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ANNUAL REVIEW OF THE STAP ROSTER OF EXPERTS

(JULY 1999 – JUNE 2000)

(Prepared by the Scientific and Technical Advisory Panel)

Annual Review Of The Stap Roster of Experts

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Prepared by the Scientific and Techncial Advisory Panel (STAP) Secretariat of the Global Environment Facility (GEF)

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STAP Secretariat
United Nations Environment Programme

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PREFACE

It gives me great pleasure to present the *Annual Review of the STAP Roster of Experts*. This report constitutes a review of the use and management of the STAP Roster of Experts which became operational in April 1996. The Annual Review is being undertaken consistent with the Operational Guidelines governing the use and management of the Roster.

This report was prepared by the STAP Secretariat with input from the STAP members.

Prof. Madhav Gadgil
STAP Chairman

Executive Summary

The Annual Review of the Roster is undertaken by the STAP Secretariat at the end of each financial year (FY) and presents a picture of the use and management of the roster in the past FY and of the quality of the reviews. It is based on inputs provided by the Implementing Agencies on the roster expert reviewer's performance and the review of the reviewers by STAP.

In FY00, the number of STAP Roster experts from developing countries who reviewed projects reviewers accounted for 28% of the total experts used. This marks an increase in the use of experts from developing countries over the first two years of the use of the roster which accounted for 6% in FY97 and 18% FY98. This year's results give an indication that the trend of the increased use of developing country experts is taking root. Notwithstanding this improvement in the use of developing country experts, 57% of the reviewers used in FY00 were used in previous years. An analysis of the use of the roster over the last 4 years reveals that 85 experts or 21% of the original 423 were used to review 217 project proposals. The repeated use of experts can be explained to an extent by the risk associated with selecting a reviewer who has never reviewed a GEF project proposal and who may have little knowledge of the GEF. This "GEF exposure" barrier is preventing a more optimal use of the roster, as experts who have GEF experience are preferred over experts who do not possess the experience, even if their experience matches the project review requirements.

Another issue which arises out of the "review of the reviewer" identified by STAP, is the inability of the reviewer to cover all dimensions of a given project, particularly for complex projects, since experience has shown that it is unreasonable to expect one reviewer to review all aspects and components of a proposal with equal attention and competence. As a means of ensuring the scientific and technical soundness of GEF projects, STAP is recommending that consideration be given to the use of at least two roster experts for a complex project, one should be an expert with the necessary credentials who has not been used before. This would have the effect not only of enhancing the quality and comprehensiveness of the reviews of projects but would also build the capacity of the roster. With respect to this recommendation, one of the Implementing Agencies has requested that STAP provide assurances that roster experts be given some kind of training and/or familiarization with the GEF. This recommendation, however, has financial implications over and above the current resources allocated to STAP.

The need has been highlighted for at least minimal detail in the final project brief on how proposed models will work and how complex activities will be accomplished. This request for information is very important and needs to be given attention as it gives the roster reviewers the opportunity to assess the potential strength and weakness of the proposal. This point is closely related to observation made by the Panel, that unless the projects include information on the science underpinning the project, a roster reviewer's ability to express an opinion about the adequacy of a proposal is severely limited.

Another issue raised by the Panel is the need for the selected experts, to have, whenever possible, intimate knowledge of and familiarity with the actual situation on the ground, as well as with the cultural and socio-economic realities of the country in which the intervention is designed. Although the reviewers generally possess the necessary specialized technical knowledge to give an opinion on the scientific and technical aspects of a project, it is generally recognized that their knowledge of the local context is often insufficient. The use of a second reviewer from the country or region of the project would address this shortcoming.

The report also provides information on the progress made to-date on the establishment of an interactive database as well as the process of filling the gaps in the Roster as identified by the Implementing Agencies. Also annex to the report are the Annotations to the Generic Terms of Reference governing the operations of the STAP Roster Reviews. These annotations will become operational during this current financial year (FY01).

1. Introduction

The STAP Roster of Experts has been operational since FY 1996[1]. In October 1997, Addendum 1 of the Roster of Experts, containing 55 experts, was published, bringing the total number of experts on the Roster to 423, 40% of which are from developing countries.

During FY00, the STAP Secretariat commenced the process of updating the Roster database. As a result, 14 experts have been removed from the Roster bringing the total number of experts in the roster database to 409. The roster experts that have been removed have either deceased, joined the United Nations or have indicated that due to retirement or workload they no longer wish to be on the roster.

During FY00, the management of the roster was further enhanced with the launching of the STAP web site. The main element of the new roster management system is the establishment of an Internet web site with dynamic web pages for accessing the STAP Roster of Experts Database. The web site provides the facility whereby experts can update their CVs on-line, and conduct database searches. In addition, new entries can be submitted on-line.

Since it was launched, the user-friendliness of the new management system and its security updating facility were enhanced resulting in a reduction of the time and effort required from the experts to make changes in the CVs. STAP intends to further expand its web services in FY01.

Now that the Roster database has been updated, and given the growing demands in GEF operations for additional expertise (i.e. biosafety, persistent organic pollutants, agrobiodiversity etc) efforts will be directed towards an expansion of the roster. The STAP Secretariat is currently soliciting submissions of CVs from experts in well-defined areas of expertise through its networks, STAP members and their networks and the Implementing Agencies. It is anticipated that the selection and screening process for the new experts will be completed by March 2001. Careful consideration will be given to the profiles of the new experts to ensure they have the necessary operational experience required for review of GEF activities. In addition, an orientation process will be established for the new entrants as experience has shown that experts without GEF experience or training on GEF operations are usually not selected by the Implementing Agencies to review GEF projects.

