

## UNITED NATIONS DEVELOPMENT PROGRAMME

## Global Environment Facility

## Project Implementation Review 1997

## 1. Overview

The annual GEF Project Implementation Review (PIR) complements UNDP's regular monitoring system composed of the Tripartite Project Review, the Programme Performance Evaluation Reports, the Mid-term Report, and the Final Completion Report. The goal of the PIR is to identify challenges and successful strategies specific to GEF projects, and to share them with a broad audience for the continual improvement of portfolio performance.

This year's UNDP GEF PIR is the first product of a major effort to further enhance monitoring and evaluation procedures. Many projects have engaged specialists in monitoring and evaluation to train staff and beneficiaries on proper procedures. The core management team relocated resources and appointed a professional staff member dedicated to developing and implementing a framework for M & E that will help to incorporate a series of measurable indicators into all new projects.

For the 1997 PIR, all full projects under implementation for more than one year as of June 30, 1997 were reviewed and individual reports were submitted to UNDP-GEF headquarters. This year's PIR also includes all pre-investment funds such as PDFs, PRIFs, and PPAs active for over one year that have not yet resulted in the submission of a Project Brief.

The 1997 PIR form covering all aspects of implementation was sent electronically to UNDP Country Offices that have projects meeting the review criteria. This 10 page questionnaire probed a range of implementation issues including implementation and impact rating, stakeholder involvement, capacity development, and lessons learned. The new and innovative electronic data gathering process facilitates data processing and retrofitting into existing data bases such as the Project Information Management System. A few technical difficulties were identified which will further improve the electronic format for next year's PIR.

The PIR reports are the result of a collaborative effort, reflecting the experience of UNDP-GEF country office focal points, project managers, regional coordinators and technical advisors. The Small Grants Programme was not included in the PIR review. It was recently reviewed in a Mid-Term Management Review.

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**Table 1: Number and distribution of projects included in the PIR by region**

Region / Project Type	Full Project	Pre-investment Facility	Total
Global	5	0	5
Africa	11	1	12
Asia & Pacific	13	5	18
Arab States	5	1	6
Europe & CIS	1	0	1
Latin America & Caribbean	11	0	11
Total	46	7	53

**Table 2: Number and distribution of projects included in the PIR by focal area**

Focal Area / Project Type	Full Project	Pre-investment Facility	Total
Biodiversity	21	4	25
Climate Change	17	1	18
International Waters	3	1	4
Ozone	1	0	1
Multiple	4	1	5
Total	46	7	53

**Table 3: Financial Data for all UNDP/GEF projects as of FY 1997**

Region	Authorized Allocation (\$'000)	Total Approved UNDP Budget (\$'000)	Jan 92-Jun 97 Actual Exp. (\$'000)
Global	27,359.9	26,428.4	21,968.3
Africa	111,905.7	63,385.5	30,272.9
Asia & Pacific	123,929.4	99,559.8	50,219.7
Arab States	60,149.1	32,257.2	10,972.7
Europe & CIS	35,602.1	22,095.7	19,965.9
Latin America & Caribbean	112,090.1	76,005.4	50,128.5
Small Grants Programme	38,943.2	42,441.4	36,515.1
Total UNDP/GEF Projects	509,979.8	362,173.4	220,043.1



## 2. Trends and Lessons Learned

### 2.1. Capacity Development

Capacity building measures remained the backbone of all UNDP-GEF projects. Human resources are key to achieving project impact, and to ensuring participation and long-term sustainability. UNDP-GEF capacity building initiatives have successfully focused on increasing human resource and institutional strengths; on promoting networking and the creation of partnerships; on building public awareness; and on providing decision makers with information and training conducive to the development of appropriate policies. An unforeseen additional benefit of capacity building activities has come to light this year: while Enabling Activities are relatively small-scale efforts that help countries meet their immediate Convention obligations, large UNDP-GEF projects are training pools of national experts needed to fulfill those obligations over the long-term.

Capacity building begins with consultations at the grassroots and provincial levels, providing stakeholders with information about the GEF while engaging their participation in specific projects. Consultations also build capacity by bringing key people together to share experiences and create coalitions. Although the success of capacity building efforts are a highlight of the portfolio, the availability of qualified personnel remains a serious constraint in many countries. The strengthening of national institutions is often required for successful project implementation, and for the continuity of activities after completion of GEF support. In some cases, NGOs have filled administrative or technical gaps due to a lack of government counterparts. Many projects expressed the need to increase workshops, information dissemination, and awareness activities for the public. Facilitating new perspectives on development requires investments in substantive education programmes, which will also build the stakeholder conviction crucial to long-term sustainability. One PIR stated that "living resource management interventions that are not community based are doomed to failure." The 1997 PIR shows that many national environmental agencies have been established around the world as a result of UNDP-GEF projects. Another area for capacity building is interagency cooperation--building inter-institutional networks and linkages have helped many projects achieve their objectives.

### 2.2. Co-financing

A clear trend is evident in the mobilization of larger co-financing resources during GEF 1 as compared to the Pilot Phase. Resource mobilization and networking efforts are being very successful in securing co-financing from a variety of sources including host governments, bilateral donors and multilateral Banks. Co-financing from UNDP core funds and resources that are managed by UNDP is also increasing. UNDP matched, for example, 100% of the GEF funding for a total of \$5 million for an Ethiopian agro-biodiversity project. In Brazil, the government furnished a \$4 million contribution for a climate change initiative.



**Table 4: UNDP/GEF Oper'l Phase Co-financing as of FY97 (in \$ millions) for full projects**

	GEF Financing \$m.	UNDP Co-financing \$m.	Gov't/NGO Co-financing \$m.	Total Co-financing \$m.	Total GEF Finan. & Co-finan. \$m.	Co-financing as % of Total Finan.
Full Projects	163.0	25.2	184.9	210.1	373.1	56%

**Table 5: UNDP/GEF Oper'l Phase Co-financing as of FY97 (in \$ millions) for Small Grants Programme**

	GEF Financing \$m.	UN Co-financing \$m.	Gov't/NGO Co-financing \$m.	Total Co-financing \$m.	Total GEF Finan. & Co-finan. \$m.	Co-financing as % of Total Finan.
Small Grants Prog.	24.0	0.8	6.7	7.5	31.5	24%

### 2.3. Impact Rating

Measuring and evaluating changes using environmental indicators requires a longer time frame than the typical schedule for project implementation. Although most projects have not been active long enough to evaluate impacts, many PIRs note success in lessening the pressure on environmental resources. For some projects in the later stages of implementation, it is too late to benefit from the application of clear indicators to measure impacts. However, indicators are now being developed and integrated into the design of all projects as part of the logical framework approach.

