



PROJECT EXECUTIVE SUMMARY
REQUEST FOR WORK PROGRAM ENTRY

GEFSEC PROJECT ID: 2261
IA/ExA PROJECT ID: PIMS No. 3050
COUNTRY: Global
PROJECT TITLE: Building Partnerships to Assist Developing Countries to Reduce the Transfer of Harmful Aquatic Organisms in Ship's Ballast Water (GloBallast Partnerships)
GEF IA: UNDP
OTHER PROJECT EXECUTING AGENCY(IES): None
DURATION: Five years
GEF FOCAL AREA: International Waters
GEF STRATEGIC OBJECTIVES: IW Strategic Objective (b) catalytic role in addressing transboundary water concerns; IW Strategic Programme I: Restoring and sustaining coastal and marine fish stocks and associated biological diversity
GEF OPERATIONAL PROGRAM: 10
PIPELINE ENTRY DATE: 12 July 2004
EXPECTED STARTING DATE: AUGUST 2007
EXPECTED CEO ENDORSEMENT:
IA FEE: \$574,905.60

FINANCING PLAN (\$)		
	PPG	Project*
GEF Total	699,840	5,688,000
Co-financing	<small>(provide details in Section b: Co-financing)</small>	
GEF IA/ExA		4,318,800
Government		9,849,799
Others		3,533,340
Co-financing Total		17,701,939
Total	699,840	23,389,939
Financing for Associated Activities If Any: Baseline \$922,100,000		

** For multi-focal projects, indicate agreed split between focal area allocations

FOR JOINT PARTNERSHIP**		
GEF PROJECT/COMPONENT (\$)		
(Agency Name)	(Share)	(Fee)
(Agency Name)	(Share)	(Fee)
(Agency Name)	(Share)	(Fee)

Approved on behalf of the *UNDP-GEF*. This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for work program inclusion.

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CONTRIBUTION TO KEY INDICATORS IDENTIFIED IN THE FOCAL AREA STRATEGIES:

The project directly supports IW Strategic Objective 2 (reiterated in GEF-4 IW Strategy to June 2007 Council) -to play a catalytic role in addressing transboundary water concerns by assisting countries to utilize the full range of technical assistance, economic, financial, regulatory and institutional reforms that are needed, including active leveraging of co-financing. The project contributes to GEF-4 IW Strategic Programme I: Restoring and sustaining coastal and marine fish stocks and associated biological diversity reflecting the fact that substances (e.g. invasive species) toxic to fish, biodiversity, and humans (hazardous algal blooms and paralytic shellfish disease) are transferred across borders in ship ballast water (by far the largest vector); it also directly addresses SP-1 objective of supporting demonstrations addressing invasive species in ship ballast water. The project supports several indicators of IW SP-1, including: adoption/implementation of regional, national, and local policy/legal/institutional reforms; improvements in fish stock and coastal habitat achieved; multi-agency partnerships for action developed; and regional agreements/protocols enacted. The project further supports IW SP-I GEF objective of engaging the business community to develop and implement solutions. Lastly, the project is the principle vehicle for delivering SP-I programmatic impact of catalyzing State ratifications of the new global ship ballast water convention on invasive species (Ballast Water Management Convention); a planned outcome of the project is that at least two thirds of the LPCs (e.g. 9 countries), will have ratified the Ballast Water Management Convention during the course of the project.

More specifically, GloBallast Partnerships will contribute to key objectives and targets for the International Waters focal area as follows:

- *Global Coverage:* GloBallast Partnerships Project will have a global coverage of 14 developing regions. The project will help to develop and/or strengthen national level ballast water management frameworks in six new regions: Wider Caribbean, South East Pacific, Mediterranean, Red Sea and Gulf of Aden, West and Central Africa, South Pacific. In addition, ongoing ballast water management coordination efforts in the six GloBallast Pilot regions will be strengthened. During the course of the project, synergetic linkages will be established with at least two additional regions that are already strengthening their ballast water management efforts as part of other GEF projects.
- *Agreed Joint Management Actions:* 13 countries, as lead partner countries, have agreed to joint management actions, and committed in-kind support, leading to realignment of national policies regulations and institutions. An additional 33 countries have agreed to a less extensive set of joint management actions.
- *Regional Cooperation:* 6 regional bodies and management authorities will have strengthened capacities, with regional action plans developed. An additional 8 regional bodies and management authorities will participate.
- *Local Technology Development:* 2 countries will host demonstration technologies, and as many as 15 more may host demonstrations through an innovation fund to be established with industry support. In addition, GloBallast Partnership will support the development of advanced information technology and communication tools for better management of the issue, with the involvement and participation of all the 13 lead partner countries.

1. PROJECT SUMMARY

a) PROJECT RATIONALE, OBJECTIVES, OUTPUTS/OUTCOMES, AND ACTIVITIES

Rationale

The introduction of aquatic species to new environments through ships' ballast water and sediments, is considered to be a significant threat to the world's coastal and marine environments. While ballast water is essential to the safe operation of ships, it also poses a serious environmental threat, in that more than 10,000 different species of microbes, plants and animals are carried globally in ballast water each day. When discharged to new environments, such species may become invasive, disrupt the native ecology and/or have serious impacts on the economy and/or human health. The global economic impact alone, of invasive aquatic species, have been estimated at US\$ 100 billion per year.

Developing countries are among the largest "importers" of ballast water due to their significant exports of bulk commodities. Many developing countries are especially vulnerable to aquatic bioinvasions because of their reliance on coastal and marine resources. Developing countries also face significant capacity and funding challenges in implementing ballast water management programmes.

A GEF/UNDP/IMO pilot project was executed from 1 March 2000 until 31 December 2004 focusing on capacity building, institutional strengthening and technical assistance in six pilot countries representing six developing regions (*Removing Barriers to the Effective Implementation of Ballast Water Control and Management Measures in Developing Countries – GloBallast Pilot Project*). The pilot phase was designed to culminate in the establishment of cooperative regional arrangements in each of the six pilot regions, and in the development of global tools and systems that can be effectively used in any global scaling up and/or follow-up efforts of the GEF intervention.

As a result of this successful pilot project and the increased awareness of the issue, there has been an overwhelming demand from developing countries from all over the world to replicate the GloBallast pilot activities and technical assistance. Adoption of the new Ballast Water Management Convention (BWMC) in February 2004 provided a much needed standardized, international regime to address this global threat.

Strategy

The strategy for GBP has been developed using a 3-tiered approach:

1. A global component, managed through IMO London, providing international coordination and information dissemination, including the development of toolkits and guidelines, and establishing a strong cooperation with industry and NGOs.
2. A regional component, providing regional coordination and harmonization, information sharing, training, and capacity building in the application of ballast water management tools and guidelines.
3. A significant country component, that establishes a fast track (Lead Partner Country-LPC) and partner track (Partner Country-PC) process for GEF-eligible countries in the priority regions. LPCs must commit to develop and implement a National Ballast Water Management Strategy (NBWMS), and to adopt legal, policy and institutional Reforms (LPIR).

It is expected that IMO and its Member States would take the burden of activities for implementation of the Ballast Water Management Convention with GEF providing support for incremental activities in highly sensitive countries and specific ecosystems that are of particular global value and under serious threat from invasive aquatic species. A careful selection process, based on certain system criteria such as biodiversity values, shipping activity and vulnerability as well as contextual and project implementation criteria such as regional drivenness, regional priority, practicality of implementation etc were used to determine the six high priority regions. In turn, countries in each region were requested to indicate their interest in taking a lead partner position, and to identify their planned financial contributions. Lead Partner Countries (LPC), as the name indicates, are expected to take a lead role in developing legal, policy and institutional arrangements and build associated capacity and in doing so to invite the neighbouring countries to participate in the capacity building activities.

Six high priority regions have been selected for assistance during GloBallast Partnerships: Red Sea / Gulf of Aden, Wider Caribbean, Mediterranean Sea, South Pacific, Western and Central Africa (Atlantic), and South East Pacific (South America). Within these regions, 13 countries have been identified as Lead Partner Countries: Argentina, Bahamas, Chile, Columbia, Croatia, Egypt, Ghana, Jamaica, Jordan, Trinidad & Tobago, Turkey, Venezuela, and Yemen. Another 33 countries have provided their endorsement to participate as Partner Countries.

Objective, Outcomes, Outputs and Activities

The objective of GBP is to assist vulnerable developing states and regions to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships. In the achievement of this objective, 4 outcomes have been identified, each with corresponding outputs and activities, (see the project logical framework, Annex B).

The four key outcomes expected from the project are as follows:

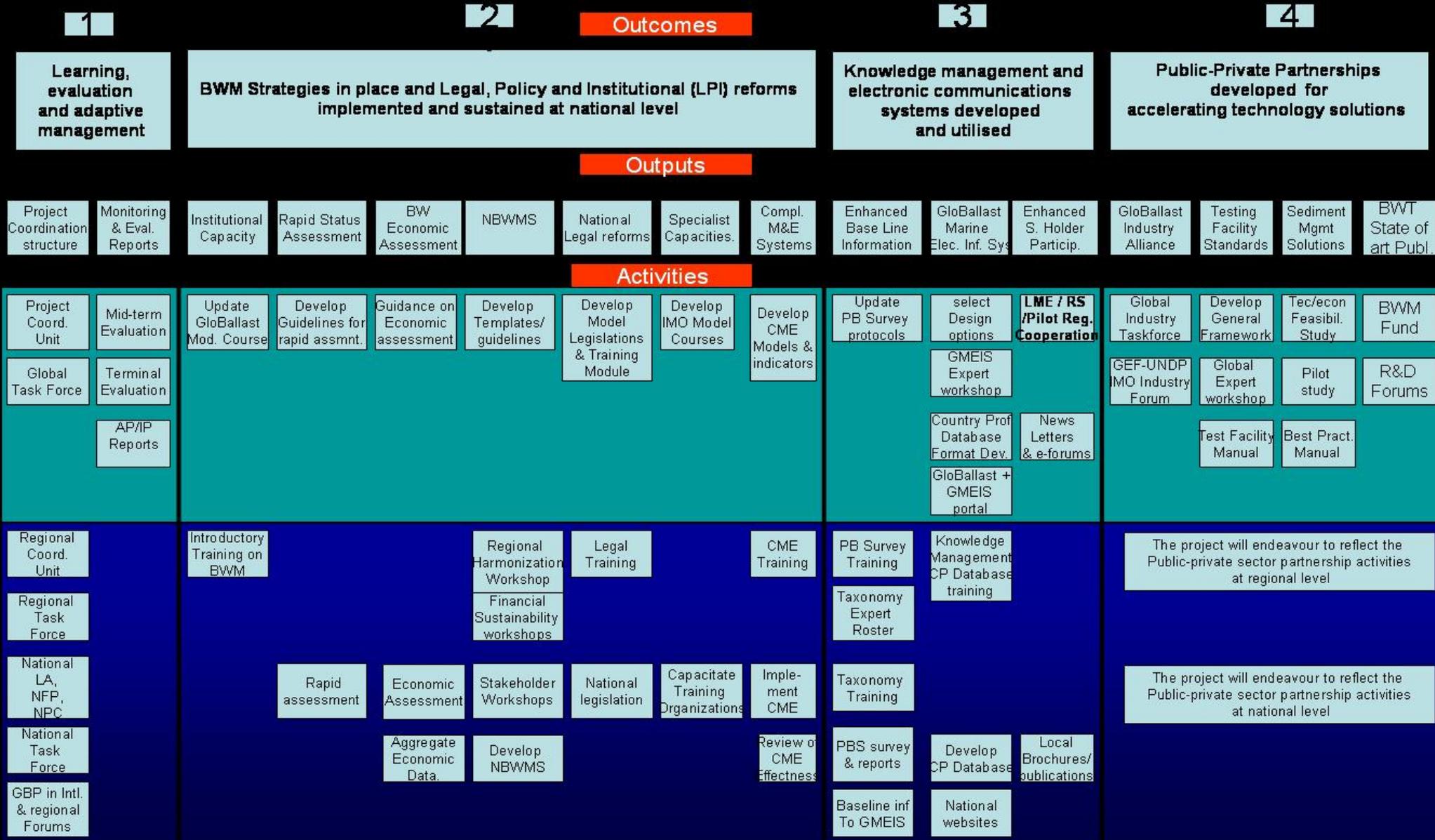
1. Learning, evaluation and adaptive management increased;
2. Ballast Water Management Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level;
3. Knowledge management tools and marine monitoring systems are effectively utilised to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications;
4. Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions.