This year's annual review analyses the use and quality of the roster for FY00 as well as for the last four years. It reports on the information flow between the roster users and STAP and provides information on the proposals to enhance the quality of the roster. STAP is pleased with the progress made by the Implementing Agencies' with respect to the increased use of roster experts from developing countries, which accounted for 28% of the roster experts used in FY00.

The main issues arising from the STAP review of the reviews for FY00 are: firstly, the need for an adequate level of detail in the project briefs on how the proposed models will work and how complex activities will be accomplished. This is necessary in order to give the roster reviewers

[1] See GEF: STAP Roster of Experts, Version l, Scientific and Technical Advisory Panel (STAP) of the Global Environment Facility, October 1996

the opportunity to assess the potential strengths and weaknesses of the proposal. This is closely related to the observation made by both the roster experts and the Panel of the need to provide information on the science underpinning the project. Secondly, the need for the selected experts to have intimate knowledge of and familiarity with actual situation on the ground as well as with the cultural and socio-economic realities of the specific locality and/or country where the project is being implemented. Generally, the overall quality of the reviews was considered good and their value significant in terms of ensuring an objective independent expert review.

2. Analysis of the Use of the Roster by the Implementing Agencies

In accordance with the guidance provided by the GEF Council[2], the selection of the roster expert for the mandatory review of GEF full-sized projects is undertaken by the Implementing Agencies as part of their operational responsibilities in the GEF project cycle. STAP's role on the other hand is to contribute to ensuring the scientific soundness and technical quality of GEF projects through independent reviews and objective scientific and technical advice. The analysis of the use of the roster for FY00 was greatly facilitated by the availability of electronic versions of both the project documents and roster reviews. The next phase is to work with the Task Managers in the Implementing Agencies to complete the performance evaluation questionnaire electronically which is an integral part of the performance evaluation mechanism. The questionnaire is now available on-line.

2.1 Use of the Roster during FY99

In FY00 55 projects were reviewed by 39 STAP roster experts. The 55 projects were divided over the four focal areas as follows: 24 in Biodiversity, 21 in Climate Change, 6 in International Waters, and 3 in Ozone. One project was a multiple focal area project. Twenty (20) of the projects originated from the Latin American and Caribbean area, thirteen from Asia, eleven from sub-Saharan Africa, three from North Africa and the Middle East, and three from countries with economies in transition. Two projects were global in scope.

Twenty eight per cent (28%) of the reviewers, including the ozone experts, came from developing countries, and 2.5% from Eastern Europe (1 person). There were no significant differences between the Agencies with respect to the use of experts from developing countries. This is positive as it gives an indication that the trend of an increased use of developing country experts has begun to take root. The figure of 28% constituted a considerable increase of the use of developing country experts over the first two financial years; namely 6% in FY97 and 18% in FY98. STAP welcomes the progress made by the Implementing Agencies in increasing the use of the roster of experts from developing countries, and encourages them to continue this practice.

The geographical distribution of the roster experts selected for project review in FY00 was as follows: 65% were nationals from the Western Europe and Others Group (WEOG), which comprises Europe, USA and Canada; 14% came from Latin America and the Caribbean, 9% from Asia (Australia and New Zealand are included in the Asia group), and 6% from Africa. For

[2] Global Environment Facility: Terms of Reference of the Scientific and Technical Advisory Panel (STAP), Mandate, Composition and Role; GEF/C.6/Inf7, October 6, 1995, Washington, D.C.

the purpose of the review, the officially designated UN groupings were used to classify the different groups by nationality.

Figure 1 shows the distribution by nationality of the roster reviewers, excluding the four ozone experts, three of them not being on the roster.

Fifty seven per cent of the roster experts selected to undertake reviews during FY00 were used previously by the Implementing Agencies. One reviewer was used 6 times in FY00 by the same Implementing Agency. Another three were used three times each.

The main reason given for repeated use, as was the case in previous Annual Reviews, relates to the time allocated for review of the final project brief. In order to minimize any uncertainty about the quality and acceptability of a review the tendency is for the Implementing Agencies to use an expert known to them, rather than one that is unknown. Implementing Agencies are reluctant to take the risk of choosing an "unknown" expert who may produce an unacceptable review, causing a delay in project submission, and instead prefer experts who have an adequate understanding of the GEF and who can produce reviews of an acceptable quality.

