

International Waters Resource Guide

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INTRODUCTION TO RESOURCE GUIDE

Since its inception in 1992, the Global Environment Facility Small Grants Programme (SGP) has been promoting grassroots action to address global environmental concerns. SGP aims to deliver global environmental benefits in the GEF focal areas of biodiversity conservation, climate change mitigation, protection of international waters, prevention of land degradation, reduction and elimination of persistent organic pollutants through community-based approaches.

Funding is channelled directly to communities and non-government organisations in developing countries to support the efforts of local people to conserve and restore the environment while generating sustainable livelihoods. SGP currently operates in 92 developing countries in Africa, the Arab States, Asia, Eastern and Central Europe and Latin America, as well as in Small Island Developing States. To date over 6,750 grants of up to US \$50,000 have been provided to non-governmental and community-based organisations addressing global environmental issues while generating local benefits.

The GEF SGP International Waters Resource Guide has been prepared as a readily accessible resource source for International Waters information. This resource guide was designed for the use of National Coordinators, National Steering Committees, NGOs, and other constituencies interested in working with GEF SGP on IW issues.

INTRODUCTION TO INTERNATIONAL WATERS

International Waters Concept

Marine and freshwater systems, including surface water and groundwater, constitute the world's water resources; these provide drinking water, sustenance, income, transportation routes and other amenities to populations across the world. The majority of the earth's water resources are shared by two or more countries, within the GEF context, the term "international waters" refers to the following: oceans, large marine ecosystems, enclosed or semi-enclosed seas and estuaries, in addition to rivers, lakes, groundwater systems, and wetlands with drainage basins that overlap or share borders.

The GEF International Waters Focal Area

IW targets transboundary water systems, such as river basins with water flowing from one country to another, groundwater resources shared by several countries, or marine ecosystems bounded by more than one nation. Some of the issues addressed are: transboundary water pollution, over-extraction of groundwater resources, unsustainable exploitation of fisheries, protection of fisheries habitats, invasive species, and balancing competing uses of water resources.

International Waters Issues

Poorly managed and careless human activity is threatening shared water resources internationally and across sectors endangering the livelihoods of billions of people who depend on them. Major threats include sea and land-based pollution, depletion of freshwater resources, habitat loss, introduction of exotic species, and over-harvesting of living and non-living aquatic resources.

Addressing these threats requires GEF projects in the international waters focal area to aim at achieving a comprehensive, ecosystem-based approach to the sustainable management of international waters and to incorporate both developmental and ecological needs. Action programs take remedial and preventive approaches to restore and maintain the proper functioning of critical shared water-bodies and foster sustainable resource use. Rather than an international waters convention, regional and international agreements often provide guidance and the legal framework for developing projects in this GEF focal area.

GEF SGPs Role in International Waters

SGP contributes to the protection of international waters through support to initiatives led by community groups and non-government organisations that prevent degradation of water-bodies shared by two or more countries. Promoting innovative local solutions to marine and freshwater environmental problems, SGP works with communities living near threatened water-bodies to prevent the release of harmful substances, such as persistent organic pollutants (known as POPs) and heavy metals that cannot be neutralized by marine and freshwater ecosystems, or that accumulate in living organisms. SGP focuses its support for community-led international waters projects on three areas:

- Addressing seriously threatened water-bodies and transboundary threats to their ecosystems, such as pollution, overexploitation of living and non-living resources, habitat degradation, and non-indigenous species,
- Using integrated approaches to land and water resource management to prevent the degradation of international waters,
- Overcoming barriers to the adoption of best practices to limit contamination of international waters.

Complementing medium and large size GEF projects, SGP allocates grants of up to \$50,000 directly to nongovernmental and community-based organisations to help citizens and communities restore and maintain critical shared water-bodies and foster their sustainable use while generating livelihoods. Advocacy promoting increased awareness of international waters issues are important components of SGP's work.

INTERNATIONAL WATERS PROJECT PLANNING

GEF Strategic Priorities on International Waters

The strategic priorities of GEF in the international waters focal area are:

- IW-1: SAP Implementation: Catalyze financial resource mobilization for implementation of reforms and stress reduction measures agreed through Transboundary Diagnostic Analyses (TDAs) and Strategic Action Programs (SAPs) or equivalent processes for particular transboundary systems.
- IW-2: Expand TDA/SAP: Expand global coverage of foundational capacity building addressing the two key program gaps and support for targeted learning. Two key program gaps have been identified for a number of years: (a) addressing water scarcity/competing uses of water resources, including those resulting from

- climatic fluctuations and (b) stabilizing and reversing fisheries depletion in Large Marine Ecosystems (LMEs) through ecosystem-based approaches.
- IW-3: Innovative Demonstration Projects: contaminants, water scarcity; Public-Private Partnerships (PPP) – access to water, sanitation: - Undertake innovative demonstrations for reducing contaminants and addressing water scarcity issues with a focus on engaging the private sector and testing public-private partnerships.

