

CONSOLIDATED INSTRUCTIONS FOR GEF 4 INTERNATIONAL WATERS TRACKING TOOL

(Draft)

General:

The GEF 4 International Waters (IW) Tracking Tool (TT) is designed to support GEF's new approach to Results-based Management. The TT provides reporting of outcomes at the level of strategic programmes (SP 1 - SP 4) and the IW portfolio level as well as for targets associated with the GEF 4 Replenishment. The TT allows GEF Agencies and the Secretariat to monitor and aggregate individual project results on yearly basis in order to characterize program results quantitatively.

Projects should be able to report annual results on a special GEF 4 IW TT reporting form nested in the GEF PMIS database. The TT form should be filled in by the required project identifiers and by using the scroll down menus providing options to choose appropriate indicators, ratings, and additional text field to justify the rating chosen and to provide information on the results achieved, in a maximum of 250 characters. If the project by default is not expected to provide results described by certain indicator, then the term N.A. should be used. These instructions are accompanied with two annexes, which describe in full the rating scales for each of the types of GEF IW indicators.

The GEF 4 IW TT does not replace the existing annual PIR/AMR project performance reviews, which agencies conduct with their own review forms but provides an additional, global quantitative picture for results achieved by the GEF 4 IW portfolio.

The GEF 4 IW TT includes all indicators in the GEF 4 IW Focal Area Strategy. These indicators represent the normal three types of IW indicators used in this focal area: process, stress reduction, and environmental/water resources & socioeconomic status indicators. The process indicators are the same for all Strategic Programmes (except for one additional one for private sector involvement in SP 4). The stress reduction indicators are divided into two larger groups (national/local reforms and demonstrations/investments). Each group provides a menu of specific indicators for each SP, as listed in the GEF 4 IW Focal Area Strategy. Although the Strategy requires use of environmental/water resources & socioeconomic status indicators only for SP 1 projects, GEF agencies may wish to report on project progress or results in environmental/water resources and socioeconomic status in the other programs if available. More information on GEF IW Indicator is located on the GEF IW knowledge management website www.iwlearn.net.

For programmatic approaches in the IW focal area, special results frameworks are developed and used for Investment Funds Programmes. Results for individual projects should be reported within this TT, while separate reporting is also expected at the level of Investment Fund each year.

When a project is being implemented by more than one GEF agency, only one agency should report within GEF 4 IW TT. The agency with larger portion of GEF grant should report on behalf of the entire project, and cooperating GEF agencies are requested to provide the reporting agency with relevant input.

If a project is being implemented within two GEF 4 IW SPs, reporting for both SPs should be undertaken on relevant indicators and an asterisk “*” should be added to the end of the project title in both reporting forms in order to avoid double counting.

Project ratings are subject to self-assessment; a zero mark means no results achieved, while mark three represents 100% achievement of projected results. Ratings will be averaged within each GEF 4 IW indicator to provide a program level and portfolio level view, not a project specific view. This roll-up will allow additional analysis and qualitative description of program and portfolio level results for reporting to the GEF Council and to Replenishment discussions.

Indicators and ratings:

SP 1 Restoring and Sustaining Marine Fish Stocks:

IW PROCESS INDICATORS:

- *Functional National Inter-Ministry Committees:* Progress in establishment/functioning of inter-ministry coordination body at national level should be reported;
- *Agreement on Transboundary Priorities and Root Causes (TDA):* The ratings represent different level of identification and scientific justification of transboundary issues within the process of development and completion of the TDA as well as the agreement on those at regional level. Root Causes Analysis, which is a preliminary one and comprises only qualitative but not quantitative analysis should be assessed as inadequate.
- *National commitments to policy, legal & institutional reforms (Ministerial level adoption of SAP, ICM or IWRM Plans, etc.)* The rating represents different scope of commitment to reforms either at regional level (participating countries) or at national level (national planning framework);
- *Regional Legal Agreement:* Convention or other legal instrument being prepared/adopted in line with international law practice.
- *Functional and Sustainable Regional Transboundary Water Institution:* Either secretariat or other body agreed/established/funded by the countries sharing the transboundary water body;
- *Mechanisms in Place to Monitor Stress Reduction & Environmental/Water Resources and Socioeconomic Status of the Waterbody:* The rating represents both existence or quality of baseline data (information) on stress reduction, environmental/water resources and socioeconomic status and mechanisms to monitor change in those.
- *Project website established and maintained in line with the GEF IW:Learn template/guidelines:* Projects are supposed to establish and maintain a webpage in line with IW:Learn template and assure regular update of its content.
- *Knowledge Production/ Tools:* Projects are expected to produce various knowledge products and tools for capturing the results and best practices of the GEF intervention and shared them with the IW projects portfolio;

- *Experience Sharing & Learning*: Projects are expected to actively participate in various, regular IW portfolio learning and knowledge exchange activities, communities of practice and to host a staff exchange from other projects or transboundary institution;
- *Co-financing/Resource Mobilization target met (realised vs expected)*: The rating represents the achieved level of committed co-financing against the planned one over time;
- *Catalytic results*: Catalytic results could be achieved when a GEF Agency pursues strategies and approaches that have a greater effect than the project intervention itself. The catalytic results could be local, national, regional or global. **Catalytic results** are results achieved through processes external to the project, but still facilitated by the project's activities, mechanisms and strategies, e.g.:
 - removal of barriers to up-scaling or replication,
 - new donor activities outside the scope of agreed co-financing,
 - market, policy and institutional changes outside the original scope of the project intervention, and
 - innovation and introduction of new approaches, practices and techniques;
- *Other*: This additional column provides a space for other specific indicator chosen by the agency for documenting the progress of the project and its contribution to the GEF 4 IW results.

