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# Accessing the GEF & GEF Project Cycle

**GEF Expanded Constituency Workshop**

Rarotonga, Cook Islands  
October 7-8, 2015

# Acronyms

GEB= Global Environmental Benefits

FSP = Full-Sized Project

MSP = Medium-Sized Project

EA = Enabling Activities

PA = Programmatic Approach

MIA= Minamata Convention Initial Assessment

ASGM NAP = “Artisanal and Small Scale Gold Mining” National Action Plan

NIP= National Implementation Plan

PIFs = Project Identification Form/concept of a project

PFD = Program Framework Document

PPG = Project Preparation Grant



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# GEF Project Requirements

- Country-driven
  - GEF Focal Area Strategies
  - Identifiable global benefits
  - Participation
  - Consistency with global Conventions
- Scientific and technical merit
  - Financially sustainable and cost-effectiveness
  - Monitoring, evaluation, and lessons learned
  - Endorsed by the OFP
  - Catalytic and leveraging role



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# How we fund?

## GEF's Grant Schemes

GEF project types by Grant Size:

- Full-Sized Projects (FSPs): GEF grant > \$2 million
- Medium-Sized Projects (MSPs): GEF grant  $\leq$  \$2 million
- Enabling Activities (EAs): GEF grant is capped by respective focal area threshold:
  - ✓ **Biodiversity** (NBSAP up to \$250K, 6<sup>th</sup> National Report to CBD up to US\$30K, 3<sup>rd</sup> National Report on Cartagena Protocol up to US\$20K)
  - ✓ **Climate Change** (National Communications up to \$500K, BUR up to US\$ 352K)
  - ✓ **Land Degradation** up to \$150,000
  - ✓ **Chemical and Waste** (MIA \$200K; Persistent Organic Pollutants NIP \$250K; and ASGM NAP=\$500K)
- Programmatic Approach (PA)
- Small Grants Program (max \$50,000)

– ASGM NAP= “Artisanal and Small Scale Gold Mining” National Action Plan

– MIA= Minamata Convention Initial Assessment



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# Project Cycle Steps

Two major approval steps for Full-Sized Projects:

## Council and the GEF Secretariat:

1. Council approval of work program
2. CEO endorsement of the project document

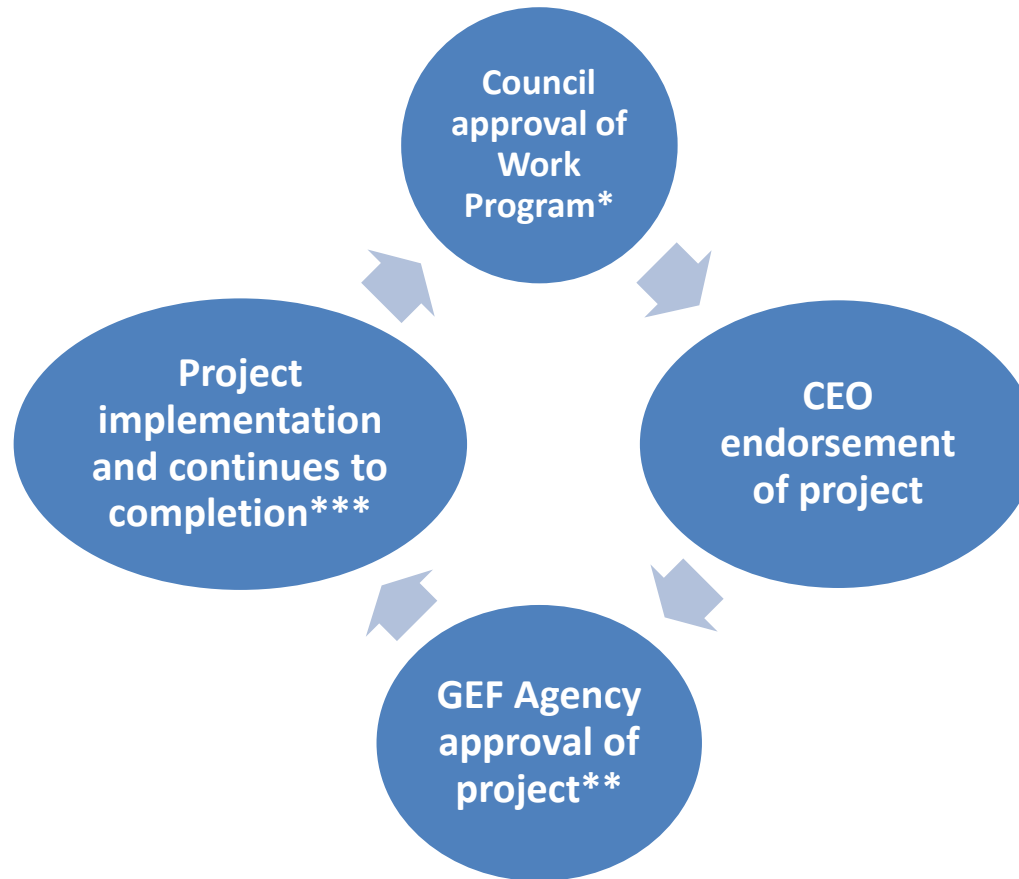
## GEF Agency:

