

# ANNEX IX

## LOGFRAME MATRIX

Project Structure	Indicators of Achievement	Means of Verification	Assumptions/Risks
<b>Goal</b> To contribute to improving the effectiveness of national, regional, and global level actions designed to achieve environmental benefits in the area of international waters.	Adoption of the framework by the GEF at programmatic level. Adoption of the Framework by other donors and organisations in the selection of future international waters projects	Selection by the GEF and other donors of projects which address the priority areas identified by the GIWA	It is assumed that selection of future priority areas for interventions in International Waters will be based on rational decision making. An associated risk is that decision making is distorted by other sectorial interests or external influences
<b>Purpose</b> (Immediate Objectives) To develop a comprehensive and strategic framework for the identification of priorities for remedial and mitigatory actions in international waters, designed to achieve significant environmental benefits, at national, regional and global levels	Production of a detailed scheme for determining priorities between and among transboundary water-related issues and areas	Use of the GIWA framework by the GEF and the participating Governments in prioritising and selecting future IW projects Use of the GIWA framework by the GEF's partner organisations, UNCSD, ACC Sub-committees on Ocean and Water Resources, in the design of future programmes Use of the framework by other donors in project identification and appraisal	The governments will support the process of the development of GIWA and will actively contribute to it. Governments and donors will accept the results of the assessment.
<b>Outputs</b> Strategic information for GEF use at a programmatic level in the IW focal area  Identified regional and global priority areas for action in the area of International Waters  Identified approaches for more sustainable use of water and its associated resources  GIWA Assessment Protocol including agreed methods for conducting causal chain analyses to examine societal root causes of water related environmental problems, and transboundary diagnostic analyses  Detailed approaches to the application of Incremental Cost Analyses in IW projects	A global overview of the relative importance of the various major concerns and principal issues by region A global analysis of the societal causes of identified water-related, major concerns and principal issues 66 sub-regional reviews of the transboundary ecological status (including analyses of environmental degradation) 9 regional and 66 sub-regional scenarios of the future state of international waters  Completion and publication of methods/guidelines for the conduct of causal chain and transboundary diagnostic analyses  Provision of approaches to incremental cost analysis to the GEF family	Policy statements related to the International Waters, promoting the results of GIWA. Periodic Reviews by the Steering Group and, the Thematic and Regional Task Teams;  Peer review and acceptance Review and acceptance by various intergovernmental fora;  Adoption of the guidelines by the GEF Implementing Agencies , collaborating organisations/agencies and other donors. Application of the methodology in future transboundary diagnostic and causal chain analyses Improved Incremental Cost Analyses in future GEF projects	It is assumed that sub-regional reviews will be produced in an orderly and timely manner to permit their aggregation to a global scale It is assumed that sub-regional reviews and analyses will be of comparable quality permitting regional and global aggregation  It is assumed that socio-economic data are available and suitable for the development of the sub-regional scenarios. An associated risk is a failure to release data by the data holders/owners

The activities leading to the above outputs and the means to achieve them are laid out in detail in section 4 of the project brief.

## ANNEX X

### INCREMENTAL COSTS AND BENEFITS OF GIWA

#### Background

The GEF Incremental Costs analysis requires a consideration of baseline and incremental costs associated with achieving 'domestic' and global environmental benefits. The global scope of GIWA presents methodological difficulties in assessing the baseline and incremental costs of the project which are normally calculated in a national context. This results in part from the fact that the benefits resulting from the execution of the project are seen as being primarily accruing at the global and regional scales, and in part from the fact that the GIWA project is dependent on the information and data assembled as a result of past activities undertaken at national, regional and global scales. Consequently the entire costs of the GIWA Project may be considered incremental since no other organisation will undertake such an assessment in the immediate future.

The GIWA project is global in scope and complementary to existing national, regional and global activities related to the assessment of water-related environmental issues and concerns. In addition no other international organisation or body is at present contemplating undertaking such an assessment and hence the entire costs of GIWA may be considered 'incremental'. Nevertheless some global thematic assessments are ongoing or planned for the immediate future and these may be considered as the existing baseline for GIWA. By developing strong synergistic links with such global efforts GIWA will build upon this existing base of activities.