One promising new tool is the use of satellite images of ground-cover or aquatic environments to measure baselines and project impacts. Geographic Information Systems (GIS) are operational in many countries for first time due to UNDP-GEF projects, and they are expected to yield information useful for measuring the impacts of GEF projects and other programme or policy interventions. GIS formats that employ versatile "manager's versions" were found to be more useful by a wider range of experts than those targeting strictly scientific users. In another link to capacity building, institutions and networks are being strengthened to carry out monitoring and evaluation of impacts over the long-term.

### 2.4. Stakeholder Involvement

As mentioned in the above section, the stakeholder consultation process often represents capacity building at the local level. In some countries (i.e. Lebanon), weak NGO capacity is a handicap to effective participation. In such cases, prior institution building is necessary to enable NGOs to become effective partners in implementation. UNDP-GEF projects report considerable success in identifying strategies for incorporating diverse stakeholders into project decision-making processes. A range of approaches are being tested and the results documented. Several projects (i.e. PNG Biodiversity) have made substantive efforts in



shifting from consultation (passive participation) to active involvement (active participation). Some countries (Pakistan, S Pacific Region) have reported success in applying traditional sanctions to ensure compliance with management stipulations. A careful and transparent analysis of decision-making structures, including institutional linkages and mechanisms, has shown to be crucial to implementation in a number of cases.

Steering committees are useful for ensuring ongoing participation, transparency in decision making, and linking the local and national/regional levels. The promotion of NGO involvement in project implementation has often necessitated rethinking on the part of governments of the roles of NGOs in the conservation and development arena. Several projects have reported considerable success in involving NGOs (i.e. the Jordan Dana & Azraq project). NGOs have a comparative advantage in implementing some tasks, but problems can arise when institutional cultures clash with those of participating government agencies. (In some cases NGOs have tended to follow their own agenda). It is important to note that NGO perspectives do not necessarily represent the general public, and every effort should be made to open consultations to the widest possible diversity of stakeholders.

In some cases, qualified NGOs have been subcontracted to organize components of the consultation process. Consultations help project executors to reduce overlap with other projects, and to identify areas of productive collaboration. Information exchange in the form of workshops, proceedings, reports, and brochures are important to developing an understanding of project goals among beneficiaries and others. Another important point brought out in the 1997 PIR is the need to regularly consult and reaffirm project concepts and methodology with all beneficiaries, project staff, and institutional personnel throughout the life of the project. Many projects have dedicated 25% or more of their budgets to the overall consultation process. Project documents should clearly spell out the roles and obligations of the government and other actors and define in detail objectives and activities. An unclear articulation of project objectives can lead to an inflation of expectations and conflict. The key lesson here is the importance of clarifying objectives and activities during project design, and deflate undue expectations at that stage if necessary. However, this task needs to be repeated during project implementation (Belize Coastal Zone project). At the outset of project activities, it is important to organize a training workshop to clarify administrative procedures for smooth implementation.

## 2.5. Regional Projects

Especially in the Biodiversity and International Waters focal areas, natural ecosystem boundaries rather than political boundaries are the ideal determinants of project size and scope. Projects encompassing ecosystems have the potential to unite neighboring countries for the task of preserving or rehabilitating shared natural resources. This has occurred in the Gulf of Guinea's Large Marine Ecosystem project, where 8 countries are now collaborating to protect and restore the region's critical habitat. They can provide considerable economies of scale in areas such as information sharing (including the results of demonstration projects), data management, technology exchange, and training. Successful implementation of such projects requires adequate resources for strengthening regional structures and translation services. Project design and budget allocation should be kept flexible to respond to challenges, which may arise due to the complexity of facilitating transboundary-boundary collaboration and coordination. The impact of unforeseen political problems can be minimized by designing country components individually as semi-independent projects that can proceed unhindered despite the possible rise of unfavorable conditions in adjacent countries.



## **2.6. Technical Committees**

Several projects mentioned the unforeseen need to establish technical committees and/or networks of legal experts to guide implementation. UNDP-GEF projects often explore new approaches or technologies or address bioregions that have been previously neglected. As a result, experts with cutting-edge knowledge must often be consulted as project activities uncover issues or opportunities that were not identified in the project document. The need to establish committees or networks of experts becomes particularly important for regional projects to address environmental monitoring and information, among other challenges. Establishing a network of experts is also important for identifying qualified project personnel when staff turnover affects projects.

## **2.7. Legislation**

The process of developing policies and legislation that represents project goals can be crucial to achieving them. Vietnam has introduced a decree on the Hunting and Trade of Wildlife, Fiji has imposed a moratorium on the hunting of sea turtles, and Belize and developed a policy on cruise ships. In many other countries, new policies await endorsement by government. A key lesson is that policy change is invariably a lengthy process requiring substantial consultations, especially when zoning plans are involved. Government regulations should involve the private sector in project design and decision-making meetings. During this type of inclusive process, the private sector often becomes interested in a partnership with government. Even if a partnership does not emerge, private sector involvement in formulating regulatory measures can produce more informed regulations and better compliance.

## **2.8. Time Frames**

The long-term nature of atmospheric, biodiversity, and international waters endeavors means that it may take 10-20 years to measure impacts. This particularly applies to environmental restoration initiatives. Project outputs should be timed accordingly.

