



Approach to GEF IW SCS Impact Evaluation

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Overview



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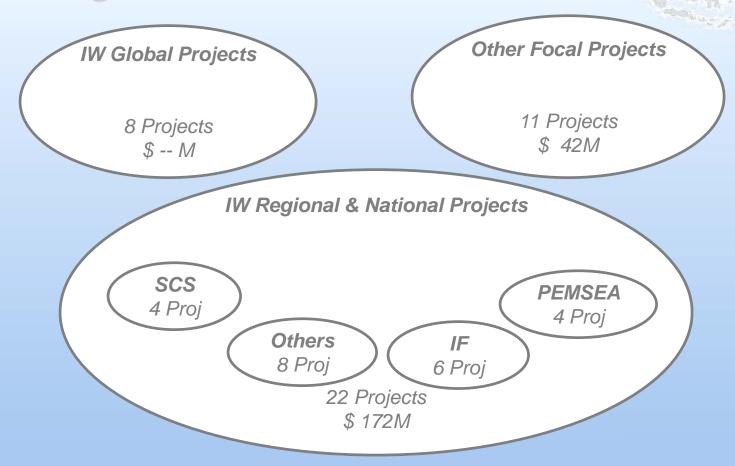
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South China Sea Background

- Known for its rich biodiversity and natural resources, the South China Sea (SCS) provides food to 250 million people and directly provides a livelihood for over 100 million people.
- 40 years of rapid economic growth have had results that threaten the sustainability of the social, economic, and ecological services that the SCS provides
 - Growing coastal habitat destruction
 - Increased pollution
 - Increased overfishing
- Management of the SCS's rich marine resources is complicated by outstanding territorial disputes.

GEF support in the SCS+

 Since 1993, the GEF has allocated over \$180mn USD to projects related to the SCS and surrounding areas



GEF Approach to International Waters

- The GEF helps countries work together to secure environmental benefits from shared surface water, ground water, and marine ecosystems by fostering international cooperation and catalyzing action on priority transboundary water issues.
- The GEF has developed an International Waters approach that involves:
 - Foundational Activities:

Build trust and confidence among countries, strengthen knowledge base on root causes, improve national capacity, and strengthen regional coordination mechanisms

Demonstration Activities

Develop, test, and adapt approaches and technologies; catalyze further action to address problems

Investments

Replicate, upscale, and/or mainstream technologies and approaches that work

GEF Model to International Waters

Foundation Demonstration Investment/Mainstreaming/Upscaling Build individual, Actions taken at the Regional and national institutions organizational and appropriate scale and and mechanisms coordinate IW Impact: reduced w/involvement of institutional capacities policy and monitoring efforts stress on of decision makers relevant stakeholders international (various government waters levels and sectors, Countries establish Private sector private sector and Change in behavior national inter-ministerial Impact: Water/ engagement public) to address leads to continued committees to address IW Multi-county agreement environment/ priority concerns and sustained action transboundary concerns on commitments to socioeconomic on transboundary regional mechanism and status eventually concerns, as well as Identify transboundary national actions through a improved self-sustaining policy concerns and root causes Strategic Action Program actions, public and Countries establish private sector **Demonstration** and piloting Replication, knowledge sharing, investment, interim **mechanisms** of approaches with and upscaling of demonstrations monitoring, and for cooperation involvement of appropriate. to the appropriate scales and by public involvement stakeholders to address the relevant stakeholders to Mechanisms for priority transboundary IW change behavior knowledge sharing and concerns facilitating public participation Mechanisms in place that provide timely and reliable information to monitor stress and status of the water body and provide a better understanding of the water body's evolving challenges

In practice

- The application of the model is shaped by context
- The sequence of interventions may vary
- A limitation: The does not fully capture opportunistic investments that might be undertaken by following the model.

Assumptions behind GEF IW Approach

- A strategic, programmatic approach of investments and countries' coordinated action will lead to improvements in water/environment/socioeconomic status
- The promoted measures and solutions are well **aligned** with both the **regional priorities** and the **national priorities** of the participating countries
- The "architecture" promoted will enable adaptive management processes that will lead to the policy changes and investments needed to reduce environmental stress and improve environmental status.
- Improvement of environmental and socioeconomic status will take place over time as long as countries and other actors take follow up actions and investments to address the transboundary IW concerns
- Water body impacts depend on level of effort in stress reduction and may be appropriate only for larger, programmatic approaches

Objectives of the Evaluation

- Main objective: Assess the extent to which processes, knowledge, technologies, and capacities to which GEF contributes promote changes in policies, technology, management practices, and other behaviors that will address the priority transboundary environmental concerns that affect the social, economic, and environmental services of the SCS.
- Evaluation will answer four main questions:
 - Has support been **relevant** to SCS environmental threats and priorities?
 - What are the effects of GEF support (positive or negative, intended or unintended) on country efforts and environmental problems?
 - What are the **critical factors** that affect likelihood that support will catalyze actions that will reduce environmental stress and improve environmental and socioeconomic status?
 - What **lessons** can be learned from the interventions' successes and failures that apply to the SCS and elsewhere?