For more information about international waters *strategic priorities*, please refer to the International Waters Strategic Guidance Paper.

<http://sgp.undp.org/downloads/GEFSGPIWStrategicGuidancePaper20050901.pdf>

GEFs Operational Programmes on International Waters

International waters projects fall under the following categories of Operational Programmes (OP):

- OP 8: Water-body-based Program. Projects address the priority transboundary environmental concerns that exist in a specific water-body, such as a transboundary river basin or a large marine ecosystem.
- OP 9: Integrated Land and Water Multiple Focal Area. These projects involve the integration of land and water resource management as a means of addressing the degradation of international waters, and necessarily address more than GEF focal areas.
- OP 10: Contaminant-based Program. This program includes activities that demonstrate ways of overcoming barriers to the adoption of best practices to limit contamination of international waters.

For more information about international waters *operational programmes*, please refer to the International Waters Strategic Guidance Paper.

<http://sgp.undp.org/downloads/GEFSGPIWStrategicGuidancePaper20050901.pdf>

Project Monitoring and Evaluation

Monitoring and evaluation (M&E) is a shared responsibility between the GEF Secretariat and its Implementing Agencies: UNDP, UNEP, and the World Bank. The Implementing Agencies have the responsibility for evaluating individual projects; while the M&E unit in the GEF Secretariat is responsible for monitoring and evaluation at the overall level, the focal areas, the programs, as well as crosscutting issues.

M&E is vital to GEF's effectiveness for three particular reasons: GEF's projects are often innovative or experimental, GEF is pioneering coordination among many parties, and its development of successful operational programs requires continuous learning. Integrating lessons learned from earlier efforts to achieve greater effectiveness is a key GEF goal. Each year, GEF engages in an extensive process that monitors its projects and evaluates their progress.

The GEF's M&E unit also addresses GEF-wide performance by conducting thematic reviews and independent evaluations, and by developing program-level indicators. The lessons that emerge from these exercises are fed back into project planning and implementation cycles and shared with partner institutions through workshops and publications.

SGP's monitoring and evaluation system is intended to provide stakeholders and partners with information about the status and results of individual projects, the progress of country programmes and the achievement of overall programme objectives.

SGP views monitoring and evaluation above all as a participatory and forward-looking process that enables capacity building and learning, maintains accountability, promotes sustainability, and provides opportunities to identify and communicate lessons learned from project and programme experiences. In the case of SGP, monitoring and evaluation are required at three levels – project, country, and global. To monitor projects impacts at the global level the following indicators are used by SGP:

- Hectares of globally significant international waterbody or marine and coastal protected area sustainably managed or protected by SGP project
- Hectares of fishing grounds or marine protected areas sustainably managed by project
- Pollution discharge into International Water reduced
 - a) Kilogram (Kg) of Nitrogen (N) discharge into International Water reduced
 - b) Kilogram (Kg) of Phosphorus (P) discharge into International Water reduced
 - c) Gram per litre (g/L) of solids reduced
- Total value of ecosystem goods produced by end of project (in US Dollars)
- Number of innovations or new technologies developed/applied
- Number of local policies informed in international waters focal area
- Number of national policies informed in international waters focal area

Detailed explanation of those indicators can be found in the *GEF SGP Guide To Global Indicators*.

INTERNATIONAL WATERS WEB LINKS

The following web links are helpful for better understanding GEF's international waters focal area and implementing international waters projects:

