EVALUATION OF THE GEF FOCAL AREA STRATEGIES

TECHNICAL PAPER 1: BIODIVERSITY

(UNEDITED)

(Prepared by the GEF Evaluation Office)

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1. INTRODUCTION

The *Evaluation of GEF Focal Area Strategies* is designed as a formative[1] evaluation emphasizing learning as its primary goal. Accordingly, the evaluation's main objective is to collect and assess information related to the GEF-5 Focal Area Strategies to gain a systematic understanding of the elements and causal links each strategy envisions. The evaluation encompasses the analysis of the following Focal Area Strategies: Biodiversity, Climate Change Mitigation, International Waters, Land Degradation, Chemicals, Sustainable Forest Management/REDD+, and Climate Change Adaptation (under LDCF/SCCF). The evaluation focuses on the most recent GEF-5 Focal Area Strategies and LDCF/SCCF Strategy covering the period from 2010 to 2014.

The *Evaluation of GEF Focal Area Strategies* focuses on the analysis of the GEF-5 Focal Area Strategies as they are formulated, emphasizing the strategies' intended rationale and internal logic. Using a theory-based approach, the evaluation takes a detailed look at the logic chains of causality that each strategy identifies to achieve its objectives. Based on the "theory of change" (TOC) analysis, the evaluation provides an assessment of the extent to which the causal pathways identified by the strategies reflect guidance provided to the GEF by the international conventions (UNFCCC, CBD, UNCCD and Stockholm Convention) as well as the current state of scientific knowledge on aspects relating to the strategies. The analysis provides the foundation for a subsequent assessment of the implementation of Focal Area Strategies in GEF projects, which will be conducted in the context of OPS5.

Aiming to improve the understanding of elements and causal links reflected in GEF Focal Area Strategies, the *Evaluation of GEF Focal Area Strategies* employs a four step approach:

a) **Construct the theories of change**: What are the elements, causal links and overall rationale reflected in each Focal Area Strategy? What are the identified causal pathways envisioned to lead to the achievement of the strategy's objectives?
b) **Review the relationship with convention guidance**: To what extent and in what way do the objectives formulated in the Focal Area Strategies relate to respective convention guidance?
c) **Assess the connection with scientific knowledge**: To what extend do the Focal Area Strategies correspond with current scientific knowledge?
d) **Make recommendations for future strategies**: Based on the findings of steps 1-3, what recommendations for the development of future GEF Strategies can be provided?

The Technical Papers 1-7, covering each of the Focal Area Strategies individually, present the findings from three separate processes of data collection and analysis conducted to answer the evaluation questions outlined above. They illustrate the construction of the Theory of Change for each Focal Area Strategy (chapter 2), present the review of convention guidance and the guidance-strategy mapping where applicable (chapter 3), and summarize the results of the Real-Time Delphi consultation that engages the scientific community in a discussion on the relationship between the Focal Area Strategies and the current state of scientific knowledge (chapter 4).

[1] The evaluation literature distinguishes between "summative" and "formative" evaluations. Summative evaluations focus on the assessment of performance and progress measured against expected targets and are used to evaluate accountability of a given system. In contrast, formative evaluations analyze evidence in order to learn from past experiences to inform improvements of a given system moving forward. See: Scriven, Michael (1967). "The methodology of evaluation". In Stake, R. E. Curriculum evaluation. Chicago: Rand McNally.

2. THEORY OF CHANGE FOR THE BIODIVERSITY FOCAL AREA

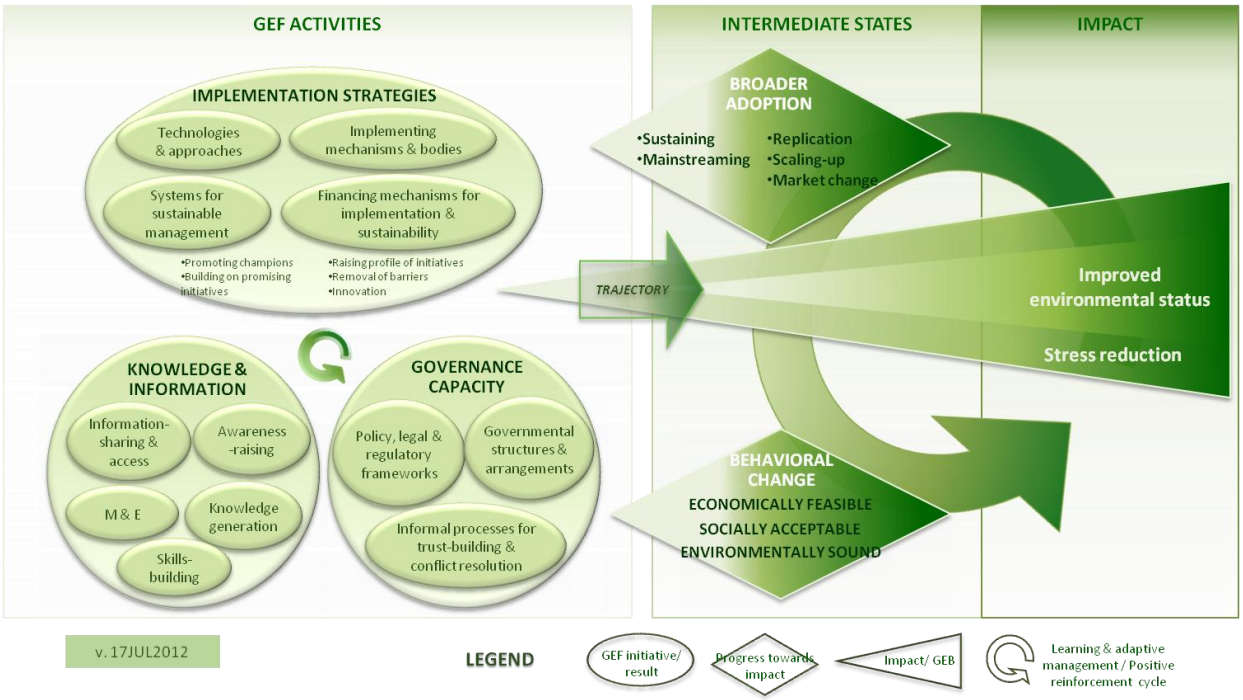
2.1 TOC Approach

A theory-based evaluation is designed around the "theory of change" (TOC) of an activity or strategy. The TOC systematically examines the elements and causal links that constitute the activity/strategy in order to understand and describe the logic of how the activity/strategy is expected to lead to the desired results (Fitz-Gibbon and Morris 1996, Weiss 1972). A theory of change may have been made explicit when the activity/strategy was designed; sometimes it is implicit, which requires the evaluators to reconstruct it. In the case of the GEF-5 Focal Area Strategies, the TOCs are mostly implicit and their reconstruction constitutes a major part of the *Evaluation of GEF Focal Area Strategies*.

General Framework for GEF TOC

In preparation for OPS5, the GEF Evaluation Office has developed a General Framework for the GEF TOC drawing on a large amount of evaluative evidence gathered over the years. The *Evaluation of GEF Focal Area Strategies* uses the General Framework to guide the construction of Focal Area Strategy TOCs. The purposes of the General Framework for GEF's TOC framework are to classify GEF activities and locate them within the intended causality chain towards the generation of GEBs; establish links between different elements of GEF support as well as between GEF activities and contributions of other actors; assess GEF contribution to progress towards GEBs, including the GEF's interaction with other actors; and identify constraints on further GEF contributions to progress towards GEBs.

Figure 1: General Framework for GEF Theory of Change



The framework classifies GEF support into three categories that are interdependent and in most cases realize their full potential through their interaction with each other. A specific GEF project often features a combination of elements from different categories:

a) **Knowledge and information**, including activities to support the generation and sharing of pertinent knowledge and information, awareness-raising activities, improvement of technical skills, as well as monitoring and evaluation.
b) **Governance capacity**, encompassing support for the development and formulation of policy, legal and regulatory frameworks at the appropriate scales of intervention, assistance for the improvement of governmental structures and processes, as well as support for informal mechanisms for trust-building and conflict resolution.
c) **Implementation strategies**, covering a broad range of activities including investments in physical assets, establishment of financing mechanisms and organizational arrangements, as well as improvements of sustainable management approaches, among many others. This category entails the testing and demonstration of new technologies, instruments and approaches, as well as efforts to support broader deployment of proven strategies.

Changes directly linked to GEF activities are referred to as GEF outputs and outcomes. In working towards envisioned outputs and outcomes, the different elements within a GEF project are often designed to complement each other and interact with contributions of other actors. GEF projects are usually conducted within the context of previous and ongoing initiatives carried out in part by non-GEF actors (national governments, international organizations, CSOs, private sector). GEF projects often build on and/or supplement contributions of other actors. In addition, GEF activities are implemented under national circumstances that influence the initiative and are largely outside GEF control. The General Framework helps to assess the interactions of GEF activities with contextual factors.

GEF support is typically envisioned to catalyze progress towards impact at a broader level including the broader adoption of technologies, approaches and instruments. The nature of GEF involvement in catalyzing broader adoption is different between individual projects and across Focal Areas. In a number of cases, GEF activities include direct support for the facilitation of broader adoption in collaboration with other actors, turning broader adoption into a direct GEF project outcome as described above. In these cases, broader adoption is directly integrated in the design of the GEF activity. In other cases, broader adoption is following the example of GEF activities, but emerges without direct GEF support which puts broader adoption beyond the scope of implementation of the GEF project itself. Under both approaches, the GEF aims at developing initiatives to trigger a broad range of stakeholders to use the projects' results beyond their direct objectives. The General Framework identifies five general categories of ways towards broader adoption within or beyond the limits of direct GEF influence:

a) **Sustaining:** Technologies/approaches originally supported through the GEF activity continue to be implemented beyond actual project duration through integration into the regular activities and budget of the government and/or other stakeholders.
b) **Mainstreaming:** Information, lessons, or aspects of a GEF initiative are incorporated into a broader initiative such as policies, institutional reforms, and behavioral transformations.
c) **Replication:** Results of GEF activities are reproduced at a comparable scale, often in different geographical areas or regions.

d) **Scaling-up:** Results of GEF activities are expanded to address concerns at larger geographical, ecological or administrative scales.
e) **Market change:** GEF activity catalyzes market transformation, which might encompass technological changes, policy and regulatory reforms, and financial instruments that increase demand for goods and services likely to contribute to global environmental benefits.

Broader adoption goes hand in hand with behavioral change, meaning sustained and significant changes in stakeholder choices towards more environment-friendly actions. The TOC framework highlights the reinforcing interactions between broader adoption, behavioral change and environmental improvements.

TOC construction for GEF-5 Focal Area Strategies

The *Evaluation of GEF Focal Area Strategies* applies the general framework to each of the GEF-5 Focal Areas as well as the LDCF/SCCF Strategy. The resulting TOCs map out the strategies' elements and causal links, depicting the means-ends linkages envisioned explicitly or implicitly in the strategy and thereby identifying the logical chain of actions that are supposed to lead to the achievement of the strategies' objectives.

The purpose of the Focal Area Strategies TOCs, serving to establish the foundation for a subsequent evaluative effort on the implementation of GEF Focal Area Strategies, is to gain a better understanding of the elements, causal links and assumptions underlying the GEF-5 Focal Area Strategies as initially formulated, without incorporating the evolution of the strategy that occurred during its implementation. The implementation of the strategies through GEF-5 projects including the evolution since the formulation will be analyzed as part of OPS5. Accordingly, the current TOC reflects the information as provided in the actual text of the GEF-5 focal area strategy document and results framework. While additional reports[2] have been consulted to provide contextual information, this document strictly presents the TOC of the strategy itself, meaning that it is solely based on the strategy text plus documents that the strategy directly references.

The construction of the TOCs proceeded in two steps. First, each strategy is disaggregated into its objectives in order to systematically identify different GEF activities articulated by the strategy, to assess the causal links between elements and to recognize the underlying assumptions these causal chains are based on. Second, the identified elements and causal links are consolidated in one overarching Focal Area Strategy TOC, illustrating the causal pathways the strategy envisions and the underlying assumptions the pathways are based on. Throughout the TOC process, the evaluation team consulted with the respective GEF Secretariat teams to ensure correct interpretation of the strategy documents and establish agreement on the central aspects of the TOC.

Figures 2 shows examples for the relationship between the general categories of GEF activities as proposed by the General Framework and concrete activities described in GEF-5 Focal Area Strategies. Figure 3 presents an example for a causal chain implicit in several GEF-5 Strategies.

[2] Supporting documentation used: Smith/Martin (2000), Achieving Sustainability in BD Conservation; GEF (2008), Financing the Stewardship of Global Biodiversity; GEF (2002), Biodiversity Matters; GEF (2008), Indigenous Communities and Biodiversity; GEF (2010), BD conservation in West and Central Africa; Madsen/Carroll/Moore Brands (2010), State of Biodiversity Markets Report: Offset and Compensation Programs Worldwide [and 2011 update]; GEF (2010), "Payment for Ecosystem Services"; GEF (2011), Addo Elephant National Park.

