



## Global Environment Facility

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December 10, 2001

Dear Council Member,

UNEP, as the Implementing Agency for the project, *Global: Millennium Ecosystem Assessment*, has submitted the attached proposed project document for CEO endorsement prior to final approval of the project document in accordance with UNEP procedures.

The Secretariat has reviewed the project document. It is consistent with the proposal approved by the Council in May 2000 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by UNEP satisfactorily details how Council's comments and those of the STAP have been addressed. I am, therefore, endorsing the project document.

We have today posted the proposed project document on the GEF website at [www.gefweb.org](http://www.gefweb.org). If you do not have access to the Web, you may request the local field office of the World Bank or UNDP to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

A handwritten signature in black ink, appearing to read "Mohammad T. U. Khan".

cc: Alternate, Implementing Agencies, STAP

**GEF PROJECT BRIEF COVER PAGE**  
**AS APPROVED BY THE GEF COUNCIL MEETING, MAY 2000**

**1. IDENTIFIERS**

<b>PROJECT NUMBER</b>	(number not yet assigned)
<b>PROJECT NAME</b>	<b>Global: Millennium Ecosystem Assessment</b>
<b>DURATION</b>	1 July 2000 to 1 July 2004
<b>IMPLEMENTING AGENCY</b>	United Nations Environment Programme
<b>EXECUTING AGENCY</b>	<i>Interim Executing Agency (1 July 2000 to 31 December 2000):</i> World Resources Institute in collaboration with the UNEP, UNDP, World Bank, FAO, UNESCO, Meridian Institute, IUCN, and ICSU. <i>Executing Agencies:</i> UNEP as co-executing agency with the other executing agencies to be selected by the Board of the Millennium Ecosystem Assessment at its first meeting.
<b>REQUESTING COUNTRY</b>	Global -- Not applicable
<b>ELIGIBILITY</b>	Not applicable
<b>GEF FOCAL AREA</b>	Biodiversity
<b>GEF PROGRAMMING FRAMEWORK</b>	Crosscutting over Operational Focal Programs #1, #2, #3, and #4.

**2. SUMMARY**

In order to effectively implement the ecosystem-related conventions and undertake sound regional, national, and local resource management, decision-makers at all levels (including the broader civil society) need access to integrated natural and social scientific information on ecosystems that provides the basis for weighing trade-offs among the goods and services provided by those ecosystems. The Millennium Ecosystem Assessment (MA) is a process designed to improve the management of ecosystems and their contribution to human development by helping to bring the best available information and knowledge on ecosystem goods and services to bear on policy and management decisions. The MA consists of a global scientific assessment as well as catalytic regional, national, and local assessments and has the aim of building capacity at all levels to undertake integrated ecosystem assessments and to act on their findings. The MA will engage the scientific community to synthesize scientific data and information pertaining to pressures, conditions, trends, future scenarios, and response options to meet the expressed needs of policy-makers and other users. The primary users of the MA will be the international ecosystem-related conventions, regional institutions, national governments, civil society, and the private sector. The MA will provide information and strengthen capacity but it will not set goals or advocate specific policies or practices.

**3. COSTS AND FINANCING (MILLION US \$)<sup>1</sup>**

<b>GEF:</b>	Project:	6.96
	PDF-B :	.35
	<b>Sub-total GEF</b> :	7.31
<b>Co-Financing</b>	<b>Phase 1 (Project Planning and Related Activities; 10/98-6/99)<sup>2</sup></b>	
	UN Foundation :	1.20
	Avina Group :	.60
	World Bank :	.40

<sup>1</sup> Note: The project document approved by GEF and UNF called for the MA to be a four-year project (2000 to 2004). Because of the time required to arrange co-financing, significant MA activities did not begin until April 1, 2001 and will be completed in four years from that date. While finalizing the arrangements for the co-financing, a six-month "start up" phase was initiated beginning on October 1, 2000 and this date is used in describing the overall MA activities and budget. Note that while GEF funds will only be spent over the period January 1, 2002 to March 31 2005, other sources of project cofinancing began to be expended on October 1, 2000. The activities undertaken during the start-up phase include activities included in the GEF- and UNF-approved proposal (totaling \$230,000) and additional MA Board-approved activities (totaling \$182,300). UNF funding began on April 1, 2001. The total cost of project listed in 1.7 equals the GEF- and UNF-approved budget (\$20,922,000) less \$555,000 in funds controlled under a separate UNEP Project Document (CP/1010-00-16) plus \$182,300 (additional Board-approved activities) plus \$200,000 (UNF project support costs equal to 5% of the UNF grant).

<sup>2</sup> Includes activities of the Interim Secretariat, Millennium Assessment Planning Steering Committee, Pilot Analysis of Global Ecosystems (PAGE), and *World Resources 2000-2001* which will be the primary vehicle for disseminating the findings of PAGE and informing a broader audience about the need for comprehensive ecosystem assessments.

UNDP	:	.40
UNEP	:	.40
Packard Foundation	:	.35
SIDA	:	.20
US AID	:	.10
<b>Sub-total Phase 1</b>	<b>:</b>	<b>3.65</b>
<b>Phase 2 (Millennium Assessment Implementation)</b>		
UN Foundation <sup>1</sup>	:	4.00
IA (UNEP)	:	.03
Government of Norway	:	.05
World Bank	:	.05
World Bank (in kind)	:	.10
UNEP, UNDP, FAO, UNESCO (in kind): <sup>2</sup>	:	.12
Norway (in kind) <sup>3</sup>	:	.74
To be identified	:	8.87
<b>Sub-total Phase 2</b>	<b>:</b>	<b>13.96</b>
<b>Sub-total Co-financing</b>	<b>:</b>	<b>17.61</b>
<b>Total Project Cost</b>	<b>:</b>	<b>24.92</b>
<b>4. ASSOCIATED FINANCING:</b>		
<b>5. IA CONTACT</b>		
Mr. Ahmed Djoghlaif, Executive Co-ordinator, UNEP/GEF Co-ordination Office, UNEP, P.O. Box 30552, Nairobi, Kenya Tel: +254 2 624166, Fax 254 2 624041, E-mail: <a href="mailto:Ahmed.Djoghlaif@unep.org">Ahmed.Djoghlaif@unep.org</a> .		
<sup>1</sup> United Nations Foundation has indicated that a matching grant for \$4 million will be submitted to its Board for approval at its July 2000 board meeting.		
<sup>2</sup> All UN partners and the World Bank are exploring the potential for larger financial contributions in the next biennium.		
<sup>3</sup> Norway's Department of Nature Management has included an integrated ecosystem assessment linked to the Millennium Assessment in its operating plan. Funding to undertake this assessment has been requested but not yet formally approved.		

## SECTION 2 – BACKGROUND AND PROJECT CONTRIBUTION TO OVERALL SUB-PROGRAMME IMPLEMENTATION<sup>1</sup>

### 2.1 Background and Context

#### 2.1.1 Problem Statement

1. Nations' development prospects are linked to the productivity of their ecosystems. Human development relies on ecosystem goods such as food, fiber, timber, genetic resources, and medicines, and services such as water purification, flood control, coastline stabilization, carbon sequestration, waste treatment, disease regulation, and the provision of aesthetic and cultural benefits. These goods and services are in turn dependent on the biodiversity of the system and on various essential ecosystem processes such as pollination, seed dispersal, and soil formation. Loss and degradation of ecosystem goods and services hinders national development and takes the most serious toll on the poor, who often depend directly on forests, fisheries, and agriculture for their livelihoods and who tend to be most vulnerable to problems resulting from ecosystem degradation such as floods or crop failures.

2. The capacity of ecosystems to produce these goods and services is subject to human-induced changes stemming from growth in resource use, changes in land cover, accelerated rates of nitrogen deposition, increased atmospheric CO<sub>2</sub> concentrations, changes in global mean temperature, and increased rate of species extinction, as well as various policy and institutional factors. Today, the challenge of meeting the human needs for ecosystem goods and services is so great that trade-offs have become the rule. A nation can increase food supply by converting a forest to agriculture, but in so doing decreases the supply of goods that may be of equal or greater importance such as clean water, timber, biodiversity, or flood control. It can increase timber harvest but only with decreased revenues from downstream hydro-facilities and increased risk of landslides.

3. Both the challenge of effectively managing earth's ecosystems and the consequences of failure will increase significantly during the 21st century. The scientific knowledge needed to create public awareness of the issues and to make appropriate decisions to meet this challenge is unavailable to decision-makers today. In order to make sound ecosystem management decisions in the next century a dramatic increase, or "step change," is needed in the information that can be brought to bear on resource management decisions. A cross-sectoral and interdisciplinary assessment (integrated assessment) of global ecosystems, with strong regional and local components, can play an instrumental role in helping to meet information needs, in catalyzing other assessments to meet those needs, and in promoting a culture of managing the ecosystems in an integrated fashion.<sup>2</sup>

4. In the words of United Nations Secretary General Kofi Annan:

*"Finally, it is impossible to devise effective environmental policy unless it is based on sound scientific information. While major advances in data collection have*

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<sup>1</sup> Several modifications have been made to the project as a result of decisions made by the MA Board and Executive Committee subsequent to the approval of the Project Document by the GEF Council in May 2000 and by the UN Foundation Board in July 2000. In general, those decisions involve the implementation of activities specified in the original proposal. In several cases, where the modifications involve changes to the activities or budget, a discussion of the rationale for the modifications is presented in Annex IX.

<sup>2</sup> Ayensu et al., 1999. International Ecosystem Assessment. *Science* Vol. 286:685-686.

*been made in many areas, large gaps in our knowledge remain. In particular, there has never been a comprehensive global assessment of the world's major ecosystems. The planned Millennium Ecosystem Assessment, a major international collaborative effort to map the health of our planet, is a response to this need. It is supported by many governments, as well as UNEP, UNDP, FAO and UNESCO"*— Kofi A. Annan, "We the Peoples: The Role of the United Nations in the 21<sup>st</sup> Century," April 3, 2000.

5. The MA is a process designed to meet this need. It would meet policy-maker's needs for "state of the art" scientific information about how changes in the world's ecosystem will affect their ability to meet human demands for food, clean water, health, biodiversity and other ecosystem goods and services. And, it would build capacity at all levels to undertake such assessments and act on their findings.

6. Awareness is growing of the need at all scales for information on ecosystems that effectively integrates natural and social sciences and addresses the entire array of goods and services produced by ecosystems.<sup>1</sup> The second meeting of the Convention on Biodiversity (CBD) Conference of Parties stated that "the ecosystem approach should be the primary framework of action to be taken under the Convention"<sup>2</sup> and the GEF Operational Guidance identifies "sectoral integration" as one of the project outputs sought under each of the four Biodiversity Operational Programs. The Action Plan for Enhancing GEF Support to Land Degradation includes the objective of facilitating cooperation among the implementing agencies and other stakeholders in developing programs and projects "that make use of integrated and cross-sectoral approaches to addressing land degradation."<sup>3</sup> And, the *GEF Draft Operational Program #12: Integrated Ecosystem and Natural Resources Management* states that integrated ecosystem management opportunities have not been tapped to the extent expected, especially considering relative costs and potential local benefits. It goes on to note that barriers to the introduction of integrated management approaches include such factors as: "Public entities may have insufficient capacities to access know-how and information necessary to promote integrated concepts," and "There may be difficulties in gaining access to capital and know-how needed to manage ecosystems more sustainably." The proposed Millennium Ecosystem Assessment (MA) would respond to all of these needs.

7. The MA would also provide baseline information on ecosystem goods and services and tools for integrated assessments of the condition of those goods and services, and would strengthen capacity of individuals and institutions to use the tools and information. This would provide the basis for key target audiences including countries, regions, and communities to set and implement priorities for action. In addition, improved understanding of status, threats and the likely future scenarios for changes in ecosystems is needed to help provide a baseline against which the impact of GEF project activities can be measured.

8. An integrated ecosystem assessment designed to help build capacity at all levels is responsive to CBD/COP guidance to the GEF on Article 8 in that it facilitates GEF in situ project activity towards priority ecosystems. The MA also addresses the many significant concerns embodied in the Malawi principles on ecosystem approach, in particular the emphasis that management should be decentralised to the lowest appropriate level. In addition, because the MA includes an issue-based focus and a mechanism to respond to specific needs of the various

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<sup>1</sup> Ayensu et al., 1999. International Ecosystem Assessment. *Science* Vol. 286:685-686.

<sup>2</sup> A Call to Action: Decisions and ministerial statement from the Second Meeting of the Conference of the Parties to the Convention on Biological Diversity. Jakarta, Indonesia, 6-17 November 1995. Decision II/8, para 1.

<sup>3</sup> GEF/C.14/4 November 1999, p. 13

conventions, the project will ensure that COP-guidance to the GEF on priority issues will be addressed through such an assessment. Other international environmental conventions will also be represented on the Board, thereby ensuring integration of the science input to the various conventions and integration of input to the conventions and the GEF.

### **2.1.2 Previous and Ongoing Projects**

9. The MA is a high value-added extension of a tremendous array of local, national, and international ecosystem research and assessment activities now underway. (A survey of these activities is available on the MA Secretariat's website: <http://www.ma-secretariat.org>). In particular, important lessons for the design of the MA have come from the assessments undertaken by the Intergovernmental Panel on Climate Change (IPCC); the UNEP Global Biodiversity Assessment; the UNEP Global Environment Outlook; the "interlinkages assessment,"<sup>1</sup> various national biodiversity strategies, climate action plans, and sustainable development strategies; the Heinz Center Report on the State of US Ecosystems; and the "Pilot Analysis of Global Ecosystems" being conducted by WRI, IFPRI, WCMC, and other institutions in collaboration with UNEP, UNDP, FAO, and the World Bank.

10. More important, the ability to even consider undertaking an integrated worldwide assessment of Earth's ecosystems is entirely dependent on the wide array of existing international environmental research, monitoring, and assessment activities. These include:

Sectoral assessments such as the FAO Assessments of Forest Resources, Fisheries, and Agriculture; the Global Biodiversity Outlook being prepared by the CBD Secretariat; national biodiversity assessments; the IIASA Siberian Forest Assessment; the IPCC Climate Assessments; the Ozone Assessment conducted for the Montreal Protocol; the IUFRO reports on environmental change and forests; the ongoing Global International Waters Assessment (GIWA); the planned World Water Development Report (WWD); the planned Harvard/UNEP/WHO report on Biodiversity and Human Health; and national climate assessments;

Integrated assessments such as Europe's CLIVARA (Climate Change, Climatic Variability and Agriculture in Europe: An Integrated Assessment), LTEEF-II (Long-term Regional Effects Of Climate Change on European Forests), and the proposed OECD Megascience Forum integrated assessments of biodiversity and agriculture;

Global environmental assessments such as the Global Environmental Outlook (GEO) reports of UNEP and the World Resources reports published by WRI, UNEP, UNDP, and the World Bank;

National State of the Environment reports and various regional environmental reports;

Sustainability assessments such as the report *Wellbeing of Nations* to be published by IUCN, IIED, IDRC, and IISD;

Ongoing research programs such as the research components of the Man and the Biosphere (MAB) Programme of UNESCO, Diversitas, the International Council on Science's SCOPE (Scientific Committee on Problems of the Environment) activities, the International Geosphere Biosphere Program (IGBP), the World Climate Research Programme (WCRP), the Long Term Ecological Research (LTER) network, the Resilience Network, and the International Program on Ecosystem Change (IPEC), the

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<sup>1</sup> R.T. Watson, J.A. Dixon, S.P. Hamburg, A.C. Janetos, R.H. Moss. 1998. "Protecting our Planet: Securing our Future," UNEP, NASA, and the World Bank.

International Hydrological Programme (IHP) and the International Oceanographic Commission (IOC);

Ongoing observation systems and networks, such the Global (Climate/Ocean/Terrestrial) Observing Systems (GCOS, GOOS, and GTOS), and the Integrated Global Observing Strategy (IGOS), a joint strategy of these observing systems and the Committee on Earth Observation Satellites (CEOS);

Various data centers including the IGBP Data and Information System (IGBP-DIS) and WCMC;

Numerous local or community-based environmental and sustainability assessments.

11. Each of these ongoing activities fills an important niche for particular regions, nations, sectors, or users. But none is designed with a specific focus of meeting information needs of the international ecosystem-related conventions and none serves to synthesize this array of information to provide policy makers and the public with the answer to the seemingly simple questions: What shape are the world's ecosystems in today with respect to their ability to meet human needs for ecosystem goods and services? And, how will changes being made to these ecosystems affect their ability to meet human demands for various goods and services in the future? Answering these questions will be challenging, and in many parts of the world both the biological and economic information needed is deficient. But the IPCC provides a useful lesson: by focusing attention on those scientific issues most relevant to promoting public awareness and guiding policy decisions rather than those most interesting to scientists, it is possible for international assessments to both bring better information to bear on current decisions and to encourage research and monitoring that subsequently can narrow the uncertainties and ultimately answer key questions.

## **2.2 Project Rationale and Objectives**

12. The overall goal of the Millennium Ecosystem Assessment (MA) is to improve the management of ecosystems and their contribution to human development. The strategic objectives that the MA will seek to attain in order to achieve this goal are: (1) helping to bring the best available information and knowledge on ecosystem goods and services to bear on policy and management decisions, and (2) building capacity at all levels to undertake integrated ecosystem assessments and to act on their findings. The primary users of the MA will be the international ecosystem-related conventions, national governments, civil society, and the private sector. The MA will provide information and strengthen capacity but it will not set goals or advocate specific policies or practices. It will be policy relevant but not policy prescriptive.

13. The MA will provide scientific underpinning to a wide range of national and international efforts to address environment and development challenges, ranging from desertification to climate change. These environmental challenges are interlinked, yet scientific input into each challenge has often given relatively little attention to these interlinkages. This calls for a more integrative assessment process, and in particular a process that can highlight the linkages between questions relevant to decision-makers addressing climate, biodiversity, freshwater, marine and forest issues. A global assessment of the world's ecosystems can provide the integrated foundation for action.

14. The defining features of the MA are its focus, process, and institutional structure. The MA will focus on the capacity of ecosystems to provide goods and services important to human development, including consideration of the underlying ecosystem processes on which these

goods and services depend. Ecosystem "goods" include crops, timber, fuelwood, fish, and genetic resources, while "services" include water purification, carbon sequestration, and flood control. Biodiversity underlies all of these goods and services and can also be considered a direct "service" in its own right as a source of such goods and services as genetic resources, ecotourism benefits, and aesthetic and spiritual value. The MA will address both the biological attributes of these goods and services and the social and economic consequences such as employment, economic costs and benefits, and human health. More specifically, the Assessment will address:

- a. Current ecosystem extent, trends, pressures, condition, and value. The MA will provide "baseline" information for the year 2000 on the geographic extent of different ecosystems—including terrestrial, freshwater, and marine—the land- or resource-use patterns associated with them, and the material and energy fluxes that govern the interlinkages between different ecosystems. It will present information on trends in ecosystem goods and services, their condition and value, their contribution to human development, and pressures affecting them.

Ecosystem scenarios and trade-offs. The MA will present a range of plausible scenarios for how the quantity and quality of ecosystem goods and services may change in coming decades in different regions of the world and how society's approaches to the use of ecosystem goods and services might evolve in coming decades. It will assess the trade-offs among various goods and services and identify opportunities to increase the aggregate benefits that ecosystems provide.

Response options. The MA will identify policy, institutional, or technological changes that could improve the management of ecosystems, thereby increasing their contributions to development and maintaining their long-term sustainability.

15. Within this broad focus, the users of the MA—conventions, national governments, civil society, and the private sector—will help to shape the specific content to ensure that the MA provides them with the information that they need. The assessment will emphasize ecosystem conditions at the turn of the millennium to provide baseline information against which changes can be measured through time and it will carefully report levels of uncertainty associated with various indicators or findings and identify the research or information needed to reduce that uncertainty. Clearly, not all of the information needed for sound decision-making at local, national, regional, and global levels will actually be available for use in the MA. The MA will thus play an important role in revealing data gaps and one inherent product of the assessment will be an analysis of the effectiveness of our current data sources and methods of analyzing those data in light of the most pressing policy questions.<sup>1</sup>

16. The MA will consist of a global assessment and approximately ten catalytic assessments undertaken at regional, national, and local scales. Because ecosystems are highly differentiated in space and time, regional, national, and local assessments are needed to provide the information on ecosystems condition that will be needed for sound management. But assessments at these scales alone are insufficient because some processes—such as the

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<sup>1</sup> Experience with other assessment process suggests that when a compelling case can be made to policymakers that filling a particular data gap will actually improve decision-making rather than just aid scientific research, the resources can more readily be mobilized to establish the monitoring and research needed to fill that gap. For example, massive investments have been made over the past decade in research and monitoring needed to solve key climate issues that were identified by the IPCC as areas of scientific uncertainty highly relevant to policy choices. The MA will not simply list all data gaps, but instead will help policy makers to prioritize those types of information that, if obtained, would most directly aid resource management and policy decisions.

global biogeochemical cycles of carbon, nitrogen, and water—can only be understood at a global scale and because goods, services, matter, and energy are everywhere in a flux and are often transferred across regions at all spatial scales.

17. By including local, national, and regional components, the MA will better reflect regional differences, serve a direct capacity-building role, and facilitate the involvement of regional and local expertise. Integration of the various components will be assured structurally through the Ecosystem Assessment Panel (described below) comprised of the chairs of each component activity and substantively by developing and following an agreed upon methodology at all scales.

18. The institutional structure of the Millennium Assessment is unique. Reflecting the demand-driven nature of the Assessment, the Board will be comprised of "users" or "stakeholders" such as representatives of the international ecosystem-related conventions, governments, civil society, and the private sector as well as scientific experts. The MA will thus not be a product of a single existing institution, but instead will be linked to and meeting the needs of multiple institutions and users.

### **2.3 Audience and Use of Assessment Findings**

19. The findings of the MA will be used in different ways at the global, regional, national, and local scales and by the different users. At the global scale, the findings will be used by international institutions (including in particular the environmental conventions) to measure progress in achieving conservation and sustainable use objectives, to help in identifying priorities for action, to identify "best practices" for how to respond to degradation of ecosystem goods and services, and to galvanize greater public and private attention to the importance of ecosystems in meeting development needs. At this scale, the findings will also be used by the media and private sector as "the" source of scientific consensus on controversial issues regarding changes in ecosystems and their potential impacts on health, economics, and development. At sub-global scales, the findings of the global assessment and catalytic assessments will be used by national governments, the private sector, and civil society for these purposes as well as to weigh the costs and benefits of various options for management and conversion of ecosystems. The process of the assessment will also build capacity within these institutions to apply these methodologies in the future. Finally, at all scales the findings of the assessment will be used by the scientific community and by institutions supporting scientific research to focus research support on questions that simultaneously exhibit great scientific uncertainty and significant policy ramifications.

20. One of the chief roles of the MA Board will be to define more specifically within this broad array of users and potential uses of the MA findings and process, specific issues and needs that will be given highest priority. For example, the ESC has stressed that a key rationale for focusing on ecosystem goods and services is that the poor and marginalized groups are often most directly dependent on the products of ecosystems and are most vulnerable to the degradation of ecosystems. The Board thus may choose to target specific components of the assessment on a more detailed examination of vulnerable groups such as the poor, women, indigenous communities, and refugees

## **2.4 Project contribution to overall sub-programme implementation**

21. GEF Programming Context: The Millennium Ecosystem Assessment project conforms with the GEF operational strategy and operational programmes and will produce a scientific baseline on global ecosystem function for the provision of goods and services which will allow improved evaluation of the impact of biodiversity and other ecosystem related projects.
22. UNEP Programming Context: the MA will provide new information and tools that can be used by UNEP and its partner organizations (including the network of organizations collaborating in the Global Environmental Outlook) require as part of their regular activities.
23. UNF Programming Context: The Millennium Ecosystem Assessment will directly contribute to the goal of a strengthened environmental monitoring and assessment capability within the UN by providing a coordinated and integrated scientific baseline across the UN system. By supporting the implementation of the MA the UN Foundation would strengthen the role of UNEP and help achieve its goals. The relationship of the Millennium Ecosystem Assessment to the UNF/UNFIP Programme Framework and Project Criteria is detailed in Annex X.
24. Because of the role of UNEP as a co-executing agency in implementing the MA, there will be direct benefits to UNEP in terms of increased expertise, improved and extended linkages with scientific and research organizations, improved access to new and integrated global datasets and enhanced visibility for the entire array of products that UNEP produces relevant to the MA.

## **2.5 Process followed in Project Identification/Formulation**

25. The work undertaken to lay the groundwork for the launch of the MA and to build public and political awareness of the importance of ecosystem goods and services was funded, in part, by the Global Environment Facility (GF/5510-99-02; Millennium Assessment of the State of the World's Ecosystems) and the United Nations Foundation (Project No. UDP-GLO-99-054 "World Resources Report for the Millennium").
26. The concept for the MA was developed by a set of international agencies (UNEP, UNDP, FAO, UNESCO, World Bank), representatives of several environmental conventions (CBD, CCD, FCCC), NGOs (IUCN, WRI, WCMC, CGIAR, WBCSD), scientific organizations (ICSU, IPCC), and leading ecological and social scientists. These institutions and individuals have worked for more than a year on an Exploratory Steering Committee (ESC) (See Annex XI) to explore the merits of the approach, consult with users, and to design a substantive focus, process, and institutional arrangement that could best meet the needs of those users. In addition the ESC has consulted closely with a larger Advisory Group (See Annex XI.) The ESC remained in existence through mid-2000 to help in the establishment of the MA. A new Board met for the first time on July 17-18, 2000 and has now assumed the governance of the MA. Members of the Board are listed in Annex XII.
27. In addition to government representatives, agency representatives and scientists, the private sector, NGOs, and civil society have played central roles in formulating and beginning to implement the MA. The World Business Council on Sustainable Development (WBCSD) actively represented the private sector on the Exploratory Steering Committee. The draft plan for the MA was vetted by members of the WBCSD prior to its endorsement of the resolution calling for the establishment of the MA. The plans for the MA were also presented and

discussed at the World Economic Forum in January 1999. The CEO of a Fortune 500 company is a member of the MA Board and three additional members of the private sector will be invited to join the full MA Board. The Exploratory Steering Committee also had representation of NGOs (WRI, IUCN, Missouri Botanical Garden, and International Institute of Ecology) and additional NGOs were represented on the Advisory Group. The Board includes representatives of NGOs (WRI, IUCN, International Institute of Ecology), grassroots organizations (Greenbelt Movement), and indigenous peoples.

28. This project involves a wide range of stakeholders. At the global level, stakeholders include the parties to the international ecosystem-related conventions, secretariats of those conventions, UN Agencies, other international bodies, and the scientific community. At the regional, national, and local level, stakeholders include Ministries of Environment, Agriculture, Water, Health, Planning, and Finance, local governments, private corporations, non-governmental organizations and civil society.

29. The process of formulating the present proposal has involved the direct and substantial involvement of all relevant stakeholders. The activities undertaken to engage stakeholders are listed in Annex XIII. In addition, an Internet Web site has been established for the MA to make information on the MA readily available to interested individuals and to provide a means for obtaining widespread feedback on the MA design and periodic reports on progress in establishing the MA has been e-mailed and mailed to a mailing list of more than 500 individuals worldwide. The various stakeholders will be represented on the Board, Advisory Groups, or Ecosystem Assessment Panel of the Millennium Ecosystem Assessment. The consultation with stakeholders has strongly influenced the shape of the MA and has resulted in a series of endorsements for the MA. Statements of support for the MA have been made by the Secretary General of the United Nations, the Convention on Biological Diversity's SBSTTA and COP, the Convention to Combat Desertification's CST and COP, Ramsar Convention, CGIAR, TWAS, and representatives of UNEP, UNDP, FAO, UNESCO, the World Bank, ICSU, and IUCN. (See Annex XV.)

## SECTION 3 – NEEDS AND RESULTS

### 3.1 Needs:

- a. To bring the best available information and knowledge to the international ecosystem-related conventions, national governments, civil society, and the private sector on ecosystem goods and services to bear on policy and management decisions;

To build capacity at all levels to undertake integrated ecosystem assessments and to act on their findings

To keep under review the state of the world environment and identify emerging issues of global and regional significance;

For improved information and guidance for decision making at national, regional and global levels;

For improved decision making and policy development relating to environment, economics, health and development;

To better reflect and incorporate regional perspectives and priorities in international policy setting;

For new and better tools to assess the interactions between environment and the socio-economic fabric of life and for the identification of emerging issues;

For improved data sets to support assessment;

For workable, reliable, meaningful indicators and indices relating to environment and sustainable development.

### 3.2 Results:

30. Project indicators and means of verifications for the main results are given at Annex XIV. The direct beneficiaries of the project will be the decision-makers among the institutions represented on the MA Board. The MA is designed to provide information and build capacity in response to the expressed needs of such institutions as the Convention on Biological Diversity, Convention to Combat Desertification, and the Wetlands Convention. Through their role on the MA Board, these institutions, as well as representatives of other "user" audiences, will shape the focus of the MA to meet their specific information and capacity needs. Evidence of the commitment of various users to the MA process and expected results is provided in Annex XV. The impact of the MA will differ among the different target audiences. For the different audiences, the expected results of the MA will be as follows:

- a. Conventions: Improved access to information and scientific knowledge needed by parties in implementing the conventions;

Nations: Assistance in meeting the multiple reporting requirements under various international agreements; Strengthened capacity for integrated ecosystem assessments at a national level; Access to new methods and models for evaluating and weighing trade-offs among ecosystem goods and services; Improved access to global datasets that are currently often available primarily to private sector and Northern governments;

Private Sector: Improved ability to forecast future supply and demand and evaluate business strategies; Clearer understanding of what scientific information is known with confidence and what is still uncertain;

Civil Society: Improved access to information to hold private sector and governments accountable for decisions; Strengthened capacity for resource management through local ecosystem assessments.

31. Because the goal of the MA is to improve environmental management decisions around the world, and people everywhere feel the impact of such decisions, there are countless potential indirect beneficiaries. In particular, because the poor are most directly dependent upon ecosystem goods and services and most vulnerable to the degradation of ecosystems, to the extent that ecosystem related decisions are improved by the MA the poor should be significant indirect beneficiaries. (The rural poor will also be direct beneficiaries of the catalytic local assessments.) Indirect beneficiaries are involved in the MA in two fashions. First, the MA Board will include individuals representing "civil society" and grassroots organizations to help ensure that the findings will be both relevant to and communicated to a broad array of potential users. Second, the catalytic local assessments will directly engage the public in a number of communities in local assessments under the MA framework and this should help to guide not only those specific assessments but also the broader design of the overall MA.

32. More generally, as a result of the MA the following results can be expected:

*Sub-Objective:* The best available information and knowledge on ecosystem goods and services is utilized in policy and management decisions at global, regional, national, and local levels.

- a. The findings of the MA are adopted by the international environmental conventions and relevant regional, national, and local authorities, NGOs, or private companies;

Conventions, national ministries, local communities and the private sector adopt implementation strategies informed by the findings of the MA;

The findings of the MA are widely reported in national and international media;

Research priorities (and funding for research) are revised in light of the MA findings;

*Sub-Objective:* Capacity to undertake integrated ecosystem assessments and to implement action based on the assessments is strengthened.

- a. Integrated assessment activities are continued within the regions, nations, or communities that undertook the catalytic assessments after the completion of the MA;

Integrated ecosystem assessments are established in nations, communities, and regions outside of the areas of the catalytic assessments;

Datasets and analytical tools disseminated through the MA are widely used around the world;

The institutions and individuals that played central roles in coordinating various aspects of the MA are turned to as sources of expertise for undertaking integrated ecosystem assessments.

### **3.3 Assumptions to achieve results:**

33. The Millennium Ecosystem Assessment represents a unique institutional arrangement in that it seeks to respond to the needs of a set of international and national institutions that have complementary needs for information. Although the organizational structure and process is patterned, in part, on the IPCC, a number of aspects of the process are innovative including in particular the role of the catalytic regional, national, and local assessments.

34. One potential risk related to the institutional arrangement involves the potential that important users do not fully engage in the MA governance or process. This risk has been addressed through extensive consultations with both the Parties and Secretariats of key environmental conventions such as the CBD, CCD, and Ramsar, through consultations with national ministries, and through engagement of these institutions on the Exploratory Steering Committee (ESC). In addition, following approval by the ESC of a resolution calling for the establishment of the MA, specific endorsements of the MA are now being obtained from these key user institutions

35. A second potential risk is that the MA does not attract and engage leading scientists. This risk has been addressed by involving leading scientists from all regions on the ESC, outreach to the scientific community through such means as the publication of an article on the proposed MA in a leading scientific journal (*Science*; October 22, 1999), a workshop at the Third World Academy of Sciences, and extensive personal consultations by scientists on the ESC with their peers. It will also be addressed by seeking to engage scientists of top stature as the Co-Chairs of the Ecosystem Assessment Panel.

## SECTION 4 – OUTPUTS, ACTIVITIES, WORKPLAN, TIMETABLE, BUDGET AND FOLLOW-UP

### 4.1 Outputs

36. The proposed components and activities are designed to obtain the following expected outputs:

- a. Methodology for conducting integrated ecosystem assessments at local, national, regional, and global scales;
- b. Production and distribution of a global assessment of pressures, conditions, trends, scenarios, and response options related to ecosystem goods and services. This assessment will: (a) Establish baseline information on condition, pressure, and trends in ecosystem goods and services; (b) Develop scenarios for changes in the provision of ecosystem goods and services at both global and selected regional scales; and, (c) Identify and analyze options for policies and action to remediate priority problems. It will include a detailed technical volume (and supporting datasets), a short executive summary, and a 100- to 300-page "global synthesis" map-rich report
- c. Production and distribution of a set of regional and global scenarios for Ecosystems and Human Development. A set of 2-5 regional scenario studies and a summary report for those scenarios, accompanied by a 200-400 page technical report (and 15-page executive summary) comprised of the various chapters summarizing the state of knowledge on forecasting ecosystem change.

