



GEF SECRETARIAT REVIEW FOR FULL/MEDIUM-SIZED PROJECTS* THE GEF/LDCF/SCCF TRUST FUNDS

GEF ID:	4489		
Country/Region:	Global		
Project Title:	A Transboundary Waters Assessment Programme: Aquifers, Lake/Reservoir Basins, River Basins, Large Marine Ecosystems, and Open Ocean to Catalyze Sound Environmental Management		
GEF Agency:	UNEP	GEF Agency Project ID:	
Type of Trust Fund:	GEF Trust Fund	GEF Focal Area (s):	International Waters
GEF-5 Focal Area/ LDCF/SCCF Objective (s):	IW-1; IW-2; IW-4; IW-4; Project Mana;		
Anticipated Financing PPG:	\$140,000	Project Grant:	\$5,000,000
Co-financing:	\$31,863,813	Total Project Cost:	\$37,003,813
PIF Approval:	December 13, 2011	Council Approval/Expected:	February 29, 2012
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	Ivan Zavadsky	Agency Contact Person:	Isabelle Van der Beck

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)
Eligibility	1. Is the participating country eligible?	22nd of March 2011 (cseverin): N.A. this is a global project.	6th of December 2012 (cseverin): N.A. This is a global project.
	2. Has the operational focal point endorsed the project?	22nd of March 2011 (cseverin): N.A.	
Agency's Comparative Advantage	3. Is the Agency's comparative advantage for this project clearly described and supported?	22nd of March 2011 (cseverin): Yes, the agency's comparative advantage is clearly described and supported.	6th of December 2012 (cseverin): The Agency's comparative advantage have not been further supported by descriptive text, but for this project UNEP seems to be the perfect agency.
	4. If there is a non-grant instrument in the project, is the GEF Agency capable of managing it?	22nd of March 2011 (cseverin): N.A.	6th of December 2012 (cseverin): N.A.
	5. Does the project fit into the Agency's program and staff capacity in the country?	22nd of March 2011 (cseverin): This is a global project, so this question is not really applicable.	6th of December 2012 (cseverin): The PCU will be based in Nairobi and supported by DEWA, so yes, the agency's program and staff will fit nicely with the project needs.
	6. Is the proposed Grant (including the		

Resource Availability	available from (mark all that apply):		
	<ul style="list-style-type: none"> • the STAR allocation? 		
	<ul style="list-style-type: none"> • the focal area allocation? 	22nd of March 2011 (cseverin): Yes, the funds are available within the focal area allocation.	
	<ul style="list-style-type: none"> • the LDCF under the principle of equitable access 		
	<ul style="list-style-type: none"> • the SCCF (Adaptation or Technology Transfer)? 		
	<ul style="list-style-type: none"> • Nagoya Protocol Investment Fund 		
	<ul style="list-style-type: none"> • focal area set-aside? 		
Project Consistency	7. Is the project aligned with the focal /multifocal areas/ LDCF/SCCF/NPIF results framework?	22nd of March 2011 (cseverin): Yes, the proposed project is aligned with the IW focal area framework, as the project will work towards undertaking a global assessment of transboundary water bodies leading to a robust set of indicators and projections that in the future will inform the GEF IW programming process.	7th of December 2012 (cseverin): Yes, the proposed project and its activities is aligned with the IW focal area strategy results framework and the long term goal of creating an enabling environment for incorporating transboundary considerations into periodic assessments of the different ecosystems that is covered by the IW focal area. Further, the proposed activities will also produce a framework for enabling priority setting for funding allocations within the different ecosystem types (Aquifers, Lakes/Reservoirs, River basins, Large Marine Ecosystems and Open Ocean areas.). Please include wording along the lines of following "The project will set 1% of the GEF grant aside for IWLEARN activities such as produce a website following the guidelines from IWLEARN produce at least two