Figure 2: Categories of elements of GEF and examples from GEF-5 Focal Area Strategies

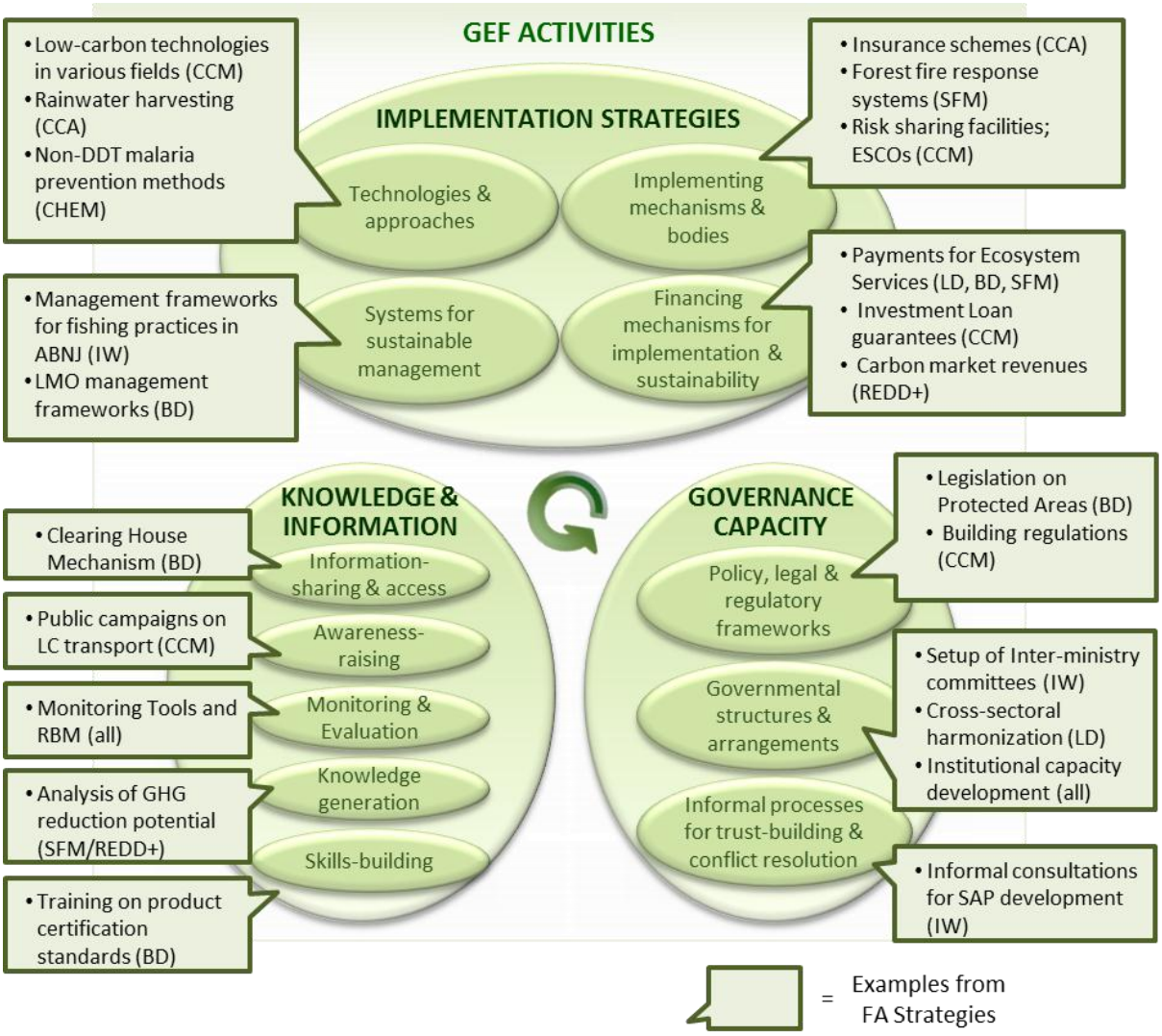
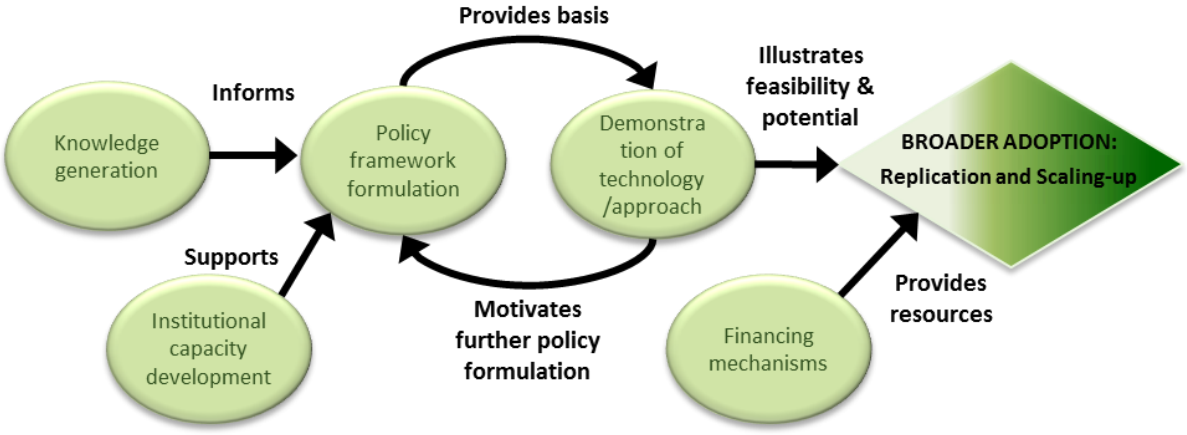


Figure 3: Example for frequent chain of causality implicit in several Focal Area Strategies



2.2 Construction of BD Focal Area Strategy TOC

Overview of BD Focal Area Strategy objectives

Table 1 presents an overview of BD Focal Area Strategy objectives including the indicative GEF-5 allocation as approved by the GEF Council as part of the GEF-5 Focal Area Strategies. The indicative allocations are compared to the resources programmed for GEF activities under the respective objectives as of 30 June 2012.

Table 1: Overview of objectives and resource allocations

Biodiversity Focal Area		
Goal	Conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services	
Objectives	Indicative allocation	Approved resources (as of 30 June 2012)
Objective 1: Improve sustainability of protect area systems	$700m / 65.4%	$250m / 52.5%
Objective 2: Mainstream BD conservation and sustainable use into production land/seascapes and sectors	$250m /23.4%	$206m / 43.3%
Objective 3: Build capacity for the implementation of the CPB	$40m / 3.7%	NA / NA
Objective 4: Build capacity on ABS	$40m / 3.7%	$3m / 0.6%
Objective 5: Integrate CBD obligations into national planning process through EAs	$40m / 3.7%	$17m / 3.6%
Total	**$1.07b / 100%**	**$476m / 100%**

Note: NA – not available.

Source: Indicative allocations from GEF/C.37/3; Approved resources are estimates from the GEF Secretariat.

BD-1: Improve Sustainability of Protected Area Systems

Table 2: BD-1 results framework

Objective	Expected Outcomes and Indicators	Outcome Targets	Core Outputs
BD-1	**Outcome 1.1:** Improved management effectiveness of existing and new protected areas. **Indicator 1.1:** Protected area management effectiveness score as recorded by Management Effectiveness Tracking Tool. **Outcome 1.2:** Increased revenue for protected area systems to meet total expenditures required for management. **Indicator 1.2:** Funding gap for management of protected area systems as recorded by protected area financing scorecards.	Eighty-percent (80%) of projects meet or exceed their protected area management effectiveness targets covering 170 million hectares of existing or new protected areas. Eighty-percent (80%) of projects meet or exceed their target for reducing the protected area management funding gap in protected area systems that develop and implement sustainable financing plans.	**Output 1.** New protected areas (number) and coverage (hectares) of unprotected ecosystems. **Output 2.** New protected areas (number) and coverage (hectares) of unprotected threatened species (number). **Output 3.** Sustainable financing plans (number).

Elements and chain of causality

BD-1 is based on one of the fundamental assumption underlying the BD strategy: **Protected Area Systems are an effective instrument for biodiversity conservation**. Accordingly, activities under BD-1[3] are aimed at improving the **sustainability of protected area systems** so that they can achieve their BD conservation objectives over the long-term. In particular, the BD strategy identifies three challenges to the sustainability of PAS and envisions three corresponding strategies to address these challenges (see figure BD-1 "Implementation Strategies"):

a) **Financing:** Limited funding for PAs undermines the ability of protected area authorities to manage them effectively.

b) **Management:** Weak individual and institutional management capacity threatens PA management effectiveness.

c) **Ecosystem and Species Representation**: Current protected area systems have national and global ecosystem and species representation gaps, leaving BD of global value vulnerable.

Financing of protected areas

BD-1 aims to improve the financial sustainability of protected area systems by establishing new incentive structures and corresponding financing mechanisms for investments in PAs, increasing investments by public as well as private sector actors. The BD strategy supports the financial sustainability of PAs mainly in three closely intertwined and mutually reinforcing ways:

[3] Activities under BD-1 are expected to receive the largest part of the GEF-5 BD focal area allocation ($700 million) based on past country demand.

a) Support for creating the **legal and regulatory basis** for new financing and incentive structures. These are embedded in broader efforts to develop the national policy, legal and regulatory framework on protected areas. Improvements of the policy environment have the explicit goal "to engage the private sector and other stakeholders to improve protected area financial sustainability".

b) Development of the necessary **capacity for the implementation of new financing mechanisms** within relevant institutions, administrative entities and individuals (see figure 1 "Knowledge & Information"). Related capacity and skill development is in particular geared towards levering the potential commercial opportunities of PAs to mobilize private sector investment. BD-1 states that protected area agencies are "often ill-equipped to respond to the commercial opportunities that protected areas provide", representing a barrier for the implementation of financing mechanisms that are based on the adequate valuation of ecosystem services.

c) Establishment and implementation of **financing mechanisms and incentives** for public and private PA financing, enabled by the combination of legal/regulatory stipulations and capacity development. The BD strategy explicitly identifies conservation trust funds (instrument for public-private partnerships), payments for ecosystems services (private as well as public sector engagement) and debt-for-nature swaps (channel for multilateral public funding) as examples for financing mechanisms to be supported under B-1.

In sum, the causal chain toward PA financial sustainability is based on the assumption that the ecological and economic value of protected areas is undervalued by the public and private sector and by demonstrating this value and creating capacity to seize related opportunities, funding can be increased from both sources.

Enhancement of management

The second way to improve sustainability and impact of protected areas addressed by BD-1 is to strengthen the long-term capacity to manage PAs. Corresponding GEF activities are building on previous and ongoing GEF support to the development and formulation of policy, legal and regulatory frameworks and national protected area systems (see figure 1 "Governance Capacity"). For improving PA management effectiveness, BD-1 supports capacity development, knowledge creation and information-sharing on national and local levels. Improved capacity in turn is intended to facilitate the ongoing development and improvement of PA management systems, ultimately increasing the management effectiveness of protected areas.

The main focus of GEF support for management capacity improvement is the **national government agencies tasked with PA management** in the respective recipient country. In addition, as part of a broader effort for management capacity development, the BD strategy mentions two aspects:

a) **Indigenous communities:** BD-1 assumes that indigenous communities play a major role with respect to PAs and, if included in PA management, can be a significant asset for PA

sustainability. The strategy points to indigenous and community conserved areas (ICCAs) as a positive example.[4]

b) **Climate resilience:** BD-1 points to the threat climate change poses to the sustainability of protected areas and the challenge to integrate "adaptation and resilience management measures as part of protected area management projects".

PA expansion and prioritization of representation gaps

Enabled by the mobilization of additional investment, building on reforms of the national policy framework, and complemented by the improvement of management systems, BD-1 envisions direct GEF support to the creation and expansion of protected areas. In this context, the BD strategy highlights the continued existence of national and global representation gaps. Based on the assumption that closing these gaps is an essential contribution to PA system sustainability, BD-1 defines some priorities for coverage at the global level to be emphasized by new protected areas receiving GEF support:

a) Marine ecosystem representation through coastal and near shore protected area networks;
b) Terrestrial and inland water ecosystem representation;
c) Landraces and wild crop relatives of species of economic importance;
d) Threatened species.

Broader adoption and behavioral change

The establishment of financing mechanisms and incentives is aimed at increasing available financial resources and diversifying funding sources for PAS. Thus improving the conditions for **sustaining** the ability of PAS to achieve their BD conservation objectives over the long-term represents the primary mechanism for broader adoption (*see General Framework, p. 6-7*) employed by BD-1. The availability of financial resources in turn provides the basis for improvements in protected area management effectiveness and for the creation and expansion of PAs. BD-1 also envisions the broader adoption of management practices through the mechanisms of **replication** and **scaling-up**. The creation of new PAs also provides an opportunity for prioritization of GEF support towards projects that contribute to the closing of representation gaps. Corresponding behavioral change in all stakeholder groups, induced through changes in incentive structures, is supported by knowledge creation and information-sharing as well as specific capacity and skill development. In addition, efforts to increase the general level of awareness on the economic and social benefits of BD conservation supported under BD objective 2 potentially exert a positive influence with regards to BD-1 as well.

[4] The importance of cooperation with indigenous communities is also highlighted in the GEF's "Indigenous Communities and Biodiversity" report of 2008 and included in other documentation such as the "Financing the Stewardship of Global Biodiversity" report.

Key Assumptions underlying BD-1:

- Protected Area Systems are an effective instrument for biodiversity conservation
- The main levers to improve PA's sustainability and impact are financing, management capacity and ecosystem and species representation:
  - **Financing**: Ecological and economic value of protected areas is undervalued by the public and private sector and by demonstrating this value and creating capacity to seize related opportunities, funding can be increased from both sources.
  - **Management:** Developing the long-term capacity to manage PAs can improve the sustainability and impact of protected areas. Effective management practices can reach broader adoption through replication and scaling-up.

    As part of management capacity development, indigenous communities play a crucial role within an effective PA management system that complements the role of Government protected area management agencies and authorities; climate resilience threatens PA sustainability and needs to be incorporated in management systems.
  - **Representation:** Closing existing representation gaps represents an essential contribution to PA system sustainability and can be achieved through prioritization in creation and expansion of PAs.