Summary for Policymakers. A 40-page summary of the principal findings of the above products. This would be distributed widely to individuals involved in the ecosystem-related conventions and national governments.

Production of 10 regional, national, and local integrated ecosystem assessments and stimulation of regions, nations, and locales to undertake additional integrated ecosystem assessments. The 10 assessments will provide the above types of information at smaller scales, build local capacity and foster the more widespread application of integrated ecosystem assessment approaches. These assessments will be 100-page map-rich reports on the condition of ecosystem goods and services, trade-offs among those services, and opportunities for reducing negative trade-offs or enhancing aggregate benefits.

- d. Data, Tools, and Indicators. The assessment process will produce and make available various datasets, indicators, and analytical tools through publications and through the Internet. For example, discussions are now underway to facilitate the release of a global year 2000 dataset of Landsat 7 30-meter resolution land cover data that could then be used freely by any nation or researcher. Similarly, discussions are underway to facilitate the preparation of a global wetlands distribution dataset that again would be available over the Internet.

Widespread dissemination and distribution of the findings of the assessment to key target audiences. The above products would be produced in different summary forms tailored to the needs of different users.

A key set of outcomes from the MA process relate to the strengthened capacity of local, national, regional, and global institutions that will result from the process. No specific "products" are directly tied to these outcomes and so this is not emphasized in this list of outputs.

## 4.2 Activities

37. The timeline for the implementation of the MA is shown in Annex XVI. The MA work will be undertaken in four components (Methodology, Global Assessment, Catalytic Assessment, Outreach), coordinated through a Board, Assessment Panel, and distributed secretariat. The elements of the project strategy and implementation arrangements are detailed below.

### 4.2.1 Component 1: Development of Methodology

38. One of the first products of the MA will be the preparation of a report detailing the set of internally consistent methodologies for conducting integrated ecosystem assessments at global, regional, national, and local levels. (Indeed, the adoption, use, and adaptation of this methodology by various nations and regions around the world will be one of the "capacity building" contributions of the MA.) The ESC has developed a general provisional methodology for the assessment (available at <http://www.ma-secretariat.org>) as part of its exploration of whether and how the assessment should be undertaken. The ESC also asked several authors to develop a draft detailed methodology prior to the first meeting of the Board. The methodology will include approaches that can be used in both data rich and data poor situations and in both situations where resources and technical capacity are readily accessible and where they are limited. It will include considerations of assessment needs in terrestrial, marine, coastal, and insular ecosystems. And, particularly for the local assessments, the methodology will identify means of involving local communities and incorporating traditional knowledge. Within five months of the first meeting of the Board, several design workshops will be organized, involving experts from around the world (including the newly appointed Assessment Panel and Working Group Chairs) to review and revise the draft methodology.<sup>1</sup> The final product will then guide the specific activities undertaken for the remainder of the MA process.

39. The specific approaches that will be used to address problems of standardizing inventory scales and quality differences in available datasets will be an important focus of the design phase of the project. By adopting a multi-scale approach rather than the more traditional approach of carrying out an assessment at a single scale (whether that be global or national) the MA seeks to establish a core methodology that can be applied at any scale with any data resolution but that will accommodate greater resolution where such data are available. At the same time, at any scale – local, national, regional or global – an assessment will be most useful to decision-makers and managers at that scale, and each set of decision-makers has unique needs. Thus, sufficient flexibility must be allowed for individual assessments to best meet the needs of their specific users.

### 4.2.2 Component 2: Global Assessment

40. The MA will include a global component designed to establish a baseline for future assessments, examine global ecological processes, examine global scenarios, help meet information needs of the international conventions, and raise public awareness about the importance of ecosystem goods and services. The global component of the assessment will establish work groups focused on specific elements of the MA, including: i) development of the

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<sup>1</sup> With support from the Government of Norway, the first meeting of the Board was held in July 2000, before the start-up phase of the MA. As a result, the first technical design meeting will be held 9 months after this first Board meeting rather than five.

assessment methodology, ii) assessment of extent and current condition; iii) development of scenarios; and, iv) evaluation of response options.

41. One output of the MA will be information on the condition of ecosystems in the year 2000. However, the MA is by no means designed to provide only a 'snap shot' of conditions at that time. First, the assessment will include time-series data. Thus, the conditions measured in 2000 will be placed in the context of historical changes in condition. Satellite data sets are now available for the 1970s, 1980s and 1990s, and other sources of information can also help to provide this type of trend information. Second, the Assessment is designed to provide the first comprehensive dataset that can be used for subsequent time series analysis. Currently, adequate time series data are unavailable for the array of ecosystem-related information that is relevant to policy and management choices. Third, nearly one quarter of the emphasis of the MA will be devoted to "scenario" analysis. The scenario analysis will help policymakers identify the potential consequences of decisions made today on the capability of ecosystems to provide various goods and services in the future.

42. The global assessment (and the development of the methodology) will benefit from the work undertaken during the planning phase for the MA by WRI, IFPRI, WCMC and others to develop a "Pilot Analysis of Global Ecosystems" (PAGE). The PAGE findings have already been released in the executive summary of *World Resources 2000* and covered in a lead story in TIME Magazine in April 2000. The technical report produced through this process (to be released in 2000) will summarize the 'state of the art' of global ecosystem indicators. The PAGE process has already involved many of the leading institutions responsible for maintaining these data and indicators.

#### **4.2.3 Catalytic Regional, National, and Local Assessments**

43. The MA will include roughly ten catalytic assessments at sub-global scales. These are described as "catalytic" because they will be designed to help stimulate (and build capacity for) the more widespread adoption of this integrated assessment approach in other regions and nations. Two to three such assessments will be undertaken at a regional scale (e.g., major drainage basin to sub-continental scale), 3-4 will be undertaken at a national scale, and 3-4 will be undertaken at a local scale (e.g., single on multi-village or community scale). (Each of the "local assessments" will actually involve several different local assessments in a particular region or country, thus as many as 20-25 different community-based assessments will be undertaken as part of the MA.) Sub-global assessments can better examine specific trade-offs and interlinkages among various goods and services, provide information directly bearing on management decisions, and serve to catalyze assessments in other regions and nations. While these will cover only a small portion of the globe, they will foster similar approaches in other regions and provide the methodologies and modeling tools needed. General standardization of the assessment approach conducted at these different scales will be provided by the Methodology document. That said, each regional, national, and local assessment is expected to also choose a number of indicators and approaches relevant to the specific region.

44. The catalytic or "sub-global" assessments are not the basis for the global component of the process. The global component will rely on various existing datasets, new data, and research activities that are global in scope. It will be informed by findings from the various sub-global assessments (and will contribute to those assessments) but there is no expectation that the sub-global assessments will "sum up" to the global assessment.

45. The MA Board in collaboration with the Ecosystem Assessment Panel will select the locations for the catalytic assessments. The criteria used to select the locations will include: regional balance; range of data availability (some data rich, some data poor sites); demonstrated interest among local institutions; demonstrated interest among local audiences. The ESC engaged in discussions with a set of candidates for the catalytic assessments, including Norway, Ghana, and China (National Assessments), Sweden, Brazil, India and South Africa (Local Assessments), and the Southern African Development Community (SADC) region of Africa (Regional Assessment). With support from the Government of Norway and Rockefeller Foundation, the MA Board oversaw a more structured process to select the sub-global assessments beginning in October 2000. Based on that process, the Board has approved undertaking a loosely nested cluster of sub-global assessments in Southeast Asia and Southern Africa and has approved providing seed funding to seek to establish clusters of assessments in Central America and Northern Europe. In addition, the Board has approved a proposal that other self-funded assessments that meet the criteria established for the MA sub-global assessments will be invited to become partners in the MA process.

46. In addition to the scenario work undertaken at a global scale, the MA will include 2-3 regional scenario projects, undertaken in the regions chosen for the regional assessments.

47. To maximize capacity-building through the catalytic assessment process, the standard protocol for the working groups will involve extended "workshops" of experts at particular host institutions. For example, the institution coordinating the scenario analysis for a region would identify 15-20 experts within the region and provide support so that those individuals could spend from 1-4 weeks at the institution as "visiting fellows" to work directly on the scenario development activity with colleagues from the region, as well as with a smaller number of individuals involved in scenario development in other regions or involved in the global scenario work. In this fashion, each expert benefits through both the opportunity to learn new tools and methodologies and the opportunity to establish new professional contacts. The regional capacity-building benefits of this approach are substantially greater than would be achieved through a large international meeting.

48. To ensure that the "catalytic" components of the MA do indeed catalyze other integrated assessments, the standard protocol for all of the local, national, and regional assessments will be to include experts (including policy makers) from regions or nations not engaged in the catalytic assessments in the various working groups or meetings so that those individuals can learn the methodology and become proponents in their own regions and nations. In addition, a major component of the outreach related to the MA process will focus on the dissemination of the tools and experiences of these catalytic assessments.

#### **4.2.4 Outreach and Communications**

49. Because the MA process is designed to serve a capacity-building role, the outreach and communications during the course of the assessment will be as important as the outreach for the final products. The ESC developed a preliminary outreach strategy for the MA process and an advisory group will be established by the Board to help refine that strategy. A key element of the outreach strategy involves the identification of national focal points within all interested countries. The appropriate focal point should be determined by each country and should have responsibility for disseminating information from the MA to relevant ministries and other institutions as well as facilitating input from the country into the MA process.

50. One of the most important audiences for the findings are the scientific bodies of the various Conventions that may choose to be partners in this Assessment. A Summary for Policymakers (SPM) will be produced by the Ecosystem Assessment Panel and approved by the Board of the MA. That SPM could then be accepted or approved by the relevant scientific body or accepted as an informational document.

51. We will disseminate the final conclusions of the assessment to the primary users including various ecosystem-related conventions involved in the MA, international and national scientific organizations, environmental NGOs and the popular media. This will include the preparation and dissemination of technical and summary reports but, importantly, will also make significant use of the Internet for electronic distribution and access to the findings. The website established for the MA will enable access to the findings and documents and will also enable users to directly access various models, data sets, scenarios, and tools used in the assessment process. This will help to ensure transparency and scientific rigor (since other scientists can run the same models to verify or criticize the conclusions) and will also provide a mechanism allowing the datasets and tools developed through the process to be directly applied to integrated assessment needs at other scales.

52. Unlike previous science assessments, the website will also be designed to enable periodic updating of information and potentially of findings. Traditionally, assessment processes yield results only at 4- or 5-year intervals even though data and information is being updated continually in the interim. While specific aspects of an assessment, involving manuscript preparation and peer review, do require this periodicity, other components more closely linked to the provision of policy relevant data do not. Because many of the institutions developing information to contribute to the MA already have sophisticated Internet outreach capability, the opportunity exists through the MA process to enable the periodic updating of key datasets used in the MA so that users can access that information either through the MA web site or directly from the institution holding the dataset.

53. Outreach for the MA will also include international briefings and outreach undertaken in partnership with other organizations through publications, radio or TV spots tailored to specific audiences and to the media. A series of summary reports tailored to the needs of particular audiences, including the private sector, national and local environmental planners, and the media, will also be prepared drawing from the final approved Assessment documents. All of the products would be available through the Internet as well as in hard copy.

54. To lay the groundwork for outreach on the MA and to build public interest in its findings, the exploratory phase of the project also includes significant efforts to widely disseminate information on the importance of ecosystem goods and services for human development and the need for integrated assessments of these goods and services. The Pilot Analysis of Global Ecosystems (PAGE) was launched at the April meeting of the UN Commission on Sustainable Development along with the Summary for Policy Makers of World Resources 2000-2001 (published by UNEP, UNDP, World Bank, and WRI). TIME Magazine featured the findings of PAGE in the lead story in its April "special edition" on the environment. An agreement has also been reached between Bill Moyers, Cable News Network (CNN), and the United States Public Broadcasting System (PBS) to develop a 2-hour documentary based largely on the findings of PAGE that would be broadcast internationally in 2001.

55. The findings of the MA will be used in different ways at the global, regional, national, and local scales and by the different users. At the global scale, the findings will be used by international institutions (including in particular the environmental conventions) to measure

progress in achieving conservation and sustainable use objectives, to help in identifying priorities for action, to identify "best practices" for how to respond to degradation of ecosystem goods and services, and to galvanize greater public and private attention to the importance of ecosystems in meeting development needs. At this scale, the findings will also be used by the media and private sector as "the" source of scientific consensus on controversial issues regarding changes in ecosystems and their potential impacts on health, economics, and development. At sub-global scales, the findings of the global assessment and national governments, the private sector, and civil society will use catalytic assessments for these purposes as well as to weigh the costs and benefits of various options for management and conversion of ecosystems. The process of the assessment will also build capacity within these institutions to apply these methodologies in the future. Finally, at all scales the findings of the assessment will be used by the scientific community and by institutions supporting scientific research to focus research support on questions that simultaneously exhibit great scientific uncertainty and significant policy ramifications.

56. One of the chief roles of the MA Board will be to define more specifically within this broad array of users and potential uses of the MA findings and process, specific issues and needs that will be given highest priority. For example, the MA Steering Committee has stressed that a key rationale for focusing on ecosystem goods and services is that the poor and marginalized groups are often most directly dependent on the products of ecosystems and are most vulnerable to the degradation of ecosystems. The Board thus may choose to target specific components of the assessment on a more detailed examination of vulnerable groups such as the poor, women, indigenous communities, and refugees.

#### **4.3 Budget**

57. The budget as approved by the GEF and UNF is presented in Table 2 below. Based on the decisions of the MA Board at its July 2000 meeting, several changes to that budget have been made and the revised budget is shown in Table 3. A detailed budget broken down by work elements is presented in Table 5. The budget in UNEP format is presented in Annex I. Funds that will be controlled under this project document include grants from GEF, UNF, the Government of Norway, and the UNEP Trust Fund.

58. The core project cost is US\$20.92 million, as approved by the GEF Council and the UN Foundation in 2000. An additional component – focused on the selection of the sub-global assessments – was added by the MA Board to the “start up” phase bringing the full project cost including this additional activity to \$21.10 million.<sup>1</sup> (Including the UNF Project support costs, the total budget is \$21.30 million. This includes also \$500,000 granted by the World Bank and \$55,000 granted by the Government of Norway and channeled through project CP/1010-00-16.)

59. Funding from UNFIP/UNF, GEF, World Bank, and Packard Foundation will be the primary sources of support for the core costs of the MA including the Coordination and Oversight, Methodology, Outreach, and key elements of the Global Assessment. Other components of the MA, such as the sub-global assessments, are likely to be of interest to individual donors who may not necessarily be interested in the overall MA. GEF funding will be used primarily to support activities in those regions that are characterized by countries with developing economies or economies in transition.<sup>2</sup> GEF funding will be used to support

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<sup>1</sup> Additional funding (\$182,300) to support this add-on activity was provided by Rockefeller Foundation and the Government of Norway.

<sup>2</sup> In the GEF Council approved document, GEF funding was also allocated (50%) to Component 1 and only 5% of Component 3 was supported by GEF. These changes are explained in Annex IX.

approximately 50% of the budget of Component 2, 4, and Coordination. It will be used to support 5% of the budget of Component 3 (Catalytic Regional, National, and Local Assessments). The analysis of the Incremental Costs for the project is presented in Annex XVII.

**Table 2. Component Budget and Financing as approved by GEF & UNF (Thousand US\$)**

Component	UNF	GEF	Co-Funding	Total
1. Methodology Development	119	119	0	238
2. Global Assessment	1,620	3,620	2,001	7,241
3. Catalytic Sub-Global Assessments	650	389	6,748	7,787
4. Outreach and Communications	361	1,141	780	2,283
Monitoring and Evaluation		20	20	39
Coordination and Oversight	1,250	1,552	302	3,104
Contingency		115	115	230
<b>Total</b>	<b>4,000</b>	<b>6,957</b>	<b>9,966</b>	<b>20,922</b>

**Table 3. Component Budget as modified by the MA Board Decisions (Thousand US \$)**

Component	UNF	GEF	Co-Funding	Total
Project "Start up"			277	277
1. Methodology Development	215	0	627	843
2. Global Assessment	1,078	3,499	1,338	5,915
3. Catalytic Regional, National, Local Assessments	647	745	6,589	7,981
4. Outreach and Communications	159	1,810	988	2,957
Monitoring and Evaluation		0	0	0
Coordination and Oversight	1,785	791	326	2,902
Contingency	115	115	0	230
<b>Total</b>	<b>4,000</b>	<b>6,960</b>	<b>10,144</b>	<b>21,104</b>

60. Global coverage of the Assessment will be ensured through the additional support from other donors through co-financing in both developed and developing regions. Based on the experience of the IPCC, an additional US\$8.6 million is estimated to be likely to be raised independently by institutions and experts involved in various components of the MA to support work related to the MA. At the time that the Project Document was approved, we expected an additional US\$14.5 million would be contributed as in-kind contributions of data, time, and expertise from experts engaged in the process.<sup>1</sup> Already, the in-kind contribution of data alone is estimated to be some US\$60 million.

61. UNF support will support 25 percent of the cost of the development of the methodology, 18 percent of the cost of the global assessment working groups, 61 percent of the coordination and oversight, 8 percent of the catalytic assessments, and 5 percent of the outreach.

<sup>1</sup> This paragraph is unchanged from the original GEF- and UNF-approved project document. As noted in Annex XVIII, the in-kind contribution of data from NASA alone is estimated to be worth some \$60 million.

62. Co-financing for the project preparatory work of the ESC and related activities (the Pilot Analysis of Global Ecosystems and its dissemination through the publication of World Resources 2000-2001) amounted to US\$3.65 million and was obtained from the United Nations Foundation, Avina Group, Packard Foundation, the World Bank, UNEP, UNDP, Swedish International Development Authority, and the U.S. Agency for International Development.

63. The financial plan for the MA is presented in Table 4. (Note that this presents the overall project funding, including the funds controlled under CP/1010-00-16 – for that reason the budget total (\$21,304,300) is \$555,000 greater than the budget referred to elsewhere (\$20,749,000).) and the To date, all of the funding for the Board-approved “add on” is in hand. Contributions in the column “In Kind contributions to core budget” directly cover budget lines in the UNF and GEF approved budget. These contributions combined with the committed financial support total \$17.47 million or 83 percent of the total budget. (Letters of Commitment are provided in Annex XVIII.) The remaining financial need (approximately \$4 million) is almost entirely for the sub-global assessment components of the MA. Fundraising for these components could not begin until the MA Board had formally approved the focal regions. This approval was obtained in January 2001 and prospects for obtaining these funds from various bilateral donors and foundations appear promising and we expect to raise the remaining funding during 2001. GEF funds will not be expended until the full project budget including the funds for these sub-global components is secured. The allocation of funds by donors to different activities is shown in Table 5 and the proposed disbursement schedule is shown in Table 6. Some grants (e.g., Packard Foundation, Rockefeller Foundation) will be provided directly to the co-executing agencies.

**Table 4. Summary of funding commitments**

Source of Funding	US \$
<b>I. Cash Contribution to Core Budget</b>	
Global Environment Facility	6,960,000
United Nations Foundation	4,200,000
Packard Foundation	2,400,000
World Bank <sup>1</sup>	2,000,000
United Nations Environment Programme	800,000
Government of Norway (Grant #1)	93,300
Government of Norway (Grant #2)	55,000
Government of Norway (Grant #3)	343,000
Rockefeller Foundation	89,000
US National Aeronautic and Space Administration	50,000
UK grant to WCMC	29,000
<b>Sub-Total Cash Contribution</b>	<b>17,019,300</b>
<b>II. In-Kind Contributions to Core Budget</b>	
Government of China (support for China Assessment)	1,500,000
Government of Norway (support for Norway Assessment)	740,000
International Centre for Research in Agroforestry (ASB Assessment) <sup>2</sup>	550,000
US National Aeronautic and Space Administration <sup>1</sup>	286,000

<sup>1</sup> The first \$500,000 of this grant is controlled under a separate UNEP Project Document CP/1010-00-16 and is not included in the UNEP Budget attached in Annex 1.

<sup>2</sup> ASB has valued its in-kind contribution to the MA at \$2.3 million (see letter attached). We have conservatively included only \$550,000 which does not include any of the costs of the ASB Global Coordination Office.

World Bank	220,000
United Nations Environment Programme	100,000
Stockholm University (Sweden Local Assessments)	400,000
Tropical Resources Ecology Programme (South Africa Assessments)	160,000
International Centre for Living Aquatic Marine Resource Management	117,000
Norway (support for nationals in 'twinning' activities with S. Africa)	92,000
United Nations Development Programme	30,000
Food and Agriculture Organization of the United Nations	30,000
UNESCO	30,000
World Health Organization	30,000
<b>Sub-Total In-Kind Contribution</b>	<b>4,285,000</b>
<b>TOTAL CASH AND IN-KIND CONTRIBUTIONS</b>	<b>21,304,300</b>

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<sup>1</sup> NASA has valued their total in-kind contribution to the MA to be US \$60 million (see letter in Project Document). We have conservatively counted only \$286,000 of this contribution as an in-kind contribution to the Core MA budget which had included budget lines for remote sensing data purchases but not at the scale of the actual NASA in-kind contribution.

**Table 5. Budget Breakdown and Allocation of Support by Activity.**

(Note: World Bank 1 is controlled under Project document CP/1010-00-16; World Bank 2 is controlled under this project document. "Other" includes \$343,000 Norway grant controlled under this Project Document and allocated to activity 4.4; Packard funds are not controlled under this project document.)

Activities	Total Budget	GEF	UNF	World Bank 1	World Bank 2	Packard	UNEP	Other
<b>1. Project Start-up</b>								
1.1. Undertake sub-global assessment selection process	182,300							182,300
1.2. Maintain interim secretariat (pre-April 2001)	94,635			94,635	0			0
<b>Subtotal</b>	<b>276,935</b>	<b>0</b>	<b>0</b>	<b>94,635</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>182,300</b>
<b>2. Development of Methodology</b>								
2.1. Undertake global technical design meetings	657,679		215,772	191,190	0	250,717	0	0
2.2. Engage "users" in defining needs	134,898		0	62,375	0		72,523	0
2.3. Undertake "Remote Sensing and the MA" workshop	50,000		0	0	0			50,000
<b>Subtotal</b>	<b>842,577</b>	<b>0</b>	<b>215,772</b>	<b>253,565</b>	<b>0</b>	<b>250,717</b>	<b>72,523</b>	<b>50,000</b>
<b>3. Global Assessment</b>								
<b>3.1. Condition Working Group</b>								
3.1.1. Provide staff and admin support to WG	1,029,062	534,830	465,233	0	0			28,999
3.1.2. Support WG data analysis and synthesis	1,888,388	1,275,975	612,412	0	0			0
<b>Subtotal</b>	<b>2,917,449</b>	<b>1,810,805</b>	<b>1,077,645</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>28,999</b>
<b>3.2. Scenarios Working Group</b>								
3.2.1. Provide staff and admin support to WG	951,836	173,008		0	0	778,829		0
3.2.2. Support WG data analysis and synthesis	633,000	258,000		0	0	375,000		0
<b>Subtotal</b>	<b>1,584,836</b>	<b>431,008</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1,153,829</b>	<b>0</b>	<b>0</b>
<b>3.3. Response options Working Group</b>								
3.3.1. Provide staff and admin support to WG	955,161	799,161	0	0	0			156,000
3.3.2. Support WG data analysis and synthesis	457,619	457,619	0	0	0			0
<b>Subtotal</b>	<b>1,412,780</b>	<b>1,256,780</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>156,000</b>
<b>Subtotal Global Assessment</b>	<b>5,915,065</b>	<b>3,498,593</b>	<b>1,077,645</b>	<b>0</b>	<b>0</b>	<b>1,153,829</b>	<b>0</b>	<b>184,999</b>

<b>4. Sub-Global Assessments</b>									
4.1. Provide staff and admin support to WG	817,020	350,994	0	0	0		466,026	0	
4.2. Undertake planning activities for core sub-global	300,427	0	150,210	150,218	0			0	
4.3. Subcontract SE Asia Regional Cluster	1,853,479	0	256,176	0	255,000			1,342,303	
4.4. Subcontract Southern Africa Regional Cluster	1,853,480	0	241,000	0	120,360			1,492,120	
4.5. Subcontract Other Regional Clusters	904,559	0	0	0	0			904,559	
4.6. Regional scenarios development	1,343,000	394,238	0	0	948,762			0	
4.7. Subcontract one cross-cutting assessment	434,305	0	0	0	0			434,305	
4.8. Sub-contract one outlier assessment	474,593	0	0	0	175,878			298,715	
<b>Subtotal Sub-Global Assessments</b>	<b>7,980,862</b>	<b>745,232</b>	<b>647,386</b>	<b>150,218</b>	<b>1,500,000</b>	<b>0</b>	<b>466,026</b>	<b>4,472,001</b>	
<b>5. Outreach and Engagement</b>									
5.1. Maintain internet site and electronic publications	411,712	0	0	0	0	411,712			
5.2. Yr 1 Communications	215,658	0	0	13,999	0	201,659			
5.3. Maintain engagement with users	243,108	0	159,449	0	0	83,659			
5.4. Maintain communications and disseminate findings	2,086,671	1,810,116	0	0	0	276,555			
<b>Subtotal Outreach and Communications</b>	<b>2,957,150</b>	<b>1,810,116</b>	<b>159,449</b>	<b>13,999</b>	<b>0</b>	<b>973,585</b>	<b>0</b>		
<b>6. Project Coordination and Implementation</b>									
6.1. Appointment of Director and UNEP technical officer	1,229,114	520,424	520,424	12,000	0	0	176,266	0	
6.2. Maintain interim secretariat (April thru Sept 2001)	263,324	0	178,139	0	0	0	85,185	0	
6.3. Appointment of support staff and project officer	742,682	385,635	357,047	0	0	0	0	0	
6.4. Convene Board and Assessment Panel meetings	844,137	0	844,137	0	0	0	0	0	
6.5. Data and Information System design	52,453	0	0	30,583	0	21,870	0	0	
6.6. Evaluation (off budget)	0	0	0	0	0	0	0	0	
<b>Subtotal Project Coordination and Oversight</b>	<b>3,131,711</b>	<b>906,059</b>	<b>1,899,747</b>	<b>42,583</b>	<b>0</b>	<b>21,870</b>	<b>261,451</b>		
<b>TOTAL BUDGET</b>	<b>21,104,300</b>	<b>6,960,000</b>	<b>4,000,000</b>	<b>555,000</b>	<b>1,500,000</b>	<b>2,400,000</b>	<b>800,000</b>	<b>4,889,300</b>	

**TABLE 6 – Disbursement Schedule for GEF and UNF Support by Activity****(Bold = GEF; Italics = UNF)**

Activities	10/ 00 to	2001			2002				2003				2004				2005
	3/01	2nd	3rd	4th	1st	2nd	3rd	4th	1st	2nd	3rd	4th	1st	2nd	3rd	4th	1st
<b>1. Project Start-up</b>																	
1.1. Undertake sub-global assessment selection																	
1.2. Maintain interim secretariat (pre-April 2001)																	
<b>2. Development of Methodology</b>																	
2.1. Undertake global technical design meetings		216															
2.2. Engage “users” in defining needs																	
2.3. “Remote Sensing and the MA” workshop																	
<b>3. Global Assessment</b>																	
<b>3.1. Condition Working Group</b>																	
3.1.1. Provide staff & admin support to Cond. WG		86			152				211				136				34
					129				74				156				20
3.1.2. Support Cond WG data analysis & synthesis					674				600				2				0
					222				296				94				1
<b>3.2. Scenario Working Group</b>																	
3.2.1. Provide staff and admin support to WG					40				16				78				39
3.2.2. Support WG data analysis and synthesis					258												0
<b>3.3. Response options Working Group</b>																	
3.3.1. Provide staff and admin support to WG					244				257				260				38
3.3.2. Support WG data analysis and synthesis					268				122				54				13
<b>4. Sub-Global Assessments</b>																	
4.1. Provide staff and admin support to WG					81				154				74				41
4.2. Undertake planning activities for sub-global		150															

4.3. Subcontract SE Asia Regional Cluster								132				107				17
4.4. Subcontract Southern Africa Regional Cluster								132				92				17
4.5. Subcontract Other Regional Clusters																
4.6 . Regional scenarios development								210				135				49
4.7 Subcontract one cross-cutting assessment																
4.8 Sub-contract one outlier assessment																
<b>5. Outreach and Engagement</b>																
5.1. Maintain internet site and electronic publications																
5.2. Prepare communications strategy + launch event																
5.3 Engagement with users during Assessment					154			5								
5.4. Communications and dissemination of findings					242			266				798				503
<b>6. Project Coordination and Implementation</b>																
6.1. Appointment of Director and technical officer					101			189				194				37
					101			189				194				37
6.2 Maintain interim secretariat (April thru Sept 2001)		178														
6.3. Appointment of support staff, and project officer				18	135			142				79				29
					80			80				149				30
6.4. Convene Board and Assessment Panel Mtgs			36		304			223				225				55
6.5 Data and Information System design																
6.6. Evaluation																
<b>TOTAL</b>		683			2198			2169				1809				784
					991			1132				1018				177

#### **4.5 Cash advance requirements:**

N/A

#### **4.6 Follow-up Action**

64. It is expected that the MA process will be repeated in future years, at 5-10 year intervals, following a pattern similar to the IPCC. The capability to repeat the MA following a 2-5 year hiatus will exist because the MA process is founded on the involvement of a distributed network of institutions, all of which will be strengthened through the process. The institutional memory for the assessment will thus be retained within the network of partners and will not be lost at the completion of the first assessment. Similarly, we expect that the catalytic or “sub-global” assessments will be repeated in future years, both in the countries where the assessments are undertaken and in other regions and countries that observe the utility of the approach. Because these assessments will be undertaken with the involvement (and typically with the leadership) of key government agencies, the institutional basis and technical capacity for repeating the assessments will be well established.

65. This project has not built in an on-going capacity for repeating the assessment for two reasons. First, given the time-course of ecosystem change, an appropriate interval for repeating the full assessment is likely to be anywhere from 5 to 10 years (since many changes will be difficult to detect over smaller time intervals). Rather than building a single institutional capacity for continuing the assessment which might be lost if there is a gap of this length between assessments, the ESC chose to invest in strengthening a number of institutions that could then readily assume similar roles in a subsequent assessment even if such a gap existed. Second, it is the strong belief of the ESC that the Assessment must prove its utility to the intended user audience. If the assessment is highly valued by the users then there will be little difficulty in obtaining the financial resources and scientific community participation to repeat the process.

66. The central role of UNEP in coordinating the partnership undertaking the MA also will enable the process to be repeated if it passes this test of utility. The sustainability of environmental assessments is a core focus of UNEP. With its partners, UNEP has invested heavily over the years in the global State of the Environment reporting processes and in the Global Environment Outlook. The MA will strengthen these processes by helping to reduce the piecemeal approach to data collection and assessment that of necessity has been relied on in these activities. Thus, even in the event that the full MA process is not repeated in its current form, UNEP will be able to internalize the results and approach of the process within other global cooperative assessment processes in future years.

## SECTION 5 – INSTITUTIONAL FRAMEWORK AND EVALUATION

67. The overall organizational structure for the MA is shown in Figure 1. Following a model similar to that used by the IPCC, responsibility for the substantive work of the Assessment lies with the Board, Executive Committee, and Ecosystem Assessment Panel not with a single executing agency or core secretariat. UNEP and its co-executing agency partners will facilitate the work of those bodies by helping to coordinate the various working groups and catalytic assessments and by handling core functions such as financial and grants management; oversight of sub-grants allocated from core resources; logistical/organizational support; and communications.

68. Experts in the relevant fields will undertake the assessment itself through a peer reviewed scientific process. Experts will include academic scientists, scientists within governments, private sector, and civil society, and individuals with local and traditional knowledge. The composition of working groups will be balanced geographically and by gender and will include both natural and social scientists. Particularly in the case of the assessment of condition of ecosystem goods and services, the MA will rely heavily on the existing network of environmental monitoring and reporting institutions, including in particular the Global Observing Systems and the UNEP Global Environmental Outlook (GEO) network of collaborating institutions.

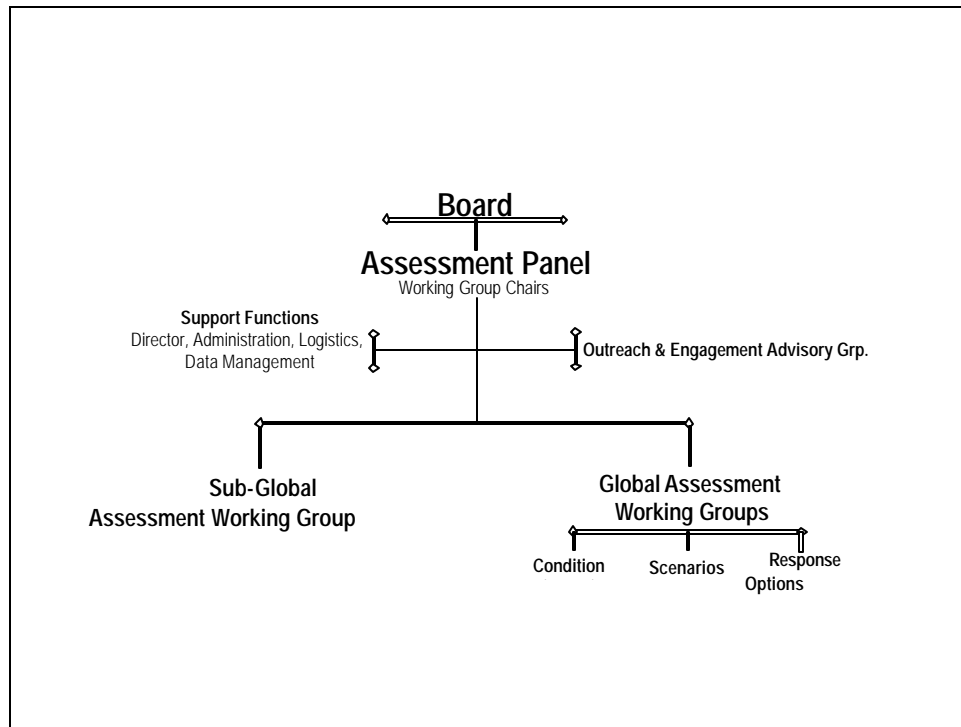


Figure 1. Organizational Chart

69. At its July 2000 meeting, the MA Board selected three of the co-executing agencies for various components of the MA. Decision MA-Board 1.2.5 (Operations, Institutional Arrangements and Organizational Structure and Responsibilities) stated that

“The Board of the Millennium Assessment:

Decided on the following support roles for the MA operations, contingent on the remaining support organizations (co-executing agencies) being selected so as to provide a geographic balance:

- a. *Approved* Terms of Reference for the Role of UNEP as an implementing and co-executing agency...
- b. *Selected* UNEP-WCMC as the support agency for Working Group #1.
- c. *Agreed* to undertake the activities of Working Group #2 in collaboration with the International Program on Ecosystem Change project that was approved by the Executive Committee of ICSU/SCOPE in April 2000.
  - i. *Agreed* that ICSU/SCOPE would serve as the support institution for Working Group #2 and would be a co-executing agency.
  - ii. *Decided* that, even as a collaborative activity Working Group #2 would need to meet all of the procedural requirements developed for other working groups and asked Hal Mooney and Walt Reid to work with SCOPE to develop implementation guidelines that meet both the MA and SCOPE requirements for final approval by the Board.
- d. *Selected* WRI (in partnership with Meridian Institute) to support the outreach-engagement working group and serve as a co-executing agency.”