The following diagram graphically depicts the outcomes, outputs and activities to be carried out.

Assist Developing Countries to Reduce Risk of BW Mediated Bioinvasions

Objective

Outcomes



b) KEY INDICATORS, ASSUMPTIONS, AND RISKS

It is expected that by the end of the project, all partnering countries can demonstrate significant improvement in their legal, policy and institutional structures, with corresponding reduced risks from ballast water borne marine bio-invasions. Achieving this will require that each LPC develop institutional mechanisms for carrying out the project and take responsibility to develop a National Ballast Water Management Strategy (NBWMS). Each LPC will ensure that all necessary legal instruments are in place, a risk-based compliance monitoring and enforcement (CME) system is in operation, and a sustainable financing scheme has been devised.

In addition, by project completion:

- Each country will have a National Task Force (NTF) operating
- A least two thirds of the LPCs (e.g. 9 countries), will have ratified the Ballast Water Management Convention during the course of the project.
- Partnering Countries, using the expertise developed and with the support of LPCs will, at the minimum, develop a draft NBWMS during the course of the project.
- Member states of the participating Regional Seas conventions and Large Marine Ecosystem (LME) programmes will indicate their collective support, by approving regional strategies and protocols on ballast water management.
- Cost effective technology solutions and standards will be developed, tested and promoted through a successful partnership with industry, evidenced by testing facility standards developed, sediment facility options piloted, R&D symposiums held, and a ballast water management innovation fund launched.
- Each LPC will be able to identify the significant environmental and economic impacts and threats to biodiversity in their major port areas, verified through port baseline surveys and economic impact assessments conducted, as well as training provided for more than 250 experts on surveys and taxonomy.
- Sufficient information will be made available for countries to implement risk-based ballast water management programmes. Verification will be through evidence that a web portal is operating as intended, a global database has been established, and the public awareness programme is in place.
- By the end of the project, the backbone for a GloBallast Marine Electronic Information Systems (GMEIS) will be functional.

It is important to note that a successful conclusion of the project assumes that during the 5 years of project implementation, research and development by industry will escalate and effective technology solutions for ballast water treatment and sediment management will be made available to shipping companies.

2. COUNTRY OWNERSHIP

a) COUNTRY ELIGIBILITY

13 countries have been identified as Lead Partner Countries (LPC) with another 33 countries providing their endorsement as Partner Countries (PC). The 6 regions provide a wide geographic distribution for project activities and all partnering countries are GEF eligible. The project will mainly fund participation of the developing countries with particularly vulnerable or highly sensitive marine environments eligible for GEF support under paragraph 9(b) of the GEF Instrument. Non-eligible countries will be expected to finance their participation in project activities.

b) COUNTRY DRIVENNESS

Despite the fact that the Ballast Water Management Convention is a very recent development and usually the ratification of such Conventions involves lengthy processes, all 13 LPCs have indicated in their endorsement letter that they will utilise the technical assistance through the project to review the implications and expect to ratify the Convention during the project time period. The LPCs also comprise 13 of the 130 states that have requested assistance from GloBallast to consider ballast water management issues in light of the convention being approved.

The project has been endorsed and is supported by over 40 Partner Countries, all the regional coordinating organisations (RCO) and all the initial Pilot Countries. Formal agreements (MoUs) will be concluded between GloBallast and the LPCs and RCOs. The strong interest expressed by over 40 partnering countries, also signals the high chances of the project making a significant global impact, especially since 37% of the global merchant fleet are registered in these partnering countries. It is expected that this percentage will be significantly higher once the remaining countries join the partnership during the course of the project.

Each of the RCOs has demonstrated their support for measures to address marine invasive species and the threat posed by invasives transferred through ballast water, with direct reference made to ballast water and invasive species in convention articles, protocols and plans of action. In addition, each of the 13 LPCs has indicated significant incremental financial commitment to the project.

3. PROGRAM AND POLICY CONFORMITY

a) FIT TO GEF FOCAL AREA STRATEGIC OBJECTIVES AND OPERATIONAL PROGRAM

The project will demonstrate practical ways of overcoming barriers to the adoption of best practices that limit contamination of international waters through shipping vectors and will harness involvement of the UN agency specialized in addressing invasive aquatic species (IAS) in ships' ballast water. The project identifies itself with the Contaminant-Based Operational Program (Ship-Related Contaminants Component) where GEF plays a catalytic role in demonstrating ways to overcome barriers to the adoption of the best practices to limit contamination of international waters and IMO provides the technical expertise related to ships' ballast water management. The Project clearly supports GEF IW Strategic Program I - Restoring and sustaining coastal and marine fish stocks and associated biological diversity, reflecting the fact that substances (e.g. invasive species) toxic to fish, biodiversity, and humans (hazardous algal blooms and paralytic shellfish disease) are transferred across borders in ship ballast water (by far the largest vector), and supports SP-1 objective of supporting demonstrations addressing invasive species in ship ballast water. The project will also help to develop strategic links across the other strategic objectives and operational programs in the focal area and contribute to an integrated approach to marine ecosystems management, facilitating cross-cutting capacity building to address the potentially devastating impacts of bioinvasions through ships' ballast water.

b) SUSTAINABILITY (INCLUDING FINANCIAL SUSTAINABILITY)

The project will enable the partnering counties to improve their ballast water management systems, will help to stimulate research and development on treatment technologies and sediment handling, and will enable improvements in global communications and information on shipping, which should drive improved risk management globally. The key is then to have these activities continue on beyond project closure. The best mechanism to ensure this sustainability is widespread ratification of the Ballast Water Management Convention, amongst the countries in the Partner regions. Convention ratification will compel these States to develop the necessary national legislation that will drive environmental management improvements at commercial ports and amongst flagged vessels.

Environmental sustainability will be enhanced through the widespread training of persons in Partner Countries on the techniques for carrying out port baseline surveys and handling the related taxonomy issues. This training programme will ensure that there exists a cadre of experts in each country with the skills to continue carrying out surveys after the project has ended.

With respect to financial sustainability, the project will push aggressively to loosen the financial constraints that so often make capacity building projects difficult to sustain. The activities to be carried out on the economic aspects of marine bio-invasions will include working with the LPCs to determine and devise strategies for covering the costs of national ballast water management programs. Guidance will emphasize the “polluter pays” principle. Incentives to stimulate investment into ballast water related activities will be explored and barriers to private sector funding will be assessed and measures implemented for their removal. Financial sustainability for technology development efforts beyond the project duration will be addressed by expanding the GloBallast Industry Alliance (GIA) with an aim to set up a revolving fund based on corporate annual memberships.

With respect to institutional sustainability, long-term policy reforms at the national level will be encouraged and integrated within regional mechanisms. Specific provisions regarding ballast water management and control will be included in the existing government cooperation mechanisms to ensure long-term governmental commitment and continuation of ballast water activities after GEF’s intervention.

At the regional level, sustainability will be enhanced through opportunities provided for non-lead country participation, enabling all countries in the regions to receive basic tools and mechanisms that can help improve port environmental management and reduce IAS threats. The regional organisations will also be expected to actively promote regional cooperation on ballast water management, including agreements on restricted ballast exchange areas and risk-based inter-regional exemptions to ballast treatment and exchange requirements, providing a regional impetus for continuation of activities after the project.

At the global level, as a result of the pilot phase of the project, IMO in 2003 created a strong institutional basis by establishing the “Office for Ballast Water Management” and funding a senior technical position and associated secretarial support. This, together with the adoption of ballast water management as a new thematic priority of IMO’s Integrated Technical Cooperation Program will ensure the necessary sustainability at the global level during and beyond the proposed period of the GloBallast Partnerships Project. In addition, IMO member States are committed to an ongoing process of guidance development for the implementation of the BWM Convention.

c) REPLICABILITY

Replication will be enhanced through the networking efforts of the PCU and partners. While the main focus is on 6 high priority regions, there are 8 additional regions directly involved (from the pilot phase countries and through training workshops supported by the European Bank for Reconstruction and Development, EBRD). This wide level of inclusion should help with replication of lessons learned and best practices. Further opportunities to share knowledge will be

achieved via the R&D forums (see Logframe 4.4.2) and participation of GB partners in regional conventions (Logframe 1.1.7).

The project will promote dissemination and replication of its best practices and lessons learnt through the GloBallast Marine Electronic Information System (GMEIS) and GloBallast Web Portal, and through specialized communication projects such as GEF IW: LEARN. The training package designed using Train-X methodology in the pilot phase will be enhanced and delivered at new locations and will be made available worldwide through the maritime training institute networks as well as through an e-learning module. Certain technical and capacity-building activities implemented in the Pilot Countries will be replicated at additional demonstration sites during the proposed project.

d) STAKEHOLDER INVOLVEMENT

Ballast water problems are inter-disciplinary in nature, so the success of the project depends on the full involvement of a broad group of stakeholders. Experience from the pilot phase has given a good indication of the main actors that will be involved. Without precluding the participation of additional partners, the following types of institutions and organizations are expected to play a role:

- International Organisations: Donor community and international financial institutions.
- Environmental Organisations & Institutes: National and regional marine research institutions; Relevant NGOs
- Regional and National Government partners: Maritime administrations; Environmental agencies; Ministries of agriculture (fisheries); Ministries of health (quarantine and sanitary services); Coast-guard and navy; Parliamentary committees for environmental protection
- Industry: Shipping and ports; Oil and gas; Mining

Key stakeholders at the national level will be involved through the establishment of National Task Forces. The project will include extensive interaction with each country lead agency; it is expected that the lead agency will be the government organization / agency that has provided the in-country co-financing commitment and support to the project. Other government ministries, agencies and institutes that have responsibilities relevant to ballast water management are to be included in National Task Forces. The other participating agencies are expected to include: environment, transportation, agriculture (fisheries) health (quarantine and sanitary services), and port state control authorities (coast guards and navy).

GloBallast Partnerships recognises that industry must play a crucial role in any effort to improve ballast water management. A GloBallast Industry Alliance (GIA) is being established parallel to the project in order to provide advice and support as the project gets implemented

e) MONITORING AND EVALUATION

Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team, with support from UNDP/GEF and IMO. The Logical Framework Matrix in Annex B provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. The Logical Framework Matrix in Annex B also identifies the indicators in GEF Process (P), Stress Reduction (SR) and Environmental Status (ES) framework for reporting in Annual APR/PIRs. These will form the basis on which the project's Monitoring and Evaluation system will be built. The project's Monitoring and Evaluation Plan will be presented and finalized as part of the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Day to day monitoring of implementation progress: will be the responsibility of the Chief Technical Advisor (CTA) based on the project's Annual Work Plan and its indicators.

