefweb.org/uploadedFiles/Policies/Resource_Allocation_Framework/STAR_Options%20and%20Scenarios_Final.pdf



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Programming for GEF-5



- The overall approach to programming in GEF-5 builds on achievements in the pilot and first four phases of the GEF and on the refinements made to the focal area strategies during GEF-4:
 - Continuing as a key operating entity of the financial mechanism of the major global environmental conventions; Functioning as the coordinator and/or manager of several funds; Pioneering combinations of grant and non-grant instruments;
 - Refining **focal area strategies** to reflect the emerging scientific and policy understandings (presented in the context of a GEF Corporate Result-based Management Framework – M&E and KM);
 - Corporate Programme Strategy – catalyzing supporting cutting-edge technologies and policy reforms with the objective of enabling replication and scaling-up; and,
 - Enhancing engagement with the private sector.



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Focal Area Strategies – GEF-5



- Currently, the GEF Secretariat is undertaking the development of strategies for GEF-5 (2010 - 2014). Technical Advisory Groups (TAGs) for the focal areas were formed and the groups are developing strategies for GEF-5:
 - Biodiversity
 - Climate Change
 - International Waters (draft)
 - Land Degradation (desertification and deforestation)
 - Chemicals (including POPs and ODS)
 - Sustainable Forest Management (GEF investment strategy)
 - Adaptation Framework

GEF/R.5/Inf.14 to be reviewed at 3rd meeting for Fifth Replenishment in October 2009 in Paris: <http://www.gefweb.org/interior.aspx?id=84>



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A Quick Look at GEF Biodiversity



- Biodiversity is defined (by CBD) as “the variability among living organisms from all sources including, *inter alia*, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within **species**, between species, and of **ecosystems**.”
- The goal of the GEF biodiversity focal area is the **conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services**.



Biodiversity Strategic Objectives for GEF-5



- Objective One: Improve Sustainability of Protected Area Systems. Project support:
 - a) Improve Sustainable Financing of Protected Area Systems;
 - b) Expand Marine and Terrestrial Ecosystem Representation;
 - c) Expand Threatened Species Representation; and
 - d) Improve Management Effectiveness of Existing Protected Areas.

- Objective Two: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors. Project support:
 - a) Strengthen Policy and Regulatory Frameworks;
 - b) Implement Invasive Alien Species Management Frameworks; and
 - c) Strengthen Capacities to Produce Biodiversity-friendly Goods and Services.



Biodiversity Strategic Objectives for GEF-5



- Objective Three: Build Capacity for the Implementation of the Cartagena Protocol on Biosafety (CPB). Project support:
 - a) Single-country projects to build capacity to implement the CPB prioritizes the implementation of activities that are identified in country stock-taking analyses and in the COP guidance to the GEF;
 - b) Regional or sub-regional projects for: coordinating biosafety frameworks, interchange of regional expertise, and capacity building of common priority areas; and
 - c) Thematic projects to develop the capacities of groups of countries lacking competences in relevant fields.



Biodiversity Strategic Objectives for GEF-5



- Objective Four: Build Capacity on Access to Genetic Resources and Benefit Sharing (ABS).
As the first step, GEF will support capacity building of governments for meeting their obligations under Article 15 of the CBD, as well as building capacity within key stakeholder groups, including indigenous and local communities, and the scientific community.
- Objective Five: Integrate CBD Obligations into National Planning Processes through Enabling Activities.
Enabling activity support could be provided for revising National Biodiversity Strategy and Action Plans (NBSAPs) in line with the CBD's new strategic plan to be adopted at COP-10 and integrating biodiversity into sectoral planning, national reporting, and implementation of guidance related to the Clearing House Mechanism (CHM).



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IWs Draft Focal Area Strategy for GEF-5



- The goal of the International Waters focal area is the promotion of **collective management for transboundary water systems and subsequent implementation of the full range of policy, legal, and institutional reforms and investments** contributing to sustainable use and maintenance of ecosystem services.
- Objective One (core): Catalyze multi-state cooperation to balance conflicting water uses in transboundary surface and groundwater basins while considering climatic variability and change.