70. At its December 9 2000 meeting, the MA Executive Committee in Decision MA-EC 4.1.1 (Recruitment and Location of Director) “Decided to locate the MA Director at ICLARM in Penang Malaysia.)

71. The Terms of Reference for each of these co-executing agencies are attached in Annex XIX. The Terms of Reference for the project personnel to be employed by UNEP are attached in Annex XX.

72. Prioritized project designs necessary for additional or incremental activity implementation will be submitted to the GEF, UNEP and other donors as appropriate, for consideration.

## **5.1 Coordination and Governance Arrangements**

### **5.1.1 Board**

73. A Board of approximately 40 individuals will be established to govern the MA, comprised of the stakeholders or users of the products. (See Fig. 1.) The full Board met in July 2000 and will meet once a year during the course of the Assessment. The responsibilities of the Board are to: (a) approve workplans and budgets; (b) shape the focus of the MA in collaboration with the Ecosystem Assessment Panel through an iterative process; (c) Review and approve the selection of catalytic local, national, and regional assessments; (d) Approve the peer review process (which will be similar to the IPCC process, modified as needed to ensure consistency with the various conventions or international agreements that will use the findings of the MA); (e) approve the Summary for Policy makers; (f) appoint the Chairs of the Ecosystem

Assessment Panel and the Director; (g) provide input into the decision of Ecosystem Assessment Panel Chairs on the selection of Working Group Chairs (guided by nominations from the various Conventions and other stakeholders), (h) select the executing agencies for the "core" activities and the various working groups; (i) oversee and guide fundraising; (j) ensure that appropriate fiscal management processes are in place within the various executing agencies; and, (k) ensure effective communication of the results of the MA to the constituencies that individual Board members represent.

74. Reflecting the demand-driven nature of the Assessment, the Board will be comprised largely of "users" of the findings. The following institutions will be represented on the Board: CBD, CCD, Ramsar, FCCC, UNEP, GEF, FAO, UNESCO, UNDP, World Bank, ICSU, and CGIAR. In addition, 25 "at large" board members are being chosen to ensure regional representation, representation of other key users (national ministries, civil society, private sector), involvement of at least one individual with media and outreach expertise, and gender balance. (The current list of Board members is attached in Annex XII) The Assessment Panel Co-Chairs will be members of the Board and several other Board members will also be chosen to ensure a small but comprehensive source of technical expertise on the board. The ESC selected approximately half of the 20 "at large" seats. The new Board is now selecting the remainder.

75. Dr. A.H. Zakri, Deputy Vice-Chancellor at Universiti Kebangsaan Malaysia and past Chair of the CBD SBSTTA, and Dr. Robert Watson, Chair of the IPCC and Special Environmental Advisor at the World Bank were elected as the Board Co-Chairs at the July 2000 Board meeting. These positions will either be un-paid, or an honorarium covering up to 15% of the salary of an individual may be provided if the individual's institution cannot cover their salary.

### **5.1.2 Executive Committee**

76. An Executive Committee (EC) will act on behalf of the Board to oversee the implementation of the plans and procedures agreed to by the Board. The Executive Committee will be composed of the Board co-Chairs, the co-Chairs of the Ecosystem Assessment Panel, representatives of the CBD, CCD, Ramsar, UNEP, and GEF, UNF, three additional "at large" members, and the Director (*ex officio*). The EC will meet approximately every 4 months (in person or by conference call or videoconference) throughout the MA process.

### **5.1.3 Ecosystem Assessment Panel**

77. The Ecosystem Assessment Panel is the operational unit of the MA. The members of the Assessment Panel will actually "carry out" the work. The members of the Assessment Panel will be the Chairs of the various working groups. This Panel may also include individuals representing other key processes such as IPCC, GIWA, IGBP, and GEO that must be fully integrated into the MA. The Board will select the Co-Chairs of the Ecosystem Assessment Panel from candidates identified by the ESC. These positions will either be un-paid, or an honorarium covering up to 15% of the salary of an individual may be provided if the individual's institution cannot cover their salary.

### **5.1.4 Working Groups**

78. The Board and Assessment Panel Co-Chairs will establish a set of working groups to undertake specific components of the Assessment. These will include three global working groups (Condition, Scenarios, and Response Options) and a working group for the Sub-Global

Assessments. The Assessment Panel Co-Chairs will select the co-chairs of the working groups in consultation with the Board. The Panel Co-Chairs and the Working Group Chairs will select members of the working group. Three key criteria for the composition of the Working Groups will be technical expertise, geographical balance, and gender balance. Each working group will have a small technical support unit including a coordinator and in some cases additional support staff. The Ecosystem Assessment Panel Co-Chairs will provide recommendations to the Board for the institutions selected to house these technical support units. Criteria used in selecting the institutions to house these support units will include among other factors: proximity to working group chair, external sources of financial support, regional balance, and presence of technical expertise within the institution.

79. At the July 2000 meeting of the MA Board, the World Conservation Monitoring Centre of UNEP was selected as the support organization for Working Group #1 (Condition) is. WCMC has extensive existing biodiversity datasets and close ties to other institutions with information on other ecosystem goods and services and also provides a direct tie to the UNEP/GEO network of collaborating centers. At this same meeting the Scientific Committee on Problems of the Environment (SCOPE) of the International Council of Science (ICSU) was selected as the support institution for coordinating Working Group #2 (Scenarios). SCOPE had decided in April 2000 to establish a working group in partnership with the International Program on Ecosystem Change (IPEC) to undertake work on ecological forecasting and scenario development in a manner that will be designed to meet the needs of the MA. The Board also selected World Resources Institute in partnership with Meridian Institute to support the outreach and engagement activities of the MA.

80. The various working groups and other support functions of the MA will be balanced among industrialized and developing countries and among different geographic regions. (Thus, for example, the coordinating institution for local assessments may be based in southern Africa and the coordinating institution for response options may be based in Latin America or Asia.)

81. The coordinators of the working groups or catalytic assessments will be hired through the standard processes of the institutions chosen by the Board to house these working groups. All of the core staff and staff coordinating the working groups and catalytic assessments will report both to their "home" institution and to the Director in a matrix management structure.

### **5.1.5 Secretariat**

82. The secretariat for the MA will consist of the coordinators of the different Working Groups, a Director, Program Officer, Assistant, and Communications Specialist.<sup>1</sup> If possible, the director will be co-located at the home institution of one of the Board or Assessment Panel Co-Chairs (or possibly with one of the Working Group Chairs). Other members of the secretariat will be based with working group coordinators, co-chairs or with other executing agencies. The Director will have responsibility for management of the operations of the MA as well as being the day-to-day contact for the Ecosystem Assessment Panel and Working Group Chairs. The Board will determine which institution will house these individuals at its first two meetings. The Director will report to the Executive Committee. The Director will be approved by the Board at its second meeting following an international search conducted by the executing agency chosen by the Board (at its first meeting) to staff this position. Prior to that determination, the

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<sup>1</sup> This paragraph is as presented in the UNF and GEF-approved project document. See Annex IX for a discussion of the final decisions regarding the location of the Director, addition of an additional half-time program officer, and the structure of the Secretariat.

responsibilities of the Director will be met by the staff currently supporting the work of the ESC and by WRI in its role as the interim MA secretariat.

### **5.1.6 Executing Agencies and Financial Oversight**

83. The Board of the MA oversees the implementation of the project and will select the executing agencies (with UNEP as one of the co-executing agencies). These will include the institutions housing the coordinators for the various working groups and potentially institutions playing other support roles. Approximately six to eight co-executing agencies will be involved in the project operations. This set of institutions will comprise the 'distributed secretariat' of the MA and will remain in continual contact throughout the process. These executing agencies were selected prior to the first Board meeting to ensure that the Board governing the Assessment process "owns" the decision on the institutional structure for the Assessment. Each of the project's executing agencies will be responsible for managing the funds allocated for the activities that they will coordinate. The overall budget allocation for these activities will be determined by the Board. The various executing agencies will receive funds either as sub-contracts from UNEP or directly from other project donors.

84. Both the UNF grant and the GEF grant will be administered by UNEP's Division of Environmental Information and Assessment. UNEP will handle sub-contracting to the executing agencies, following the budget agreed to by the MA Board and Executive Committee. UNEP will be responsible for the disbursement and monitoring of the funds received from UNFIP and reporting on project progress. UNEP will provide the administrative services to coordinate the work of this distributed secretariat. UNEP will be responsible for overall project reporting and monitoring (including components of the project not funded by GEF and UNF). An administrative staff person will be based at UNEP to handle subcontracting of GEF and UNF foundation resources to the various executing agencies of the Assessment and to handle reporting requirements.

85. World Resources Institute has served as the interim secretariat and principal executing agency supporting the work of the ESC since October 1998 and will continue to serve in an interim capacity until the new secretariat arrangements are established.

## **5.2 Correspondence**

86. All correspondence regarding substantive and technical matters shall be addressed to:

In UNEP:

T.W. Foresman  
Director,  
Division of Early Warning and Assessment,  
UNEP  
P.O. Box 30552  
Nairobi, Kenya  
Tel: +254-2-623231  
Fax: +254-2-623943

With copy to:

Mr. Mark Zimsky  
Senior Programme Officer  
GEF Coordination Office  
P.O. Box 30552  
Nairobi – Kenya  
Tel: +254-2-62-3527  
Tel: +254-2-623126/520825

87. All correspondence on administrative and financial matters should be addressed to:

Mr. E. Ortega  
Chief, Budget and Funds Management Service  
UNON  
P.O. Box 67578  
Nairobi, Kenya  
Tel: +254-2-623637  
Fax: +254-2-623755

With copies to:

Mr. T.W. Foresman  
Director  
Division of Early Warning and Assessment  
UNEP  
P.O. Box 30552  
Nairobi

Mr. Mark Zimsky  
Senior Programme Officer  
GEF Coordination Office  
P.O. Box 30552  
Nairobi – Kenya  
Tel: +254-2-62-3527  
Tel: +254-2-623126/520825

Mr. John Mukoza  
Fund Management Officer  
UNEP/GEF Coordination Office  
P.O. Box 30552  
Nairobi, Kenya  
Telephone: +254-2-623878  
Fax: (+254)-2-623162/ 624041/623696  
Email: john.mukoza@unep.org

## **SECTION VI – MONITORING AND REPORTING, OTHER TERMS AND CONDITIONS**

88. Monitoring of progress in execution of the project will be undertaken through UNEP and GEF requirements of quarterly and half-yearly reports on substantive and financial matters. A mid-term internal evaluation will be undertaken under the supervision of the MA Board to diagnose problems and suggest necessary corrections. It will evaluate the efficiency of project management including delivery of outputs and activities in terms of quality, quantity, and timeliness. The Board will receive the outcome of the evaluation and discuss any required remedial action, if necessary. Final desk evaluation of the project will be undertaken by UNEP according to UNEP approved Monitoring and Evaluation procedures.

### **6.1 Monitoring and Evaluation:**

89. A mid-term internal evaluation will be undertaken under the supervision of the MA Board to diagnose problems and suggest necessary corrections. It will evaluate the efficiency of project management including delivery of outputs and activities in terms of quality, quantity, and timeliness. The Board will receive the outcome of the evaluation and discuss any required remedial action, if necessary. Final desk evaluation of the project will be undertaken by UNEP according to UNEP approved Monitoring and Evaluation procedures.

90. A post facto in depth evaluation will be conducted, under the supervision of UNEP and the GEF Monitoring and Evaluation Unit two years after the completion of the project, to evaluate the environmental impact of the project, make recommendations for future action, identify the conditions for successful replication if appropriate and draw generic lessons. This evaluation of the overall performance of the project will be implemented within the framework of the Monitoring and Evaluation programme of the GEF Secretariat and by an external and independent consultant.

91. STAP Review (Annex XXI): The project proposal was reviewed by Dr. Osvaldo Sala an international expert included in the STAP Roster of Experts. Comments by the reviewer have been addressed in detail in Annex XXI(b).

92. Comments by GEF Council (Annex XXI(c)): Comments made by the GEF Council, particularly Switzerland, have been addressed in detail in the annex. Comments made by the United Nations Foundation have been addressed in detail in Annex XXI(d).

### **6.2 Progress Reports**

#### **6.2.1 Internal**

93. Within 30 days of end the reporting period, the Director, DEWA, will submit half-yearly progress reports to the Chief, Budget and Fund Management Service, UNON, as at 30 June and 31 December using the format given at Annex III based on reports received from the co-executing agencies and collaborators to the Budget and Fund Management Service

#### **6.2.2 To the GEF**

94. By 31 March 2001 and every three month thereafter the Task Manager of the project shall submit to the UNEP GEF Coordination Unit, using the format given in Appendix II, quarterly reports on the progress in project execution.

### **6.2.3 To UNFIP**

95. Brief six-monthly reports and annual progress report will be provided in accordance with existing UNF/UNFIP agreements. Semi-annual and annual progress reports will be submitted in the format of Half-Yearly Progress Reports provided for UNEP projects and completed with the relevant material required for UNF funded. Semi-annual and annual reports will be sent to UNFIP within 30 days of 30 June and 31 December.

96. These progress reports will be assembled from reports prepared by each of the Working Group coordinators (executing agencies). Within 15 days of the end of the reporting period, each of these coordinators and agencies will submit to UNEP semi-annual progress reports.

## **6.3 Terminal Reports**

### **6.3.1 Internal**

97. Within 60 days of the completion of the project, the Director, DEAIEW, will submit a final report to the Chief, Budget and Fund Management Service, UNON, using the Format given in Appendix IV.

### **6.3.2 To UNFIP**

98. Within 60 days of the completion of the project, each of the Working Group coordinators (co-executing agencies) will submit to UNEP a terminal report. The copy of the terminal report accompanied by the audited and/or certified financial statement of account will be submitted by UNON, Budget and Funds Management Service, on behalf of UNEP to UNFIP within 12 months after the completion of the project.

## **6.4 Substantive Reports**

99. As per Section 4 above, copies of the substantive and technical reports produced in accordance with the schedule of work will be submitted to UNEP/DEWA for technical review with copies to the UNEP/GEF Coordination Office and the Chief, Budget and Fund Management Service.

## **6.5 Financial Reporting**

### **6.5.1 To UNFIP**

100. Quarterly financial reports will be provided by UNON, Budget and Fund Management Service, on behalf of UNEP in accordance with UNF/UNFIP agreements.

## SECTION 7 - TERMS AND CONDITIONS

### 7.1 Non-Expendable Equipment

N/A

### 7.2 Responsibility for Cost overruns.

101. DEWA is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget subline provided the total cost of the UNEP annual contribution is not exceeded. This may be done without prior authorization, but once the need for these additional funds become apparent, the Director, DEWA, shall inform, within 30 days, the Chief, Budget and Fund Management Service, UNON, about shifts made, and these have to be reflected in a revision to the project document not later than three months after the shifts have been made.

## LIST OF ANNEXES

Annex I	Budget in UNEP Format
Annex II	Format for Quarterly Reports
Annex III	Format for Half-yearly Reports
Annex IV	Format for Terminal Report
Annex V	Format for Quarterly Project Expenditure Accounts
Annex VI	Format for Cash Advance Statements
Annex VII	Format for GEF Quarterly Operations Report
Annex VIII	Format for Inventory of Non-Expendable Equipment
Annex IX	Changes from Original Project Document and Proposal
Annex X	Relationship to UNF/UNFIP Programme Framework and Project Criteria
Annex XI	Exploratory Steering Committee and Advisory Group
Annex XII	Board members
Annex XIII	Stakeholder Engagement in the MA Design
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Annex XV	Endorsements from User Groups
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Annex XXI	Technical Review
	(a) STAP Roster Technical Review
	(b) Response to STAP
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Annex XXII	List of Acronyms

**ANNEX I – BUDGET IN UNEP FORMAT<sup>1</sup>**

Annex I A	Overall budget for UNEP, GEF, UN Foundation and Counterpart Contribution (World Bank, Norway)
Annex I B	Budget for counterpart contribution from World Bank
Annex I C	Budget for UN Foundation Contribution
Annex I D	Budget for GEF Contribution
Annex I E	Budget for UNEP Contribution
Annex I F	Budget for Norway Contribution

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<sup>1</sup> Note: The total Budget presented here (\$13.6 million) does not include the “Start up” costs (\$166,000) budgeted in Calendar Year 2000 for the Sub-Global Assessment Selection planning and the maintenance of the interim secretariat. It also does not include various grants provided directly to co-executing agencies (e.g., Packard Foundation, \$2.4 million; Norway, \$93,300; Rockefeller, \$89,000; NASA, \$50,000), grants to UNEP controlled under separate project documents (World Bank: \$500,000; Norway \$55,000); or in kind support.)

**Annex 1A: Cumulated Project Budget (UNEP, GEF, UNF, Counterpart Contribution (Bank, Norway))**

	w/m	2001	2002	2003	2004	2005	Total
<b>10 PROJECT PERSONNEL COMPONENT</b>							
1100 Project personnel (Title & Grade)							
1101 Director [L6/D1 - Penang]	48	43,250	179,055	185,322	191,808	49,630	649,065
1102 Technical Officer [P2-NBO]	24	16,250	67,275	69,630	72,067	18,647	243,869
<i>1199 Total</i>		<i>59,500</i>	<i>246,330</i>	<i>254,952</i>	<i>263,875</i>	<i>68,278</i>	<i>892,934</i>
1600 Travel on official business							
1601 Project related travel (Tech Officer)		12,000	4,400	4,400	4,400	1,100	26,300
<i>1699 Total</i>		<i>12,000</i>	<i>4,400</i>	<i>4,400</i>	<i>4,400</i>	<i>1,100</i>	<i>26,300</i>
<b>1999 Component total</b>		<b>71,500</b>	<b>250,730</b>	<b>259,352</b>	<b>268,275</b>	<b>69,378</b>	<b>919,234</b>
<b>20 SUB-CONTRACT COMPONENT</b>							
2100 Sub-contracts (MOUs/LAs for Cooperating Agencies)							
2101 WCMC		85,691	1,177,805	1,182,007	387,233	55,714	2,888,450
2102 Unspecified (Contingency)		0	46,000	92,000	92,000	0	230,000
<i>2199 Total</i>		<i>85,691</i>	<i>1,223,805</i>	<i>1,274,007</i>	<i>479,233</i>	<i>55,714</i>	<i>3,118,450</i>
2200 Sub-contracts (MOUs/LAs for Supporting Organizations)							
2201 ICLARM		17,731	215,813	221,994	228,391	58,753	742,682
2202 SCOPE		0	844,000	536,944	304,624	88,440	1,774,008
2203 WRI/MERIDIAN		705,433	720,799	495,019	1,023,998	558,282	3,503,531
2204 Response Options Working group		0	512,603	379,120	313,697	51,359	1,256,780
2205 Sub-Global Working group		0	148,261	355,612	271,892	41,256	817,020
2206 SE Asia Cluster		0	178,152	178,152	138,334	16,538	511,176
2207 Southern Africa Cluster		0	228,860	343,804	115,158	16,538	704,360
2208 Northern Europe Cluster		0	0	0	0	0	0

2209	Outlier and Cross-cut assessments	0	175,878	0	0	0	175,878
2299	<i>Total</i>	723,165	3,024,367	2,510,644	2,396,094	831,166	9,485,436
<b>2999</b>	<b>Component total</b>	<b>808,856</b>	<b>4,248,172</b>	<b>3,784,651</b>	<b>2,875,327</b>	<b>886,880</b>	<b>12,603,886</b>
<b>40 EQUIPMENT AND PREMISES COMPONENT</b>							
4100	Expendable equipment (item under \$500)						
4101	Office Supplies	731	5,318	7,494	7,603	911	22,058
4199	<i>Total</i>	731	5,318	7,494	7,603	911	22,058
4200	Non-expendable equipment						
4201	Computer Equipment	0	0	0	0	0	0
4299	<i>Total</i>	0	0	0	0	0	0
4300	Premises						
4301	Office rent - Nairobi	731	5,318	7,494	7,603	911	22,058
4399	<i>Total</i>	731	5,318	7,494	7,603	911	22,058
<b>4999</b>	<b>Component total</b>	<b>1,463</b>	<b>10,636</b>	<b>14,988</b>	<b>15,207</b>	<b>1,822</b>	<b>44,115</b>
<b>50 MISCELLANEOUS COMPONENT</b>							
5100	Operation and maintenance of equipment						
5101	Rental and maintenance of computer eqpt.	731	5,318	7,494	7,603	911	22,058
5199	<i>Total</i>	731	5,318	7,494	7,603	911	22,058
5200	Reporting costs						
5201	Internal UNEP reporting	0	500	500	500	500	2,000
5299	<i>Total</i>	0	500	500	500	500	2,000
5300	Sundry						
5301	Communications (telephone, fax, Internet)	366	1,624	1,677	1,732	456	5,854

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5302	Other: Photocopy, Postage, courier, pouch charges	366	1,624	1,677	1,732	456	5,854
5399	<i>Total</i>	731	3,248	3,354	3,463	911	11,708
5999	<b>Component total</b>	<b>1,463</b>	<b>9,066</b>	<b>11,348</b>	<b>11,567</b>	<b>2,322</b>	<b>35,765</b>
99	<b>GRAND TOTAL</b>	<b>883,281</b>	<b>4,518,603</b>	<b>4,070,338</b>	<b>3,170,376</b>	<b>960,402</b>	<b>13,603,000</b>

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## Annex IB – World Bank counterpart contribution

	w/m	2001	2002	2003	2004	2005	Total
2200 Sub-contracts (MOUs/LAs for Supporting Organizations)							
2201 ICLARM		0	0	0	0	0	0
2202 SCOPE		0	546,000	311,112	91,650	0	948,762
2203 WRI/MERIDIAN		0	0	0	0	0	0
2204 Response Options Working group		0	0	0	0	0	0
2205 Sub-Global Working group		0	0	0	0	0	0
2206 SE Asia Cluster		0	178,152	45,848	31,000	0	255,000
2207 Southern Africa Cluster		0	57,360	40,000	23,000	0	120,360
2208 Other Regional Clusters		0	0	0	0	0	0
2209 Outlier and Cross-cut assessments		0	175,878	0	0	0	175,878
2299 Total		0	957,390	396,960	145,650	0	1,500,000
2300 Subcontracts with others (Commercial contracts)							
2301		0	0	0	0	0	0
2302		0	0	0	0	0	0
2303		0	0	0	0	0	0
2304		0	0	0	0	0	0
2399 Total		0	0	0	0	0	0
2999 Component total		0	957,390	396,960	145,650	0	1,500,000
<b>99 GRAND TOTAL</b>		<b>0</b>	<b>957,390</b>	<b>396,960</b>	<b>145,650</b>	<b>0</b>	<b>1,500,000</b>

## Annex I C - UNF counterpart contribution

	w/m	2001	2002	2003	2004	2005	Total
<b>10 PROJECT PERSONNEL COMPONENT</b>							
1100	Project personnel (Title & Grade)						
1101	Director [L6/D1 - Penang]	48	0	57,319	92,661	95,904	270,699
1102	Technical Officer [P2-NBO]	24	0	21,536	34,815	36,033	101,708
<i>1199</i>	<i>Total</i>		<i>0</i>	<i>78,855</i>	<i>127,476</i>	<i>131,937</i>	<i>372,407</i>
1600	Travel on official business						
1601	Project related travel (Tech Officer)		0	1,409	2,200	2,200	6,359
<i>1699</i>	<i>Total</i>		<i>0</i>	<i>1,409</i>	<i>2,200</i>	<i>2,200</i>	<i>6,359</i>
<b>1999</b>	<b>Component total</b>		<b>0</b>	<b>80,263</b>	<b>129,676</b>	<b>134,137</b>	<b>378,765</b>
<b>20 SUB-CONTRACT COMPONENT</b>							
2100	Sub-contracts (MOUs/LAs for Cooperating Agencies)						
2101	WCMC	85,691	350,784	369,918	249,522	21,729	1,077,645
2102	Unspecified (Contingency)	0	14,725	46,000	46,000	0	106,725
<i>2199</i>	<i>Total</i>	<i>85,691</i>	<i>365,510</i>	<i>415,918</i>	<i>295,522</i>	<i>21,729</i>	<i>1,184,371</i>
2200	Sub-contracts (MOUs/LAs for Supporting Organizations)						
2201	ICLARM	17,731	80,000	80,000	149,316	30,000	357,047
2202	SCOPE	0	0	0	0	0	0
2203	WRI/MERIDIAN	579,859	458,552	228,567	225,706	55,024	1,547,707
2204	Response Options Working group	0	0	0	0	0	0
2205	Sub-Global Working group	0	0	0	0	0	0
2206	SE Asia Cluster	0	0	132,304	107,334	16,538	256,176
2207	Southern Africa Cluster	0	0	132,304	92,158	16,538	241,000

2208	Other Regional Clusters	0	0	0	0	0	0
2209	Outlier and Cross-cut assessments	0	0	0	0	0	0
2299	<i>Total</i>	597,590	538,552	573,175	574,514	118,100	2,401,930
<b>2999</b>	<b>Component total</b>	<b>683,281</b>	<b>904,061</b>	<b>989,093</b>	<b>870,036</b>	<b>139,830</b>	<b>3,586,301</b>
40 EQUIPMENT AND PREMISES COMPONENT							
4100	Expendable equipment (item under \$500)						
4101	Office Supplies	0	1,702	3,747	3,802	456	9,707
4199	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
4300	Premises						
4301	Office rent - Nairobi	0	1,702	3,747	3,802	456	9,707
4399	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
<b>4999</b>	<b>Component total</b>	<b>0</b>	<b>3,405</b>	<b>7,494</b>	<b>7,603</b>	<b>911</b>	<b>19,413</b>
50 MISCELLANEOUS COMPONENT							
5100	Operation and maintenance of equipment						
5101	Rental and maintenance of computer eqpt.	0	1,702	3,747	3,802	456	9,707
5199	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
5200	Reporting costs						
5201	Internal UNEP reporting	0	160	250	250	250	910
5299	<i>Total</i>	0	160	250	250	250	910
5300	Sundry						
5301	Communications (telephone, fax, Internet)	0	520	838	866	228	2,452
5302	Other: Photocopy, Postage, courier, pouch charges	0	520	838	866	228	2,452
5303		0	0	0	0	0	0
5399	<i>Total</i>	0	1,040	1,677	1,732	456	4,904

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<b>5999 Component total</b>	<b>0</b>	<b>2,902</b>	<b>5,674</b>	<b>5,783</b>	<b>1,161</b>	<b>15,521</b>
99 <b>GRAND TOTAL</b>	<b>683,281</b>	<b>990,631</b>	<b>1,131,936</b>	<b>1,017,560</b>	<b>176,591</b>	<b>4,000,000</b>
<b>Programme Support Cost (5% of UNF Contribution)</b>	<b>34,164</b>	<b>49,532</b>	<b>56,597</b>	<b>50,878</b>	<b>8,830</b>	<b>200,000</b>
GRAND TOTAL COST OF PROJECT to UNF	717,445	1,040,163	1,188,533	1,068,438	185,420	4,200,000

## Annex 1D - GEF counterpart contribution

	w/m	2001	2002	2003	2004	2005	Total
<b>10 PROJECT PERSONNEL COMPONENT</b>							
1100 Project personnel (Title & Grade)							
1101 Director [L6/D1 - Penang]	48	0	57,319	92,661	95,904	24,815	270,699
1102 Technical Officer [P2-NBO]	24	0	21,536	34,815	36,033	9,324	101,708
<i>1199 Total</i>		0	78,855	127,476	131,937	34,139	372,407
1600 Travel on official business							
1601 Project related travel (Tech Officer)		0	1,409	2,200	2,200	550	6,359
<i>1699 Total</i>		0	1,409	2,200	2,200	550	6,359
<b>1999 Component total</b>		<b>0</b>	<b>80,263</b>	<b>129,676</b>	<b>134,137</b>	<b>34,689</b>	<b>378,765</b>
<b>20 SUB-CONTRACT COMPONENT</b>							
2100 Sub-contracts (MOUs/LAs for Cooperating Agencies)							
2101 WCMC		0	827,021	812,089	137,711	33,985	1,810,805
2102 Unspecified (Contingency)		0	14,725	46,000	46,000	0	106,725
<i>2199 Total</i>		0	841,746	858,089	183,711	33,985	1,917,530
2200 Sub-contracts (MOUs/LAs for Supporting Organizations)							
2201 ICLARM		0	135,813	141,994	79,075	28,753	385,635
2202 SCOPE		0	298,000	225,832	212,974	88,440	825,246
2203 WRI/MERIDIAN		0	242,114	266,453	798,292	503,258	1,810,116
2204 Response Options Working group		0	512,603	379,120	313,697	51,359	1,256,780
2205 Sub-Global Working group		0	81,408	154,318	74,012	41,256	350,994
2206 SE Asia Cluster		0	0	0	0	0	0
2207 Southern Africa Cluster		0	0	0	0	0	0

2208	Other Regional Clusters	0	0	0	0	0	0
2209	Outlier and Cross-cut assessments	0	0	0	0	0	0
2299	<i>Total</i>	0	1,269,939	1,167,716	1,478,050	713,065	4,628,771
<b>2999</b>	<b>Component total</b>	<b>0</b>	<b>2,111,685</b>	<b>2,025,805</b>	<b>1,661,761</b>	<b>747,050</b>	<b>6,546,302</b>
40	EQUIPMENT AND PREMISES COMPONENT						
4100	Expendable equipment (item under \$500)						
4101	Office Supplies	0	1,702	3,747	3,802	456	9,707
4199	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
4300	Premises						
4301	Office rent - Nairobi	0	1,702	3,747	3,802	456	9,707
4399	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
<b>4999</b>	<b>Component total</b>	<b>0</b>	<b>3,405</b>	<b>7,494</b>	<b>7,603</b>	<b>911</b>	<b>19,413</b>
50	MISCELLANEOUS COMPONENT						
5100	Operation and maintenance of equipment						
5101	Rental and maintenance of computer eqpt.	0	1,702	3,747	3,802	456	9,707
5199	<i>Total</i>	0	1,702	3,747	3,802	456	9,707
5200	Reporting costs						
5201	Internal UNEP reporting	0	160	250	250	250	910
5299	<i>Total</i>	0	160	250	250	250	910
5300	Sundry						
5301	Communications (telephone, fax, Internet)	0	520	838	866	228	2,452
5302	Other: Photocopy, Postage, courier, pouch charges	0	520	838	866	228	2,452
5303		0	0	0	0	0	0

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5399	Total	0	1,040	1,677	1,732	456	4,904
5999	Component total	0	2,902	5,674	5,783	1,161	15,521
99	<b>GRAND TOTAL</b>	<b>0</b>	<b>2,198,255</b>	<b>2,168,648</b>	<b>1,809,286</b>	<b>783,811</b>	<b>6,960,000</b>

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### Annex 1E - UNEP Trust Fund counterpart contribution in UNEP Format

		w/m	2001	2002	2003	2004	2005	Total
<b>10 PROJECT PERSONNEL COMPONENT</b>								
1100	Project personnel (Title & Grade)							
1101	Director [L6/D1 - Penang]	48	36,277	64,418	0	0	0	100,694
1102	Technical Officer [P2-NBO]	24	13,630	24,203	0	0	0	37,833
<i>1199 Total</i>			<i>49,906</i>	<i>88,621</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>138,527</i>
1600	Travel on official business							
1601	Project related travel (Tech Officer)		10,065	1,583	0	0	0	11,648
<i>1699 Total</i>			<i>10,065</i>	<i>1,583</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>11,648</i>
<b>1999</b>	<b>Component total</b>		<b>59,972</b>	<b>90,204</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>150,176</b>
<b>20 SUB-CONTRACT COMPONENT</b>								
2100	Sub-contracts (MOUs/LAs for Cooperating Agencies)							
2101	WCMC		0	0	0	0	0	0
2102	Unspecified (Contingency)		0	16,549	0	0	0	16,549
<i>2199 Total</i>			<i>0</i>	<i>16,549</i>	<i>0</i>	<i>0</i>	<i>0</i>	<i>16,549</i>
2200	Sub-contracts (MOUs/LAs for Supporting Organizations)							
2201	ICLARM		0	0	0	0	0	0
2202	SCOPE		0	0	0	0	0	0
2203	WRI/MERIDIAN		137,575	20,133	0	0	0	157,708
2204	Response Options Working group		0	0	0	0	0	0
2205	Sub-Global Working group		0	66,853	201,294	197,880	0	466,026
2206	SE Asia Cluster		0	0	0	0	0	0
2207	Southern Africa Cluster		0	0	0	0	0	0

2208	Other Regional Clusters	0	0	0	0	0	0
2209	Outlier and Cross-cut assessments	0	0	0	0	0	0
2299	<i>Total</i>	137,575	86,986	201,294	197,880	0	623,734
<b>2999</b>	<b>Component total</b>	<b>137,575</b>	<b>103,536</b>	<b>201,294</b>	<b>197,880</b>	<b>0</b>	<b>640,284</b>
40	EQUIPMENT AND PREMISES COMPONENT						
4100	Expendable equipment (item under \$500)						
4101	Office Supplies	613	1,913	0	0	0	2,527
4199	<i>Total</i>	613	1,913	0	0	0	2,527
4300	Premises						
4301	Office rent - Nairobi	613	1,913	0	0	0	2,527
4399	<i>Total</i>	613	1,913	0	0	0	2,527
<b>4999</b>	<b>Component total</b>	<b>1,227</b>	<b>3,826</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5,053</b>
50	MISCELLANEOUS COMPONENT						
5100	Operation and maintenance of equipment						
5101	Rental and maintenance of computer eqpt.	613	1,913	0	0	0	2,527
5199	<i>Total</i>	613	1,913	0	0	0	2,527
5200	Reporting costs						
5201	Internal UNEP reporting	0	180	0	0	0	180
5299	<i>Total</i>	0	180	0	0	0	180
5300	Sundry						
5301	Communications (telephone, fax, Internet)	307	584	0	0	0	891
5302	Other: Photocopy, Postage, courier, pouch charges	307	584	0	0	0	891
5399	<i>Total</i>	613	1,168	0	0	0	1,782

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<b>5999</b>	<b>Component total</b>	<b>1,227</b>	<b>3,262</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,488</b>
99	<b>GRAND TOTAL</b>	<b>200,000</b>	<b>200,827</b>	<b>201,294</b>	<b>197,880</b>	<b>0</b>	<b>800,000</b>

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### Annex 1F - Government of Norway counterpart contribution

	w/m	2001	2002	2003	2004	2005	Total
20 SUB-CONTRACT COMPONENT							
2200 Sub-contracts (MOUs/LAs for Supporting Organizations)							
2201 ICLARM		0	0	0	0	0	0
2202 SCOPE		0	0	0	0	0	0
2203 WRI/MERIDIAN		0	0	0	0	0	0
2204 Working group 3		0	0	0	0	0	0
2205 Working group 4		0	0	0	0	0	0
2206 SE Asia Cluster		0	0	0	0	0	0
2207 Southern Africa Cluster		0	171,500	171,500	0	0	343,000
2208 Other Regional Clusters		0	0	0	0	0	0
2209 Outlier and Cross-cut assessments		0	0	0	0	0	0
2299 <i>Total</i>		<i>0</i>	<i>171,500</i>	<i>171,500</i>	<i>0</i>	<i>0</i>	<i>343,000</i>
<b>2999 Component total</b>		<b>0</b>	<b>171,500</b>	<b>171,500</b>	<b>0</b>	<b>0</b>	<b>343,000</b>
<b>99 GRAND TOTAL</b>		<b>0</b>	<b>171,500</b>	<b>171,500</b>	<b>0</b>	<b>0</b>	<b>343,000</b>

## ANNEX II – FORMAT OF QUARTERLY OPERATIONAL REPORT TO UNEP

### 1. IDENTIFIERS

<b>Country:</b>	-
<b>Project Title:</b>	Millennium Ecosystem Assessment
<b>Focal Area:</b>	Biodiversity
<b>Implementing Agency:</b>	United Nations Environment Programme
<b>GEF Funding:</b>	US\$ 6,960,000
<b>Co-funding (cash):</b>	US\$ 4,000,000 (United Nations Foundation/UNFIP) US\$ 2,400,000 (Packard Foundation) US\$ 2,000,000 (World Bank) US\$ 800,000 (UNEP) US\$ 343,000 (Norway) US\$ 55,000 (Norway) US\$ 93,300 (Norway) US\$ 89,000 (Rockefeller) US\$ 50,000 (NASA)
<b>Co-funding (Core budget in-kind):</b>	US\$ 1,500,000 (Government of China) US\$ 740,000 (Government of Norway) US\$ 550,000 (International Centre for Research in Agroforestry) US\$ 286,000 (National Aeronautic and Space Administration) US\$ 220,000 (World Bank) US\$ 100,000 (United Nations Environment Programme) US\$ 400,000 (Stockholm University) US\$ 160,000 (Tropical Resources Ecology Programme) US\$ 117,000 (ICLARM) US\$ 92,000 (Norway) US\$ 30,000 (United Nations Development Programme) US\$ 30,000 (UN FAO) US\$ 30,000 (UNESCO) US\$ 30,000 (World Health Organization)
<b>Co-funding (off budget in-kind):</b>	US\$ 300,000 (UNEP) US\$60,000,000 (NASA)

### 2. FINANCIAL STATUS

[Commitment and disbursement data as of the date of the report]

### 3. IMPLEMENTATION PROGRESS

[Statement of progress of the project components in relation to agreements or plans. Assessment of Overall status. Report on the reasons, in the event of delays, cost over-run or positive deviations]

**4. ACHIEVEMENT OF PROJECT OBJECTIVES**

[Assessment of likelihood that project objectives will be achieved.]