Periodic monitoring of implementation progress: will be undertaken by UNDP and IMO through quarterly meetings with the CTA, and based from Project Coordination Unit (PCU) produced

quarterly reports. In addition, the UNDP-GEF IW Principal Technical Advisor will meet with IMO designated officials and the project CTA during the three GPTF meetings (Inception, one interim and final meeting) and the two executive management meeting in the 2nd and fourth year – during the 5 yr. project.

Annual Monitoring: will occur through the *Tripartite Review (TPR)*. It is envisioned that the TPRs will be held concurrent to the GPTF meetings. The first TPR will be held during the GPTF Inception Meeting, which is scheduled for the beginning of the third quarter of project year 1.

The Annual Project Report/Project Implementation Review (APR/PIR) will be used as one of the basic documents for discussions in the TPR meetings. The PCU-CTA will present the APR/PIR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants.

External Evaluations: will be carried out at the project mid term and just prior to conclusion, pursuant to GEF / UNDP monitoring and evaluation guidance.

Project Terminal Report: During the last three months of the project the PCU will prepare the Project Terminal Report, summarizing all activities, achievements and outputs of the Project, lessons learnt, objectives met or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

4. FINANCING

a) PROJECT COSTS

Project Components/Outcomes	Co-financing (\$)	GEF (\$)	Total (\$)
1. Learning, evaluation and adaptive management increased	1,639,300	585,000	2,224,300
2. BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level	7,961,120	2,995,000	10,956,120
3. Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improved understanding of ballast water impacts on marine ecology, and enhance maritime sector communications	3,833,179	1,198,000	5,031,179
4. Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions	3,448,340	230,000	3,678,340
5. Project management budget/cost*	820,000	680,000	1,500,000
Total project costs	17,701,939	5,688,000	23,389,939

Budget Notes:

- i. *GloBallast Partnerships* is a Global Project and there are no specific national projects and national budgets. As such, no GEF resources are budgeted for international travel for national projects (i.e. study tours), international workshops for national projects, non-training workshops and study tours and furniture, office rental and vehicles.
- ii. International travel to Conventions meeting, study tours and exchanges, or other unspecified travel for project shall correspond to specific outputs designed into the log-frame.

- iii. As much as possible, costs of office space (rental) and supplies, phone and computers and communications and audio visual equipment shall be provided and paid for by the host government and/or co-financing. However, exceptions may be made in the case of LDC or SIDs countries or where a project site is remote and no facilities are available. Some limited resources for equipment and communication have been requested for project management purpose, as given under Table 4b below, considering the need for global project team communications.
- iv. No GEF resources are budgeted for purchase of vehicles.
- v. Workshops related to training for staff and counterparts, if any, shall be directly related to the log-frame of the project.
- vi. The cost of venue and catering for workshops shall be borne by the host country or agency unless the workshops are held in developing countries, in which case, every effort will be made to ensure these costs could be provided as in-kind contribution from the respective countries.

b) **PROJECT MANAGEMENT BUDGET/COST¹**

Component	Estimated staff weeks	GEF(\$)	Other sources (\$)	Project total (\$)
Locally recruited personnel (Administrative Assistant)**	220	300,000	-	300,000
Internationally recruited consultants (CTA and TA)**	78	195,000	-	195,000
Office facilities, equipment, and communications²		125,000	820,000	945,000
Travel		60,000	-	60,000
Miscellaneous		-	-	-
Total		680,000	820,000	1,500,000

** Local and international consultants in this table corresponds to the component of time spent by Chief Technical Advisor (CTA), Technical Advisor (TA) and Administrative Assistant (AA) for functions related to the management and administration of project. CTA and TA of the Project as well as other external Consultants (local and International) will be providing technical assistance to the project by undertaking a number of specific tasks of technical nature including training. The details of their services is given in c) below:

¹ For the CTA and TA hired to manage project and to provide technical assistance, a description in terms of their staff weeks, roles and functions in the project, and their position titles in the organization, are given in Annex D.

² No GEF funding is requested for office furniture, office rental or vehicles.

c) CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS³:

Component	Estimated staff weeks ⁴	GEF(\$)	Other sources (\$)	Project total (\$)
Personnel				
Local consultants	2,125	2,125,000	3,063,000	5,188,000
International consultants (CTA, TA and External Consultants)	832	2,080,000	1,729,355	3,809,355
Total	12,400	4,205,000	4,792,355	8,997,355

d) CO-FINANCING SOURCES

The following table provides a breakout of all co-financing commitments by type and status. The information reflects the status of discussion with co-financiers. Due to their size and number, the endorsement letters are provided as separate attachments annexed to the Project Document.

Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status*
IMO	Cooperating Agency	in-kind support and cash direct	\$4,318,800 ⁵	Committed, letter attached
Argentina	Government	in-kind support	857,000	Committed, letter attached
Chile	Government	in-kind support	628,000	Committed, letter attached
Colombia	Government	in-kind support	223,629	Committed, letter attached
Venezuela	Government	in-kind support	1,110,000	Committed, letter attached
Jamaica	Government	in-kind support	339,000	Committed, letter attached

³ GEF costs associated with Local Consultants represents the costs of delivering national activities using national expertise in addition to the in-kind contribution by 13 lead partnering countries over a period of five years. Examples of these activities include the rapid assessments, local expert inputs in training activities, economic impact assessments, development of national legislations, port baseline surveys using local expertise, local IT experts for development of country profile databases etc. GEF costs associated with the technical experts (Chief Technical Advisor and Technical Advisor), who will deliver most of the technical outcomes, are incorporated in the International Consultants component. Examples of these technical activities include training, development of guidelines and templates, capacity building and coordination and facilitation of regional workshops, development of regional action plans, implementation of activities within the Private-Public Partnership components etc. Extensive use of technical expertise existing within PCU would ensure the much needed cost-efficiency required by tight budgets. International Consultant Component also include any costs associated with hiring external international consultants for very specialized activities identified in the Project such as midterm and terminal evaluation of the Project. The costs exclude any travel costs associated with the delivery of technical assistance.

⁴ The staff weeks correspond to the GEF Costs (\$) only, as the co-financing from other sources vary in terms of rates etc.

⁵ The IMO endorsement letter (attached) indicates co-financing at the level of \$12,687,000, which includes \$8,368,200 for funding the IMO MEPC-Ballast Water Working Group and GESAMP- BW working group meetings. The MEPC and GESAMP activities directly benefit the GloBallast Partnerships Project, however GloBallast has only limited control and influence over these IMO activities, consequently 10% of this \$8.3 million has been considered as direct co-financing. So the IMO contribution is set at \$4,318,800 based on discussions with GEFSEC IW.

Trinidad& Tobago	Government	in-kind support	414,000	Committed, letter attached
Bahamas	Government	in-kind support	418,600	Committed, letter attached
Turkey	Government	in-kind support	410,000	Committed, letter attached
Croatia	Government	in-kind support	443,500	Committed, letter attached
Egypt	Government	in-kind support	337,500	Committed, letter attached
Yemen	Government	in-kind support	337,500	Committed, letter attached
Sudan	Government	in-kind support	298000	Committed, letter attached
Jordan	Government	in-kind support	337500	Committed, letter attached
Ghana	Government	in-kind support	501400	Committed, letter attached
CPPS	multilateral agency	in-kind support	168,120	Committed, letter attached
REMPEITC	multilateral agency	in-kind support	735,800	Committed, letter attached
REMPEC	multilateral agency	in-kind support and cash direct	305,000	Committed, letter attached
PERSGA	multilateral agency	in-kind support	806,750	Committed, letter attached
SPREP	multilateral agency	in-kind support	592,000	Committed, letter attached
ROPME	multilateral agency	in-kind support and cash indirect	224,000	Committed, letter attached
EBRD	multilateral agency	Cash, direct	362,500	Committed, letter attached
IUCN	International organization	In-kind support	400,000	Committed, letter attached
BP Shipping, UK	Private Sector	cash, direct	250,000	Committed, letter attached
British Maritime Technologies, UK	Private Sector	cash, direct	250,000	Committed, letter attached
Vela Marine International, UAE	Private Sector	cash, direct	250,000	Committed, letter attached
APL Shipping, Singapore	Private Sector	cash, direct	250,000	Committed, letter attached
IESE, Singapore	Research Institute	in-kind support & cash, indirect	350,000 ⁶	Committed, letter attached
Degussa, (Germany)	Private Sector	cash, indirect	25,000	Committed, Letter attached
Environmental Technologies Inc, (USA)	Private Sector	cash, indirect	200,000	Committed, letter attached

⁶ The cash / indirect co-financing amount from this partner and the remaining private sector partners has been derived by taking 10% of the estimated co-financing for research and development on ballast water treatment technology that each private sector partner has indicated in their attached endorsement letters that they will spend over the next 5 years. The private sector initiatives fully support the objectives of the project and can be considered incremental, this percentage calculation was used to take into account the participation of these partners in GloBallast R&D forums, Industry Task Forces etc and the expertise they bring to such forums. The private sector co-financing contributions from the endorsements totals more than \$ 20 million (\$20,533,400), however much of this funding is intended by the private sector parties also to take advantage of market opportunities opening as a result of the Ballast Water Management Convention.

Ferrate Treatment Technologies, (USA)	Private Sector	cash, indirect	700,000	Committed, letter attached
MetaFil AS, (Norway)	Private Sector	cash, indirect	500,000	Committed, letter attached
NIOZ, (Netherlands)	Research Institute	cash, indirect	47,100	Committed, letter attached
NIWA, (New Zealand)	Research Institute.	cash, indirect	311,240	Committed, letter attached
Sub-Total Co-financing			17,701,939	

5. INSTITUTIONAL COORDINATION AND SUPPORT

a) CORE COMMITMENTS AND LINKAGES

The core organisations are GEF (funding), UNDP (implementing) and IMO (cooperating). In addition, UNEP is playing a supporting role with respect to its financial support for several of the Regional Seas that are GloBallast RCOs, including the Mediterranean and Caribbean regions.

IMO member states are fully committed to the GloBallast effort. The IMO Secretariat has established an IMO Office for Ballast Water Management, and developed an expert group (through GESAMP) to decide on approvals for the use of Active Substances for ballast water treatment. IMO provides training and consulting support to member states on implementation of the ballast water convention through its ITC division.

GloBallast Partnerships is widely supported – with endorsements in writing from 13 lead participating countries, 33 additional partner countries, six regional coordinating organisations, the six pilot countries from the GloBallast Phase, nine businesses and industry organisations, several research institutes and international NGOs.

Strategic partnerships have already been initiated with EBRD, which is providing direct support to the Black Sea, Caspian Sea and Baltic Sea countries, to carry out training on ballast water management using the GloBallast introductory training package on Ballast Water management. In addition, there are direct linkages to the activities of the Global Invasive Species Program (GISP), and their planned GEF -UNEP-GISP (global) Capacity Building Project on invasive species. The World Conservation Union (IUCN) and Friends of the Earth International were participants in the Global Project Task Force (GPTF) of the GloBallast pilot phase, and will continue to serve on the GloBallast Partnerships GPTF. The WWF has requested to participate as well, and has been invited to partner with GloBallast Partnerships Project. During GloBallast Partnerships, there will be a concerted effort to link with other ongoing companion efforts such as the GEF/UNEP invasive species project offered by CABI for the Caribbean, and a proposed GEF/UNDP Integrated Ecosystem Management Programme: Prevention and control of introduction and spread of Invasive Alien Species (IAS) for the Seychelles.