GEF will support further development and implementation of regional policies and measures identified in agreed SAPs, which through collaborative action would promote sustainable functioning of already established joint legal and institutional frameworks or help establish new ones.



IWs Draft Focal Area Strategy for GEF-5



- Objective Two (core): Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change.
 - Focusing on a transboundary concern, GEF will support implementation of SAPs with reforms and investments that produce measureable results.
 - Policy, legal, institutional reforms and multi-agency partnerships for recovering and sustaining fish stocks would be a priority, including regional and national-level reforms in legal frameworks and governance, access rights, and enforcement in LMEs.
 - GEF pilot successes in support for the GPA and nitrogen pollution reduction will be scaled up in the high scenario to reduce land-based nutrient pollution of oceans, aiming at catalyzing global attention to disruption of the nitrogen cycle and to limit expansion of “Dead Zones” that interfere with food security and community livelihoods.



IWs Draft Focal Area Strategy for GEF-5



- Objective Three (core): Support foundational capacity building, portfolio learning, and targeted research needs for ecosystem-based, joint management of transboundary water systems.
 - Groundwater concerns and opportunities would be systematically integrated into management of surface water systems and surface water concerns into transboundary groundwater systems so that entire basins or aquifers serve as management units.
 - An enabling environment for adopting Integrated Water Resources Management (IWRM) plans and policies per WSSD targets will be pursued in States sharing transboundary surface and groundwater systems; and climatic variability and change will be integrated into the GEF supported processes.
 - For coastal and marine ecosystems, GEF will utilize similar foundational capacity building as States adopt ecosystem-based approaches at the LME and local ICM scales.



IWs Draft Focal Area Strategy for GEF-5



- Objective Four (medium and high replenishment scenarios): Promote effective management of Marine Areas Beyond National Jurisdiction (ABNJ) directed at preventing fisheries depletion – joint with Biodiversity.
 - Projects that develop and test technology and management arrangements for both pelagic and deep-sea environments and seamounts or help reduce tuna/other by-catch would be supported.



IWs Draft Focal Area Strategy for GEF-5



- Objective Five (high replenishment scenario only): Undertake pilot-scale demonstrations of pollution reduction from Persistent Toxic Substances (PTS), particularly endocrine disruptors – joint with Chemicals.
 - A pilot initiative joint with the Chemicals focal area would be pursued to demonstrate that clean technology provides alternatives to releasing PTS, particularly endocrine disruptors that accumulate in fish and impair human health, neurological development of children, and populations of fisheries, wildlife, and birds.



IWs Priorities in GEF-5



- A strong focus on linking climatic variability and Integrated Water Resources Management (IWRM).
 - IWRM is a participatory planning and implementation process, based on sound science, that brings stakeholders together to determine how to meet society's long-term needs for water and coastal resources while maintaining essential ecological services and economic benefits.
- Adding climatic variability as a key transboundary concern.
- Ecosystem-based approach at the LME and local ICM scales.



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GEF Projects for Regional Seas



- GEF projects can cover the activities that are not programmed within the Regional Seas programme or Convention work plan;
- GEF projects can be a good interface between RS programme (normative and capacity building work) and stress reduction work on the ground;
- GEF projects can mobilize financial resources, possibly linkage with national and regional investment; and,
- GEF projects may prompt Regional Seas Programmes to pursue multiple environmental benefits.



GEF-IWs Projects

Typical GEF IW projects for Large Marine Ecosystems (LMEs) – “ecosystem-based approach”

- Transboundary Diagnostic Analysis (TDA) – analysis and prioritization of transboundary issues);
- Strategic Action Programme (SAP) – agreed costed actions for achieving time-bound environmental objectives, involving actions on the ground issues;
- Institutional set-up for implementation of SAP;
- Wherever necessary, establish a legal framework for addressing transboundary issues; and,
- Mobilization of financial resources and capacity building.