# **3. Focal Area Highlights**

## **3.1. Biodiversity**

In this years PIR 21 full and 4 PDF projects in the Biodiversity focal area with a total value of \$86,181.2 are included. In general, biodiversity-projects are showing good progress in terms of institution building, policy changes, and training of personnel. Many projects have had indirect impacts on threats, inter-alia, by effecting policy changes, improving stakeholder networking capacities, increasing knowledge and understanding of conservation issues, strengthening the position of conservation within the broader policy agenda, and building advocacy capacities. These changes are likely to improve the operating climate for conservation in the long-term, and are essential for sustainability. Immediate impacts are already visible. For example, the Cuba Biodiversity project (Sustainable Development in Sabana-Camaguey) catalyzed changes in physical construction plans, resulting in



modifications being made to the design of new roads in order to protect critical habitats. In some cases, war (Yemen), or lack of adequate personnel in the field (Burkina Faso) delayed project implementation. In others, (Panama) recent guerrilla-type developments in the area might require additional flexibility in project implementation.

**Capacity building:** A great range of training opportunities have been facilitated by the various projects, including both informal (on the job learning) and formal training. The PNG Biodiversity programme has dedicated considerable resources to developing skills of community development workers to deal with conservation issues and to serve as conservation advocates in the field. These actors then disseminate skills at the village level. Where individuals have been selected for formal training, they are expected to impart skills to co-workers upon their return and training sessions are arranged for this purpose.

**Conservation Awareness:** Many projects have contributed to an increase in awareness on conservation issues relative to the baseline situation. This is reflected in the quality of debate on conservation issues in the media in countries such as Belize and PNG. An issue here is that media outreach is time consuming and allowance needs to be made for this in project design. Impacts are likely to be felt over the longer term, and sustained awareness campaigns are often necessary - especially for community based projects.

**Time frame for implementation:** In many cases, this was underestimated (i.e. for the Guyana Sustainable Forestry Project and PNG Biodiversity programme). The key lesson is that biodiversity projects operate in a complex socio-political arena, and efforts to mitigate threats will take time to bear fruit. For community based projects, a five year time frame is too short in most cases. Many projects are operating in remote locations (i.e. Costa Rica Biodiversity), lacking basic infrastructure and amenities, and allowances need to be made for this in determining time budgets for activity implementation.

UNDP is giving careful consideration to this point in the design of new projects. For instance, the Mesoamerican Biological Corridor project will be implemented over a period of 8 years. In some cases, a phased approach may be warranted to enable continuity while imposing a sense of discipline regarding implementation (i.e. to ensure that targets are met for each phase). This approach is being applied in the case of the Patagonia project in Argentina. In such cases, UNDP has conducted an extensive external evaluation of implementation progress and lessons learned, incorporating best practices into the design of follow-on projects.

**Community involvement:** Participation by local communities is proving to be the determinant of successful project implementation. Although most projects have enough participation from the beginning, projects such as the Colombia Choco showed that the project move forward only when the participation issue was satisfactorily resolved. Several projects have noted difficulties in making linkages between the local and global agendas (i.e. linking local needs and priorities with the global need for biodiversity conservation). Biodiversity conservation can be an esoteric concept to local communities and it needs to be explained in terms of local values and needs. The operational strategy employed by the project needs to be guided by local socio-economic conditions and dynamics. Entry points vary from project to project. The Pakistan PRIF focused its efforts initially on the management of a few species deemed by communities to be economically important, as a precursor to development of a wider ecosystem management plan. The strategy emphasized the contributory values of biodiversity to the delivery of ecological goods and services.



**Limited understanding of the determinants of biodiversity loss:** The root causes of biodiversity loss were not fully understood when some pilot phase projects were designed. As a result, some projects were insufficiently geared to addressing the social, political and economic forces that have a bearing on conservation. Notwithstanding, the pilot phase has greatly improved understanding of the nature of underlying causes contributing to the loss of biodiversity. These are being documented. The PNG Biodiversity Programme has published a review of lessons learned, and participated in a comparative study organized by the IIED on the political economy of forest use. This material is being disseminated to stakeholders in PNG and elsewhere.

UNDP-GEF is addressing this issue by conducting root cause assessments as part of the threat analysis being performed for all new projects. The log frame approach is greatly facilitating this assessment. New project documents include a matrix showing lessons learned from similar projects in the region and the impact on project design.

An important lesson learned from the implementation of Integrated Conservation and Development Projects is that, while measures are needed to improve the environment for biodiversity conservation in the long term, short term response measures are also often necessary (i.e. the Indonesia/ Malaysia Conservation Strategy for Rhinos project has established Rhino Protection Units to curb poaching). This point was incorporated in the design of the new Vietnam PARC project which includes a blend of short term response measures aimed at improving policing capacities, and longer term interventions to improve and diversify the local livelihood base.

The issue of the field-level impact of projects will need further attention. The need to determine baselines for monitoring is important. Projects should perhaps have an initial module to assess biodiversity, local capacity, etc., via adequate and project-specific indicators, and periodically monitor these variables to show progress. A recurrent theme in the reports is the need to increase local absorptive capacity before the project starts. Training in operational procedures is essential as well as training of project staff on technical issues. (Panama, Colombia, Belize). Long-term training, rather than short-term may be preferred in some projects (Panama, Sri Lanka).

Staff stability throughout the life of the project is essential, and arrangements to this effect should be ensured. Attention needs to be paid to retaining trained staff in government service. Institutional rigidities mean that in many cases options for promotion, etc., may be limited, causing staff to seek employment in the private sector. While capacity remains in country, government implementing agencies may be weakened in the process.

### **3.2. Climate Change**

The 1997 PIR reports demonstrate the reasonable progress that UNDP-GEF projects in the Climate Change focal area are making toward their stated goals. In this years PIR 17 full and 1 PDF project in the Climate Change focal area with a total value of \$80,269.6 are included.

Projects further along in implementation are beginning to yield some useful lessons on designing present and future projects under the three Climate Change Operational Programmes. Some of the Pilot Phase projects, several of which can be considered "short-term" and others which are capacity building and targeted research, are having a significant impact feeding back into national enabling activities.