			<p>and participate in regional IWLEARN activities and IWCs during project implementation."</p> <p>Dec 12, 2012 (IZavadsky): Please make sure that there is coherency between the listed outcomes and outputs for each Ecosystem component. As it is presently in Table B there is great diversity between details provided in the form of the the listed outcomes and outputs, for each System. Considering the complexity of the project, we would suggest to have shorter more concise component outcome and output descriptions (and then leave the more wordy details to Annex 4, which outlines the very detailed project results framework). Please make sure that the TABLE B is consistent with the detailed project results framework in Annex 4. Maybe the Rivers component and the Cross Cutting component could be a model to follow. One side point, since Open Oceans are a "different creature" that the other systems, maybe it is okay to give them some slack. However, if you are able to increase coherency it will be welcomed. Furthmore, the use of worf "allocation" in the 2nd para on page 13 is confusing since remind the reader of STAR; please revise the text in order to eliminate this confusion.</p>
	<p>8. Are the relevant GEF 5 focal/multifocal areas/LDCF/SCCF/NPIF objectives identified?</p>	<p>22nd of March 2011 (cseverin): Yes, the GEF 5 IW objectives (1,2 & 4) have been identified and mentioned in the PIF.</p>	<p>7th of December 2012 (cseverin): Yes the proposal identifies three relevant focal area objectives which the proposed activites will support, namely 1, 2, and 4.</p>
	<p>9. Is the proiect consistent with the</p>	<p>22nd of March 2011 (cseverin): It is a</p>	<p>7th of December 2012 (cseverin): This</p>

	strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA, NCSA, or NAP?	and future GEF IW TDA-SAP projects that are country-driven, by assessing transboundary waters, developing sustainable partnerships for assessments, and providing feasible assessment methodologies that can be adapted and implemented for all transboundary water systems. The proposed project will be linked to planned and ongoing assessment activities at national, regional and global levels.	linked to national activities. However, the project's outcomes and outputs is planned to be informing national priority setting within transboundary water ecosystems.
	10. Does the proposal clearly articulate how the capacities developed, if any, will contribute to the sustainability of project outcomes?	22nd of March 2011 (cseverin): Yes, as the proposed project will formalize partnerships between governments, regional organisations, academic networks funded by governments, research programmes, private sector, and local and indigenous communities and catalyse an institutional arrangement to establish a sustainable global process for Transboundary Assessment of water ecosystems.	10th of December 2012 (cseverin): Yes, as the objective of the project is to strengthen and formalize the partnerships between a range of institutions internationally (including the GEF) towards incorporating transboundary aspects into their programming, the capacities developed throughout the project will be supporting sustainability of the project outcomes and outputs.
Project Design	11. Is (are) the baseline project(s), including problem (s) that the baseline project(s) seek/s to address, sufficiently described and based on sound data and assumptions?	22nd of March 2011 (cseverin): Yes, the baseline projects are detailed described and based on strong data-backed assumptions.	10th of December 2012 (cseverin): Yes, the baseline in the form of multiple programs from a range of institutions has been detailed described and is based on sound data.
	12. Has the cost-effectiveness been sufficiently demonstrated, including the cost-effectiveness of the project design approach as compared to alternative approaches to achieve		10th of December 2012 (cseverin): Yes, the proposed project seem to be highly cost effective, as it facilitates collaboration and datasharing between 132 partners (consisting of 6 lead