Some GEF-IWs Project Ideas



- Support for the implementation of Regional Seas Conventions through the SAP development and implementation;
- Support for the implementation of specific protocol(s) under the conventions (resulting in earlier entering into force of protocols);
- Help establish a sustainable financial mechanism for regional seas;
- Broker partnership between the regional seas programmes and sub-regional fisheries commissions, and other partnerships;



Some GEF-IWs Project Ideas



- Demonstration of technologies and practices that are relevant to region-specific transboundary issues;
- Establishment of regional network of MPAs in support of Specially Protected Areas Protocol;
- IWRM plan processes supported under regional seas;
- Climate change adaptation incorporated into ICZM and IWRM, based on National Communication and National Action Plan on Adaptation (NAPA), regional adaptation strategy;



Some GEF-IWs Project Ideas



- Implementation of marine invasive species management framework;
- Addressing sources of POPs that affect the quality of marine and coastal environment, based on the Stockholm Convention National Implementation Plans;
- Addressing degradation of coastal ecosystems, based on the UNCCD National Action Plans;
- Exchange of lessons learnt, good practices and guidelines/tools between GEF projects and regional seas programme.



GEF Projects and Regional Seas



Regional Seas	GEF Projects
SPREP – South Pacific	International Waters Project (UNDP); IWRM/WUE (UNDP/UNEP); Tuna Convention (UNDP), CTI
EAS /COBSEA – East Asia Seas	South China Sea (UNEP); PEMSEA (UNDP); pollution control investment fund (WB); Arafura and Sulawesi (UNDP)
NOWPAP – North West Pacific	Yellow SEA LME (UNDP); PEMSEA (UNDP); Biodiversity ?



GEF Projects and Regional Seas



Regional Seas	GEF Projects
SACEP – South Asian Seas	Bay of Bengal (FAO/WB);
ROPME Sea Area - Gulf	?
Mediterranean	SAP (UNEP), Strategic Partnership (UNEP/WB), Sustainable Development Programme (WB/UNEP)
PERSGA – Red Sea and Gulf of Aden	SAP project (WB/UNEP/UNDP); SAP implementation ?



GEF Projects and Regional Seas



Regional Seas	GEF Projects
Black Sea	Black Sea – Danube Programme (WB/UNDP/UNEP)
Caspian Sea	Caspian project (UNDP/UNEP)
PAME – Arctic	NPA-Arctic (UNEP), ECORA (UNEP)
OSPAR – North-East Atlantic	?



GEF Projects and Regional Seas



Regional Seas	GEF Projects
EAF – Eastern Africa	WIO-Lab (UNEP), SWIOFP (WB), ASLME (UNDP), SIDS IWRM (UNEP/UNDP), Fishery (WB/FAO)
WACAF – West and Central Africa	GCLME (UNEP/UNDP/UNIDO), CCLME (FAO/UNEP), BCLME (UNDP), SIDS IWRM (UNEP/UNDP), Fishery (WB/FAO)



GEF Projects and Regional Seas



Regional Seas	GEF Projects
CEP – Wider Caribbean	IWCAM (UNEP/UNDP); CLME (UNDP); Pesticide Runoff (UNEP); CReW (IADB/UNEP), Gulf of Mexico (UNIDO)
CPPS – South East Pacific	Humbolt Current (UNDP)
North-East Pacific	?



UNEP role in GEF

Currently, UNEP had two basic defined roles in the GEF:

- (a) provide support to the GEF core activities, including hosting the STAP and contributing to the development of GEF policies and programmes; and
- (b) assist countries and a broad range of project proponents to access GEF financial resources.



UNEP role in GEF

- Beginning in GEF-4, UNEP has made an effort to better align its GEF portfolio with its programme of work for greater complementarities.
- Whether at the local, national, regional or global levels, has refocused within its five mandated areas:
 - a) scientific assessments, monitoring and early warning;
 - b) linking science to policy (e.g. Enabling Activities) and capacity building;
 - c) innovative approaches, and lifting barriers to technology transfer and emerging markets;
 - d) regional and global cooperation;
 - e) awareness raising and knowledge management.



Thank you.

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