Under Operational Programme 5: "Removing Barriers to Energy Efficiency," the Chilean project, "Reduction of Greenhouse Gas Emissions," contains an interesting component focusing on ESCO creation for the promotion and adoption of energy efficient motors within the copper industry. Initially, the mining companies were reluctant to share their records and information with promoters of energy-efficient motors. However, the project team identified a way forward, and are now working both with "in-house" ESCO-like subdivisions and an independent ESCO. A particular success involves the establishment of an ESCO-like energy efficiency sub-division within one of the larger mining companies in (Codelco/El Teniente). Specific initiatives were targeted within seven other companies to ensure achievement of the project's goals.

Under Operational Programme 6: "Promoting the Adoption of Renewable Energy," two projects in Africa provide insight into the process of stimulating renewable energy industries and meeting the demand for electricity in rural areas remote from the grid. Both projects involve a mixture of technical assistance and demonstration activities centered around subsidized revolving loan funds. In the Zimbabwe "Photovoltaics for Household and Community Use" project, 7600 out of a targeted 9000 PV systems have been installed despite delays due to reorganization. The project will conclude in late 1997 or early 1998. Phase I of the "Decentralized Wind Electric Power for Social and Economic Development" project in Mauritania was completed in June 1997 and resulted in the provision of electricity from small wind producers to 900 households. Phase II will be financed by the French GEF and is expected to reach another 8,000 households. Both of these projects represent pioneering efforts and will be among the first UNDP-GEF renewable energy projects to approach completion. Both have either undergone or are undergoing extensive evaluations. An important question to be answered with more time is: how does the renewable energy industry in each case adjust to long-term sustainability following completion of project activities?

A Pilot Phase project under the Short-Term Window, the China "Coal-Bed Methane" project, has resulted in the creation of a state-owned Coalbed Methane Development Corporation. The project encountered some delays with implementation in one area (Songzao) due to non-delivery on the part of an international subcontractor who has since been replaced. In the other three regions, the project activities have been completed successfully and on-time. Because of the project's success, the Chinese government has allocated nearly \$80 million to the development of coalbed methane resources in the next Five-Year Plan. In addition, the project has held a workshop for private sector investors, and it is anticipated that the private sector will be able to play a key role in the joint ventures critical to development of this sector in China.

Capacity-building successes are now providing specific answers to the fundamental question "capacity building for what?" For example, the "Global Change Systems for Analysis, Research and Training" project (START) has supported a large training effort in the Latin American region-estimates are that over 220 certificates have been provided. Capacities built through this project are supporting national and regional assessments of land-use changes that are feeding into the process of national communications to the FCCC. In Costa Rica, the project assisted in the preparation of land-use maps which are providing critical inputs into the Costs Rican inventory and its assessment of emissions from the land-use and forestry sectors. Under the "Research Programme on Methane Emissions from Rice Fields" project, scientifically accurate assessments of methane emissions from rice production have been estimated and training has been provided to the country teams working on the ALGAS



project. These coefficients, are being used throughout the Asian region, and will form an important part of countries' national communications. In the ALGAS project, capacity has been raised through training over 160 national technical experts in elements of GHG inventory, mitigation and project identification. These experts are now providing inputs to the process of national communications and helping identify other climate change mitigation projects for future development. Under the "Monitoring of Global GHGs" project, training has been provided to national staff who have been "twinning" with experts from developed country meteorological institutions. Although significant training has been provided and the laboratories established, it will take 5 years to determine whether the project's objective has been met because each laboratory must establish a scientifically valid record of GHG concentrations. This information will help IPCC in the process of reducing the uncertainty surrounding the scientific basis for climate change. From these projects it is clear that UNDP-GEF capacity building projects have provided a wide-ranging contribution to the ability of developing countries to implement the UNFCCC.

Some projects appear to have made less than satisfactory progress this year. Among those projects that are moving slowly, one of the common missing elements has been the weakness in stakeholder participation at the project design stage. The projects were designed to be implemented by stakeholders or institutions with either limited capacities for implementation, unclear mandates, or limited commitments to the projects. Projects falling into this category are the Pakistan "Fuel Efficiency in the Road Transport Sector" project; the "Electricity, Fuel and Fertilizer from Municipal and Industrial Organic Waste in Tanzania"; "A Demonstration Biogas Plant for Africa" project; the Cote d'Ivoire/Senegal "Energy Efficient Buildings" project; and the Sudan and the Benin "Community Based Rangeland Rehabilitation" projects.

### 3.3. International Waters

UNDP-GEF International Waters projects provided particularly detailed and comprehensive responses to the 1997 PIR. Three full International Waters projects and one Pre-Investment project with a total value of \$27,767.7 were reviewed under the PIR. Additionally there are two multi-focal area projects with a strong International Waters component, which are included in this section.

Of 5 full projects reporting, four listed their Impact Rating as Highly Satisfactory, and one as Satisfactory. There were numerous important impacts cited, and the following instances illustrate only a few of the highlights. The "Industrial Water Pollution Control in the Gulf of Guinea Large Marine Ecosystem" project cited the example of using historic satellite images of the region as a baseline for monitoring changes in mangrove coverage. The African Development Bank has expressed interest in a large scale reforestation programme as a result of an 'advisory' generated by the project on mangrove pollution and overcutting. In the "Prevention and Management of Marine Pollution in the East Asian Seas" project, significant capacity for integrated coastal management has been built, as well as enhanced capacities for regional pollution monitoring, information management and harmonization of legislation. The "Developing the Implementation of the Black Sea Strategic Action Plan" project has helped generate coastal zone management laws and decrees passed in Bulgaria and Russia. Increased public awareness has been achieved in all projects via workshops, seminars, beach clean-ups, school lectures, distributed educational posters, and increased national news media coverage due to project efforts.