**5. SPECIFIC ASSESSMENT OF FACTORS RELATING TO THE BIODIVERSITY FOCAL AREA.**



**Annex (Participants List)**

Name	Nationality

(ii) **Printed Materials**

Report to (IG) Mtg       Technical Publication       Technical Report       Others

Title \_\_\_\_\_

Author(s)/Editor(s) \_\_\_\_\_

Publisher \_\_\_\_\_

Symbol (UN/UNEP/ISBN/ISSN) \_\_\_\_\_

Date of publication \_\_\_\_\_

(when the above reports have been distributed, **attach the distribution list**).

(iii)       **Technical Information**       **Public Information**

Description \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Dates \_\_\_\_\_

(iv) **Technical Cooperation**

Grants and Fellowships       Advisory Services       Others (e.g. materials & equipment donated)

Purpose \_\_\_\_\_

Place \_\_\_\_\_ Duration \_\_\_\_\_

For Grants/Fellowships, please indicate:

<u>Beneficiaries</u>	<u>Countries/Nationalities</u>	<u>Cost (in US\$)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

(b) Status of activities/outputs underway:  
 Meetings, seminars, workshops study tours, training courses, fellowships under preparation

- i. Status of documents, reports, manuals, guidelines being prepared
  - ii. Status of studies, surveys underway
  - iii. Status of implementation of other activities
5. Summary of the problems encountered in project delivery (if any)
6. Actions taken or required to solve the problems identified in (5) above

## ANNEX IV: TERMINAL REPORT

**Implementing Organization** \_\_\_\_\_

**Project No.:** \_\_\_\_\_

**Project Title :** \_\_\_\_\_

**1. Project Objectives - Re-state the following:**

Objectives:

Needs:

Results:

**2. Project activities**

Describe the activities actually undertaken under the project. Give reasons **why some activities, planned at the outset, were not undertaken, if any.**

Activities actually undertaken	Activities planned but not undertaken (reason for failure)

**3. Project outputs**

Compare the outputs generated with the ones listed in the project document.

Actual Outputs (generated)	Outputs envisaged under the project
a)	
b)	
c)	
d)	
<b>* Below, provide more information on the outputs listed on this section:</b>	

**Further information on outputs listed above:**

**a) MEETINGS**

Inter-governmental (IG) Mtg.	Expert Group Mtg	Training Seminar/Works hop	Others
Title: _____ Venue _____ Dates _____ Convened by _____ Organized by _____ Report issued as doc. _____ No/Symbol _____ Dated _____ Languages _____	Title: _____ Venue _____ Dates _____ Convened by _____ Organized by _____ Report issued as doc. _____ No/Symbol _____ Dated _____ Languages _____	Title: _____ Venue _____ Dates _____ Convened by _____ Organized by _____ Report issued as doc. _____ No/Symbol _____ Dated _____ Languages _____	Title: _____ Venue _____ Dates _____ Convened by _____ Organized by _____ Report issued as doc. _____ No/Symbol _____ Dated _____ Languages _____
<b>Please complete list of participants</b> below, giving their names and nationalities.	<b>Please complete list of participants</b> below, giving their names and nationalities.	<b>Please complete list of participants</b> below, giving their names and nationalities.	<b>Please complete list of participants</b> below, giving their names and nationalities.

Participants List  
(Attach a separate list for each meeting)

Name	Nationality

**(b) PRINTED MATERIALS**

Report to IG Mtg	Technical Publication	Technical Report	Others
Title _____ Author(s)/ Editor(s) _____ Publisher _____ Symbol (UN/UNEP/ ISBN/ISSN) _____ Date of publication _____  (When reports/ publications have been distributed, complete <b>distribution list</b> below or attach a separate list)	Title _____ Author(s)/ Editor(s) _____ Publisher _____ Symbol (UN/UNEP/ ISBN/ISSN) _____ Date of publication _____  (Complete <b>distribution list</b> below or attach a separate list)	Title _____ Author(s)/ Editor(s) _____ Publisher _____ Symbol (UN/UNEP/ ISBN/ISSN) _____ Date of publication _____  (Complete <b>distribution list</b> below or attach a separate list)	Title _____ Author(s)/ Editor(s) _____ Publisher _____ Symbol (UN/UNEP/ ISBN/ISSN) _____ Date of publication _____  (Complete <b>distribution list</b> below or attach a separate list)

Distribution List (IG Meeting reports/ technical reports or publications)

Title of Report	Name of Recipient (Agency/individual recipient)

**c) INFORMATION**

TECHNICAL INFORMATION	PUBLIC INFORMATION
Description _____ _____ _____ _____	Description _____ _____ _____ _____
Dates _____ _____	Dates _____ _____

**(d) TECHNICAL COOPERATION**

Grants and Fellowships	Advisory Services	Others (materials & equipment donated)
Purpose _____	Purpose _____	Purpose _____
Place _____	Place _____	Place _____
Duration _____	Duration _____	Duration _____
Please indicate <b>cost (in US\$)</b> _____	Please indicate <b>cost (in US\$)</b> _____	Please indicate <b>cost (in US\$)</b> _____
<u>Beneficiaries</u> and their nationalities	<u>Beneficiaries</u> and their nationalities	<u>Beneficiaries</u> and their nationalities

**(e) OTHER OUTPUTS/SERVICES**

For example: Centre of excellence, Network, Environmental Academy, Convention, Protocol, University Chair, etc.
_____
_____

**4. Use of outputs**

State the use made of the outputs.

**5. Degree of achievement of the objectives/results**

On the basis of facts obtained during the follow-up phase, describe how the project document outputs and their use were or were not instrumental in realizing the objectives/results of the project.

**6. Conclusions**

Enumerate the lessons learned during the project execution. Concentrate on the management of the project, indicating the principal factors which determined success or failure in meeting the objectives set down in the project document.

**7. Recommendations**

Make recommendations to:

- (a) Improve effect and impact of similar projects in the future;
- (b) Indicate what further action might be needed to meet the project objectives/results.

**8. Non-expendable equipment (value over US\$1,500)**

Please attach to the terminal report a **final** inventory of all non-expendable equipment (if any) purchased under this project, indicating the following: Date of purchase, description, serial number, quantity, cost, location and present condition, together with your **proposal** for the disposal of the said equipment (**see separate inventory format**).

FOR REFERENCE, SEE ATTACHED **DEFINITIONS** BASED ON UN TERMINOLOGIES

**ANNEX V: FORMAT OF QUARTERLY PROJECT EXPENDITURE ACCOUNTS FOR SUPPORTING AGENCIES**

Quarterly project statement of allocation (budget), expenditure and balance (Expressed in US\$) covering the period .....to.....

Project No. .... Agency name .....

Project title: .....

Project commencing: ..... Project ending: .....

Object of expenditure by UNEP budget code	Project budget allocation for year.....		Total expenditure for quarter *	Total unliquidated obligations..	Cumulative expenditure for year	Unspent balance of budget allocation for year .....	
	m/m (1)	Amount (2)	(3)	(4)	(5)	m/m (6)	Amount (2)-(5)
1100 Project personnel							
1200 Consultants							
1300 Administrative support							
1400 Volunteers							
1600 Travel							
2100 Sub-contracts							
2200 Sub-contracts							
2300 Sub-contracts							
3100 Fellowships							
3200 Group training							
3300 Fellowships							
4100 Expendable equipment							
4200 Non-expendable eqpmnt							
4300 Premises							
5100 Operation							
5200 Reporting costs							
5300 Sundry							
5400 Hospitality							
<b>99 GRAND TOTAL</b>							

\*breakdown of expenditures per quarter with related information such as name of person hired, duration of contract, fees, purpose...should be reported in a separate annex.

Signed:

\_\_\_\_\_  
Duly authorized official of cooperating agency

## ANNEX VI – FORMAT FOR CASH ADVANCE STATEMENTS

### Cash Advance Statement

Statement of cash advance as at .....  
And cash requirements for the quarter of .....

Name of cooperating agency/  
Supporting organization \_\_\_\_\_  
Project No. \_\_\_\_\_  
Project title \_\_\_\_\_

#### I. Cash statement

1. Opening cash balance as at ..... US\$ \_\_\_\_\_  
2. Add: cash advances received:

Date	Amount
.....	.....
.....	.....
.....	.....
.....	.....

3. Total cash advanced to date US\$ \_\_\_\_\_  
4. Less: total cumulative expenditures incurred US\$ ( \_\_\_\_\_ )  
5. Closing cash balance as at ..... US\$ \_\_\_\_\_

#### II. Cash requirements forecast

6. Estimated disbursements for quarter  
ending ..... US\$ \_\_\_\_\_  
7. Less: closing cash balance (see item 5, above) US\$ ( \_\_\_\_\_ )  
8. Total cash requirements for the .....  
quarter ..... US\$ \_\_\_\_\_

Prepared by \_\_\_\_\_ Request approved by \_\_\_\_\_  
Duly authorized official of cooperating agency/ supporting organization

## ANNEX VII – FORMAT OF GEF QUARTERLY REPORT

### 1. IDENTIFIERS

**Country:** [to be completed as per the Identifiers noted in the GEF Project Brief]

**Focal Area:** [to be completed as per the Identifiers noted in the GEF Project Brief]

**Project Title:** [to be completed as per the Identifiers noted in the GEF Project Brief]

**Requesting Agency:** [to be completed as per the Identifiers noted in the GEF Project Brief]

**PDF Block B or Project Funding:** US \$

**Co-funding:**

**Other support** (in kind): US \$

(in cash): US \$

### 2. IMPLEMENTATION PROGRESS

[Statement of progress of the project components in relation to agreements or plans. Assessment of Overall status. Report on the reasons, in the event of delays, cost over-run or positive deviations]

### 3. ACHIEVEMENT OF PROJECT OBJECTIVES

[Assessment of likelihood that project objectives will be achieved.]

### 4. SPECIFIC ASSESSMENT OF FACTORS RELATING TO THE PARTICULAR GEF FOCAL AREA.



## **Non-expendable Equipment**

The implementing agency will maintain records of **non-expendable equipment** (items for US\$1,500 or more or with a serviceable lifetime of 5 years or more) as well as items of attraction such as pocket calculators, cameras, etc. costing more than US\$500) purchased with UNEP funds (or with Trust Funds of Counterpart Funds administered by UNEP) and will submit to UNEP an inventory of all such equipment following the inventory format attached, indicating description, serial number, date of purchase, original cost, present condition and location of each item. This list should be attached to the half-yearly progress report.

Non-expendable equipment purchased with funds administered by UNEP remains the property of UNEP until its disposal is authorized by UNEP. The (Implementing agency) will be responsible for any loss or damage to equipment purchased with UNEP funds. The proceeds from the sale of the equipment, (duly authorized by UNEP) shall be credited to the accounts of UNEP, or the appropriate trust fund or counterpart funds, upon completion of the project.

The implementing agency shall attach to the terminal report, a **final inventory of all non-expendable** equipment purchased under the project, including a **proposal** for the disposal of the said equipment. The inventory will include information such as equipment description, serial number, date of purchase, original cost, present condition and location of each item. The equipment is deemed to have been physically verified by a duly authorized official of the implementing agency.

## DEFINITIONS (BASED ON UN TERMINOLOGIES)

**ACTIVITY.** In general terms, Activity denotes a programme, subprogramme, programme element or project. Specifically, it refers to action taken to transform inputs into outputs.

**OUTPUTS.** These are specific products or services which an activity is expected to produce in order to achieve its objectives; eg., trained personnel, meetings serviced, reports, publications or advisory, editorial, translation and security services. Activities may also have intermediate outputs, which in turn may serve as inputs to other activities or final outputs.

**INTER-GOVERNMENTAL MEETING.** A meeting is intergovernmental when the participants are representatives of Governments.

**EXPERT GROUP MEETING.** The objective of an expert group meeting is to advise the secretariat on a specific subject. Participants at these meetings act in their individual capacities, even when they are nominated by their Governments.

**REPORTS SUBMITTED TO INTER-GOVERNMENTAL MEETINGS.** These are official documents brought for the consideration of intergovernmental meetings. These reports are identified by a United Nations symbol; eg. the 1988 Annual Report of the Executive Director bears symbol UNEP/GC.15/4. SWMTEP 1990-1995 bears symbol UNEP/GCSS.I/7/Add.1.

**TECHNICAL PUBLICATIONS.** These include (i) sales publications, published internally or externally; or (ii) technical or scientific bulletins, journals, newsletters and similar publications distributed free of charge when they are intended primarily for users external to the Secretariat. A technical publication is generally identified by an international standard book number (ISBN) or an international standard serial number (ISSN) for periodical publications.

**TECHNICAL REPORTS.** These include reports of a technical nature which are not widely distributed outside the Secretariat. Generally technical reports are intermediate outputs which are used as inputs into other activities.

**TECHNICAL INFORMATION.** These include information of a technical nature provided to recipients outside the Secretariat. Typical technical information in UNEP is provided by INFOTERRA, IRPTC and IE/PAC; such as responses to queries of technical nature.

**PUBLIC INFORMATION.** This category includes all material which are generally of non-technical nature, whether free of charge or sold, that is distributed by the United Nations directly or through intermediaries to the general public. The material falls into two main groups of outputs:

### 1. Publications

- (a) Books, reports, yearbooks, chronicles and biographical notes.
- (b) Periodical bulletins, newsletters, magazines and booklets.
- (c) Pamphlets, brochures, fact sheets and wall sheets.

## 2. Other public information services

- (d) Press releases.
- (e) Exhibits and other visual materials.
- (f) Films and videotapes.
- (g) Radio broadcasts and tapes of news, documentary and feature programmes.
- (h) Guided tours, group briefings, lectures and seminars.
- (i) Organization of special events.

**GRANTS AND FELLOWSHIPS.** These are funds awarded to individuals, organizations, etc. for specific activities/training. Grants and fellowships are considered final outputs.

**ADVISORY SERVICES.** Assistance provided to developing countries on environmental matters through the provision of consultants and/or UN staff expertise.

**OTHER TECHNICAL COOPERATION.** This includes among others, materials and equipment donated to developing countries for the implementation of certain projects.

## **ANNEX IX: MODIFICATIONS FROM ORIGINAL GEF PROJECT DOCUMENT AND UNF PROPOSALS**

### **Modifications to Institutional Arrangements**

#### ***Location of Director***

1. At its July 2000 meeting, consistent with the GEF and UNF-approved project documents, the MA Board decided to co-locate the MA Director in Malaysia with the Board Co-Chair, Dr. A.H. Zakri. Subsequently, Dr. Zakri accepted a position at the United Nations University in Tokyo. The Executive Committee of the Board considered various options at its September 28, 2000 meeting and at its December 9, 2000 meeting and decided (MA-EC 4.1.1) that the Director location should remain in Malaysia but shift to the offices of the International Center for Living Aquatic Resource Management (ICLARM), one of the CGIAR centers.

#### ***Selection of Director***

2. At its July 2000 meeting, the Board decided to change the proposed selection process for the MA Director. (In the approved project documents, the Director was to have been approved by the Board following an international search conducted by the executing agency chosen by the Board (at its first meeting) to house this position. Given its role as the Implementing Agency for the GEF and UNF grants, the Board agreed that UNEP should employ the Director even though the director would be based at a different institution. The Board agreed to a terms of reference under which the Director would report to the Board for a set of tasks, to the Executive Director of UNEP for overseeing reporting to Donors for core MA funding received by UNEP, and to both the Executive Director of UNEP and the MA Board for the management of the operations of the MA and oversight of the distributed secretariat.

#### ***Staff***

3. The MA Executive Committee and Board agreed to add a half time staff position, based at UNEP in Nairobi, to ensure effective integration and coordination of the MA with other technical and assessment activities being undertaken with the involvement of UNEP, including GIWA, GEO, and the Land Degradation Assessment.

4. In June 2001, the MA Executive Committee decided to add a new staff person based at WRI working on the communications/engagement activities and overseeing a centralized 'meeting planning' support staff. The centralized meeting planning role replaces the functions of the 'assistant' roles in each of the Technical Support Units, so these budgets in turn have been reduced.

### **Modifications to Budget and Workplan**

#### ***Sub-Global Assessment Selection Process***

5. At its July meeting, the MA Board decided (MA-Board 1.1.4) to undertake a more rigorous process for selecting the sub-global assessments involving the distribution of a call for proposals, a working group meeting, and active steps in several regions to organize appropriate activities. These activities were subsequently undertaken between September 2000 and March 2001 with support provided by the Government of Norway and the Rockefeller Foundation.

These activities increased the overall project budget by \$202,000. They were undertaken prior to the initiation of the activities called for in the project document and thus comprise a portion of the “start up” phase of the project.

### ***Technical Support Unit Selection***

6. The MA Executive Committee decided at its June 2001 meeting to delay the selection of two of the MA Technical Support Units (co-executing agencies) until October 2001. These had originally been budgeted to come ‘on line’ in October 2001. Some costs that we had anticipated being covered through these co-executing agencies (e.g., support for the co-chairs of the respective working groups) were thus shifted to WRI through early 2002 and these support units will be established in early 2002.

### ***Expanded Design Phase***

7. At its July 2000 meeting, the MA Board decided (MA-Board 1.1.3) that the design phase would require more time than had been proposed in the Project Document and could require as much as one year. As a consequence, more funds have been allocated to the design component of the project. Specifically, the original project briefs assumed that the design phase would consist of two technical workshops of approximately \$120,000 ea. Each of these workshops have now been enlarged and a third workshop is scheduled for September 2001 that will involve each of the four MA working groups. (The costs for separate meetings of each working group during year 1 have now been shifted to cover this joint working group meeting.) As a consequence, the costs for the design phase have increased from \$238,000 to \$939,000. This represents in part a re-allocation of the global working group meeting costs in Year 1 to the design phase (and consequently the cost of the Global component has decreased) and some additional expenses for the design phase taken from reductions in the Coordination and Oversight Component Budget.

### ***Other Budget Changes***

8. Each component line in the enclosed budget has changed slightly from the GEF and UNF approved budgets by virtue of the re-configured design phase and more specificity in the various costs involved. Specifically:

- a) Component #1 (Design) has tripled to \$843,000 as discussed above;
- b) Component #2 (Global) has declined by 18% (\$1.33 million) largely due to a shift in costs to the Design Component and by the replacement of some staff time in the Technical Support Units of each working group with increased communications/engagement staff time for meeting planning;
- c) Component #3 (Sub-Global) has increased by 2 (\$194,000);
- d) Component #4 (Communications) has increased by 30% (\$674,000). This reflects the additional staffing related to the centralized meeting planning function (and reduction in staffing at the Working Group technical support units). In addition, at its July 2000 meeting the MA Board took several decisions resulting in an increased allocation to the communications component: In Decision MA-Board 1.1.3 the Board decided that the MA process should include interim products; In Decision MA-Board

- 1.1.8 the Board decided to establish an outreach/engagement/communications advisory group.
- e) Component #5 (Project Review and Monitoring) has decreased from \$39,000 to \$0. These activities will still be undertaken but are covered by the project management fees contributed by UN Foundation and GEF and so are off-budget;
  - f) Component #6 (Coordination and Oversight) has decreased by 6% (\$202,000). This decrease is associated with the expanded design phase.

### **Modifications to Incremental Cost Analysis**

9. The Incremental Cost Analysis as approved by the GEF Council and as revised per the changes noted above is presented in Annex XVII.

Revised Incremental Cost Matrix

## **ANNEX X: RELATIONSHIP TO UNF/UNFIP PROGRAMME FRAMEWORK AND PROJECT CRITERIA**

### **Relationship to Programme Framework**

1. The Millennium Ecosystem Assessment addresses the priority area of strengthening the United Nations as an institution and supporting the Secretary-General as its leader. Although the UN system has made significant progress in environmental monitoring and assessment, the ability to meet decision-makers needs for ecosystem-related information has long been hindered by the lack of basic monitoring systems and by the enormous challenge in assembling up-to-date scientific information and bringing it to bear on decision-makers needs. UNEP has co-sponsored scientific mechanisms to meet these needs in the case of climate change, ozone depletion, and international waters but no comparable mechanism exists to bring the science pertaining to ecosystems to bear on decision-makers needs.

2. The MA will strengthen UN institutions in this area in a number of ways. First, the MA will directly contribute to UNEP's goal of a strengthened environmental monitoring and assessment capability within the UN system by providing a coordinated and integrated scientific baseline across the UN system. By supporting the creation of the MA, the UN Foundation would thus be further strengthening UNEP's role and helping it achieve its goals. Second, the Millennium Assessment will provide new scientific information and tools that UNEP and its partner organizations (including the network of organizations collaborating in the Global Environmental Outlook) require as part of their regular activities. Finally, because of the important role that UNEP will play in carrying out the MA, there will be direct benefits to UNEP in terms of increased staff expertise, improved and extended linkages with scientific and research organizations, improved access to new and integrated global, regional, and national datasets, and enhanced visibility for the entire array of products that UNEP produces relevant to the MA. UNEP expects to house the coordinator for one of the MA working groups and both UNEP/WCMC and the UNEP GRID centers will play active roles in the process.

### **General Project Criteria**

3. The MA addresses each of the five project criteria outlined in the January 2000 draft UNF/UNFIP Project Design and Development Considerations.
- a) *Prevention.* The MA is designed to provide information and build capacity that will enable forward looking decisions about environmental management. It is designed to enable a shift from the reactive approaches that characterize much of today's environmental management to more preventative approaches that take full advantage of available scientific expertise.<sup>1</sup>
  - b) *Multiplier impact and leverage.* The MA includes a set of "catalytic" assessments expressly designed to stimulate widespread use and adoption of the integrated assessment methodology that will be developed for the MA. At the same time, it builds on existing experiences with integrated assessment methods to apply them globally to the issues of ecosystem change for the first time. One of the three working groups of the MA will focus on "response options" and will be designed to identify best practices that can be used to address the challenges identified in the MA and disseminate those practices more widely. Finally, as with the IPCC, we expect that by identifying data and

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<sup>1</sup> Ayensu et al., 1999. International Ecosystem Assessment. *Science* Vol. 286:685-686.

research needs that are relevant to policy decisions at national and global scales, the MA will help to mobilize more investment in research to fill these pivotal gaps.

- c) *Contributes to institutional strengthening.* The MA will contribute to institutional strengthening within the UN system and within individual countries. Within the UN system, as described above, the MA will strengthen the capacity of the system to meet nations' needs for ecosystem-related information. Because the MA is based on a partnership among UN agencies, it will also strengthen the collaborative work of the UN. And, because that partnership governing the MA extends to non-governmental organizations such as the CGIAR and ICSU, the MA provides a useful model of an innovative partnership within the UN system. In his Millennium report to the United Nations General Assembly, Secretary General Kofi Annan noted: "*The Millennium Ecosystem Assessment is an outstanding example of the sort of international scientific and political cooperation that is needed to further the cause of sustainable development.*"

Within specific nations, the MA will play a somewhat different role in institutional strengthening. Through the global component, the MA will provide better information for decisions at national and sub-national levels. Through the catalytic assessments, the institutions in a region will obtain more detailed technical information enabling better assessment of trade-offs among choices for ecosystem management. The individuals and institutions involved in the catalytic assessments will learn a new approach to ecosystem assessments and obtain the tools for conducting those assessments. By relying on regional workshops for undertaking these assessments, the opportunity for individuals to acquire new tools and establish new professional contacts will be enhanced. And, by supporting staff and data work in the lead institutions involved in the catalytic assessments there will be direct support to the in-country institutions.

Finally, because catalytic "local assessments" will be one of the key elements of the MA, the process will provide a unique opportunity for grassroots engagement of local stakeholders in a global assessment process.

- d) *Project Sustainability.* If the MA process is successful, our expectation is that a similar assessment would be repeated in future years at 5-10 year intervals, following a pattern similar to the IPCC. The capability to repeat the MA following a 2-5 year hiatus will exist because the MA process is founded on the involvement of a distributed network of institutions, all of which will be strengthened through the process. The institutional memory for the assessment will thus be retained within the network of partners and will not be lost at the completion of the first assessment. Similarly, we expect that the catalytic assessments will be repeated in future years, both in the countries where the assessments are undertaken and in other regions and countries that observe the utility of the approach. Because these assessments will be undertaken with the involvement (and typically with the leadership) of key government agencies, the institutional basis and technical capacity for repeating the assessments will be well established.
- e) *Targeted to the Poorest of the Poor.* The poor are typically most vulnerable to the consequences of ecosystem degradation and most directly dependent on various ecosystem goods and services. For this reason, and because the MA will include analysis of impacts of ecosystem change on particularly vulnerable groups such as women, the poor, and marginalized populations, the MA will have disproportionate benefits and utility for addressing the concerns of the poor.

### **Charitable Purposes**

4. This project can be deemed an exclusively charitable project because as described in the objectives, activities, and other sections of this project document it is intended to provide relief of the poor, distressed, and underprivileged, advance education and science, and lessen the burdens of government.

## **ANNEX XI: EXPLORATORY STEERING COMMITTEE AND ADVISORY COMMITTEE**

5. The Millennium Ecosystem Assessment Exploratory Steering Committee (ESC) was established to explore the merits of undertaking an integrated assessment of the world's ecosystems. The Committee met twice, in February 1999 and September 1999. Subcommittees of the Steering Committee have met by conference call on a number of other occasions.

**Dr. Edward Ayensu**

Pan African Union for Science and  
Technology  
Accra, Ghana

**Dr. Mark N. Collins**

Chief Executive  
World Conservation Monitoring Centre  
Cambridge, United Kingdom

**Angela Cropper**

Winslow Visting Distinguished Scholar  
Woods Hole Research Center  
Trinidad and Tobago

**Mr. Andrew Dearing**

World Business Council for Sustainable  
Development  
Geneva, Switzerland

**Dr. Louise Fresco**

Director, Research Division  
Sustainable Development Department  
UN Food and Agriculture Organization  
Rome, Italy

**Professor Madhav Gadgil**

Centre for Ecological Sciences  
Indian Institute of Science  
Bangalore, India

**Dr. Habiba Gitay**

Research School of Biological Sciences  
Australian National University  
Canberra, Australia

**Dr. Gisbert Glaser**

Assistant Director General & Coordinator of  
Environmental Programmes  
United Nations Educational, Scientific, and  
Cultural Organization (UNESCO)  
Paris, France

**Ms. Zuzana Guziova**

National Secretariat for the Convention on  
Biological Diversity  
Ministry of Environment  
Bratislava, Slovak Republic

**Dr. Calestous Juma**

Special Advisor  
Center for International Development  
Harvard University  
Cambridge, Massachusetts, USA

**Professor Sir John Krebs FRS**

Department of Zoology  
Oxford University  
Oxford, United Kingdom

**Mr. Jonathan Lash**

President, World Resources Institute  
Washington, DC, USA

**Dr. Roberto Lenton**

Director  
Sustainable Energy and Environment Division  
United Nations Development Programme  
New York, New York, USA

**Dr. Jane Lubchenco**

Distinguished Professor  
Department of Zoology  
Oregon State University  
Corvallis, Oregon, USA

**Mr. Jeffrey A. McNeely**

Chief Scientist  
World Conservation Union (IUCN)  
Gland, Switzerland

**Dr. Harold Mooney**

Secretary General, International Council for  
Science (ICSU)  
Department of Biological Sciences  
Stanford University, Stanford, CA, USA

**Mr. Ndegwa Ndiangui**

Scientific Officer, Secretariat  
UN Convention to Combat Desertification  
Bonn, Germany

**Mr. Janos Pasztor**

Coordinator, Information Programme  
Climate Change Secretariat (UNFCCC)  
Bonn, Germany

**Dr. Prabhu L. Pingali**

Director, Economics Program  
International Maize and Wheat Improvement  
Center (CIMMYT)  
Mexico, DF, Mexico

**Dr. Per Pinstруп-Andersen**

Director General  
International Food Policy Research Institute  
Washington, DC, USA

**Dr. Mario A. Ramos**

Senior Environmental Specialist  
Global Environment Facility  
Washington, DC, USA

**Dr. Walter V. Reid**

Acting Science Director  
Millennium Ecosystem Assessment  
Seattle, Washington, USA

**Dr. Peter H. Raven**

Director  
Missouri Botanical Garden  
St. Louis, Missouri, USA

**Dr. Cristian Samper**

Director General  
Instituto Alexander Von Humboldt  
Ministry of Environment  
Bogota, Colombia

**Dr. José Sarukhán K.**

Instituto de Ecología  
University Nacional Autónoma de México  
Mexico DF, Mexico

**Dr. Peter Johan Schei**

International Negotiations Director  
Directorate for Nature Management

Trondheim, Norway

**Mr. Klaus Töpfer**

Executive Director  
United Nations Environment Programme  
Nairobi, Kenya

**Professor José Galizia Tundisi**

President  
International Institute of Ecology  
Sao Carlos, Sao Paulo, Brazil

**Dr. Robert Watson**

Senior Scientific Advisor, Environment  
Department, World Bank  
Chairman, Intergovernmental Panel on  
Climate Change (IPCC)  
Washington, DC, USA

**Professor Xu Guanhua**

Vice Minister  
Ministry of Science and Technology  
Beijing, People's Republic of China

**Dr. A. Hamid Zakri**

Deputy Vice-Chancellor  
Universiti Kebangsaan Malaysia  
Malaysia

## ADVISORY GROUP

6. An Advisory Group for the MA was established in July 1999. Comments from this group on the concept paper and draft "design" document have been incorporated into the design of the MA. In addition, the Advisory Group has been contacted as a group for help in identifying candidates for technical experts to be involved in the MA and for help in identifying potential "catalytic" assessments. Individual members of the Advisory Group have also been involved in specific activities such as informal working group meetings and briefings.