BD-2: Mainstream BD Conservation, Sustainable Use into Production Land-/Seascapes and Sectors

Table 3: BD-2 results framework

Objective	Expected Outcomes and Indicators	Outcome Targets	Core Outputs
BD-2	**Outcome 2.1:** Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation. **Indicator 2.1:** Landscapes and seascapes certified by internationally or nationally recognized environmental standards that incorporate biodiversity considerations (e.g. FSC, MSC) measured in hectares and recorded by GEF tracking tool. **Outcome 2.2:** Measures to conserve and sustainably use biodiversity incorporated in policy and regulatory frameworks. **Indicator 2.2:** Polices and regulations governing sectoral activities that integrate biodiversity conservation as recorded by the GEF tracking tool as a score. **Outcome 2.3:** Improved management frameworks to prevent, control and manage invasive alien species. **Indicator 2.3:** IAS management framework operational score as recorded by the GEF tracking tool.	Sustainable use and management of biodiversity in 60 million hectares of production landscapes and seascapes. Fifty-percent (50%) of projects achieve a score of six (6) (i.e., biodiversity conservation and sustainable use is mentioned in sector policy through specific legislation, regulations are in place to implement the legislation, regulations are under implementation, implementation of regulations is enforced, and enforcement of regulations is monitored) Eighty-percent (80%) of projects meet or exceed their target for a fully operational and effective IAS management framework	**Output 1.** Policies and regulatory frameworks (number) for production sectors. **Output 2.** National and sub-national land-use plans (number) that incorporate biodiversity and ecosystem services valuation. **Output 3.** Certified production landscapes and seascapes (hectares).

Elements and chain of causality

BD-2 reflects the notion that site-based actions in PAs alone are not sufficient to address the drivers to biodiversity loss. Thus, GEF supports activities to **improve the sustainable use of biodiversity outside protected areas**. BD-2 therefore focuses on efforts to "reduce the negative impacts that productive sectors exert on biodiversity, particularly outside of protected areas and those affecting landscape species, and highlight the contribution of all components of biodiversity to ecosystem functioning, economic development and human well-being". These efforts are referred to as **mainstreaming** in the BD strategy. The BD strategy prioritizes "biodiversity-dependent production sectors and those with large ecological footprints" (agriculture, fisheries, forestry, tourism, oil and gas, mining). The management of invasive alien species is also covered under BD-2.

Providing a framework for the causal chains of activities, BD-2 identifies three fundamental barriers to BD mainstreaming and employs a **barrier removal and market change approach** for promoting sustainable use in the public as well as private sector:

a) Lack of **knowledge** on the benefits from biodiversity requiring information sharing and knowledge creation;
b) Lack of **capacity** to act requiring efforts for capacity development and technical support;
c) Lack of **incentives** to act requiring improved incentive structures and financing mechanisms for conservation and sustainable use.

Knowledge barrier removal

BD-2 emphazises knowledge creation based on the notion that BD conservation "may yield subtantial social and economic benefits", but "actors may be unaware of these benefits". BD-2 therefore supports the **removal of critical knowledge barriers** through efforts to identify and communicate ecosystem service benefits on the national level and local levels following the global example of the MEA (see figure 2 "Knowledge & Information"). The strategy highlights the national BD strategies and action plans (NBSAPs) as a vehicle to disseminate and translate this knowledge into action. The strategy's causal chain for knowledge barrier removal primarly addresses two stakeholder groups:

a) **Governments:** Increasing politcal decision-makers' knowledge on the social and economic benefits of BD conservation is envisioned to increase the political will (i.e. behavioral change) to create an enabling environment for BD protection as well as to inform the policy formulation process improving the quality of the resulting governance framework (see also "Incentive barrier removal").
b) **Private sector:** Increasing private actors' knowledge on benefits of BD is intended as a first step in the causality chain leading to private sector engagement in incentive systems that favor BD conservation and sustainable use and mobilizes private investment.

Based on the assumption that consumer willingness to pay a premium on certified, BD-friendly products is generally sufficient to guarantee the success of certification schemes, the strategy does not include specific activities to increase consumer awareness regarding the benefits of BD-friendly products.

Capacity barrier removal

BD-2 explicitly addresses capacity barriers on two levels:

a) **Administrative capacity:** BD-2 aims to "strengthen the capacity of the public sector to manage and regulate the use of biological diversity in the productive landscape and seascape". Supporting administrative and institutional capacity reinforces the formulation and implementation of the policy, regulatory and legal framework for BD mainstreaming.
b) **Private sector capacity:** BD-2 includes support for capacity development of farmers and natural resource managers to adopt and implement newly established BD incentive systems. However, the strategy only elaborates this aspect with regard to environmental certification systems, not in the context of PES schemes. Capacity development on certification schemes is causally linked to the success of GEF supported pilot certification schemes (see

"Incentive barrier removal") which in turn are envisioned to induce broader adoption of new incentive structures.

Incentive barrier removal

The strategy highlights the importance of a **policy, legal and regulatory framework** that attaches appropriate value to biodiversity and ecosystem services as the basis for an incentive structure to induce broader adoption. The BD strategy identifies two channels to influence market conditions and change market actor behavior: a) removal of "perverse" incentives like subsidies that reward the destruction of biodiversity; and b) Installation of incentive schemes that transfer ecosystem benefits into economic profits.

BD-2 mentions **two market-based incentive schemes** that are envisioned to increase the profitability of sustainable use:

a) **Environmental certification:** BD-2 puts forward environmental certification to utilize the willingness of consumers to pay a premium on BD-friendly products. Certification as a market signal represents a way to turn this willingness into tangible economic profits in return for BD conservation and sustainable use. Activities under BD objective 2 support the establishment and piloting of certification schemes, the improvement of certification standards and enhanced "access to financing for producers working towards producing certified goods/services" (in addition to technical capacity development for farmers and resource managers described above)." The impact of certification schemes is dependent on the consumers' willingness to pay a BD premium on certified products.

b) **Payment for Ecosystem Services (PES):** PES is mentioned, but not extensively elaborated on in the strategy. It represents "arrangements between buyers and sellers of environmental goods and services in which those that pay are fully aware of what it is that they are paying for, and those that sell are proactively and deliberately engaging in resource use practices designed to secure the provision of the services".5 PES can thereby serve as an incentive mechanism for employing sustainable practices and increase the economic profitability of BD conservation and sustainable use. The BD strategy draws on the GEF experiences with PES as also described in the GEF's "Payment for Ecosystem Services" report of 2010 and taking into account findings of the STAP advisory document "Payment for Ecosystem Services and the Global Environment Facility" (2010).

Access to Genetic Resources and Benefit Sharing addressed by BD-4 represents an additional instrument to facilitate biodiversity mainstreaming. Reflecting the high priority of ABS within the CBD is addressed under a separate objective in the BD strategy. The potential contribution of ABS towards the expected results under BD-2 is not explicitly discussed in the BD strategy.

BD-2 also entails the establishment of management frameworks to prevent, control and manage the spread of ***invasive alien species***, recognizing the importance the CBD COP places on the threat that IAS pose to BD, particularly in islands and island states. The relation between IAS management frameworks and the other elements covered under BD-2 is not extensively discussed in the BD strategy text.

[5] GEF (2010), Payment for Ecosystem Services.

Broader adoption and behavioral change

Based on an enabling governance framework, the strategy envisions facilitating a change of incentives favoring BD conservation and sustainable use by employing **market-based instruments** like certification and PES. The BD strategy acknowledges that these instruments need to be accompanied by efforts to **increase related capacity and knowledge** among relevant stakeholders. The BD strategy thus includes support for the removal of capacity and knowledge barriers in the private and public sector. The combination of incentive mechanisms and barrier removal is envisioned to **catalyze long-term behavioral change** of stakeholders towards increasing engagement and investments in BD conservation. Following the causal chains envisioned by the BD strategy, GEF support therefore helps creating a situation in which engagement in BD conservation is the rational choice for public as well as private sector stakeholders.

Consumer willingness to pay a premium on BD-friendly products is a central prerequisite for the envisioned causal chain of certification to achieve its objectives. The BD strategy assumes this willingness to be sufficiently present in the market and therefore does not include activities to influence current consumer purchase behavior.

Key Assumptions underlying BD-2:

- Targeting drivers of biodiversity loss requires biodiversity mainstreaming outside protected areas, in productive land/seascapes and sectors
- Sustainable use and management of biodiversity can yield products and services that have commercial value and can therefore mobilize private sector investments in BD conservation and sustainable use
    - Positive examples for incentive schemes include PES systems and environmental certification
    - Consumers are willing to pay a premium on BD-friendly products
- Barriers to behavioral change triggered by new incentives are lack of capacity and/or lack of knowledge and lack of finance

BD-3: Build Capacity for the Implementation of the Cartagena Protocol on Biosafety (CPB)

Table 4: BD-3 results framework

Objective	Expected Outcomes and Indicators	Outcome Targets	Core Outputs
BD-3	**Outcome 3.1:** Potential risks of living modified organisms to biodiversity are identified and evaluated in a scientifically sound and transparent manner **Indicator 3.1:** National biosafety decision-making systems operational score as recorded by the GEF tracking tool	Eighty-percent (80%) of projects meet or exceed their target for a fully operational and effective biosafety framework.	All remaining eligible countries (about 60-70 depending on programming for rest of GEF-4) have national biosafety decision-making systems in place.

Elements and chain of causality

BD-3 presents a chain of causality supporting the national implementation of the provisions made by the Cartagena Protocol on Biosafety (CPB) addressing the potential risks of living modified organisms (LMOs) to biodiversity. The BD strategy explicitly identifies the key elements of the ***Updated Action Plan for Building Capacities for the Effective Implementation of the CPB*** to be supported under BD-3. Consequently, the TOC will take the elements identified in the Update Action Plan, paragraph 4 into account.

Knowledge & Information

BD-3 provides assistance to scientifically sound and transparent identification and evaluation of potential risks of LMOs to BD. Supported activities (see *Updated Action Plan*) include exchange of existing knowledge through the **Biosafety Clearinghouse**, activities to enhance awareness, participation and education for decision-makers, stakeholders and the general public, and support for human resource development. These activities are envisioned to improve the knowledge base to inform the formulation of legal and regulatory provisions on biosafety as well as the design of measures to counteract uncontrolled LMO movement. In addition, knowledge creation is causally linked to desired behavioral change of public and private actors towards adherence to and support of biosafety practices.

Governance capacity

The legal and regulatory framework on biosafety provides the basis for broader adoption of biosafety practices in general and specific interventions to address unintentional or illegal movements of LMOs in particular. The formulation of legal and regulatory stipulations is facilitated by activities including institutional capacity development, strengthening of follow-up and monitoring mechanisms as well as assistance for fulfilling specific CPB documentation requirements.

Implementation strategies

BD-3 provides direct support for CPB implementation and enforcement primarily through two channels:

a) Organizational arrangements: GEF support is envisioned to strengthen the available technical, scientific and telecommunication infrastructure as well as collaborative arrangements within and between different groups of stakeholders. These activities are intended to support the creation of a biosafety knowledge base described above (see Knowledge & Information).

b) Specific measures: Based on the results of stocktaking exercises and facilitated by improved legal and policy frameworks, GEF support is envisioned to facilitate design and implementation of country-specific measures to reduce the potential risks from LMOs to BD. The Update Action Plan explicitly highlights measures to address unintentional or illegal movements of LMOs.

Broader adoption and behavioral change

Based on efforts to improve information sharing and technical capacity on biosafety, the combination of a legal and regulatory framework providing the rules for addressing biosafety issues and the design and formulation of specific measures to implement and enforce these rules is envisioned to lead to the broad adoption of biosafety practices. Broader adoption under BD-3 is thus primarily based on the mechanism of **mainstreaming** (see General Framework p. 6-7). Through this causal chain, which reflects extensive guidance from the CBD COP, governments would increase their capacity for formulating and enforcing biosafety frameworks while private sector actors would change practices in order to conform to legal and regulatory biosafety requirements.

Key Assumptions underlying BD-3:

- The potential risk of LMOs to biodiversity justifies GEF support to help countries formulate rules and implement measures addressing LMO movement
- A legal and regulatory framework for biosafety is an effective instrument for changing stakeholder practices towards biosafety risk reduction
- GEF support to design and improve measures and strategies to enforce biosafety rules can increase compliance

BD-4: Build Capacity on Access to Genetic Resources and Benefit Sharing

Table 5: BD-4 results framework

Objective	Expected Outcomes and Indicators	Outcome Targets	Core Outputs
BD-4	**Outcome 4.1:** Legal and regulatory frameworks, and administrative procedures established that enable access to genetic resources and benefit sharing in accordance with the CBD provisions **Indicator 4.1:** National ABS frameworks operational score as recorded by the GEF tracking tool (to be developed)	Eighty-percent (80%) of projects meet or exceed their target for a fully operational and effective ABS framework.	Access and benefit-sharing Agreements (number) that recognize the core ABS principles of Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) including the fair and equitable sharing of benefits.

Elements and chain of causality

BD-4 entails activities to support national capacity to provide access to and ensure the equitable sharing of benefits arising from the utilization of genetic resources (ABS). The establishment of legally binding agreements between users and providers of genetic resources is envisioned in countries where there is legal certainty and clarity on accessing genetic resources. Monetary and non-monetary benefits are expected from these agreements, including the transfer of technology to provider countries. ABS agreements are envisioned to ultimately have a positive effect on the conservation of the biological resources and habitats from where the genetic material was sourced.

The mechanisms envisioned to lead to positive effects include:

a) ABS agreements as a source of additional financial resources that can be channeled into BD conservation;

b) ABS agreements as an incentive structure rewarding sustainable use practiced by local communities.

Knowledge & Information

GEF support under BD-4 includes knowledge creation and information-sharing to raise awareness of the importance of genetic resources and traditional knowledge associated with genetic resources among political decision-makers, the scientific community and other stakeholders, including indigenous peoples, local communities and the private sector. An improved knowledge base is envisioned to inform the formulation of legal and regulatory provisions on ABS and facilitate behavioral change of stakeholders

Governance capacity

Strengthening of human resources and institutional capacities are highlighted as central tasks under BD-4. The removal of crucial capacity barriers is intended to facilitate the GEF supported formulation of a legal and regulatory framework on which ABS agreements are built. The gov-

ernance and administrative structures in turn provide the basis for the establishment of ABS agreements between users and providers of genetic resources.

Implementation strategies

Based on the legal and regulatory framework and supported by knowledge creation, BD-4 supports measures and organizational arrangements that promote the creation of concrete ABS agreements that recognize the principles of Prior Informed Consent (PIC), Mutually Agreed Terms (MAT) and Benefit Sharing. The establishment of these agreements is envisioned to ensure that access to genetic resources is accompanied by the fair and equitable sharing of the benefits resulting from their utilization. ABS agreements should facilitate the broad adoption of ABS practices and ultimately contribute to the conservation and sustainable use of the biological diversity and its components.

