

Evaluation of the Catalytic Role of the GEF

Technical Paper #1

A Qualitative Analysis of Terminal Evaluations

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Abbreviations

ASEZA	Aqaba Special Economic Zone Authority
BioGen	Biomass Grid-Connected Power Generation and Co-Generation (project)
CFC	chlorofluorocarbon
COREMAP	Coral Reef Rehabilitation and Management Project
EIS	environmental impact statement
EMPAA	Eastern Mongolia Protected Area Administration
ESCO	energy service company
ESD	Energy Services Delivery (project)
GIS	geographic information system
GloBallast	Global Ballast Partnerships
IMO	International Maritime Organization
IREDA	Indian Renewable Energy Development Agency
MNE	Ministry of Nature and Environment
MPA	marine protected area
NGO	nongovernmental organization
OECS	Organisation of Eastern Caribbean States
PLEC	People, Land Management, and Environmental Change (project)
RE	renewable energy
SAP	strategic action plan
SFA	State Forestry Administration
SWME	solid waste management entity
TDA	transboundary diagnostic analysis
UNDP	United Nations Development Programme
WB	World Bank

1 Introduction

In June 2006 the Global Environment Facility (GEF) Council approved an evaluation of the GEF’s catalytic role. The catalytic role of the GEF is identified as a key operational strategy for GEF work as follows, “In seeking to maximize global environmental benefits, the GEF will emphasize its catalytic role and leverage additional financing from other sources” (Operational Principle 9, Operational Strategy, 1994).

Given the limited amount of money available for projects related to its ambitious mandate, the GEF hopes to design projects in such a way as to attract additional resources, pursue strategies that have a greater result than the project itself, and/or accelerate a process. However, several evaluations conducted by the GEF Evaluation Office revealed difficulties in implementing and assessing this principle. An initial review of project design documentation found little common usage of the term catalytic.

This paper provides inputs to the GEF Evaluation Office in developing a conceptual framework for evaluating the catalytic role of the GEF. It summarizes findings from a review of project terminal evaluations (also called implementation completion reports) to identify design and implementation factors that promote the catalytic role of GEF projects. See annex A for a list of projects reviewed.

2 Main Findings

- For the GEF, scale-up and replication initially meant catalytic, but in the evaluation documents, no strong causal relationship exists between expanding the scope of the project and the catalytic role of the project. Replication and scale-up may help to increase the catalytic role, but this does not signify that the project has been catalytic. Instead, it means that the project has become larger, but has not necessarily had better results. If the project activities had a catalytic role—such as changing behaviors or shifting institutional paradigms—it should be scaled up and replicated. This usually requires additional funding and planning, unless it involves a technology that could gain greater market share on its own.
- The type of strategies selected for a project matter less than how they are linked together (process chains).
- These strategies tend to fall into three categories: “foundation,” “momentum,” and “expansion.” The *foundation* activities provide a strong base for the *momentum* activities to build on, and once the momentum activities are successful, they can then be *expanded*.
- The catalytic role of GEF projects occurs on two levels: *individual* (through behavior change, new social norms, and creating champions) and *systems* (through a paradigm

shift, self-perpetuation, a greater market share, process acceleration, and mainstreaming of a bureaucratic process).

- During the project design stage, the catalytic goal needs definition (for example, is the catalytic goal to change behavior or cause a paradigm shift?) and then strategies need to be selected to achieve that goal.
- Activities that occur outside the scope of the project, but are inspired by it, can also signify a catalytic project.

3 Methodology

The focus for this study is identifying the main mechanisms used by the GEF in the design and implementation of projects that facilitate its catalytic role. Through an in-depth analysis of documents for completed GEF projects, this study attempted to tease out the following by focal area: (1) how catalysis was defined (if mentioned at all), (2) how certain strategies or combinations of strategies used in the projects fostered catalysis, and (3) what features of a project were more likely to trigger catalysis than others. Fieldwork will then verify and build on the results of this study.

To answer the above-mentioned questions, the study team decided to conduct a qualitative analysis of completed project documents using the Atlas.ti software program. This program aids in the systematic coding of documents and creation of networks to reveal patterns and trends that can help develop a conceptual framework on a particular concept. The following methodology was used:

- Projects identified for the study were limited to full-size projects with completed terminal evaluations for three focal areas: biodiversity, climate change, and international waters.
- A sample of 22 projects across all three focal areas were initially selected based on a database previously created that lists projects that refer in their titles or global objectives to “catalytic” (either the term itself or relevant terms such as demonstration, replication, scale-up, etc.).
- The terminal evaluation reviews (short documents filled out by Evaluation Office staff highlighting key aspects of a terminal evaluation) were reviewed and coded using Atlas.ti. The purpose of this phase was to develop a coding scheme based on the strategies used within projects (see annex B for the coding scheme). The types of strategies used were grouped into three larger categories of (1) objective, (2) satisfactory implementation; or (3) weak implementation (as noted by the terminal evaluation).¹

¹ Weak implementation also includes strategies that were not implemented during the project, although they were planned for during the project design stage.

- Senior evaluation staff then identified and approved a sample of 51 terminal evaluations (20 biodiversity, 18 climate change, 13 international waters projects with a representative number of projects per operational program; see annex A for a complete listing). The terminal evaluations are coded based on the above scheme, along with codes for “results,” “context,” “implementing factors,” “lessons,” and “catalytic,” whenever the term itself was used.
- Each activity described in the documents was coded once (sometimes documents described the same activity several times) to analyze the degree to which each focal area relies on particular strategies.
- After completing the coding, reports are run by strategy for each focal area, listing all the quotes coded for that strategy.² The codes were analyzed for patterns and trends, and network maps developed that were fed into an overall framework. (Results of this process are discussed further in the following sections).

The main limitation to this methodological approach came from the use of the terminal evaluations. Because the terminal evaluations are not based on a common format and are written by different consultants, their quality and content matter vary immensely. In general, however, they offer enough descriptive commentary to begin to answer the questions posed by the present study and provide the groundwork for additional observations in the field.

4 Defining “Catalytic”

The term “catalyst” (along with any of its derivatives) appears infrequently in the terminal evaluations sampled for this evaluation.³ When the term is used, it describes the triggering of some type of action, such as long-term procedures or legislative policies, or describes motivating other actors, such as the private sector or the government, to become involved in the environmental issue addressed by the project. Although these terms allude to the extension of the life of the project, they do not suggest a type of multiplying effect or impact greater than the project itself.

However, a couple of terminal evaluations offer insightful descriptions about the catalytic role of the project. In the South Africa Cape Peninsula biodiversity project (GEF #134), the evaluators described how the project shifted protected area management from species-based to land-level conservation. They wrote (boldface added):

² These reports with codes are available with the GEF Evaluation Office.

³ For example, using the “WordCruncher” function of Atlas.ti revealed that, of all biodiversity projects, the word catalyst and its derivatives appeared only 23 times—or 0.006 percent—in all words used; this is the same number that the word “waste” was used.

The project represented a first serious attempt to apply the CBD [United Nations Convention on Biological Diversity] ecosystem approach to conservation, and **catalysed a paradigm shift** from species-based and “in-park” conservation management approaches to landscape-level conservation strategies and activities across the country. The scientific approach adopted by CAPE, the first of its kind in the world, pioneered a new way of identifying biodiversity priorities...The project provided a springboard for the recently established SA [South Africa] National Biodiversity Institute (SANBI) to establish a directorate of Bioregional Planning and Programs. The CAPE strategy and its implementation have also influenced landscape and bioregional planning in a number of other parts of the world. (Project no. 134, South Africa)

The South Africa project pioneered (or demonstrated) a new approach to conservation that then created a new trend in protected area management. Without any additional funding or resources for this project, other entities began to adopt this approach and incorporate it into their methodology; therefore, this experience aptly describes the catalytic role of a GEF-funded project.

The quotes from the terminal evaluations that offer insights into the GEF’s catalytic role fall into the following categories (see annex C for an illustrative listing of quotes):

- Sets a new course or direction on how to address an environmental issue, such as the South African example mentioned above
- Draws outside actors and resources to the project, such as private sector actors investing in new technologies demonstrated by a climate change project
- Builds momentum within a project by linking strategies to one another, such as devising new legislative policies and providing capacity building around that legislation to improve conservation efforts
- Inspires activities outside the scope of the project, such as spin-off activities that are based on the original project, but not planned for during the project
- Creates a foundation that launches other activities, such as financial structures that facilitate investments in environmentally sound technologies
- Triggers key actors or activities within a project, such as creating local champions through awareness building and technical training

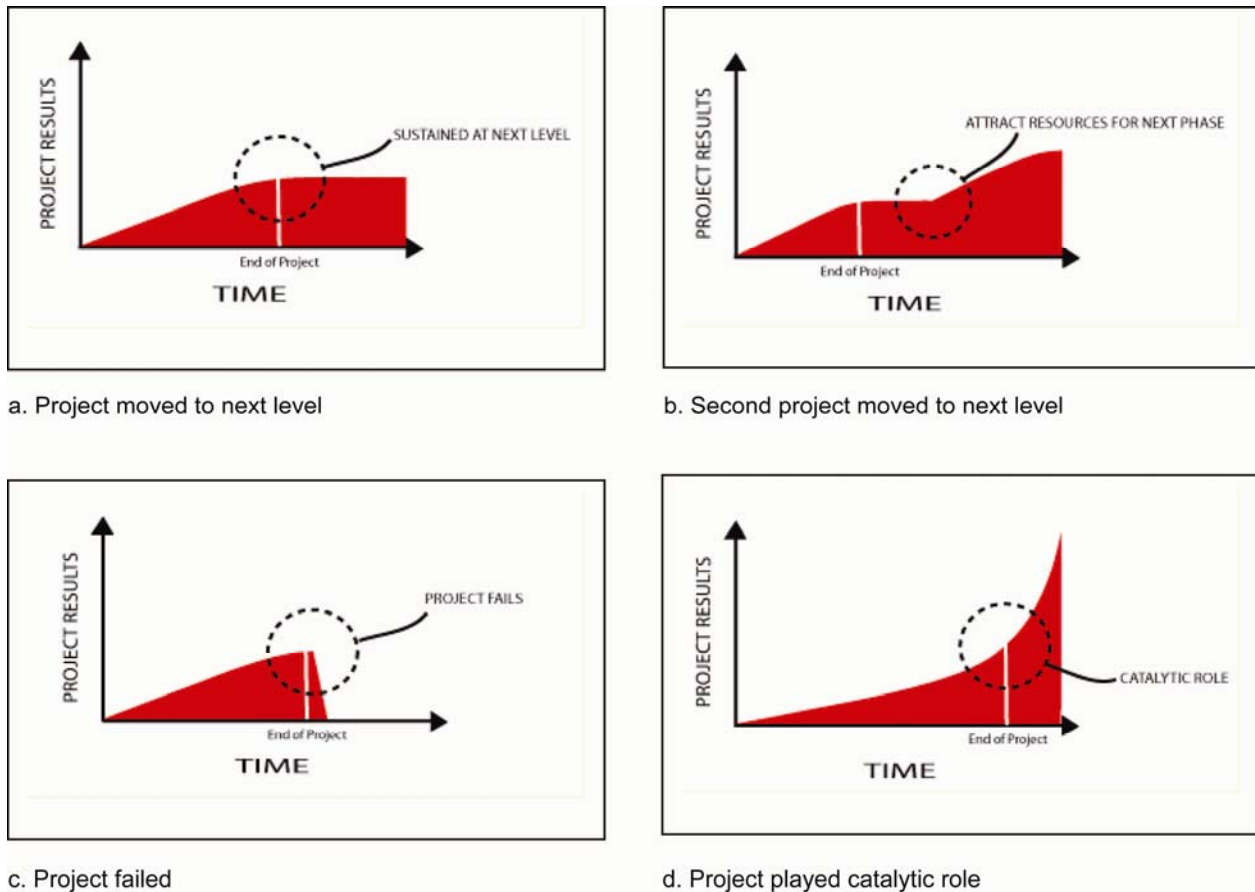
Given the rare occurrence of the mention of “catalytic” or its derivatives, however, another method had to be devised to describe and analyze the catalytic role of GEF projects. Section 5 describes this method.

5 Overview of Strategies and Their Catalytic Nature

By analyzing the quotes from terminal evaluations according to their strategy codes, several trends emerged. First, the overall results of the projects after they ended tended to fall into one of four types:

- The response to an environmental issue moved to the next level (figure 5.1a).
- The response moved to the next level, and then a second project funded by another donor pushed it up another level (figure 5.1b).
- The failure of the project (figure 5.1c).
- The catalytic role of the project (figure 5.1d)

Figure 5.1: Four Types of Project Results



For example, most biodiversity projects that focused on protected areas tended to fall into the “next level” category, in which management plans, equipment purchases, and resource management training improved the operation of the protected areas; however, a couple of projects strengthened the mechanisms through which protected areas collected user fees and developed

other revenue streams. The protected areas then reinvested a portion of this increased revenue into the park and awareness projects, which attracted additional visitors, which in turn increased protected area revenues even more. (This concept will be referred to as “self-perpetuating” in the rest of this document.) Therefore, the small amount of money invested by the GEF in the project generated exponential results for the protected area, even after the project ended.

Second, the strategies used in the projects could be divided into three general categories:

- **Foundation.** These strategies consisted of awareness building and capacity building, and laid the groundwork for more significant project strategies.
- **Momentum.** These strategies, ranging from creating markets to demonstration of techniques or technology, represented the core focus of the project.
- **Expansion.** These strategies consisted of replication and scaling up of the project components and tended to increase the scale of the project results.

Tables 5.1 and 5.2, which are based on code counts from the coding of the terminal evaluations using Atlas.ti, break down these strategies by focal area.

Table 5.1: Frequency of Strategies by Focal Area

Strategy		Biodiversity			Climate change			International waters		
		Total strategies	% of strategy group ^a	Avg no. of strategies in projects ^b	Total strategies	% of strategy group ^a	Avg no. of strategies in projects ^b	Total strategies	% of strategy group ^a	Avg no. of strategies in projects ^b
Foundation	Awareness	38	15.5	2.87	12	12.1	1.44	20	13.8	2.20
		5			1			2		
	Individual capacity building	40	17.7	2.58	22	25.2	1.80	23	17.6	2.80
		9			5			5		
	Institutional capacity building	141	66.8	9.25	55	62.6	4.47	80	68.6	9.91
	44			12			29			
Momentum	Create markets	4	6.3	2.00	9	19.6	1.50	0	0.0	0.00
		0			0			0		
	Demonstration	13	23.4	1.67	13	41.3	1.90	1	10.5	1.00
		2			6			1		
	Modernize systems	0	0.0	0.00	9	21.7	2.50	3	15.8	1.00
		0			1			0		
	Pilot	8	20.3	1.63	4	8.7	1.00	3	31.6	2.00
		5			0			3		
	Protected area	3	7.8	1.00	1	2.2	1.00	3	15.8	1.00
		2			0			0		
Sustainable economic activities	12	42.2	1.93	3	6.5	1.50	3	26.3	2.50	
	15			0			2			
Expansion	Replication	14	50.0	1.58	9	85.7	1.50	4	66.7	1.00
		5			3			0		
	Scale-up	17	50.0	1.73	2	14.3	1.00	2	33.3	1.00
		2			0			0		

Notes: For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation.

a. For the percent of strategy group, the sum of the number of satisfactory and weak codes was divided by the total number of strategies coded for each group (foundation, momentum, and expansion). For example, biodiversity awareness = $(38+5) / (38+5+40+9+141+44) = 15.5$ percent.

b. For the average number of strategies in projects, the total number for each strategy was divided by the total number of projects in which that strategy occurred. For example, even though there were 20 biodiversity projects sampled, the awareness strategy was only used in 15 of the projects. In the projects it was used, on average there were 2.87 different awareness-building activities (annex D presents detailed tables).