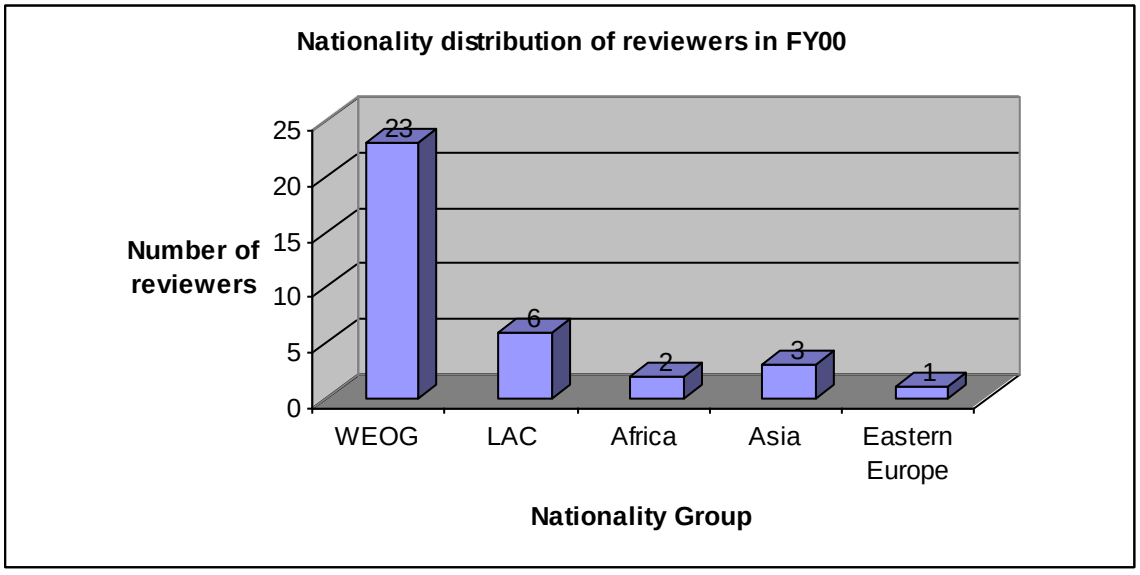

Fig.1. Geographical Distribution of the Reviewers in FY00.

2.2 Analysis of the Use of the Roster over the last four financial years

Out of the 423 experts originally on the roster, 85 experts or 21% reviewed 217 projects submitted to bilateral meetings during the past four financial years. One expert from the addendum to the roster made available in 1997 was used in FY00. Of the 85 roster experts used by the Implementing Agencies, 29% came from developing countries, as follows: 8 from the Latin American and Caribbean (LAC) region, 14 from Asia, 8 from Africa, and 1 from Eastern Europe. Currently the roster comprises 35 experts from the LAC region, 91 from Asia, 58 from Africa, and 15 from Eastern Europe.

The pattern of use of the roster experts over the past four years of operation differs between the focal areas. For example, on average an expert in the Climate Change focal area is used 3.4 times (i.e. 20 experts reviewed 68 projects), in Biodiversity 2.7 times, and in International Waters 1.3 times. From the cross-cutting projects only four roster experts were used in four years.

Despite the "under utilization" of the roster experts, an analysis of the range expertise of the current roster experts when compared with the increasing number of areas being addressed by the GEF reveals a shortage of expertise in a number of specific areas. These areas include, but are not limited to agrobiodiversity, sustainable use of forests, biosafety. In addition, there are "intensively used" areas such as renewable energy where there is a need to expand the pool of roster of experts. In the case of the latter, only a small group of current roster experts possesses the right combination of expertise, covering technical, economical and institutional aspects, for the type of GEF projects that are being formulated to some extent. This to some extent explains the repeated use of the same renewable energy experts.

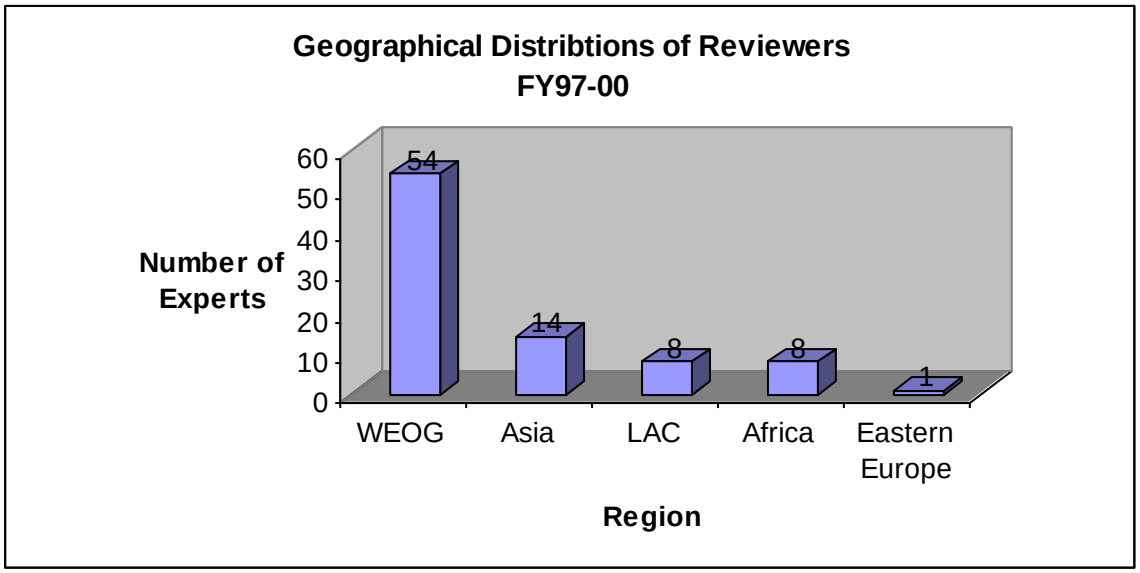

Fig. 2. Geographical Distribution of the Roster Reviewers for four financial years (FY97- FY00)

Another factor affecting a more optimal use of roster experts relates to the perception that many roster experts are not sufficiently familiar with GEF procedures and operations. This "GEF exposure" barrier is preventing a more optimal use of the roster: experts who have GEF experience, are preferred over experts who do not possess that experience, even if their expertise matches the project review requirements better.

To address this issue, at least one of the Implementing Agencies has requested that STAP provide assurances that roster experts, particularly the new ones which will be added to the roster be given some kind of training and/or familiarization with the GEF. This would diminish the risk associated with engaging experts who have never been used before. STAP supports this recommendation which, however has financial implications over and above the current resources allocated to STAP.