A GloBallast Industry Alliance (GIA) is being established parallel to the project in order to provide advice and support as the project gets implemented. During the PDF-B effort, four major shipping companies have pledged \$1 million to seed the GIA Fund, which will be used to support project activities. In addition, cooperation with the International Association of Independent Tanker Owners (INTERTANKO), Oil Companies International Marine Forum (OCIMF), and International Chamber of Shipping (ICS), which was developed during the GBP pilot phase, will be continued.

b) CONSULTATION, COORDINATION AND COLLABORATION

There have been frequent consultations between the GloBallast team, IMO and UNDP-GEF in developing this Project proposal. Consultations commenced upon completion of the GloBallast Pilot Phase in February, 2004, until submission of the GloBallast partnerships Project Document. In particular, the UNDP-GEF PTA has been present at and contributed to the GloBallast GPTF meetings during which the project was conceived and elaborated. The design and development process for GloBallast, starting in 2003, included a series of consultations between IMO, UNDP

and the GEF Secretariat (GEFSEC) to evaluate the work of the initial phase of GloBallast, discuss policy issues, analyze the provisions of the newly adopted Ballast Water Management Convention and arrive at a common understanding of the possible approaches to take.

c) PROJECT IMPLEMENTATION ARRANGEMENT

The project will be implemented by UNDP in cooperation with the International Maritime Organization (IMO). IMO is the regulatory body of the United Nations responsible for the development of rules and regulations regarding the safety and security of shipping and the prevention of pollution from ships and has provided significant “added-value” during the GloBallast Pilot Phase. As with most maritime instruments, IMO provides Secretariat support for the Ballast Water Management Convention.

GloBallast Partnerships Project will be steered by a Global Project Task Force, utilising the successful approach taken during the first GloBallast project. The GPTF, which will be the apex advisory body of the Project, will include the following members:

- UNDP/GEF (1)
- IMO (2)
- GloBallast PCU (1)
- RCOs (6)
- LPCs (5 – in rotation - one from each region)
- Industry (2)
- Environmental organisations / NGOs (2)
- GBP pilot country representative (1-in rotation)

GloBallast Partnerships will be managed by a Project Coordination Unit (PCU), consisting of a Chief Technical Advisor (CTA), Technical Advisor (TA) and Administrative Assistant (AA). The PCU will be housed at IMO's London Headquarters, and will operate in close proximity and cooperation with the Office of Ballast Water Management, at the IMO Secretariat which will offer significant technical and administrative backstopping to the project. The PCU will consist of technical experts in ballast water management and the major responsibility of these personnel will be to deliver the technical outcomes of the project including training activities. Extensive use of technical expertise existing within PCU would ensure the much needed cost-efficiency required by the tight budgets. External expertise will be hired only to augment the technical expertise within PCU. The PCU will also assume day to day operational control of the project, and will directly liaise with counterparts at the regional and country levels, although such coordination/administration will only take roughly 10 % of the PCU efforts.

RCOs have been brought on board to serve as coordinating mechanisms for the more than 30 countries directly involved and in order to organize regional workshops and seminars. In addition, the RCOs will serve as the financial conduit to the participating countries, thus providing administrative support to the PCU and enabling the PCU to effectively manage a global program with just three staff. Financial management will be through established procedures between UNDP and its co-financing partner, IMO, and between IMO and other co-funders, such as the EBRD. In turn, the IMO will enter into contractual arrangements with the regional coordinating organisations for the dispensation of funds for LPC and partner country activities.

ANNEX A: INCREMENTAL COST ANALYSIS

Incremental Cost Analysis

The Incremental Cost Analysis (ICA) couples the planned activities of the project, their expected costs, and planned project financing. As indicated in the following narrative and tables, the project envisions leveraging US \$5.64 million in GEF funding to achieve a total incremental financing of \$23.34 million. As indicated in the footnotes to the above two tables on project co-financing and administrative budget, there is also a significant amount of parallel financing that greatly supports the GloBallast effort, which is included in the attached endorsement letters but has not been identified as direct co-financing. This includes \$7.5 million that IMO will spend for MEPC and GESAMP meetings. Also considered parallel but not co-finance funding is roughly \$17.7 million that private sector partners have identified they will spend on research and development for ballast water treatment and management technologies. Factoring just the direct co-financing, the ratio of co-financing to GEF contribution is 2.8. Taking into account the parallel financing, which the GloBallast pilot effort made possible, the total figure escalates to \$48.5 million, a ratio of 8 dollars raised for every 1 dollar of GEF funds.

Baseline

A financial baseline for the project has been set at \$ 922 million, over 5 years, established using a ‘business as usual’ scenario where most countries are tending to their ship-related environmental management activities with little effective regard for, or progress in, addressing ballast water-borne invasive species issues. The baseline estimate adds up expenditures by Governments to manage their marine environmental protection efforts, and then estimates the percentage devoted to dealing with ship-based pollution sources: spills, wastewater, solid wastes, air pollution etc., but not ballast water. Ballast water management is omitted because up until recently, with passage of the IMO BWM Convention, there was little attention given to the environmental consequences of ships’ ballast, especially amongst the developing countries that are the focus of this project. The lead partnering countries for GloBallast Partnerships have not yet developed and/or strengthened their legal, policy and institutional structures for ballast water management. Consequently, all of the government actions planned, and co-financing offered, are considered incremental measures.

Developing a precise figure for the baseline funding of relevant marine environmental expenditures in the more than 40 countries involved in GloBallast Partnerships is exceedingly difficult, therefore a number of proxies, estimates and interpolations have been used to establish a rough estimate.

The following table (1.1 (1)) sets out baseline figures for GloBallast Partnerships, reaching US \$922 million over the expected five year period of the project. The figures are based on information received from government sources in representative economies of GloBallast partner countries. National expenditures for general funding of marine environmental protection are aggregated. The figures also utilize GDP figures taken from the World Development Indicators Database, (World Bank, 1 July 2006). It is important to note that the following assumptions have been used to derive these figures:

- The cost of response to marine pollution is roughly proportional to the percentage of contaminants entering the sea from various sources. There are some clear indications (based on previous studies) that pollution from maritime traffic contribute to roughly about 15% of the total pollution load
- Larger economies spend proportionately higher percentage of their GDP on environmental protection, including marine environmental protection
- % of GDP can be used as an approximate guideline to assess national expenditure
- Different levels of % GDP were assigned to different groups of economies, based on some of the representative values obtained from certain governments such as India and Iran

- Marine environmental protection in general includes *inter alia* - pollution prevention and response costs for maritime traffic related pollution, coastal zone protection, and infrastructure such as port reception facilities
- Expenditure by Governments to prevent ship-based pollution of marine environment (core thematic baseline for GBP) is estimated based on the assumption that the proportion of this expenditure is similar to the proportion of contaminant loading from maritime traffic to the land-based pollution: around 12% on average (reference GESAMP report 1990). Furthermore, a tapering proportion (15% to 8%) was used to take into account the variations in shipping trade (trade in stronger economies will be higher than those of others)

Table A (1): Aggregate Baseline Expenditures Estimate

No.	Partner Countries (LPC, PC and GB Pilots)	Total GDP (2005) (in Million US\$)	Approximate Expenditure on Marine Environment Protection as Percentage of GDP (%)	Approximate Expenditure on Marine Environment Protection in total (in million US\$)	Approximate percentage of expenditure on ship-based pollution prevention (%)	Approximate expenditure on ship-based pollution prevention (in million US\$)
1	China	2228862	0.02	445.77	15	66.87
2	Brazil	794098	0.02	158.82	15	23.82
3	India	785468	0.02	160.00	15	24.00
4	Mexico	768438	0.02	153.69	15	23.05
5	Turkey	363300	0.02	72.66	15	10.90
6	South Africa	240152	0.02	48.03	15	7.20
7	Iran, Islamic Rep.	196343	0.01	20.00	12	2.40
8	Argentina	183309	0.01	18.33	12	2.20
9	Venezuela, RB	138857	0.01	13.89	12	1.67
10	Colombia	122309	0.01	12.23	12	1.47
11	Chile	115248	0.01	11.52	12	1.38
12	Algeria	102257	0.01	10.23	12	1.23
13	Egypt, Arab Rep.	89336	0.008	7.15	10	0.71
14	Ukraine	81664	0.008	6.53	10	0.65
15	Peru	78431	0.008	6.27	10	0.63
16	Morocco	51745	0.008	4.14	10	0.41
17	Libya	38756	0.008	3.10	10	0.31
18	Croatia	37412	0.008	2.99	10	0.30
19	Ecuador	36244	0.008	2.90	10	0.29
20	Guatemala	31683	0.005	1.58	8	0.13
21	Angola	28038	0.005	1.40	8	0.11
22	Sudan	27699	0.005	1.38	8	0.11
23	Costa Rica	19432	0.005	0.97	8	0.08
24	Côte d'Ivoire	16055	0.005	0.80	8	0.06
25	Panama	15467	0.005	0.77	8	0.06
26	Trinidad and Tobago	14762	0.005	0.74	8	0.06
27	Yemen, Rep.	14452	0.005	0.72	8	0.06
28	Jordan	12861	0.005	0.64	8	0.05
29	Ghana	10695	0.005	0.53	8	0.04
30	Jamaica	9696	0.002	0.19	7	0.01
31	Bahamas, The	5502	0.002	0.11	7	0.01
32	Benin	4287	0.002	0.09	7	0.01
33	Haiti	4245	0.002	0.08	7	0.01
34	Barbados	2976	0.002	0.06	7	0.00

35	Guinea	2689	0.002	0.05	7	0.00
36	Sierra Leone	1193	0.002	0.02	7	0.00
37	Belize	1105	0.002	0.02	7	0.00
38	Antigua and Barbuda	905	0.002	0.02	7	0.00
39	Djibouti	702	0.002	0.01	7	0.00
40	Dominica	279	0.002	0.01	7	0.00
41	São Tomé and Príncipe	57	0.002	0.00	7	0.00
Total baseline for 2005 (in million US\$)						170.31
Approximate total projected core thematic baseline for GBP partner countries (2007-2011), assuming an overall 2% annual growth in expenditure (in million US\$)						\$922.10

Global Environmental Objective

The overall goal of the GloBallast Partnership Project is to reduce the risks and impacts of marine bio-invasions caused by international shipping and the specific objective of GBP is to assist vulnerable developing states and regions to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships.

GloBallast Partnerships will provide a programmatic framework for the sustainable replication of ballast water management and control measures, ensuring that maximum benefits accrue from the foundation work achieved in the pilot phase. The aims and objectives of GloBallast Partnerships focus on national policy and legal reforms in targeted developing countries and an emphasis on integrated management. The approach will include:

- Building on the achievements and momentum, and utilising the capacity and talent generated by the pilot phase.
- Replication of best-practices and technical activities in newly identified beneficiary countries with the view to stimulate policy reforms at national level.
- Supporting specially vulnerable and/or environmentally highly sensitive countries in their efforts to enact legal reforms to implement the Ballast Water Management Convention.
- Working towards advanced integration through other interested structures, mechanisms and programs, including where optimal, GEF-IW LME projects and UNEP Regional Seas.
- Promoting collaboration to facilitate the successful transfer of new technologies from developed to developing countries.

Alternative

With GEF providing its catalytic support, the alternative is a global, regional and country-based programmatic framework for the sustainable replication of ballast water management and control measures, ensuring that maximum benefits accrue from the foundation work achieved in the pilot phase.

All of the government actions planned, and co-financing offered under GloBallast Partnerships are considered additional, incremental measures. Likewise, a portion of the co-financing support from industry, for research and development, the testing of new equipment and solutions, and the holding of R&D symposia, are considered additional activities, with an expectation that GloBallast Partnerships will help set the legal, policy and institutional framework for countries that will facilitate technology adoption and diffusion among the shipping industry worldwide, in response to the requirements and timetables set out in the BWM Convention. All told, the incremental financing building from the GloBallast partnerships effort should reach US \$24.6 million.