Broader adoption and behavioral change

As articulated in CBD COP guidance, the combination of increased capacity, improvement of legal and regulatory provisions, as well as measures to promote concrete ABS agreements is envisioned to facilitate understanding between providers and users and to create an enabling environment for the broad adoption of ABS practices. Broader adoption under BD-3 is primarily based on the mechanism of **mainstreaming** (see General Framework p. 6-7), but by also supporting ABS as an incentive mechanism rewarding sustainable use BD-3 also contributes to **changes in overall market structures** towards an enabling environment for sustainable practices.

Key Assumptions underlying BD-4:

- Building human and institutional capacity to grant legal access to genetic resources using clear governance and administrative procedures allow interested stakeholders in engaging in legally binding ABS agreements.
- ABS agreements reflecting Prior Informed Consent (PIC) and Mutually Agreed Terms (MAT) are an effective instrument to enhance the use and the fair and equitable sharing of benefits arising from the utilization of genetic resources.
- Access and the fair and equitable sharing of benefits arising from the utilization of genetic resources creates positive incentives for the conservation and sustainable use of biodiversity

BD-5: Integrate CBD Obligations into National Planning Processes through Enabling Activities

Table 6: BD-5 results framework

Objective	Expected Outcomes and Indicators	Outcome Targets	Core Outputs
BD-5	**Outcome 5.1:** Development and sectoral planning frameworks at country level integrate measurable biodiversity conservation and sustainable use targets. **Indicator 5.1:** Percentage of development and sectoral frameworks that integrate measurable biodiversity conservation and sustainable use targets.	50% of parties that revise NBSAPs successfully integrate measurable biodiversity conservation and sustainable use targets into development and sectoral planning frameworks.	Number and type of development and sectoral planning frameworks that include measurable biodiversity conservation and sustainable use targets.

Elements and chain of causality

Enabling activities under BD-5 are aimed at supporting counties' in fulfilling their obligations under the CBD. A by-product of support to these processes will be increased institutional capacity to integrate the conservation and sustainable use of biodiversity into national policy planning process.

Enabling activities and capacity development

BD-5 intends to facilitate cross-cutting capacity development through several channels:

a) Development and revision of National BD Strategy and Action Plans (NBSAPs)
b) Support for Clearing House Mechanism (CHM)
c) Integration of CBD obligations into national planning via the NBSAP process
d) BD conservation in sectoral planning via the NBSAP process
e) Integration of climate change adaptation and resilience via the NBSAP process

Broader adoption and behavioral change

The combination of these activities is envisioned to increase government ability to integrate BD conservation/CBD obligations into national planning and economic development policies and strategies.

2.3 Overall TOC for GEF-5 Focal Area Strategy on Biodiversity

The approach envisioned by the GEF-5 focal area strategy on biodiversity to contribute to the **"conservation and sustainable use of biodiversity and the maintenance of ecosystem goods and services"** can be classified into four closely interlinked causal pathways, representing chains of causality that address both BD conservation through protected area systems as well as sustainable use of biodiversity through improved management of biodiversity in productive landscapes and seascapes:

Causal pathway 1: Incentive systems for BD conservation and sustainable use

The primary causal chain underlying the BD strategy is the establishment of incentive structures and corresponding financing mechanisms to promote sustainability in BD conservation, within and beyond protected area systems. In its "Achieving Sustainability of Biodiversity Conservation" report (2000), the GEF M&E Team[6] already identified the **articulation of BD benefits** as the basis for the establishment of corresponding **incentive structures and financing mechanisms** necessary to sustain biodiversity. Reflecting this assessment, the BD strategy emphasizes the identification and communication of the "real" value deriving from biodiversity and the creation of incentive systems that build on the actual social and economic benefits produced as a result of BD conservation and sustainable use. The causal pathway for the creation of incentive systems features three fundamental elements:

a) **Legal and regulatory provisions:** Building on recipient countries' commitment to CBD obligations, legal and regulatory stipulations provide the basis for establishing incentive structures and corresponding financing mechanisms. They include directly mandated changes to the incentive structure (subsidies, removal of "perverse" incentives) as well as provisions that create the legal basis for incentive schemes (certification, PES). The formulation and adoption of legal and regulatory provisions is envisioned to be embedded in broader national policy planning, facilitated by institutional capacity development and EAs.

   → The establishment of a favorable policy, legal and regulatory framework depends on activities to **improve the knowledge base** on BD conservation and remove knowledge barriers among policy decision makers to create necessary political will (see causal pathway 4). This aspect closely links causal pathways 1 and 4.

b) **Technical capacity development**: The implementation of incentive schemes based on the commercial and/or social value of biodiversity requires technical capacity of **administrating entities** to implement and monitor the translation of BD conservation and sustainable use benefits into economic profits. In addition, it requires technical expertise on the side of the **producers wanting to use certification schemes, PES etc.** to translate BD conservation and sustainable use benefits into economic profits. GEF activities to support corresponding capacity development are a prerequisite for the establishment of incentive schemes and financing mechanisms.

[6] Predecessor of the GEF Evaluation Office

c) **Incentive schemes & financing mechanisms**: Legal and regulatory provisions and technical capacity development provide the basis for the establishment of incentive schemes and financing mechanisms to enable:

   - Financial sustainability of Protected Area Systems;
   - BD conservation and sustainable use in productive land/seascapes and sectors

In addition to opening **new channels for public financing**, the strategy emphasizes the establishment of incentive structures that pass on benefits from BD conservation and sustainable use to the private sector/local communities creating opportunities to engage the private sector in biodiversity financing. The incentive schemes explicitly mentioned by the BD strategy are **environmental certification** building on the consumers' willingness to pay a premium on BD friendly products, and **Payments for Ecosystem Service schemes** as an instrument to facilitate the transfer of money between providers of ecosystem services and the users of ecosystem services. Access and Benefit-sharing (ABS) can be understood as an instrument to improve access and benefit sharing from the utilization of genetic resources and as a tool to realize the value of biological resources.

The incentive schemes established as a result of the described causal pathway (see also figure below) are envisioned to change behavior of governments, private sector and local communities towards promoting and adopting BD conservation and sustainable use. For this purpose, causal pathway 1 describes a chain of activities to change market conditions towards a **situation of economic profitability of BD conservation** and sustainable use where:

a) Benefits from biodiversity are appropriately valued and this **value is well articulated** (identification of externalities),

b) Value can be transferred into **economic benefits** (internalization of externalities), and

c) Resulting economic benefits are **fairly distributed** in return for BD conservation and sustainable use efforts.

Causal pathway 2: Enhanced implementation, management and representation

Causal pathway 2 is concerned with enhancing the effectiveness of BD conservation and sustainable use efforts within and beyond Protected Area Systems. This includes:

a) **Improvement in PA management effectiveness**, e.g. improving financing, strengthening capacity, and filling gaps in ecosystem and species representation;

b) **Enhanced handling of BD challenges outside PAs**, e.g. increased capacity of natural resource managers to utilize the incentive mechanisms presented under pathway 1.

Causal pathway 2 draws on several of the strategy's elements to support the establishment of enhanced management systems including:

a) Knowledge creation and dissemination on BD conservation and sustainable use as a prerequisite for effective management;

b) Improvements of policy, legal and regulatory frameworks to provide support for sustainable management systems;

c) Institutional and technical capacity development to facilitate the implementation of sustainable management approaches.

Causal pathway 3: Governance framework

Policy, legal and regulatory provisions play an important role as the basis for incentive schemes promoting BD conservation and sustainable use (through directly mandated changes as well as by providing the legal basis for market-based approaches - see causal pathway 1). Beyond that, efforts to strengthen the BD governance framework are more comprehensive aiming at mainstreaming BD conservation and sustainable use (in PAs as well as productive landscapes) into the political, legal and regulatory systems of a given country. Institutional/administrative capacity development and EAs support the implementation, monitoring and enforcement of improved policy, legal and regulatory stipulations.

The removal of knowledge barriers (see causal pathway 4) plays a two-fold role in supporting the formulation and adoption of policy, legal and regulatory frameworks:

a) Knowledge creation informs the specific formulation and prioritization of the frameworks increasing their effectiveness;

b) Removal of knowledge barriers on the social and economic benefits of BD conservation and sustainable use mobilizes interest of stakeholders, including political will to formulate corresponding governance frameworks.

Causal pathway 4: Knowledge creation

As pointed to in all other causal pathways, the creation and continuous adjustment of the knowledge base on crucial aspects of BD conservation and sustainable use in a given country facilitates the success of GEF supported BD activities. Knowledge creation and information-sharing fulfills two functions within the causal pathways of the BD strategy:

a) The knowledge created and shared **informs the design/formulation of other GEF supported activities** under the BD strategy, for example the specific issues, priorities and approaches to be reflected in BD policies or regulations or the concrete design of incentive mechanisms most suitable to respond to the given countries' BD needs and conditions

b) The knowledge is disseminated to stakeholder groups, raising their **level of understanding regarding the economic and social benefits connected to BD conservation and sustainable use**. This is envisioned to facilitate behavioral change, creating political will, consumer sensitivity as well as private sector economic interest in BD conservation and sustainable use.

Key Assumptions underlying the GEF-5 BD Focal Area Strategy:

- Strategies: Protected Area Systems are an effective mechanism for conservation and sustainable use of biodiversity with global value; PAs need to be complemented by efforts to change management practices in landscapes/seascapes and productive sectors so that they are more biodiversity-friendly
- Financing: Ecological and economic value of protected areas is undervalued by the public and private sector. By demonstrating this value and supporting the necessary capacity and organizational arrangements, funding can be increased from both sources; commercial benefits from biodiversity-friendly management within the agriculture, forestry, fisheries and tourism sector provide economic incentives to these actors to adopt BD-friendly management processes and systems
- Incentives: BD-friendly examples of economic incentives that are currently exist in the marketplace include PES and environmental certification (based on consumers' willingness to pay a premium on BD-friendly products) and these are the best entry points at present for commercializing biodiversity benefits
- Governance: The policy, legal and regulatory framework provides the basis for creating an enabling environment for BD conservation and sustainable use by: a) setting and/or adjusting direct incentives (e.g. subsidies); b) providing conditions for more specific incentive systems (certification, PES); In combination with institutional capacity development, governance framework is a necessary pre-requisite to compliance, which in turn is dependent on political will, which is beyond the influence of the GEF
- Management: GEBs from GEF BD activities can be maximized through improvements of implementation/management approaches with Protected Area Systems as well as productive land/seascapes.
- Capacity: Lack of capacity of different stakeholder groups represents a barrier to the implementation of activities described above; can be removed through targeted capacity development efforts:
    - Administrative entities: Capacity to design, implement, monitor and enforce incentive schemes based on the commercial value of BD conservation and sustainable use; capacity to implement improved management practices
    - Private sector: Capacity of producers to generate profits from BD conservation and sustainable use through incentive schemes like environmental certification
- Knowledge: Adequate knowledge and information on specific (on national & local level) BD conditions is a prerequisite for effective design and implementation of activities described above; level of understanding of stakeholder groups is important to facilitate behavioral change through activities above (awareness of economic and social benefits of BD conservation and sustainable use)