Key lessons learned identified by the PIRs include:

1. Use local expertise built through the project to disseminate integrated coastal management experience to other regions and countries.
2. Maintain flexibility in project design and implementation.
3. Formalize government institutional commitments to enable the rapid launch of the project.
4. Involve stakeholders in national project coordinator selection process.
5. Don't underestimate the importance of identifying suitably qualified counterpart staff to take an active and productive role in planned project activities.
6. Use and strengthen existing regulatory structures for the management of transboundary natural resources when available.
7. Involve the private sector in project decision-making and consultation process, including formulation of new regulations.
8. Actions/interventions should strive to be community-based.
9. NGO's are often better placed to serve as vehicles for mass mobilization and outreach, with government help when appropriate.
10. Perceived competition of donor agencies with resultant overlap can be an impediment to achieving national/regional/global objectives.
11. Solving environmental problems requires changes in understanding, attitude and lifestyle.
12. Projects should be seen as just a first step in a long-term strategy where all stakeholders are engaged and actively financing baseline costs.
13. Policy actions need to be taken within appropriate geographic boundaries (e.g. drainage basin of enclosed sea).

Some delays were noted among the 1997 international waters PIRs: Tanganyika cited setbacks of project work due to civil war/coups in Congo and Burundi, and Yemen noted impacts from delays in staff recruitment and trainee selection, as well as complexities created by the large number of agencies involved in the project. The Black Sea reported that the difficult economic situation in the affected countries limited their financial support to selected institutions.



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PRJ	PRJ_NAME	FINAL.P	PRJ_COUNTRY
302	GUYANA: Sustainable Forestry in Iwokrana Rain Forest	RBLAC	GUYANA
T78	Ecological zoning and geographic monitoring of the Amazon region.	RBLAC	Brazil (regional)
340	Regional Cooperative Activities to Support Global Change Research in the IAI Countries.	RBLAC	BRAZIL (regional)
314	CR: BD Conservation in La Amistad and Osa.	RBLAC	COSTA RICA
T77	Monitoring and Research Network for Ozone and UV-B Southern Cone	RBLAC	Argentina (regional)
298	Conservation and Management of Biodiversity in the Coastal Zone of the Dominican Republic.	RBLAC	DOMINICAN REPUBLIC
007	Sustainable Development and Management of Biologically Diverse Coastal Resources	RBLAC	BELIZE
313	COLOMBIA: Biodiversity Conservation in the Choco	RBLAC	COLOMBIA
311	CHILE: Reduction of Greenhouse Gases	RBLAC	CHILE
317	PANAMA: BD Conservation Darien	RBLAC	PANAMA
296	CUBA: Sustainable Development in Sabana-Camaguey	RBLAC	CUBA
037	Environmental Management of Black Sea	RBEK	TURKEY (regional)
019	JORDAN: Dana & Azraq Protected Areas	RBAS	JORDAN
025	YEMEN - Protection of Marine Ecosystems of Red Sea Coast	RBAS	YEMEN
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032	LEBANON: National Capacity for Biodiversity Protection	RBAS	LEBANON
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T74	Conservation training and BAP project	RBAP	VIET NAM
T15	ALGAS	RBAP	PHILIPPINES (regional)
T17	Prevention and Management of Marine Pollution in the East Asian Seas	RBAP	PHILIPPINES (regional)
T55	INDIA: Small Hydel Resources in Hilly Regions	RBAP	INDIA
T71	South Pacific Biodiversity Conservation Programme	RBAP	SAMOA
T03	Conservatio Strategy for Rhinos	RBAP	INDONESIA AND MALAYSIA
T72	Wind Electric	RBAP	MAURITANIA
127	MAURITIUS: Restoration of Native Forest	RBA	MAURITIUS
054	BURKINA FASO: Wildlife Raching Systems	RBA	BURKINA FASO
148	ZIMBABWE: PV	RBA	ZIMBABWE
147	TANZANIA: TAKAGAS	RBA	TANZANIA
129	TANZANIA: Lake Tanganyika	RBA	TANZANIA
079	ETHIOPIA: Plant Genetics	RBA	ETHIOPIA
080	GABON: Wildlife Trade	RBA	GABON
123	Gulf of Guinea (LME)	RBA	COTE D'IVOIRE (regional)
085	Aquatic Weeds Control	RBA	COTE D'IVOIRE
155	Energy efficiency	RBA	COTE D'IVOIRE (regional)
T73	Alternatives to Slash and Burn Agriculture (ASB)	GLO	KENYA
T19	START	GLO	USA (global)
T70	Global Monitoring of Greenhouses Including Ozone	GLO	Algeria, Argentina, Brazil, China



PRJ	PRJ_NAME	FINAL.P	PRJ_COUNTRY
T21	CC-TRAIN Phase II (GLO/95/G31/A1G/85)	GLO	SWITZERLAND (global)
T22	Interregional Research Program on Methane Emissions from Rice Fields	GLO	PHILIPPINES (global)



PRJ	PRJ NAME	PRJ B	PRJ COUNTRY
T05s	Tumen River Development Programme	RBAP	CHINA
257	Pakistan Prif: Maintaining Biological Diversity	RBAP	PAKISTAN
009	Lake Chad	RBA	CHAD (regional)
377	Indonesia Biodiversity Conservation	RBAP	INDONESIA
T79	Forest Area Protection, Management and Development	RBAP	THAILAND
T80	India Eco-development	RBAP	INDIA
031	LPG Substitution Programme	RBAS	YEMEN



## 1. Project Identifiers

**PROJECT NUMBER(S):** GUY92G31  
**BUREAU:** RBLAC  
**COUNTRY/ HOST:** GUYANA  
**OPERATIONAL PROGRAMME:** FOREST ECOSYSTEMS  
**FOCAL AREA :** BD: ☒ CC: ☐ OZ: ☐ IW: ☐ LD: ☐  
**DATE OF ENTRY IN WP [MM/DD/YY]:** 5/1/91  
**PRODOC SIGN DATE [MM/DD/YY]:** 10/2/93  
  
**EXECUTING AGENCY TYPE:** GOV  
**EXECUTING AGENCY NAME:** Ministry of Foreign Affairs  
**NAT. IMPLEMENTING AGENCY (IES):**  
     - GUYANA NATURAL RESOURCES AGENCY  
  
**RESIDENT REPRESENTATIVE:** Mr Carlos Felipe Martinez  
**COUNTRY OFFICE FOCAL POINT:** Mr. Thomas Gittens  
**PROJECT MANAGER:** Mr David Cassells

## Project Funding

<b>GEF MAIN FUNDING:</b>	\$3,000,000
<b>CO-FINANCING:</b>	
UNDP:	\$0
GOVERNMENT:	\$0
NATIONAL IMPLEMENTING AGENCIES:	\$0
WORLD BANK:	\$0
REG DEV BANK:	\$0
OTHERS:	\$0

Total Funding for co-financing: \$0.00

**TOTAL FUNDING FOR PROJECT:** \$3,000,000.00

## 2. Project Objectives

**DEVELOPMENT OBJECTIVE:** The Iwokrama Rain Forest Programme seeks to demonstrate through an integrated and sustainable resource utilization approach that the tropical rain forest can maintain desired levels of biological diversity and simultaneously support economic activity.