1. Approval of the project by the GEF Agency and implementation start
2. Completion of implementation, terminal evaluation and financial closure.



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# GEF Project Cycle



\* Work Program consists of PIFs cleared by the CEO

\*\* GEF Agency approval of project signifies start of project implementation

\*\*\* Project completion follows terminal evaluation and financial closure



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# Medium-sized Project Cycle

## ➤ One-step approach, preferred:

- Final MSP request and project document submit to the Secretariat for CEO approval, on a rolling basis.
- As needed, a PPG of up to \$50,000 can be requested with MSP submission.

## ➤ Two-step approach, only if required:

- Submission of a PIF with PPG request, if needed
- Submission of a final MSP document plus a MSP Approval Request for CEO approval



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# Enabling Activities Project Cycle

Enabling Activities follow two paths:

**Direct Access** (follow direct access policy – applies the World Bank Operations Policies and Procedures):

- Country applies directly to the Secretariat for funding

**Regular procedures** :

- Country works with a GEF Partner Agency to access funding.



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# Programmatic Approach Cycle

The new programmatic approach: approved by Council approval in the October 2014 Council meeting.

Steps include:

- Council approval of a Program Framework Document (PFD) included in a work program;
- CEO endorsement of fully prepared child projects under the program



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# Features of a Program

- Key document: [Program Framework Document \(PFD\)](#).
- All child projects under the Program have to be submitted for CEO endorsement by a deadline (or [Program Commitment Deadline](#)) agreed by relevant stakeholders during the preparation of the program concept or PFD.
- Child projects can apply for project preparation funding through submission of a PPG Request.



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# Country Endorsement

Endorsement by a national Operational Focal Point (OFP) is a requirement for the following:

- All PIFs to enter the work program, and for application of Project Preparation Grants (PPGs);
- PFDs submitted for work program inclusion;
- Request for CEO approval of MSP final projects;
- All EAs requesting CEO approval.

Projects in biodiversity, climate change, and land degradation focal areas also follow STAR rules.



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# System for Transparent Allocation of Resources: STAR

# Background

- The current mechanism by which GEF resources are allocated to countries in three focal areas – Biodiversity, Climate Change, and Land Degradation
- The Resource Allocation Framework (RAF) was the first PBA for the GEF and adopted for GEF-4
- The STAR updated the RAF and was implemented for GEF-5
- The STAR was recently updated for GEF-6



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# Objectives

- STAR aims to allocate scarce GEF resources within and among focal areas in order to:
  - maximise impact on the global environment
  - promote sound environmental policies and practices
  - meet convention requirements
  - match country driven priorities



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# GEF-6/STAR Budget Allocations Report