At the regional and sub-regional level various assessment activities including those contemplated through the execution of the GPA/LBA and UNEP's Regional Seas Programme may be seen as contributing directly to the achievement of GIWA goals and objectives. These have not been included in the baseline. The costs of such assessments at sub-regional and regional levels are considered as analogous to the costs of achieving 'domestic' environmental benefits in nationally executed GEF projects.

Whilst the entire project costs may be considered incremental, it should be noted however, that not all costs are eligible for GEF funding. To ensure a global scope the assessment requires the participation of donor countries in conducting assessments for those sub-regions outside the GEF eligible areas of the Globe. Present indications are that the support required and detailed in the budget table of the project brief will be forthcoming.

#### Baseline - past activities providing the information and data upon which GIWA will be based

GIWA is based upon the evaluation and analysis of information which, in most though not all cases, has already been gathered or is being gathered by existing country-based or international programmes. **It adds value** to these sets of information by facilitating a truly interdisciplinary analysis which: **examines societal driving forces or causes of environmental degradation; generates regional and global scenarios for policy consideration; and recommends priority areas for developing and funding international waters projects.**

GIWA as a global project with broad scope, encompassing the analysis of environmental and societal factors in a global context will focus on - and support financially - activities that are not, covered by existing programmes or undertaken by individual countries acting unilaterally. GIWA is therefore clearly focused on undertaking and supporting incremental activities, leading to the identification of priority actions yielding maximal global benefits.

An illustration of the **baseline costs of GIWA** can be made by examining the approximate costs of some regional, and global assessment programmes as provided by the relevant co-ordinating bodies:

- **Mediterranean:** The Mediterranean countries have been conducting a pollution assessment programme, MEDPOL, within the framework of UNEP's Mediterranean Action Plan (MAP) since 1976. The estimated cost of this assessment to the Mediterranean Trust Fund and the cooperating UN Agencies is US \$ 35 million. This cost does not include the contribution of the countries for implementing national monitoring programmes and research projects. The full cost of MEDPOL, including national and individual contributions, is **estimated as US \$ 180 million**<sup>1</sup>. A socio-economic study, designated **the Blue Plan**, has also been conducted within the framework of MAP and the Barcelona Convention. The estimated cost to the Mediterranean Trust Fund and the Government of France is US \$ 9 million for the 1978-1996 period. The corresponding costs of developing national scenarios elevate this figure to some **US \$ 20 millions**, which does not include the costs of socio-economic assessments conducted in the framework of the coastal area management plans and other activities of the Priority Areas Programme of the MAP.
- **Black Sea:** The recently completed three-year GEF study for formulating the Black Sea Transboundary Diagnostic Analysis cost a total of approximately US \$ 3 million in GEF funding and US \$ 3 million in funding from other donors, notably the European Union. An additional US \$ 10 million was spent on capacity building for a total cost of **US \$ 16 million**.
- **Arctic:** The Arctic Marine Assessment Programme (AMAP) cost about US \$ 4.5 million in specialist time and data analysis (some 30 person-years). The published assessment itself cost some US \$ 0.5 million, for a total cost of **US \$ 5 million**.
- **Comprehensive Freshwater Assessment:** The CFA, which focused on problems of freshwater availability, was funded in a complex manner through support to the eight Agencies involved and the total funding involved is difficult to evaluate at this stage. Funding for the Secretariat (the Stockholm Environment Institute) consisted of about US \$ 1 million from the Swedish government plus US \$ 0.2 million for publication, adding the other agency costs, gives an estimated total of **US \$ 3.2 million**.
- **GESAMP - State of the Marine Environment:** GESAMP's 1985-1989 State of the Marine Environment (which did not include socio-economic studies) cost about US \$ 2.5 millions. This sum does not include the cost of eleven regional studies on which the global study was based. The costs associated with the preparation of these studies is estimated as between US \$ 3 and 4 million for a total cost of around **US \$ 6 million**.
- **GEMS - Water** The Global Environment Monitoring System compilations of River discharge and freshwater quality have cost **approximately US \$ 5 million** over the last 4-5 years.
- **Independent World Commission on the Oceans (IWCO):** For the preparation of a report for the Year of the Oceans the Commission's operating budget for the period 1996-1998 is approximately US \$ 4.7 million, mainly provided by governments and private foundations. This figure does not include the in kind contributions of several governments, foundations and individuals, estimated as an additional US \$ 1.4 million, for a total of **US \$ 6.3 million**
- **GEF Regional TDA's & SAP preparation:** During the last three years GEF has funded a number of regional TDA assessments at an average cost of **around US \$ 350,000**.