Through accomplishment of the scientific and technical work which is envisaged within the Iwokrama Rain Forest



Programme Governments of the Commonwealth and other countries will be in a more advantageous position to examine and take strategic-level decisions on investments and support for a variety of national and international initiatives on sustainable utilization and management of tropical rain forest through technical and scientific reports and exchange visits of governmental and scientific institutions, scientists, scholars, investment companies and entrepreneurs.

The project itself by involving an expanded range of local professional and technical staff from many agencies and institutions will assist in developing a widening pool of staff while drawing on experiences in and knowledge of methodologies relating to sustainable forest management, preservation of biological diversity and conservation for the benefit of the entire country.

### IMMEDIATE OBJECTIVE(S): 1.

International Board of Trustees of the Iwokrama Rain Forest Programme capable and enabled to undertake total management of the international programme for the sustainable utilization of the resources from tropical rain forests and the conservation of biodiversity

### 3. Financial Status

as of 6/30/97

PLANNED DISBURSEMENT:

ACTUAL DISBURSEMENT: 2220000

## 4. Project Performance

### 4.1: Project Implementation

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#### 4.1.1: Implementation Progress Rating

1. Highly Satisfactory
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.

#### 4.1.2 : Reasons for success or difficulties (such as delays, cost overruns) In Implementation

Project implementation has initially been slow due to delays in recruiting a Director-General and other staff, and passing legislation establishing the Programme . However, the pace has been accelerating over the past two years after the recruitment of the Interim Director General, and out of the Immediate Objective the first six outputs, have all largely been achieved. Only the training Output has not been fully achieved, due to the decision to defer major training until the operational phase of the programme has commenced.

### 4.2: Project Impact

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#### 4.2.1: Impact Rating

Satisfactory

#### 4.2.2: Verbal assessment of project impact:

Despite some delays in implementing a number of the project activities, GEF support to the Iwokrama Rain Forest Programme has had a positive impact. It has brought the Programme to the stage where it is now formally established, with a clear operational plan and strategy, streamlined governance and accounting procedures, and is now fully into the resource mobilization stage to support the operational plan and strategy.



**4.2.3: Basis for Impact assessment:**

**1. Are any of the project's activities expected to check pressures or threats and/or affect the quality of the environment during the life of the project? Or, are such impacts likely to be felt only after the project is completed?**

Project activities are expected to check pressures and positively contribute to the quality of the environment during the life of the project. An important contribution will be made with respect to research projects completed in the area of indigenous peoples' use of the biodiversity of the forest, and the flora and fauna inventories now in progress. However, given that this is a support project, the major impacts with respect to checking pressures and threats will be felt in the coming years with the implementation of the research and conservation programmes of the larger Iwokrama Programme.

**If the former is true, answer the following (a) to (f) - look at the instruction sheet for guidance on responding to these questions-. If the latter is true, go to question 2.**

**(a) What indication is there of the project having achieved its development objective (for example, alleviating pressures that are threatening the environment, strengthening institutional capacity)?**

Sustainable Human Development around the Iwokrama Forest. The work already carried out and the new programme will also contribute to reducing total dependence on the environment for livelihood from some segments of the population.

The project made a tremendous contribution to the reduction of malaria in the areas neighbouring the base camp due to medical support and education provided in coordination with Government and local authorities.

On the job training was provided for local individuals and a six-week forest rangers course were conducted.

The formation of a local community board was supported by the Iwokrama project.

Thirty (30) undergraduate students from the United States spent two weeks at the Iwokrama field station and thirteen (13) students and staff from the UK conducted biological research.

**(b) How have the project activities contributed to the GEF's operational goals (for example, conservation and sustainable use of mountain ecosystems, promoting the adoption of renewable energy)?**

Sustainable Forestry Management

Surveys on socio-economic conditions and resource use in neighbouring Amerindian Communities.

Preparation of a zoning map showing forest types.

Biodiversity Conservation and Utilization

Inventory of biodiversity: The Smithsonian Institution completed a Flora survey; while the Academy of Natural Sciences, University of Philadelphia is currently conducting fauna survey. All the results of the surveys are also kept at the University of Guyana. Elements of training of Guyanese experts and students were included in these research programmes

**(c) What is the data or information base for your assessment of (a) and (b)? If explicit indicators were identified in the design stage or during implementation, please list them. What other information has been used in the assessment (for example, interviews with local communities)?**

Response of surrounding communities and international research groups to the training programmes and research facilities.

The success of the training programmes. Some of the trainees have been employed on the project and other local institutions.

Effective utilisation of the facilities established. Eg the GIS on-site equipment.

**(d) Can the change in indicator values be measured against a baseline?**

No.

**(e) Can they be measured against a target?**

**(f) What is the main obstacle to answering questions (a) through (e).**

Lack of baseline information at the start of the project; this project will generate baseline information.

**2. What steps have been taken to put in place a monitoring system that extends beyond the term of the project to monitor impact?**

With the baseline information generated by this project, the programme will be in a position to develop a monitoring system for the long-term.

**3. Have any of the factors identified as risks at the time of project preparation jeopardized the project's implementation and impact?**

No.

**4. Were any measures taken to minimize the effect of these risks? What steps can be taken in the future to minimize the sensitivity of the project to identified risk factors?**

No.

**5. Did the project face problems due to risks not identified at the time of project preparation?**

The establishment of the Iwokrana Rain forest Programme as a legal entity in Guyana took longer than anticipated.