Page 11 of 12 Pages



Country	Is Flexible?	Climate Change	Biodiversity	Land Degradation	Country Total
Tajikistan	True	\$2,000,000	\$1,500,000	\$2,776,009	\$6,276,009
Turkmenistan	False	\$4,987,726	\$1,814,282	\$3,289,095	\$10,091,103
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Uganda	False	\$3,765,683	\$4,010,540	\$2,223,080	\$9,999,303
Uruguay	True	\$2,681,284	\$2,038,153	\$613,390	\$5,332,827

Page 11 of 12 Pages



# Calculating STAR allocations

1

- Determine Available Focal Area Funds

2

- Calculate “Country Scores”

3

- Calculate Preliminary Country Allocations

4

- Adjust for Floors and Ceilings

5

- Obtain Final Allocations

6

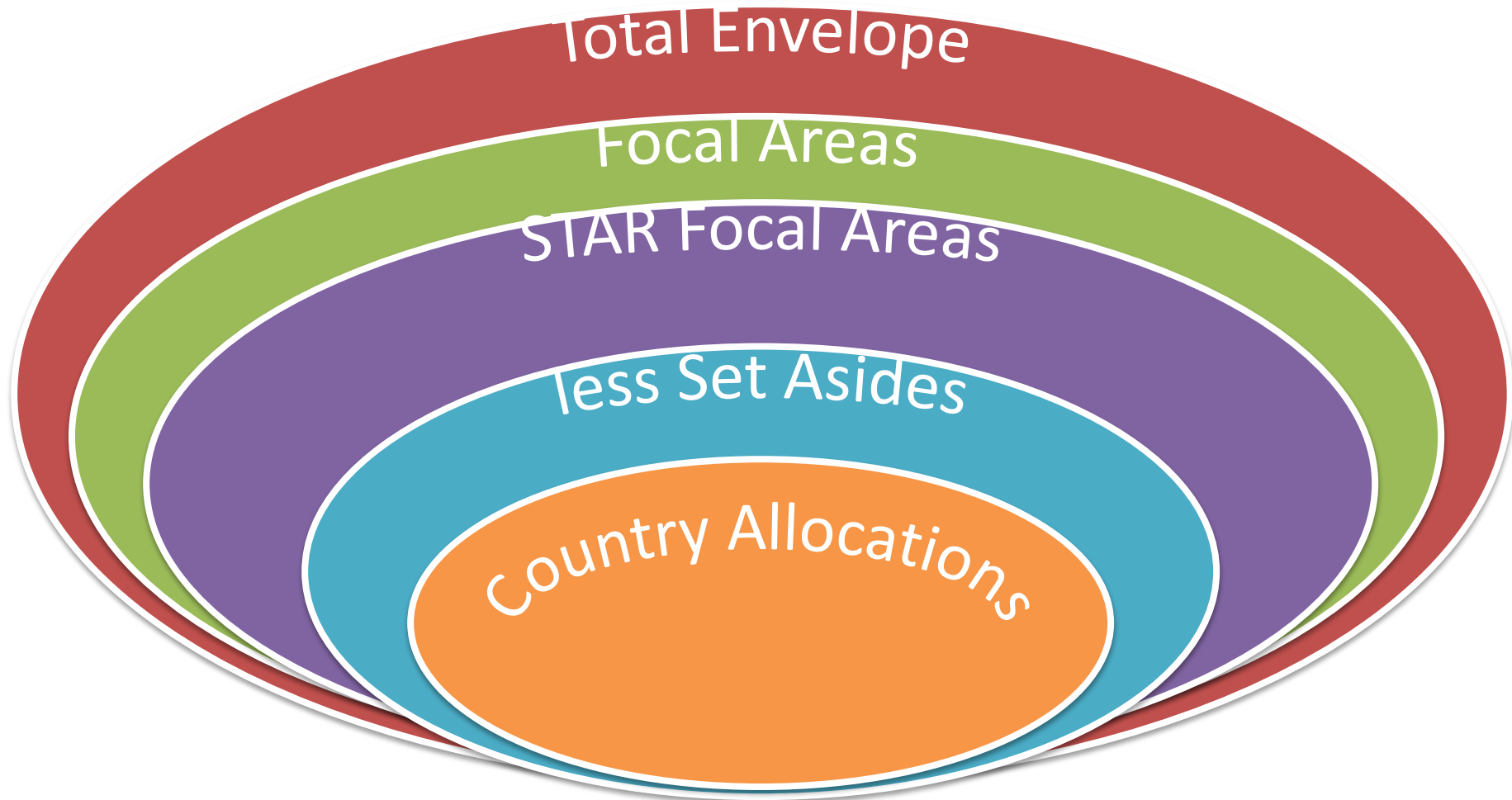
- Determine post-allocation Flexibilities