The above are examples of the costs of different regional and thematic assessments of varying scope and this is by no means a comprehensive listing of the past assessments, the information and data from which will contribute to the execution of GIWA. On the basis of these examples however, it is apparent that **the costs of the information on which GIWA is to be based will be considerable**. A conservative estimate for the 'past' baseline costs of the GIWA would be of the order of **US \$ 200 million**.

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<sup>1</sup> This figure includes equipment and training for developing country scientists; field sampling measurements and observations, laboratory analyses and experiments not figure cannot be considered in total as a baseline contribution.

### **Baseline - ongoing and planned global activities contributing to the GIWA**

Planned or ongoing global assessment activities that will contribute to the execution of the GIWA include: the GESAMP assessment of the State of the Marine Environment (1997-2002), the World Water Council's 'Vision for the Future', and the GEMS/Water activities, amongst others. A conservative estimate of the costs of such activities would be approximately **US \$ 12.5 million** over the life of the GIWA Project.

Based on the above figures a conservative estimate of the ongoing annual investment worldwide in water-related assessment activities undertaken at a regional scale (such as those outlined above and those undertaken in the context of UNEP's Regional Seas Programme) that will provide on-going support to GIWA during its execution would be of the order of **50 million US \$ per annum**. Such activities may be considered as an analogue of the 'domestic' benefits for GEF projects conducted within a single country. The national level assessment activities that contribute to regional assessment activities such as those outlined above, may be as much as two orders of magnitude greater than this figure.

### **Benefits of the GIWA**

**GIWA adds value** to international programmes, since it will **provide inter-regional comparisons** of the findings of individual assessments of ecological status and root causes of degradation. GIWA will, to the extent possible, incorporate the findings of past programmes related to international waters or, in the case of on-going programmes, work in close partnership with them in order to avoid duplication and optimize the overall benefit.

The incremental benefits of GIWA are harder to quantify at this stage. GIWA should **reduce the scoping study costs** for the GEF, partner agencies and many donors, enabling more of their funds to be applied to direct action. By focusing action on priority areas where environmental benefits may be achieved the effectiveness of limited funding will be improved.

The global and regional benefits of the GIWA project are clearly recognised by the extent of commitment to co-financing and collaboration secured during the preparatory phase (see Annex IV)

# ANNEX XII

Table 1 Timetable for the Execution of GIWA

ACTIVITIES	PDF PHASE				Appraisal Phase				DURATION OF PROJECT 48 MONTHS																		
	3	6	9	12	3	6	9	12	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48			
<b>1. Pre-Project preparatory phase PDF</b>																											
Steering Group mtgs	x	x	x																								
2 expert group meetings, & Management mtg.	x	x	x		3																						
Prelim. Biblio. & metadata catalogue																											
Finalisation of project brief																											
Finalisation of UNEP prodoc																											
<b>2. Establishment of the network &amp; development of Assessment Protocol</b>																											
2.1 Select Core Team; id Focal Pts; regional organisations; form. Regional Task Teams (RTT)																											
2.2 Steering Group (SG) Mtg.										x																	
2.3 Draft assessment protocol include: TDA & causal chain methods; approaches to incremental costs analysis.																											
2.4 Mtgs of 9 Regional Task Teams																											
Prep. of meta-data catalogue & website inputs																											
2.5 Review of assessment protocol & mtgs. of Thematic Task Teams																											
<b>3. Analytical phase</b>																											
3.1 Annual Core Team Rpt & 1999 workplan, SG Mtg														x													
3.3 Regional Task Team mtgs. 2 x 9																											
Preparation of regional reviews, TDA analysis																											
Preparation of regional causal chain analysis																											
3.4 3 Mtgs of Economics Task Team, methods for scenario analysis														x	x		x										
3.5 3 Mtgs of Thematic Task Teams														x	x	x											
Preparation of draft thematic global reviews																											
3.6 Finalisation of GEF TDA guidelines																											
<b>4. Predictive/policy options phase</b>																											
4.1 Annual Core Team Rpt & 2000 workplan, SG Mtg.																x											
4.2 Combined mtg. Economics & RTT																x											
4.3 Regional & sub-regional scenario development																											
4.4 Stakeholders meeting																											
4.5 Preparation of the global overview																											
<b>5. Dissemination of GIWA products</b>																											
5.1 Annual Core Team Rp & 2001 workplan, SG Mtg																	x										
5.2 Appt. of Public Information expert																											
5.3 Mtgs of Regional & Thematic TT																											
5.4 Expansion of website information, CD ROMs																											
5.5 Global & Regional Information products																											