<b>Walter Arensberg</b>	Chief, Environment Division, Inter-American Development Bank, USA
<b>Domingo Jimenez-Beltran</b>	Executive Director, European Environment Agency, Denmark
<b>Rosina Bierbaum</b>	Office of Science and Technology Policy, Executive Office of the President, USA
<b>Delmar Blasco</b>	Secretary General, Convention on Wetlands (Ramsar)
<b>David Brackett</b>	Director General, Canadian Wildlife Service
<b>Peter Bridgewater</b>	Director, Division of Biological Sciences, UNESCO
<b>Valerie Brown</b>	CABI Bioscience Director, Environment, CABI Bioscience UK Centre
<b>Stephen Carpenter</b>	Chair of IPEC, University of Wisconsin
<b>Vasantha Chase</b>	Head, Natural Resource Management Unit, Org. of Eastern Caribbean States, St. Lucia
<b>Munyaradzi Chenje</b>	Director, IMERCSA, Zimbabwe
<b>Leif Christoffersen</b>	Chairman of the Board, GRID-Arendal
<b>Daniel van R. Claasen</b>	United Nations Environment Programme
<b>Gretchen Daily</b>	Stanford University, USA
<b>Andriy Demydenko</b>	Aral Sea Basin Capacity Development Regional Project for Central Asia, Uzbekistan
<b>Braulio Dias</b>	Ministry of Environment, Brazil
<b>Dianne Dillion-Ridgley</b>	Executive Director, Women's Environment and Development Organization
<b>Donald N. Duvick</b>	Affiliate Professor, Iowa State University, USA
<b>Charles Ehler</b>	National Oceanic and Atmospheric Administration, USA
<b>Carl Folke</b>	Director, Centre for Research on Natural Resources and the Environment, Stockholm University, Sweden
<b>Robert Friedman</b>	H. John Heinz III Center for Science, Economics, and the Environment, USA
<b>Rodrigo Gámez</b>	Director, Instituto Nacional de Biodiversidad (INBio), Costa Rica
<b>Jose Goldemberg</b>	Professor, Universidade de Sao Paulo, Brazil
<b>David Hales</b>	Deputy Assistant Administrator, U.S. Agency for International Development
<b>Mohamed H.A. Hassan</b>	Executive Secretary, Third World Academy of Sciences
<b>Geoffrey Heal</b>	Columbia University Graduate School of Business, NY, USA
<b>Sir Martin W. Holdgate</b>	United Kingdom
<b>Geoffrey L. Holland</b>	Past chair, International Oceanographic Commission, Canada
<b>Ju Hongbo</b>	Chinese Academy of Forestry, China
<b>Sun Honglie</b>	Deputy Director, Presidium of Chinese Academy of Sciences, China
<b>Brian Huntley</b>	Chief Executive, National Botanical Institute, South Africa
<b>Yolanda Kakabadse</b>	President, World Conservation Union, Former Minister of Environment, Ecuador

<b>Hemal Kanvinde</b>	M. S. Swaminathan Research Foundation, Chennai, India
<b>Ashok Khosla</b>	President, Development Alternatives, India
<b>Larry R. Kohler</b>	Executive Director, International Council for Science, France
<b>Maritta von Beiberstein Koch-Weser</b>	Director-General, The World Conservation Union (IUCN) Institute of Zoology, U.K.
<b>Georgina Mace</b>	Minister of Environment, Colombia
<b>Juan Mayr Maldonado</b>	Chair, IUCN Commission on Ecosystem Management, U.K.
<b>Edward Maltby</b>	President, Environment & Development Management, Israel
<b>Uri Marinov</b>	University of Oxford, United Kingdom
<b>Robert May</b>	United Nations Development Programme
<b>Charles McNeill</b>	South Pacific Regional Environment Programme (SPREP)
<b>Gerald Miles</b>	President, Conservation International
<b>Russell A. Mittermeier</b>	Executive Director, African Centre for Technology Studies, Kenya
<b>John Mugabe</b>	Director General, Centre de Suivi Ecologique, Senegal
<b>Amadou Moctar Niang</b>	Chair, Research School of Bio Science, Australia
<b>Ian Noble</b>	University of Washington
<b>Gordon Orians</b>	Director, International Soil Reference Information Centre (ISRIC), Netherlands
<b>L. Roel Oldeman</b>	Director, Tata Energy Research Institute, India
<b>R.K. Pachauri</b>	Chairman, Board of Trustees, International Food Policy Research Institute
<b>Martin Piñeiro</b>	Chairman, Environment and Resource Protection Committee, National People's Congress, China
<b>Qu Ge Ping</b>	Vice Minister, Ministry of Environment, Costa Rica
<b>Carlos Manuel Rodriguez</b>	Tata Energy Research Institute, India
<b>Sumeet Saksena</b>	Executive Chairman, TropBio Research Sdn Bhd, Malaysia
<b>M.N. Salleh</b>	Director General, Center for International Forestry Research, Indonesia
<b>Jeffrey Sayer</b>	Director, Environmental Policy Division, Swedish International Development Agency, Sweden
<b>Mats Segnestam</b>	Programme Officer, Commonwealth Secretariat, U.K.
<b>Jameson Seyani</b>	Director, CONABIO, Mexico
<b>Jorge Soberon</b>	President, CH2M Gore and Storrie Limited, Canada
<b>Nicholas Sonntag</b>	Dean, School of Forestry and Environmental Management, Yale University
<b>James Gustave Speth</b>	Executive Director, IGBP Secretariat Royal Swedish Academy of Sciences, Sweden
<b>Will Steffen</b>	Executive Director, Regional Environment Center, Hungary
<b>Jernej Stritih</b>	Chairman, M.S. Swaminathan Research Foundation, India
<b>M. S. Swaminathan</b>	President, International Centre for Environment and Development, Egypt
<b>Mostafa K. Tolba</b>	Uganda
<b>Frank Turyatunga</b>	Environmental Affairs Department, Malawi
<b>Zipangani M. Vokhiwa</b>	Chief, Wildlife & Ecology CSIRO, Australia
<b>Brian H. Walker</b>	Wildlife Conservation Society and Chairman, African Conservation Centre, Kenya
<b>David Western</b>	Director General, Int. Center for Living Aquatic Resources Mgmt., Philippines
<b>Meryl J. Williams</b>	Chairman, Center for Russian Environmental Policy, Russia
<b>Alexey Yablokov</b>	

**Chen Yiyu**

Vice President, Chinese Academy of Sciences, People's Republic of China

**Hamdallah Zedan**

Executive Secretary, Convention on Biological Diversity, Montreal, Canada

**Kees Zoetemann**

Ministry of Housing, Spatial Planning and Environment, Netherlands



José Tundisi  
Axel Wenblad  
Muhammad Yunus  
Xu Guanhua

International Institute of Ecology, Brazil  
Skanska AB, Sweden  
Grameen Movement, Bangladesh  
Ministry of Science and Technology, China

### **ANNEX XIII. STAKEHOLDER ENGAGEMENT IN MA DESIGN**

1. The ESC and MA Board undertook the following activities to engage stakeholders in the design of the Millennium Assessment:
  - a. Direct engagement of representatives of stakeholders as members of ESC.

March 1999. An advisory group involving more than 50 individuals from all sectors and all regions was established to provide input into the design of the MA.

March 1999. A discussion of the proposed MA was held at the meeting of the UN Ecosystem Conservation Group.

April 1999. A roundtable discussion of the MA hosted by Klaus Töpfer, Roberto Lenton, Gus Speth, and Simon Upton was held as a side-event during the Commission on Sustainable Development meetings involving environment ministers or their designates from Antigua, Brazil, Colombia, China, Ecuador, Germany, Ghana, Guyana, India, Malaysia, Mexico, The Netherlands, New Zealand, Norway, South Africa, Sweden, Switzerland, United Kingdom.

May 1999. A discussion of the proposed MA was organized as a side event at the Conference of Parties of the Ramsar Convention on Wetlands of International Importance in Costa Rica.

May 1999. A presentation including discussion of the MA was given at the World Science Congress in Budapest.

June 1999. A side-event to discuss the MA was hosted by the Ecosystem Conservation Group (ECG) at the June meeting of the Biodiversity SBSTTA. Six members of the ESC also participated in a separate discussion of the MA with delegates from Australia, Germany, Canada, and Brazil.

July 1999. Meetings to discuss the MA were convened in Brazil by ESC member José Tundisi staff of the Ministry of Science and Technology, National Council for Science and Technology (CNPq), Ministry of Environment (Braulio Dias). Meetings were also held at Universidade de São Carlos, Universidade de Brasília, Fundação Andre Tosello, Fundação de Amparo a Pesquisa do Estado de São Paulo, Institute of Amazon Research (INPA). Considerable support within CNPq and Ministry of Environment.

September 1999. A discussion of the MA was organized at an environment ministerial meeting in Ghana involving environment ministers or their designees representing: Australia, Canada, Cote D'Ivoire, Czech Republic, Denmark, Finland, Germany, Ghana, Japan, Kenya, Mozambique, Netherlands, Nigeria, Norway, South Africa, Sweden, Togo, United Kingdom, United States, and Zimbabwe.

September 1999. ESC member Dr. A.H. Zakri hosted a workshop involving 50 representatives of resource-related Ministries in Malaysia to explore how the MA could best meet the needs of that country.

September 1999. ESC member Dr. Madhav Gadgil hosted a workshop in Winnipeg involving participants from Sweden, Turkey, South Africa, India, Brazil, U.S., and Canada to explore how best to link local and regional assessments to an international ecosystem assessment.

September–December 1999. Meetings were organized to discuss the MA with representatives of US Agencies including Agency for International Development, Office of Science and Technology Policy, Council on Environmental Quality, State Department,

NASA, as well as US NGOs and the US Presidents Council on Science and Technology (PCST).

September 1999. A presentation on the MA was given at the Norway/UN Conference on the Ecosystem Approach for Sustainable Use of Biological Diversity (Trondheim, Norway). Delegates attended the Conference from 95 countries involved in the Convention on Biological Diversity.

October 1999. Twenty-five members of the ESC published a peer-reviewed article on the proposed assessment in one of the world's most widely read technical science journals: Science.

October 1999. The Millennium Assessment has been accepted as a project of the Diversitas International Biodiversity Observation Year (IBOY).

November 1999. A meeting to discuss the MA was convened as a side-event at the meeting of the Convention to Combat Desertification (CCD) in Recife Brazil.

November 1999. The European Environment Agency held a discussion of the MA at their Board meeting.

November 1999. A presentation on the MA was given to the OECD Development Advisory Committee (DAC).

November 1999. A workshop on the MA was held at the Third World Academy of Sciences Meeting in Dakar Senegal.

January 2000. A workshop on the MA entitled "How can the Millennium Ecosystem Assessment best meet the needs of the Convention on Biological Diversity" was held at the Convention on Biological Diversity SBSTTA meeting in Montreal and attended by 70 delegates and observers.

February 2000. The MA co-sponsored a planning meeting for the International Program on Ecosystem Change (IPEC) at ICSU/SCOPE Headquarters in Paris France, involving 15 participants from 8 countries.

April 2000. Juan Mayr Maldonado (UNCSD Chair), Klaus Töpfer, and Jonathan Lash co-hosted a lunch side event during the UN Commission on Sustainable Development meetings in New York to brief delegates from 15 countries on the proposed MA

May 2000. A briefing on the MA was give at the meeting of the Conference of the Parties of the Convention on Biological Diversity. Separate briefings were also given to the African Group and the G-77 during this COP.

September 2000. A Call for Proposals for "sub-global" assessment components of the MA was widely distributed including to the national focal points of the conventions. This call for proposals will help inform countries about the MA process and should ensure that a number of countries will be involved in the sub-global component of the MA.

December 2000. A briefing on the MA was given at the meeting of the Conference of the Parties of the Convention to Combat Desertification.

## ANNEX XIV: LOGICAL FRAMEWORK MATRIX

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
<b>Development Goal</b>			
Management of ecosystems to sustainably provide goods and services to human development is enhanced	<ol style="list-style-type: none"> <li>Findings of the Assessment are used by global, national, and local institutions</li> <li>Institutions adopt integrated MA assessment methodology for use in regions and nations other than those directly involved in the Assessment.</li> <li>Rate of habitat conversion and watershed degradation is slowed</li> </ol>	<p>Reports from meetings of ecosystem-related conventions</p> <p>National reports to ecosystem related conventions</p> <p>Subsequent sectoral or ecosystem assessments</p>	That management decisions in the aggregate are subject to change based on improved information and understanding.
<b>Project Purpose</b>			
The best available information and knowledge on ecosystem goods and services is utilized in policy and management decisions at global, regional, national, and local levels	<ol style="list-style-type: none"> <li>Adoption of the findings by the international environmental conventions and relevant regional, national, and local authorities, NGOs, or private companies</li> <li>Development of implementation strategies</li> </ol>	<p>Reports from meetings</p> <p>Selection by the Scientific Bodies and by GEF of activities and projects addressing the priority findings of the MA</p>	That selection of future priority areas and projects for interventions will be based on rational decision making. An associated risk is that decision making is distorted by sectoral interests or external influences
Capacity to undertake integrated ecosystem assessments and to implement action based on the assessments is strengthened	<ol style="list-style-type: none"> <li>Continuation of assessment activities within the regions, nations, or communities after the completion of the MA</li> <li>Establishment of ecosystem assessments in regions outside of the areas of the catalytic assessments</li> </ol>	Publication of integrated ecosystem assessments within the catalytic regions after the completion of the MA or in other regions	That the production of an integrated assessment represents the product of local institutions and expertise rather than the introduction of outside capacity.
<b>Outcomes</b>			
A methodology for conducting integrated ecosystem assessments at local, national, regional, and global scales is	By the end of year 1 a methodology document has been approved by the Assessment Panel	Minutes of the Assessment Panel meetings	No unforeseen technical difficulties arise in developing an integrated assessment methodology

produced			The dynamics of the assessment panel is such that technical issues and differences can be resolved by the panel and chair.
A global assessment of pressures, conditions, trends, scenarios, and response options related to ecosystem goods and services is produced	By the end of year 3 a global assessment has been approved by the Board of the MA	Minutes of the Board meeting Presence of the published report	No unforeseen technical or logistical difficulties arise in selecting working group chairs or addressing technical issues raised during the assessment.
National, regional, and local integrated ecosystem assessments are catalyzed by the MA process.	<ol style="list-style-type: none"> <li>1. By the end of year 3, ten catalytic local, national, and global assessments have been completed.</li> <li>2. By the end of year 3 several regional scenario studies have been completed</li> <li>3. Plans are underway to launch similar assessments in other locales</li> </ol>	Minutes of the Assessment Panel meetings Presence of the published reports Country reports for ecosystem related conventions	No unforeseen technical or logistical difficulties arise in selecting assessment chairs or addressing technical issues raised during the assessment
The published findings of the Assessment are widely distributed in print and electronic form and used by key target audiences	The summary for policymakers has been widely circulated A web site is being widely used Findings of the MA are being quoted in the media by researchers and by national ministries and international environmental conventions.	Project records Analysis of web site usage Analysis of citations in major media Analysis of records of international ecosystem conventions	This assumes that key audiences will use materials if they have ready access to them through reports, electronic sources, summary documents, and briefings.
<b>Activities/Components</b>			
Component 1: Development of Methodology <ol style="list-style-type: none"> <li>1. Technical design workshop</li> <li>2. Preparation of methodology document</li> </ol>			Members of the Assessment panel have the technical capacity to prepare a pragmatic methodology for conducting the assessment

<p>Component 2: Global Assessment</p> <ol style="list-style-type: none"> <li>1. Establishment of working groups for conditions, scenarios, response options</li> <li>2. Synthesis of existing indicators</li> <li>3. Development of new data/indicators</li> <li>4. Identification of lead authors</li> <li>5. Preparation of chapters</li> </ol>	<p>Leading scientists are willing to become engaged in the assessment process</p> <p>Key institutions managing datasets related to ecosystems are willing to become engaged in the assessment process</p>
<p>Component 3: Catalytic Regional, National, and Local Assessments</p> <ol style="list-style-type: none"> <li>1. Selection of catalytic assessments, assessment chairs, and institutions</li> <li>2. Synthesis of indicators</li> <li>3. Preparation of scenarios</li> <li>4. Preparation of chapters</li> </ol>	<p>At least ten regions, nations, or locales are interested in engaging in the Assessment process and can undertake the assessment in the MA time frame.</p>
<p>Component 4: Outreach and Communications</p> <ol style="list-style-type: none"> <li>1. Publication of reports</li> <li>2. Development of web site</li> <li>3. Distribution of reports in hard copy and on web site</li> <li>4. Targeted outreach to key user audiences</li> </ol>	<p>The product of the Assessment is accessible and relevant to the media and primary users</p>
<p>Coordination and Oversight</p> <ol style="list-style-type: none"> <li>1. Establishment of Board</li> <li>2. Selection core secretariat</li> <li>3. Selection of Assessment Panel members (Working Group Chairs)</li> <li>4. Establishment of sub-secretariats</li> <li>5. Meetings of Assessment Panel</li> </ol>	<p>Key users such as the ecosystem related conventions are willing to participate in the governance structure.</p> <p>Leading individuals are willing to join the Board in the "at large" seats.</p> <p>Leading scientists are willing to assume the role as co-chairs of particular working groups.</p>

## **ANNEX XV: ENDORSEMENTS FROM USER AUDIENCES**

1. At the global scale, national commitment is demonstrated by the support that the MA has received in intergovernmental meetings and in particular in the meetings of the CBD, CCD and Ramsar Convention. Several of the statements of support for the MA include:

### **Convention to Combat Desertification**

Mr. President, I wish to draw attention to the Plenary that the Millennium Ecosystem Assessment, which is aimed at strengthening capacity to manage the world ecosystems for human development, was presented to the Committee on Science and Technology, during the deliberations of the Committee last week. It was fully supported by the CST and the Parties recommended continuation of the activities of the Millennium Assessment, in collaboration with the CCD secretariat.

– Statement of the Chairman of the Committee on Science and Technology to the COP Plenary, 25 November 1999

### **Convention on Biological Diversity**

The Conference of the Parties... Requests the Subsidiary Body on Scientific, Technical and Technological Advice: ... To undertake a limited number of pilot scientific assessment projects, in preparation for the sixth meeting of the Conference of the Parties, and to invite, among others, the Millennium Ecosystem Assessment to work closely together with the Subsidiary Body in this area; and to facilitate and support the implementation of these projects; and, at an appropriate stage, to carry out an evaluation of them; ... Requests the Subsidiary Body on Scientific, Technical and Technological Advice to identify opportunities for collaboration with the Millennium Ecosystem Assessment in contributing to the assessment needs of the Convention, in particular through the pilot scientific assessment projects referred to in paragraph 29 (b) of decision V/20; ... Decides to accept the invitation of the Millennium Ecosystem Assessment to be represented in the Executive Committee, nominates for this purpose the Chair of the Subsidiary Body on Scientific, Technical and Technological Advice and the Executive Secretary, and directs that the Subsidiary Body on Scientific, Technical and Technological Advice be kept informed on developments and progress;

– Convention on Biological Diversity; 15 May 2000, Decision V/20

### **Ramsar Convention on Wetlands**

Noting the scope of the proposed Millennium Assessment of the World's Ecosystems, currently under development, to deliver valuable related information of relevance to the application of the Convention.

– Resolution VII.20, "Priorities for Wetlands Inventory," Ramsar Convention on Wetlands COP, May 1999

### **Ministers of Environment**

The concept of a global ecosystem assessment currently being developed by UNEP, UNDP, the World Bank, and the World Resources Institute, should be supported as a means of helping decision makers in assessing the impact of their various actions on their national as well as on the global ecosystem

– Informal Meeting of Ministers of Environment, Elmina, Ghana; Chairman's Conclusions, 2-5 September 1999. (Ministers present or represented: Australia, Canada, Cote D'Ivoire, Czech Republic, Denmark, Finland, Germany, Ghana, Japan, Kenya, Mozambique, Netherlands, Nigeria, Norway, South Africa, Sweden, Togo, United Kingdom, United States, Zimbabwe.)

2. Countries that have spoken on behalf of the MA at meetings of these Conventions include: Norway, Sweden, United States, Brazil, China, Kenya, Senegal, Malaysia, Mexico, Netherlands, Colombia, and Peru. National commitment will also be one of the prerequisites for decisions by the board to approve the various local, national, and regional catalytic assessments. Already, for example, the government of Norway has included an integrated ecosystem assessment undertaken within the MA framework in its workplan for the upcoming fiscal year. We expect similar levels of commitment from other candidate nations and regions.

3. Other institutions that have indicated their endorsement of the MA include:

#### **Consultative Group on International Agricultural Research**

The Consultative Group on International Agricultural Research (CGIAR) and the International Agricultural Research Centers welcome the efforts of the broadly-based international group mounting through the Millennium Ecosystem Assessment integrated efforts to assess the conditions and prospects for the sustainable use of the resources needed to support global life support systems as well as the institutional problems in their optimal utilization.

– Ismail Serageldin, Chairman; November 9, 1999

#### **Third World Academy of Sciences**

The Third World Academy of Sciences (TWAS) and Third World Network of Scientific Organizations (TWNSO) strongly support the efforts of the Millennium Ecosystem Assessment to provide a framework for assessing the sustainable use of global resources. Both TWAS and TWNSO have placed scientific-based sustainable development at the centre of their agendas. The data and studies that the Millennium Ecosystem Assessment would provide would undoubtedly bolster our efforts and, more importantly, provide invaluable information and insights to the scientists and scientific organizations that TWAS and TWNSO serve in the developing world

– Mohamed H.A. Hassan, Executive Director, TWAS; 20 December 1999

#### **Institutions Represented on the MA Steering Committee**

The Millennium Assessment Steering Committee recommends the establishment of a global ecosystem assessment as outlined in the document "Millennium Assessment Design." The Steering Committee recommends that relevant public and private institutions support and become engaged in the assessment as appropriate. In particular, these institutions include the ecosystem-related conventions, national governments, local agencies and communities, relevant United Nations agencies and other intergovernmental organizations, non-governmental organizations (NGOs), and the private sector.

– UNEP, FAO, UNDP, UNESCO, World Bank, ICSU, CGIAR, WBCSD, WRI, IUCN, CCD, GEF; October, 1999

**United Nations Secretary General Kofi Annan**

[I]t is impossible to devise effective environmental policy unless it is based on sound scientific information. While major advances in data collection have been made in many areas, large gaps in our knowledge remain. In particular, there has never been a comprehensive global assessment of the world's major ecosystems. The planned Millennium Ecosystem Assessment, a major international collaborative effort to map the health of our planet, is a response to this need. It is supported by many governments, as well as UNEP, UNDP, FAO and UNESCO. I call on Member States to help provide the necessary financial support for the Millennium Ecosystem Assessment and to become actively engaged in it.

– Kofi Annan, *We the Peoples: The Role of the United Nations in the 21st Century*, April 3, 2000

4. In the Document “We the Peoples: The Role of the United Nations in the 21st Century, Secretary General Kofi Annan wrote the following regarding the Millennium Assessment:

"During the past three decades we have become increasingly aware that the natural ecosystems on which human life depends are under threat. But we still lack detailed knowledge of the extent of the damage—or its causes. Indeed in some cases, data on freshwater quality, for example, we now have less information than we did 20 years ago because of short-sighted cuts in environmental monitoring programmes.

Good environmental policy must be based on reliable scientific data. To ensure that this data is available to policy makers we need a truly comprehensive global evaluation of the condition of the five major ecosystems: forests, freshwater systems, grasslands, coastal areas and agroecosystems.

The proposed Millennium Ecosystem Assessment seeks to produce just such an evaluation. An initiative of the World Resources Institute, the World Bank, the United Nations Development Programme and the United Nations Environment Programme among others, it will draw on and collate existing sources of data and promote new research to fill the missing knowledge gaps. The Millennium Ecosystem Assessment promises important benefits to many stakeholders. It will provide the parties to various international ecosystem conventions with access to the data they need to evaluate progress towards meeting convention goals. National governments will gain access to information needed to meet reporting requirements under international conventions.

The Assessment will strengthen capacity for integrated ecosystem management policies and provide developing nations with better access to global data sets. The private sector will benefit by being able to make more informed forecasts. And it will provide civil society organizations with the information they need to hold corporations and governments accountable for meeting their environmental obligations.

The Millennium Ecosystem Assessment is an outstanding example of the sort of international scientific and political cooperation that is needed to further the cause of sustainable development."

## ANNEX XVI – WORK PROGRAM AND TIMETABLE

1. Project milestones are the following:<sup>1</sup>

January 2001	Selection of Board Chairs
February 2001	Selection of Assessment Panel Chairs
May 2001	Selection of Working Group Chairs, Selection of working group coordinating institutions
November 2001	Completion of Methodology, selection of all catalytic assessments, finalization of MA outline and "questions to be answered"
January 2002	Identification of all chapter lead authors and institutions responsible for compiling various indicators and datasets.
July 2003	Completion of draft reports
July 2004	Completion of peer review of technical volumes, completion of synthesis report
January 2005	Release of all findings and products

2. The specific activities that will be undertaken for each project component and the timetable for their implementation are indicated in the following table.

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<sup>1</sup> Note: These project milestones were advanced 6 months from the dates listed in the GEF and UNF project documents due to the six-month delay in the initiation of the project.

**Table XVI-1. Activities, Timetable, and Lead Agency for Project Implementation**

Activities	10/00 to	2001				2002				2003				2004				2005	Lead Agency	
	3/01	2nd	3rd	4th	1st	2nd	3rd	4th	1st	2nd	3rd	4th	1st	2nd	3rd	4th	1st			
<b>1. Project Start-up</b>																				
1.1. Undertake sub-global assessment selection																				WRI
1.2. Maintain interim secretariat (pre-April 2001)																				WRI
<b>2. Development of Methodology</b>																				
2.1. Undertake global technical design meetings																				WRI
2.2. Engage "users" in defining needs																				WRI
2.3. "Remote Sensing and the MA" workshop																				WRI
<b>3. Global Assessment</b>																				
<b>3.1. Condition Working Group</b>																				
3.1.1. Provide staff and admin support to WG																				WCMC
3.1.2. Support WG data analysis and synthesis																				WCMC
<b>3.2. Scenarios Working Group</b>																				
3.2.1. Provide staff and admin support to WG																				SCOPE
3.2.2. Support WG data analysis and synthesis																				SCOPE
<b>3.3. Response options Working Group</b>																				
3.3.1. Provide staff and admin support to WG																				IEG
3.3.2. Support WG data analysis and synthesis																				IEG
<b>4. Sub-Global Assessments</b>																				
4.1. Provide staff and admin support to WG																				ICLARM
4.2. Undertake planning activities for sub-global																				WRI
4.3. Subcontract SE Asia Regional Cluster																				TBD
4.4. Subcontract Southern Africa Regional Cluster																				TBD
4.5. Subcontract Other Regional Cluster																				TBD
4.6. Regional scenarios development																				SCOPE

4.7	Subcontract one cross-cutting assessment																		TBD
4.8	Sub-contract one outlier assessment																		TBD
<b>5.</b>	<b>Outreach and Engagement</b>																		
5.1.	Maintain internet site and electronic publications																		WRI
5.2.	Prepare communications strategy + launch																		WRI
5.3	Engagement with users during Assessment																		WRI
5.4.	Communications and dissemination of findings																		WRI
<b>6.</b>	<b>Project Coordination and Implementation</b>																		
6.1.	Appointment of Director and technical officer																		UNEP
6.2	Maintain interim secretariat (April thru Sept 2001)																		WRI
6.3.	Appointment of support staff, and project officer																		ICLARM
6.4.	Convene Board and Assessment Panel Mtgs																		WRI
6.5	Data and Information System design																		WRI
6.6.	Evaluation																		UNEP

## **ANNEX XVII: INCREMENTAL COST ANALYSIS<sup>1</sup>**

1. The global and catalytic regional assessment components of the project complement, rather than substitute, the baseline activities carried out by various governments and research institutions worldwide. Existing and planned assessments concerned with ecosystem issues include thematic and sectoral assessments that do not include the integrated and holistic approach of the MA. The project will provide a common framework and methodology for ecosystem assessment across regions and across the world in order to help identify those warranting priority attention and it will build institutional and human capacity for undertaking integrated ecosystem assessments that yield such regional or global benefits. Accordingly, this portion of the project is fully complementary and the costs are eligible for GEF funding. Other sources of funding will finance the parts of the global and regional assessments that are carried out in non-GEF eligible countries.

2. The catalytic national and local assessment components of the project are complementary in that most countries or local communities are not currently undertaking the type of integrated assessment that will be produced by the MA. However, the catalytic local and national assessments will provide clear national and local benefits in that they will both strengthen capacity for integrated assessment within the nations undertaking the catalytic assessments and will provide information that will be of use in managing biodiversity as well as in optimizing management of food, fiber, fisheries, water, storm protection and other ecosystem goods and services. Evidence of the national and local benefits is demonstrated by the fact that local integrated assessment activities began in December 1999 in India, stimulated by the work of the ESC, without external financial support. Similarly, Norway's Department of Nature Management has included an integrated ecosystem assessment linked to the MA in its operating plan. At the same time, because these local and national assessments are designed to catalyze additional assessments in other locales and nations, there are global benefits that will be obtained from the national and local catalytic assessments beyond the specific local and national benefits of the assessments.

### **Broad Development Goals**

3. Decision-makers whose actions affect the goods and services provided by ecosystems do not have the information available to fully weigh the trade-offs involved in the management of those ecosystems or to develop appropriate response strategies to address problems of diminishing productivity of goods and services from those ecosystems. Moreover, the capacity needed to undertake such an integrated assessment of ecosystems is limited in most countries and regions. The development goal of the MA is to improve the management of ecosystems so that they can better supply goods and services that will contribute to human development. The more specific purpose of this project is to help to bring the best available information and knowledge on ecosystem goods and services to bear on policy and management decisions, particularly at the global and regional scales, and to build capacity at all levels to undertake integrated ecosystem assessments and to act on their findings.

### **Baseline Scenario**

4. The global scope of much of the MA presents methodological difficulties in assessing the baseline and incremental costs of the project, which are normally calculated in a national

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<sup>1</sup> Note: This Incremental Cost analysis is the version approved by the GEF Council at its May 2000 Meeting. Because some of the budget lines and cost allocations have been modified by the MA Board, a discussion of how those changes affect this analysis is presented in Annex 1.

context. This incremental cost analysis follows the procedure used in previous global assessments supported by the GEF such as the Global International Waters Assessment and the Regionally Based Assessment of Persistent Toxic Substances. In the case of the global component of the MA, no other organization is at present considering undertaking such an assessment and the assessment would not take place without GEF intervention. Moreover, the benefits of the Assessment will accrue largely at a global or regional scale. Because the MA will rely on past and on-going activities such as environmental monitoring in national or regional contexts, the GIWA and IPCC, and research activities at the national level and international level, the baseline for this component of the project can be considered to be the estimated costs of these activities.

5. An illustration of the baseline costs of past and ongoing global assessment activities on which the global component of the MA is dependent is provided in the following examples:

- a. IPCC Second Assessment Report: \$15 million plus an additional \$15 million of in-kind support.
- b. IPCC Third Assessment Report: \$15 million plus an additional \$15 million of in-kind support.
- c. Global International Waters Assessment: \$13 million
- d. GESAMP State of the Marine Environment. \$6 million.
- e. Global Biodiversity Assessment: \$3 million
- f. FAO Forest Resource Assessment (1992 to 1999): \$16.5 million<sup>1</sup>
- g. World Overview of Conservation Approaches and Technologies (WOCAT): \$2.25 million
- h. Comprehensive Freshwater Assessment: \$3.2 million

6. These assessment activities total \$103 million. Given the range of international assessments not included in the above list, (e.g. the Global Assessment of Soil Degradation GLASOD, the Asian Assessment of Soil Degradation ASSOD, the Interlinkages Assessment of UNEP, NASA, and the World Bank, etc.) the total, the costs of international assessment activities on which the MA would draw would be conservatively estimated to be twice the above total or \$200 million.

7. The MA will also draw on research activities and national assessments that greatly exceed this total. For example, the US Mission to Planet Earth (which is designed to obtain scientific information related to processes of global environmental change) has an annual budget of \$1.5 billion. Conservatively, some \$3 billion or more is spent annually on research or assessment work related to ecosystems that would form the basis of the MA.

8. In the case of the catalytic regional, national, and local component of the MA, many of the benefits will accrue nationally and have much less global increment. For example, most of the information developed in these assessments will be primarily used locally, with the exception of the scenario work that will be done at a regional scale. Similarly, the capacity-building aspects of these assessments are expressly designed to strengthen local capacity to undertake such assessments.

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<sup>1</sup> <http://www.fao.org/docrep/X1375e/X1375e03.htm>

## **Global Environmental Objective**

9. The global environmental objective of this project is the conservation and sustainable use of biodiversity in all ecosystems.

## **GEF Alternative**

10. Component 1 is designed to establish and disseminate a methodology for undertaking integrated ecosystem assessments at all scales, from local to global. This methodology would not be developed in the absence of the GEF project. Because GEF funding was unavailable during the methodology development phase, GEF did not support this component.

11. Component 2 is designed to produce a global assessment of conditions, trends, scenarios, and response options related to ecosystem goods and services. This global assessment will strengthen the ability of governments and other decision-makers to effectively manage biodiversity in all nations but it would not be undertaken by any single nation nor would it be undertaken without GEF support. GEF will provide 60 percent of the total cost of \$5.9 million and other donors will provide the remainder.