Table 5.2: Weighted Occurrence of Strategies by Focal Area

Strategy		Biodiversity			Climate change			International waters		
		Total ^a	% S or W	% projects w/ strategy ^b	Total ^a	% S or W	% projects w/ strategy ^b	Total ^a	% S or W	% projects w/ strategy ^b
Foundation	Awareness	13.76	92	75	8.50	94	56	9.17	92	91
		1.24	8		0.50	6		0.83	8	
	Individual capacity building	16.33	86	95	12.33	88	88	9.10	91	91
		2.67	14		1.67	12		0.90	9	
	Institutional capacity building	15.21	76	100	12.65	84	94	8.43	77	100
		4.79	24		2.35	16		2.57	23	
Momentum	Create markets	2.00	100	10	6.00	100	38	0.00	0	0
		0.00	0		0.00	0		0.00	0	
	Demonstration	7.67	85	45	6.75	68	63	1.00	50	18
		1.33	15		3.25	33		1.00	50	
	Modernize systems	0.00	0	0	3.50	88	25	3.00	100	27
		0.00	0		0.50	13		0.00	0	
	Pilot	5.00	63	40	4.00	100	25	1.67	56	27
		3.00	38		0.00	0		1.33	44	
	Protected area	3.00	60	25	1.00	100	6	3.00	100	27
		2.00	40		0.00	0		0.00	0	
	Sustainable economic activities	7.78	56	70	2.00	100	13	1.50	75	18
		6.22	44		0.00	0		0.50	25	
Expansion	Replication	9.25	77	60	6.50	81	50	4.00	100	36
		2.75	23		1.50	19		0.00	0	
	Scale-up	9.67	88	55	2.00	100	13	2.00	100	18
		1.33	12		0.00	0		0.00	0	

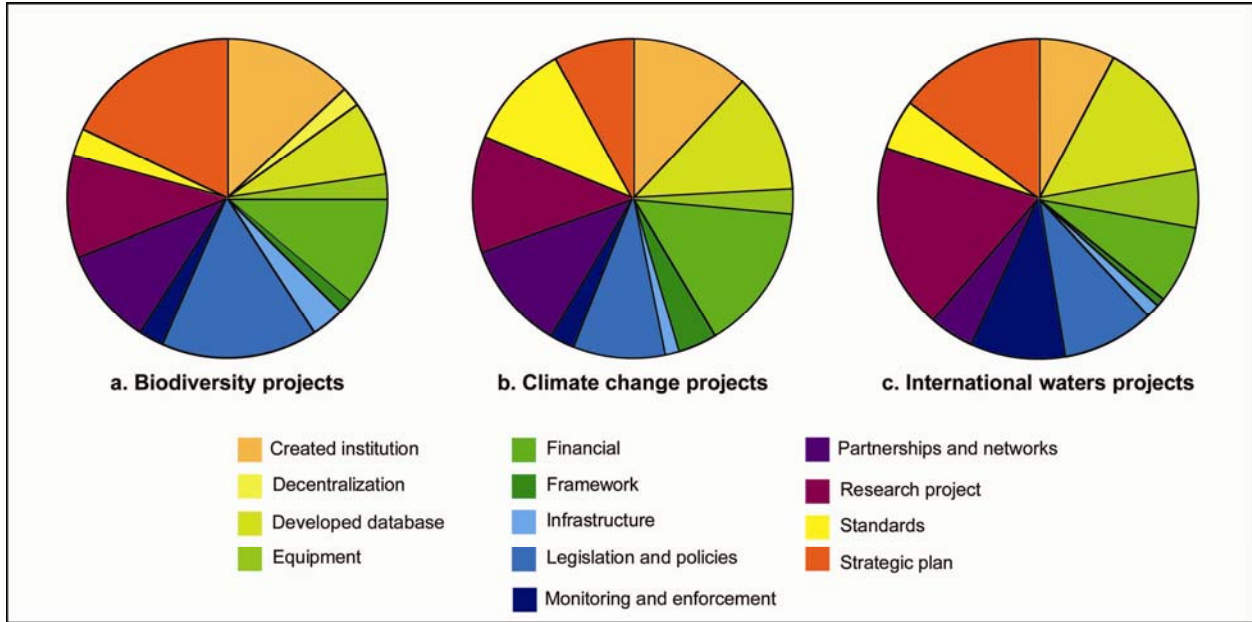
Notes: S = satisfactory; W = weak; BD = biodiversity; CC = climate change; IW = international waters. For the colored cells: green = satisfactory implementation of strategy during the project and red = weak implementation.

a. Weighted totals were found by dividing the number of satisfactory or weak codes for each strategy by the total number of codes for that strategy for each project, and then adding all those totals together (annex E presents detailed tables).

b. For the percent of projects with strategy, the numbers of satisfactory and weak codes for each strategy were added together and divided by the number of projects sampled for that focal area. For example, biodiversity awareness = (13.76 + 1.24) / 20 projects = 75 percent

Table 5.1 presents total code counts for each project by strategy. For foundation-type activities, the dominant strategy is institutional capacity building. Projects in which this strategy occurs have an average of 9 types of institutional capacity-building activities for biodiversity projects, 4 for climate change, and 10 for international waters projects. Figure 5.2 shows the distribution of these institutional capacity-building activities by focal area.

Figure 5.2: Types of Institutional Capacity-Building Strategies by Focal Area



Strategic planning (including management plans for protected areas) and legislation activities appear to be the most frequently used strategies for biodiversity projects; equipment, and monitoring and enforcement are among the least frequently used strategies. However, a study of factors for better forest conservation by Gibson and others (2005) found that “monitoring is more important than three of the other frequently stressed variables assumed to lead to the improvement of forest conditions. Thus, regardless of levels of social capital, formal organization, or forest dependence, regular monitoring and sanctioning are strongly associated with better forest conditions.”⁴

For climate change projects, the most frequently used institutional capacity-building strategy is creating a new institution, typically government offices to promote and oversee the implementation of a new energy-efficient technology. Two of the least-identified strategies under this category are equipment and infrastructure, although these typically fall under the category of demonstration, because the project is providing and demonstrating new types of energy-efficient models.

⁴ Gibson and others, 2005, “From Local Enforcement and Better Forests,” *World Development* 33 (2), p. 281.

For international waters projects, research project, strategic plan, and developed database are the top three institutional capacity-building strategies identified. In some projects, the strategic plan resembles more of a momentum-type activity, because the goal is to provide research, awareness building, and technical training to bring countries together to develop long-term strategic plans to manage and conserve an international body of water.

The three foundation-type activities typically provide the groundwork and support for the momentum-type activities. In biodiversity projects, the dominant momentum strategy is sustainable economic activities; for climate change, it is “demonstration”; and for international waters, it is “pilot.” However, the terms demonstration and pilot tend to be used interchangeably, so adding these two activities together for the biodiversity projects gives it the same frequency as sustainable economic activities. For international waters projects, some of the strategic plans can be considered more of a momentum-type activity, as noted above, and this activity was coded 21 times, compared with only 8 for the terms “pilot” and “demonstration.”

Under the expansion-type activity, replication is the occurrence of a similar type of project (and usually of a similar size or scale), but in another location. Scale-up means expanding the scale of the original project, such as taking it from a local to regional scale or having a national government incorporate the project into a national program or agency. For biodiversity projects, the distribution between replication and scale-up is fairly even, whereas climate change and international waters projects describe replication activities more frequently. International waters projects already occur on a national or regional level, thus making it more difficult to scale them up, but other countries and regions can replicate the project’s planning process.

In general, the projects sampled expect replication and scale-up to happen on their own without having to set aside resources for activities that facilitate replication and/or scale-up of these projects. However, the more successful occurrences of these expansion-type activities happened when the project design specifically set aside resources for project dissemination or created committees to oversee the expansion of the project. The following two examples illustrate this idea:

- From the Grasslands of Eastern Mongolia project (GEF #250):

Findings of the research project were widely distributed to local and central government official, and to local people, and various handouts introducing simple mechanical techniques were produced for practitioners. This concept is now well integrated in sustainable grassland management practice and has been replicated in other aimags in the country through a small community-based project funded by the GEF SGP and through the UNDP [United Nations Development Programme]/Netherlands supported Sustainable Grasslands Management Project which is operating in 34 soums in 3 aimags. (Project no. 250, Mongolia)

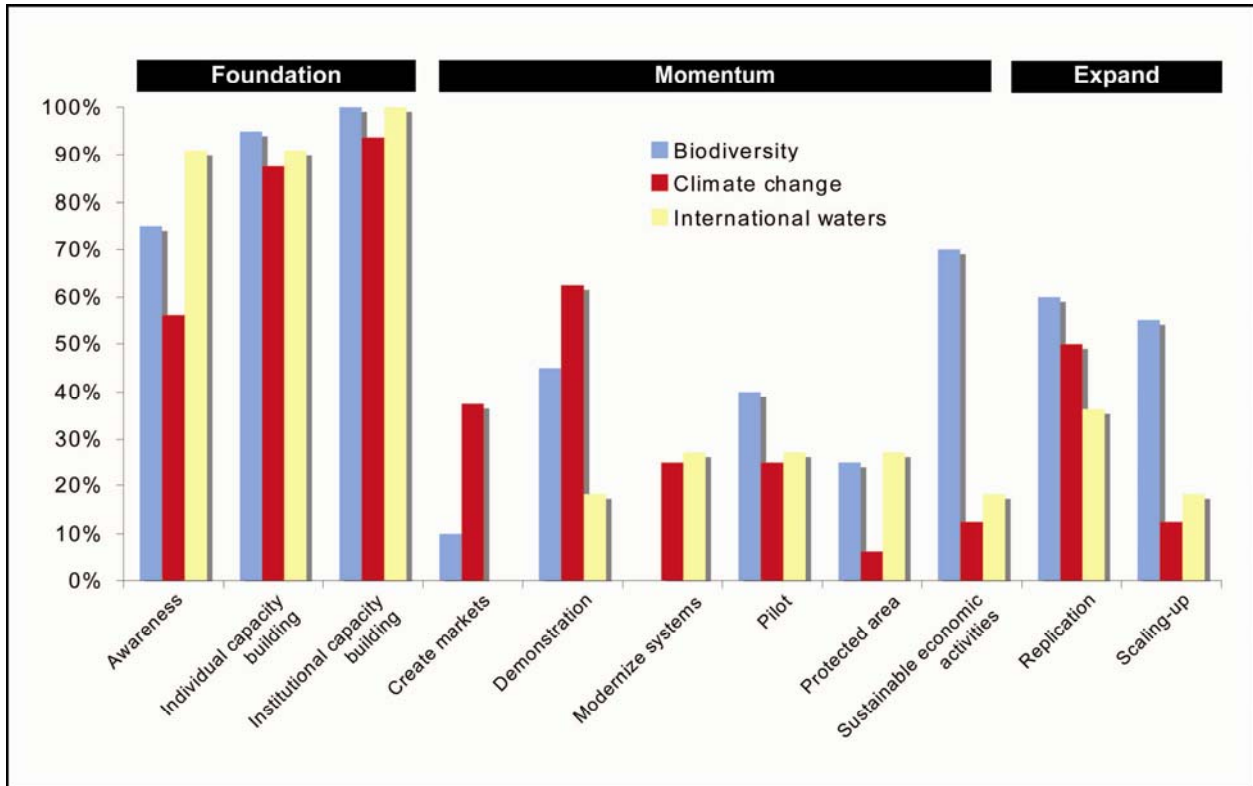
- From the Natures Reserves Management project in China (GEF #83):

However, the MIS [management information system] has not been extended to other SFA [State Forestry Administration] Nature Reserves and Provincial Bureau, as was originally hoped. Project funds were used to familiarize a few staff from other nature reserves with the system, but there is no firm plan or funding strategy to extend it to a significant number of other reserves or to expand and develop it at the reserves that are currently using it. (Project no. 83, China)

Although table 5.1 provides a general overview of the frequency of strategies by focal area, the main limitation to comparing these code counts across projects is the variation in the terminal evaluations. Because no uniform form is filled out for these evaluations, the quality and descriptiveness of the reports varies immensely. To account for this, table 5.2 provides weighted totals for each strategy by focal area. Almost all the projects have some type of institutional capacity-building activity, while relying less on awareness building as a foundation activity. Under momentum-type activities, only a little more than half of sustainable economic activities and protected area activities were rated as satisfactory for biodiversity projects,⁵ and 33 percent of the demonstration activities for climate change projects are identified as weak. The “create markets” activity is identified as satisfactory 100 percent of the time for the projects sampled; however, this may be attributed to a less defined scale on what denotes success under this activity (degree of market penetration and so on). Figure 5.3 shows the prevalence of each strategy by focal area.

⁵ Protected area activities involve expanding or creating a protected area, not the improvement of a management system for a protected area; the latter is coded as institutional capacity building, although if it is a new type of management system, such as the Cape Peninsula biodiversity project in South Africa (GEF #134), it is coded as a demonstration.

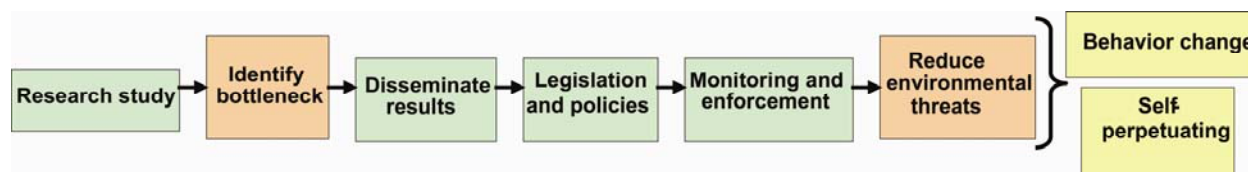
Figure 5.3: Percent of Projects with Strategy by Focal Area



Although tables 5.1 and 5.2 show the dominant strategies used in projects by focal area, they do not depict the relationship of these strategies to one another. One of the initial questions posed by this study was whether certain strategies are more catalytic than others are. Analysis of the codes and associated quotes revealed no particular type of strategy that is more catalytic than another, but rather how the strategies are linked together to form a process chain that feeds into a catalytic result, such as behavior change or a paradigm shift. These chains start with a particular activity and then answer the questions, “What happens next?” or “How is that initial activity built on and used to feed into the larger project goal?” For example, instead of simply doing a training program for project participants, the training is expected to lead to improved capacity for monitoring and enforcement activities that then deter the amount of poaching in a protected area.

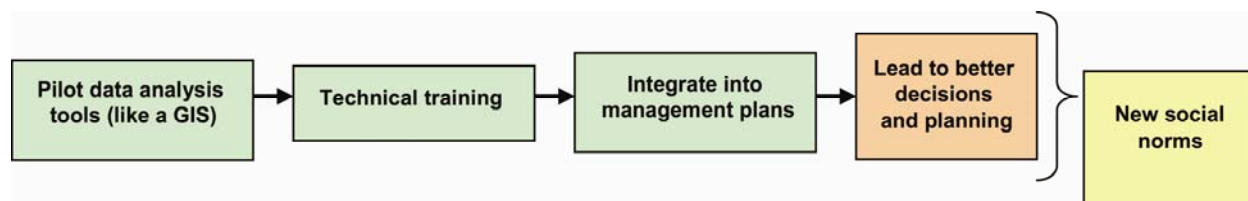
Figures 5.4 and 5.a5 provide two examples of process chains from the Grasslands of Eastern Mongolia project (GEF #250) with their related quote from the terminal evaluation.