2.4 Framework diagrams for TOC construction

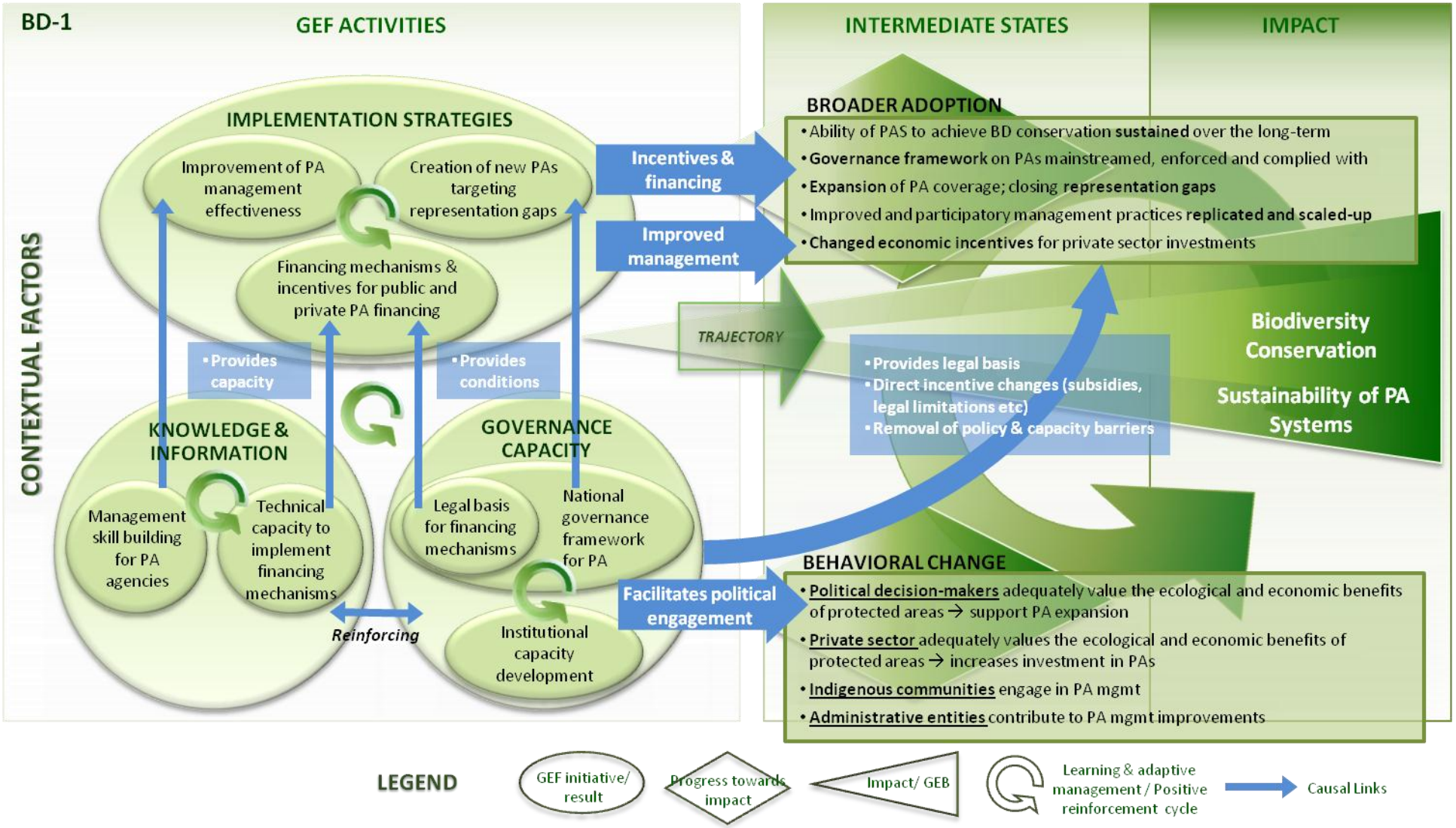


Figure 4: Elements and causal links of BD-1

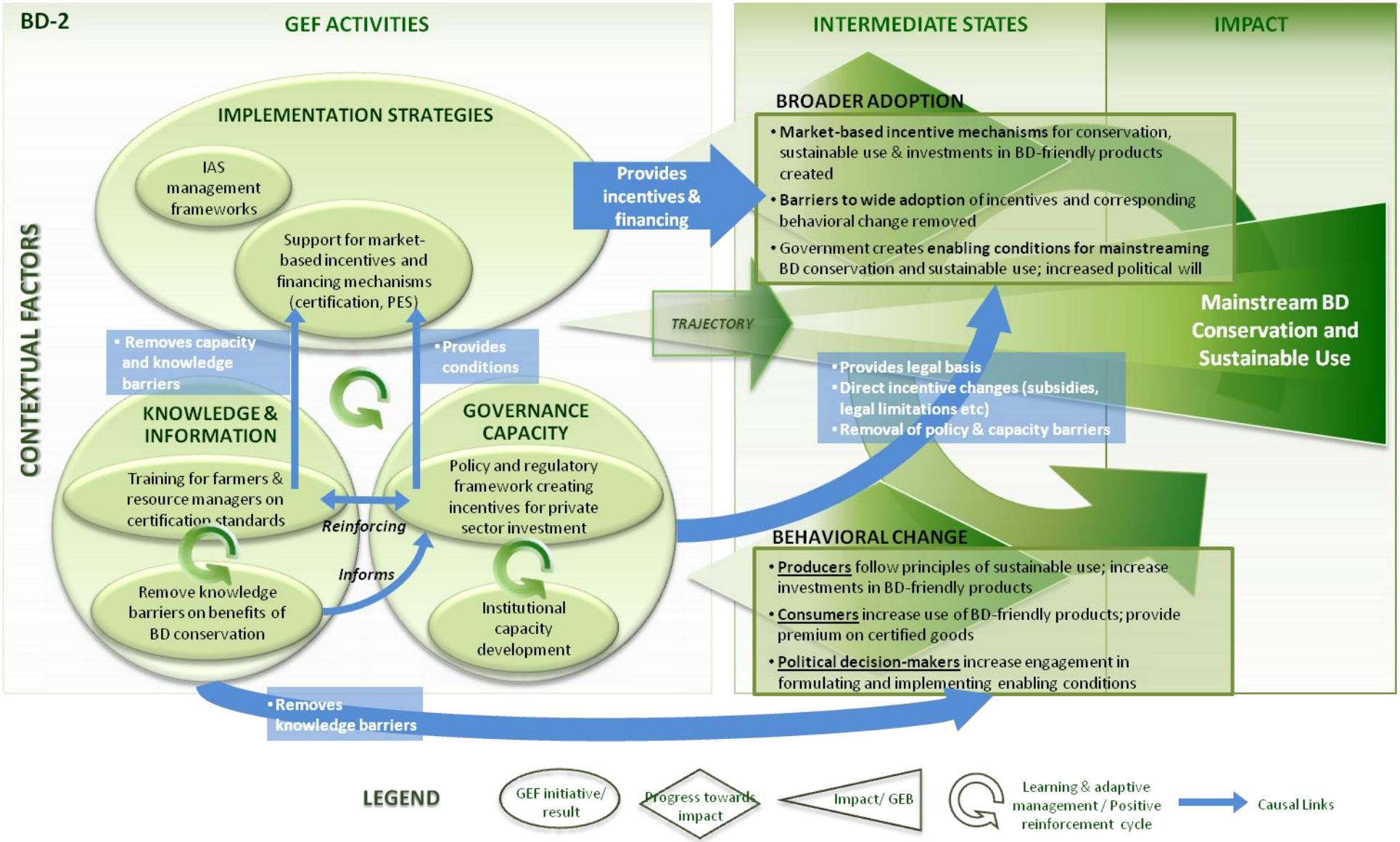


Figure 5: Elements and causal links of BD-2

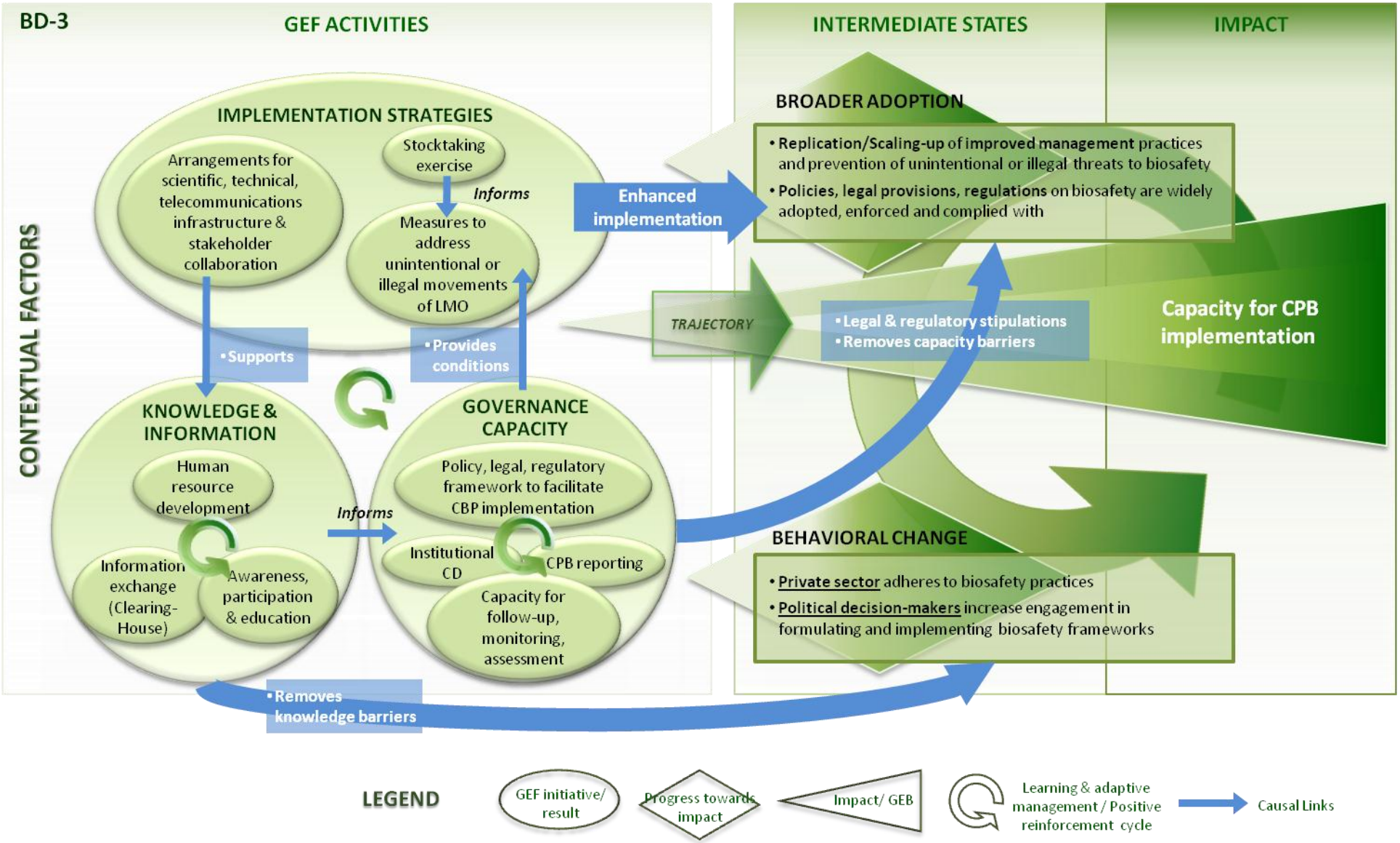


Figure 6: Elements and causal links of BD-3

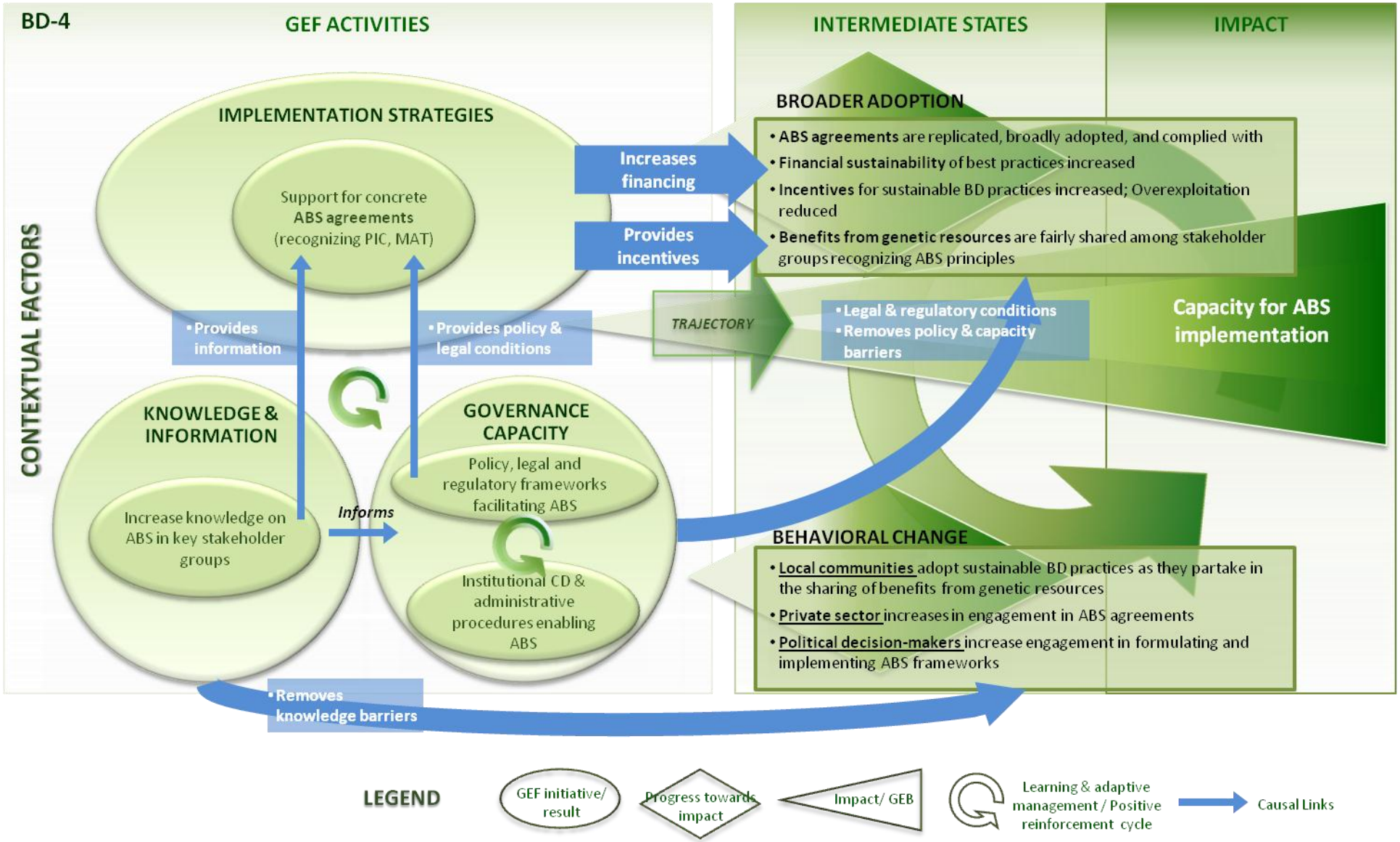


Figure 7: Elements and causal links of BD-4

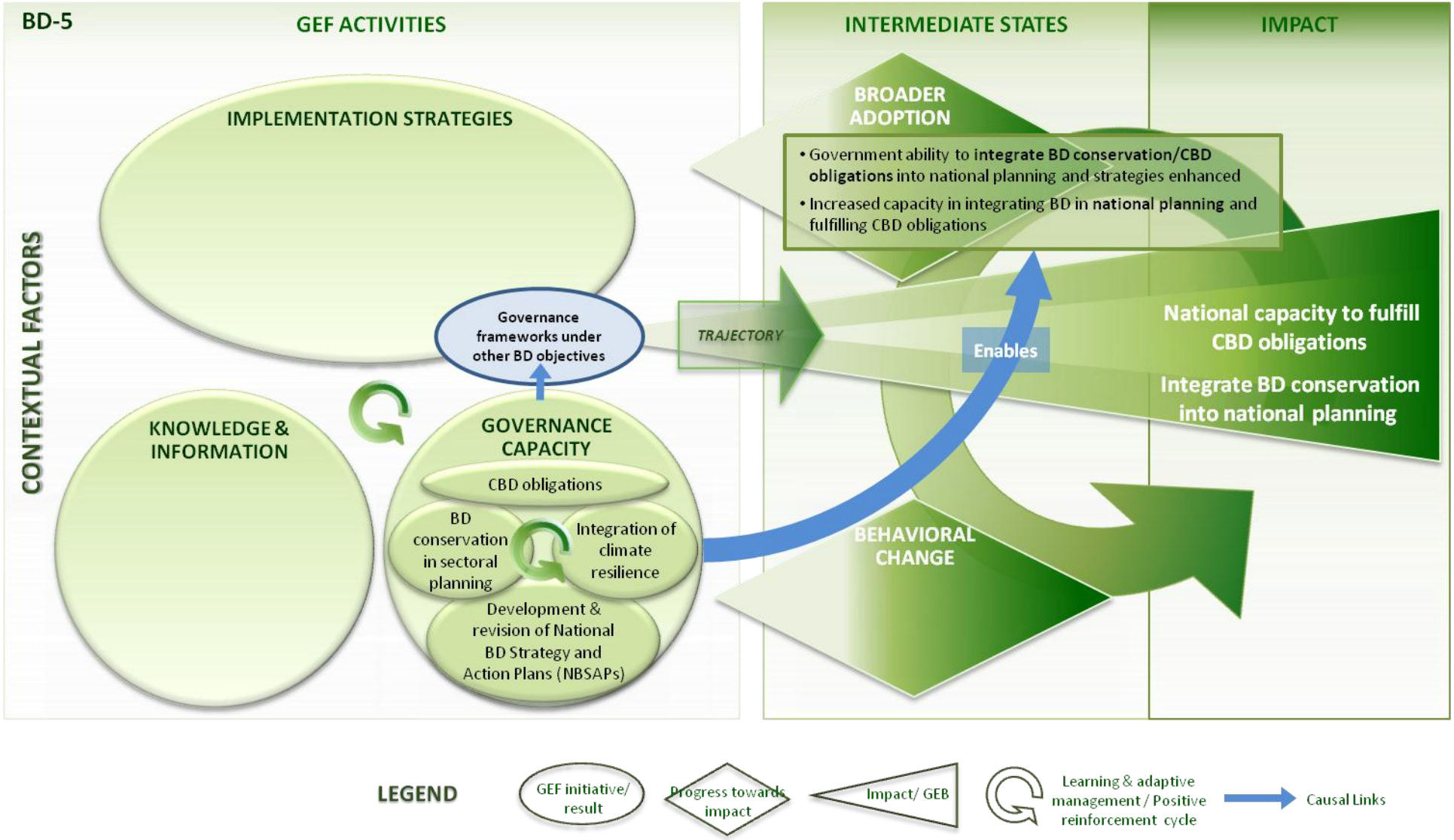


Figure 8: Elements and causal links of BD-5

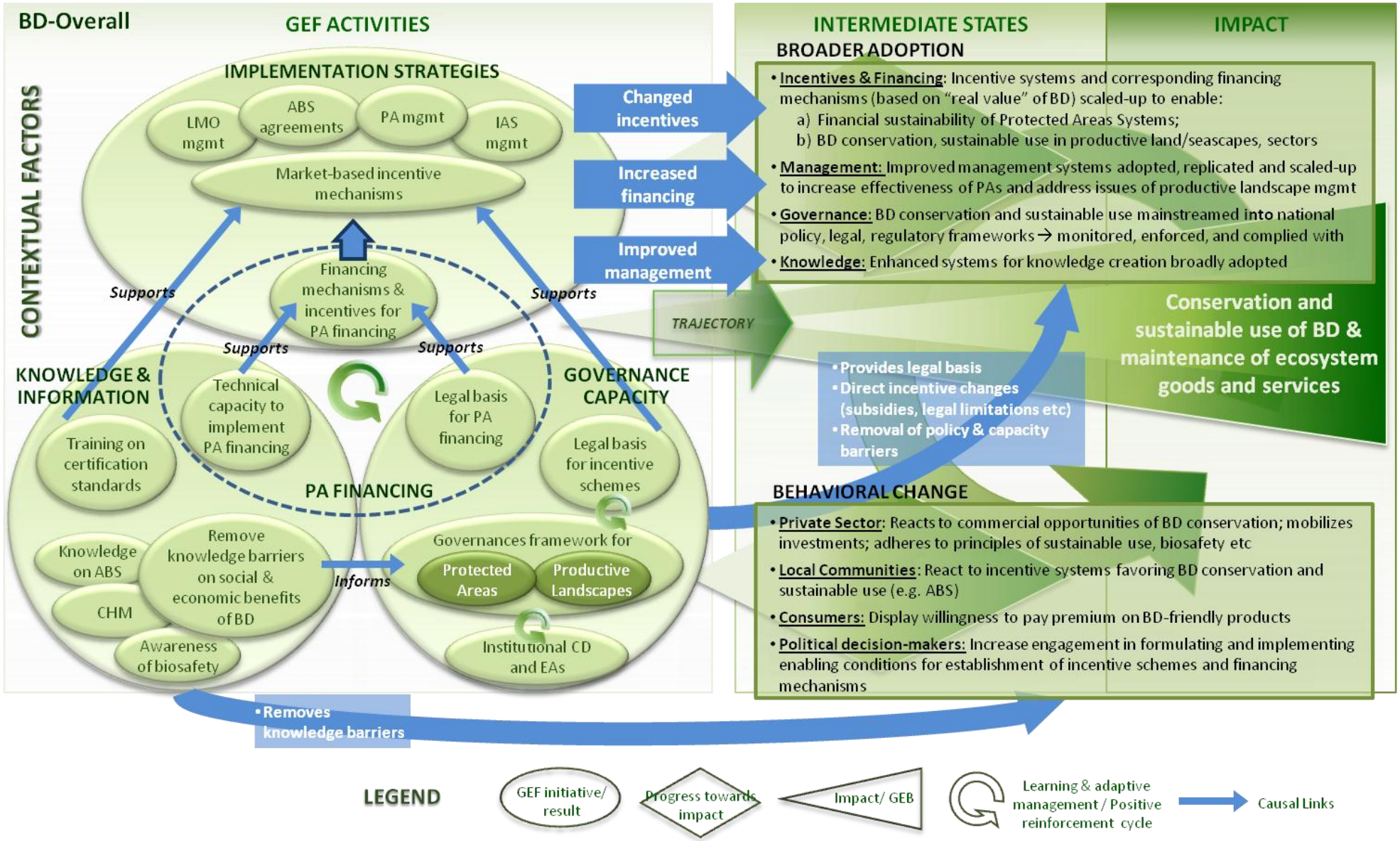


Figure 9: Elements and causal links of GEF-5 Strategy for Biodiversity

3. ANALYSIS OF CONVENTION GUIDANCE

3.1 Approach to convention guidance

One factor that influences the characteristics of the GEF Focal Area Strategies is the guidance the GEF receives from the Conference of the Party (COP) of international conventions. The influence of convention guidance on the GEF Focal Area Strategies is particularly important in the context of international conventions the GEF serves as financial mechanisms, namely the CBD, UNFCCC, UNCCD and the Stockholm Convention. Accordingly, the analysis of convention guidance primarily focuses on GEF support in the areas of Biodiversity, Climate Change, Land Degradation and Chemicals. In order to assess the way in which Focal Area Strategies reflect convention guidance the *Evaluation of GEF Focal Area Strategies* conducted a full review of convention guidance issued by the COPs. The review includes the identification of guidance relevant to the GEF, a quantitative analysis of guidance over time, and a qualitative classification of each individual item of COP guidance. The full compilation of COP guidance can be found in Technical Paper 8.

Based on the guidance review, the *Evaluation of GEF Focal Area Strategies* conducted a "Guidance-Strategy-Mapping" identifying the links between guidance and Focal Area Strategies. The mapping illustrates how topics raised by the convention are reflected in the strategies and how the strategies in turn are shaped by different kinds of guidance. Stakeholder interviews, especially with the GEF Secretariat and convention secretariats, provided additional information for the analysis of the relationship between Focal Area Strategies and convention guidance.

3.2 Quantitative summary of CBD guidance

Note: One "item" of guidance is defined as a distinguishable piece of information within a COP decision, usually a paragraph or sub-paragraph.[7]

Classification of CBD guidance to the GEF by themes

Table 7: CBD COP guidance to the GEF

Theme/COP	1	2	3	4	5	6	7	8	9	10	TOTAL
I. OVERALL											
General	3	1						1	1	3	**9**