12. Component 3 is designed to catalyze a series of local, national, and regional assessments. The 10 sub-global assessments undertaken as part of this project provide a global benefit in that they are designed to catalyze the more widespread adoption of these integrated approaches and in that they will develop tools that can be more widely used as well. This catalysis of widespread use of the approach would not occur without the project. However, these activities also will produce direct national benefits as well. GEF will support a portion of the activities related to the development of regional scenarios and the activities designed specifically to inform other nations and regions about the approach to foster the adoption of the approach elsewhere. This will amount to 9% of the budget for this component or \$0.74 million. The remaining costs (\$6.65 million) will be raised from other donors.

13. Component 4 is designed to ensure that the findings of the Assessment reach and are used by decision-makers around the world. This activity would not take place without this GEF project. GEF will cover 60 percent of the incremental cost of \$2.9 million and other donors will provide the remainder.

14. The remaining costs of the project involve the coordination and management through the establishment of a Board, Assessment Panel, and distributed secretariat. These activities would not take place without the GEF project. GEF will cover 27 percent of the incremental cost of \$2.9 million and other donors will provide the remainder.

## **Incremental Cost Matrix**

15. The incremental costs and benefits of the proposed project are summarized in the following incremental cost matrix. (See Table A-1 and Table A-2.) Table A-1 presents the incremental cost as approved by the GEF council. Table A-2 presents the incremental cost as revised per the budget modifications described in Annex IX.

**Table A-1. Incremental Cost Matrix (As Approved by GEF Council)**

<b>Component</b>	<b>Baseline</b>	<b>Alternative</b>	<b>Increment</b>
Component 1. Development of Methodology	There is no process underway to develop a methodology for undertaking an integrated assessment of ecosystems at local, national, regional, and global scales  Cost: 0	A peer reviewed practical methodology for integrated ecosystem assessments drawing on global expertise and experience  Cost: \$0.24 million	Methodology for integrated ecosystem assessments.  Cost: GEF: \$0.12 million Other: \$0.12 million Total: \$0.24 million
Component 2. Global Assessment	Series of sectoral assessments of agriculture, forestry, fisheries, climate, ozone, and international waters have been recently undertaken or are now underway.  Cost: \$200 million	In addition to the sectoral assessments, a global assessment of pressure, condition, scenarios, and response options would be produced examining the entire array of goods and services produced by ecosystems  Cost: \$207.24 million	Global assessment of pressure, condition, scenarios, and response options  Cost: GEF: \$3.62 million Other: \$3.62 million Total: \$7.24 million
Component 3. Catalytic Regional, National, and Local Assessments	Several countries, such as the US and Norway now have national ecosystem assessments underway; India is undertaking an integrated ecosystem assessment at a local scale.  Cost: \$5 million	Ten regional, national, and local integrated assessments would be conducted in such a way as to catalyze the adoption of such approaches in other regions. Regional scenarios would be developed for 2-3 different regions.  Cost: \$12.79 million	Seven to eight additional assessment processes completed and the likely stimulus of numerous additional integrated assessments. Regional scenarios for several regions completed.  Cost: GEF: \$0.39 million Other: \$7.40 million Total: \$7.79 million
Component 4: Outreach and Communications	Decision-makers among the ecosystem-related conventions, private sector, and civil society do not have ready access to "state of the art" scientific findings	Through reports and the Internet, decision-makers are aware of and readily able to consult policy-relevant information regarding ecosystem goods and services	Production of reports and dissemination of findings through reports and the internet

	related to conditions, scenarios, and response options for ecosystem goods and services. Cost: \$0	Cost: \$2.28 million	Cost: GEF: \$1.14 million Other: \$1.14 million Total: \$2.28 million
Coordination and Management	Cost: \$0	Board is established to link the Assessment to Key User audiences; Secretariat established to manage the process; Ecosystem Assessment Panel established to coordinate the scientific work  Cost: \$3.10 million	Establishment and activities of the Board, Secretariat, and Assessment Panel  Cost: GEF: \$1.55 million Other: \$1.55 million Total: \$3.10 million
Other (Contingency & Monitoring and Evaluation)	Cost: \$0	Resources are available to address unforeseen issues involved in implementing the project. Resources are available to monitor progress, make interim course corrections, and evaluate the project.  Cost: \$0.27	Contingency and M&E  Cost: GEF: \$0.13 million Other: \$0.13 million Total: \$0.27 million
<b>Total</b>	<b>Baseline: \$205 million</b>	<b>Alternative: \$225.92 million</b> (With planning phase: \$229.92 million)	<b>Total Incremental Costs: \$20.92 million</b>  <b>Costs to be funded by GEF: \$6.96 million</b> (With PDF-B: \$7.31 million)

**Table A-2. Incremental Cost (Revised as described in Annex IX)**

<b>Component</b>	<b>Baseline</b>	<b>Alternative</b>	<b>Increment</b>
Component 1. Development of Methodology	There is no process underway to develop a methodology for undertaking an integrated assessment of ecosystems at local, national, regional, and global scales  Cost: 0	A peer reviewed practical methodology for integrated ecosystem assessments drawing on global expertise and experience  Cost: \$0.84 million	Methodology for integrated ecosystem assessments.  Cost: GEF: \$0 Other: \$0.84 million Total: \$0.84 million
Component 2. Global Assessment	Series of sectoral assessments of agriculture, forestry, fisheries, climate, ozone, and international waters have been recently undertaken or are now underway.  Cost: \$200 million	In addition to the sectoral assessments, a global assessment of pressure, condition, scenarios, and response options would be produced examining the entire array of goods and services produced by ecosystems  Cost: \$5.91 million	Global assessment of pressure, condition, scenarios, and response options  Cost: GEF: \$3.50 million Other: \$2.41 million Total: \$5.91 million
Component 3. Catalytic Regional, National, and Local Assessments	Several countries, such as the US and Norway now have national ecosystem assessments underway; India is undertaking an integrated ecosystem assessment at a local scale.  Cost: \$5 million	Ten regional, national, and local integrated assessments would be conducted in such a way as to catalyze the adoption of such approaches in other regions. Regional scenarios would be developed for 2-3 different regions.  Cost: \$7.98 million	Seven to eight additional assessment processes completed and the likely stimulus of numerous additional integrated assessments. Regional scenarios for several regions completed.  Cost: GEF: \$0.7 million Other: \$7.28million Total: \$7.98million
Component 4: Outreach and Communications	Decision-makers among the ecosystem-related conventions, private sector, and civil society do not have ready access to "state of the art" scientific findings	Through reports and the Internet, decision-makers are aware of and readily able to consult policy-relevant information regarding ecosystem goods and services	Production of reports and dissemination of findings through reports and the internet

	related to conditions, scenarios, and response options for ecosystem goods and services.  Cost: \$0		Cost: \$2.96 million  Cost: GEF: \$1.81 million Other: \$1.15 million Total: \$2.96 million
Coordination and Management		Board is established to link the Assessment to Key User audiences; Secretariat established to manage the process; Ecosystem Assessment Panel established to coordinate the scientific work  Cost: \$2.90 million	Establishment and activities of the Board, Secretariat, and Assessment Panel  Cost: GEF: \$ 0.79 million Other: \$2.11 million Total: \$2.90 million
Other (Contingency)		Resources are available to address unforeseen issues involved in implementing the project.  Cost: \$0.23	Contingency  Cost: GEF: \$0.11 million Other: \$0.11 million Total: \$0.23 million
<b>Total</b>	<b>Baseline:</b> <b>\$205 million</b>	<b>Alternative:</b> <b>\$226.10 million</b> (With planning phase: \$230.10 million)	<b>Total Incremental Costs: \$21.10 million</b>  <b>Costs to be funded by GEF: \$6.96 million</b> (With PDF-B: \$7.31 million)

**ANNEX XVIII – LETTERS OF COMMITMENT****Global Environment Facility**

The Millennium Ecosystem Assessment was submitted as a component of the GEF Workplan to May 9-11, 2000 GEF Council Meeting. The approval of that workplan including the Millennium Ecosystem Assessment is documented in the Joint Summary of the Chairs, available at [http://www.gefweb.org/Whats\\_New/joint\\_summary-final.doc](http://www.gefweb.org/Whats_New/joint_summary-final.doc).

The record of this decision is also provided in the document “GEF Program Management: A Weekly Update on GEF Program Management” (Friday, May 12, 2000). An excerpt from that document regarding projects approved at the Council meeting follows below:

<b>TYPE</b>	<b>GEF DECISION SOUGHT</b>	<b>PROPONENT</b>	<b>COUNTRY</b>	<b>TITLE</b>	<b>RESPONSE DATE</b>	<b>REMARKS</b>
FP	CEO endorsement	UNEP	Global	Millennium Ecosystem Assessment	5/11/00	Approved by and subject to additional Council comments

## United Nations Foundation

The Millennium Ecosystem Assessment was considered at the July 2000 meeting of the Board of the United Nations Foundation. The documents approving the project are included below.

Project Title: **Millennium Ecosystem Assessment**

**Agency Request:** \$4,200,000  
**UNFIP Recommendation:** \$4,200,000 over four years  
**UNF Action:** \$4,200,000 over four years  
**Implementing Agency:** UNEP

### UNF COMMENTS

UNF approves this project at the requested level.

The level of support that has already been generated for the MA is quite impressive and reflects the wide-ranging stakeholder process that has been conducted as part of UNF's initial grant. All major global conventions that relate to ecosystems (Climate, Wetlands, Desertification, etc.) have endorsed it as have a number of governments in both the North and South. Perhaps most important for UNF, the MA has also been singled out by the Secretary General in his Millennium Report as an essential effort worthy of support.

UNF notes in particular the emphasis that is placed on making this assessment "needs-driven." The project development team appears to have effectively solicited the input of government decision-makers, the private sector, and NGO's (from both the North and the South), and all are incorporated into the project's organizational structure.

A key element that makes this effort attractive is the combination of a unique UN institutional partnership catalyzing a process that involves the UN while serving to network international expertise that is not in the UN system. At the same time, UNF sees a risk that because much of the funding will be flowing through a single entity (UNEP) this will give the process the perception of being a project of only that one institution. Thus, a key concern for UNF is how UNEP will take steps to ensure that it is seen to be the catalyst of a process rather than the 'lead organization' or the primary implementer of the project.

UNITED NATIONS



NATIONS UNIES

UNITED NATIONS FUND FOR INTERNATIONAL PARTNERSHIPS (UNFIP)  
Telephone: (212) 963-6121 · Facsimile: (212) 963-1486

26 July 2000  
Ref.: Tranche VII

Dear Mr. Toepfer,

**Outcome of UNF/UNFIP Project Proposal Review**

We are pleased to inform you that, as a result of the June/July 2000 deliberations of the UNFIP Advisory Board and the UNF Board of Directors, the below mentioned project proposals have been approved for funding:

- ***Millennium Ecosystem Assessment***
- ***International Coral Reef Action Network (ICRAN) – Request for Bridge Funding***
- ***Linking Conservation of Biodiversity and Sustainable Tourism at World Heritage Sites (UNESCO/UNEP)***

Both Boards would like to convey their appreciation to the UNEP team for its efforts in preparing the proposals.

During the course of their review, Board members made some comments regarding the above projects including funding levels, that need to be borne in mind in terms of overall programme development. We are attaching detailed information so that it can be integrated into the project documents. In order to proceed with the implementation on an expeditious manner, we would request that the final project document for the Millennium Ecosystem Assessment be forwarded to us by **2 October 2000**. Given the particularly urgent need to provide bridge funding for the ICRAN initiative, we would request that this project document be forwarded to us as early as possible.

With respect to your project proposal for “Fossil Fuel Subsidies Pilot Project” we wish to advise you that the UNF Board did not recommend funding for the implementation phase of this initiative. The proposal had earlier been endorsed by the UNFIP Advisory Board with significant reservations. Both Boards very much appreciated the effort put into developing the project proposal, but unfortunately, funding was not available to support this project.

Mr. Klaus Toepfer  
Executive Director  
UN Environment Programme

Our Office continues to remain available to facilitate and assist you in your endeavours.

Yours sincerely,

Amir A. Dossal

cc: Mr. Paul Akiwumi, UNFIP Focal Point/Nairobi  
Mr. Jim Sniffen, UNFIP Focal Point/New York

*The David and Lucile Packard Foundation*

December 11, 2000

Office of the President

Mr. Jonathan Lash, President  
World Resources Institute  
10 G Street, N.E.  
Washington, DC 20002

**RE: Grant #2000-14007**

Dear Mr. Lash: *Jonathan*

It is a pleasure to inform you that the Board of Trustees of The David and Lucile Packard Foundation has approved a grant in the amount of \$2,400,000 to the World Resources Institute. This grant is support for the Millennium Ecosystem Assessment, as described in your letter and proposal dated August 12, 2000.

Enclosed are two copies of this Award Letter and Conditions of Grant. Please sign and date one of these sets, and return it to us to the attention of Grants Management. Funds will not be released prior to the receipt of the signed Conditions of Grant. You may keep the other set for your files. Please contact your deputy program director, Mark Valentine, with any questions about this grant. **In all correspondence with us, please refer to the above grant number.**

In addition, we ask that you inform us if there are changes in agency personnel who are important to the administration of the grant, if there are significant difficulties in making use of the funds for the purposes described in your grant proposal, or if the grant funds cannot be expended in the time period set forth in your grant proposal. **You may not use the funds in any way other than as referred to in the first paragraph of this letter and in the attachment unless you receive written permission from the Foundation. Any portion of the grant funds not committed to the purposes described herein must be returned to the Foundation.**

The Foundation will include information on this grant in its periodic public reports and may also refer to the grant in a press release. If you wish to make a public announcement, please consult with the Foundation before doing so.

Your grant is scheduled to be paid via wire as follows:      Reports have been scheduled as follows:

January 2001	\$600,000	Interim Report	November 15, 2001
January 2002	\$600,000	Interim Report	November 15, 2002
January 2003	\$600,000	Interim Report	November 15, 2003
January 2004	\$600,000	Final Report	March 15, 2005

If the payment or reporting schedules present any significant difficulties for you, please contact Mark Valentine as soon as possible.

The Foundation Trustees, Mark Valentine and I are pleased to be able to assist you in this project. We wish you success and look forward to hearing from you.

Cordially,

Richard T. Schlosberg III

RTS/cs

*rec'd  
12/27*

Enclosures: Award Letter, Conditions of Grant

300 Second Street, Suite 200 / Los Altos, California 94022 / tel (650) 917-7206 / www.packfound.org

**The World Bank**  
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT  
INTERNATIONAL DEVELOPMENT ASSOCIATION

1818 H Street N.W.  
Washington, D.C. 20433  
U.S.A.

(202) 477-1234  
Cable Address: INTBAFRAD  
Cable Address: INDEVAS

December 4, 2001

Dr. Walter V. Reid  
Director, Millennium Ecosystem Assessment  
731 N 79th St.  
Seattle, WA 98103

Fax: 206-782-5682

Dear Walt:

The World Bank is contributing to the funding of the Millennium Ecosystem Assessment (MA) in two ways. First, a direct grant of \$500K per year for four years, for a total of \$2 million, second, in-kind support in the form of 15% of my time plus travel costs as co-chair of the Board of Directors. It is also likely that there could be other in-kind contributions in the form of World Bank staff support for the preparation and peer-review of the MA.

A four-year proposal to fund the MA for \$2 million, at \$500K per year, has been submitted to the World Bank's Development Grant Facility (DGF). \$500K has been approved for funding for the first year. Funding for the subsequent three years is contingent upon the continued availability of grant funds at current levels (about \$175 million annually) and review by the World Bank's Environment Sector Board, ESSD Council, the DGF Council and the World Bank's Board of Directors. The goals of the MA project are fully consistent with the evolving priorities of the Environment Strategy and the World Bank's corporate priority on global public goods. Hence assuming successful progress in implementing the project and given that appropriate levels of co-funding have already been secured (DGF rules state that a grant should generally not exceed 15 percent of expected funding over the life of Bank funding) future World Bank funding should be assured.

The minimum in-kind contribution to the MA is 15% of my time over a four-year period, plus travel costs, which translates into US\$ 220K.

Sincerely yours,



Robert T. Watson  
Chief Scientist and Director ESSD

PCA 248423. WUI 04145 FAX (202) 477-8391



## United Nations Environment Programme

برنامج الأمم المتحدة للبيئة • 联合国环境规划署  
PROGRAMME DES NATIONS UNIES POUR L'ENVIRONNEMENT • PROGRAMA DE LAS NACIONES UNIDAS PARA EL MEDIO AMBIENTE  
ПРОГРАММА ОРГАНИЗАЦИИ ОБЪЕДИНЕННЫХ НАЦИЙ ПО ОКРУЖАЮЩЕЙ СРЕДЕ

18 December, 2000

Dear Mr. Reid,

As you are aware, the Millennium Ecosystem Assessment project brief is being prepared as an official UNEP project document. The document clearly shows the UNEP financial contribution of \$800,000 towards the implementation of the Millennium Ecosystem Assessment. This formal reference in the official document format is evidence of the UNEP commitment of \$200,000 per year from the Environment Fund for the anticipated four-year duration of the project.

Although the project is approved for four years, release of funds from the Environment Fund of UNEP will depend on availability of biennial resources in the Environment Fund. Periodic revisions for the project will be issued to account for any variations in the UNEP contribution.

The in-kind contribution, estimated on the basis of staff and resources which will be committed from time-to-time to support the project, is estimated at \$ 100,000 per year to a maximum of \$ 400,000 over the implementation period. The contribution will consist of staff time, DSA and travel costs of UNEP Headquarters and regionally based staff in general support of, and contributing to the implementation of the project. UNEP will also provide access to its regional support infrastructure, information and knowledge resources and, as far as practicable, integrate and coordinate the activities of the MA with the other assessment activities of the environment programme.

Yours sincerely,

T.W. Foresman, Ph.D.  
Director, Division of  
Early Warning and Assessment

Dr. Walter Reid  
Acting Science Director  
Millennium Ecosystem Assessment  
Seattle, WA 98103 USA

Fax: +1-206 782 5662

Division of Early Warning and Assessment – P.O. Box 30552, Nairobi, Kenya • Tel:(254 2) 823231/823516 –  
Fax: (254 2) 82 3943 – E-mail: tim.foresman@unep.org



National Aeronautics and  
Space Administration

**Headquarters**

Washington, DC 20546-0001



DEC 21 2000

YS

Dr. Robert Watson  
Co-Chair, Board of Directors  
Millennium Ecosystem Assessment  
The World Bank  
Room S-5049, 1818 H Street, NW  
Washington, DC 20433

*Bob*

Dear Dr. ~~Watson~~:

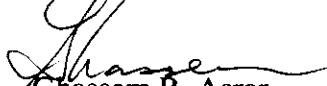
I am pleased to confirm that the National Aeronautics and Space Administration (NASA) will be able to make in-kind contributions to the Millennium Ecosystem Assessment (MA) during the four-year assessment process. Specifically, NASA will work with other U.S. agencies to assemble and provide the first complete set of detailed, up-to-date satellite images of the world's ecosystems from the Terra, Aqua, SeaWiFS/OrbView 2, and Landsat satellites. Meetings of MA organizers with NASA personnel, now being considered for February 2001, will define actual imagery and data sets from these satellites that will be of use to the MA process. NASA is also working with other agencies to make available a global Landsat-7 data set from the 1999-2000 time period as a further contribution to the MA. Finally, NASA will co-sponsor the fall 2001 workshop on "The Contribution of Remote Sensing to the Millennium Ecosystem Assessment."

To provide you with the requested estimate of the value of NASA's expected in-kind contribution to the MA, we have derived and combined estimates from the different satellite missions listed above. These estimates are based on the recurring NASA-specific, data-processing costs to produce data sets of relevance to the MA. They do not take into account the costs to develop, launch, or operate the satellite systems from which these data sets are derived. Thus, the cost for producing land, ocean, and atmosphere products from the Moderate-Resolution Imaging Spectroradiometer (MODIS) on the Terra and Aqua satellites is approximately \$31 million for three years. Production of data sets from the SeaWiFS sensor aboard the OrbView 2 satellite cost approximately \$3 million per year for a total of \$9 million over three years. NASA purchased the 1990-era Landsat data set for a combined cost approaching \$20 million. Thus, an estimate of the "cost" of the data products being made available to the MA from the Terra, Aqua, SeaWiFS/OrbView 2, and Landsat satellites totals \$60 million. The addition of a 1999-2000 Landsat-7 global data set would add approximately \$7 million to this total and would also likely involve other U.S. agencies acting with NASA, perhaps the U.S. Geological Survey given its ongoing operations role in the Landsat program.

Furthermore, NASA's support for the fall 2001 workshop is expected to be roughly \$50,000.

NASA is pleased to be a participant in the upcoming Assessment and stands ready to support its development over the coming year.

Sincerely,



Ghassem R. Asrar  
Associate Administrator  
For Earth Science



United Nations Educational, Scientific and Cultural Organization  
Organisation des Nations Unies pour l'éducation, la science et la culture  
Organización de las Naciones Unidas para la Educación, la Ciencia y la Cultura

**The Assistant Director General for Natural Sciences**

REF.: SC/ECO/

28 December 2000

Dear Dr. Watson and Dr. Zakri,

From the outset, let me congratulate you for the positive news about progress made in the increase of the overall funding commitments related to the Millennium Ecosystem Assessment (MEA) at about 80% of the \$21 million budget.

This letter is to confirm that UNESCO will continue ensuring its in-kind contribution to the MEA in the form of staff participation in the MEA activities. You will recall that, in the MEA proposal to the Global Environment Facility, such an in-kind contribution on behalf of UNESCO, which will complement the in-kind contributions from the other UN agencies participating in MEA (UNEP, FAO, and UNDP), was estimated to US \$30,000 for the 4-year MEA process. This was based on the notion of one individual from UNESCO participating in one MEA Board meeting per year and one or two technical meetings per year (the estimate naturally does not include salary costs etc.). As part of UNESCO's in-kind contribution we also envisage hosting MEA workshops, as appropriate. In addition, we do hope to be able to provide financial support in the order of US\$ 50,000/year to the project costs during the next UNESCO Programme and Budget biennium (2002-2003). As you will appreciate, this will need to be confirmed during the course of 2001.

Yours sincerely,

*Best wishes,*

A handwritten signature in dark ink, appearing to read "Gisbert Glaser".

Gisbert Glaser  
Assistant Director General for Natural Sciences a.i.

Dr. Robert Watson  
Co-Chair  
Millennium Ecosystem Assessment  
World Bank  
1818 H Street, NW, Room S-5049  
Washington, DC 20433  
U.S.A.

Dr. A.H. Zakri, Co-Chair  
Millennium Ecosystem Assessment  
Deputy Vice-Chancellor, Academic Affairs  
Universiti Kebangsaan Malaysia  
43600 Bangi, Selangor Darul Ehsan  
Malaysia

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Natural Sciences Sector  
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联合国  
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ET L'AGRICULTURE

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Y LA ALIMENTACION

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Telephone: +39 0657051

Our Ref.: UN 3/227


Your Ref.:

3 January, 2001

Dear Dr. Watson and Dr. Zakri,

This letter is to reconfirm our earlier commitment that FAO will make an in-kind contribution of US\$30,000 to the Millennium Ecosystem Assessment in the form of staff participation in the Millennium Assessment activities and provision of data and information, as appropriate, in support of the Millennium Ecosystem Assessment projects.

Yours sincerely,



He Changchui  
Chief

Environment and Natural Resources Service

Dr. Robert Watson  
Co-Chair, Millennium Ecosystem Assessment  
World Bank  
1818 H Street, NW  
Room S-5049  
Washington, DC 20433  
U.S.A.

cc: Dr. Walter V. Reid  
Acting Director  
Millennium Ecosystem Assessment  
fax: 00206-782-5682

Dr. A.H. Zakri  
Co-Chair, Millennium Ecosystem Assessment  
Deputy Vice-Chancellor, Academic Affairs  
Universiti Kebangsaan Malaysia  
43600 Bangi  
Selangor Darul Ehsan  
MALAYSIA

United Nations Development Programme



2 January 2001

Dear Dr. Watson and Dr. Zakri,

This letter is to confirm that UNDP will make an in-kind contribution of \$30,000 to the Millennium Ecosystem Assessment in the form of staff participation in the MA activities. We will be reviewing the possibility of other forms of UNDP support to the MA, and will keep you informed.

Sincerely,

A handwritten signature in black ink, appearing to read 'Peter Matlon', is written over a light blue horizontal line.

Peter Matlon

Officer in Charge, Environmentally Sustainable Development Group

Dr. Robert Watson  
Co-Chair, Millennium Ecosystem Assessment  
World Bank  
1818 H Street, NW  
Room S-5049  
Washington, DC 20433

Dr. A. H. Zakri  
Co-Chair, Millennium Ecosystem Assessment  
Deputy, Vice-Chancellor, Academic Affairs  
Universiti Kebangsaan Malaysia  
43600 Bangi  
Selangor Darul Ehsan  
Mayasia

✓CC. Walter Reid, Acting Director, Millennium Ecosystem Assessment



**DIRECTORATE FOR NATURE MANAGEMENT**

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Homepage: <http://www.naturforvaltning.no/>  
Address: N-7485 Trondheim, Norway

Millenium Ecosystem Assessment Secretariat  
Acting Director  
Dr. Walt Reid, 731 N 79th St., Seattle  
WA 98103, USA

Your ref:  
Mail 15 Dec

Our ref:  
Archive code:

Date  
01.01.05

**NATIONAL MILLENIUM ECOSYSTEM ASSESSMENT**

Dear Dr. Reid!

The Norwegian Ministry of Environment has now decided to start the work on a national MEA in Norway, and has asked the Directorate for Nature Management to carry out a Pilot Study during 2001. The intention is to do this National MEA as one of the regional studies under the Global MEA, and to develop and follow methodologies in accordance with the ones adopted here. The Pilot Study will in addition to a first draft short analysis of the ecosystem situation, outline the full scale MEA with budgets and timeline.

Without predicting this outline in detail at this juncture we would anticipate a 2-3 years assessment finishing in 2004. The total costs are also somewhat difficult to predict now, but the full financial and in kind contribution will probably be close to the the amount of US \$ 740.000 that you have anticipated and budgeted for in the GEF proposal.

We are looking forward to the close cooperation with the Global MEA in our endeavours.

Sincerely yours

Berit Forbord Moen  
Acting Director General

Peter Johan Schei  
International Negotiations Director

Copy to:  
Ministry of Environment  
Director General  
Torkel Ramberg, Department for Nature Management

22 December 2000

**In-Kind Support to the Millennium Ecosystem Assessment Programme (MEAP)**

As per the draft Memorandum of Agreement ( MOA) between the Ecosystem Assessment Programme and ICLARM - The World Fish Center, ICLARM will provide in-kind support for MEAP covering the following activities, services and facilities utilization which are normally charged as overhead at rates ranging form 15-25% depending on the extent of utilization:

- Accounting services
- Logistical Services
- Payroll office services
- Personnel office services
- Purchasing office services
- Travel Office Services
- Cash management services, as per ICLARM rules
- Consumables/supplies in accounting, payroll, personnel, and other admin offices listed above
- The ICLARM Library
- Use of research facilities
- Use of conference facilities
- Use of recreational facilities
- ICLARM's Safety and Security Services
- Management time
- Board of Trustees Time

All these services are classified as indirect costs which are normally charged to ICLARM projects on cost recover basis ranging for 15-25%.

We look forward for fruitful collaboration and partnership.

Edward N. Sayegh  
Associate Director General  
Corporate Services

Walt Reid  
Director  
Board of the Millennium Assessment

731 N 79<sup>th</sup> St.  
Seattle, WA 98103  
Tel. 1-206-782-7963  
Fax: 1-206-782-5682  
e-mail: [reid@millenniumassessment.org](mailto:reid@millenniumassessment.org)

Dear Mr. Walt Reid,

I am very glad to inform you that the program of Integrated Ecosystem Assessment of Western China has been approved as a scientific project of our ministry. During the near-future Five-year Plan, it will be funded 1.5 million US\$ by Ministry of Science & Technology of People's Republic of China.

Yours sincerely

*LIU YANHUA*

LIU Yanhua  
Director General

Department of Rural and Social Development  
Ministry of Science & Technology of P. R. China  
15B Fuxing Road, 100862  
Beijing, P. R. China  
Tel. ++86-10-68512634  
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e-mail: [Liuylh@mail.most.gov.cn](mailto:Liuylh@mail.most.gov.cn)



**ICRAF**

## International Centre for Research in Agroforestry

6 September, 2001

Dr. Walter V. Reid  
Director, Millennium Ecosystem Assessment  
731 N 79th St.  
Seattle, WA 98103  
Fax: 206-782-5682

ASB Co-financing for Millenium Assessment

Dear Walt,

The Alternatives to Slash-and-Burn (ASB) programme, has raised as "in-kind" support for the Millennium Assessment effort the following funds.

**USD 500,000** grant to ASB for a study of 'Functional Values of Biodiversity', a collaborative effort between ASB and the Development Research Group of the World Bank from World Bank Trust Funds provided by the Netherlands (referred to as the Bank-Netherlands Partnership Program). Pantropic geographic analysis and other regional and thematic activities under this grant establish the context and strengthen the conceptual framework for ASB as a cross-cutting assessment.

**USD 50,000** grant of core funds from the ASB Global Steering Group to our Working Group on Sustainable Land Use Mosaics for development of landscape level analytical methods to be applied at ASB sites and which help fill methodological gaps that I believe would be needed for a cross-cutting assessment.

**USD 1.76 million**, which is the 2001 budget of the ASB Global Coordination Office plus additional administrative costs incurred by ICRAF as host institution.

I hope the above information will suffice. Please do not hesitate to contact me if you need more information.

Sincerely yours,

Anne-Marie Izac  
Director of Research

Cc: Pedro Sanchez  
Donnis Garrity  
Thomas Tomich  
Tiff Harris  
Laksiri Abeysekera



**Center for Research on Natural Resources and  
the Environment (CNM)**

Stockholm University  
S- 106 91 Stockholm, Sweden

Phone Int +46 8 163665 Fax 6747036  
E-mail [schaffer@cnm.su.se](mailto:schaffer@cnm.su.se)

September 14, 2001

Walter Reid  
Director,  
Millennium Ecosystem Assessment

Dear Dr. Reid,

We are very pleased to be part of the Millennium Ecosystem Assessment (MA) and has raised and will continue to raise funds for the local/regional suburban and urban assessment that we will perform in; Kristianstad Water Kingdom, Southern Sweden; The National City Park, Stockholm; and the Stockholm archipelago.

Our work within the MA is supported through external grants from Swedish research councils and foundations and through university grants to faculty and PhD-students. So far the annual amount set aside to work within the above assessments of the MA corresponds to about 400,000 US\$. We have applications under evaluation and hope to receive an additional 100,000-200,000 US\$ per year, during 4 years.

In addition to the interdisciplinary Center for Research on Natural Resources and the Environment (CNM), individuals at the Stockholm Environment Institute and the Beijer Institute, Royal Swedish Academy will participate in the assessments as well as stakeholders from a diverse set of interest groups and organisations.

With my best regards

Carl Folke  
Director CNM  
Professor, Department of Systems Ecology  
Stockholm University



**Tropical Resource Ecology Programme**  
Department of Biological Sciences  
University of Zimbabwe  
PO Box MP 167  
Mount Pleasant  
Harare, Zimbabwe  
Phone: 263-4-333334  
Email: admin@trep.co.zw

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Friday, September 07, 2001

Walt Reid  
Director  
Millennium Ecosystem Assessment

Dear Walt;

This is to let you know that so far we have raised the following funds, which we are using to initiate Millennium Ecosystem Assessment projects in the Gorongosa – Marromeu complex.

US\$70,000 From the Resilience Alliance – being used for capacity building prior to initializing the assessment.

US\$90,000 From CIFOR. These latter funds are being used to initiate some local level assessments in the site.

We have made good progress in initiating community level contacts and buy in for the assessment as well as initiating the process of team building for those aspects of the assessment that we will undertake around Gorongosa National Park.

Regards

Dr. T.J.P. Lynam  
Research Associate



## Telefax

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Priority: Routine Page 1 of  
Date: 25 October 2001  
To: Dr. Walter V. Reid  
Director, Millennium Ecosystem Assessment  
731N 79th St. Seattle, WA 98103  
fax: 2067825682  
Enquiries to: Development Cooperation Policy Section  
Your ref.:  
If any pages are missing, please call: +47 22 24 30 77/78

### **Norwegian Support to the Millennium Ecosystem Assessment (MA)**

Dear Walt Reid,

Reference is made to previous contact regarding the above mentioned issue. We are pleased to inform you that Norway this year is providing the following support to the MA:

1. NOK 500.000 through UNEP, particularly for the process in Southern Africa.
2. NOK 701.000 through the Directorate for Nature management, Norway, for technical expert input to the MA sub-regional Assessments, particularly in Southern Africa.

In addition Norway is positively considering the proposal from the MA dated 11. July 2001 regarding further support to the Southern Africa sub-regional assessment. A final reply can be expected within a couple of weeks.