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# Available Focal Area Funds



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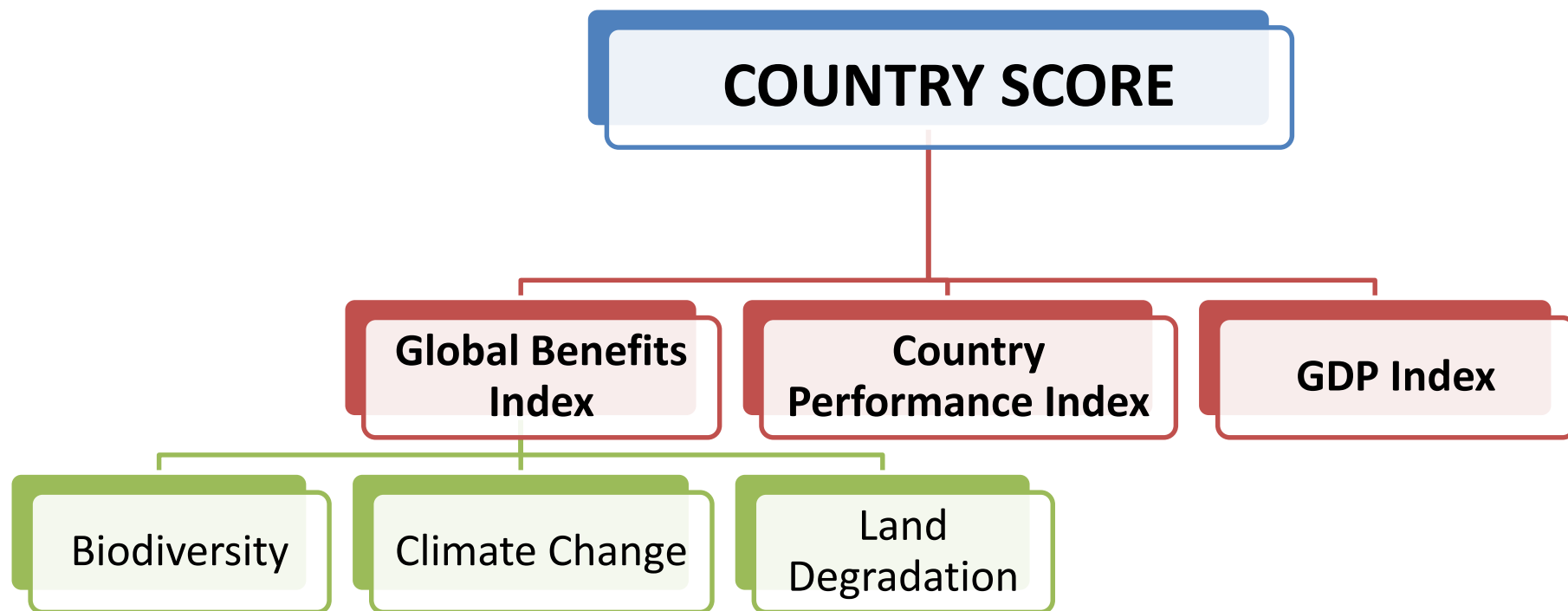
# The main indices