Policy and Strategy	4			4		1	1			1	**11**
Eligibility Criteria	1						1				**2**
Programme priorities general	1								1		**2**
II. PROGRAMME PRIORITIES											

[7] On counting COP guidance: The table summarizing convention guidance to the GEF presented in OPS4 counts the number of Articles in COP Decisions directed to the GEF. The numbers presented in figure 7, which will also be used for OPS5, count all items of guidance defined as a "distinguishable piece of information within a COP decision" (usually a paragraph or sub-paragraph). Accordingly, the reported number is significantly higher than in OPS4.

Biodiversity planning	2			1		1	1	3	1	6	**15**
Identification, monitoring, indicators and assessments	2		2		1		1	1		2	**9**
Taxonomy				2	1	1	1	5		2	**12**
Protected areas							1	5	4	2	**12**
Species conservation	1					2				2	**5**
Invasive alien species				2	2	1	1	2	3		**11**
Article 8(j) and related provisions	1		1		1	1		1	1	2	**8**
Sustainable use							1				**1**
Engagement of business									2		**2**
Incentive measures	1		1	2	1	1					**6**
Research and training			1						2		**3**
Education and public awareness			1		1	1	1	2			**6**
Access and benefit-sharing			2	2	1	2	1			1	**9**
Technology cooperation/transfer	1						1		2	2	**7**
Scientific cooperation/CHM	1	2	2	3	1	1			3	2	**15**
Biosafety			1		1	1	3	3	1	1	**11**
National reports		2		2	1	2	1	3	1	2	**14**
Ecosystem approach					1		1		3		**5**
Agricultural biological diversity			1		2	4					**7**
Forest biodiversity				4	1	1					**6**
Biological diversity of inland water ecosystems				3	1	2					**6**
Marine and coastal biodiversity	1	1			1	2	1			3	**9**
Island biological diversity								2			**2**
BD of dry and sub-humid lands	1				1						**2**
Mountain ecosystems	1										**1**
Climate change and biodiversity							1		2	4	**7**
Development activities	1						1			2	**4**
Sustainability	1								1		**2**
South-South cooperation										2	**2**
III. ACTIONS TO IMPROVE EFFECTIVENESS											
Co-financing				1	1	1			1		**4**
Innovative financing mechanisms and resource mobilization						2		2	2	2	**8**
Incremental costs				1							**1**
Resource allocation								3	2		**5**
Geographical consideration						1		4	1		**5**
Gender									1	1	**2**
Processing and delivery systems		4	1	2	1	8	4	3	2	2	**27**
Review and evaluation			1	4		1	2	5	3		**16**

Reporting		1				2	1	1	5		**10**
TOTAL	**23**	**11**	**14**	**33**	**20**	**39**	**26**	**46**	**45**	**44**	**301**

Overall amount of guidance

Figure 10: Overall amount of guidance to the GEF by CBD COP

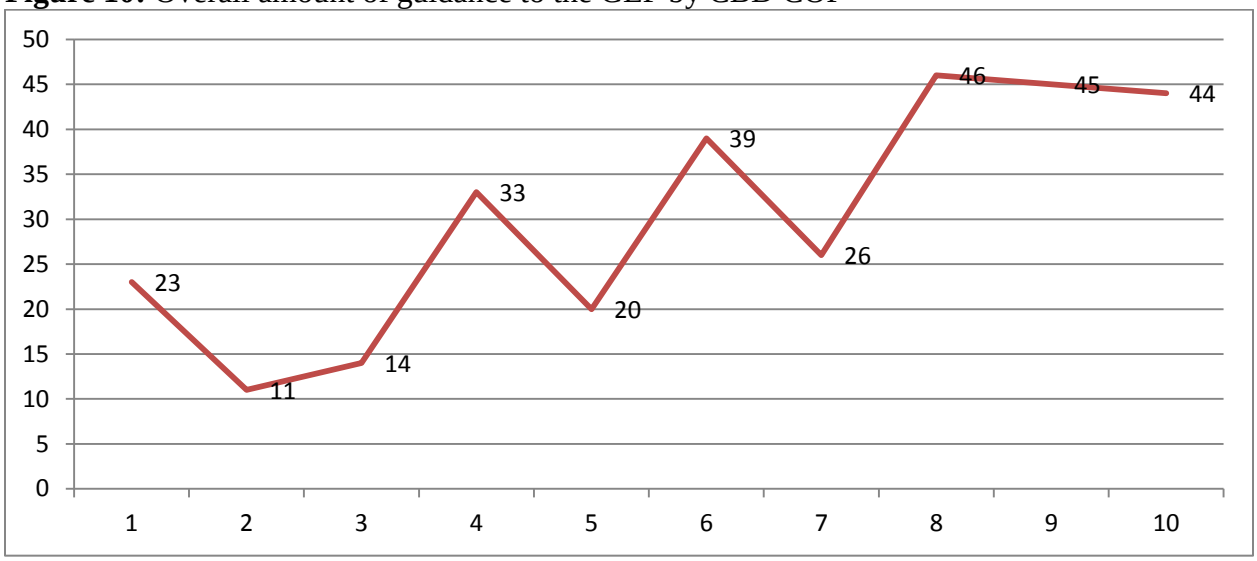
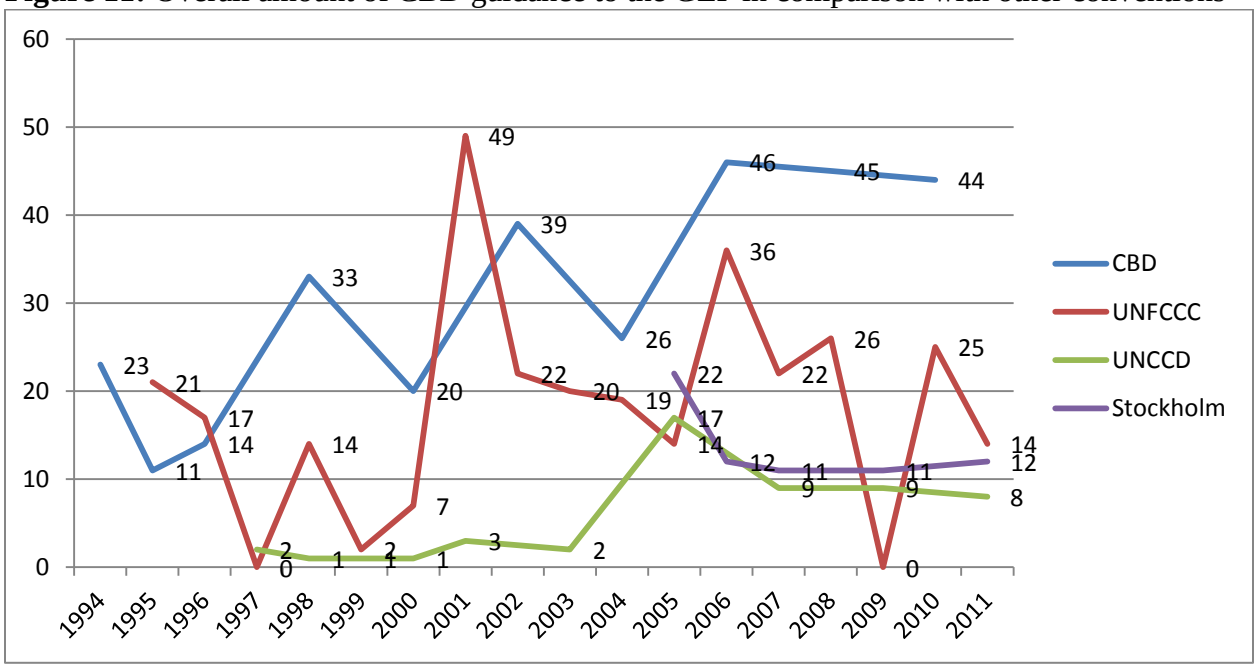