Yours sincerely,

Tove Bruvik Westberg  
Deputy Director General

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Postal address:	Office address:	Telephone:	Telefax:	Reference:
PO Box 8114 Dep	7. juni plassen	+47 22 24 36 00	+47 22 24 95 80	Anne Marie Skjold
N-0032 Oslo, Norway	N-0251 Oslo	E-mail: comcen@mfa.no		+47 22 24 36 07

## **ANNEX XIX – TERMS OF REFERENCE FOR CO-EXECUTING AGENCIES**

### Documents Attached:

- A) UNEP Role in the MA (As approved by the MA Board at its July 2000 Meeting)
- B) UNEP - World Conservation Monitoring Centre
- C) Scientific Committee on Problems of the Environment
- D) World Resources Institute in Partnership with Meridian Institute
- E) The International Center for Living Aquatic Resource Management (ICLARM)
- F) Institute for Economic Growth, New Delhi

## A) UNEP ROLE IN THE MA

***Approved by the MA Board July 18, 2000***

As a recipient of core funding for the MA and, more specifically as the implementing agency of the GEF grant to the MA and potential recipient of a grant from UNF for the MA, UNEP will:

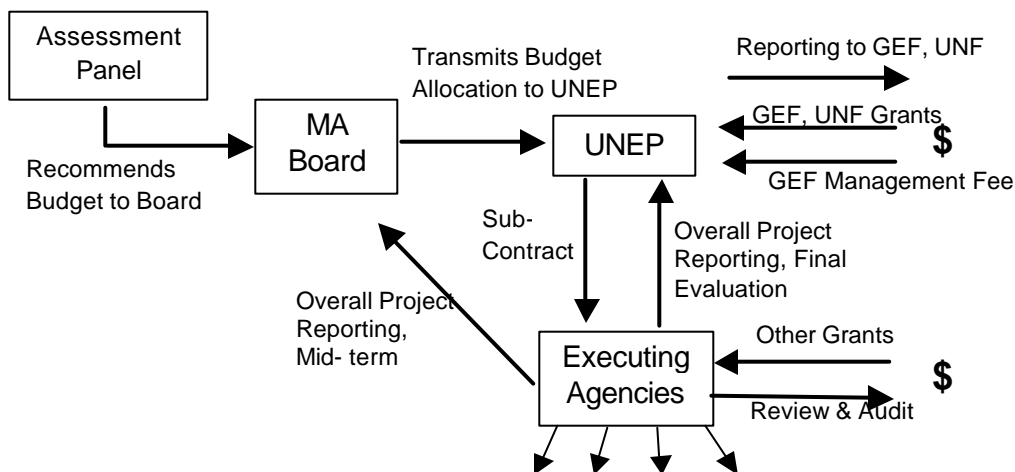
- a. Be represented on the Executive Committee and Board;
- b. Employ the MA's Director, to be co-located with the developing country Board co-chair. UNEP will announce the vacancy (this would be a D-1 post<sup>1</sup>), UNEP and members of the MA Board will interview candidates, and the candidate mutually agreed will be proposed to the full Board for approval. Both the MA Board and the UNEP Executive Director must approve the selection of the Director;
- c. Handle core administrative responsibilities including:
  - i.) sub-contracting of GEF and UNF funds to the co-executing agencies;
  - ii.) tracking the overall MA budget and expenses through the MA director. This will involve monitoring the funds contributed to all MA activities (whether through UNEP or directly to the co-executing agencies), preparing summary budget reports based on the input from the other co-executing agencies, and preparing financial reports for the Executive Committee and Board; and,
  - iii.) handling progress reporting, project monitoring and evaluation for the GEF and UNF funds.

As a co-executing agency of the MA:

- a. UNEP-WCMC will serve the supporting/coordinating role for Working Group #1 (Condition). In this role it will house the coordination staff for the Working Group, and manage its budget; and,
- b. Be directly involved in coordination of data use within and across working groups.

As both an implementing and co-executing agency, UNEP will:

- a. Be a member of the communications working group.



<sup>1</sup> The GEF and UNF project documents list this as an L-5 post and this will have to be submitted as a proposed change to these donors.

## **B) UNEP – WORLD CONSERVATION MONITORING CENTRE**

Terms of Reference for the role of UNEP–World Conservation Monitoring Centre as a Co-Executing Agency for the Millennium Ecosystem Assessment.

### **Definitions**

- a. “Co-executing agency” means an agency formally designated by the Board of the Millennium Ecosystem Assessment to administer one portion of the activities of the Millennium Ecosystem Assessment;
- b. “Board” means the Board of the Millennium Ecosystem Assessment;
- c. “Design phase” means the first 9 months of the MA process during which the detailed workplan and budget allocations will be developed and approved by the MA Board.
- d. “Core MA funding” means funds raised or committed to cover expenses detailed in this Project Document and approved by the Council of the GEF in May 2000 and the Board of the United Nations Foundation in July 2000 or additional funds raised or committed for activities approved by the MA Board as components of the MA;
- e. “Director” means the official reporting to the MA Board and the Executive Director of UNEP who is responsible for managing the substantive and administrative activities of the MA project;

### **Obligations of UNEP-WCMC**

1. As a co-executing agency of the MA, UNEP-WCMC will:
  - a. Provide logistical and technical support for Working Group #1 (Condition) with specific responsibilities to be defined during the design phase of the MA process and approved by the MA Board;
  - b. Consistent with the Board-approved workplan and in consultation with the Director, hire or designate staff who will:
    - i) Coordinate the activities of Working Group #1 and implement portions of those activities as defined by the Board-approved workplan and by the Director;
    - ii) Form part of the “distributed secretariat” of the MA;
    - iii) Report to both the Director of the MA in the Director’s capacity of managing the implementation of the substantive and administrative activities of the MA and to the administration of the co-executing agency in its role in supporting the administrative, logistical and technical activities associated with the “engagement and outreach” activities;
  - c. Handle administrative responsibilities pertaining to the above responsibilities, including:
    - i.) Sub-contracting core MA funding to individuals and institutions carrying out Board-approved activities;
    - ii.) Hiring staff or directly carrying out Board-approved activities;

- iii.) Reporting on financial, administrative, and substantive matters on a quarterly basis to the Board and UNEP through the MA Director;
  - iv.) Participating in required project evaluations;
2. The staff employed by UNEP-WCMC in its role as a co-executing agency of the MA shall not be considered as being officials or staff members of UNEP. UNEP-WCMC, with input from the Director, shall be solely responsible for the performance of the staff as well as their salaries, insurance and any other obligation arising from their employment.
3. UNEP-WCMC may receive core MA funding through sub-contracts from UNEP and also through direct grants from donors which will be handled as follows:
  - a. UNEP-WCMC is responsible for managing all core funding that it receive consistent with the Board approved budget and reporting on a quarterly basis to UNEP and to the Board through the MA Director on the on financial, administrative, and substantive matters;
  - b. UNEP-WCMC with the assistance of the Director is solely responsible for meeting project reporting requirements of donors providing grants of core MA funding directly to UNEP-WCMC;

#### **Obligations of UNEP**

1. UNEP shall provide the following in support of the co-executing agency:
  - a. A Fund Management Officer, placed at the GEF Coordination Office to follow all administrative and financial matters related to the co-executing agency and periodic financial transfers between UNEP and UNEP-WCMC. The Fund Management Officer will also function as the UNEP focal point for liaison between UNEP-WCMC and UNON on matters of fund management and financial support services;

#### **Obligations of the MA Board**

1. The MA Board shall provide the following in support of UNEP-WCMC:
  - a. The Board will approve the overall budget and, through the Director, exercise final authority on the allocation of funds to different activities and co-executing agencies required to produce the products and information that will be produced by the MA;
  - b. Establish the Terms of Reference for the Director and, in conjunction with UNEP, select the Director and arrange for his/her place of employment;
  - c. Select the co-executing agencies that will support the other MA working groups, establish the operational agreements with each of the other co-executing agencies, and assist with outreach, administration, and other tasks;
  - d. Oversee and guide fundraising and ensure that appropriate fiscal management processes are in place within the various executing agencies;

- e. Monitor the progress of the Assessment and approve any major changes to the strategic direction and workplan;

### **Application of the Terms of Reference**

1. These Terms of Reference, the Project Documents, the Board Approved Terms of Reference for: i) the MA Board, ii) the Role of UNEP, and iii) the MA Director (Decision MA-Board 1.2: "Operations, Institutional Arrangements and Organizational Structure and Responsibilities" and Decision MA-Board 1.4: "Board") shall be complementary to each other and be read together as one document. None shall restrict the application of the others.

### **C) SCIENTIFIC COMMITTEE ON PROBLEMS OF THE ENVIRONMENT (SCOPE)**

Terms of Reference for the role of the Scientific Committee on Problems of the Environment (SCOPE) as a Co-Executing Agency for the Millennium Ecosystem Assessment.

#### **Definitions**

- a. Co-executing agency” means an agency formally designated by the Board of the Millennium Ecosystem Assessment to administer one portion of the activities of the Millennium Ecosystem Assessment;
- b. “Board” means the Board of the Millennium Ecosystem Assessment;
- c. “Design phase” means the first 9 months of the MA process during which the detailed workplan and budget allocations will be developed and approved by the MA Board.
- d. “Core MA funding” means funds raised or committed to cover expenses detailed in this Project Document and approved by the Council of the GEF in May 2000 and the Board of the United Nations Foundation in July 2000 or additional funds raised or committed for activities approved by the MA Board as components of the MA;
- e. “Director” means the official reporting to the MA Board and the Executive Director of UNEP who is responsible for managing the substantive and administrative activities of the MA project;

#### **Obligations of SCOPE:**

1. As a co-executing agency of the MA, SCOPE will:
  - a. Provide logistical and technical support for Working Group #2 (Scenarios) with specific responsibilities to be defined during the design phase of the MA process and approved by the MA Board;
  - b. Consistent with the Board-approved workplan and in consultation with the Director, hire or designate staff (or sub-contract funds to other institutions to hire or designate such staff) who will:
    - i) Coordinate the activities of Working Group #2 and implement portions of those activities as defined by the Board-approved workplan and by the Director;
    - ii) Form part of the “distributed secretariat” of the MA;
    - iii) Report to both the Director of the MA in the Director’s capacity of managing the implementation of the substantive and administrative activities of the MA and to the administration of the co-executing agency in its role in supporting the administrative, logistical and technical activities associated with the “engagement and outreach” activities;
  - c. Handle administrative responsibilities pertaining to the above responsibilities, including:
    - i) Sub-contracting core MA funding to individuals and institutions carrying out Board-approved activities;

- ii) Hiring staff or directly carrying out Board-approved activities;
  - iii) Reporting on financial, administrative, and substantive matters on a quarterly basis to the Board and UNEP through the MA Director;
  - iv) Participating in required project evaluations;
2. The staff employed by SCOPE (or by other institutions through sub-contractual arrangements) in its role as a co-executing agency of the MA shall not be considered as being officials or staff members of UNEP. SCOPE (or the institution employing those individuals), with input from the Director, shall be solely responsible for the performance of the staff as well as their salaries, insurance and any other obligation arising from their employment.
4. SCOPE may receive core MA funding through sub-contracts from UNEP and also through direct grants from donors which will be handled as follows:
- a. SCOPE is responsible for managing all core funding that it receives consistent with the Board approved budget and reporting on a quarterly basis to UNEP and to the Board through the MA Director on the on financial, administrative, and substantive matters;
  - b. SCOPE with the assistance of the Director is solely responsible for meeting project reporting requirements of donors providing grants of core MA funding directly to SCOPE;

#### **Obligations of UNEP**

1. UNEP shall provide the following in support of the co-executing agency:
- b. A Fund Management Officer, placed at the GEF Coordination Office to follow all administrative and financial matters related to the co-executing agency and periodic financial transfers between UNEP and SCOPE. The Fund Management Officer will also function as the UNEP focal point for liaison between SCOPE and UNON on matters of fund management and financial support services;

#### **Obligations of the MA Board**

1. The MA Board shall provide the following in support of SCOPE:
- a. The Board will approve the overall budget and, through the Director, exercise final authority on the allocation of funds to different activities and co-executing agencies required to produce the products and information that will be produced by the MA;
  - b. Establish the Terms of Reference for the Director and, in conjunction with UNEP, select the Director and arrange for his/her place of employment;
  - c. Select the co-executing agencies that will support the other MA working groups, establish the operational agreements with each of the other co-executing agencies, and assist with outreach, administration, and other tasks;
  - d. Oversee and guide fundraising and ensure that appropriate fiscal management processes are in place within the various executing agencies;

- e. Monitor the progress of the Assessment and approve any major changes to the strategic direction and workplan;

### **Application of the Terms of Reference**

1. These Terms of Reference, the Project Documents, the Board Approved Terms of Reference for: i) the MA Board, ii) the Role of UNEP, and iii) the MA Director (Decision MA-Board 1.2: “Operations, Institutional Arrangements and Organizational Structure and Responsibilities” and Decision MA-Board 1.4: “Board”) shall be complementary to each other and be read together as one document. None shall restrict the application of the others.

## **D) WORLD RESOURCES INSTITUTE IN PARTNERSHIP WITH MERIDIAN INSTITUTE**

Terms of Reference for the role of the World Resources Institute in partnership with the Meridian Institute as a Co-Executing Agency for the Millennium Ecosystem Assessment.

### **Definitions**

- a. Co-executing agency” means an agency formally designated by the Board of the Millennium Ecosystem Assessment to administer one portion of the activities of the Millennium Ecosystem Assessment;
- b. “Board” means the Board of the Millennium Ecosystem Assessment;
- c. “Design phase” means the first 9 months of the MA process during which the detailed workplan and budget allocations will be developed and approved by the MA Board.
- d. “Core MA funding” means funds raised or committed to cover expenses detailed in this Project Document and approved by the Council of the GEF in May 2000 and the Board of the United Nations Foundation in July 2000 or additional funds raised or committed for activities approved by the MA Board as components of the MA;
- e. “Director” means the official reporting to the MA Board and the Executive Director of UNEP who is responsible for managing the substantive and administrative activities of the MA project;

### **Obligations of WRI in Partnership with the Meridian Institute**

1. As a co-executing agency of the MA, WRI in partnership with Meridian Institute will:
  - a. Provide logistical and technical support for the “engagement and outreach” activities of the MA with specific responsibilities to be defined during the design phase of the MA process and approved by the MA Board;
  - b. Consistent with the Board-approved workplan and in consultation with the Director, hire or designate staff who will:
    - i) Coordinate the activities of the outreach/engagement working group and implement portions of those activities as defined by the Board-approved workplan and by the Director;
    - ii) Form part of the “distributed secretariat” of the MA;
    - iii) Report to both the Director of the MA in the Director’s capacity of managing the implementation of the substantive and administrative activities of the MA and to the administration of the co-executing agency in its role in supporting the administrative, logistical and technical activities associated with the “engagement and outreach” activities;
  - c. Handle administrative responsibilities pertaining to the above responsibilities, including:
    - i) Sub-contracting core MA funding to individuals and institutions carrying out Board-approved activities;
    - ii) Hiring staff or directly carrying out Board-approved activities;

- iii) Reporting on financial, administrative, and substantive matters on a quarterly basis to the Board and UNEP through the MA Director;
  - iv) Participating in required project evaluations;
2. The staff employed by WRI and the Meridian Institute in their role as co-executing agencies of the MA shall not be considered as being officials or staff members of UNEP. The co-executing agencies, with input from the Director, shall solely be responsible for their performance as well as their salaries, insurance and any other obligation arising from their employment.
3. WRI and Meridian Institute may receive core MA funding through sub-contracts from UNEP and also through direct grants from donors which will be handled as follows:
- a. WRI and Meridian Institution are responsible for managing all core funding that they receive consistent with the Board approved budget and reporting on a quarterly basis to UNEP and to the Board through the MA Director on the on financial, administrative, and substantive matters;
  - b. WRI and Meridian Institution with the assistance of the Director are solely responsible for meeting project reporting requirements of donors providing grants of core MA funding directly to the co-executing agencies;
  - c. Where possible, donors will provide funds directly to the specific institution (WRI or Meridian) charged with carrying out particular activities covered by those funds;
  - d. For sub-contracts of core funding from UNEP, WRI will be designated as the lead partner to receive the sub-contract, and UNEP will specify in the grant letter the amount that is expected to be a “pass through” to Meridian, and WRI will transfer those funds with no overhead charges. Meridian Institute will be responsible for all administrative tracking and reporting through WRI for the funds it so receives;
  - e. Similar arrangements to those established under 3(d) can be established with other donors as appropriate;

### **Obligations of UNEP**

1. UNEP shall provide the following in support of the co-executing agency:
- a. A Fund Management Officer, placed at the GEF Coordination Office to follow all administrative and financial matters related to the co-executing agency and periodic financial transfers between UNEP and WRI and Meridian Institute. The Fund Management Officer will also function as the UNEP focal point for liaison between WRI/Meridian and UNON on matters of fund management and financial support services;

### **Obligations of the MA Board**

1. The MA Board shall provide the following in support of the co-executing agencies:
- a. The Board will approve the overall budget and, through the Director, exercise final authority on the allocation of funds to different activities and co-executing agencies required to produce the products and information that will be produced by the MA;

- b. Establish the Terms of Reference for the Director and, in conjunction with UNEP, select the Director and arrange for his/her place of employment;
- c. Select the co-executing agencies that will support the other MA working groups, establish the operational agreements with each of the other co-executing agencies, and assist with outreach, administration, and other tasks;
- d. Oversee and guide fundraising and ensure that appropriate fiscal management processes are in place within the various executing agencies;
- e. Monitor the progress of the Assessment and approve any major changes to the strategic direction and workplan;

### **Application of the Terms of Reference**

1. These Terms of Reference, the Project Documents, the Board Approved Terms of Reference for: i) the MA Board, ii) the Role of UNEP, and iii) the MA Director (Decision MA-Board 1.2: "Operations, Institutional Arrangements and Organizational Structure and Responsibilities" and Decision MA-Board 1.4: "Board") shall be complementary to each other and be read together as one document. None shall restrict the application of the others.

## **E) THE INTERNATIONAL CENTER FOR LIVING AQUATIC RESOURCES MANAGEMENT (ICLARM)**

Terms of Reference for the role of the International Center for Living Aquatic Resources Management (ICLARM) as a Co-Executing Agency for the Millennium Ecosystem Assessment.

### **Article 1**

The Millennium Ecosystem Assessment Program (hereafter, the “Program”) and ICLARM - The World Fish Center agree that international staff of the MA (specifically, the Director) will be the responsibility of the Program including the provision of visa for Malaysia. If a visa is required to be issued through ICLARM the International Staff will be considered as secondment to ICLARM where ICLARM will issue a letter of agreement relating to the secondment conditions and tenure. At any case the International Staff will operate within ICLARM's operating policies and procedures.

The appointment of the required national staff (an Assistant and a Project Officer) will be issued employment contracts by ICLARM in accordance with ICLARM's employment conditions and policies and their full cost will be borne by the Program.

### **Article 2**

When an International Staff assignee from the Guest Program takes up his or her post at the Host Center, she/he will be a Guest Scientist and will be listed in the staff as such by the Host Center. Guest Scientists will assume the responsibilities, obligations and privileges of a scientist of the Host Center, conceded by the Agreement between the host center and country of the headquarters, saving any limitations placed on privileges by the general agreement of the government of the country or any authorized agency/ies thereof. This may include importation of personnel and household effects and vehicles, income tax exemptions, procurement of visas, etc.

### **Article 3**

Nationally Recruited Staff (NRS) newly hired by the Guest Center will be considered as project staff of the Host Center, subject to the relevant Personnel Policies and Procedures for the NRS of the Host Center, particularly the salary scales of the Host Center. For this purpose, The Program agrees that in consultation with the ICLARM Human Resources Division the position under consideration will be classified in accordance with the ICLARM job classification system. An appropriate ICLARM appointment letter shall be issued accordingly.

### **Article 4**

Salaries and perquisite costs of Guest Scientists, and his/her staff, will be the entire financial responsibility of the Guest Programme. The proposed Guest Staff complement (internationally-recruited and nationally-recruited) will be as described in Annex I to these Terms of Reference.

### **Article 5**

Office and laboratory space, other facilities, staff services, supplies, materials, analytical services, etc. will be provided by the Host Center on an as-available and on a cost-recovery basis. Standard or fixed costs, such as rent, will be reviewed and if necessary recalculated

annually in January of each year. ICLARM will provide as in-kind contribution the standard service /management fee of 15% of the on-campus operating budget of the Guest Center, which is administered by ICLARM, to cover the indirect costs that cannot be identified as direct expenses. The details of the financial arrangements are described in Annex II to this Memorandum.

#### **Article 6**

Accommodation: ICLARM does not have its own staff housing, internationally recruited staff will arrange their own housing in Penang as per ICLARM operating policies and procedures.

#### **Article 7**

##### ***Transportation and Parking:***

ICLARM Guest Scientist will have access to designated general parking space. All other vehicles driven by the Program staff may be parked in available open parking areas which ICLARM will identify. ICLARM will have no responsibility for to and from work transportation of ICLARM staff.

##### ***Research facilities, Meetings, Conferences, Workshops, Etc.***

ICLARM's facilities are available on advance request. There will be no charge for the use of such facilities other than any special services required such as an audio-visual technician, additional janitorial services, etc. The Program may also book through ICLARM respective Unit the official visitors of the Program into the designated hotels (at ICLARM's discount). The use of Coffee shop is also available on the same basis as for ICLARM staff.

##### ***Recreational Facilities***

The Program staff will have the same access to the ICLARM recreational facilities as regular ICLARM staff. They may also participate in the ICLARM sports program and use ICLARM on-campus facilities such as tennis courts, gardens etc.

#### **Article 8**

Responsibility for planning, executing, supervising, and reporting the activities of a Guest Scientist will rest exclusively with the Guest Programme. Whatever delegation is made of any of these administrative matters will have to be agreed upon by both Guest Program and Host Center through an exchange of letters which, at any time, may be added and attached to the present agreement.

#### **Article 9**

Copies of annual reports and other periodic scientific reports of a Guest Scientist shall be submitted to the Director General of the Host Center to keep the latter informed of the progress made in the host country.

### **ANNEX 1**

**Millennium Ecosystem Assessment Staff to be Located at ICLARM:**

The Millennium Ecosystem Assessment will assign the following personnel to ICLARM:

- Director for the Program (Guest Scientist), whose name will be provided to ICLARM in a separate Memorandum from the Executive Director of UNEP.
- Up to two nationally recruited staff (NRS), whose titles listed in the separate Memorandum from the Guest Program.
- The Memorandum from the Guest Program will also designate the Director as the Program senior Officer in Residence.

## **B) INSTITUTE FOR ECONOMIC GROWTH, NEW DELHI**

Terms of Reference for the role of the Institute for Economic Growth (IEG), New Delhi as a Co-Executing Agency for the Millennium Ecosystem Assessment.

### **Definitions**

- f. “Co-executing agency” means an agency formally designated by the Board of the Millennium Ecosystem Assessment to administer one portion of the activities of the Millennium Ecosystem Assessment;
- g. “Board” means the Board of the Millennium Ecosystem Assessment;
- h. “Design phase” means the first 9 months of the MA process during which the detailed workplan and budget allocations will be developed and approved by the MA Board.
- i. “Core MA funding” means funds raised or committed to cover expenses detailed in this Project Document and approved by the Council of the GEF in May 2000 and the Board of the United Nations Foundation in July 2000 or additional funds raised or committed for activities approved by the MA Board as components of the MA;
- j. “Director” means the official reporting to the MA Board and the Executive Director of UNEP who is responsible for managing the substantive and administrative activities of the MA project;

### **Obligations of UNEP-WCMC**

- 1. As a co-executing agency of the MA, IEG will:
  - a. Provide logistical and technical support for the Response Options Working Group with specific responsibilities to be defined during the design phase of the MA process and approved by the MA Board;
  - b. Consistent with the Board-approved workplan and in consultation with the Director, hire or designate staff who will:
    - iv) Coordinate the activities of the Response Options Working Group and implement portions of those activities as defined by the Board-approved workplan and by the Director;
    - v) Form part of the “distributed secretariat” of the MA;
    - vi) Report to both the Director of the MA in the Director’s capacity of managing the implementation of the substantive and administrative activities of the MA and to the administration of the co-executing agency in its role in supporting the administrative, logistical and technical activities associated with the “engagement and outreach” activities;
  - c. Handle administrative responsibilities pertaining to the above responsibilities, including:
    - i.) Sub-contracting core MA funding to individuals and institutions carrying out Board-approved activities;
    - ii.) Hiring staff or directly carrying out Board-approved activities;

- iii.) Reporting on financial, administrative, and substantive matters on a quarterly basis to the Board and UNEP through the MA Director;
  - iv.) Participating in required project evaluations;
2. The staff employed by IEG in its role as a co-executing agency of the MA shall not be considered as being officials or staff members of UNEP. IEG, with input from the Director, shall be solely responsible for the performance of the staff as well as their salaries, insurance and any other obligation arising from their employment.
3. IEG may receive core MA funding through sub-contracts from UNEP and also through direct grants from donors which will be handled as follows:
  - a. IEG is responsible for managing all core funding that it receives consistent with the Board approved budget and reporting on a quarterly basis to UNEP and to the Board through the MA Director on the on financial, administrative, and substantive matters;
  - b. IEG with the assistance of the Director is solely responsible for meeting project reporting requirements of donors providing grants of core MA funding directly to IEG;

#### **Obligations of UNEP**

1. UNEP shall provide the following in support of the co-executing agency:
  - a. A Fund Management Officer, placed at the GEF Coordination Office to follow all administrative and financial matters related to the co-executing agency and periodic financial transfers between UNEP and IEG. The Fund Management Officer will also function as the UNEP focal point for liaison between IEG and UNON on matters of fund management and financial support services;

#### **Obligations of the MA Board**

1. The MA Board shall provide the following in support of IEG:
  - a. The Board will approve the overall budget and, through the Director, exercise final authority on the allocation of funds to different activities and co-executing agencies required to produce the products and information that will be produced by the MA;
  - b. Establish the Terms of Reference for the Director and, in conjunction with UNEP, select the Director and arrange for his/her place of employment;
  - c. Select the co-executing agencies that will support the other MA working groups, establish the operational agreements with each of the other co-executing agencies, and assist with outreach, administration, and other tasks;
  - d. Oversee and guide fundraising and ensure that appropriate fiscal management processes are in place within the various executing agencies;
  - e. Monitor the progress of the Assessment and approve any major changes to the strategic direction and workplan;

## **Application of the Terms of Reference**

1. These Terms of Reference, the Project Documents, the Board Approved Terms of Reference for: i) the MA Board, ii) the Role of UNEP, and iii) the MA Director (Decision MA-Board 1.2: “Operations, Institutional Arrangements and Organizational Structure and Responsibilities” and Decision MA-Board 1.4: “Board”) shall be complementary to each other and be read together as one document. None shall restrict the application of the others.

## **ANNEX XX – TERMS OF REFERENCE FOR PERSONNEL**

**Post:** Project Director, Millennium Ecosystem Assessment Project

**Level:** L-Post (Equivalent to D-1)

**Functions:**

Under the overall supervision of the Executive Director of the United Nations Environment Programme (UNEP) and under the direction of the Millennium Assessment (MA) Board, the Project Director shall take overall responsibility for directing, managing and guiding the implementation of the Millennium Ecosystem Assessment project. More specifically, the Project Director shall discharge the following functions:

1. Formulate and recommend policies and strategies to the MA Board and Executive Committee for the implementation of the project, in particular regarding:
  - a. Establishment of the various operational components of the project;
  - b. The development of an overall management plan for the project.
2. Direct and supervise the implementation of the management plan for the project by:
  - a. Liaison with the Director of the UNEP Division of Environment Information, Assessment and Early Warning (DEIAEW) on substantive matters on a regular basis;
  - b. Liaison with authorities of institutions hosting various components of the distributed Secretariat servicing the project;
  - c. Liaison with the UNEP/GEF Coordination Office and UNEP/UNF focal point regarding matters of relevance to the Global Environment Facility and the UN Foundation;
  - d. Reporting to and participating as an ex officio member in the meetings of the Millennium Assessment Board and the Board Executive Committee;
  - e. Participating in appropriate meetings of the scientific panels and committees;
  - f. Managing the execution of the project on a day to day basis.

In discharging these functions the Project Director will take overall responsibility for:

1. Managing the implementation of the Millennium Ecosystem Assessment process by -
  - a. Preparing the management implementation plan and any necessary revisions for the assessment process;
  - b. Coordinating the execution of substantive activities of the MA process;
  - c. Monitoring the progress of implementation of the MA and recommend changes and modifications as needed to the MA Board, the Board Executive Committee and the respective working groups;
  - d. Preparing substantive and financial summaries and reports, including budgetary proposals and amendments for consideration by the MA Board and Executive Committee.
2. Guiding and supporting the work of the MA Board, Executive Committee and the regional and thematic working groups and focal points by -
  - a. Serving as an ex officio member of the MA Board and the Board Executive Committee;
  - b. Ensuring efficient implementation and servicing of MA Board and Executive Committee meetings and overseeing the preparation of records of the Assessment;
  - c. Contributing to the substantive design of the millennium assessment as a member of the Assessment Panel and Design Committee;

- d. Coordinating the activities of the various working components of the process and ensuring the transfer and sharing of experiences and information between them;
  - e. Convening and organising as appropriate, meetings of the various working groups and teams;
  - f. Providing specialised assistance and expertise as required, in analysing information gathered by various contributing experts and institutions for the provision of additional expertise in the application of an agreed assessment methodology and process.
3. Managing interactions with external entities including the media and potential additional donors and partners and ensure responsiveness to governments as well as coordinate with the work of other international organisations, non-government organisations and scientific institutions by:
- a. Serving as a member of the Communications Group and, consistent with the strategy developed by that group, taking responsibility for various aspects of (a) the communication of the MA process to external audiences during the course of the MA process, and (b) communicating the findings of the Assessment when concluded;
  - b. Serving as a member of the committee tasked with the preparation of synthesis materials for specific target groups (e.g. summary for policy makers) arising from the Assessment;
  - c. Undertaking the lead role in liaising with potential donors, co-financiers and other potential contributors to mobilise resources and raise funds for the Assessment and participating in appropriate meetings of such bodies;
  - d. Participating in relevant international meetings to publicise the work of the Assessment and secure extended participation and support for the project;
  - e. Organising press briefings from time to time;
  - f. Organising meetings with relevant stakeholders;
  - g. Consistent with the Communications Strategy for the project, directing the establishment and maintenance of a web site and coordinating the publication and dissemination of all relevant MA products and findings.
4. Management of the MA Secretariat and Project Office at ICLARM, Penang, Malaysia by providing:
- a. Overall guidance and supervision to the work of the professional and support staff of the MA Secretariat;
  - b. Oversight of the distributed secretariat servicing each of the MA working group coordinators;
  - c. Oversight of the financial management of the MA activities in accordance with the overall management plan, preparation of annual budgets, financial reports to UNEP and co-financing organisations, and finalisation of any necessary contracts and agreements;
  - d. Monitoring project progress and reporting on substantive matters to the Board, the Board Executive Committee working group chairs and UNEP, as appropriate and as required under the terms of the project document.

**Qualifications:**

Advanced degree, preferably Ph.D., in environmental or natural sciences, or resource management and economics.

Experience at a senior management role in a government, non-profit or private organisation for over five years. Experience in international scientific research, assessment or international sustainable development policy activities for at least ten years. Demonstrated excellence in

management including the oversight of research, complex project management and associated management of budgets. Demonstrated track record of successful fundraising for social or natural scientific research or assessment activities. Demonstrated record of excellence in academic or applied scientific or policy research. Demonstrated ability to communicate effectively with peers and managers at all levels and to interact with tact and diplomacy with senior officials and governments and other organisations. Good presentation and writing skills. In addition, experience with international environment assessment or scenario development and familiarity with one or more of the international ecosystem related conventions would be highly desirable.

Excellent command of spoken and written English; working knowledge of other United Nations languages an asset.

### **MA Board-Approved Terms of Reference for MA Director**

The above UNEP terms of reference were drafted to implement the following Terms of Reference Approved by the MA Board on July 18, 2000 (MA-Board 1.2.6).

In the role reporting to the MA Board and Executive Committee, the Director:

- Contributes to the substantive design of the MA as a member of the Assessment Panel and Design Committee;
- Is responsible for overall MA budget management. More specifically, in close consultation with the Assessment Panel, the Director will present the overall MA budget to the Board for approval at its second meeting and will direct the allocation of funds to particular tasks and co-executing agencies consistent with that budget. The individual co-executing agencies are responsible for management of their funds consistent with the Board approved budget and following the further guidance of the co-chairs of the working group that the executing agency is supporting;
- Is responsible for ensuring coordination across the working groups during the course of the MA and ensuring relevant material is available from the Assessment for the preparation of the final synthesis products;
- Is responsible for monitoring progress in implementation of the MA and recommends changes and modifications as needed to working group chairs, the MA Executive Committee, and the MA Board;
- Is an ex officio member of the Board Executive Committee and of the Board;
- Is responsible for efficient Board and Executive Committee meetings and oversees the preparation of records of the Assessment;
- Is a member of the committee tasked with preparing synthesis materials from the Assessment (e.g., the Summary for Policymakers);
- Is a member of the communications working group, and consistent with the strategy developed by that group responsible for various aspects of: a) the communication of the MA process to external audiences during the course of the MA and b) communication of the findings of the Assessment when it is concluded;
- Takes the lead on fundraising for the MA.

In the role reporting to the Executive Director of UNEP, the Director:

- Oversees reporting to donors for core MA funding received by UNEP, including the GEF grant and the potential UNF grant.

In the role reporting to both the ED of UNEP and the MA Board

- Is responsible for management of the operations of the MA; and,
- Oversees the "distributed" secretariat – each of the working group coordinators reports in a matrix structure to both the Director and to the working group chairs.