Figure 5.4: First Example of Process Chain from Mongolia



One of the major outcomes of this project results from the study on the impact of hunting on wildlife populations in the Eastern aimags. As the results of this study were pointing to the lack of enforcement of the Law on Hunting, a project was developed based on a close collaboration of the SSSA [State Specialized Supervision “Inspection” Agency] and the ESBP [Eastern Steppes Biodiversity Project] to propose amendments to the Law on Hunting and implement a tagging system to prove that products were hunted legally. The hunting study findings have been used to develop policies and legislation and the new tagging system has been successfully implemented since 2003. According to the amendment to the Law on Hunting adopted by the Mongolian Parliament, everyone who possesses a wildlife product is required to have an official certificate of origin to prove that it has been hunted legally. It enables the law enforcement personnel to inspect traders at major road checkpoints, markets, and border ports, and to confiscate products of illegally hunted wildlife. (Project no. 250, Mongolia; line 362)

Figure 5.5: Second Example of Process Chain from Mongolia



The project supported the three eastern aimag governments, including their EPAs, SSSAs, Land Agencies, and the EMPAA with the establishment of their environmental databases and provided training on the use of the GIS [geographic information system] software. This new GIS capacity makes possible the integration of biodiversity concerns in local development plans in the eastern region, enables decision makers and land use planners to make scientifically sound management decisions for environmental planning and the environmental database sets a baseline to monitor further evolution of the eastern ecosystems and resources. (Project no. 250, Mongolia; line 456)

The next sections describe in more detail and by focal area how various activities and process chains can lead to a catalytic role for the project.

5.1 Biodiversity

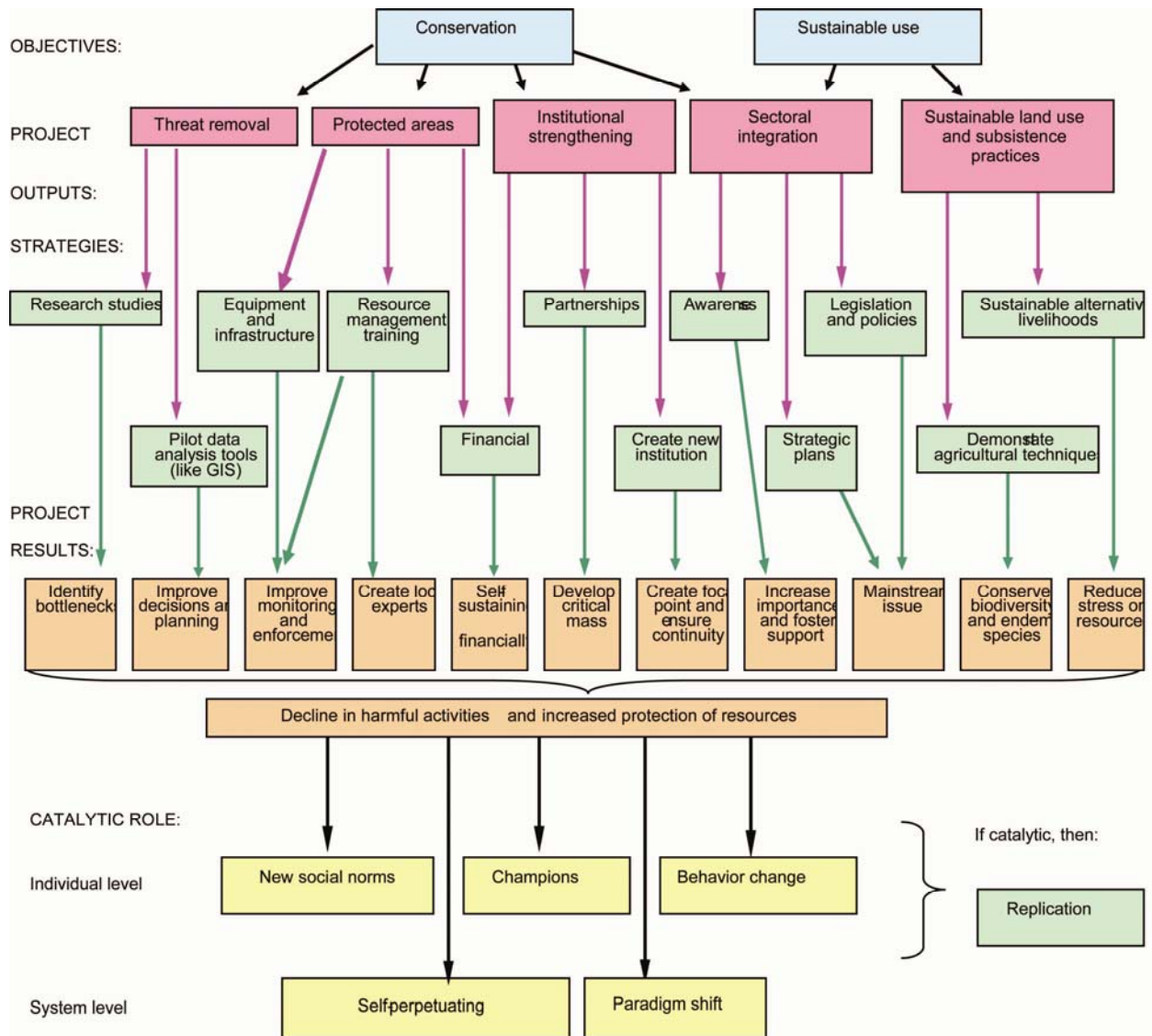
The framework diagram in figure 5.6 combines the stated objectives and outputs for biodiversity projects from the Operational Strategy with the strategies and results described in the terminal evaluations. The strategies and related results are assumed to be catalytic; however, in most cases they end up merely as activities carried out during a project that do not lead to results greater than the project itself. The main lesson from this observation is that, during the project design stage, the catalytic goal needs to be defined (for example, is the catalytic goal to change behavior or cause a paradigm shift?) and then strategies selected to achieve that goal.

A few examples from the terminal evaluations of strategies contributed to the catalytic role of a biodiversity project:

- **Behavior change.** At the beginning of the campaign, only 25 percent of people surveyed reported having attended a community meeting on marine resource management; that percentage had increased to 45 percent at the campaign's end. There were also indications of positive impact on behavior: 39 percent of fishermen with low to medium exposure to COREMAP [Coral Reef Rehabilitation and Management Project] reported using reef-friendly fishing gear as compared to 46 percent with high exposure. (Project no. 116, Indonesia)
- **New social norms.** The actual impact of this result is seen in particular at the level of the village communities which, although they do not know the legal texts, are aware of the prohibitions concerning them. Regulations are effectively enforced, in that the violators are denounced by the ecoguards and the public at large, (but sanctions are not always applied.) (Project no. 220, Comoros)
- **Champions.** The Mongolia project discussed below notes how the project provided trainings and leadership opportunities for a core group of local community members who furthered the goals of the project during its implementation and are willing to carry on toward the project's goals afterward through establishment of nongovernmental organizations (NGOs) and other projects. (project no. 250, Mongolia)
- **Self-perpetuating.** Besides the main capital plus interest which has been determined prior to borrowing the seed fund, each Pokmas is obliged to contribute to coral reef conservation fund, known as "Dana SeKarang!" or the "SeKarang! Fund." It is a small portion of the financial benefits, put aside as "user fee" to raise community understanding that: (i) in return for receiving valuable products from coral reef/ marine resources they must protect/ maintain the sustainability of the resources, by contributing to SeKarang! conservation fund, even if it is only 0.05% of the benefit; and (ii) the fund would be used to support coral reef surveillance and conservation activities. To date, the communities already collected at least Rp [rupiah] 300,000 to Rp 1,500,000 to the SeKarang Funds in each island. (Project no. 116, Indonesia)

- Paradigm shift** (the use of development plans before making decisions about coastal projects). The Caye development plans continue to be consulted by the various decision-making agencies and institutions. Their use has been made mandatory by the Department of Environment when considering development along the coast and on the cayes. This mainstreaming of the plans into coastal planning is a positive sign of continuity and sustainability of the initiative started under this project. (Project no. 592, Belize)

Figure 5.6: Biodiversity Projects Framework

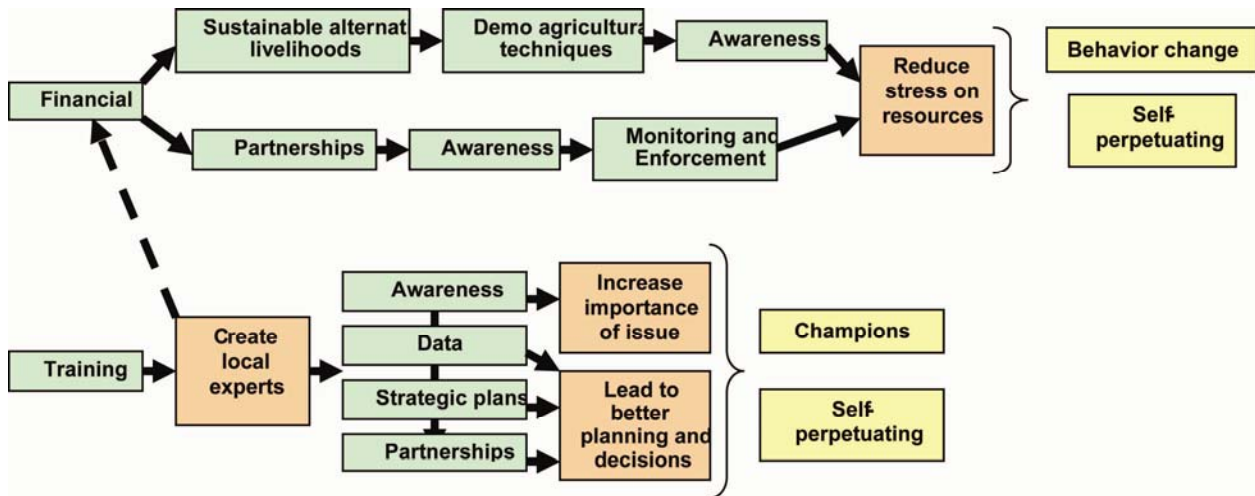


Sometimes individual strategies are implemented without consideration of what happens next—perhaps under the assumption that undertaking an activity will automatically trigger follow-up activities. The example below illustrates how often these activities implemented without clear connection to next steps fail to produce results greater than the project itself:

Regional networks established for project are informal, there is no agreement, institutional set-up or funding for them beyond the project. Thematic working groups were effective at sorting out concepts and general approaches; however, these were voluntary. There were no follow-up mechanisms to ensure standardization of implementation approaches and methodologies in countries (weakness of project design). (Project no. 400, Middle East)

Instead of choosing and implementing separate activities, strategies that are linked together and build on one another seem to result in the project having a more substantial catalytic role. Figure 5.7 presents an example from the Grasslands of Eastern Mongolia project (GEF #250), which maps out how an interrelated set of strategies changed the behavior of the community members, created local champions, and put into place systems that were self-perpetuating or would continue to build on themselves after the end of the project. The related quote from the project’s terminal evaluation follows the figure.

Figure 5.7: Example of Impacts of Interrelated Strategies in Mongolia



- From the Grasslands of Eastern Mongolia project (GEF #250):
 - Established a Community Conservation Fund.
 - This fund provided grants to develop innovative alternative livelihood projects.
 - Grants and training given to community groups to improve or develop new subsistence or revenue generating activities in order to reduce their dependency upon unsustainable activities and to compensate for giving up prohibited activities.
 - These groups also coordinated community patrolling groups and increased the detection of violations in the Biodiversity Zones.

- In 2004, the monthly income of the 325 households involved in CCF [Community Conservation Fund] projects had increased on average by MNT [Mongolian togs] 18,000 as compared to 2002 and the CCF activities acting as incentives for local communities to participate in conservation activities in the region contributed to increase local population awareness on the importance of biodiversity conservation
- The success of these CCF projects is largely attributable to the role played by the NCVs [national community volunteers]. They received training and carried out project activities such as community awareness building, data collection, and assisted with management plans.
- After the project, some of them established, on their own initiative, environmental NGOs, with the purpose of pursuing the work they initiated in the project framework, mainly the implementation of the buffer zone (BZ) management plans.

Another way to conceive of the catalytic role of a project are activities that are inspired by the project, but not originally planned during the project's design. Two examples from the same Mongolia project are:

Besides these funds set up with the project support, some communities having understood the advantages of solidarity efforts to build up and have a sum of money at the disposal of those who need it, have established their own local community funds to support the improvement of their people's livelihoods. The Dashbalbar buffer zone council has established its own environmental protection fund, showing the strong ownership of this community over its natural resources. (Project no. 250, Mongolia)

Through the capacity development (didactic material, posters) provided to biology teachers in the eastern aimags in collaboration with EMPAA, the project contributed to the emergence of a new advocacy group for the defense of environment. As a group they sent an official letter to the Dornod Governor, copy to EMPAA/MNE, to express their concern about the construction of a bridge in the Numrug SPA [Strictly Protected Area]. (Project no. 250, Mongolia)

The Belize Barrier Reef Complex project (GEF #592) provides an example of a project that failed to have a catalytic role, even though project implementation was satisfactory. Once the GEF funding ended, the project collapsed, because the project neither created champions nor identified a sustainable financial source. The terminal evaluation describes the situation as follows:

Unfortunately, this significant capacity to guide the delivery of ICZM [integrated coastal zone management] in Belize (Authority, Institute, Advisory Council) was all but lost at the close of the project when UNDP/GEF resources were expended, most of the staff left as of April 30, 2004 and the CEO [chief executive officer] of the Authority and the Di-

rector of the Institute resigned their positions...Further, the re-organization of government Ministries and concomitant roles and responsibilities, and the scramble for sustainable financing, particularly in the latter months of the project, has made it challenging for the key parties to maintain a focus on long-term goals. (Project no. 592, Belize)