### 4.3: Project Relevance

#### 4.3.1. Assessment of adequacy of project design and validity of project purpose:



Project involved too many institutions/entities with unclear and sometimes overlapping decision making roles. This was considerably improved after the IBOT and later the Permanent Board of Trustees exercised overarching decision-making authority for the project and the larger Iwokrama Programme; and after the ID-G was given overall responsibility for day-to-day activities. Despite the governance and institutional weaknesses, the project was always valid and continues to be so, as an indisputable support mechanism for the establishment of the Iwokrama Programme. Its purpose continues to be valid.

## 5. Stakeholder Involvement

### 5.1: Type of stakeholder involved in which phase of the project cycle

Phase \ Stake-holders	Government			NGOs		For profit org.	Academic Inst.	Not organized benef.
	National	Regional	Local	Int.	National	Community		
Design	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Implement.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
M&E	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 5.2: Stakeholder involvement

#### a) If appropriate, brief description of evolution of stakeholder involvement

Stakeholder involvement began before the project was formally launched, when the general Guyanese Public and the targeted Amerindian Communities were consulted and briefed on this project. After the Interim Board Of Trustees (IBOT) was formalized in 1993, the Commonwealth Secretariat, the University of Guyana, the University of the West Indies, and other Board members representing various constituencies assumed a greater role in the governance of the project.

Although in its initial conception the project failed to spell out the active role that indigenous people had to play, Indigenous populations increased their participation, contributing substantially, participating for example in the research initiatives, and practically, the construction and management of the Base camp, to the project. Amerindian women played a key role, as research assistants, in the ethno-botanical and ethno-medicinal studies conducted by researchers from the University of Guyana. Members from the communities participate as rangers in protecting the Iwokrama forest.

IDRC became a stakeholder in 1995 when it was given a sub-contract to assist in the institutional development of the Iwokrama Center and in the preparation of the Operational Plan. IDRC also offered to finance the establishment of the Information and Documentation Center.

Local Guyanese professionals and NGOs have assumed a critical role as stakeholders in the past three years contributing ideas and suggestions to guide the development of the Iwokrama Programme.

#### b) Does the actual set of stakeholders reflect the real stakeholders?

Yes

#### c) Estimation of time and cost for adequate stakeholder involvement

Stakeholder involvement is a continuous process and is indispensable for the continued viability of the larger Iwokrama Programme. It is difficult to cost it.

#### d) Nature of stakeholder involvement (regular consultations, \$ of contracted services)

Carrying out investigations and studies; regular meetings; public and private briefings; resource mobilization activities; preparation of videos and information packages under contract arrangements; participation in exhibitions and seminars; training and participation as rangers, researchers and research assistants.

#### e) Which are the mechanisms set up by project management to assure participation of stakeholders in d



Several stakeholders participated or assisted in the meetings of the IBOT.

The participation of Guyanese professionals, researchers, students and elements of the indigenous communities surrounding the Iwokrama was built in the research programmes supported by the project.

Sustainable human development of the surrounding indigenous communities was not heavily stressed in the initial project design.

The project sponsored the formulation of UNDP-supported Programme GUY/96/004 - Poverty Eradication in the Northern Rupununi, which was introduced to take account of the developmental social and economical needs of the communities that live in the areas surrounding the Iwokrama forest.

**f) Assessment how stakeholder involvement has influenced (degree of ownership) project design, imple**

The involvement of especially the surrounding indigenous communities, but also the local academic, NGO and indeed the Guyanese stakeholders has certainly contributed to ownership and widespread acceptance/commitment to the project and the larger Iwokrama Programme. This is evidenced by the fact that there was no local/national objection passed in the national Parliament 1995 for the establishment of the Iwokrama International Center for Rain Forest Conservation and Development; and stakeholders have continued to participate and to benefit from Programme activities.

**g) Factors that limit NGO or for-profit organisation involvement**

The Iwokrama Programme is currently in its establishment phase which has tended to limit, although not totally exclude NGO and for-profit organization involvement. Opportunities are expected to increase substantially when the Programme enters fully into the operational phase in terms of research activities, and sustainable utilization of the forest.

## 6. Capacity Development

### 6.1: How has the project contributed to human resource development ?

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If appropriate, brief summary of training and education indicators such as :

**a) Number of degrees or certificates earned**

A certificate in forestry for one Amerindian Resident USA.

Training of 18 persons (mainly Amerindians) as forest rangers.

**b) Managers introduced to the concept and importance of environment research and management methods, such as environment impact assessment, etc.**

Training of GIS specialist at Natural Resource Institute, England, in advanced methods of GIS technology.

Persons acquired other skills such as:

COS-ISIS computer training for selected local participants.

NEMESIS - computer training for selected participants.

Training acquired during conduct of the Flora and Fauna Surveys, and the ethno-botanical and ethno-medicinal research projects.

Forest Rangers Training Course mounted in collaboration with another UNDP-supported project.

**c) Persons acquired other skills such as :**

### 6.2 How has the project contributed to institutional development

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If appropriate, brief summary of institutional development indicators such as:

**a) Adoption of environmental management plans :**

The project supported a land use survey of the area surrounding Kurupukari village which is on the North-eastern boundary of the site; as well as a development plan for future expansion of the Base Camp.

**b) Inter institutional linkage and networks (what new, regular channels of consultation and collaboration have been open, or existing channels revived or strengthened )**

Standard MOU developed for collaboration between the Iwokrama Programme and National and International research institutions.

others:

Formulation of the Iwokrama 2001 Operational Plan, and Strategy.

Development of Administrative, personnel and accounting manuals for the Iwokrama Center

**c) Others**



Institutions	Government			NGOs			For profit org.	Academic Institutions	Others
	National	Regional	Local	Int.	National	Community			
Number	1	0	0	1	0	0	1	1	1

Please estimate the level of capacity developed for each category of institution : limited, moderate or substantial increase in capacity

Limited	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Moderated	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Substantial	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 6.3: How has the project enhanced the overall enabling environment ?