Support for appropriate national institutional arrangements will be granted and regional mechanisms will be used as catalysts for supporting national policy reforms. Generic Compliance

Monitoring and Enforcement (CME) systems, which could not be developed due to the delay in the adoption of the Ballast Water Management Convention, will be prepared in accordance with the requirements of the IMO instrument. Formalized communication systems through identified lead agencies will be developed and early warning systems for invasions and outbreaks will be established. Priority software and hardware will be designed and direct logistic support from the more advanced countries will be sought. Some incremental investments will be supported by the project to support technology development for ballast water treatment and management. Standardised protocols and methodology for conducting port biological surveys and risk assessments will be provided with direct assistance from the capacity built in the pilot phase.

Specific training on ballast water management and control will be provided, based on the training courses developed during the pilot phase, with emphasis on various responsibilities under the new Ballast Water Management Convention. Sustainable financial and institutional arrangements for the long-term management of ships' ballast water will be established, including the mobilization of public and private sector funding.

The global information clearing house function established during the pilot phase will be continued and further strengthened, in support of a uniform approach. Strategies to integrate the ballast water programs with existing marine and coastal management databases and maritime information systems will be developed and implemented.

In essence, the proposed GEF project will build on the findings, institutional settings and capacity developed during the pilot phase. The results of this GEF intervention should include a measurable reduction in aquatic bio-invasions globally, with a significant mitigation of the detrimental, sometimes devastating, effects of ballast water transfers, better protection of marine and coastal ecosystems and habitats and conservation of biodiversity.

The following table (Table A(2)) sets out the anticipated financing for GloBallast Partnerships by GEF and other partners and the pie-graph (Figure 1) shows the breakdown of co-financing as per the sources:

Table A (2): Anticipated incremental financing

	Total GEF funding		\$ 6,387,840
A:	PDFB:	699,840	
	Full Project	5,688,000	
	Total Co-funding by partnering countries		\$ 6,654,629
B:	Cash Contribution		
	In-kind contribution	6,654,629	
	Total Co-funding by regional coordinating organizations		\$ 2,832,670
C:	Cash Contribution	304,000	
	In-kind contribution	2,528,670	
	Total Co-funding by IMO		\$ 4,318,800
D:	Cash Contribution	914,000	
	In-kind contribution	3,404,800	
	Total Co-funding by Private Sector		\$ 3,133,340
E:	Cash Contribution	1,000,000	
	In-kind contribution	2,133,340	
	Total Co-funding by Financial Institutions & International Organizations		\$ 762,500
F:	Cash Contribution	362,500	
	In-kind contribution	400,000	
	TOTAL INCREMENT		\$ 24,089,779
	(TOTAL BASELINE)		(\$922,100,000)
	TOTAL ALTERNATIVE		\$946,189,779

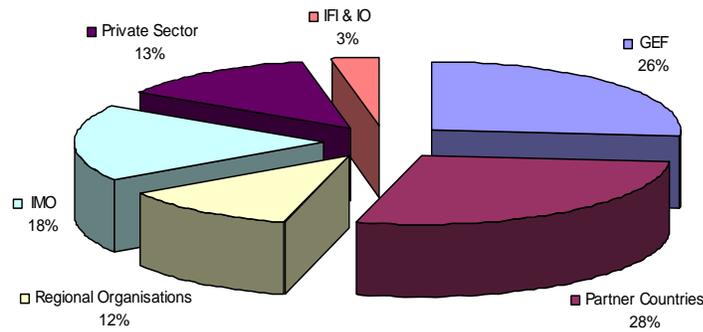


Figure 1: Breakdown of co-financing as per the sources

Incremental Cost Matrix

In the following matrix is set out each of the four anticipated project outcomes (components) set against incremental costs, and providing a narrative description. As noted in the baseline discussion above, the baseline is established generally for shipping-based pollution abatement and does not include specific actions with respect to ballast water management (given little or no expenditures to date by the participating countries and stakeholders to deal with this environmental problem). Consequently, only the alternative / incremental costs are broken down by component. The financial figures provided are further detailed in the ProDoc table 2.1.5 (1): Incremental Cost Co-financing Details.

Component	Baseline	Increment	Alternative
<p>Overall Objective: To assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships</p>	<p>\$922,100,000</p>	<p>GEF: 6,387,840* IMO: 4,318,800 GIA: 3,133,340 RCO: 2,832,670 LPC: 6,654,629 IUCN: 400,000 <u>EBRD: 362,500</u> Total: 24,089,779</p> <p>(* includes GEF PDF-b support: \$699,840)</p>	<p>Total Alternative: \$946,189,779</p>
<p>Explanatory note: A financial baseline for the project has been set at \$ 922 million, over 5 years, established using a 'business as usual' scenario where most countries are tending to their ship-related environmental management activities with little effective regard for, or progress in, addressing ballast water-borne invasive species issues. The baseline estimate adds up expenditures by Governments to manage their marine environmental protection efforts, and then estimates the percentage devoted to dealing with ship-based pollution sources: spills, wastewater, solid wastes, air pollution etc., but not ballast water. Ballast water management is omitted because up until recently, with passage of the IMO BWM Convention, there was little attention given to the environmental consequences of ships' ballast, especially amongst the developing countries that are the focus of this project. Given that the baseline does not figure in ballast water management, all alternative funding, from GEF and other sources, comprise the increment. The \$922 million baseline (over 5 years) is not further broken down in this chart since it is not directly relevant to the carrying out of the four project components. The alternative scenario includes financing from GEF, IMO, the regional organizations (RCO) and lead partner countries (LPC), and from industry (GloBallast Industry Alliance –GIA).</p>			
<p>Outcome 1: Learning, evaluation and adaptive management increased</p>		<p>GEF: 1,265,000 RCO: 1,154,800 LPC: 1,304,500 Total: 3,724,300</p>	
<p>Explanatory note: This component includes the various costs associated with managing the GloBallast project at the international regional and country levels. The GEF portion factors in the costs for staffing the PCU, (including Chief Technical Advisor (P5), a Technical Advisor (P3), and an Administrative Assistant (G6)), as well as carrying out monitoring and evaluation activities, and attending international conferences. Nominal GEF support is included to bolster regional and country</p>			

Component	Baseline	Increment	Alternative
<p>funding for the convening of task forces and coordinating with the PCU. The RCOs will each identify a coordinator responsible for GBP activities during the 5 year project cycle; and the LPCs each will appoint a National Focal Point (NFP) representing the Government's Lead Agency for ballast water management and will identify a National Coordinator (NC). The regional and country cost calculations have been developed based upon the co-financing letters provided by each of the RCOs and LPCs. In addition, a \$362,500 cost borne by the European Bank of Reconstruction and Development (EBRD) has been added for the purposes of holding Ballast Water Management Training Workshops for key government stakeholders in three additional regions (Black, Baltic and Caspian Seas).</p>			
<p>Outcome 2: BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level</p>		<p>GEF: 2,995,000 IMO: 3,582,400 EBRD: 362,500 RCO: 946,070 <u>LPC: 3,070,150</u> Total: 10,956,120</p>	
<p>Explanatory note: The project is designed to assist all of the Partner countries to develop, implement and enforce legal, policy and institutional reforms (LPIR). The costs associated with this outcome relate to the preparation of guidance, the convening of training workshops, and direct assistance to countries as they reform their laws, policies and institutions, develop national ballast water management strategies, and implement compliance monitoring and enforcement programs. Most of the IMO co-financing is included for the carrying out of activities within this outcome 2 (\$12.1 m out of a total co-financing contribution of \$12.6m). The IMO co-financing estimates have been derived based on IMO ongoing and planned activities, as stipulated in the table in Annex G (see "Details of IMO Incremental Co-Financing towards Achieving the Objectives of GloBallast Partnership Project in the next five years (2007-2011)"). For instance, the IMO Ballast water Management Office and the IMO Marine Environmental Protection Committee (MEPC) will have regular meetings IMO HQ in London to discuss the BWM Convention and to develop necessary guidelines. Outcome 2 includes an extensive training program, based around the <i>modular</i> training course devised and successfully run during the GloBallast pilot phase. A total of 9 training programs will be carried out (see output 2.2). GEF financing will be used for 4 Training Programs (CPPS, MED, PERSGA & SPREP). One Training Program, in the WACAF region, will be funded jointly by IMO and the Guinea Current LME; one Training Program in the CAR region will be funded by IMO using ITCP funding. The three additional training programs will be financed by EBRD for stakeholders in the Black, Baltic and Caspian Seas.</p>			
<p>Outcome 3: Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology and enhance maritime sector communications</p>		<p>GEF: 1,198,000 IMO: 736,400 RCO: 731,800 IUCN 400,000 <u>LPC: 1,964,979</u> Total: 5,031,179</p>	

Component	Baseline	Increment	Alternative
<p>Explanatory note: The knowledge management outcome is subdivided into three discreet outputs. The first involves efforts to build a better understanding of the ecological impacts of bio-invasions and likely vectors. This involves continuation, refinement and expansion of the GB pilot phase port baseline survey work. The second output will establish the GloBallast Marine Electronic Information System (GMEIS), designed to provide useful data and information to various stakeholders, including the shipping industry using electronic / internet formats and platforms. The third output involves continuing to build on the GloBallast public awareness success by providing information on ballast water management for public consumption, using especially print and video. The associated costs under the outcome stem primarily from strategy development, training, and tech support activities, with very limited software development and supply. Project participants at the national and regional levels are expected to cover hardware costs. The GEF increment will be utilized throughout each of the planned outputs, and most notably to conceptualize and plan for the Global Marine Electronic Information System (GMEIS). Some GEF support will help the LPC to develop their dedicated BW web sites. Within outcome 3, LPC country port environmental managers and taxonomists will get trained on how to carry out port baseline surveys, but it will be the responsibility of the LPCs to identify additional funding for the actual carrying out of baseline surveys. 6 workshops are planned, hosted by one LPC each from CAR, PERSGA, CPPS and WACAF and SPREP. Each of the workshops will include approximately 20 participants (including other Partner countries in the region). For the Mediterranean region, funding will be provided by the SAFEMED Project, which is being implemented by the RCO, REMPEC. IMO's co-financing for this outcome will underwrite most of the costs of developing and disseminating the GloBallast quarterly newsletter.</p>			
<p>Outcome 4: Public-private partnerships developed to spur the development of cost effective ballast water technology solutions</p>		<p>GEF: 230,000 LPCs 315,000 <u>Industry: 3,133,340</u> Total: 3,678,340</p>	
<p>Explanatory note: The technology development effort is, and should be, driven by industry. The costs associated with the development of cost-effective treatment technologies for ballast water management are properly addressed through market forces, especially as the market for designing, testing, installing and operating on-board ballast water treatment equipment may reach \$15 billion through the next 15 years, taking into consideration 40,000 international ships and almost 1000 new ship constructions per year. The \$3,133,340 in co-financing from industry is of two types. It includes cash contributions of \$ 1 million from the founding partners of the GloBallast Industry Alliance (GIA) (see co-finance commitment letters Annex H). The remaining \$2,133,340 represents 10% of what industry partners have identified as R&D investments they will make to design and test ballast water treatment technologies. It is anticipated that the membership of the GIA will expand during the project. Initial projections are achieving between US \$ 3 to 5 million in direct cash contribution co-financing from industry. The \$1 million indicated to date has been pledged in writing (Annex H). The nominal GEF funding within this component (\$230,000) provides technical oversight of GIA activities by the PCU, including nominal support to the GIA innovation fund (4.4.1), and participation in industry roundtables and R&D forums (4.4.2). The GEF contribution will also help to establish standards for testing facilities, to ensure global consistency by the national testing facilities and agencies that are approving treatment technologies.</p>			

Incremental Cost Co-financing Details

The following table provides an accounting of the co-financing contribution that has been indicated by GloBallast Partners. The amounts given were provided by partners along with their project endorsement. In addition to the output and activity columns, which correspond to the designations in the Logical Framework and work plan, there is also a column marked as linked. The co-sponsors filled in their financial tables using an early draft of the Logical Framework that included a different numbering on the project components (outcomes, outputs and activities). The linked column therefore aligns the sponsor financing tables with the DPD.