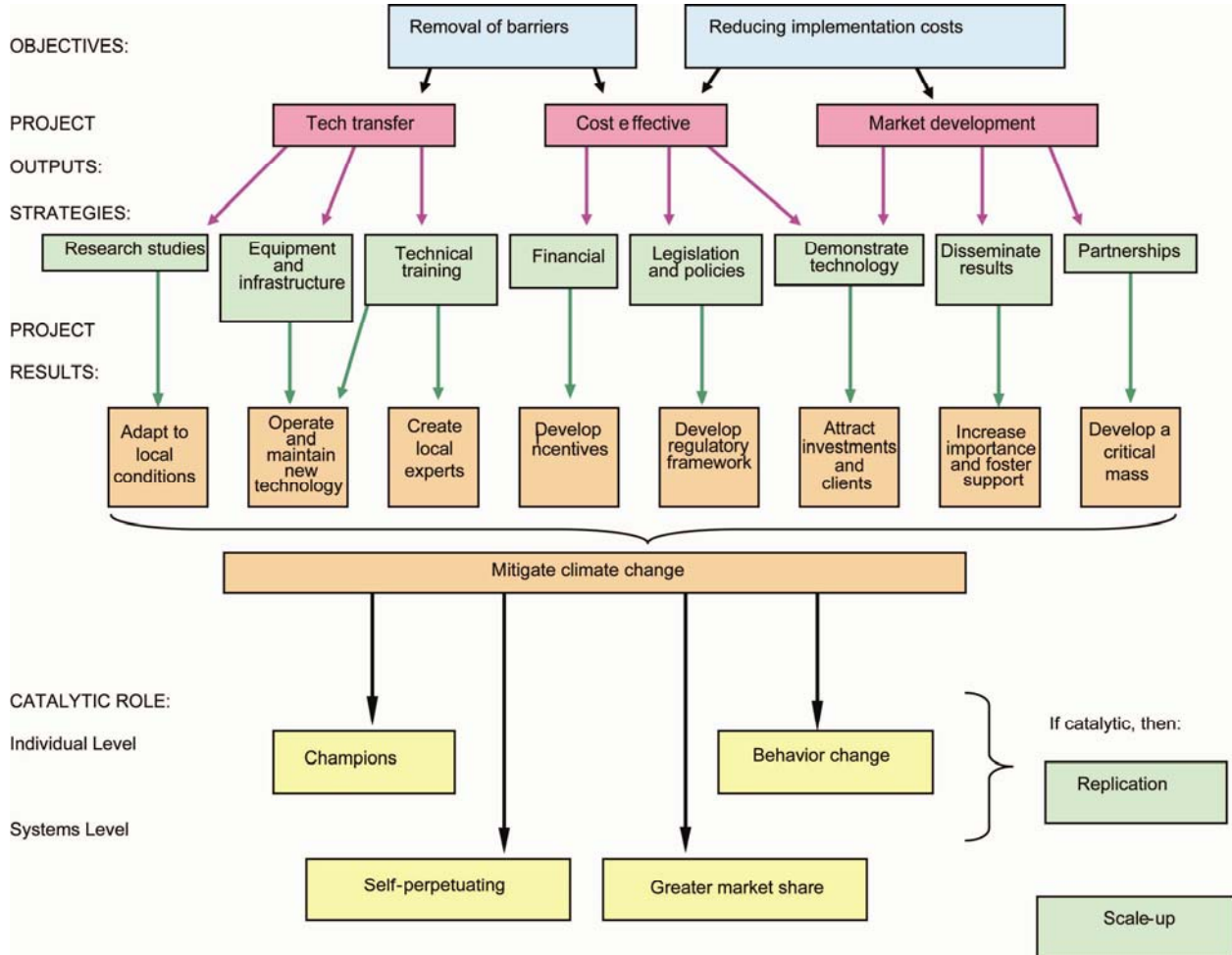
5.2 Climate Change

The framework diagram in figure 5.8 combines the objectives and outputs for climate change projects stated in the operational strategy documents with the strategies and results described in the terminal evaluations. Compared with biodiversity projects, this framework is narrower in scope, because it emphasizes the adoption of new types of energy-efficient technologies. A few examples of strategies from the terminal evaluations contributing to the catalytic role of climate change projects follow:

- **Behavior change** (by providing a visible feedback loop). The project has facilitated learning by requiring that data logger be installed with every new non-CFC [non-chlorofluorocarbon] chiller to keep track of the energy consumption data which have been used to provide clear evidence of energy saving from the CFC chiller replacement. With about two year worth of daily data, significant energy savings have been consistently proven. This has erased any doubts people had about the new chiller performance. (Project no. 540, Thailand)
- **Champions.** To increase its outreach and client support, IREDA [The Indian Renewable Energy Development Agency] established a cadre of business development associates in selected business centers of the country and is now piloting five regional representative offices. (Project no. 76, India)
- **Self-perpetuating** (through creating standards and an industry association to help to advocate for additional renewable energy investments). Solar companies such as Shell, Access, and Selco [Solar Electric Light Company], have entered the market and helped trigger the take-off in sales and general improvement in after-sales service. They have brought international standards into play and much of their professional management is provided by Sri Lankan staff. Components such as light bulbs are now manufactured locally and supply and service chains established. A total of about 80 service and distribution centers are now in place in Sri Lanka and a total of around 500 technicians have been trained and employed. The Solar industry provides direct and indirect employment to about 1500 people. An active Solar Industry Association (SIA) has come into being and is leading advocacy on industry concerns and renewable energy issues. (Project no. 104, Sri Lanka)
- **Greater market share.** The impact of the project on the Chinese industrial boiler sector has been broad and is considered substantial...All nine beneficiary boiler manufacturers successfully completed the transfer of international technology planned at project appraisal, and built prototypes (verification models) which met the predetermined and am-

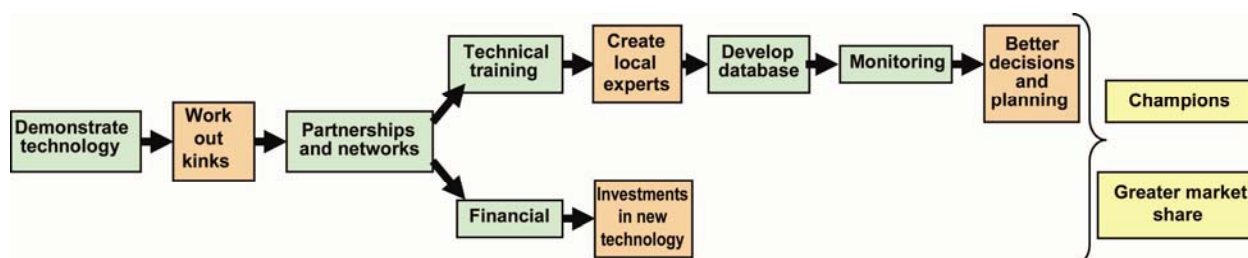
bitious energy efficiency and environmental performance criteria. Eight went on to commercial production of GEF-supported boiler models and have achieved initial sales success. (Project no. 97, China)

Figure 5.8: Climate Change Project Framework



Some of the climate change terminal evaluations also describe a chain of activities that facilitates the catalytic role of the project. Figure 5.9 is an example from the Bulgaria project (GEF #302) that maps out how municipal demonstrations of technology and an energy network through which to share those experiences created local champions and a greater demand for those technologies.

Figure 5.9: Impacts of Demonstration Strategy in Bulgaria



- From the Bulgaria Energy Efficiency Project (GEF #302):

EcoEnergy was designed to serve as an informal network of municipal energy managers in cities that are interested to share experience gained in demonstration projects in Gabrovo. The network members participated in numerous activities and trainings, including development of energy consumption database in their facilities and energy monitoring, training in energy planning and finance including Energy Performance Contracting, etc.... Although the project did not provide grants or subsidies for project implementation to the EcoEnergy network member municipalities (except for demonstration projects), it has attracted more than expected interest and participation of Bulgarian municipalities. Municipalities were interested to gain experience and to implement their energy efficiency projects on their own if their financial situation would allow.

The Energy-Efficient Building Technology project in Côte d'Ivoire and Senegal (GEF #376) provides an example of activities that were not sufficiently built on, thus resulting in a fragmented process chain that did not foster the catalytic role of the project:

However, a number of weaknesses has to be noticed. For instance, the project could not offer a training to all the influential targets, particularly the architects and the concerned administration officers. None of the two countries tried even partially to conform to these codes in the public building projects either new or renovated. Finally, the definitive enforcement of the codes (or guides) will occur only if the administrations and the actors of the two states really mobilize. The present report has formulated recommendations on that aspect. (Project no. 376, Côte d'Ivoire & Senegal)

Aside from building on project activities, two other considerations in designing a project with a catalytic goal is the community context and the appropriateness of the technology. Although the Small Hydel Resources project in India (GEF #386) undertook key activities that could have a catalytic result, the community members ultimately did not use the new technology.

The testing of these devices, and the demonstration and public dissemination of these appliances was undertaken by Consulting Engineering Services who in turn involved local NGOs in the areas for advocacy purposes. However the feedback from local users was reported to be far from encouraging. Our team's discussions with representatives of Tide

Technocrats as well as other concerned officials indicated that while water heating devices were well received by the local population the cost of these appliances was considered unaffordable by the local population. It was also revealed that devices such as space heaters and cookers did not evince much interest among local users. Discussions also indicated that the delayed funding and reimbursement of the NGOs for the advocacy services rendered, led to their progressive withdrawal and nonparticipation, and as a result of this no firm orders for these devices materialized. With this lack of firm orders the manufacturers of these devices could not sustain their efforts and soon lost interest and motivation for the further production and supply of these devices. (Project no. 386, India)

In this project, the catalytic role needed to take place on both the systems level—to create greater market share for the technology—and on the individual level—to convince community members to switch to using these new devices.

Aside from the planning for activities that lead to a catalytic role for a project, activities also happen outside the scope of the project that are inspired by the project itself, suggesting that the project is catalytic in nature. Two climate change project examples—the Energy Management project in Senegal (GEF #118) and the Rangeland Rehabilitation project in Sudan (GEF #37)—follow:

PROGEDE [Senegal Sustainable and Participatory Energy Management Project] sought to: (i) fund training to new stove producers to increase in-country stove production capacity; (ii) fund consumer awareness and marketing support to help stove dissemination; and most importantly, (iii) set-up a sustainable financial intermediation system which would enable certified new stove producer to set-up production facilities and operate until they would capitalized themselves and would qualify for regular commercial banking loans. These three objectives were fully met, with the additional merit that the participating (Senegalese Micro-Credit financial Institution agreed to provide a 1:1 matching fund against the IDA [International Development Agency] resources, which was not originally envisaged at Appraisal. (Project no. 118, Senegal)

Outside the project area, there is evidence of positive leakage as several villages that have not been involved in the project have, by virtue of accepting the premises of the intervention through contact with project villagers, begun to implement some of the project strategies. (Project no. 377, Sudan)

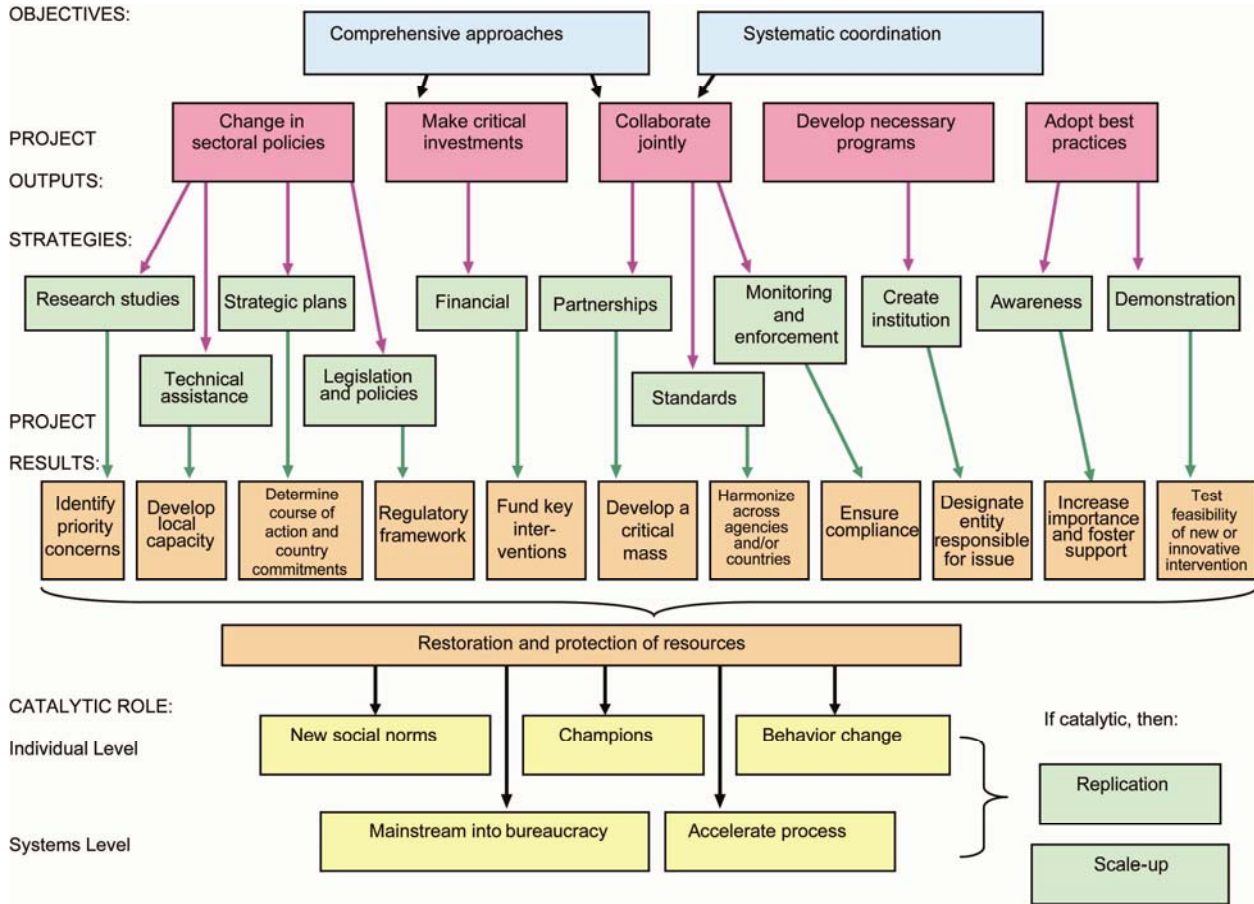
5.3 International Waters

The framework diagram in figure 5.10 combines the stated objectives and outputs for international waters projects from the operational strategy documents with the strategies and results described in the terminal evaluations. Similar to biodiversity projects, this framework is broad in scope, because it emphasizes changes in policies more than adoption of strategic plans for implementing those plans.

A few examples from the terminal evaluations of activities contributing to the catalytic role of an international waters project follow:

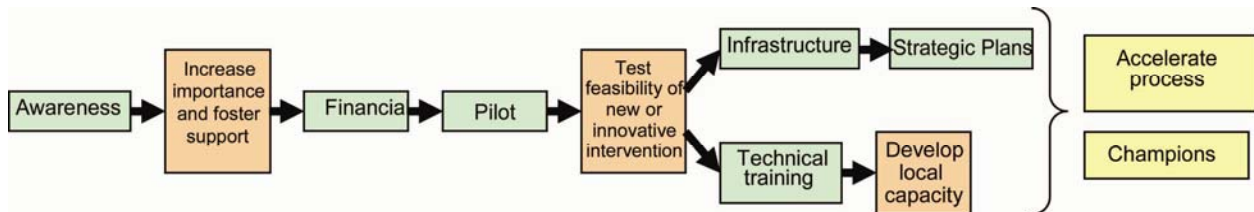
- **Behavior change.** In this project, the public's efforts to change old habits of disposing of their garbage on the roadside helped to increase the impact of the project. This was only achieved when community groups took it upon themselves to organize clean-up campaigns. Public awareness campaigns are relatively inexpensive methods for inducing significant change in community behavior. (Project no. 59, Regional Organisation of Eastern Caribbean States [OECS])
- **New social norms** (through changing decision-making processes). The Geographic Information Systems (GIS) activity has been completed beyond expectations. The GIS Division, formally assigned to the Environment Department, is now supporting all the Commissions of ASEZA [Aqaba Special Economic Zone Authority] and is heavily involved in the planning process, e.g. land use and infrastructure development. (Project no. 72, Jordan)
- **Champions.** Formulation of national plans reinforced political will and commitment among technical ministries, institutions, NGOs, and individuals to improve ecological situation of Black Sea. (Project no. 341, Regional Black Sea)
- **Mainstream into bureaucracy.** GloBallast [Global Ballast Partnerships] shows evidence of effectiveness in mainstreaming its objectives into the wider community—especially driving changes in the way that shipping and port managers are considering their environmental responsibilities. An issue that in the past was considered solely a question of ship safety has now been recognised as having significant environmental consequences. (Project no. 610, Removal of Barriers)
- **Accelerate a process.** The approach is based on the fact that the decision to ratify a convention depends on the technical capability of implementation of the convention in question, making the two processes very much interrelated. The Programme therefore worked with national administrations to formulate plans for the initial steps to be made before progressing towards improved implementation of conventions. The benefit to countries for taking these initial steps cannot be overestimated, for too many countries the prospect of implementing the technical aspects of pollution conventions is an intimidating hurdle. This is very well illustrated by a review of the requirements for the Philippines to implement the International Convention for the Prevention of Pollution from Ships, or MARPOL. There were many requirements which the country was not prepared to meet. However, ratification is well on the way as a result of the Programme's intervention. (Project no. 396, East Asian Seas)

Figure 5.10: International Waters Project Framework



Some of the international waters terminal evaluations also describe a chain of activities that facilitate the catalytic role of the project. Figure 5.11 is an example from the Regional Water and Environmental Management project for the Aral Sea (GEF #73), which maps out how awareness about dam safety issues created local champions and accelerated the process for rehabilitating those dams. The related quote from the terminal evaluation follows the figure.