IW STRESS REDUCTION INDICATORS:

- *Through implementation of national reforms providing tangible/measurable results*: One (minimum) or more indicators, relevant for this SP should be reported. One (minimum) or more indicators, relevant for this SP should be reported. Based on the rating table in the annex project should fill in rating(s) for reported indicators. Results of stress reduction achieved are to be reported in the text field, including values and units, if applicable.
- *Through demonstrations and investment (in technology or application of best practice)*: One (minimum) or more indicators, relevant for this SP should be reported. This indicator describes what stage of implementation of stress reduction measures on the ground was achieved. Based on the rating table in the annex project should fill in rating(s) for reported indicators. The level of achievement of quantitative results should be reported including values and units.

IW ENVIRONMENTAL, WATER RESOURCES AND SOCIOECONOMIC STATUS INDICATORS:

- One (minimum) or more indicators, relevant for this SP should be reported. More specific information on the results, including technical details (values, units, etc.) should be provided in the text field.

SP 2 Reducing Nutrient Overenrichment and Oxygen Depletion in LMEs:

IW PROCESS INDICATORS:

- *Functional National Inter-Ministry Committees:* Progress in establishment/functioning of inter-ministry coordination body at national level should be reported;
- *Agreement on Transboundary Priorities and Root Causes (TDA):* The ratings represent different level of identification and scientific justification of transboundary issues within the process of development and completion of the TDA as well as the agreement on those at regional level. Root Causes Analysis, which is a preliminary one and comprises only qualitative but not quantitative analysis should be assessed as inadequate.
- *National commitments to policy, legal & institutional reforms (Ministerial level adoption of SAP, ICM or IWRM Plans, etc.)* The rating represents different scope of commitment to reforms either at regional level (participating countries) or at national level (national planning framework);
- *Regional Legal Agreement:* Convention or other legal instrument being prepared/adopted in line with international law practice.
- *Functional and Sustainable Regional Transboundary Water Institution:* Either secretariat or other body agreed/established/funded by the countries sharing the transboundary water body;
- *Mechanisms in Place to Monitor Stress Reduction & Environmental/Water Resources and Socioeconomic Status of the Waterbody:* The rating represents both existence or quality of baseline data (information) on stress reduction, environmental/water resources and socioeconomic status and mechanisms to monitor change in those.
- *Project website established and maintained in line with the GEF IW:Learn template/guidelines:* Projects are suppose to establish and maintain a webpage in line with IW:Learn template and assure regular update of its content.
- *Knowledge Production/ Tools:* Projects are expected to produce various knowledge products and tools for capturing the results and best practices of the GEF intervention and shared them with the IW projects portfolio;
- *Experience Sharing & Learning:* Projects are expected to actively participate in various, regular IW portfolio learning and knowledge exchange activities, communities of practice and to host a staff exchange form other projects or transboundary institution;
- *Co-financing/Resource Mobilization target met (realised vs expected):* The rating represents the achieved level of committed co-financing against the planned one over time;
- *Catalytic results:* Catalytic results could be achieved when a GEF Agency pursues strategies and approaches that have a greater effect than the project intervention itself. The catalytic results could be local, national, regional or global. **Catalytic results** are results achieved through processes external to the project, but still facilitated by the project's activities, mechanisms and strategies, e.g.:
 - removal of barriers to up-scaling or replication,
 - new donor activities outside the scope of agreed co-financing,
 - market, policy and institutional changes outside the original scope of the project intervention, and
 - innovation and introduction of new approaches, practices and techniques;

- *Other*: This additional column provides a space for other specific indicator chosen by the agency for documenting the progress of the project and its contribution to the GEF 4 IW results.

IW STRESS REDUCTION INDICATORS:

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IW ENVIRONMENTAL, WATER RESOURCES AND SOCIOECONOMIC STATUS INDICATORS:

- SP 2 projects may report on these indicators, if applicable. If a different environmental, water resources or socioeconomic indicator is applicable, other than offered by the scroll down menu, the project should specify it the text field.

SP 3 Balancing Over-Use and Conflicting Uses of Transboundary Waters:

IW PROCESS INDICATORS:

- *Functional National Inter-Ministry Committees*: Progress in establishment/functioning of inter-ministry coordination body at national level should be reported;
- *Agreement on Transboundary Priorities and Root Causes (TDA)*: The ratings represent different level of identification and scientific justification of transboundary issues within the process of development and completion of the TDA as well as the agreement on those at regional level. Root Causes Analysis, which is a preliminary one and comprises only qualitative but not quantitative analysis should be assessed as inadequate.
- *National commitments to policy, legal & institutional reforms (Ministerial level adoption of SAP, ICM or IWRM Plans, etc.)* The rating represents different scope of commitment to reforms either at regional level (participating countries) or at national level (national planning framework);

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- *Mechanisms in Place to Monitor Stress Reduction & Environmental/Water Resources and Socioeconomic Status of the Waterbody*: The rating represents both existence or quality of baseline data (information) on stress reduction, environmental/water resources and socioeconomic status and mechanisms to monitor change in those.
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SP 4 Reducing Persistent Toxic Substances and Management of Waters with

Melting Ice:

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