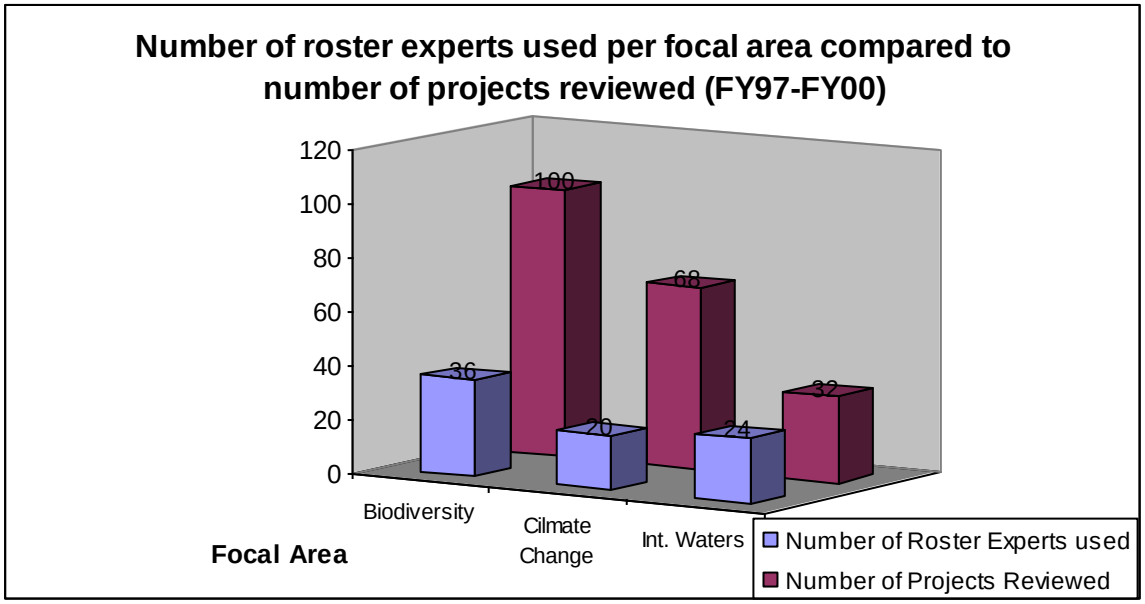

Fig. 3. Number of roster experts used compared to number of projects reviewed in four financial years (FY97-FY00)

3. Expansion of the Roster

As outlined in the Annual Review of the Roster of Experts for FY99, the gaps in expertise in the roster identified by the Implementing Agencies can be partly attributed to the new and emerging areas being addressed by the GEF, such as agrobiodiversity, biosafety, carbon sequestration, coral reefs, fisheries, dryland biodiversity, sustainable use of forests, transboundary issues associated with pesticides and freshwater, integrated land and water management and transport. In addition, in the renewable energy field additional experts are required in areas such as regulatory frameworks, energy policy power sector reform and utilities. The Panel and the Implementing Agencies have also expressed the need to include experts with experience in the social aspects of projects. Therefore, a special effort will be made to find experts with a social science background.

In addition, with the operationalization of the GEF Targeted Research policy, experts are now required to review proposals which fall outside the expertise of current STAP members. As the type of expertise required to review targeted research proposals, is in some instances, quite different from the expertise needed to review normal GEF projects, STAP will select the appropriate list of experts for inclusion in the roster in those areas identified as priority areas for targeted research.

To fill the gaps, the STAP Secretariat has begun to solicit CV submissions through the Panel and its networks, global and regional networks, institutions and the Implementing Agencies. The experts will have to meet the criteria set out in the Operational Guidelines of the roster. After screening and selection by the Panel and taking into account the need for a balanced

geographical composition, the roster database will be updated to include the additional experts. It is anticipated that the screening and selection process for the new roster experts will be completed by March 2001.

Careful consideration will be given to the profile of the experts to ensure that their experience meets the needs of the GEF.

4. Quality of the Reviews

A quality assessment of the reviews is undertaken by both the Task Manager who selected the reviewer and the STAP members. Standard evaluation questionnaires are completed by the Task Managers and submitted to the STAP Secretariat for analysis. In addition, a review of the reviewers is undertaken by STAP members on an annual basis: they rate the review and make project and portfolio specific comments.

4.1 Issues raised by STAP members in relation to the added value and quality of the reviews

The issues raised by the Panel members in FY00 were similar to those raised in FY99. In particular, a call is being made for at least minimal detail in the final project brief on how proposed models will work and how complex activities will be accomplished. This information is very important and needs to be given attention as it gives the roster reviewers the opportunity to assess the potential strengths and weaknesses of the proposal. Several reviewers highlighted this as a shortcoming in their reviews. More than general statements like "community participation will be ensured", "local institutions will be strengthened", or "a monitoring system will be put in place" was requested by many reviewers. Unless some detail of the "how" is provided, and the technical aspects are described, a substantive, the depth of a technical review is limited. This shortcoming is closely related to another observation made by the Panel, that unless projects include information on the science underpinning the project, a roster reviewer's ability to express an opinion about the adequacy of a proposal is severely limited. STAP members also observed that roster reviewers rarely make comments on the contributions and impacts made by the science and technology elements in the proposal.

Another major point raised relates to the need for the selected experts, to have, whenever possible, intimate knowledge of and familiarity with and the actual situation on the ground, as well as the cultural and socio-economic realities of the specific locale and/or the country where the project is being implemented. In the absence of that *in situ* knowledge and/or familiarity, the review is likely to lack an appreciation of the application of proposed model or technology in that specific locale. As a consequence, recommendations and/or suggestions aimed at strengthening the project are likely to remain generic. Although the reviewers generally possess the necessary specialized technical knowledge to give an opinion on the scientific and technical aspects of a project, it is generally recognized that their knowledge of the local context is often insufficient.