Figure 5.11: Example of Chain of Activities from Regional Aral Sea Project



- From the Water and Environmental Management project for the Aral Sea (GEF #73):

Support for the safety assessment of 10 dams helped to create awareness among the governments about the urgency of problems related to dam infrastructure, and led to several follow-up investments. With the support of pilot projects, the safety of at least nine dams has been improved. Several professionals have been trained in dam safety assessment and are serving on the panels of experts for dam safety. Initially, governments gave only limited support for the component, since decision makers across the basin were not aware of the dangers posed by the unsafe dams. However, by the end of the project the activity enjoyed the countries' full support...Rehabilitation of these dams is also helping to resolve the water and energy conflicts between upstream and downstream users by increasing re-regulating capacity below the Naryn Cascade on the Syr Darya and increasing the supply of water to generate energy in winter and irrigate crops in summer.

The Lake Victoria Environmental Management Project (GEF #88) provides an example of activities that were not sufficiently built on, thus resulting in a fragmented process chain that did not foster the catalytic role of the project:

The overall project strategy seems to have placed emphasis on data and research, rather than on key management issues of Lake Victoria. It has not been made clear how the data that has been collected will be used—or even *who* will use it with regard to management decisions about the lake. A management information systems (MIS) strategy was not developed, even though each National Secretariat has a MIS officer. The MIS officers have been used mainly for producing information about the activities of the project. A relevant MIS strategy would have identified who the decision-makers are concerning the Lake, what sort of information they need to make informed decisions, and then describe how the information was to be collected, presented, distributed and followed-up. This would have been a core element in the planning, implementation and monitoring of LVEMP.

6 Possible Conceptual Framework

Figures 6.1 and 6.2 attempt to combine information from the qualitative analysis of the terminal evaluations and describe the catalytic role of GEF projects. Figure 6.1 depicts the way projects are implemented through the use of process chains that incorporate both foundation and momentum type activities and how those chains can both draw additional actors and resources to the project as well as launch activities that will continue after the completion of the project. Seven basic characteristics of this catalytic process are to

- create a foundation that launches other activities,
- trigger activity or action by key actors,
- build momentum,

- pique the interest and involvement of outside actors and/or resources,
- inspire activities outside scope of project, and/or
- set a new course/direction (such as through a paradigm shift or changing behavior), and/or
- accelerate an already existing process.

Figure 6.1: Project Implementation through Process Chains

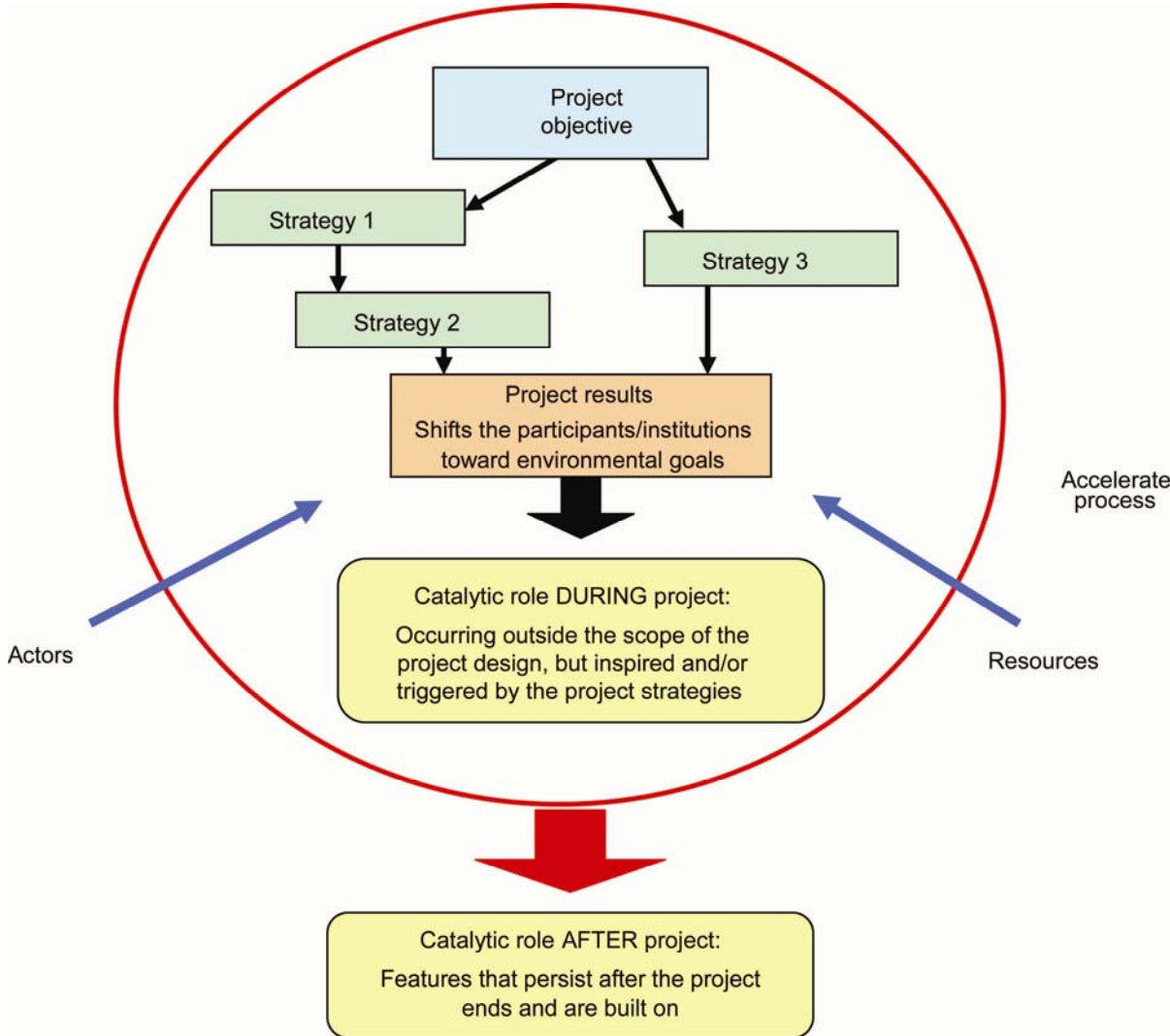
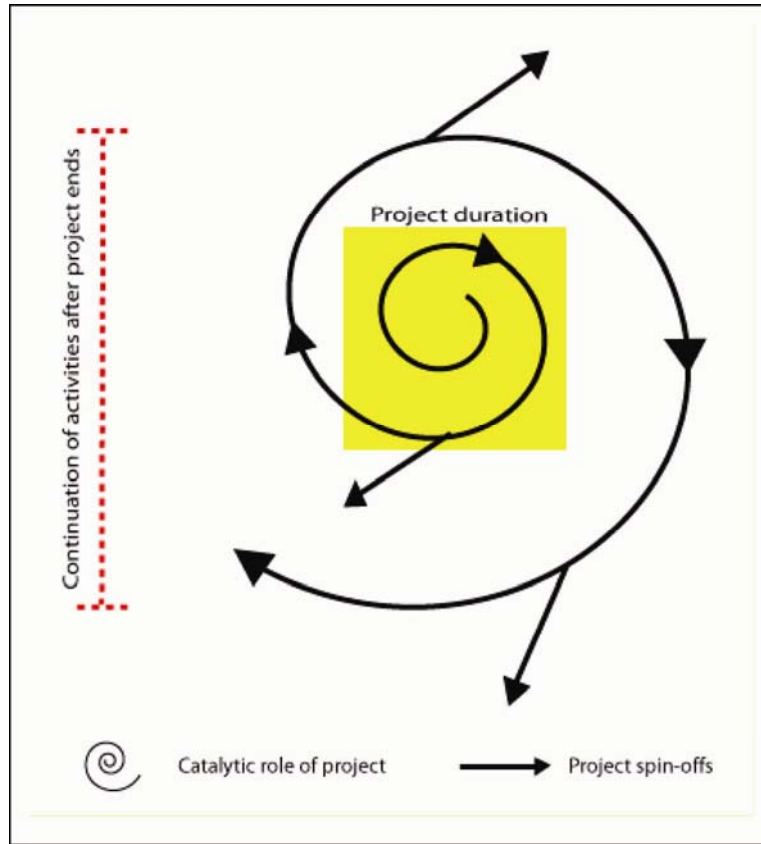


Figure 6.2 depicts the catalytic process itself, in which additional projects or actors “spin off” from the original project, and the initial project helps to establish a self-perpetuating system, so the project triggers both expansion and reinvestment that promotes a greater response to the environmental issue.

Figure 6.2: The Catalytic Process



Two quotes from different protected area projects help to illustrate the difference between a regular project and a catalytic project:

- Regular

This project allowed many MPAs [marine protected areas] to move from “paper parks” into functioning protected areas. Previous to the project, only 2.3 percent of MPAs were operational. The project has caused this to increase to 51.5 percent of MPAs being operational (July, 2004). All 5 management plans have been revised and the MPAs are currently utilizing these plans to guide the daily management of the reserves. MPA staff has received the necessary training including patrolling and enforcement, boat maintenance, monitoring and assessing management effectiveness. The MPAs have received basic infrastructure, boats and monitoring equipment, with 24-hour staff appointments. With the human and physical infrastructure largely in place, the focus now is to make it operational in an efficient and effective manner and to maintain that which has been achieved. (Project no. 592, Belize)

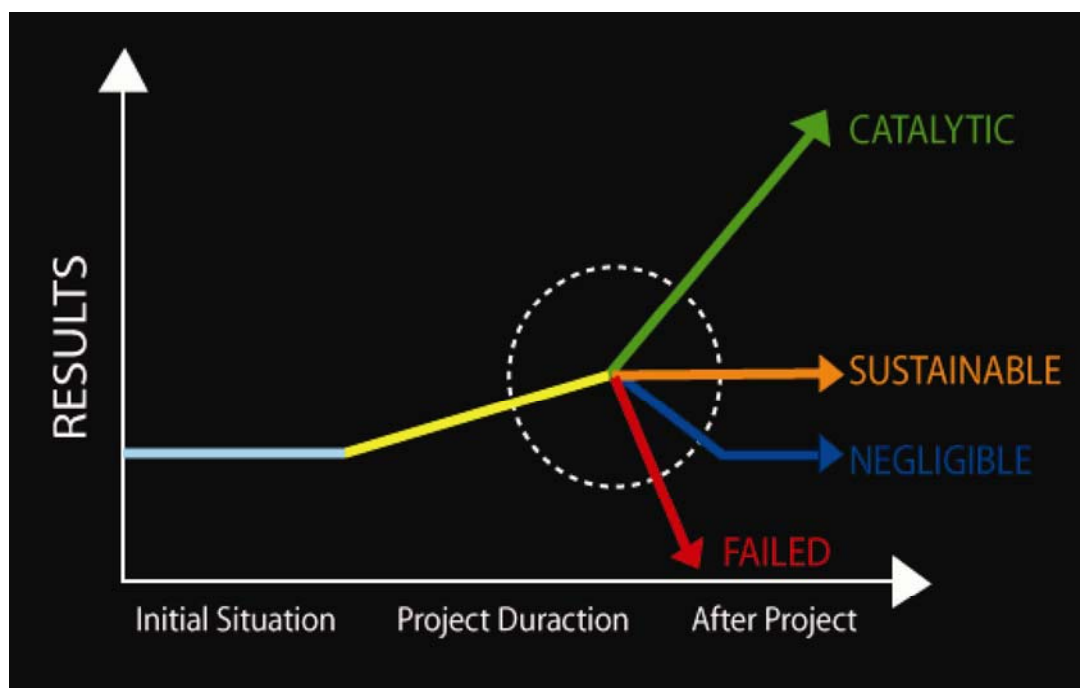
- Catalytic

Through training and equipment upgrading at the nine participating nature reserves, field patrol staff and monitors recruited from local communities were trained in patrolling, basic scientific data collection and reporting. Their work now forms the backbone of the reserves’ ecological monitoring and management programs. The project emphasis on training of trainers has significantly increased SFA’s capacity to promulgate lessons learned under the project, to the benefit of other reserves within its national system. Based on methods and tools developed under the NRMP [Nature Reserves Management Project], a systematic national training program has been incorporated into the (project sponsored) National Forestry Sector Reserve System Plan. It addresses future development of the 171 SFA-administered A-level national nature reserves and nearly 1500 other nature reserves established in the forestry sector. (Project no. 83, China)

Although the first example took the management of the protected area to the next level, the second example ensured that the management lessons would continue to be shared and built on through a training of trainers program and incorporation into the national training program.

In addition, figure 6.3 portrays four possible results after the end of a GEF project. The catalytic and sustainable arrows match with the two quotes provided above for Belize and China; the “negligible” arrow describes a result in which the situation returns back to its pre-project starting point, whereas the “failed” arrow describes a project that makes the situation worse off.