- <http://www.iwlearn.net/> Water resource managers will find through this site pertinent information resources; discussion forums; project information and documentation; courses in water resources, project management, and information technology; new capacity building technologies; and community-wide news and upcoming events.
- <http://www.thegef.org/> Official web site of Global Environment Facility. Project managers may find all GEF projects, GEF participating countries, latest GEF news, GEF operational policies, and GEF partners, among many other information sources.
- <http://sgp.undp.org/> Official SGP web site. You will find SGP projects under all five GEF focal areas, funding opportunities, how to become a SGP participating country, and contact information of SGP, including local offices.
- http://www.undp.org/gef/undp-gef_focal_areas_of_action/sub_international_water.html International waters content on UNDP web site.
- http://dgef.unep.org/focal_areas/international_waters/ International waters content on UNEP web site.
- <http://lnweb18.worldbank.org/ESSD/envext.nsf/45ByDocName/ThemesInternationalWaters> International waters content on World Bank web site.
- http://www.tides.org/index_tds.cfm As one of the partners of GEF, The Tides Family of Organisations is a group of nonprofits that brings together people, resources and an overall vision for creating a healthy society based on principles of social justice, broadly shared economic opportunity.
- <http://water.nationalacademies.org> The U.S. National Academies (a non-profit organization that brings together committees of experts in all areas of scientific and technological endeavor), Water Information Center, has a portal of more than 100 peer-reviewed reports from the National Academies on water-related issues. The site includes information about Water Supply and Sanitation, Water and Soil Remediation, Hydrologic Hazards, Water Quality in the Natural Environment, River Basin Systems Management, Environmental Assessment, Management, and Restoration Water Science and Research.
- <http://legacy.citg.tudelft.nl/rba/home.htm> The RBA Centre is a research centre on River Basin Administration, Analysis and Management. The RBA Centre has been established in 1989 at the Delft University of Technology to provide advanced research and education possibilities in the field of river basin management and administration. The RBA Centre conducts research on the legal, planning, organizational, policy and other non-structural aspects of national and international river basin management.

- <http://www.ip3.org/index.htm> The Institute for Public-Private Partnerships, Inc. (IP3) is an international training and consulting firm that focuses on advancing public-private partnership programs and opportunities, regulation operations and management initiatives, and competitive utility management reform in the environmental (water/sanitation and solid waste), energy, transportation, technology, municipal service, health, and education sectors. IP3 provides training and consulting services on the requisite legal, regulatory, financial, managerial, technical, and institutional requirements for successful program/project design, implementation, and monitoring.
- <http://www.worldfishcenter.org/> The WorldFish Centre is an autonomous, non-profit organization, and was established as an international centre in 1977. The Centre is an operational entity with programs funded by grants from private foundations and governments. The WorldFish Centre is governed by an International Board of Trustees; its policies are implemented by the Director General. In 1992, the WorldFish Centre became a research centre of the CGIAR (Consultative Group on International Agricultural Research). The CGIAR is an informal association of more than 60 public and private sector members.
- <http://www.ces.fau.edu/> The Florida Centre for Environmental Studies represents the ten state universities and four major private universities. The centre acts as a facilitator and co-ordinator of research and training related to the environment and as a locus for environmental information. Grounding its activities in the Florida sub-tropical environment, its mandate encompasses global tropical and sub-tropical environments especially the issues and problems of water dominated ecosystems.
- <http://www.igbp.net/cgi-bin/php/frameset.php> The Vision of International Geosphere-Biosphere Programme (IGBP) is to provide scientific knowledge to improve the sustainability of the living Earth. IGBP studies the interactions between biological, chemical and physical processes and human systems IGBP collaborates with other programmes to develop and impart the understanding necessary to respond to global change.
- <http://www.gwpforum.org/servlet/PSP> The Global Water Partnership is a working partnership among all those involved in water management: government agencies, public institutions, private companies, professional organisations, multilateral development agencies and others committed to the Dublin-Rio principles. The mission of the Global Water Partnership is to "support countries in the sustainable management of their water resources."
- <http://www2.eli.org/index.cfm> The Environmental Law Institute provides information services, advice, publications, training courses, seminars, research programs and policy recommendations to engage and empower environmental leaders around the world.

ANNEX

Terms and Definitions

Transboundary Diagnostic Analysis (TDA)

A Transboundary Diagnostic Analysis (TDA) is a scientific and technical assessment, through which the water-related environmental issues and problems of a region are identified and quantified, their causes analyzed and their impacts, both environmental and economic, assessed. The analysis involves an identification of causes and impacts at national, regional, and global levels and the socio-economic, political and institutional context within which they occur. The identification of the causes would specify sources, locations, and sectors.

The purpose of conducting a Transboundary Diagnostic Analysis (TDA) is to scale the relative importance of sources and causes, both immediate and root, of transboundary 'waters' problems, and to identify potential preventive and remedial actions. The TDA provides the technical basis for development of a Strategic Action Programme (SAP) in the area of international waters of the GEF.