Figure 11: Overall amount of CBD guidance to the GEF in comparison with other conventions



Convention	CBD	UNFCCC	UNCCD	Stockholm
Time period	1994-2010	1995-2011	1997-2011	2005-2011
Cumulative items of Guidance	301	308	53	68

First COP mentioning of different program priorities

Table 8: First COP mentioning of different program priorities

COP	1	2	3	4	5	6	7	8	9	10
PROGRAM PRIORITIES										
Biodiversity planning	**X**									
Identification, monitoring, indicators and assessments	**X**									
Species conservation	**X**									
Article 8(j) and related provisions	**X**									
Incentive measures	**X**									
Technology cooperation and transfer	**X**									
Scientific cooperation and CHM	**X**									
Marine and coastal biodiversity	**X**									
Biological diversity of dry and sub-humid lands	**X**									
Mountain ecosystems	**X**									
Development activities	**X**									
Sustainability	**X**									
National reports		**X**								
Research and training			**X**							
Education and public awareness			**X**							
Access and benefit-sharing			**X**							
Biosafety			**X**							
Agricultural biological diversity			**X**							
Taxonomy				**X**						
Invasive alien species				**X**						
Forest biodiversity				**X**						
BD of inland water ecosystems				**X**						
Ecosystem approach					**X**					
Protected areas							**X**			
Sustainable use							**X**			
Climate change and biodiversity							**X**			
Island biological diversity								**X**		
Engagement of business									**X**	
South-South cooperation										**X**

3.3 Guidance-Strategy Mapping

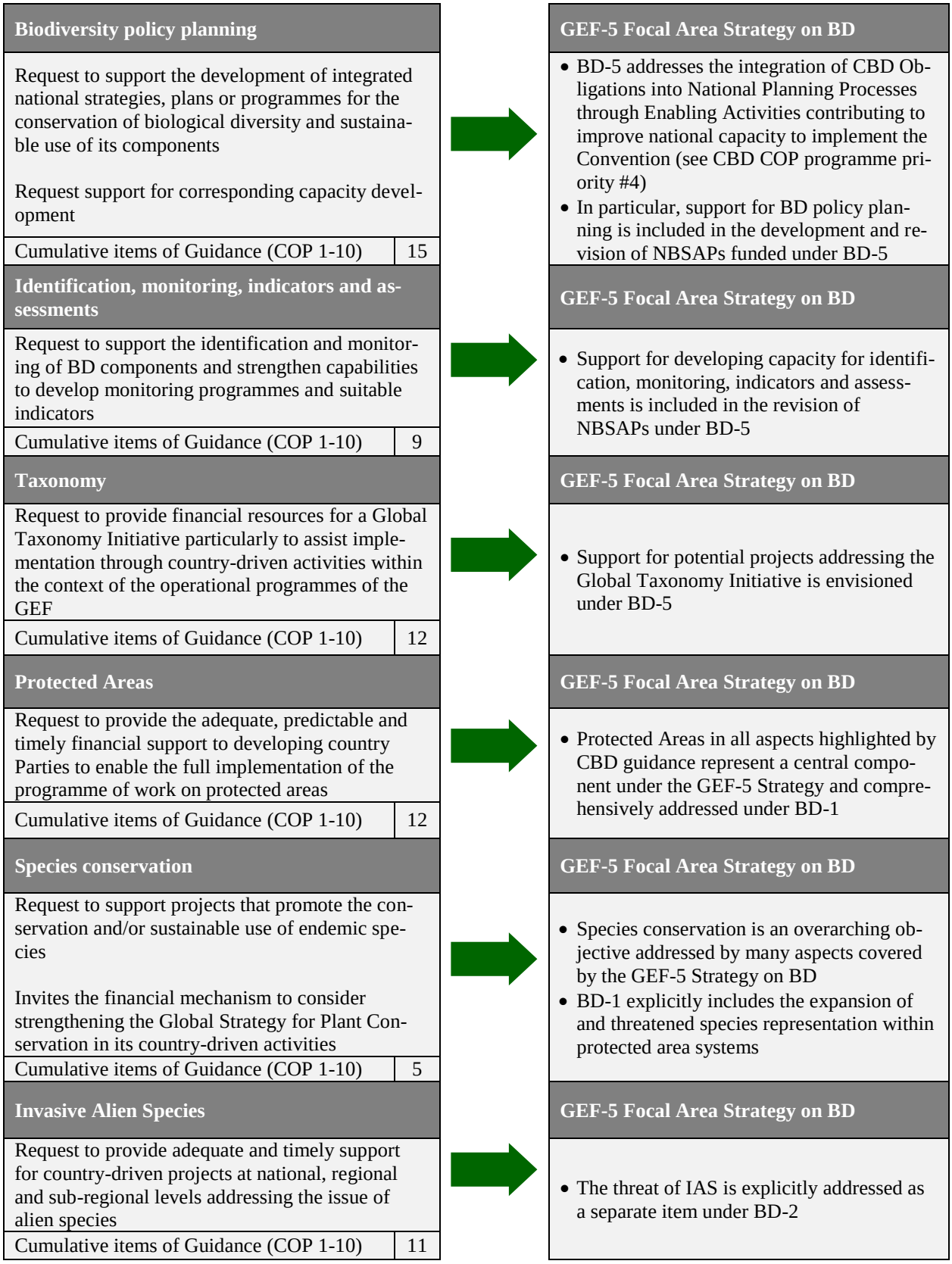
In the following mapping of convention guidance to the GEF-5 Strategy, only convention guidance is included that was issued before the GEF-5 Strategies went into effect on 1 July 2010. The mapping includes all topics of convention guidance that are to be addressed by the Focal Area Strategies. Operational issues concerning the overall procedures of the GEF (project cycle, co-financing, resource allocation etc.) as well as topics addressed by special GEF policies (gender, private sector engagement etc.) are addressed through channels other than the FA Strategies and are therefore not included in the Guidance-Strategy Mapping.

In comparison to guidance to the GEF from other international conventions, CBD provides frequent, reiterated guidance on a high number of technical matters and prioritization of activities. CBD guidance tends to be concrete, prescriptive and specific, leaving little room for strategic interpretation. The Biodiversity Focal Area Strategy reflects the large amount of distinct, prescriptive and at times fragmented CBD guidance through a number of separate objectives or subsections of objectives. A large number of specific issues and priority areas demanded by the CBD are prominently addressed by the BD Strategy following CBD decisions. The GEF Reports to the CBD COP very explicitly and extensively illustrate the responsiveness of the GEF Strategy on BD to CBD guidance in general and the CBD's **Framework of Programme Priorities** in particular.

In the past, CBD guidance however has provided limited guidance on how it envisions these various aspects to be integrated into an overall strategic approach in a consistent, effective and efficient way. As a result, formulating a coherent and streamlined GEF Biodiversity Focal Area Strategy has been comparatively difficult. In this context, already existing CBD mechanisms and ongoing processes aimed at streamlining and improving the strategic coherence of CBD convention guidance to the GEF need to be highlighted. The effort to reduce redundancies and consolidate guidance through the "Review of the Guidance to the Financial Mechanism"8 represents a promising step towards reducing the overall quantity of guidance, albeit not decreasing the number of priority areas identified by the CBD to be supported by the GEF. Furthermore, the "Framework of programme priorities related to utilization of GEF resources" provides additional CBD guidance on the prioritization of GEF support. Most recently, the "Strategic Plan of the CBD for 2011-2020" aims at providing a more coherent and consistent overall framework for GEF support. The effects of these efforts can be expected to become apparent during the formulation of GEF-6 Focal Area Strategies.

[8] The Review of the Guidance to the Financial Mechanism was requested by COP IX (Decision IX/31 C, paragraph 1) and prepared by the COP Secretariat with the objective to identify obsolete, repetitive and overlapping guidance, and prepare an updated compilation of the existing guidance to the financial mechanism. The Review was submitted as a working document to the Ad Hoc Open ended Working Group on Review of Implementation. The proposed list of obsolete, repetitive and overlapping guidance and the updated compilation of guidance was approved by COP X (Decision X/24).

Figure 12: Guidance-Strategy Mapping for GEF-5 FA Strategy on Biodiversity



Article 8(j)		GEF-5 Focal Area Strategy on BD
Request to support projects that strengthen the involvement of local and indigenous people in the conservation of biological diversity and sustainable use of its components		• The role of indigenous communities is prominently addressed throughout the BD Strategy, especially in BD-1 and BD-4
Cumulative items of Guidance (COP 1-10)	8	
Addis Ababa Principles/Sustainable use		**GEF-5 Focal Area Strategy on BD**
Invites the GEF to develop and transfer technologies and provide financial support to assist in the implementation of the Addis Ababa Principles and Guidelines at the national level to ensure that the use of biological diversity is sustainable		• The overarching principles of sustainable use are reflected in the strategy's overall goal and more explicitly as parts of BD-2 and BD-5
Cumulative items of Guidance (COP 1-10)	1	
Engagement of business		**GEF-5 Focal Area Strategy on BD**
Request to support capacity-building in developing countries for engaging the business community in the implementation of the Convention		• Engagement of the private sector are stressed under BD-1 and BD-2
Cumulative items of Guidance (COP 1-10)	2	
Incentive measures		**GEF-5 Focal Area Strategy on BD**
Request to support innovative incentive measures aiming at conservation of BD and/or sustainable use, including those which address situations where opportunity costs are incurred by local communities and to identify ways and means by which these can be compensated		• Incentive measures represent one of the central elements envisioned by the BD Strategy to achieve its objectives • BD-1 and BD-2 include incentive measures as crucial elements of their logical change towards results (see TOC discussion above)
Cumulative items of Guidance (COP 1-10)	6	
Research and training on biosafety		**GEF-5 Focal Area Strategy on BD**
Request to provide financial and other support to enable universities and relevant institutions to develop and/or expand existing biosafety academic programmes and provide scholarships to students from developing country Parties		• Not included in the GEF-5 Strategy • Explanation form GEF Report to COP: "The GEF does not provide financial support for this kind of intervention under the Council-approved GEF Biosafety strategy. GEF has never provided this kind of support in the biodiversity focal area given that it is not consistent with the GEF mandate."
Cumulative items of Guidance (COP 1-10)	3	
Education and public awareness		**GEF-5 Focal Area Strategy on BD**
Request to support project components addressing promotion of the understanding of the importance of, and measures required for, the conservation and sustainable use of biological diversity Request to support capacity development and country-driven projects prioritized in the Global Initiative on Communication, Education and Public Awareness		• Issues of education and public awareness are not systematically elaborated on in the BD Strategy • Corresponding components however play a central role in supported activities under different objectives, especially in GEF's biosafety and invasive alien species projects (see GEF Report to CBD COP10)
Cumulative items of Guidance (COP 1-10)	6	

Access and benefit-sharing		GEF-5 Focal Area Strategy on BD
Urges to support human and institutional capacity-building programmes for Governments, non-governmental organizations and local and indigenous communities, as appropriate, to promote the successful development and implementation of legislative, administrative and policy measures and guidance on access to genetic resources, including scientific, technical, business, legal and management skills and capacities Request to support projects that assist with the implementation of the Action Plan on Capacity-building for Access and Benefit-sharing in support of the implementation of the Bonn Guidelines on Access to Genetic Resources and Fair and Equitable Sharing of the Benefit Arising out of their Utilization		• BD-4 exclusively and comprehensively addresses the issue of ABS and provides corresponding capacity development
Cumulative items of Guidance (COP 1-10)	9	
Technology cooperation and transfer		**GEF-5 Focal Area Strategy on BD**
Request to support projects which promote access to, transfer of and cooperation for joint development of technology		• Support for technology cooperation is included in the revision of NBSAPs under BD-5 which can include the cost of TNAs
Cumulative items of Guidance (COP 1-10)	7	
Clearing House Mechanism		**GEF-5 Focal Area Strategy on BD**
Requests that the Executive Secretary and the Global Environment Facility cooperate to facilitate access to funding for the clearing-house mechanism as a key component to support the implementation of the Strategic Plan for Biodiversity 2011-2020, as well as the implementation of national biodiversity strategies and action plans		• Support to the CHM is explicitly included under BD-5; funding is provided as part of the revision of the NBSAP
Cumulative items of Guidance (COP 1-10)	15	
Biosafety		**GEF-5 Focal Area Strategy on BD**
Requests the GEF to consider the following programme funding priority needs for biosafety during the period of its fifth replenishment (2010-2014), where appropriate, using the issue-specific approach and providing longer-term support for building, consolidating and enhancing sustainable human resource capacity: (i) Implementation of legal and administrative systems for notification procedures; (ii)Risk assessment and risk management; (iii)Implementation of enforcement measures including detection of living modified organisms; (iv)Implementation of liability and redress measures.		• BD-3 exclusively and comprehensively addresses the issue of biosafety and provides corresponding capacity development
Cumulative items of Guidance (COP 1-10)	11	