- Global Benefits Index: measures a country's relative share of GEF potential benefits that can be generated by a fixed amount of resource input into a focal area
- Country Performance Index: measures a country's performance and capacity to deliver potential global environmental benefits \*\*\*\*\*
- GDP Index: designed to increase allocation of countries with a low GDP per capita



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# The country score



$$\text{Country Score} = \text{GBI}^{0.8} \text{CPI}^{1.0} \text{GDP}^{-0.08}$$



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# Preliminary country allocations

- Country Share =  
$$\text{Country Score} / \text{Sum of Country Scores for all eligible countries}$$
- Preliminary Allocation =  
$$\text{Country Share} * \text{Available Focal Area Funds}$$



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# Approximate Calculation: Trinidad and Tobago

	<i>BIODIVERSITY</i>	<i>CLIMATE CHANGE</i>	<i>LAND DEGRADATION</i>
<i>GBI</i>	0.21	0.12	0.30
<i>CPI</i>	3.65		
<i>GDPI</i>	17934.06		
<i>COUNTRY SCORE</i> <i>(GBI<sup>0.8</sup> CPI<sup>1.0</sup> GDP<sup>-0.08</sup>)</i>	0.48	0.306	0.63
<i>SUM OF COUNTRY SCORES</i>	174.45	147.30	189.39
<i>COUNTRY SHARE</i>	0.002753	0.00208	0.00333
<i>FOCAL AREA ALLOCATION</i>	1051	941	346
<i>PRELIMINARY COUNTRY ALLOCATION</i>	2.89	1.96	1.15
<i>FINAL COUNTRY ALLOCATION</i>	2.78	2.29	1.14
<b><i>TOTAL ALLOCATION = 6.22 MILLION</i></b> <b><i>(FULLY FLEXIBLE COUNTRY)</i></b>			



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# Floors and Ceilings

Focal Area	Floor for LDCs	Floor for Non LDCs	Ceiling %	Ceilings (US Mn)
Climate Change	3	2	10%	126
Biodiversity	2	1.5	10%	129.6
Land Degradation	1	0.5	10%	43.1



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# Final allocations

- Adjustments for floors and ceilings mean there is a surplus or deficit relative to the preliminary allocation
- This is then allocated among countries using the country scores
- Process iterates until the full amount has been allocated among countries



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# Flexibilities and marginal adjustment

- Flexibilities relate to the utilization(not allocation) of GEF resources
- Countries are allowed to adjust their focal area allocations (but not their total envelope)

Total Allocation X	Allowed Marginal Adjustment
$X \leq 7$ million	unlimited
$X > 7$ million	2 million



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Page 11 of 12 Pages



# GEF 6 STAR Allocations

Country	Climate Change	Biodiversity	Land Degradation	Total	Flexible
Cook Islands	2.00	2.17	0.50	4.67	Yes
Fiji	2.00	4.94	0.65	7.59	No
Indonesia	21.91	57.84	4.16	83.92	No
Kiribati	3.00	2.00	1.00	6.00	Yes
Marshall Islands	2.00	2.08	0.50	4.58	Yes
Micronesia (Federated States of)	2.00	3.82	0.93	6.75	Yes
Nauru	2.00	1.50	0.50	4.00	Yes
Niue	2.00	1.50	1.30	4.80	Yes



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Country	Climate Change	Biodiversity	Land Degradation	Total	Flexible
Palau	2.00	1.92	0.50	4.42	Yes
Papua New Guinea	2.00	14.66	1.22	17.88	No
Philippines	7.47	30.55	1.36	39.38	No
Samoa	3.00	2.67	1.15	6.82	Yes
Solomon Islands	3.00	4.52	1.00	8.52	No
Timor Leste	3.00	2.00	1.00	6.00	Yes
Tonga	2.00	1.70	0.89	4.59	Yes
Tuvalu	3.00	2.00	1.00	6.00	Yes
Vanuatu	3.00	2.78	1.00	6.78	Yes



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# Thank You



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