## ANNEX XII Cont.

**TABLE 2 WORKPLAN: SUMMARY OF GIWA ACTIVITIES, MILESTONES AND PRODUCTS**

Activity	Time Period	Implementation	Products (major products in bold)
<b>1. Pre-project preparatory phase (completed)</b>			
1.1 Establishment & meetings of Steering, Management and Expert Groups .	April - Sept. 1997	UNEP	Two Steering, Two Expert Group & Management Meeting reports. Preliminary analysis of thematic and geographical scope of GIWA.
1.2 Preparation of preliminary bibliography	May - Sept. 1997	UNEP	Preliminary bibliography of water related assessments
1.3 Analysis of expert meeting results & design of the project Brief	July - Sept. 1997	UNEP	• <b>Project Brief</b>
1.4 Approval of the Project brief	November 1997	GEF Council	• Approved Project Brief
1.5 Appraisal and finalisation of the UNEP Internal project Document including Host Country Agreement, MoU for Institutional support and co-financing agreements	December 1997 - November 1998	UNEP	• <b>UNEP Project Document</b>
1.6 Final clearance	December 1998	CEO & GEF Council	• <b>Final clearance by the GEF Council</b>
<b>2. The establishment of the GIWA network and development of the GIWA Assessment Protocol</b>			
2.1 Appointment of Core Team staff of specialists: Scientific Director (D2), 4 Programme Officers (P4/P5) and identification of regional collaborators & focal points.	Nov./Dec. 1998	UNEP	Recommendations to the Steering Group (SG) on: identification of existing programmes and institutions in each region, and sub-region; selection of regional, collaborating bodies; identification of sub-regional focal points and formation of regional task teams, where justified, or the use of existing teams where present.
2.2 Steering Group meeting	April, 1999	UNEP	Approval of GIWA Management Plan & final GIWA UNEO Project Document. Recommendation to UNEP on appointment of Core Team
2.3 Completion of draft GIWA Assessment protocol; TDA & causal chains methods; approaches to incremental cost analysis	Jan - Sept. 1999	Core Team	Draft documents, see under 2.5
2.4 Meetings of all 9 Regional Task Teams	April - Dec. 1999	Core Team	Reports on the establishment of the regional GIWA task teams; analysis of existing/completed projects in the regions; full discussion of the proposed methodology; identified information gaps.
2.5 Peer review and meeting of Thematic Task Teams to complete the GIWA methodology	April - September, 1999	Core Team	<ul style="list-style-type: none"> <li>• <b>a meta-data catalogue of existing/completed projects in all regions;</b></li> <li>• <b>GIWA methodology for causal chain analysis of water-related environmental issues and their societal causes;</b></li> <li>• <b>methodology for conducting regional TDA; and,</b></li> <li>• <b>detailed approaches to incremental cost analyses.</b></li> </ul>
<b>3. Analytical phase of GIWA</b>			
3.1 Meeting of the GIWA Steering Group	November, 1999	UNEP	Review of 1998 project implementation & results, approval of 1999 annual workplan
3.2 Coordination of implementation	October 1999 - September 2000	Core Team	Report demonstrating the implementation of workplan and development of specific products
3.3 Two meetings of each regional task team and implementation of regional programmes	October 1999 - September 2000	Core Team/ Donors/ regional bodies	<ul style="list-style-type: none"> <li>• <b>Sub-regional &amp; regional reviews of transboundary issues &amp; their societal causes.</b></li> <li>• <b>Meta database &amp; bibliography on CD ROM.</b></li> <li>• <b>Creation and updating of a GIWA Web page</b></li> </ul>