National reports		GEF-5 Focal Area Strategy on BD
Urges to make available financial resources to developing country Parties to assist in the preparation of their national reports		• Support for development and revision of NBSAPs is included as a central aspect under BD-5
Cumulative items of Guidance (COP 1-10)	14	
Ecosystem approach		**GEF-5 Focal Area Strategy on BD**
Request to support projects utilizing the ecosystem approach, without prejudice to differing national needs and priorities which may require the application of approaches such as single species conservation programmes		• While not explicitly identified in the BD Strategy, many part of the strategy de facto embody the ecosystem approach • Consequently, the vast majority of GEF-supported BD activities employ the ecosystem approach
Cumulative items of Guidance (COP 1-10)	5	
Agricultural BD		**GEF-5 Focal Area Strategy on BD**
Request to support the Convention's programme of work on agricultural biodiversity Request to support projects that assist with the implementation of the Plan of Action for the International Initiative for the Conservation and Sustainable Use of Pollinators		• The BD Strategy does not distinguish and identify all different types of ecosystems it addresses • The different ecosystems explicitly mentioned by CBD guidance are implicitly included in the BD strategy, especially under BD-1 and BD-2
Cumulative items of Guidance (COP 1-10)	7	
Forest BD		**GEF-5 Focal Area Strategy on BD**
Request to provide financial support for activities and capacity-building for the implementation of the work programme for forest biological diversity and the use of the clearing-house mechanism, particularly for activities to halt and mitigate deforestation effects, basic assessments and monitoring of forest biological diversity, including taxonomic studies and inventories, focusing on forest species, other important components of forest biological diversity and ecosystems under threat		• The BD Strategy does not distinguish and identify all different types of ecosystems it addresses • The different ecosystems explicitly mentioned by CBD guidance are implicitly included in the BD strategy, especially under BD-1 and BD-2 • In addition, the BD Strategy is closely linked to the separate strategy on SFM/REDD+
Cumulative items of Guidance (COP 1-10)	6	
BD of inland water systems		**GEF-5 Focal Area Strategy on BD**
Request to provide adequate and timely support to eligible projects which help Parties to develop and implement national, sectoral and cross-sectoral plans for the conservation and sustainable use of biological diversity of inland water ecosystems		• The expansion of representation of inland water ecosystems is explicitly included under BD-1
Cumulative items of Guidance (COP 1-10)	6	
Marine and coastal BD		**GEF-5 Focal Area Strategy on BD**
Request to support projects that promote the conservation and sustainable use of biological diversity of coastal and marine resources under threat.		• BD-1 explicitly addresses the marine ecosystem coverage gap and the creation and effective management of coastal and near shore protected area networks • In addition, the BD Strategy utilizes focal area set aside and in combination with resources from the IW Focal Area identified a pilot program to support action in Areas Beyond National Jurisdiction (ABNJ).
Cumulative items of Guidance (COP 1-10)	9	

Island BD			GEF-5 Focal Area Strategy on BD
Request to recognize the programme of work on island biodiversity and its relevance to developing countries, and in particular least developed countries and small island developing States, and to provide support for its implementation		→	• Island ecosystems are particularly highlighted by the BD Strategy in the context of threats from IAS
Cumulative items of Guidance (COP 1-10)	2		
BD of dry and sub-humid lands			**GEF-5 Focal Area Strategy on BD**
Request to support projects which promote the conservation of biological diversity and sustainable use of its components in arid and semi-arid areas		→	• The BD Strategy does not distinguish and identify all different types of ecosystems it addresses • The different ecosystems explicitly mentioned by CBD guidance are implicitly included in the BD strategy, especially under BD-1 and BD-2
Cumulative items of Guidance (COP 1-10)	2		
Mountain ecosystems			**GEF-5 Focal Area Strategy on BD**
Request to support projects which promote the conservation of biological diversity and sustainable use of its components in mountainous areas		→	• The BD Strategy does not distinguish and identify all different types of ecosystems it addresses • The different ecosystems explicitly mentioned by CBD guidance are implicitly included in the BD strategy, especially under BD-1 and BD-2
Cumulative items of Guidance (COP 1-10)	1		
BD and climate change			**GEF-5 Focal Area Strategy on BD**
Request to consider support for proposals that demonstrate the role-protected areas play in addressing climate change		→	• Climate Change as an important driver of BD loss is highlighted by the BD Strategy • Using BD as means to adapt to climate change is included under BD-5
Cumulative items of Guidance (COP 1-10)	7		
Development activities			**GEF-5 Focal Area Strategy on BD**
Request to provide financial and technical support to developing countries to further develop approaches on the integration of biodiversity into poverty eradication and development processes		→	• BD-5 prominently addresses the integration of BD conservation in broader development planning frameworks • The nexus of economic development and BD conservation is a central issue under BD-2
Cumulative items of Guidance (COP 1-10)	4		
Guidance issued after GEF-5 Strategy came into effect			
South-South cooperation			**GEF-5 Focal Area Strategy on BD**
Invites the GEF to consider establishing a South-South biodiversity cooperation trust fund for the implementation of the Strategic Plan for Biodiversity 2011-2020 based on voluntary contributions		→	• Guidance issued after GEF-5 Strategy came into effect
Cumulative items of Guidance (CO1-10)	2		

4. RESULTS OF REAL-TIME DELPHI PROCESS

4.1 Real-Time Delphi approach

The Delphi method was originally developed at the RAND Corporation in the late 1950's as a method for collecting and synthesizing expert judgments. The Delphi methodology has since become a widely recognized technique of expert consultation. The Delphi methodology requires anonymity of participants to ensure equal weight of each participant's responses and reduce the bias caused by perceived authority of renowned experts. The original Delphi process features repeated rounds of responses from experts on a questionnaire with each expert receiving feedback on her/his peers' responses between rounds. This time-intensive method was further developed into a "round-less", online-based process that allows for asynchronous input and makes expert answers available to the entire group in real time eliminating the need for round-to-round feedback. Thereby communication time is considerably shortened. This form of a Delphi process is called Real-Time Delphi (RTD).

Seven online questionnaires, one for each Focal Area Strategy, were formulated by the Evaluation Team with extensive input from the Scientific and Technical Advisory Panel and embedded into a RTD online platform. Each question required a quantitative as well as qualitative response covering the central aspects of each Focal Area Strategy. The invitation to participate in the RTD process was distributed widely among environmental scientist using the international network of the International Council for Science and other scientific networks. Efforts to mobilize participants were implemented throughout the process.

RTD Questionnaire for Focal Area Strategy on Biodiversity

Question 1

Goal and objectives: To what extent do the objectives of the BD Focal Area Strategy adequately and sufficiently address the strategy's goal in a way that corresponds to the current scientific understanding of how the goal can best be achieved? Does the set of objective leave significant gaps? Include considerations on the current scientific understanding regarding habitat change, climate change, invasive alien species, overexploitation, and pollution considered by the strategy as the most important direct drivers of biodiversity loss.

Question 2

BD1 - Protected areas: To what extent does current scientific understanding support the strategy's focus on the sustainability of protected areas [Objective 1] and the activities envisioned to achieve the objective? Consider if/how the expected "outcomes, indicators and outcome targets" • [Results Framework, p. 10-11] reflect what current scientific understanding suggests as appropriate measures to achieve the objective?

Question 3

BD2 - Mainstreaming into production landscapes: To what extent does current scientific understanding support the strategy's focus on mainstreaming biodiversity conservation and sustainable use in production landscapes and seascapes [Objective 2] and the activities envisioned to achieve

the objective? Consider if/how the expected "outcomes, indicators and outcome targets" • [Results Framework, p. 10-11] reflect what current scientific understanding suggests as appropriate measures to achieve the objective?

Question 4

BD3 – Biosafety: To what extent does current scientific understanding support the strategy's focus on the implementation of the Cartagena Protocol on Biosafety [Objective 3] and the activities envisioned to achieve the objective? Consider if/how the expected "outcomes, indicators and outcome targets" • [Results Framework, p. 10-11] reflect what current scientific understanding suggests as appropriate measures to achieve the objective?

Question 5

BD4 – Access and Benefit Sharing: To what extent does current scientific understanding support the strategy's focus on access to genetic resources and benefit sharing [Objective 4] and the activities envisioned to achieve the objective? Consider if/how the expected "outcomes, indicators and outcome targets" • [Results Framework, p. 10-11] reflect what current scientific understanding suggests as appropriate measures to achieve the objective?

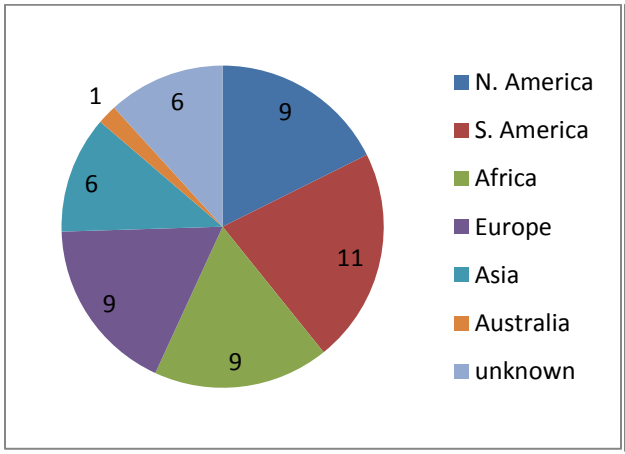
Question 6

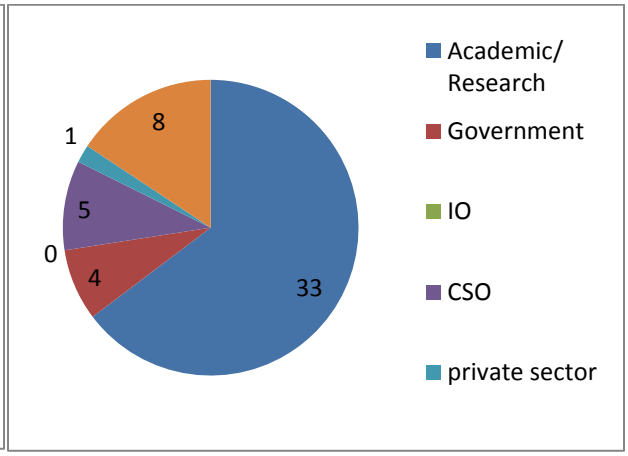
Focal Area Set-Aside & FA partnership on ABNJs: To what extent is the partnership with the International Waters focal area on Areas Beyond National Jurisdiction (ABNJ) supported by the current scientific understanding? Should it be prioritized over other issues that could be included for cross-focal area arrangements? Please consider and specify alternative opportunities for cross-focal area synergies that could/should be addressed by the strategy. Take note of other cross-focal area dimensions that are already mentioned in the strategy if any.

Question 7

What other issues not covered by the previous questions could be addressed by the Biodiversity Focal Area Strategy to better reflect and utilize current scientific understanding?

Demographic information on participants in BD RTD





4.2 Summary of quantitative results from RTD on Biodiversity

Rating scale: 1 to 10, where 1=not at all; 2=hardly; 3=slightly; 4=partly; 5=somewhat; 6=fairly; 7=considerably; 8=very; 9=highly; 10=fully (use "0" for "no answer").

Table 9: Quantitative responses of BD RTD

Biodiversity Focal Area Strategy – RTD quantitative responses				**Participants: 51**	
Question #	Mean	Min	Max	Median	Std. Dev.
#1 Overall goal and objectives	6.14	1	10	6.5	0.453
#2 Objective 1: "Protected Areas"	5.7	1	10	6	0.424
#3 Objective 2: "Production land/seascapes"	5.56	1	10	6	0.493
#4 Objective 3: "Biosafety"	5.39	1	10	5	0.531
#5 Objective 4: "Access and Benefit Sharing"	5.04	2	9	5	0.405
#6 Focal Area Set-Aside and ABNJ partnership	4.63	1	10	5	0.537

4.3 Summary of qualitative results from RTD on Biodiversity

The overall assessment of the RTD expert group confirms that the BD strategy and its different objectives are in most parts in accordance with current scientific knowledge. The most intensely discussed issue was the effectiveness of Protected Areas as a suitable instrument for biodiversity conservation. Some experts voiced fundamental doubts about the contribution of Protected Areas to biodiversity conservation. Most experts deemed the emphasis on Protected Areas as the main component of the Biodiversity Focal Area Strategy as too high. In this context, the traditional understanding of establishing PAs for "protecting samples of the ecosystem and biodiversity" was challenged by some experts. Many responses pointed to the role of PAs in the wider landscape and the close connection between the effectiveness of Protected Areas and the successful mainstreaming of biodiversity conservation into production landscapes, suggesting a stronger relative emphasis on the activities envisioned under objective 2 of the Biodiversity Focal Area Strategy. As the summary of allocated resources in table 2 shows, a relative shift from objective 1 to objective 2 is already materializing.

Some discussants raised the need for more strategic approaches to prioritization of what should be protected, especially within productive landscapes. One expert summarized this issue as the necessity for "ecological triage". Another issue raised by the expert group was the further development of BD indicators and targets reflected in the strategy's Results Framework to capture more of the "quality" of BD conservation achieved through GEF activities. On a number of different topics, the overarching issue of trade-offs between BD conservation and socio-economic needs played a central role. In this context, some experts proposed to adopt a more differentiated view on the benefits of BD protection, defining the "grey areas of partial protection" to enable fine-tuning of BD conservation priorities in light of the related trade-offs.