In the biodiversity focal area, a frequent observation by the Panel is the multiplicity of issues dealt with in the projects. This places a high demand on the one expert in covering all the aspects of the proposal ranging from the natural to the social sciences. In previous annual reviews, it was recommended that for large and complex projects, it may be more appropriate to commission two or more experts with complementary expertise to review a project.

In the climate change focal area, the Panel is of the view that the reviewers often endorse too easily the assumptions made by the project designers without discussion or asking for additional details. A major weakness observed in project design is a lack of an adequate analysis of the economic and institutional context in the project. As emphasized in previous annual reviews, STAP also deems it important that climate change project reviewers examine the projections made in the proposal and evaluate the estimates used.

In international waters focal area, where projects and usually multi-country and often complex, the need for an socio-economic and/or a technical analysis, in addition to a natural science evaluation was considered desirable. Some reviewers overlooked the scientific aspects of a project while others totally left out the socio-economic aspects.

4.2 Ratings of the Reviews

Overall, the quality of the reviews for FY00 was rated adequate to excellent by Task Managers in the Implementing Agencies and STAP members. Only in few cases did STAP members rate a review as rather poor. The majority (60%) of the climate change project reviews were rated as "good" by the Implementing Agencies, 10% as adequate, and the remaining 30% as excellent. The STAP ratings are more or less in line with the Implementing Agencies, with more reviews considered as good rather than excellent. More reviews in biodiversity were given an excellent rating by the Implementing Agencies, an opinion less reflected by the Panel, which rated the majority as "good". Approximately 20% were considered as adequate both by STAP and the Task Managers. The international waters performance evaluations present a similar picture.

As pointed out in the Annual Reviews of FY98 and FY99, the uneven quality of the reviews is often rooted in insufficient knowledge of the institutional and socio-economic reality of the country/region where the GEF intervention is being implemented; the inability of the reviewer to cover all aspects of the project particularly complex projects; and perceived lack of knowledge of GEF operations. Yet, it was observed that it is unreasonable to expect a reviewer to review all aspects and components with equal attention and competence.

The best reviews were those that pointed out the weaknesses of the proposal, evaluated the risks and constraints of the proposed approach, provided suggestions on how to enhance the scientific and technical dimensions of the projects and exhibited recent knowledge of the situation on the ground.

4.3 Adherence to the Generic Terms of Reference (GTOR)

Approximately 40% of the reviewers followed the standard TORs used by the Agencies for technical reviews, which cover most of the key and secondary issues of the GTOR developed by

STAP. Slightly less than 40% did not follow any TOR, whereas about 20% followed the GTOR. In previous Annual Reviews, it was argued that, although following the GTOR or the IA TOR does not automatically result in a good review, adhering to the GTOR is beneficial both for the comprehensiveness of a review and for the "review of the reviewer" evaluation process.

In order to stimulate the reviewers to address all critical issues and GEF-specific aspects in their reviews, the STAP has prepared focal area-specific annotations to the GTOR. These focal area-specific annotations contained in the annex to this report will become operational during FY01.

These focal area-specific annotations will be made available to all future reviewers with the request to study them and use them as guidance for conducting a technical review of a GEF project. They will also appear on the STAP web site.

4.4 Response to STAP Roster Expert Comments

The Implementing Agencies are requested by the Council to respond to reviewers' comments and recommendations indicating how the comments of the reviewers are going to be addressed and reflected in the revised project document.

Overall, the Agencies give careful consideration to the roster reviewers' comments, indication how the reviewer's comments were integrated into the project brief as well as how the suggestions to improve the project will be taken into consideration at the appraisal and implementation stages. However, in a few projects (less than 10%), STAP members felt that the Implementing Agency had not adequately addressed the reviewer's concerns. One concern raised by STAP is that in many instances the responses to the reviewers comments seem to come from the Implementing Agency and not from the project proponents.

5. Management of the Roster

The management of the roster of experts encompasses a number of tasks, the majority of which are performed by the STAP Secretariat. These include updating the information contained in the roster, adding and removing experts on the roster, responding to the needs of the evolving GEF portfolio, publication of the roster, maintenance of the database held in the Secretariat, and tasks related to quality control and outreach. During FY00 the management of the roster was further enhanced with the launching of the STAP web site.

The STAP roster of experts database is now accessible via the STAP web site, with dynamic web pages to browse and search the experts database. Since its establishment the appearance and functionality of the web site were further enhanced, particularly the update facility, allowing experts to update the data in their CVs on-line, was much simplified, reducing the time and effort to make changes on-line. In order to maintain the integrity of the data and to prevent hacking, a security system was put in place, whereby the STAP Secretariat first approves and edits the changes made in the CV before it overwrites the old data.

The selection of experts to review a project is facilitated by the facility to conduct database searches on the basis of sub-focal area, fields of expertise, countries and geographical area of expertise. With the increased use of the "fields of expertise" search, a number of shortcomings and inconsistencies became apparent. The database will be upgraded to address these shortcomings and inconsistencies to reflect the current and future needs of the GEF.

The web site also facilitates the submission of new CVs on-line. To do this however, a password is required. This password is provided by the STAP Secretariat. The new CVs will be held in a separate database, until they are downloaded and screened. Once selected, the new experts' CVs can be automatically included in the main database.

The STAP web site address is: **http://stapgef.unep.org/**

During FY00, the STAP Secretariat commenced the process of updating the Roster database. As a result, 14 experts have been removed from the Roster bringing the total number of experts in the roster database to 409. The roster experts that have been removed have either deceased, joined the United Nations or have indicated that due to retirement or their workload they no longer wish to be on the roster.