**Post:**           **Programme Officer, Millennium Ecosystem Assessment Project (UNEP-Nairobi)**

**Level:**           L-Post (P3/P4 equivalent: 50% funding provision)<sup>1</sup>

**Functions:**

Under the overall guidance of the Director of the Millennium Ecosystem Assessment and the direct supervision of the Chief, Assessment Branch, UNEP Division of Early Warning and Assessment (DEWA), the Programme Officer will assist the Director and members of the Assessment Panel in carrying out their responsibilities for the implementation of the Millennium Ecosystem Assessment project. More specifically, the Programme Officer shall discharge the following functions:

1. Assist and support the Project Director and members of the Assessment Panel by:
  - a) Serving as a technical liaison between the activities of the MA and other UNEP assessment related activities, including the Global International Waters Assessment, World Resources Report, and the Global Environment Outlook;
  - b) Facilitating access for the Assessment Panel and MA working groups to data and information held by UNEP or obtainable through UNEP;
  - c) Helping to coordinate the data and information support activities to ensure effective integration between the MA and UNEP;
  - d) Helping to coordinate the outreach and engagement activities to ensure effective integration between the MA and UNEP;
  - e) As needed, helping to prepare background documents and helping with reporting, peer review and other MA activities;
2. Participate in appropriate meetings of the Assessment Panel, Working Groups, or Advisory Groups to ensure effective coordination of MA and UNEP activities;
3. Under the overall guidance of the Director, coordinate the compilation and submission of quarterly and other reports to UNEP and to MA donors and serve as a liaison with UNEP-GEF and UNON personnel in this regard. Specifically, the incumbent will -
  - a) Ensure that executing agencies (EA) are provided with proper direction on UNEP, GEF and other policies and procedures for execution, financial accounting and reporting related to projects under their direct supervision;
  - b) Monitor progress in project implementation through solicitation and review of periodic reports of EA and supporting institutions and the preparation of quarterly, semi-annual and annual reports of progress;
  - c) Identify opportunities for, and initiate actions to secure partnerships and collaborations with other agencies, the private sector, NGOs or other programme units in the implementation of the MA.
  - d) Ensure smooth functioning of administrative support to the project and related sub-projects from UNEP to offices of the distributed MA secretariat.
  - e) Preparing and/or reviewing various project reports, periodic progress reports, project status reports, financial, terminal and evaluation reports and briefing notes;
  - f) Answering correspondence and requests from the general public for technical information and advice;

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<sup>1</sup> To be decided and finalized in discussion with Executing Agency/ies.

- g) Assigning and reviewing work provided by clerical and secretarial staff.
- h) Performing other related duties as required.

**Qualifications:**

Advanced degree in environmental or natural sciences, resource management or economics.

Experience with environmental assessments and environmental data and information analysis and management. Demonstrated ability to communicate effectively with peers and managers at all levels. Excellent writing skills. International experience an asset.

Excellent command of spoken and written English; working knowledge of other United Nations languages an asset.

## ANNEX XXI –

### A. STAP ROSTER TECHNICAL REVIEW

1. This project is based on the idea that the well-being of humans directly depends on the capacity of ecosystems to provide goods and services. Goods include food and fiber derived from crops, timber, or fish. Ecosystem services include water purification, carbon sequestration, amelioration of climate, and maintenance of the genetic library among others. Not all the goods and services produced by ecosystems currently have a market value but it is expected that most of them will have one as natural resources become more scarce.

2. This project has two specific objectives: (1) helping to bring the best available information and knowledge on ecosystem goods and services to bear on policy and management decisions, and (2) capacity building at all levels to undertake integrated ecosystem assessments and to act on their findings. The project will provide three different products. First, it will provide an accurate description of the current extent, trends, pressures, condition, and value of the different ecosystems of the world. This represents the baseline information for the year 2000 for the area covered by different ecosystems, land-use patterns, their condition, value, and pressures affecting them. Second, the project will provide a set of plausible scenarios for how the quantity and quality of ecosystem goods and services may change in coming decades in different regions of the world. This second part of the project will highlight trade-offs in the ability of the ecosystems to produce goods and services. There are trade-offs in the functioning of ecosystems and therefore actions aimed at enhancing some products may decrease the output of other products. For example, it is possible that deforestation required in order to expand agricultural area and food production will result in a reduction in the ability of the region to provide other goods and services such as preservation of genetic diversity. The Millennium Assessment (MA) will provide a better understanding of the trade-offs among goods and services trying to identify win-win actions that maximize the total ecosystem output. Third, the Millennium Assessment project will assess the response options for different ecosystems. The purpose of this third section is to identify policy, institutional, and technologies that could improve the management of ecosystems. It is important to highlight that this proposal emphasizes that the results of the project will not be prescriptive. Results of the project will aid in the making of decisions by identifying costs and benefits of the different options but it will not prescribe policy.

3. In my opinion, there is an urgent need for a project such as the Millennium Assessment. The rapid growth of human consumption per capita and human population is drastically affecting ecosystems and their ability to provide goods and services that are vital for human well-being. Humans have transformed 40-50% of the ice-free land surface changing forests, wetlands, and grasslands into croplands or urban areas. Humans dominate one third of the net primary production, and use 54% of the available freshwater (Vitousek et al. 1986, Postel et al. 1996). Fossil fuel combustion and deforestation have increased CO<sub>2</sub> by 30 % and more than doubled the concentration of methane and other trace gases that will drastically affect the climate of the earth (Kattenberg et al. 1996). All these changes in the environment along with changes in the mobility of humans and trade patterns have led to substantial changes in biological diversity. Human activities have already threatened between 5 and 20% of the species in different groups of organisms and current rates of extinction are 10 to 100 times greater than pre-industrial rates (Pimm et al. 1995).

4. The need for more information to manage natural resources to satisfy the increasing demand for ecosystem goods and services is clear. A large number of national and international

bodies are in urgent need of more freely-available information to manage ecosystems in a sustainable fashion. However, up to this point, the approach has been mostly sectoral. Consequently, institutions such as the Intergovernmental Panel on Climate Change (IPCC), the Global Biodiversity Assessment, to name just two, have focused just on one aspect of the problem, although there is a clear recognition of the interdependence of ecosystem processes. The Millennium Assessment project is thus unique because it focuses on ecosystems and takes into account the multiple interactions among processes and the consequent trade-offs in the ability to provide different goods and services for humans. The Millennium Assessment will provide the needed information to improve the management of ecosystems and will highlight gaps in our understanding and in data availability. Gap identification is the first step towards focusing the scientific endeavor to address them.

5. The implementation of the Millennium Assessment project has four components. The project is designed to take into account the global, national, and regional scales. The first component consists of the development of the methodology for conducting integrated assessments at the global, national and regional scales. A report will be produced guiding the specific activities required to achieve the goals of the Millennium Assessment. The second component will be the Global Assessment of the extent and current conditions of ecosystems, development of scenarios, and the evaluation of response options. The second component will yield three specific products, the global assessment of ecosystem condition, regional and global scenarios, and a summary for policy makers. The third component will consist in a series of regional, national, and local assessments. Ten assessments are proposed at these scales with 3-4 at each level. Clearly, these few catalytic assessments at detailed scales will not cover all the ecosystems of the world at the scale of interest. However, they will serve as example and stimulate the development of similar assessments in other regions and nations of the world. The regions, nations, and ecosystems for these catalytic assessments are not mentioned in the proposal. However, the criteria for selection are well-defined and ensure that the assessments will encompass a broad variety of ecosystems. These assessments will play an important role in capacity building since stakeholders and scientists from the regions and nations will participate in the development of the detailed assessments. The fourth component is related to communication and outreach. The project suggests a continuous outreach strategy that will not wait until final products are ready and that will play an important role in capacity building.

6. It is important, in my opinion, to ensure a geographical and gender balance in all four components of the project. A global assessment requires a balanced representation of experts as much as the national and regional catalytic assessments. A correct understanding of the interplay of the different ecosystems distributed across the globe is absolutely necessary to achieve an unbiased global assessment.

7. In synthesis, the implementation plan of the Millennium Assessment is very well-designed, ensuring that the project objectives will be met satisfactorily. It is important to highlight that the Millennium Assessment is demand-driven and in that sense is distinguished from previous approaches. The different stakeholders have been involved in the design of the project from the outset and have had a clear role shaping the structure and organization from the general philosophy to the more specific implementation of the project.

8. The project emphasizes the issue of capacity building. An important benefit that will last far more than the project itself is the number of people who will be trained. Different training procedures are planned within the framework of the project. Also, people will be trained collectively in a way that involves different stakeholders.

9. The Millennium Assessment project is very cost effective in achieving the GEF objectives. First, it complements current sectoral efforts carried out by national and international organizations. Second, there is no other project that would provide the holistic and integrated approach proposed in the Millennium Assessment. The catalytic assessments will have clear national and local benefits by providing information that will be of use in managing biodiversity and optimizing the production of several goods and services such as food, fiber, water, or climate amelioration.

10. The feasibility of the project in its current design is very high. First, important users of the Millennium Assessment products and stakeholders have been involved in the design of the project and they are incorporated as members of the board directing the project. All the major international organizations dealing with the issues of sustainability, biodiversity, climate change, and global change are currently part of the Millennium Assessment project. Second, a project entitled Pilot Analysis of Global Ecosystems that was carried out by several leading institutions has just finished and served as a planning phase for the development of this proposal. Third, leading scientists from all regions have been engaged in the Millennium Assessment process with successful outreach to the rest of the scientific community by several means such as an article in the journal *Science* and a workshop at the Third World Academy of Sciences.

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## **B. RESPONSE TO STAP REVIEW**

1. The Technical Review is supportive of the proposed project's global significance, feasibility, and eligibility. The review indicates that the project is well designed and will be able to meet its objectives. It stresses the urgent need for a project of this nature in light of the rapid pace of changes being made in earth's ecosystems and the reliance of humans on the goods and services provided by these ecosystems. It notes that while many national and international bodies are in urgent need of better information on ecosystem goods and services, most of the information now available is highly sectoral in nature. It stresses that the demand-driven nature of this project distinguishes it from other approaches and it supports the emphasis given to capacity building through the project components. Finally, the review notes that while the project complements current sectoral efforts carried out nationally and internationally, there is no other project that would provide the holistic and integrated approach of the MA.

2. As recommended by the Technical Review, it is important that the project ensures a geographical and gender balance in all four project components (Methodology, Global Assessment, Catalytic Assessments, Communications). The need for geographical and gender balance in the working groups is stressed in paragraphs #68 and #78 and the need for similar balance on the Board is noted in paragraph #74.

## C. RESPONSE TO COUNCIL

Switzerland and France provided comments and questions. The extensive comments from Switzerland fall into several different categories. In a number of instances the concerns raised by Switzerland were already being taken into account in the project design but this was poorly explained in the original project document. We have added additional paragraphs to the project document to provide greater clarity in these cases. This applies to questions a, b, c, e, f, g, j, and k below. Question (d) asks for specific information on co-financing from UNEP, which is provided below. We disagree with the point raised in question (h) questioning the optimism about developing indicators of the condition of goods and services. As indicated in our response, our experience with the now-completed "Pilot Analysis of Global Ecosystems" indicates that such indicators can be developed for many ecosystem goods and services. We also disagree with the point raised in question (i) that the process will not find acceptance among developing countries. In fact, the process seems to be most readily accepted among developing countries because of its focus on the "goods and services" of ecosystems and thus its focus on issues directly relevant to development needs. Finally, we disagree with the point raised in question (l) that the organizational structure is overly complex and unworkable. Initial Board and Executive Committee meetings have already been held and decisions have been made efficiently. The distributed secretariat arrangement has been carefully designed and builds on the model used during the exploratory phase and on the model used by IPCC. Finally, we believe that whatever additional administrative burdens are created by such an organizational arrangement are more than offset by the benefits of the partnership that it facilitates and demonstrates. In summary, these comments have helped to add clarity to the project description but by no means call into question any of the basic goals, approaches, or arrangements for the MA process.

The comments of France are now being addressed through the progress that has now been made on co-financing and through steps taken to more fully involve French-speaking experts in the process.

Detailed replies to the individual Council comments are provided below, along with references to changes made in the project document.

### **Comments from the Constituency of Australia, New Zealand and Republic of Korea**

Constituency supports the project proposal.

### **Comments from Switzerland**

*The proposed Millennium Assessment is a noble attempt to develop a globally acceptable and applicable methodology for integrated ecosystem evaluation. Based on catalytic assessments of model areas on a regional, national and local scale the project will promote, test and disseminate the data collected during this process in the hope that the process be replicated elsewhere. The global assessment is expected to form the basis for predictive ecosystem modeling and wise policy decisions on land and resource use worldwide and to serve as a capacity building model.*

*The corresponding STAP review provides a good summary of the proposal with an unconditional endorsement. The proposal is well presented and formulated. It takes advantage*

*of trying to bring together the numerous sectoral, institutional, and international efforts addressing optimum land and resource use management on a quantitative and qualitative level. Although the proposal seems to meet the principles of the GEF programming framework (crosscutting) in principle, there are major concerns to be summarized as follows.*

*a. The proposal insufficiently addresses the formidable and unpredictable dynamics of ecosystems that are in a constant flux of changes and evolution due to the multitude of natural and man-caused processes. Assessments therefore reflect the status of an ecosystem at the time of the assessment (i.e., static assessment), providing insufficient quality input into the data set for predictive models.*

We fully agree with the comment about the nature of ecosystem change and that this creates problems when assessments are conducted only as “snap-shots” of single periods in time. The MA however is not designed to provide only a snapshot of conditions over a short period of time. This emphasis is clarified in the project document through the addition of paragraph 41 on p.16. While the MA does in part seek to provide such a ‘snap shot’ for the year 2000, it addresses this concern in three ways. First, the assessment will include time-series data. Thus, the conditions measured in 2000 will be placed in the context of historical changes in condition. Satellite data sets are now available for the 1970s, 1980s and 1990s, and other sources of information can also help to provide this type of trend information. Second, the Assessment is explicitly designed to provide the first comprehensive dataset that can be used for subsequent time series analysis. In other words, part of the rationale for undertaking the MA is exactly to provide the information that will enable this concern to be better addressed in the future. Currently, we do not have adequate and comparable time series data for the array of ecosystem-related information that is relevant to policy and management choices. Some comparable data can be analyzed as noted above, but the MA will provide essential information that can be used in more comprehensive assessments in future years. Third, nearly one quarter of the emphasis of the MA will be devoted to “scenario” analysis. Any rigorous attempt to forecast future conditions of goods and services must necessarily take into account both the predictable and unpredictable features of ecosystems. This portion of the assessment will thus help to identify those ecosystem attributes that are highly unpredictable but also will help to identify features of ecosystems that can be effectively forecast for periods of years or even decades.

*b. The proposal does not provide solutions to differences in ecosystem assessment between “data rich and data poor sites”; neither does it address problems in standardizing inventory scales and quality difference in available data sets (i.e., WCMC, UNEP, FAO, etc.). If current multi-million dollar investments in developing countries and industrialized nations are unable to homogenize and unify approaches to environmental management, how can this be achieved on a global scale by this project?*

The specific approaches that will be used to address problems of standardizing inventory scales and quality differences in available datasets will be an important focus of the design phase of the project. A paragraph has been added to the discussion of the methodology component to clarify this point (paragraph 39, p. 15). In general, though, by adopting a multi-scale approach rather than the more traditional approach of carrying out an assessment at a single scale (whether that

be global or national) the MA seeks to establish a core methodology that can be applied at any scale with any data resolution but that allows for greater resolution where data are available. At the same time, the MA recognizes that at any scale an assessment will be most useful to decision-makers and managers at that scale and they will have unique needs. Thus, the process won't try to homogenize and unify the entire approach and instead will provide sufficient flexibility for the assessments at various scales to be maximally useful at those scales. The balance between standardization enabling comparison across scales and across time, and flexibility enabling responsiveness to user needs will be established during the design phase, with input from the various users. Importantly, the MA does not seek to homogenize and unify approaches to environmental management, recognizing that the policies, institutions, and technologies that will be most useful in a particular nation or location are likely to be unique to that setting. The MA does seek to increase access to information about available policies, institutions, and technologies that might be adopted.

*c. One of the major concerns is that this effort does not appear to be designed to be sustained (paragraph 64): what then is its purpose? How to justify a one-time expenditure of great magnitude if the capital investment and results respectively cannot be sustained. Scientists, politicians, resource specialists and nations at large always have pursued and always will pursue their own agenda, especially regarding a controversial subject such as the environment and the ecosystem approach to land- and resource use management. Furthermore, there may just be too many stakeholders and too many conflicting interests in land- and resource use (socially, culturally and economically) involved for this project to be truly successful.*

It is expected that the project will be repeated (p. 27, para. 64) and the project is designed with this in mind. Further information clarifying the expectation that the process will be repeated and explaining why this proposal doesn't include a follow-on assessment is provided in a new paragraph (para. 65). In particular, the project will focus on baseline measurements for the year 2000 that will allow comparison in future years and will undertake scenario and forecasting exercises that can be validated in future years. This project has not built in an on-going capacity for repeating the assessment for two reasons. First, given the time-course of ecosystem change, an appropriate interval for repeating the full assessment is likely to be anywhere from 5 to 10 years (since many changes will be difficult to detect over smaller time intervals). Rather than building a single institutional capacity for continuing the assessment which might be lost if there is a gap of this length between assessments, the ESC chose to invest in strengthening a number of institutions that could then readily assume similar roles in a subsequent assessment even if such a gap existed. Second, it is the strong belief of the ESC that the Assessment must prove its utility to the intended user audience. If the assessment is highly valued by the users then there will be little difficulty in obtaining the financial resources and scientific community participation to repeat the process.

The central role of UNEP in coordinating the partnership undertaking the MA also will enable the process to be repeated if it passes this test of utility. The sustainability of environmental assessments is a core focus of UNEP and UNEP has with partners invested heavily over the years in the global State of the Environment reporting processes and in the Global Environment Outlook. The MA will strengthen these processes by helping to reduce the piecemeal approach

to data collection and assessment that of necessity has been relied on in these activities. Just as an international effort was able to develop a universal soil description that has been successfully used to allow comparison and interpretation between various soil classification systems, the MA should help to promote similar standardization in other areas of relevance to policy-makers needs. Thus, even in the event that the full MA process is not repeated in its current form, UNEP will be able to internalize the results and approach of the process within other global cooperative assessment processes in future years.

The number of stakeholders involved in the process is both a strength and weakness of the MA. To undertake a fully integrated multi-scale assessment that will actually be used by its intended audience, all of these stakeholders are essential. At the same time, it will be difficult to balance the many and sometimes conflicting needs and interests of the stakeholders. For this reason, a substantial effort will be devoted throughout the process to engagement with the various stakeholders to ensure that their guidance and needs are reflected in the process and that the results will find a receptive audience.

*d. It should be explained how this proposed project fits in the GEF-UNEP Strategic Partnership and why it is not at least co-financed by UNEP core resources.*

The project is not formally part of nor is it linked with the current UNEP/GEF strategic partnership approved in 1999 by Council.

UNEP is providing \$200,000 per year (\$800,000) from its own resources into the process and will make a substantial in kind contribution as well. However, the project should be seen within the concept of GEF complementarity. UNEP allocates some 24% of its current budget to assessment and assessment related information activities. Other supporting agencies, including the GEF, also invest substantially in assessments (GIWA, etc). UNEP has partnerships and operational structures that will be used in the Millennium assessment process (the in-kind component could be considerable). The MA would in fact be complementary to, and be an incremental additional cost, to the amounts spent annually by UNEP, the World Bank, UNDP, FAO and UNESCO (among others). The MA thus serves to draw together such efforts and results so that the products of these institutions can better meet their own specific needs.

*e. The objectives of the proposal are globally important, but highly complex. It is doubtful that the proposed approach will deliver the promised results. The project focuses on the development of a methodology (which may or may not be adopted by the global community) and the catalytic assessment of designated model areas. The proposal is not designed to be sustained. This implies that one of the major outcome -the experience from the assessment of the designated sites- is likely to remain a one-time event which will not and cannot address the unpredictable dynamics of the world's very diverse ecosystems. In this light it is questionable whether the formidable investment in this project should be made at all.*

As discussed above, this specific project will not continue past 2005, but the process is fully designed with the expectation and intent that it will be repeated if it proves useful to users. (See para. 64.) A major investment in the development of a methodology is being made and all of the key relevant institutions and

technical experts will be involved. While some elements of the methodology may not stand the test of time, it is highly likely that many aspects will prove useful and be used in the future, given that this is the most comprehensive effort yet made to develop an ecosystem assessment methodology. (Certainly, the 'baseline' data assembled in this project will be used as a reference for future years.) The catalytic assessments comprise approximately one-third of the project. A major emphasis will also be given to the global assessment component. Because of the number of individuals, institutions, and nations that will be exposed to and help to develop and implement both the global and catalytic assessments, the experience gained from these assessments will be used even if the full MA process is not repeated. As stressed above, however, the expectation is that the process will be repeated but first it must pass the test of utility.

*f. It is not understood how the MA can direct global priorities based on a data set from a few model areas. Historically, land- and resource use decisions are made by politicians in response to the demands of constituencies, not by scientists and global institutions. In summary, the proposed MA will probably become just another high profile activity with limited impact and negligible global consequences.*

The sub-global components of the MA process are not intended to serve as "models" from which the overall global findings are derived. Additional explanation for the structure of global and sub-global assessment activities has been added in para. 44. The MA includes both a global assessment and a set of catalytic sub-global assessments. Global priorities can be derived from the global component of the process and the global component can respond to the specific assessment needs that the Convention on Biodiversity, Convention to Combat Desertification, and Wetlands Convention (Ramsar) ask the MA process to meet. As the commentator notes, however, most ecosystem-related decisions and prioritizations are not made globally but rather at sub-global scales. This was a major justification for the inclusion of the catalytic assessments as a component of the process. These sub-global activities will be able to inform decisions at the scale where they are conducted. And, if they succeed in catalyzing similar processes in other communities and nations they will also contribute to decisions in those regions.

At the global scale, the impact of the MA findings on the general public and civil society should also not be underestimated. The ability of national decision-makers to take action on ecosystem-related issues is typically enhanced when the public is informed and supportive. The MA fits in with the programmes of the sponsoring agencies (including the World Bank, UNDP, UNDP, UNEP, FAO, UNESCO, etc) and should be seen as providing information that will be accessible (public domain) to the international community, governments, and civil society.

*g. The project design seems to have evolved from numerous meetings involving politicians and ivory-tower scientists, although the proposal claims true representation of all constituencies in the development process. It appears that too little attention was given to the private sector as a driving force of the global economy.*

We have added a paragraph explaining the involvement of the private sector, NGOs, and civil society in the project formulation (see para. 27). The World Business Council on Sustainable Development (WBCSD) actively represented the private sector on the Exploratory Steering Committee. The draft plan for the MA was vetted by members of the WBCSD prior to its endorsement of the resolution calling for the establishment of the MA. The plans for the MA were also presented and discussed at the World Economic Forum in January 1999. Mr. Henry Schacht, the current CEO of Lucent Technologies, a Fortune 500 company, is a member of the MA board. Three additional members of the private sector will be invited to join the full MA Board.

The Exploratory Steering Committee also had representation of NGOs (WRI, IUCN, Missouri Botanical Garden, and International Institute of Ecology) and additional NGOs were represented on the Advisory Group. The Board includes representatives of NGOs (WRI, IUCN, International Institute of Ecology), grassroots organizations (Greenbelt Movement), and indigenous peoples.

*h. The method section provides little insight into the proposed development and validity of numerical quality indices for ecosystems with global applicability. This is of special significance in the light of the challenge faced by scientists and institutions worldwide to overcome practically insurmountable hurdles with respect to quantitative and qualitative assessments of biodiversity, ecosystem understanding and appreciation. This is without even mentioning the multifaceted goods and services of and/or the influence of man on natural and modified ecosystems. The optimism about "state-of-the-art" global ecosystem indicators and the process of the MA is not shared (paragraph 23).*

A key component of the exploratory phase of the MA involved an ecosystem assessment (the "Pilot Analysis of Global Ecosystems" or PAGE) conducted by WRI, UNEP, World Bank, UNDP, and IFPRI with oversight from the MA Exploratory Steering Committee. PAGE was conducted in part to test whether data were available at a global scale to allow an assessment of the condition of ecosystems in terms of their capacity to provide various goods and services. The results of this study are now being released in a series of reports through World Resources Institute and the summary is published as Chapter 2 in *World Resources 2000-2001*. The PAGE studies were conducted through a different approach than will be used for the MA (and relate only to the work of Working Group #1 of the MA) but still provide a useful assessment of the capability to undertake such a process. In general, PAGE found that data availability for measuring condition of goods and services was spotty. For a number of goods and services of most direct importance to people (food, water, health), good indicators could be developed for many ecosystems. For others, global data were unavailable. The experience with other assessment processes (such as the IPCC) suggests that there is merit in undertaking assessment even when all of the data are unavailable for the very reason that by demonstrating to policymakers the importance of data gaps in areas relevant to policy decisions greater support is generated for the monitoring and research needed to fill those gaps. The MA will no doubt be able to report more condition measures than PAGE, but the fact that there will be gaps for some goods and services is thus not necessarily a liability for the process.

*i. Although it may be possible to standardize the assessment approach (paragraph 25), it seems less likely for this approach to find global acceptance. This applies in particular to eastern countries and many nations of the developing world where priorities tend to focus on survival issues, in disregard of environmental concerns.*

Thus far, feedback through the consultations has suggested that the approach being proposed is very well received in most developing countries and slightly less well received in some developed nations because of the focus on human needs rather than on environment “in its own right”. The “goods and services” conceptual framework of the MA was selected because it addresses ecosystem issues from the standpoint of “why people should care”. Most people care about ecosystems as a source of food and water and as a factor influencing human health. Many people also care about the biodiversity in these ecosystems (as demonstrated by the existence of the Convention on Biological Diversity). By focusing on the impact of ecosystem change on these and other goods and services, the MA directly addresses the survival and development issues most relevant to developing countries. While these issues are also relevant to industrialized nations, the economies of these nations are less directly linked to ecosystem goods and services. Moreover, some individuals in developed nations have criticized the MA for being too “anthropocentric” (even though by virtue of the inclusion of biodiversity as an issue being addressed by the MA it is not strictly anthropocentric). In the end, while the approach will most directly suit the needs of developing nations, our expectation is that it will also provide a framework that meets needs in industrialized nations and will help to raise the level of awareness in industrialized nations of the importance of these issues. Already, one industrialized nation – Norway – plans to implement the approach.

*j. The proposal highlights the identification of "data gaps" as one "inherent product" of the global assessment (paragraph 15). However, these data gaps are widely known already, so how is this major investment 'additional', how is it justified?*

This has been clarified by way of a footnote added to para. 15. As indicated by the commentator, the list of environmental data and information needs that have been identified by scientists and institutions is a lengthy one. Yet, the experience with other assessment process suggests that when a compelling case can be made to policymakers that filling a particular data gap will actually improve decision-making rather than just aid scientific research the resources can more readily be mobilized to establish the monitoring and research needed to fill that gap. For example, massive investments have been made over the past decade in research and monitoring needed to solve key climate issues that were identified by the IPCC as areas of scientific uncertainty highly relevant to policy choices. The MA will not simply list all data gaps, but instead will help policy makers to prioritize those types of information that, if obtained, would most directly aid resource management and policy decisions.

*k. The process will be designed to be repeated at regular intervals; however, there is no indication anywhere in the proposal on how this can be sustained financially (paragraph 18).*

As noted above, it is the belief of the ESC that if the process proves sufficiently useful to decision-makers there will be little difficulty in mobilizing the resources on a 5-10 year interval to repeat the process. However, at this time, before the

process begins it would be extremely difficult (and unwise) for donors to commit to repeating the process.

*I. The proposal requests a very complex organizational structure to be established (and to be abandoned on termination of the MA after 4 years), too complex to become operational. The administrative body will be busier with meetings and member election processes than trying to get the project off the ground.*

The Board has already met and key decisions regarding member election, choice of the location for the Director, and selection of three of the co-executing agencies have been completed prior to the process being formally launched. Although appearing complex, the organizational arrangement is no more complicated than a small private sector international company. After the design phase, four different “divisions” (the four working groups and their chairs) will be responsible for producing specific products. Each division will have a budget and their funds will be managed by their support institution (the co-executing agency). The divisions will report quarterly to the director who will report to the Board, donors and to UNEP. To ensure coordination, the division heads (the co-chairs) will meet as a group with the Director and the Chairs of the Assessment Panel. The Board will oversee this operation, put into place the various systems of quality control (the peer review process) needed to ensure that the products are high quality, and ensure that the products are shaped to meet consumer demands.

This type of organizational architecture is far better suited to the needs of this process than the traditional approach of having the process centralized in a single organization. It also is modeled on the process used by the IPCC, which also has a distributed secretariat and works effectively. If the process were centralized in a single organization it would be a much less effective partnership and would not be able to take full advantage of the assets and networks of the many organizations that will be centrally involved in the process under the current arrangement. This type of distributed process has, in effect, already been in operation during the course of the work of the Exploratory Steering Committee and it has worked smoothly and effectively.

### **Comments from France**

*This global project to describe the status of the world’s various ecosystems, scenarios depicting their evolution, and intervention options will meet a clearly-established need.*

*The remainder of the financing packages does not appear to have been determined yet.*

At the time of the submission of the project for consideration by the GEF Council, the co-financing had not been finalized but strong indications of support had been obtained from several donors. At the current time, nearly 80% of the financing has been committed and the prospects for obtaining the remaining financing are very promising.

*Very few French-speaking experts are included in the list provided.*

This was a shortcoming in the exploratory phase of the process and is being addressed in the start-up of the project. Corinne Lepage, former Minister of Environment of France, has agreed to join the MA Board. French-speaking experts will be well-represented in the first technical design meeting and we anticipate that with the stronger presence on the Board and in the initial meetings a more appropriate balance will be readily achieved throughout the MA process.

## D. RESPONSE TO UN FOUNDATION COMMENTS

*A key element that makes this effort attractive is the combination of a unique UN institutional partnership catalyzing a process that involves the UN while serving to network international expertise that is not in the UN system. At the same time, UNF sees a risk that because much of the funding will be flowing through a single entity (UNEP) this will give the process the perception of being a project of only that one institution. Thus, a key concern for UNF is how UNEP will take steps to ensure that it is seen to be the catalyst of a process rather than the 'lead organization' or the primary implementer of the project.*

The Exploratory Steering Committee, the MA Board, and UNEP also recognized this issue as a concern. A number of steps have been taken by the Board and UNEP to ensure that the MA is, and is perceived to be, a process supported and facilitated by a broad partnership of UN and other agencies that engages the leading experts from around the world, whether they are located in Universities, NGOs, or governmental or UN agencies. At the same time, the Board and UNEP have taken steps to ensure efficiency in the administration of the project and to enable UNEP to effectively serve as a catalyst and coordinator of the partnership. More specifically:

- a. Internally within the MA process and with the various donors, UNEP's role has been very clearly articulated as one of several co-executing agencies and, like the other agencies, guided by decisions of the MA Board. UNEP has stated (in response to questions from the GEF Secretariat in March 2000) that "UNEP is not the 'lead executing agency' but a co-executing agency as described on the cover page [of the GEF project document]." In that same response UNEP agreed with the GEF Secretariat's expectation that "other agreements, besides the role of UNEP as a co-executing agency, reached through past Steering Committee and future Board meetings, where UNEP is also a member, will be binding." Similarly, the specific responsibilities of UNEP in its various roles (as the implementing agency of the GEF grant and recipient of the UNF grant; as a co-executing agency of the MA) have been agreed to by the MA Board (See Annex XIX.A – UNEP Role in the MA.)
- b. Decisions taken by the MA Board and Executive Committee have reinforced the partnership nature of the MA process. For example, while the MA Director will be a UNEP employee, he or she will be based at one of the CGIAR Centers and the specific responsibilities of the Director have been clearly stated with respect to his/her reporting to the UNEP Executive Director and to the MA Board. (See Annex XX, page XX-3). The secretariat of the MA will not be based at a single institution but instead be distributed among the various co-executing agencies.
- c. Externally, the role of UNEP as a catalyst and coordinator is being clearly communicated. The MA project materials indicate that "The secretariat for the project will be distributed among the various executing agencies and coordinated through the United Nations Environment Programme."

- d. Because this partnership structure does add complexity to the operations of a process like the MA, steps are being taken to ensure that the MA Board, UNEP and the MA secretariat will be able to coordinate the process efficiently. For example, in addition to the UNEP staff responsible for administering the grants flowing through UNEP, the MA Board has agreed to place a Program Officer (half time) at UNEP to ensure effective integration of the MA with other UNEP assessment activities.

## ANNEX XXII: LIST OF ACRONYMS

CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CEOS	Committee on Earth Observation Satellites
CGIAR	Consultative Group on International Agricultural Research
CLIVARA	Climate Change, Climatic Variability and Agriculture in Europe: An Integrated Assessment
CNN	Cable News Network
COP	Conference of Parties
CSD	Commission on Sustainable Development of the United Nations
ESC	Exploratory Steering Committee (of the Millennium Ecosystem Assessment)
FAO	Food and Agriculture Organization of the United Nations
FCCC	Framework Convention on Climate Change
GCOS	Global Climate Observing System
GEF	Global Environment Facility
GEO	Global Environmental Outlook
GIWA	Global International Waters Assessment
GIWA	Global International Waters Assessment
GOOS	Global Oceans Observing System
GTOS	Global Terrestrial Observing System
IA	Implementing Agency for the Global Environment Facility
ICLARM	International Centre for Living Aquatic Resource Management
IDRC	International Development Research Center
IIED	International Institute for Environment and Development
IFPRI	International Food Policy Research Institute
IGBP	International Geosphere Biosphere Programme
IGBP-DIS	International Geosphere Biosphere Programme Data and Information System
IGOS	Integrated Global Observing Strategy of the Committee on Earth Observation Satellites
IHP	International Hydrological Programme
IIASA	International Institute of Applied Systems Analysis
IISD	International Institute for Sustainable Development
IOC	International Oceanographic Commission
IPCC	Intergovernmental Panel on Climate Change
IPEC	International Program on Ecosystem Change
IUCN	World Conservation Union
IUFRO	International Union of Forestry Research Organizations
LTEEF-II	Long-term Regional Effects of Climate Change on European Forests
LTER	Long Term Ecological Research Network
MA	Millennium Ecosystem Assessment
MAB	Man and the Biosphere Programme
NASA	National Aeronautics and Space Administration of the US Dept. of Commerce
OECD	Organization for Economic Cooperation and Development
PBS	Public Broadcasting System
SADC	Southern Africa Development Community
SCOPE	Scientific Committee on Problems of the Environment
SIDA	Swedish International Development Agency
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational Scientific and Cultural Organization

UNF	United Nations Foundation
US AID	United States Agency for International Development
WBCSD	World Business Council for Sustainable Development
WCMC	UNEP-World Conservation Monitoring Centre
WCRP	World Climate Research Programme
WHO	World Health Organization
WWD	World Water Development Report