Table A (3) Incremental Cost Co-financing Details

Component 1, LPCs			Argentina	Chile	Colombia	Venezuela	Jamaica	Trinidad & Tobago	Bahamas	Turkey	Croatia	Egypt	Yemen	Sudan	Jordan	Ghana	LPC Total
<i>output</i>	<i>activity</i>	<i>Linked</i>															
1.1	1.1.1																
	1.1.2																
	1.1.3	1.5															
	1.1.4	1.6															
	1.1.5	1.7 (a), 1.7 (b)	65,000	58,000	10,000	100,000	52,500	55,000	101,000	20,000	64,000	50,000	50,000	50,000	50,000	180,000	905500
	1.1.6	1.8		15,000	18,000	80,000	39,000	15,000	132,000		15,000	15,000	15,000	15,000	15,000	10,000	399000
	1.1.7	10.4c															
1.2	1.2.1																
	1.2.2																
	1.2.3																
1.3	1.3.1																
Component 1 LPC Subtotals			15,000	73,000	28,000	180,000	91,500	70,000	233,000	20,000	79,000	65,000	65,000	65,000	65,000	190,000	1,304,500

Component 2, LPCs			Argentina	Chile	Colombia	Venezuela	Jamaica	Trinidad & Tobago	Bahamas	Turkey	Croatia	Egypt	Yemen	Sudan	Jordan	Ghana	LPC Total
<i>output</i>	<i>activity</i>	<i>Linked</i>															
2.1	2.1.1																0
	2.1.2	5.3	105,000	67,000		30,000				20,000	32,500					12,000	266500
2.2	2.2.1																0
	2.2.2	2.2	12,000	12,000	3,600	200,000	8,000	12,000	6,000		12,000	12,000	12,000	12,000	12,000	24,000	337600
2.3	2.3.1																0
	2.3.2	9.5							6,000	20,000	4,000					8,000	38000
	2.3.3																0
2.4	2.4.1																0
	2.4.2	2.3 and 3.2	172,500	83,400	0	10,000	0	0	0	30,000	22,500	0	0		0	24,000	342400
	2.4.3	3.3	33,000	15,000	21,000		40,500	33,000	8,000		33,000	33,000	33,000		33,000	5,400	287900
	2.4.4	3.4	51,000	55,000	33,000		26,000	63,000	12,000	5,000	63,000	63,000	63,000	63,000	63,000	9,000	569000

2.5	2.5.1																0
	2.5.2	4.2	57,500	27,800						20,000	7,500					8,000	120800
	2.5.3	4.3	31,000	51,000	22,000		62,000	51,000	3,200	10,000	51,000	51,000	51,000	51,000	51,000	36,000	521200
2.6	2.6.1																0
	2.6.2	5.4	18,000	11,400	7,150	150,000	2,500	7,000			7,000	6,500	6,500		6,500	12,000	234550
2.7	2.7.1																0
	2.7.2	7.4	57,500	27,800						10,000	7,500					12,000	114800
	2.7.3	7.5	10,000	10,000	14,950		9,000	10,000	17,000		10,000	10,000	10,000	10,000	10,000	3,000	123950
	2.7.4	7.6	10,000	10,000	14,950		4,500	10,000	12,000		10,000	10,000	10,000	10,000	10,000	2,000	113450
Component 2 LPC Subtotals			557,500	370,400	116,650	390,000	152,500	186,000	64,200	115,000	260,000	185,500	185,500	146,000	185,500	155,400	3070,150

Component 3, LPCs			Argentina	Chile	Colombia	Venezuela	Jamaica	Trinidad & Tobago	Bahamas	Turkey	Croatia	Egypt	Yemen	Sudan	Jordan	Ghana	LPC Total
<i>output</i>	<i>activity</i>	<i>Linked</i>															
3.1	3.1.1																
	3.1.2	9.3	75,000	75,000		30,000				30,000						12,000	222,000
	3.1.3	9.2						50,000		5,000							55,000
	3.1.4	9.6														12,000	1,200
	3.1.5	9.4 / Sp. P	60,000	50,000	49979	300,000	70,000	60,000	53,200	65,000	70,000	60,000	60,000	60,000	60,000	80,000	1,098,179
	3.1.6																
3.2	3.2.1																
	3.2.2																
	3.2.3																
	3.2.4	8.3	57,500	27,800		10,000				20,000	7,500					10,000	132,800
	3.2.5	8.4	27,000	27,000	29,000		25,000	27,000	6,000	40,000	27,000	27,000	27,000	27,000	27,000	32,000	348,000
	3.2.6																
	3.2.7	10.4		4,800					2,400	5,000						5,000	17,200
3.3	3.3.1																
	3.3.2																
	3.3.3	10.2 + Sp. P						20,000	54,800							5,000	79,800
Component 3 LPC SubTotals			219,500	184,600	78,979	340,000	95,000	157,000	116,400	165,000	104,500	87,000	87,000	87,000	87,000	156,000	1,964,979

Component 4, LPCs			Argentina	Chile	Colombia	Venezuela	Jamaica	Trinidad & Tobago	Bahamas	Turkey	Croatia	Egypt	Yemen	Sudan	Jordan	Ghana	LPC Total
<i>output</i>	<i>activity</i>	<i>Linked</i>															
4.1	4.1.1																
	4.1.2																
4.2	4.2.1																
	4.2.2																
	4.2.3																
4.3	4.3.1																
	4.3.2																
	4.3.3																
4.4	4.4.1 a																
	4.4.1 b				200,000			5,000	110,000								315,000
	4.4.2																
Component 4, LPC subtotals						200,000		5,000	110,000								315,000
Total LPC Co-financing			857,000	628,000	223,629	1,110,000	339,000	413,000	418,600	410,000	443,500	337,500	337,500	298,000	337,500	501,400	6,654,629

Component 1, RCO's and other co-sponsors			CPPS	REMPEIT C	REMPEC	PERSGA	GCLME	SPREP	ROPME	RCO Total	IUCN	IMO	EBRD	GIA	Total	
<i>output</i>	<i>activity</i>	<i>Linked</i>														
1.1	1.1.1															0
	1.1.2															0
	1.1.3	1.5	64,900	144,000	225,000	137,000		150,000		720,900						720,900
	1.1.4	1.6	28,900			120,000		150,000		298,900						298,900
	1.1.5	1.7 (a), 1.7 (b)														
	1.1.6	1.8														0
	1.1.7	10.4c	5,000	10,000		10,000		110,000		135,000						135,000
1.2	1.2.1															0
	1.2.2															0
	1.2.3															0
1.3	1.3.1															0
Component 1 RCO + subtotals			98,800	154,000	225,000	267,000		410,000		1,154,800		0	0	0		2,309,600

Component 2, RCO's and other co-sponsors			CPPS	REMPEIT C	REMPEC	PERSGA	GCLME	SPREP	ROPME	RCO Total	IUCN	IMO	EBRD	GIA	Total	
<i>output</i>	<i>activity</i>	<i>Linked</i>														
2.1	2.1.1															40,000
	2.1.2	5.3	6,000	98,000		93,750		102,500		300,250		348,000	362,500			1,277,250
2.2	2.2.1											530,250				2,893,250
	2.2.2	2.2														337,600
2.3	2.3.1															0
	2.3.2	9.5														38,000
	2.3.3															0
2.4	2.4.1											1,136,650				2,943,250
	2.4.2	2.3 and 3.2	30,320	189,600	0	172,500		0	0	392,420		0	0	0		734,820
	2.4.3	3.3														
	2.4.4	3.4														
2.5	2.5.1											943,250				2,943,250
	2.5.2	4.2	6,000	63,200		57,500				126,700						247,500
	2.5.3	4.3														
2.6	2.6.1											80,000				50,000
	2.6.2	5.4														
2.7	2.7.1											544,250				2,943,250

	2.7.2	7.4	6,000	63,200		57,500				126700				241,500
	2.7.3	7.5												
	2.7.4	7.6												
Component 2	RCO	+	48,320	414,000	0	381,250		102,500		946,070		3,582,400	362,500	5837,040
subtotals														

Component 3			CPPS	REMPEIT C	REMPEC	PERSGA	GCLME	SPREP	ROPME	RCO Total	IUCN	IMO	EBRD	GIA	Total
<i>output</i>	<i>activity</i>	<i>Linked</i>													
3.1	3.1.1														0
	3.1.2	9.3	6,000	80,600	80,000		75,000	79,500		321100					321100
	3.1.3	9.2	9,000	24,000			27,000			60000					60000
	3.1.4	9.6									200000				0
	3.1.5	9.4 / Sp. P									200000				0
	3.1.6														0
3.2	3.2.1														0
	3.2.2											35000			0
	3.2.3														0
	3.2.4	8.3	6,000	63,200			57,500			126700		40000			126700
	3.2.5	8.4													0
	3.2.6											40400			0
	3.2.7	10.4													0
3.3	3.3.1								224,000	224000					224000
	3.3.2														0
	3.3.3	10.2 + Sp. P										566000			566000
Component 3	RCO	+	21000	167800	80000		159500	79500	224000	731800	400000	736400	0	0	2,600000
subtotals															

Component 4			CPPS	REMPEIT C	REMPEC	PERSGA	GCLME	SPREP	ROPME	RCO Total	IUCN	IMO	EBRD	GIA	Total
<i>output</i>	<i>activity</i>	<i>Linked</i>													
4.1	4.1.1													45,000	45,000
	4.1.2													30,000	30,000
4.2	4.2.1													0	0
	4.2.2													40,000	40,000
	4.2.3													0	0
4.3	4.3.1													20,000	20,000
	4.3.2													80,000	80,000