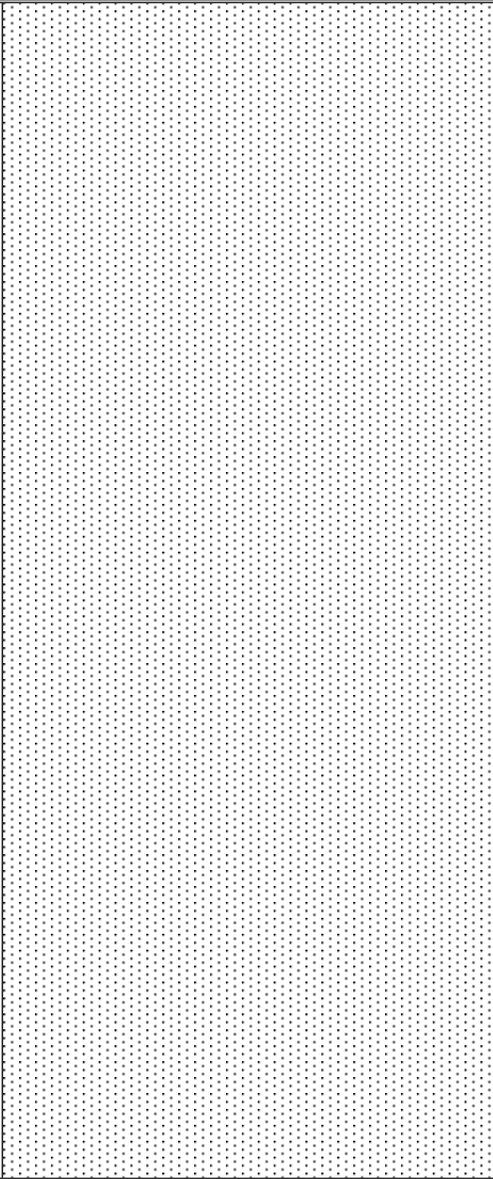
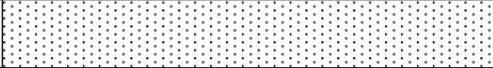
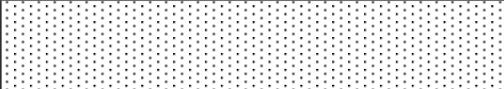
			thematic partners and 68 data/expert providers).
	13. Are the activities that will be financed using GEF/LDCF/SCCF funding based on incremental/additional reasoning?	22nd of March 2011 (cseverin): Yes, the activities will be complementary to further be able to advance the issues associated with a global assessment of the transboundary water ecosystems.	10th of December 2012 (cseverin): Yes, the proposed activities are indeed incremental to the normal program of works of plethora of organisations and institutions that will be part fo this project, while at the same time creating a platform for global assessments and a framework for prioritizing funding for transboundary waters.
	14. Is the project framework sound and sufficiently clear?	22nd of March 2011 (cseverin): Yes 8th of December 2011 (cseverin): yes, however, please strengthen the project framework's output indicators during project preparation, as it will be hard to properly assess the progress and accomplishemnt of activities that output e.g. A systematic assessment, sustainable consortium, sustainable partnership, etc. please make these output indicators more directly measurable.	10th of December 2012 (cseverin): Yes the project framework describes this highly complex project is clear terms. The previous identified need for including more quantifiable output indicators have partly been addressed in the project framework, but primarily been taken care of through the submission of the detailed Results Framework (appendix 4)
	15. Are the applied methodology and assumptions for the description of the incremental/additional benefits sound and appropriate?	22nd of March 2011 (cseverin): Yes, a global assessment of Transboundary water ecosystems leading to the formulation of robust indicators to guide future programming seems to be a sound and appropriate strategy that has been well described.	10th of December 2012 (cseverin): Yes, the assessment that this project is setting out to undertake is indeed appropriate for the Transboundary water systems globally, first as such an assessment will support and built a framework for regular reporting on the status of such water bodies, secondly, it will support the development of a tool for prioritization of funding for water ecosystem types.

	<p>16. Is there a clear description of: a) the socio-economic benefits, including gender dimensions, to be delivered by the project, and b) how will the delivery of such benefits support the achievement of incremental/additional benefits?</p>	<p>22nd of March 2011 (cseverin): Yes, the socio-economic issues are described in detail.</p> <p>8th of December 2011 (cseverin): Gender and social issues will be addressed by this project as they are important drivers and incentives for achieving global environment benefits.</p>	<p>10th of December 2012 (cseverin): Yes, the proposed project would not be able to succeed, unless socio-economic and gender dimensions were to be properly included on all levels.</p>
	<p>17. Is public participation, including CSOs and indigeneous people, taken into consideration, their role identified and addressed properly?</p>	<p>22nd of March 2011 (cseverin): Yes</p> <p>8th of December 2011 (cseverin): As the project is to carry out a global assessment of five identified transboundary water systems, the project wil enagge with stakeholders on all levels, from community to cabinet, including research organisations.</p>	<p>10th of December 2012 (cseverin): As this assessment is including datasets from all levels of intervention, including the local, CSO and Indigenous people will be reflected in the datasets. However, the suggested activities does not directly support public participation, but will mostly facilitate the participation of the more then 130 institutions and partners.</p>
	<p>18. Does the project take into account potential major risks, including the consequences of climate change and provides sufficient risk mitigation measures? (i.e., climate resilience)</p>	<p>22nd of March 2011 (cseverin): Yes, a matrix outlining the potential risks and associated mitigation strategies have been included. The consequences of climate change is not a direct threat to the suggested project and its activities, however, the assessment will reflect appropriately upon any changes in datssets and indicators caused by climatic variability and change.</p>	<p>10th of December 2012 (cseverin): Yes, a matrix including risks and potential mitigation actions have been included. Climate Change will not be a direct threat to the project activities, but may very well effect the datasets and the methodologies that has been developed for collection of data. It is understood that the partner organisations will be able to cope with this change and consequently make potential needed adjustments.</p>
	<p>19. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?</p>	<p>22nd of March 2011 (cseverin): Yes, the proposed project includes all major stakeholders (sofare 130 institutions and agencies), that are considered to be valauble in connection to be able to undertake a global assessment of the transboundary water systems.</p>	<p>10th of December 2012 (cseverin): Yes, as mentioned during PIF stage, this project proposal includes all the major stakeholders needed to be able to undertake a Transboundary Water assessment, while also setting up a priority setting modality for funding allocations.</p>