Commencing in January 2001 a STAP newsletter will be circulated to all roster experts containing materials to the review process and keeping abreast of current developments in the GEF. The newsletter will be published three times annually commencing in FY02.

Annex 1: Focal Area-specific Annotations to the GTOR of the STAP Roster Review

INTRODUCTION

1. In order to promote standardization in quality and focus of technical reviews of GEF project proposals, generic terms of reference (GTOR) were developed by STAP. The Generic Terms of Reference are meant to be broad guidelines, on which the implementing organizations elaborate to provide their technical reviewers with more specific criteria suitable for their needs and to the nature of the project. The STAP roster review plays an important role in ensuring the scientific and technical soundness of a project, to which it should bring an objective scientific and technical viewpoint (including the social and economic sciences) based on in-depth knowledge and grounded in operational experience.

2. The GEF stresses the importance to adhere to the Generic Terms of Reference because they ensure that not only scientific and technical aspects are addressed in the technical review but also socio-economic and institutional issues, as well as the wider implications and aspects associated with the GEF intervention.

3. The most relevant reviews are those that expound on global and regional experience to date, on current best practices, and that evaluate the risks, constraints and benefits of the approach adopted in the project, the difficulties that are likely to be encountered in the implementation of the project, and the appropriateness of the approach and the technologies deployed. They point out the weaknesses of a proposal, and provide constructive and operational suggestions, implementation guidelines and alternative approaches that could strengthen the project.

4. In order to assist the roster of experts in conducting comprehensive and useful reviews from an operational and GEF standpoint, the STAP has prepared focal area-specific annotations which should be used by the reviewers on the roster. With the development of these annotations for the GTOR, STAP aims to better inform the reviewers of the role and requirements of their review and thus achieve the objective of enhancing the quality and operational value of STAP Roster of Experts reviews.

BIODIVERSITY

Key issues

Scientific and Technical soundness of the project

5. Scientific and technical soundness does not only refer to whether the project has a sound “natural science” basis but also to the social science “technical” issues.

Usually social science issues, such as tenure systems, local technical knowledge, local leadership on conservation measures, enforcement and monitoring are as important as ecological aspects of biodiversity conservation in sustainable use projects and therefore deserve the same amount of attention in technical reviews. Some of the social science issues can also be dealt with under "the degree of involvement of stakeholders".

Questions that could be raised under this issue are:

(a) Is there sufficient ecological and technical information available to give the project a sound scientific base?

(b) Have all the threats to the ecosystem been considered?

(c) Does the type of ecosystem management proposed require further research?

(d) Is there a need to develop indicators to achieve the objectives?

(e) Will appropriate monitoring be put in place?

(f) Will the approach taken in the project proposal achieve the objectives of conserving biodiversity?

(g) What are the risks and constraint associated with the approach?

(h) Is there any area weakness, gap in the project?

(i) Are there any controversial aspects about the project?

(j) Does the project introduce incentives that may lead to overharvesting (in the case of a sustainable use project)?

(k) How will the drops in revenue as a result of conservation measures be compensated?

(l) Are there legal instrument aspects that should be dealt with?

(m) How will the model of sustainable use outlined in the project be developed?

(n) How effective will the proposed model be in the local situation?

(o) Is there evidence that the project offers the best long-term solutions?

Identification of global environmental benefits

6. The purpose of the GEF is to provide funding for the agreed incremental costs of measures to achieve global environmental benefits in the area of biodiversity. This is one of its key operational principles for the development and implementation of its work programme. Actions to achieve sustainable development at the national level can be complemented and supplemented by other efforts aimed at securing global environmental benefits. The additional costs on countries beyond the costs of achieving national development goals can be borne by GEF. Guidance on eligibility is provided by the COP of the CBD.

7. In other words, what are the global benefits for the conservation of biodiversity as interpreted by the COP of the CBD that will result from the intervention? Also: does the area of intervention have a global importance in terms of ecosystem and or key species?

How does the project fit within the context of the goals of GEF?

8. Operational programmes detail the strategic considerations in the focal area and outline the type of activities and approaches GEF supports to maintain biodiversity and diversity of biological resources in the four ecosystems. Answering this question requires the knowledge of the Operational Strategy and Operational Programmes.

Regional Context

9. This question addresses the importance of the area of intervention from a conservation perspective in the region and may also refer to the transboundary aspects of an intervention in a single country. For example, if the ecosystem extends over two or more countries, there may be a need to establish a management link between the contiguous parts of the ecosystem.

Replicability of the project

10. Refers to the scope for replication of the intervention. If successful, could the intervention be replicated elsewhere on the basis of experience and learning?

Sustainability of the Project

11. What is the potential for continuation of the changes the project aims to achieve? How will the project activities and impact be sustained after the completion of the project?

Secondary issues

Linkage to other focal areas

12. Efforts must be made to design projects that are consistent with the operational strategies of the other focal areas and avoid negative impacts in focal areas outside the focus of the project. One of the strategic considerations in the Operational Strategy is that where feasible and cost-effective, activities will be designed to contribute to global environmental benefits in other focal areas and in the cross-sectoral area of land degradation.

13. For example, actions to sequester carbon and minimize land degradation may offer opportunities for biodiversity conservation, while international waters activities may offer opportunities for integrating aquatic biodiversity components. The question then is whether the project has taken into consideration impacts on other focal areas.

Linkage to other programmes and action plans at the regional or sub-regional level

14. GEF activities are to be coordinated with past, ongoing and prospective work of the Implementing Agencies and other bodies.