ANNEX B: PROJECT LOGICAL FRAMEWORK

Project Goal: To reduce the risks and impacts of ballast water mediated marine bio-invasions caused by international shipping.					Total budget	23,389,939 * (*not including GEF PDF-b support: \$699, 840)
	Objective	Indicators	Sources of Verification P: Process Indicator SR: Environmental Stress Reduction Indicator E/WR: Environmental Status Indicator	Budget	Funding Source	Risks & Assumptions
	To assist vulnerable developing countries to implement sustainable, risk-based mechanisms for the management and control of ships' ballast water and sediments in order to minimize the adverse impacts of aquatic invasive species transferred by ships	By the end of the project, all partnering countries can demonstrate significant improvement in legal, policy and institutional structures, with corresponding reduced risk of ballast water borne marine bio-invasions	<ul style="list-style-type: none"> All lead partnering countries (LPCs) have assigned a Lead Agency, formed a National Task Force and developed National Ballast Water Management Strategy (NBWMS). Each LPC has revised its legal instruments, instituted a risk-based compliance monitoring and enforcement (CME) system, and established a sustainable financing structure for their national ballast water management program. All lead participating countries are proceeding towards ratification of the IMO ballast water management convention, with at least 10 LPCS ratified and implementing the Convention. At least 3 neighboring partnering 	5,688,000	GEF	IMO Member States will continue to develop and finalize all BWMC guidelines. Approved BW Treatment Technology solutions will be available in time for the shipping industry prior to the BWMC entering into force
				4,318,800	IMO	
				3,133,340	GIA	
				400,000	IUCN	
				362,500	EBRD	
				2,832,670	RCO	

			countries of each LPCs developed draft NBWMS. <ul style="list-style-type: none"> The Regional Seas & LME conventions in each partner region include approved provisions supporting improved BWM, the BWM convention and BWM regional strategies. 	6,654,629	LPC	
	Outcomes⁷:	Indicators	Sources of Verification	Budget	Funding Source	Risks & Assumptions
1	Learning, evaluation and adaptive management increased (P)	The project team at global, regional and local levels is effectively coordinating the project, with objectives met, and outputs completed in time and within budget	Satisfactory / Highly satisfactory ratings on key activities and outcomes during terminal evaluation	1,265,000	GEF	Flexibility is built into the project for adaptive management. IMO Office of BWM offers significant backstopping support
				1,154,800	RCOs	
				1,304,500	LPCs	
2	BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level (P)	At project conclusion, each LPC is implementing an effective program of ballast water management in line with	<ul style="list-style-type: none"> By the end of the project, each LPC will have a National Task Force and approved NBWMS in place 	2,995,000	GEF	Country buy-in and political support is paramount to ensure LPIR and planning recommendations get carried out

⁷ Each of the key outcomes of the Project includes an indication of the type of indicator used. Most of the indicators for GloBallast Partnerships are Process (P) indicators. This is reasonable given the nature of the environmental problem and its mitigation. GloBallast Partnerships is designed to reduce the threat of invasives through ships' ballasting operations, however it is very difficult to detect specific invasive outbreaks as they are just starting, and virtually impossible to eradicate once the new species has established a foothold. The pathways and proliferation of marine invasives through international shipping make it difficult to set specific stress reduction indicators. This is a risk-reduction effort, which by nature is process driven. Nevertheless, several Stress Reduction (SR) indicators have been identified under Outcome 4– tied to specific demonstration projects for ballast sediment retention and new treatment technologies

During the inception phase, each of the lead countries will develop their implementation plans, within which indicators will also be included, with emphasis on stress reduction where feasible. So for instance, once ballast management requirements are in place, baselines can be established for the number of vessels being screened for compliance with ballast management and reporting system requirements. In addition, once the Ballast Water Convention enters into force, baselines can be established for the number of ships that have installed ballast treatment technologies and are implementing approved ballast management plans.

		the IMO Convention and any Regional Strategies. During the project, each LPC is sharing the lessons learned with other countries in the region	<ul style="list-style-type: none"> All LPCs will have revised legal structures, improved CME systems and a cadre of trained experts Regional Task Forces and Regional Action Plans in place in each cooperating region by the end of the Project Regional Coordinating Organizations are facilitating the participation of other partnering countries in capacity building activities hosted by LPCs 	3,582,400	IMO	Amongst the partnering regions, the aim is for countries to develop and agree on a regional BWM strategy. Support of Contracting Parties of the Regional convention for adopting the Regional Strategy is essential, for sustainability of efforts
				362,500	EBRD	
				946,070	RCOs	
				3,070,150	LPCs	
3	Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve understanding of ballast water impacts on marine ecology, and enhance maritime sector communications. (P)	Sufficient information is available by the end of the project for LPCs to implement risk-based ballast water management systems. All LMEs and regional Seas programs globally have raised ballast water management as an important coastal zone concern, with their members taking steps to address the issue. Momentum on GBM is sustained in the GB pilot regions.	<ul style="list-style-type: none"> GMEIS system is operational, web sites are in place in each of the 13 LPCs. Newsletters are published. The GMEIS web portal includes information showing ballast water protocols and strategies in each LME and Regional Sea globally. 	1,198,000	GEF	Flexibility for adaptive management is assumed, with the PCU empowered to respond to information requests from (not yet participating) LMEs, and able to build in opportunities for GB pilot country experts to assist in regional and global activities.
				736,400	IMO	
				400,000	IUCN	
				731,800	RCO	
				1,964,979	LPCs	
4	Public-private partnerships developed to spur the development of cost-effective	Cost effective technology solutions and testing standards are developed,	<ul style="list-style-type: none"> A GloBallast Industry Alliance is launched, testing facility standards are developed, 	230,000	GEF	The GloBallast Industry Alliance is developed early during year 1 and forms a

	ballast water technology solutions (P and SR)	tested and promoted through a successful partnership with industry	sediment facility options have been piloted, at least 2 R&D symposiums held, and the BWM Innovation Fund gets launched.	3,133,340	GIA	close partnership, meeting regularly with GPTF
				315,000	LPCs	
	Outcomes/Outputs/Activities	Indicator	Sources of Verification	Budget	Funding Source	Risks & Assumptions
1	Learning, evaluation and adaptive management increased	The project team at global, regional and local levels is effectively coordinating the project, with objectives met, and outputs completed in time and within budget	<ul style="list-style-type: none"> Satisfactory / Highly satisfactory ratings on key activities and outcomes during terminal evaluation 	1,265,000	GEF	Flexibility is built into the project for adaptive management. IMO Office of BWM offers significant backstopping support
				1,154,800	RCOs	
				1,304,500	LPCs	
1.1	Project Management and coordination structures in place at global, regional and local level	A successful partnership in place providing effective management and direction for GBP at global, regional and country levels	<ul style="list-style-type: none"> PCU, RCOs and LCPs up and running by end of 2nd Q, yr 1. GPTF, RTF and LPTF meetings held on schedule. Financial and project management carried out according to GEF & UNDP guidelines Project completed on time and within budget. Low staff turnover, high country buy-in. 	1,125,000	GEF	PCU provided with space and support at IMO. RCOs able to monitor and coordinate participating country activities. Lead Partnering Countries (LPCs) able to achieve co-financing
				1,154,800	RCOs	
				1,304,500	LPCs	
1.1.1	Hire, equip and maintain project coordination unit staff and office at IMO HQ	Project coordination is properly staffed and effectively managing GBP	<ul style="list-style-type: none"> By 2nd Q, yr 1, PCU is in place with all experts hired and working. TORs drafted, positions advertised, experts selected. Verified via APR, PIRs MTE and terminal evaluations 	670,000	GEF	PCU start up contingent on timing of contract approval. Agreements on IMO support arrangements. Availability of adequate office space

1.1.2	Establish and support Global Project Task Force (GPTF)	GPTF is launched and provides guidance and direction for GBP Executive management meetings are held to provide annual project oversight	<ul style="list-style-type: none"> 3 full GPTF meetings (6 RCO members + 6 RTF representatives + Partners + GEF-UNDP + IMO) 2 executive management meetings at IMO (GEF, UNDP, IMO) 	150,000	GEF	<p>Membership builds from the GPTF developed during the 1st GBP</p> <p>Off year executive meetings developed in order to ensure close project oversight while keeping GPTF costs down.</p>
1.1.3	Designate and coordinate with regional coordinating organizations	RCOs organize for regional activities and serve as financial conduit for PCU to LPCs	<ul style="list-style-type: none"> RCOs in place and MOAs completed by end of 2nd Q, yr 1 	720,900	RCOs	MOAs developed as needed for RCOs not yet with financial connection to IMO. RCOs focus especially on regional inclusion of non-LPCs. GEF support for hiring ad-hoc administrative assistance
1.1.4	Establish and maintain regional task forces	RCOs effectively coordinate regional activities and ensure sustainability after project completion. All partnering countries in the region nominate RTF members, BWM discussed in regional forums	<ul style="list-style-type: none"> 3, meetings (2 days) in each of the five regions: during inception, prior to mid term GPTF and prior to final GPTF (2nd and 3rd meeting coincides with activities under 2.4.2) - 20,000 per region for Inception meeting and 10,000 per region for 2nd and 3rd meeting, (LPCs hosting the meetings). 	298,900	RCOs	Task forces to develop recommendations for regional convention support and member adoption of BWMC. Task forces to include maritime and environmental interests
1.1.5	Establish project coordination in each LPC, including identifying lead organization (LO), national focal point and national project coordinator	Effective structure of country coordination is established in each of the 13 lead participating countries (LPCs)	<ul style="list-style-type: none"> NFPs and NPCs assigned by LPCs 	905,500	LPCs	LO should comprise the maritime authorities. NFP is a top manager of the LO. NPC is from middle level staff and has allocated significant time to the project. teleconferences every 6 mo. CTA, RCOs

						and LPC FPs
1.1.6	Establish and maintain National Task Forces	Guidance and recommendations for national program. Generating support for legal policy and institutional reform (LPIR) and adoption of the ballast water management convention (BWMC)	<ul style="list-style-type: none"> • NTF meetings every other year, prior to GPTF meetings 	399,000	LPCs	Includes key ministries: port state control, transportation, environment, health, ports management. to include other stakeholder involvement (industry and NGO)
1.1.7	Represent and promote GloBallast Partnerships in international and regional conventions and forums	GBP awareness and stature is raised in international and regional forums through participation of PCU, RCO and national focal points from LPCs	<ul style="list-style-type: none"> • GBP presence at 3 forums per year: IW conference, CBD COP 9&10, Regional Seas (participation by LPC or RCO or PCU) 	50,000	GEF	Timing of international meetings does not conflict with other project activities. Two persons form LPCs plus PCU member to the IW conferences
				135,000	RCOs	
1.2	Project monitoring, evaluation and reporting systems established and implemented	Monitoring and evaluation support provides timely assistance to keep project on track and recommend strategies to ease bottlenecks	<ul style="list-style-type: none"> • MTE and TE carried out on time and within budget. 	140,000	GEF	M&E program carried out based on GEF / UNDP procedures
1.2.1	Conduct mid term evaluation and initiate mid course corrections	Providing external recommendations on mid course corrections	<ul style="list-style-type: none"> • Mid term Evaluation held prior to yr 3 GPTF meeting 	60,000	GEF	Key is to have the mid term completed prior to the GPTF so recommendations can be taken into account.