#### a) Changes in policies and legislation (list)

Agreement between the Government of Guyana and the Commonwealth Secretariat for the establishment of the Iwokrama International Center.

Act of Parliament establishing the Iwokrama International Center for Rain forest Conservation and Development.

b) Changes in public awareness (standard indicators include data from school exams, polls, content analysis of news media, and "behaviour" indicators such as evidence of recycling, water conservation, etc. This is an area where we would welcome your ideas on readily measurable indicators appropriate to your projects.

There is more understanding of the purposes of the this kind of international initiatives in Guyana, as a result the general public is more disposed to collaborative international programmes like Iwokrama, as is evidenced from the points raised at public consultations and in the media.

Indigenous Populations are more trusting of contacts with, and collaboration with non-indigenous Guyanese, researchers, and international personnel and agencies in the project and surrounding areas.

#### c) Others

## 7. Lessons Learned

The periods of slow pace in project implementation have highlighted the importance of prompt managerial and institutional arrangements, and the necessity of dealing with local political forces.

An international project of this nature and magnitude requires time and long term planning to achieve its success.

An intense and aggressive information campaign has to accompany initiatives like this in order to guarantee that an International Centre like the Iwokrama and its potentials are well known to, and fully utilized by the International Community.

The participation of Indigenous communities and their contributions through the sharing of their traditional knowledge of the environment and its use has to be fully valued and treasured. The communities of the Iwokrama have very strongly expressed their preoccupation for the protection of their "Intellectual Property Rights," this is a field in which the UN and the Iwokrama Centre can give a significant contribution.

Some of the international partners involved in this effort may tend to compete with each other for the ownership of successful experiences. This should be avoided by encouraging a common sense of pride for the achievements of joint efforts.

This Project represents the initial phase in the establishment of the Iwokrama Rain Forest Programme. The real impact of the Iwokrama Programme will become evident during the next 5-10 years, when research/conservation/forest management activities are carried out.



	NDJ NAME	FINAL P	PRJ COUNTRY
302	GUYANA: Sustainable Forestry in Iwakrana Rain Forest	RBLAC	GUYANA
T78	Ecological zoning and geographic monitoring of the Amazon region.	RBLAC	Brazil (regional)
340	Regional Cooperative Activities to Support Global Change Research in the IAI Countries.	RBLAC	BRAZIL (regional)
314	CR: BD Conservation in La Amistad and Osa.	RBLAC	COSTA RICA
T77	Monitoring and Research Network for Ozone and UV-B Southern Cone	RBLAC	Argentina (regional)
298	Conservation and Management of Biodiversity in the Coastal Zone of the Dominican Republic.	RBLAC	DOMINICAN REPUBLIC
007	Sustainable Development and Management of Biologically Diverse Coastal Resources	RBLAC	BELIZE
313	COLOMBIA: Biodiversity Conservation in the Choco	RBLAC	COLOMBIA
311	CHILE: Reduction of Greenhouse Gases	RBLAC	CHILE
317	PANAMA: BD Conservation Darien	RBLAC	PANAMA
296	CUBA: Sustainable Development in Sabana-Camaguey	RBLAC	CUBA
037	Environmental Management of Black Sea	RBEC	TURKEY (regional)
019	JORDAN: Dana & Azraq Protected Areas	RBAS	JORDAN
025	YEMEN - Protection of Marine Ecosystems of Red Sea Coast	RBAS	YEMEN
026	SUDAN: Community-Based Rangeland Rehabilitation	RBAS	SUDAN
032	LEBANON: National Capacity for Biodiversity Protection	RBAS	LEBANON
023	Regional: Maghreb - Response to the FCCC	RBAS	MOROCCO (regional)
T56	INDIA: High Rate Biomethanation Processes	RBAP	INDIA
253	CHINA: Coal Bed Methane	RBAP	CHINA
T05	Biodiversity Conservation in Nepal	RBAP	NEPAL
260	PAKISTAN: Fuel Efficiency Transport Sector	RBAP	PAKISTAN
T76	PNG Biodiversity Conservation	RBAP	PAPUA NEW GUINEA
T09	SRI LANKA: Development of Wildlife Conservation and Protected Area Management	RBAP	SRI LANKA
T74	Conservation training and BAP project	RBAP	VIET NAM
T15	ALGAS	RBAP	PHILIPPINES (regional)
T17	Prevention and Management of Marine Pollution in the East Asian Seas	RBAP	PHILIPPINES (regional)
T55	INDIA: Small Hydel Resources in Hilly Regions	RBAP	INDIA
T71	South Pacific Biodiversity Conservation Programme	RBAP	SAMOA
T03	Conservation Strategy for Rhinos	RBAP	INDONESIA AND MALAYSIA
T72	Wind Electric	RBAP	MAURITANIA
127	MAURITIUS: Restoration of Native Forest	RBA	MAURITIUS
054	BURKINA FASO: Wildlife Ratching Systems	RBA	BURKINA FASO
148	ZIMBABWE: PV	RBA	ZIMBABWE
147	TANZANIA: TAKAGAS	RBA	TANZANIA
129	TANZANIA: Lake Tanganyika	RBA	TANZANIA
079	ETHIOPIA: Plant Genetics	RBA	ETHIOPIA
080	GABON: Wildlife Trade	RBA	GABON
123	Gulf of Guinea (LME)	RBA	COTE D'IVOIRE (regional)
085	Aquatic Weeds Control	RBA	COTE D'IVOIRE
155	Energy efficiency	RBA	COTE D'IVOIRE (regional)
T73	Alternatives to Slash and Burn Agriculture (ASB)	GLO	KENYA
T19	START	GLO	USA (global)
T70	Global Monitoring of Greenhouses Including Ozone	GLO	Algeria, Argentina, Brazil, China

650 Comments: Rangeland Management - Rangeland Rehabilitation

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PRJ	PRJ_NAME	FINAL.P	PRJ_COUNTRY
T21	CC-TRAIN Phase II (GLO/95/G31/A/1G/85)	GLO	SWITZERLAND (global)
T22	Interregional Research Program on Methane Emissions from Rice Fields	GLO	PHILIPPINES (global)

3.1/5

3.75/45