15. Are adequate links established with relevant ongoing regional or sub-regional programmes and action plans? Is there evidence that the GEF intervention will be considered with other ongoing initiatives?

Other beneficial or damaging environmental effects

16. For example, other areas managed by the executing national entities may indirectly benefit from a project; or the management of a protected area may yield other ecosystem services to the region and to local communities.

17. Negative impacts may be the result of eco-tourism, or the use of and harvesting of biological resources.

Degree of involvement of stakeholders in the project

18. Stakeholder involvement is considered of central importance in the operational programmes. GEF activities are suppose to promote community-based management of biodiversity, the co-management of resources, through contracts or negotiations with governments that define each stakeholder's responsibility in managing the resource, and the devolution of management to local groups and NGOs. Local participation in resource management should be ensured from the start.

19. Project proposals should clarify the conditions of cooperation between the various groups of stakeholders and contain transparent mechanisms to ensure the active participation of relevant stakeholders in the development, implementation and monitoring of project activities. Partnerships with stakeholders should be appropriate to local conditions and based on local expertise.

20. The question should be asked whether the project contains adequate mechanisms for participation and influencing the management of the project?

    (a) Are there provisions for the establishment of appropriate lines of communication?

    (b) Is there a plan for facilitating the flow and exchange of technical information between communities and stakeholders?

    (c) Are the participatory schemes adequate?

    (d) Are conflict issues being dealt with?

Capacity building aspects

21. One of the activities GEF is funding is supporting capacity building efforts that promote the preservation and maintenance of indigenous and local communities, knowledge, innovation, and practices relevant to conservation of biodiversity with their prior informed consent and participation.

22. One of the outputs of GEF projects should be stronger institutions and well-trained staff to address these issues.

    (a) Has adequate attention been paid to capacity building aspects?

    (b) Is there sufficient human capacity to tackle the issues addressed in the project?

Innovativeness of the Projects

23. In which respect are the approaches of the project innovative?

CLIMATE CHANGE

Key issues

24. The operational programmes are developed to expand, facilitate and aggregate the markets for the needed technologies and to improve their management and utilization. The approach has two phases: removing the barriers to implementation of climate-friendly commercially viable technologies and

reducing the cost of prospective technologies that are not yet commercially viable to enhance their competitiveness.

25. An important aspect that needs to be addressed in all technical reviews of climate change projects is the institutional framework: all reviewers must assess the institutional and regulatory framework of the project. Equally important is the verification of the soundness of the estimates made, and values and data given in the project document. All reviewers are requested to undertake some form of data verification. The "technical issues" to be addressed by the reviewers are technical, institutional and economical/financial in nature rather than purely technical.

Scientific and technical soundness of the project

26. Questions that could be raised are:

(a) Has he most appropriate and effective approach been used to remove the barriers?

(b) Has the most appropriate and effective approach been used to reduce the costs of the technologies?

(c) Was the potential market determined on the basis of RETs data and databases?

(d) Has an evaluation of the demand-side mechanisms to support after sales-service been undertaken?

(e) Is the financing mechanism adequate?

(f) Are the introduced financial incentives adequate?

(g) Have comments been made on the design of demonstration project?

(h) Will a process be put in place to monitor the project?

(i) Is the barrier removal supported by an underlying policy framework?

(j) Is the proposed activity feasible from an engineering and technical perspective?

Identification of global environmental benefits

27. Global benefits are expressed in reduced emission of greenhouse gas. However, auxiliary benefits may occur in other areas such as land degradation and biodiversity.

How does the project fit within the context of the goals of the GEF

28. Operational Programmes detail the strategic considerations in the focal area and outline the type of activities and approaches GEF supports to address long-term programme priorities of the Conventions to mitigate climate change. Addressing this question requires the knowledge of the Operational Strategy and Programmes of the GEF.

Regional Context

29. The regional context is generally less relevant in the Climate Change focal area than in Biodiversity and International Waters.

Replicability of the project

30. A key assumption is that a successful market application in one country will be replicated widely in other countries where the same market applications have significant GHG – reduction potential. Therefore, to the degree possible, GEF supports the type of barrier removal mechanisms that are transferable to other countries.

Sustainability of the project

31. Relates to removing all barriers and not to merely subsidizing. In some instances projects merely surmount a barrier while leaving it in place.

32. Questions that could be raised:

(a) Continuity of the generation systems after the subsidies and the intervention?

(b) Has an appropriate cost recovery been demonstrated?

(c) Has the question of competitiveness been raised?

(d) Has the project taken an approach that stresses continuity for the institutional logistics development?

(e) Have issues of ownership of the technology been considered?

Secondary issues

Linkages to other focal areas

33. Efforts must be made to design projects that are consistent with the operational strategies of the other focal area and avoid negative impacts in focal areas outside

of the focus of the project. One of the strategic considerations in the operational strategy is that where feasible and cost-effective, activities will be designed to contribute to global environmental benefits in other focal areas and in the cross-sectoral area of land degradation.

Linkages to other programmes and action plans at the regional subregional levels

34. GEF activities are to be coordinated with past, ongoing and prospective work of the Implementing Agencies and other bodies. In addition, GEF activities should build upon bilateral and technical assistance and investment activities. Is there evidence that the GEF intervention will be undertaken building on other ongoing initiatives?

Other beneficial or damaging environmental effects

35. What will be the environmental impact of the project activities?

36. Positive or negative transfers to the focal area of biodiversity and international waters and also land degradation may occur as a result of energy projects.