For further information on International Water TDAs, please refer to the International Waters Learning Exchange and Resource (IW:LEARN) web site at:

<http://www.iwlearn.net/publications/tda/>

Strategic Action Programs (SAP)

Strategic action programs formulation provides an opportunity for implementing agencies to support country initiatives according to the implementing agency's comparative advantage and to bring their regular programs to bear where needed. While multiple implementing agency involvement is not mandatory, it will be encouraged. It is through strategic action program formulation that baseline and additional priority actions are identified.

Therefore a SAP is required to describe a framework for regional action, to demonstrate the linkages between the national and regional actions and to identify the incremental costs (e.g., those that address primarily transboundary environmental concerns) of the proposed activities. The ultimate product, the SAP, is a set of targeted and costed activities (baseline and additional), which, once implemented, will together contribute to solve the major water-related environmental problems of the region and thereby will also provide significant global environmental benefits. The transboundary character of the identified water-related environmental issues and problems and the regional and global significance of benefits to be gained by addressing the specific issues identified during the process of developing a TDA would provide the technical background for the analysis of the incremental costs of the specific actions proposed in the SAP.

Although formulation of a SAP relies on the scientific and technical justification provided in a TDA, the specific combination of activities contained in a SAP is also determined by both national and regional policy considerations that may affect project sustainability and cost effectiveness.

To find SAPs of international waters, please go to SGP web site at:

<http://sgp.undp.org/index.cfm?module=ActiveWeb&page=WebPage&s=foIW>

Medium-Sized Projects

Given growing support by governments and non-governmental organisations (NGOs) to expedite the implementation of smaller projects, the GEF Council approved procedures to streamline processing and financing of medium-sized project proposals (MSPs). MSPs are limited to a maximum of \$1 million in GEF funds. Approval is delegated by the Council to the CEO, and is subject to Project Review Criteria similar to full-sized projects. These medium-sized grants increase GEF's flexibility in programming resources and encourage a wider range of interested parties to propose and develop project concepts.

MSPs should also satisfy the requirements of:

- A Strategic Priority
- Either an Operational Program or a short-term response measure.
- MSPs are submitted to the Secretariat on a rolling basis throughout the year and go through a one-step approval by the CEO of the final project document.

All approved MSPs can be accessed by going to the Project Database and selecting '[Medium-sized Projects](#)' under 'Project Type'.

MSP guidelines can be reached through the following link:

http://gefweb.org/Documents/MediumSized_Project_Proposals/MSP_Guidelines/guidance.pdf

Full-Sized Projects

Full-Sized projects (FSP) are projects receiving more than one million dollars in GEF grants. FSPs must satisfy:

- Eligibility requirements under the Conventions
- A strategic priority
- Either an operational program or a short-term response measure.

These projects go through each step of the GEF Project Cycle, first entering the GEF pipeline as project concepts. Proponents may, however, wish to avail of Project Development Facility (PDF) grants in the forms of Block A, to prepare the project concept, and B and C to further the development of the concept into an FSP.

These projects are then submitted for Work Program inclusion and approved by the Council during its regular meetings or intersessionally by mail. You may click the links below to find the relevant documents.

Project Proposal Review:

http://thegef.org/Documents/Council_Documents/GEF_C22/Annex_FP_-_F1_Concept-PDF_review_template.doc

Project Executive Summary:

http://thegef.org/Documents/Council_Documents/GEF_C22/Annex_FP_-_G_Project_Exec_Summary_Template_and_prep_guidelines.doc

Project Review Criteria:

http://thegef.org/Documents/Council_Documents/GEF_C22/Annex_FP_-_H_FP_Review_Criteria.doc

Strategic Projects

Strategic Projects are projects of the GEF SGP that will be funded at a higher ceiling of \$150,000. The concept was a recommendation of the programme's Third Independent Evaluation. The evaluation found that the gaps, in terms of the funding level and additional requirements, between the SGP and even the Medium Sized Project (MSP) funding modalities of the GEF are too wide. Upscaling of successful small grants project experience and technologies had difficulty utilizing the MSP modality. There was need to develop a funding mechanism closer to SGP's funding level and requirements yet enabling successful projects and NGO/CBO implementers with increased capacities to upscale their efforts. With such experience gained they would eventually be able to access even much higher levels of funding through the larger GEF funding modalities and other donor partners. Strategic projects play important role in the following ways:

- Thematic consolidation and support for strategic collaboration with national and international projects and experience.
- Creating transboundary projects with higher levels of coordination, synergies, and successful execution.
- Supporting networks of smaller projects within countries.