Figure 6.3: Four Possible Results after a GEF Project Ends



Annex A: List of Projects Sampled for This Study

GEF ID #	IA	Focal area	Region	Country name	Project name	Closing Date	TER ratings		
							TE Project Outcome	EO TE Project Outcome	Ratings based on 2005 methodology
OP 1									
55	WB	BD	AFR	Regional (Burkina Faso and Côte d'Ivoire)	West Africa Pilot Community-Based Natural Resource and Wildlife Management	30-Jun-04			3
351	UNDP	BD	AFR	Ethiopia	A Dynamic Farmer-Based Approach to the Conservation of African Plant Genetic Resources	1-Sep-97			
250	UNDP	BD	Asia	Mongolia	Biodiversity Conservation and Sustainable Livelihood Options in the Grasslands of Eastern Mongolia	5-Jun-05			5
400	UNDP	BD	Asia	Regional (Jordan, Lebanon, Palestinian Authority, and Syria)	Conservation and Sustainable Use of Dryland Agro-Biodiversity of the Fertile Crescent	31-Dec-03			4
OP 2									
116	WB	BD	Asia	Indonesia	Coral Reef Rehabilitation and Management Project (COREMAP I)	31-Jul-04			5
220	UNDP	BD	AFR	Comoros	Conservation of Biodiversity and Sustainable Development in the Federal Islamic Republic of Comoros	23-Nov-02			
223	UNDP	BD	Asia	Yemen	Conservation and Sustainable Use of the Biodiversity of Socotra Archipelago	30-Apr-02	6	5	5
592	UNDP	BD	LAC	Belize	Conservation and Sustainable Use of the Barrier Reef Complex	31-Apr-04	4	4	4
OP 3									
83	WB/UNDP	BD	Asia	China	Nature Reserves Management	30-Jun-02	6	5	
101	WB	BD	AFR	Uganda	Institutional Capacity Building for Protected Areas Management and Sustainable Use (ICB-PAMSU)	30-Apr-03			4
84	WB/UNDP	BD	Asia	India	India Ecocodevelopment	30-Jun-04	5	4	4
134	WB	BD	AFR	South Africa	Cape Peninsula Biodiversity Conservation Project	30-Jun-05			6
117	WB	BD	LAC	Nicaragua	Atlantic Biological Corridor	30-Sep-05			5
OP 4									

54	WB	BD	AFR	Uganda	Bwindi Impenetrable National Park and Mgahinga Gorilla National Park Conservation	31-Dec-00	4	4	
192	UNDP	BD	Asia	Bhutan	Integrated Management of Jigme Dorji National Park	29-May-02			
541	UNDP	BD	AFR	Regional (Kenya, Tanzania, and Uganda)	Reducing Biodiversity Loss at Cross-Border Sites in East Africa	24-Apr-03	5	5	5
932	UNDP	BD	ECA	Russian Federation	Demonstrating Sustainable Conservation of Biological Diversity in Four Protected Areas in Russia's Kamchatka Oblast, Phase I				5
STRM—Biodiversity									
126	WB	BD	LAC	Brazil	Brazilian Biodiversity Fund	28-Feb-04	5	5	5
62	WB	BD	LAC	Mexico	Protected Areas Program	30-Jun-98	6		
142	UNEP	BD	CEX	Global (Brazil, China, Ghana, Guinea, Kenya, Papua New Guinea, Tanzania, and Uganda)	People, Land Management, and Environmental Change (PLEC)	28-Feb-02			
OP 5—Boilers									
97	WB	CC	Asia	China	Efficient Industrial Boilers	30-Jun-04	5	5	5
540	WB	CC	Asia	Thailand	Building Chiller Replacement Program	30-Sep-05			5
OP 5—Buildings									
292	UNDP	CC	ECA	Russian Federation	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	1-Feb-02	5	5	5
302	UNDP	CC	ECA	Bulgaria	Energy Efficiency Strategy to Mitigate Greenhouse Gas Emissions	1-Dec-02	6		
376	UNDP	CC	AFR	Regional (Côte d'Ivoire and Senegal)	Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	01-Sep-00			
934	UNDP	CC	ECA	Ukraine	Climate Change Mitigation in Ukraine through Energy Efficiency in Municipal District Heating (Pilot Project in Rivne)		6	5	5

GEF ID	IA	Focal area	Region	Country name	Project name	Closing date	TER ratings		
							TE project outcome	EO TE project outcome	Ratings based on 2005 methodology
OP 6—RE/ESCO and/or hydro									
76	WB	CC	Asia	India	Alternate Energy	31-Dec-01	5	5	
386	UNDP	CC	Asia	India	Optimizing Development of Small Hydel Resources in Hilly Areas	1-May-99	5	4	4
104	WB	CC	Asia	Sri Lanka	Energy Services Delivery	31-Dec-02	5	5	
637	WB	CC	ECA	Macedonia	Development of Mini-Hydropower Plants	30-Jun-04			6
OP 6—Biomass									
370	UNDP	CC	Asia	India	Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	31-Aug-00			5
940	UNDP	CC	Asia	Malaysia	Biomass-Based Power Generation and Co-generation in the Malaysian Palm Oil Industry, Tranche I				4
123	WB	CC	ECA	Latvia	Solid Waste Management and Landfill Gas Recovery	31-Dec-04			5
127	WB	CC	ECA	Czech Republic	Kyjev Waste Heat Utilization	31-Mar-01	4	2	
STRM—Carbon Sequestration									
118	WB	CC	AFR	Senegal	Sustainable and Participatory Energy Management	31-Dec-04			5
377	UNDP	CC	AFR	Sudan	Community-Based Rangeland Rehabilitation for Carbon Sequestration	28-Feb-00			
OP 8									
72	WB	IW	Asia	Jordan	Gulf of Aqaba Environmental Action Plan	01-Dec-99	5		
88	WB	IW	AFR	Regional (Kenya, Tanzania, and Uganda)	Lake Victoria Environmental Management	31-Dec-05			4
341	UNDP	IW	ECA	Regional (Bulgaria, Georgia, Romania, Russian Federation, Turkey, and Ukraine)	Developing the Implementation of the Black Sea Strategic Action Plan	01-Sep-97		2	
460	UNDP	IW	ECA	Regional (Belarus, Russian Federation, and Ukraine)	Preparation of a Strategic Action Programme (SAP)	1-Apr-01			5

					for the Dnieper River Basin and Development of SAP Implementation Mechanisms				
OP 9									
73	WB	IW	ECA	Regional (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan)	Water and Environmental Management in the Aral Sea Basin	30-Jun-03	2		
396	UNDP	IW	Asia	Regional (Brunei, Cambodia, China, Indonesia, Korea Democratic Peoples' Republic, Malaysia, Philippines, Republic of Korea, Singapore, Thailand, and Vietnam)	Prevention and Management of Marine Pollution in the East Asian Seas	30-Sep-99			
394	UNDP	IW	Asia	Yemen	Protection of Marine Ecosystems of the Red Sea Coast	26-May-99		2	
OP 10									
532	UNDP/WB	IW	CEX	Global	Strengthening Capacity for Global Knowledge-Sharing in International Waters	31-Dec-02			
610	UNDP	IW	CEX	Global	Removal of Barriers to the Effective Implementation of Ballast Water Control and Management Measures in Developing Countries	31-Dec-04		5	5
59	WB	IW	LAC	Regional (Antigua and Barbuda, Dominica, Grenada, St. Lucia, St. Kitts and Nevis, and St. Vincent and Grenadines)	Ship-Generated Waste Management	30-Jun-03	5		
533	WB	IW	AFR	Regional (Comoros, Madagascar, Mauritius, and Seychelles)	Western Indian Ocean Islands Oil Spill Contingency Planning	30-Jun-04	5	5	5

Notes: AFR = Africa; CEX = global; ECA = Eastern Europe and Central Asia; EO = GEF Evaluation Office; IA = GEF Implementing Agency; ID = identification number; LAC = Latin America and the Caribbean; OP = GEF operational program; RESCO = renewable energy services company; STRM = short-term response measure; TE = terminal evaluation; TER = terminal evaluation review; UNEP = United Nations Environment Programme; WB = World Bank.

Annex B: Atlas.ti Coding Scheme

Strategies	How	Example
Awareness	<ul style="list-style-type: none"> • Increase knowledge about the issue • Disseminate project results 	“Project information dissemination activities...helped to widely disseminate the information on project and its results among wider audience, including relevant decision makers at municipal and utility level, as well to general public.” (Project no. 302, Bulgaria)
Create markets	<ul style="list-style-type: none"> • For new technologies • Incentives 	“The Solar industry was at a nascent stage when the project became effective...The ESD [Energy Services Delivery] project has catalyzed the market for SHS [solar home systems] and the average annual sales industry sales were about 850 systems/month in 2002, achieved by 4 companies.” (Project no. 104, Sri Lanka)
Demonstration	<ul style="list-style-type: none"> • Provide a model • Show demand and use for product 	“To develop a package of commercially viable and environmentally sound technologies, on the basis of installation and commissioning of twenty demonstration units at various selected places, for generation and use of small hydel power and to develop appropriate models for ownership, management and maintenance of the small hydel projects.” (Project no. 386, India)
Individual capacity building	<ul style="list-style-type: none"> • Technical skills • Resource management 	“Field patrol staff and monitors recruited from local communities were trained in patrolling, basic scientific data collection and reporting. Their work now forms the backbone of the reserves’ ecological monitoring and management programs.” (Project no. 83, China)
Institutional capacity building	<ul style="list-style-type: none"> • Standards • Partnerships and networks • Legislation and policies • Strategic plan • Financial • Database developed • Institution created • Framework • Infrastructure • Equipment • Research projects • Monitoring and enforcement 	“[The Project] seeks to develop national capacity to ratify and implement these conventions through database, marine legislation training, and opportunities for public sector-private sector partnerships. As a direct service to national governments, the project provides guidelines on national legislation that would facilitate the implementation of international conventions.” (Project no. 396, East Asian Seas)
Modernize systems	<ul style="list-style-type: none"> • Upgrades • Replacement • Remediation 	“The objective of modernization and expansion of the district heating network in the City of Kyjov and linkage with the CHP [combined-cycle heat and power] plant was also achieved...Fifteen old boiler houses were decommissioned, reconstructed and replaced with new heat exchanger sub-stations.” (Project no. 127, Czech Republic)
Pilot	<ul style="list-style-type: none"> • Model new concept or product 	“This component intended to pilot the feasibility of small-scale wind power generation projects in Sri Lanka from a technical and commercial standpoint.” (Project no. 104, Sri Lanka)
Protected area	<ul style="list-style-type: none"> • Creation • Expansion 	“This project allowed many MPAs to move from ‘paper parks’ into functioning protected areas. Previous to the project, only 2.3 percent of MPAs were operational. The project has caused this to increase to 51.5 percent of MPAs being operational. This includes 7 new MPAs established under the project.” (Project no. 592, Belize)

Strategies	How	Example
Replication	<ul style="list-style-type: none"> • Technique/program used by another entity 	<p>“The successful results from the demonstration projects in Gabrovo, which were made known to a large number of municipalities in Bulgaria thanks to the targeted information and training activities of EcoEnergy, played the role of a catalyst for a large number of similar projects in Network member-municipalities.” (Project no. 302, Bulgaria)</p>
Scale-up	<ul style="list-style-type: none"> • Expansion of project • Incorporation into national government or agency 	<p>“A methodology to monitor pasture condition was developed by the project and approved by the Institute of Hydrometeorology and Environmental Monitoring in 2001. It is now incorporated into the National Manual for Rangeland Health Monitoring and recognized for use on nationwide scale.” (Project no. 250, Mongolia)</p>
Sustainable economic activity	<ul style="list-style-type: none"> • Alternative livelihoods for local communities • Local production systems diversified • Ecotourism 	<p>“This component aimed at providing small grants to community groups in the areas surrounding the parks for income-generating projects to replace revenues lost when access to forest resources in the parks were restricted and projects consistent with biodiversity conservation.” (Project no. 54, Uganda)</p>

Annex C: Mentions of “Catalytic” in Terminal Evaluations

The following is a listing of terminal evaluation quotes that mention the term catalytic or associated terms (boldface added):

- **Piques interest and involvement of outside actors (draws to project)**

The project would also **catalyze greater private sector investment** in tourism enterprises by supporting the Uganda Tourist Board’s promotional activities, strengthening governmental support services such as collection of tourism statistics and hotel classifications, helping to ensure a conducive environment for investment in sustainable tourism enterprises, providing technical and other assistance to encourage the development of small and medium scale tourism related enterprises. A parallel program funded by the European Union would compliment these efforts. (Project no. 101, Uganda)

Use limited resources to **catalyse projects and leverage other sources of funding**: TMF [Table Mountain Fund] works on the principle that a small amount of funding can catalyse significant outcomes through appropriate co-funding and project partnerships. This also leverages stakeholder commitment and supports sustainability. (Project no. 134, South Africa)

The successful results from the demonstration projects in Gabrovo, which were made known to a large number of municipalities in Bulgaria thanks to the targeted information and training activities of EcoEnergy, **played the role of a catalyst for a large number of similar projects in Network member-municipalities**. The municipalities of Stara Zagora, Varna and Gorna Oriahovitz implemented projects for energy efficiency retrofit of hospital buildings. The municipalities of Rousse, Stara Zagora, Varna, Pernik, Kazanlak, Pazardjik and Belogradchik implemented projects for energy efficiency retrofit of school buildings. The municipalities of Stara Zagora, Rousse, Sliven, Pazardjik, Pernik, Omurtag, Svishtov and Blagoevgrad implemented projects for energy efficiency reconstruction of street lighting systems. In addition to the above listed municipalities, a number of other municipalities, which are not yet members of EcoEnergy, implemented or are implementing projects for retrofit of hospitals, educational establishments and street lighting systems. (Project no. 302, Bulgaria Energy)

The project has **catalyzed efforts by other donors**, such as the USAID [United States Agency for International Development] MERC [Middle East Regional Cooperation Program] project, which is based on operational capacity built by the project. A joint Jordanian and Israeli sea monitoring program is being devised under the USAID MERC project. ASEZA has been confirmed as Jordan’s official representative to PERSGA [Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden] and has already been recognized as a leader in carrying out the PERSGA agenda, having been instrumental in increasing regional cooperation and information exchange. (Project no. 72, Jordan)

- **Sets a new course**

The CAPE Strategy is acknowledged globally as one of the most advanced and innovative of bio-regional conservation initiatives. The project represented a first serious attempt to apply the CBD ecosystem approach to conservation, and **catalysed a paradigm shift** from species-based and “in-park” conservation management approaches to landscape-level conservation strategies and activities across the country. The scientific approach adopted by CAPE, the first of its kind in the world, pioneered a new way of identifying biodiversity priorities. Both the National Spatial Biodiversity Assessment (2004) and the National Biodiversity Strategy and Action Plan (2005) incorporated insights and lessons from the project, as did other ecoregional/bioregional programs in South Africa in the Succulent Karoo, the Subtropical Thicket, KwaZulu-Natal, the Wild Coast and the Grass-

lands. The project provided a springboard for the recently established SA National Biodiversity Institute (SANBI) to establish a directorate of Bioregional Planning and Programs. The CAPE strategy and its implementation have also influenced landscape and bioregional planning in a number of other parts of the world, including the Eastern African Marine Ecoregion (Kenya, Tanzania and Mozambique), the Central Annamites (Vietnam), an Eastern Africa Coastal Forests, as well as seven dryland ecoregional programs of WWF [World Wide Fund for Nature].” (Project no. 134, South Africa)

- **Builds momentum within a project by linking strategies to one another**

SANParks [South Africa National Parks], WWF-SA [World Wide Fund for Nature–South Africa], and SANBI [South Africa National Biodiversity Institute] all expressed the feeling that the project had **catalyzed important national and local developments in policy, legislation and approaches to conservation**, facilitated institutional strengthening, co-ordination, alignment and efficiency, built great capacity and momentum in the conservation community, supported the evolution of good practice and significantly facilitated the sustainable conservation of the CFR [Cape Floristic Region]. (Project no. 134, South Africa)

In October 1996, the governments of the Black Sea riparian countries signed the regional Strategic Action Plans that have been worked out thanks to the project material and logistic support. Consequently, each country decided to invest in eliminating the pollution hot spots and to adjust national legislation and norms to the regional or international standards. Starting from 1997, the countries, assisted by the second project, began to work out national strategic action plans. Presently, they are in the process of adopting the national SAPs [strategic action plans], and continue to include the regional and national priority investments indicated in the SAPs in national investment plans. In summary, both projects were **catalysts in mobilization the riparian countries for reversing the environmental degradation of the Black Sea**. (Project no. 341, Regional Black Sea)