Degree of involvement of stakeholders in the project

37. In OP#5, the participants are industries and para-statal organizations. In projects dealing with energy efficiency in rural areas , public participation of affected beneficiaries is essential to the success of the project. In OP#6, local particpation is a by-ingredient in the design, implementation and operation of isolated systems. The forms and degree of participation will vary as some technologies may require communities to act in concerts, while other technologies require the participation of electric utility companies, industrial enterprises etc.

38. Questions that could be raised:

    (a) Assess the degree of stakeholder involvement.

    (b) What is the degree of commitment of those involved in the project?

    (c) Women participation (in rural energy projects)?

    (d) Assess the degree of coordination and cooperation with the NGO and private sector (in rural energy projects).

Capacity building aspects

39. Often a strong technical assistance is necessary during the preparation and the implementation phases. One of the generic barriers to energy conservation and efficiency is lack of trained personnel and technical and managerial expertise.

40. How will the project build capacity in the sector where the project will be implemented?

Innovativeness of the project

41. For example, the success of renewable rural electrification will highly depend on innovative financing.

INTERNATIONAL WATERS

42. GEF's strategy in International Waters (IWs) was developed from the consensus that a more comprehensive approach to water resources management is needed--one that is cross-sectoral, integrates ecological and development needs and is based on holistic analyses of the carrying capacity of the water environment. The most complex GEF projects are found in the IWs focal area.

43. A thorough understanding of GEF's role and objectives in this focal area, as set out in the Operational Strategy and Operational Programmes, is a prerequisite for reviewing an International Waters project.

Key issues

Scientific and technical soundness of the project

44. Questions related to the scientific basis and the proposed technologies:

(a) Assess scientific basis of the project: is sufficient information and knowledge available on the dynamics, functioning and structure of the ecosystems covered? Fore example: is there sufficient information on the hydrological regime, landuse practices, drainage, groundwater and population dynamics?

(b) Appropriateness of approach to collect relevant information on sections of society and economy and on the different aspects of the environment, water management and ecosystem.

(c) Does the project fully determine which sectoral changes are needed to achieve the goals of the OPs?

(d) Has the issue of inter-comparability of data been addressed?

(e) Analysis of the interlinkages between water-related environmental issues and root causes behind different environmental problems.

(f) Are the tools and methodologies for TDA and SAP clearly stated in the project?

(g) Does the project determine what type of measures is needed to ensure that the ecological carrying capacity is not exceeded.

(h) Assessment of adequacy of the scope of the project.

(i) Are the proposed technologies adequate to the regional socio-economic profile?

(j) Could the proposed technologies pose environmental threats?

- **Question related to the use of technology**

(a) To what extent will technological innovations be used to support the project?

- **Questions related to institutional arrangements**

(a) Assess institutional arrangements: the role of existing scientific institutions in the development and sustainability of regional mechanism is of paramount importance.

- **Other questions**

(a) Is choice of demonstration sites representative and appropriate?

(b) Have any problems been overlooked?

(c) Assessment of adequacy of the scope of the project

(d) Have issues of conflict been addressed?

Identification of the global environmental benefits

45. Does the project address issues that will result in global environmental benefits?

46. Are any negative environmental effects anticipated?

How does the project fit within the context of the goals of GEF?

47. Does the project fit within the overall strategic thrust of the GEF- funded IW activities to meet the incremental costs of: (a) assisting groups of countries to better understand the environmental concerns of their IWs and work collaboratively to address them; (b) build the capacity of existing institutions; and

(c) implement measures that address the priority transboundary environmental concerns?

Regional context

48. With few exceptions IWs projects are multi-country regional projects.

49. Assess the regional scope of the project.

Replicability of the project

50. Is there scope for replication of some of the approaches in other international water bodies?

Sustainability of the project

51. Largely depends on national government commitment. Key is the regional mechanism which should provide focus and means for coordinating national efforts, thereby enhancing the efficiency and effectiveness of individual country undertakings. Involvement of the private sector, inter-governmental financial institutions, investors and commercial banks is also a key element of sustainability.

52. Development or strengthening of multi-country institutional arrangements are often measures that ensure financial sustainability of the arrangements, which in some cases may be years after the GEF project has been completed.

53. Also: does the project make an effort to change cultural and deeply embedded habits that have given rise to the environmental problems addressed by the project?

Secondary issues

Linkages to other focal areas

54. Most IW projects have outspoken linkages with the biodiversity focal area, and to land degradation.

Linkages to other programmes and action plans at regional or subregional levels

55. The IWs area includes numerous international conventions, treaties and agreements. The architecture of marine agreements is especially complex, and a large number of bilateral and multilateral agreements exist for transboundry freshwater basins.

56. Related conventions and agreements in other areas increase the complexity. These initiatives provide a new opportunity for cooperating nations to link many different programmes and instruments into regional comprehensive approaches to address IWs.

57. Have all relevant conventions been considered and taken into account in the project?

58. Is the proposed activity consistent with existing national plans?

Other beneficial or damaging environmental effects

59. Assess beneficial and detrimental environmental effects that could result from the intervention.

Degree of involvement of Stakeholders in the project

60. Because of the area-wide interventions, community involvement and stakeholder participation are especially important in OP# 9.

61. Are the national and regional institutions likely to be able to contribute to the achievement of the objectives identified?

62. Are all countries which have a stake in the IW body subject of the intervention by the project involved in it?

63. Capacity building aspects

64. Capacity building is an important component in international waters projects.

65. Institution building plays a crucial role, and specific capacity-strengthening measures are required to assist countries in finding the appropriate institutional and organizational matters.

66. Following the formulation of Strategic Action Plan (SAP), the next step is to formulate a capacity building, technical assistance or investment project.

67. Innovativeness of the project

68. Assessment of the innovativeness of the project.