Impact Evaluation Approach

• Impact:

"positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended."

(OECD Development Assistance Committee, 2002)

• The ROtl (Review of Outcomes to Impacts) methodology assesses **progress** of projects' outcomes **toward impact**, and the likelihood of achieving the ultimate goals of reducing environmental stress and improving environmental and socio-economic status.

Approach Considerations

- Select illustrative interventions
- Assess how key actors responded to interventions,
 - Assuming that response to the same intervention will vary from actor to actor, time to time; thus the same intervention will have different impact in different places.
- Assess extent to which there is movement to intermediate stages
- Assess contextual factors affecting decisions

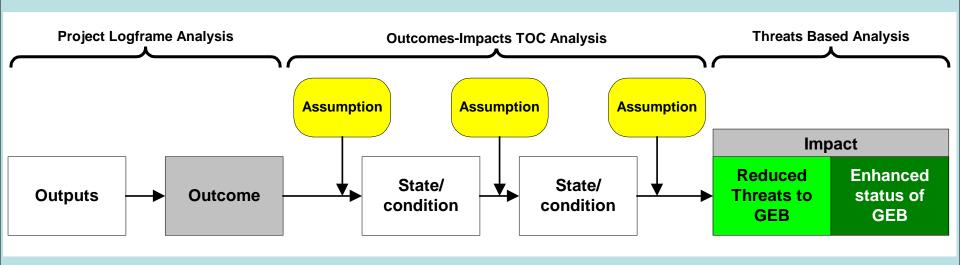
Introduction to Theory of Change Approach

- Evaluation will use the Theory of Change approach: a tool to assess GEF support's contribution to impact
 - Assumes there are multiple paths toward impact
- Three characteristics of complex socio-ecological systems merit special attention in impact evaluations (E. Ostrom):
 - Polycentric: independent units interact with one another
 - Multi-scalar: institutions and processes are linked at multiple levels and system boundaries vary
 - Multi-temporal: diverse temporal lags and inherent delays exist between actions and (natural and other) systems' response.

Approach: Theory-based Approach

- Programmes and projects are built on assumptions on how and why they are supposed to achieve their objectives
- In project proposal documents, some assumptions are explicit, others are not
- Assumptions about how and why impacts will be achieved must be made explicit before they can be evaluated
- When causal mechanisms behind assumptions and project contextual factors are known, indicators can be identified for progress towards impact

Impact Evaluation Framework



Assess direct effects of the project

Assess how

these effects

are leading

to impacts

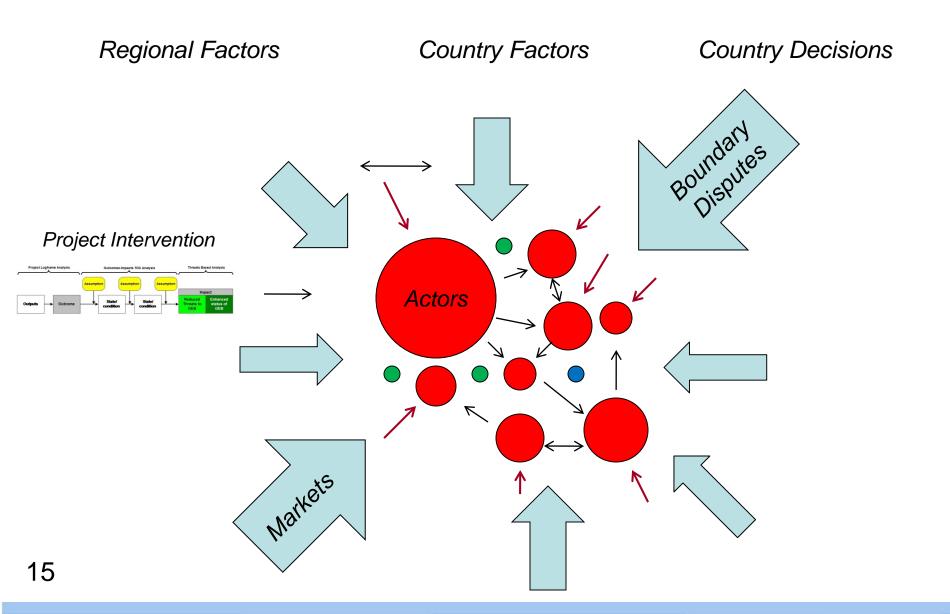
Assess
whether
impacts have
actually
occurred







Complex Socio-Ecological System





Thank you.

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