- **Inspires activities outside scope of project**

The GEF/UNDP project has been designed as a **catalyst of energy efficiency activities in Bulgaria**. The project itself provided a major impulse in initiating energy efficiency activities and developing necessary expertise in Bulgaria. There have been developed and implemented 40 energy efficiency projects in participating municipalities and training in energy planning, project development and financing have been performed. Several of the EcoEnergy member municipalities have decided to go further than originally planned and have implemented additional energy efficiency projects. An example is the demonstration zone in Gabrovo, where the municipality has decided to implement additional energy efficiency retrofit project in its town hall building. (Project no. 302, Bulgaria)

GEF support can have a **catalytic role, as evidenced by the impressive number of parallel and spin-off projects generated**, at least partly from WEMP [Water and Environment Management Project]. Among these was a decision by Uzbekistan to expand wetlands restoration with its own funds, investments under the Bank-supported Uzbekistan Drainage, Irrigation and Wetlands Improvement project, and the Kazakhstan SYNAS [Syr Darya Control and Northern Aral Sea project Kazakhstan] projects. (Project no. 73, Regional Aral Sea)

- **Creates foundation that launches other activities**

The support and guidance of the main agencies involved (MEWC [Ministry of Energy, Water, and Communications], PTM [Pusat Tenaga Malaysia], MPOB [Malaysian Palm Oil Board], and BPMB [Bank Pembangunan Malaysia Berhad]), and UNDP-GEF in the implementation of the BioGen [Biomass Grid-Connected Power Generation and Co-Generation] Project brought about the significant achievements of the Project which have contributed towards important measurable

impacts that the Project has started to make in Malaysia. These contributions include building important networks, developing and establishing biomass energy policies, building capacities of the institutions, developing and establishing financing assistance programs, **identifying full scale models to catalyze business/investment decisions** and laying the groundwork for biomass energy technology development. (Project no. 940, Malaysia)

Safeguarding, Transboundary Groundwater Resources: This component has been completed satisfactorily in conjunction with the monitoring committee and within the project's limits and is **catalyzing larger scale efforts based on operational capacity built by the project**. (Project no. 72, Jordan)

- **Triggered key actors or activity**

The Programme has **catalyzed closer cooperation between participating governments**, as evidenced by the following: (1) experts of the three littoral states of the Malacca Straits work together on common themes and methodologies agreed by their official representatives; (2) the three countries have cooperated to produce an environmental information system for the Malacca Straits involving 33 scientific staff in three universities; (3) the development of marine electronic highway project; and (4) the active participation at the annual intergovernmental meetings on project design, work plan, budget, and project review (tripartite meeting). (Project no. 396, East Asian Seas)

The concept of the Implementation Team was an **extended family of qualified professionals that emerged from the IW:LEARN [IW: International Waters: Learning Exchange and Resource Network] training process and who would catalyze and implement actions on a regional basis**. (Project no. 532, Global)

As expected, the GEF alternative has promoted the creation and maintenance of regional oil spill response capacity in the western Indian Ocean islands. The GEF alternative has also provided the **catalyst to bring governments and the local and international oil and shipping industries together in a cooperative partnership** that will be sustained through the establishment of a permanent regional collaboration and financing mechanism. Furthermore, oil companies have pledged to provide technologies and expertise to address oil spill emergencies. (Project no. 533, Regional Western Indian Ocean)

Perhaps its most important achievement, the project **catalyzed the creation of a regional oil spill contingency plan** and the regional coordination center to lead the response of countries to a major oil spill. (Project no. 533, Regional Western Indian Ocean)

The future augurs well for continuation of many activities that GloBallast [Global Ballast] has instigated and/or assisted in developing. The strong prospects for continuation provide the basis for a highly satisfactory rating on sustainability. First and foremost, there can be expected not only a continuation of interest, but in fact expanded interest in ballast water issues as result of the approved BW [Global Ballast Water] Convention. GloBallast played a **catalytic role in the eventual completion of the convention, with the pilot countries serving as leading proponents**. (Project no. 610, Removal of Barriers)

Annex D: Frequency of Strategies by Focal Area

Sample Biodiversity Projects (Part I)

		#192, Bhutan (Rating = n/a)	#54, Uganda (Rating = 4)	#541, Regional (Rating = 5)	#932, Russia (Rating = 5)	#250, Mongolia (Rating = 5)	#351, Ethiopia (Rating = n/a)	#400, Regional (Rating = 4)	#55, Re- gional (Rating = 3)	#116, Indonesia (Rating = 5)	#220, Comoros (Rating = n/a)	#223, Yemen (Rating = 5)	#592, Belize (Rating = 4)	
Foundation	Awareness	2	1	2	2	8	0	4	0	1	5	3	3	
		0	0	0	0	0	0	1	0	1	2	0	1	
	Individual capac- ity building	1	1	3	1	7	2	2	2	2	2	2	1	3
		0	0	0	0	0	1	2	1	0	2	2	1	0
Institutional capacity building	2	8	5	4	14	2	5	5	5	5	11	9	7	
	3	1	1	1	5	2	3	6	0	8	2	2	3	
Momentum	Create markets	0	0	0	0	0	2	0	0	0	0	0	0	
		0	0	0	0	0	0	0	0	0	0	0	0	
	Demonstration	0	1	0	0	2	2	0	0	0	0	0	2	1
		0	0	0	0	0	0	1	0	0	0	0	1	0
	Pilot	1	1	0	0	2	0	0	0	2	0	0	1	0
		0	0	0	0	0	0	0	1	2	0	0	1	0
	Protected area	0	0	0	0	1	0	0	1	0	0	0	0	0
		0	0	0	1	0	0	0	0	0	1	0	0	0
Sustainable economic activi- ties	1	1	1	1	1	0	0	1	1	1	0	0	0	
	3	1	1	0	1	0	1	2	0	0	0	1	0	
Expansion	Replication	1	0	0	0	2	0	1	1	3	0	1	1	
		0	0	0	0	0	0	0	0	1	1	1	0	
	Scale-up	1	0	2	0	4	0	1	2	0	0	0	0	
		0	0	0	0	0	0	0	1	0	0	1	0	

Sample Biodiversity Projects (Part II)

		#101, Uganda (Rating = 4)	#117, Nicaragua (Rating = 5)	#134, S. Africa (Rating = 6)	#83, China (Rating = 5*)	#84, India (Rating = 4)	#126, Brazil (Rating = 5)	#142, Global (Rating = n/a)	#62, Mexico (Rating = 6)	TOTAL BD (parts I and II)	Percent of strategy group ^a	Average number of strategies in projects ^b	
Foundation	Awareness	0	1	1	1	2	0	2	0	38	15.5	2.87	
		0	0	0	0	0	0	0	0	5			
	Individual capacity build- ing		2	3	1	2	2	0	2	1	40	17.7	2.58
			2	0	0	0	0	0	0	0	9		
	Institutional capacity build- ing		11	19	11	5	5	4	3	6	141	66.8	9.25
			2	2	0	0	2	1	1	1	44		
Create mar- kets		0	0	0	0	0	2	0	0	4	6.3	2.00	
		0	0	0	0	0	0	0	0	0			
Demonstration		0	0	2	0	0	1	2	0	13	23.4	1.67	
		0	0	0	0	0	0	0	0	2			
Momentum	Pilot		0	0	1	0	0	0	0	8	20.3	1.63	
			1	0	0	0	0	0	0	5			
Protected area		0	0	0	1	0	0	0	0	3	7.8	1.00	
		0	0	0	0	0	0	0	0	2			
Sustainable economic activities		1	1	0	1	1	0	0	0	12	42.2	1.93	
		1	0	0	4	0	0	0	0	15			
Expansion	Replication		0	1	0	1	0	2	0	14	50.0	1.58	
			0	0	0	2	0	0	0	5			
Scale-up		1	0	2	2	1	0	0	1	17	50.0	1.73	
		0	0	0	0	0	0	0	0	2			

Notes: For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation. BD = biodiversity; n/a = not available.

- Percent of strategy group: The total number of satisfactory and weak codes for each strategy were added together and then divided by the total number of strategies coded for each group (foundation, momentum, and expansion). For example, biodiversity awareness = $(38+5)/(38+5+40+9+141+44) = 15.5$ percent.
- Average number of strategies in projects: The total number for each strategy was divided by the total number of projects in which that strategy occurred. For example, even though 20 biodiversity projects were sampled, the awareness strategy was only used on 15 of the projects. So in the project it was used, there was an average of 2.87 different awareness-building activities.

Sample Climate Change Projects (Part II)

		#104, Sri Lanka (Rating = 5*)	#637, Macedonia (Rating = 6)	#76, India (Rating = 5*)	#377, Sudan (Rating = n/a)	#118, Senegal (Rating = 5)	#386, India (Rating = 4)	TOTAL CC (parts I and II)	Percent of strategy group ^a	Average number of strategies in projects ^b
Foundation	Awareness	1	0	1	1	2	0	12	12.1	1.44
		0	0	0	0	0	0	1		
	Individual capacity building	2	0	2	2	2	0	22	25.2	1.80
		0	0	0	0	0	3	5		
	Institutional building capacity	4	1	2	4	5	3	55	62.6	4.47
		1	0	1	2	0	1	12		
Momentum	Create markets	2	1	2	0	0	0	9	19.6	1.50
		0	0	0	0	0	0	0		
	Demonstration	0	0	0	3	1	1	13	41.3	1.90
		0	0	0	0	0	3	6		
	Modernize systems	0	0	0	0	0	0	9	21.7	2.50
		0	0	0	0	0	0	1		
	Pilot	1	1	0	0	1	0	4	8.7	1.00
		0	0	0	0	0	0	0		
	Protected area	0	0	0	0	1	0	1	2.2	1.00
		0	0	0	0	0	0	0		
Sustainable economic activities	0	0	0	1	2	0	3	6.5	1.50	
	0	0	0	0	0	0	0			
Expansion	Replication	2	0	1	1	0	0	9	85.7	1.50
		0	0	0	0	0	0	3		
	Scale-up	0	0	0	0	0	0	2	14.3	1.00
		0	0	0	0	0	0	0		

Notes: For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation. CC = climate change; n/a = not available.

- Percent of strategy group: The total number of satisfactory and weak codes for each strategy were added together and then divided by the total number of strategies coded for each group (foundation, momentum, and expansion). For example, climate change awareness = $(12+1)/(12+1+22+5+55+12) = 12.1$ percent.
- Average number of strategies in projects: The total number for each strategy was divided by the total number of projects in which that strategy occurred. For example, even though 18 climate change projects were sampled, the awareness strategy was only used on 9 of the projects. So in the project it was used, there was an average of 1.44 different awareness-building activities.

Sample International Waters Projects

		341, Regional Black Sea (Rating = 2*)	460, Regional Tumen (Rating = 5)	72, Jordan (Rating = n/a)	88, LVEMP Tanza- nia (Rating = 4)	394, Yemen (Rating = 2*)	396, East Asian Seas (Rating = n/a)	73, Re- gional Aral Sea (Rating = n/a)	532, Global (Rating = n/a)	533, Regional Western Indian Ocean (Rating = 5)	59, Re- gional OECS (Rating = n/a)	610, Removal of Barriers (Rating = 5)	TOTAL	Percent of strat- egy group ^a	Average number of strat- egies in proj- ects ^b	
Foundation	Awareness	1	1	2	4	2	1	2	2	0	2	3	20	13.8	2.20	
		0	1	0	0	0	0	0	0	1	0	0	0			2
	Individual capacity building	1	0	1	6	3	1	1	3	2	3	3	2	23	17.6	2.80
		0	0	0	2	2	0	0	1	0	0	0	0	5		
	Institutional capacity building	18	4	7	12	3	7	5	3	6	7	8	8	80	68.6	9.91
		6	2	0	10	2	1	2	1	0	4	1	1	29		
Momentum	Demonstra- tion	0	0	0	0	0	1	0	0	0	0	0	1	10.5	1.00	
		0	0	0	1	0	0	0	0	0	0	0	0			1
	Modernize systems	0	0	1	0	0	0	1	0	0	1	0	3	15.8	1.00	
		0	0	0	0	0	0	0	0	0	0	0	0			0
	Pilot	0	0	0	0	0	0	2	0	0	0	1	3	31.6	2.00	
		0	0	0	2	0	0	1	0	0	0	0	0			3
	Protected area	0	0	1	0	0	0	1	0	0	1	0	3	15.8	1.00	
0		0	0	0	0	0	0	0	0	0	0	0	0			
Sustainable economic activities	0	0	0	2	0	0	1	0	0	0	0	3	26.3	2.50		
	0	0	0	2	0	0	0	0	0	0	0	2			2	
Expansion	Replication	0	0	0	0	0	1	1	0	1	0	1	4	66.7	1.00	
		0	0	0	0	0	0	0	0	0	0	0	0			0
	Scale-up	0	0	0	0	0	0	1	0	1	0	0	2	33.3	1.00	
		0	0	0	0	0	0	0	0	0	0	0	0			0

Notes: For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation. LVEMP = Lake Victoria Environmental Management Project; OECS = Organisation of Eastern Caribbean States; IW = international waters; n/a = not available.

- Percent of strategy group: The total number of satisfactory and weak codes for each strategy were added together and then divided by the total number of strategies coded for each group (foundation, momentum, and expansion). For example, international waters awareness = $(20+2)/(20+2+23+5+80+29) = 13.8$ percent.
- Average number of strategies in projects: The total number for each strategy was divided by the total number of projects in which that strategy occurred. For example, even though 13 international waters projects were sampled, the awareness strategy was only used on 10 of the projects. So in the projects it was used, there was an average of 2.20 different awareness-building activities.