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Activity	Time Period	Implementation	Products (major products in bold)
3.4 Three meetings of economic task team in support of regional case studies & to identify & fill gaps in regional/global database.	October 1999 - September 2000	Core Team in close cooperation with the World Bank	Draft methodology for the scenario and policy options analysis phase, based upon the availability of regional data and information from case studies.
3.5 Meetings of <i>ad-hoc</i> thematic task teams, as necessary	December 1999 - July 2000	Core Team. in close cooperation with technical partners.	<ul style="list-style-type: none"> <li><b>Preparation of draft global thematic reviews</b></li> </ul>
3.6 Methodology development for GEF Transboundary Diagnostic Analyses (TDA)	April - July 2000	Core Team	<ul style="list-style-type: none"> <li><b>Methodology for GEF TDA (including inputs from the Regional TTs)</b></li> </ul>
<b>4 Predictive/ policy options analysis phase</b>			
4.1 Meeting of the GIWA Steering Group	October, 2000	UNEP	Review of 1999 project implementation & results, approval of 2000 annual workplan
4.2 Meeting of economic task team & key members of regional TTs to review data gathered in Phase 4 & to explain the methodology for regional scenario development & policy options analysis.	October, 2000	Core Team. & Technical partners	Meeting Report and agree methodology for scenario development and policy options analysis
4.3 Regional and Sub-regional scenario development by thematic/regional TTs	October 2000 - September, 2001	Core Team., Donors, Regional bodies	<ul style="list-style-type: none"> <li><b>Regional &amp; sub-regional scenarios of future state of international waters based on trends &amp; rates of change in industrialisation, population growth and development.</b></li> </ul>
4.4 Stakeholders meeting to review the initial conclusions of the policy options analysis	September, 2001	Core Team	Meeting Report
4.5 Joint Economic TT and Core Team 'task force' to examine global issues of concern to GIWA and to complete assessment	April - September, 2001	Core Team and technical partners	<ul style="list-style-type: none"> <li><b>Detailed scheme for decision making concerning priority areas for action at national, regional and global levels</b></li> <li><b>A global overview of the relative importance of the various issues and their principal causes.</b></li> </ul>
<b>5. Outreach activities and diffusion of the GIWA products</b>			
5.1 Meeting of the GIWA Steering Group	October, 2001	UNEP	Review of 2000 project implementation and results, approval of 2001 annual workplan
5.2 Incorporation of additional expertise on public information in the Core Team	October 2001	UNEP	
5.3 Meetings of key members of the regional and thematic TTs to plan and produce region-specific and thematic information products	October 2001 - April 2002	Core Team, Donors, Regional bodies	<ul style="list-style-type: none"> <li><b>Public information plain language technical reviews</b></li> <li><b>Popular educational and information materials specific to the regions &amp; sub-regions</b></li> </ul>
5.4 Expansion of GIWA Website as a tool for education and production of GIWA CD-ROM	October 2001 - September 2002	Core Team, Donors, Technical Partners	<ul style="list-style-type: none"> <li><b>GIWA Website with regional reviews</b></li> <li><b>GIWA educational CD-ROM</b></li> <li><b>GIWA Reports and data base on CD-ROM</b></li> <li><b>Meta-data catalogue on Website &amp; CD-ROM</b></li> </ul>
5.5 Production of global information products	December 2001 - October 2002	Core Team.	<ul style="list-style-type: none"> <li><b>Comprehensible, illustrated Global Waters Assessment (sales publication)</b></li> </ul>
5.6 Evaluation and reports to co-sponsoring organisations	Oct. - Dec. 2002	UNEP/Core team	<ul style="list-style-type: none"> <li><b>Evaluation reports</b></li> </ul>