	20. Is the project implementation/ execution arrangement adequate?	22nd of March 2011 (cseverin): Yes, the project implementation arrangements seems to be adequate for execution of this complex project.	10th of December 2012 (cseverin): Yes, the execution and implementation arrangements have been developed through close dialogue between the lead agencies and all their partners.
	21. Is the project structure sufficiently close to what was presented at PIF, with clear justifications for changes?		10th of December 2012 (cseverin): Yes, however, during preparation it was decided to include deal with "Governance and cross cutting socio economic issues" under a seperate component instead of having it rolled into each ecosystem type. Hence one more component have been added, but this seems to add clarity to the execution arrangement. Further an adjustment to the PM budget have been made, to counterbalance considerable cofinance from a bilateral agency to another component, hence, the PM budget is now adjusted to 350k.
	22. If there is a non-grant instrument in the project, is there a reasonable calendar of reflows included?		10th of December 2012 (cseverin): N.A.
Project Financing	23. Is funding level for project management cost appropriate?	22nd of March 2011 (cseverin): Yes, the PM budget follows the GEF Guidance on project management budgets and is accounting for 5% (\$500K) of the total GEF grant. 8th of December 2011 (cseverin): as the project budget has been considerable lowered the PM budget has been lowered too, accounting for 9% of total project budget.	10th of December 2012 (cseverin): The PM budget have been adjusted to be \$350k, compared to the \$250K at PIF stage. The PM budget is at an appropriate level.
	24. Is the funding and co-financing per objective appropriate and adequate to achieve the expected outcomes and outputs?	22nd of March 2011 (cseverin): Yes, the distribution of GEF funds and co-financing to each component have been carefully planned.	11th of December 2012 (cseverin): Yes, the funding and associated co-financing seems to be appropriate to be able to reach the expected outcomes and outputs.

	cofinancing; At CEO endorsement: indicate if confirmed co-financing is provided.	indicated level of co-financing seems to be adequate for the proposed activities and is at a level of a little more than 1:2 28th of November 2011 (cseverin): Please adjust co-financing to be at least 1:4 8th of December 2011 (cseverin): CO-financing has been adjusted to 1:4.8	Yes, in fact the co-financing has increased from ~\$24 mio to ~\$30 mio
	26. Is the co-financing amount that the Agency is bringing to the project in line with its role?	22nd of March 2011 (cseverin): Yes, the agency co-financing amount is clearly in line with its GEF defined role.	11th of December 2012 (cseverin): Yes, the Implementing Agency co-financing is in line with their with its GEF defined role.
Project Monitoring and Evaluation	27. Have the appropriate Tracking Tools been included with information for all relevant indicators, as applicable?		11th of December 2012 (cseverin): Yes the Iw Tracking Tool have been included in the submission, however it is not filled in, please do so and resubmit. 19th of December (cseverin): Tracking Tool submitted in a filled-in version.
	28. Does the proposal include a budgeted M&E Plan that monitors and measures results with indicators and targets?		11th of December 2012 (cseverin): Yes, a costed M&E budget have been included (as annex 7). Further, the more specific project indicators and targets have been included as Annex 4 in both the Request for CEO Endorsement as well as in the full endorsement package as the projects Results Framework.
Agency Responses	29. Has the Agency responded adequately to comments from:		
	• STAP?	22nd of March 2011 (cseverin): No comments recieved.	11th of December 2012 (cseverin): No comments recieved.
	• Convention Secretariat?		
	• Council comments?		
	• Other GEF Agencies?		