Annex E: Weighted Occurrence of Strategies by Focal Area

Sample Biodiversity Projects (Part I)

		#192, Bhutan (Rating = n/a)	#54, Uganda (Rating = 4)	#541, Regional (Rating = 5)	#932, Russia (Rating = 5)	#250, Mongolia (Rating = 5)	#351, Ethiopia (Rating = n/a)	#400, Regional (Rating = 4)	#55, Regional (Rating = 3)	#116, Indonesia (Rating = 5)	#220, Comoros (Rating = n/a)	#223, Yemen (Rating = 5)	#592, Belize (Rating = 4)
Foundation	Awareness	1.00	1.00	1.00	1.00	1.00	0.00	0.80	0.00	0.50	0.71	1.00	0.75
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.20	0.00	0.50	0.29	0.00
	Individual capacity building	1.00	1.00	1.00	1.00	1.00	0.67	0.50	0.67	1.00	0.50	0.50	1.00
		0.00	0.00	0.00	0.00	0.00	0.33	0.50	0.33	0.00	0.50	0.50	0.00
	Institutional capacity building	0.40	0.89	0.83	0.80	0.74	0.50	0.63	0.45	1.00	0.58	0.82	0.70
		0.60	0.11	0.17	0.20	0.26	0.50	0.38	0.55	0.00	0.42	0.18	0.30
Momentum	Create markets	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Demonstration	0.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	0.00	0.00	0.67	1.00
		0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.33	0.00
	Pilot	1.00	1.00	0.00	0.00	1.00	0.00	0.00	0.00	0.50	0.00	0.50	0.00
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.50	0.00	0.50	0.00
	Protected area	0.00	0.00	0.00	0.00	1.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00
		0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00
	Sustainable economic activities	0.25	0.50	0.50	1.00	0.50	0.00	0.00	0.33	1.00	1.00	0.00	0.00
		0.75	0.50	0.50	0.00	0.50	0.00	1.00	0.67	0.00	0.00	1.00	0.00
Expansion	Replication	1.00	0.00	0.00	0.00	1.00	0.00	1.00	1.00	0.75	0.00	0.50	1.00
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.25	1.00	0.50	0.00
	Scale-up	1.00	0.00	1.00	0.00	1.00	0.00	1.00	0.67	0.00	0.00	0.00	0.00
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.33	0.00	0.00	1.00	0.00

Sample Biodiversity Projects (Part II)

		#101, Uganda (Rating = 4)	#117, Nicaragua (Rating = 5)	#134, S. Africa (Rating = 6)	#83, China (Rating = 5*)	#84, India (Rating = 4)	#126, Brazil (Rating = 5)	#142, Global (Rating = n/a)	#62, Mexico (Rating = 6)	TOTAL BD (parts I and II) ^a	Percent S or W	Percent of projects w/ strategy ^b
Foundation	Awareness	0.00	1.00	1.00	1.00	1.00	0.00	1.00	0.00	13.76	92	75
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.24	
	Individual capacity building	0.50	1.00	1.00	1.00	1.00	0.00	1.00	1.00	16.33	86	95
		0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.67	14	
Institutional capacity building	0.85	0.90	1.00	1.00	0.71	0.80	0.75	0.86	15.21	76	100	
	0.15	0.10	0.00	0.00	0.29	0.20	0.25	0.14	4.79	24		
Momentum	Create markets	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	2.00	100	10
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
	Demonstration	0.00	0.00	1.00	0.00	0.00	1.00	1.00	0.00	7.67	85	45
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.33	15	
	Pilot	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	5.00	63	40
		1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3.00	38	
	Protected area	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	3.00	60	25
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.00	40	
Sustainable economic activities	0.50	1.00	0.00	0.20	1.00	0.00	0.00	0.00	7.78	56	70	
	0.50	0.00	0.00	0.80	0.00	0.00	0.00	0.00	6.22	44		
Expansion	Replication	0.00	0.00	1.00	0.00	1.00	0.00	1.00	0.00	9.25	77	60
		0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	2.75	23	
	Scale-up	1.00	0.00	1.00	1.00	1.00	0.00	0.00	1.00	9.67	88	55
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.33	12	

Notes: S = satisfactory; W = weak. For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation.

- Weighted totals were found by dividing the satisfactory or weak codes for each strategy by the total number of codes for that strategy for each project, and then adding all those totals together.
- Percent of projects with strategy: The number of satisfactory and weak codes for each strategy were added together and divided by the number of projects sampled for that focal area. For example, biodiversity awareness = $(13.76 + 1.24)/20$ projects = 75 percent.

Sample Climate Change Projects (Part II)

		#104, Sri Lanka (Rating = 5*)	#637, Macedonia (Rating = 6)	#76, India (Rating = 5*)	#377, Sudan (Rating = n/a)	#118, Senegal (Rating = 5)	#386, India (Rating = 4)	TOTAL CC (parts I and II) ^a	Percent S or W	Percent of projects w/ strategy ^b
Foundation	Awareness	1.00	0.00	1.00	1.00	1.00	0.00	8.50	94	56
		0.00	0.00	0.00	0.00	0.00	0.00	0.50	6	
	Individual capacity building	1.00	0.00	1.00	1.00	1.00	0.00	12.33	88	88
		0.00	0.00	0.00	0.00	0.00	1.00	1.67	12	
Institutional capacity building	0.80	1.00	0.67	0.67	1.00	0.75	12.65	84	94	
	0.20	0.00	0.33	0.33	0.00	0.25	2.35	16		
Momentum	Create markets	1.00	1.00	1.00	0.00	0.00	0.00	6.00	100	38
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
	Demonstration	0.00	0.00	0.00	1.00	1.00	0.25	6.75	68	63
		0.00	0.00	0.00	0.00	0.00	0.75	3.25	33	
	Modernize systems	0.00	0.00	0.00	0.00	0.00	0.00	3.50	88	25
		0.00	0.00	0.00	0.00	0.00	0.00	0.50	13	
	Pilot	1.00	1.00	0.00	0.00	1.00	0.00	4.00	100	25
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
	Protected area	0.00	0.00	0.00	0.00	1.00	0.00	1.00	100	6
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
Sustainable economic activities	0.00	0.00	0.00	1.00	1.00	0.00	2.00	100	13	
	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0		
Expansion	Replication	1.00	0.00	1.00	1.00	0.00	0.00	6.50	81	50
		0.00	0.00	0.00	0.00	0.00	0.00	1.50	19	
	Scale-up	0.00	0.00	0.00	0.00	0.00	0.00	2.00	100	13
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	

Notes: S = satisfactory; W = weak. For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation.

- Weighted totals were found by dividing the satisfactory or weak codes for each strategy by the total number of codes for that strategy for each project, and then adding all those totals together.
- Percent of projects with strategy: The number of satisfactory and weak codes for each strategy were added together and divided by the number of projects sampled for that focal area. For example, climate change awareness = $(8.50 + 0.50)/16$ projects = 56 percent.

Sample International Waters Projects

		#341, Regional Black Sea (Rating = 2*)	#460, Regional Tumen (Rating = 5)	#72, Jordan (Rating = n/a)	#88, LVEMP Tanzania (Rating = 4)	#394, Yemen (Rating = 2*)	#396, East Asian Seas (Rating = n/a)	#73, Regional Aral Sea (Rating = n/a)	#532, Global (Rating = n/a)	#533, Regional Western Indian Ocean (Rating = 5)	#59, Regional OECS (Rating = n/a)	#610, Removal of Barriers (Rating = 5)	TOTAL ^a	Percent S or W	Percent of projects with strat- egy ^b	
Foundation	Awareness	1.00	0.50	1.00	1.00	1.00	1.00	1.00	0.67	0.00	1.00	1.00	9.17	92	91	
		0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.33	0.00	0.00	0.00	0.83		8
	Individual capacity building	1.00	0.00	1.00	0.75	0.60	1.00	1.00	0.75	1.00	1.00	1.00	1.00	9.10	91	91
		0.00	0.00	0.00	0.25	0.40	0.00	0.00	0.25	0.00	0.00	0.00	0.00	0.90	9	
Institutional capacity building	0.75	0.67	1.00	0.55	0.60	0.88	0.71	0.75	1.00	0.64	0.89	0.89	8.43	77	100	
	0.25	0.33	0.00	0.45	0.40	0.13	0.29	0.25	0.00	0.36	0.11	0.11	2.57	23		
Momentum	Demonstra- tion	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	50	18	
		0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00		50
	Modernize systems	0.00	0.00	1.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	1.00	0.00	3.00	100	27
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
	Pilot	0.00	0.00	0.00	0.00	0.00	0.00	0.67	0.00	0.00	0.00	1.00	0.00	1.67	56	27
		0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.33	0.00	0.00	0.00	0.00	1.33	44	
	Protected area	0.00	0.00	1.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	1.00	0.00	3.00	100	27
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0	
Sustainable economic activities	0.00	0.00	0.00	0.50	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.50	75	18	
	0.00	0.00	0.00	0.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.50	25		
Expansion	Replication	0.00	0.00	0.00	0.00	0.00	1.00	1.00	0.00	1.00	0.00	1.00	4.00	100	36	
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0		
	Scale-up	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00	100	18	
		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00		0

Notes: LVEMP = Lake Victoria Environmental Management Project; OECS = Organisation of Eastern Caribbean States; S = satisfactory; W = weak. For the colored cells, green signifies satisfactory implementation of strategy during the project and red signifies weak implementation.

- Weighted totals were found by dividing the satisfactory or weak codes for each strategy by the total number of codes for that strategy for each project, and then adding all those totals together.
- Percent of projects with strategy: The number of satisfactory and weak codes for each strategy were added together and divided by the number of projects sampled for that focal area. For example, international waters awareness = $(9.17 + 0.83)/11$ projects = 91 percent.

Annex F: Contextual Features in Projects Promoting Catalytic Results

Supporting Environment

There are also developments that somehow improved to the advantage of the biomass utilization projects, and the BioGen Project, in particular. The finalization of the basic terms of the REPPA [Renewable Energy Power Purchase Agreement], escalating costs of petroleum, improved economic conditions, heightened interest in environmental compliance and energy conservation and the fifth fuel policy of the Government of Malaysia have also contributed to wider acceptance of the technology. (Project no. 940, Malaysia)

Augment/Elevate Existing Process

The project built on existing national and district institutional structures in the three countries. It also attempted to shift interest in biodiversity conservation into mainstream priorities. The project related well to the national environment action plan (NEAP) processes, environmental policies and environmental legislative processes of the three countries, and attempted to reinforce them. Specifically, since each country was in the process of developing a National Biodiversity Strategy and Action Plan (NBSAP) under the CBD the project added weight to these processes. (Project no. 541, East Africa)

The general commitment of the six Black Sea riparian countries to protect the Black Sea environment preceded the GEF financing. In April 1992, the countries adopted a convention about protection of the Black Sea against pollution, a “Bucharest Convention,” and decided to elaborate a Black Sea Strategic Action Plan. As a first step towards preparation of this plan, they agreed on policy objectives and included them in a Ministerial Declaration on the Protection of the Black Sea called the “Odessa Declaration.” At the same time, the countries requested that the GEF support them in SAP preparation and in actions leading to Black Sea protection. (Project no. 341, Regional Black Sea)

Opportunity from Crisis Situation

Take advantage of post-conflict opportunities to influence policy and practice: This GEF investment in South Africa in the immediate post-conflict period took advantage of the “window of opportunity,” offered by the fluid policy and institutional environment, to catalyse a paradigm shift in the way in which biodiversity conservation is undertaken, establishing the conditions for more effective conservation in the country. (Project no. 134, South Africa)

Interestingly, as compared with many other UNDP-GEF International Waters Projects, GloBallast has been very successful in developing inter-ministerial coordination through the formal establishment of CPTFs [country project task forces] in each country. There has been a high degree of inter-ministerial cooperation in the pilot countries, involving ministries of shipping and transport, port authorities, ministries of the environment, and human health ministries (focused on quarantine and ship-borne communicable disease). One can surmise that institutional barriers have been easier to breakdown in this instance because of the novelty of the issue, and its clear connection to environmental, human health and transport / shipping concerns. (Project no. 610, Removal of Barriers)

Annex G: Implementation Factors in Projects Promoting Catalytic Results

Government Support

The Royal Government of Bhutan has its full ownership of the JDNP [Jigme Dorji National Park] project. First, it has been nationally executed through the NCD [Nature Conservation Department] with its Park Headquarter based in Damji. Secondly, the RGOB [Royal Government of Bhutan] continues to pay all its staff salaries, allowances and other recurrent expenditures although the GEF and the UNDP country programme (TRAC [Transnational Resource and Action Center]) provided for the capital investment. (Project no. 192, Bhutan)

The absorption of the staff salaries by the local administration has failed to materialise so far although the Project has been, and continues to lobby hard for this necessary sustainability requirement. In principal, the lack of support from the regional administration has created a substantial risk for sustainability within this Output and within the project as a whole...Changes in local administration are expected by the end of 2004 as a result of forthcoming elections, and this includes changes in the budget process and allocation. Every effort will be made to engage and sensitise the new administrative policy-makers into the significance and importance of this project. It is further understood that staff levels for federal protected areas (which includes 2 of the 4 within the project) have been frozen, at least until the Ministry concerned has finalised a re-structuring process. Again, the Project intends to address this concern through some re-focusing of objectives to provide additional effort targeted at the federal level rather than just concentrating on the regional administration and related policies. (Project no. 932, Russia)

Strong Environmental Culture

One of the most striking features of the JDNP project is the personal and professional commitment to nature conservation, which is exhibited at all levels within the project and among the NCD and park staff. This is both a cultural trait within Bhutan and it is clear that there is a strong sense of national pride in the biodiversity “gift to the world” which is a core government policy. (Project no. 192, Bhutan)

Local Politics

Local village political issues weighed heavily at all project sites. These issues were most particularly magnified in northern Warigué by a deep seated political mistrust between local authorities and central Government, since it was the homeland of the Government’s main political opponent. The eruption of civil conflict in September 2002 in Cote d’Ivoire, and rebel occupation of the project areas severely disrupted implementation. Most TSU [technical support unit] staff moved to Abidjan. Nevertheless, local communities continued project activities with limited TSU support. (Project no. 55, West Africa)

Conflict

The ESD [Energy Services Delivery] project was prepared and implemented during a period when the country was involved in an ethnic conflict. Due to the prevailing ethnic conflict in the North and Eastern

provinces, the size of the market for renewable energy technologies, particularly solar, was affected. (Project no. 104, Sri Lanka)

Project Staffing

Changes in key project personal (see Table 3.4) also affected results through changes to implementation priorities and schedule. (Project no. 400, Middle East)

During the extended project implementation period, the staff of the PMO [project management office] changed significantly. The staff turnovers, while not completely under PMO control, were somewhat disruptive to project management as the passing of responsibilities were not always seamless. (Project no. 97, China)

External Factors

The East Asian Financial Crisis had significant impacts on the project at three different levels: delayed project start-up from 1998 to 2001; change of implementing agency from Electricity Generating Authority of Thailand-EGAT to IFCT [Industrial Finance Corporation of Thailand]; and modified lending policy. Regarding the latter, following the Financial Crisis the Bank of Thailand (BOT) prohibited all commercial banks to provide additional loans to any enterprises with any amount outstanding non-performing loans. This seriously limited the pool of potential clients. In addition, non- IFCT [Industrial Finance Corporation of Thailand] clients found it difficult to get loans from IFCT while the collateral remained with other banks. Finally, the interest rates available on the market became extremely competitive to the point that the difference between the rate offered by IFCT and the market rate were not as attractive. (Project no. 540, Thailand)

Champion within the Project

The competence, dedication, energy, and networking skills of the project coordinator, an official at the ministry of environment on leave of absence to implement the project, was critical to the successful implementation of this complex project. In addition to handling the daily responsibilities of project implementation, the project coordinator regularly visited the policymakers of all the countries to encourage them to lobby for the activities requiring the support of parliament-ratifying conventions and adopting national legislation in line with the conventions. The active involvement of the project coordinator also helped to ensure that the political problems of Comoros and Madagascar did not delay project implementation for longer than necessary. The Secretary General of IOC [the Indian Ocean Commission] also played an important role in ensuring that the project had the full support of the organization, regularly briefing the Council of Ministers on progress with project implementation and seeking their views on any issues. (Project no. 533, Regional Western Indian Ocean)

Another issue was that the PMCU [project management and coordination unit] was both helped and hindered by a director with a strong personality, who could make things happen, but could also alienate people, especially those outside Uzbekistan. His attitude towards the Bank and the EC-IFAS [Executive Committee of the International Fund for Aral Sea] chairman was often confrontational. Within the PMCU, some ineffective component managers (one from each country picked partly on political grounds) were

balanced by competent regional experts on international consultant's team. The project had several components spread in five countries with meager resources; this inevitably weakened the depth of impact in each country. (Project no. 73, Regional Aral Sea)

Village motivators are integral part of CBM [community-based management] program, and will play more important roles after the termination of the project. (Project no. 116, Indonesia)

Country selection was very well-considered, as all six pilot countries came to the project with long maritime traditions, large scale port activities, competent marine research institutions, and strong financial capacity. In addition, all six countries have sufficient regional prominence to lead efforts to forge regional consensus on ballast water management. (Project no. 610, Removal of Barriers)