Secretariat Recommendation

<p>Recommendation at PIF Stage</p>	<p>30. Is PIF clearance/approval being recommended?</p>	<p>22nd of March 2011 (cseverin): Yes, PIF is being recommended.</p> <p>6th of April 2011 (Aduda):The co-financing presentation in the PIF seems unbalanced and not clear. The PIF should be revised to include a clear table of cofinancing by component and source. Of special importance is that the UNEP baseline project is not clear in the PIF and the co-financing brought by UNEP as GEF agency is mixed with others in Table C. Better clarity is essential for the UNEP baseline programmes upon which GEF incremental cost would be added with cofinancing of other cooperators. Without this clarity, the PIF is not be recommended for work program inclusion.</p> <p>15th of August 2011 (cseverin): the Agency has provided the needed clarity on co-financing resources, hence the PIF is recommended for CEO Approval.</p> <p>28th of November 2011 (cseverin): No, the PIF can not be recommended for CEO approval, please lower the suggested budget to \$5 mio GEF grant. Please also ensure that the co-financing will be increased to 1:4.</p> <p>8th of December 2011 (cseverin): Yes, PIF is recommended for CEO approval</p>	
	<p>31. Items to consider at CEO endorsement/approval.</p>		
<p>Recommendation at CEO Endorsement/</p>	<p>32. At endorsement/approval, did Agency include the progress of PPG with clear information of</p>		

	33. Is CEO endorsement/approval being recommended?		<p>11th of December 2012 (cseverin): No, please do fill in the IW Tracking Tool and please also include wording along following lines " the project will set 1% of the GEF grant aside for IWLEARN activities such as produce a website following the guidelines from IWLEARN, produce atleast two Experience Notes, one Results Note and participate in regional IWlearn activities and IWCs during project implementation."</p> <p>Dec 12, 2012 (IZavadsky): Please also align the two tables related to project results framework, namely the Table B and the one in Annex 4.</p> <p>19th of December 2012 (Cseverin): all above points addressed.</p>
Review Date (s)	First review*		
	Additional review (as necessary)		
	Additional review (as necessary)		
	Additional review (as necessary)		
	Additional review (as necessary)		

*** This is the first time the Program Manager provides full comments for the project. Subsequent follow-up reviews should be recorded. For specific comments for each section, please insert a date after comments. Greyed areas in each section do not need comments.**

REQUEST FOR PPG APPROVAL

Review Criteria	Decision Points	Program Manager Comments
PPG Budget	1. Are the proposed activities for project preparation appropriate?	<p>22nd of March 2012 (cseverin): it is suggested to move extensive parts of the PPG suggested activities to the actual implementation of the TWAP. Please consider to rework the PPG request activities and resubmit.</p> <p>2nd of May 2012 (cseverin): The resubmitted PPG request have move substantial</p>

		activities are appropriate. However it is noted that due to the potential time sensitive data to be produced by the TWAP, it is recommended that the PPG is working, as agreed, towards being able to do a soft launch of the TWAP project by Medio September.
	2. Is itemized budget justified?	22nd of March 2012 (cseverin): Yes, budget is justified, but too high, please lower. 2nd of May 2012 (cseverin): Yes, the budget is justified and has been lowered according to guidance.
Secretariat Recommendation	3. Is PPG approval being recommended?	22nd of March 2012 (cseverin): No, PPG amount requested is too high. Please do lower considerable. 2nd of May 2012 (cseverin) Yes
	4. Other comments	
Review Date (s)	First review*	
	Additional review (as necessary)	

* This is the first time the Program Manager provides full comments for the project. Subsequent follow-up reviews should be recorded. For specific comments for each section, please insert a date after comments.