1.2.2	Conduct terminal evaluation	At the end of GBP, the project successes, shortcomings, lessons learned and next step are identified	<ul style="list-style-type: none"> Final evaluation and audit held prior to final GPTF meeting 	80,000	GEF	Terminal evaluation in keeping with UNDP requirements. TE focused on lessons learned and sustainability
	1.2.3	Develop and submit APR/PIRs and other required GEF/UNDP project monitoring reports	All reporting requirements for GEF, UNDP and IMO are observed and GPTF receives timely updates enabling proper management of the GBP	<ul style="list-style-type: none"> Annual Project Reports (APR) and Project Implementation Reviews (PIR) developed annually and submitted prior to GPTF meetings. 	(PCU internal)	GEF
2	BWM Strategies in place, with legal, policy and institutional reforms developed, implemented and sustained at national level	At project conclusion, each LPC is implementing an effective program of ballast water management in line with the IMO Convention and any Regional Strategies. During the project, each LPC is sharing the lessons learned with other countries in the region	<ul style="list-style-type: none"> By the end of the project, each LPC will have a National Task Force and approved NBWMS in place All LPCs will have revised legal structures, improved CME systems and a cadre of trained experts. Regional Task Forces and Regional Action Plans in place in each cooperating region by the end of the Project. Regional Coordinating Organizations are facilitating the participation of other partnering countries in capacity building activities hosted by LPCs 	2,995,000	GEF	Country buy-in and political support is paramount to ensure LPIR and planning recommendations get carried out Amongst the partnering regions, the aim is for countries to develop and agree on a regional BWM strategy. Support of Contracting Parties of the Regional convention for adopting the Regional Strategy is essential, for sustainability of efforts
				3,582,400	IMO	
				362,500	EBRD	
				946,070	RCOs	
				3,070,150	LPCs	
2.1	Institutional capacities are enhanced through a comprehensive training program on Ballast water management	By end of yr 2, key decision makers, industry representatives and maritime training institutes in every priority region and LPC have	<ul style="list-style-type: none"> By end of yr 2, more than 250 stakeholders from pertinent ministries, industries and training institutes have participated in BWM modular course. 	370,000	GEF	Existing BWM modular course is updated to include the BWM convention requirements. Attention is paid to getting decision makers in the pertinent
				348,000	IMO	
				40,000	GIA	

		been provided introductory training on all aspects of BWM	<ul style="list-style-type: none"> By end of yr 3, selected maritime institutes in each region / LPC are training maritime experts in all aspects of ship-based BWM. By end of yr 2, the BWM modular package is also made available in an e-learning format. 	362,500	EBRD	ministries to attend. Attendees are then kept in the process via newsletter mailings and follow on events.
				266,500	LPC	
				300,250	RCO	
2.1.1	Update GloBallast Introductory Modular Course for Ballast Water Management	Updated Modular course ready for regional training by 2 nd Q year 1.	<ul style="list-style-type: none"> Completed course manual 2nd Q yr 1, completed e-learning package 1st Q yr 2. GMEIS portal posting. APR/PIR 	20,000	GEF	Developed from initial course offerings during GBP1
		E-learning module available for modular course instruction in yr 2		40,000	GIA	E-learning platform GIA financed and developed with IW Learn
2.1.2	Hold training courses on BWM using updated Modular Training package	By end of yr 2, more than 250 stakeholders from pertinent ministries in every GBP2 region trained on BW basics	<ul style="list-style-type: none"> Total 9 training programs : 4 Training Programs (CPPS, MED, PERSGA & SPREP funded by GEF); 1 Training Program in WACAF funded through IMO-GCLME IAA; 1 Training Program in CAR funded by IMO ITCP (Training programs to be hosted one LPC per region); 5 additional training programs in Black Sea, Baltic and Caspian Sea to be funded by EBRD (50,000 per training). 	362,500	EBRD	Support for specific Regional training workshops through several sources, including EBRD, IMO, GEF and participating countries. Globallast Pilot Countries offering experts for training in GBP regions.
				348,000	IMO	
				350,000	GEF	
				266,500	LPC	
				300,250	RCO	
2.2	Risk-based, rapid status assessment reports are developed and used to guide country	Early in project yr 2 all LPCs have identified the key issues of BWM and	<ul style="list-style-type: none"> 13 Rapid Assessment Reports completed by the end of 1st Q, yr 2, covering all key aspects for 	345,000	GEF	LPCs can quickly organize with the PCU to carry out rapid assessments.

	activities	marine invasive species and developed their LPC action plans under GBP. LPCs have coordinated their planned activities with the other participating countries in the region	BWM and AIS. Verified by report submission.	530,250	IMO	Information is available amongst the LPCs concerning marine biodiversity issues, ports management and port state control activities. The National Focal Points and National Coordinators have inter-ministerial support to get information from other ministries and institutes
				337,600	LPCs	
2.2.1	Develop template and guidelines for rapid assessments	Guidance is provided to the LPCs during the 2 nd Q of yr 1, enabling them to assess their situation with respect to invasive species and ballast water management (BWM)	<ul style="list-style-type: none"> Guidelines and templates are developed by PCU and submitted to LPCs during 2nd Q, yr 1, prior to GPTF inception meeting 	20,000	GEF	Globallast pilot (GBP) experts will assist in developing the template based on experience from pilot effort
				530,250	IMO	
2.2.2	Develop rapid status assessments	All 13 LPCs have identified their key national issues for BW management and have identified their top priorities and plans for reforms during GBP	<ul style="list-style-type: none"> 13 Rapid Assessment Reports completed by the end of 1st Q, yr 2 	325,000	GEF	Assessment is not a full transboundary diagnostic analysis (TDA) but meant to enable rapid assessment for project planning. Assessments should include stakeholder reviews, expert rosters, general info on marine species and ecology, major ports and their traffic mix, pertinent policies and legislation, implications of ballast water management convention (BWMC) ratification, related legislation (e.g. MARPOL & CBD), & port state control arrangements.
				337,600	LPCs	

2.3	Economic aspects of marine bio-invasions factored into national strategic planning	The economic impacts of marine invasive species is better understood, and economic impact as well as management costs, are factored into strategic planning for ballast water management	<ul style="list-style-type: none"> LPC specific and aggregated economic impact reports completed by 3rd Q, yr 4 	370,000	GEF	Data likely limited on the extent and reasons for reduction of many fish species. Effort requires that each LPC assessment utilized same economic methodology, to enable collating and comparisons
				38,000	LPCs	
2.3.1	Develop guidance for economic assessments	LPC economists are given methodology tools enabling economic impact assessments to be carried out	<ul style="list-style-type: none"> Marine invasives economic assessment guidance completed 2nd Q Yr 2 	60,000	GEF	Able to utilize GISP economic methodology as baseline. Providing step by step instructions on the use of models and calculations
2.3.2	Develop national economic impact and response cost assessments, taking into account the need for financial sustainability	The economic consequences of marine bio-invasions in each of the LPCs is better understood	<ul style="list-style-type: none"> Each LPC (13) completes an economic assessment by 3rd Q, Yr 3. 	310,000	GEF	Data likely limited on the extent and reasons for reduction of many fish species. Health statistics may be difficult to access
				38,000	LPCs	
2.3.3	Aggregate economic information	Global economic impacts and response costs of marine invasive species better understood	<ul style="list-style-type: none"> Aggregate Economic Assessment Report completed, 2nd Q, Yr 4. 	30,000	GEF	Requires that each LPC assessment utilized same economic methodology, to enable collating and comparisons
2.4	National Ballast Water Management Strategy (NBWMS) developed and implemented	All lead countries and priority regions have approved and are implementing strategic plans to reduce the risk of bio-invasions from ship ballast water	<ul style="list-style-type: none"> All 13 LPCs develop approved BWMSs by the end of yr 4. All 6 priority regions (incl. SPREP) have a regional action plan (RAP) for BW in place by end of yr. 4 	900,000	GEF	NBWMSs are approved at cabinet of ministers level. RAP is officially brought under the regional convention framework. NBWMSs specifically address legal, policy and institutional reforms and ratification of the ballast water management convention
				1,136,650	IMO	
				392,420	RCOs	
				1,199,300	LPCs	

2.4.1	Develop guidelines for national BWMS development, including options for financial sustainability	Guidance is developed enabling the participating countries to launch national planning efforts	<ul style="list-style-type: none"> PCU develops and disseminates guidance to RCOs and LPCs during 1st Q, yr 2 	65,000	GEF	
				1,136,650	IMO	
2.4.2	Hold (a) regional harmonization (including regional LPI assessment) and (b) Sustainability workshops	A regional ballast water management action plan approved in each of the 6 priority regions	<ul style="list-style-type: none"> 5 regions, (20,000 per region x 2 meetings (2 day each), back to back with RTF meetings-activity 1.1.4 (LPCs hosting the meetings). Draft Regional action plan developed and submitted to regional convention meeting by 2nd Q, Yr 5. Builds from GBP national and regional planning efforts, amended to account for BWMC adoption. 	200,000	GEF	Meetings serve as the 2 nd and 3 rd RTF meetings; 1 st meeting to consider issues and concerns in common: second meeting to adopt concrete proposal for regional convention approval and to identify regional mechanisms for sustainability; 6 th region for RBMP development is SPREP
				342,400	LPC	
				392,420	RCOs	
2.4.3	Hold national stakeholder workshops	LPCs meet with key stakeholders to take comment on draft BWM Strategies, and ensure buy in once plans are adopted	<ul style="list-style-type: none"> At least 3 stakeholder meeting in each of the 13 LPCs, before the end of yr.3 	287,900	LPCs	Interested industry and NGO parties are able to review the draft NBWMS and provide comments prior to completion; Lead partner country (LPC) managed process
				215,000	GEF	
2.4.4	Develop national BWMSs	All 13 LPCs have in place a national strategy addressing ballast water management	<ul style="list-style-type: none"> All 13 LPCs develop approved BWMSs by the end of yr 4, PCU provides technical assistance (\$20,000 per country) 	420,000	GEF	Plans include milestones and schedules beyond the conclusion of GBP
				569,000	LPC	

2.5	National legal reforms instituted	By the end of yr 4, all LPCs have instituted legal and regulatory changes that improve BW management and adopt or harmonize with the IMO Ballast Water Management Convention	<ul style="list-style-type: none"> All LPCs adopt new legislation / regulations to strengthen ballast water management by 1st Q yr 4 	535,000	GEF	Legal expertise available in LPCs to work with GBP experts on legislative changes. NFPs devise strategies to get new legislation approved through parliament. Industry and NGOs have been consulted throughout legal effort, to minimize opposition
				943,250	IMO	
				126,700	RCO	
				642,000	LPCs	
2.5.1	Develop legal road map, model legislation and training manuals	By 1 st Q yr 2, LPCs have tools available for revising BW legal structures	<ul style="list-style-type: none"> PCU thru consultancy to develop generic legal reform road map, model legislation and template. Road map, model and manuals developed by 4th Q, yr 1 	35,000	GEF	Builds from GB experience and PDF-b review; Experts from GB to contribute
				943,250	IMO	
2.5.2	Train LPC lawyers on developing legal frameworks for BWM	Legal experts in priority regions trained on legal aspects of BWM, by 2 nd Q yr 3	<ul style="list-style-type: none"> PCU to support LPCs with LPIR technical consulting assistance 	220,000	GEF	Legal road map, model legislation and training module is prepared; Experts from GB will assist
				126,700	RCO	
				120,800	LPCs	
2.5.3	Develop national legislation	All LPCs adopt new legislation / regulations strengthening BWM by 1 st Q yr 4	<ul style="list-style-type: none"> National legislation revised, country reports submitted 	521,200	LPCs	Includes comprehensive review of pertinent national legislation; GBP provides ad hoc assistance to legislative effort during yr 3; LPCs work to ratify and implement BWM Convention
				280,000	GEF	
2.6	Specialist capacities improved for BWM	Expertise on key facets of ballast water techniques and coastal biodiversity monitoring is enhanced across the participating	<ul style="list-style-type: none"> By the beginning of project yr. 2, there exists global, regional and LPC rosters of taxonomists available to assist on coastal and port species surveys. 	65,000	GEF	Entry into force of the Ballast Water Management Convention will spur considerable interest amongst countries and
				234,550	LPCs	

		countries and regions.	<ul style="list-style-type: none"> By the end of year 3, 6 port species survey workshops have been held. By end of yr 4, selected maritime institutes in each region / LPC are training maritime experts in key aspects of ship-based BWM. 	80,000	IMO	maritime institutes for specialist training. Other related programs, such as GISP, should be closely linked for port survey training.
2.6.1	Develop model BWM (specialist) course	By end of yr 4, specialist course is prepared for training institutes based on IMO Model Courses	<ul style="list-style-type: none"> IMO completes specialist course development, incorporating IMO STCW 	80,000	IMO	Expected roll out as BWMC enters into force; Role of GBP is to assist LPCs to deliver model course in maritime institutes
2.6.2	Capacitate Training Institutes for delivery of Introductory course and specialized courses	By end of yr 5, sailors can be trained to be a BWM expert in any of the GBP priority regions	<ul style="list-style-type: none"> Training institutes identified 4th Q yr 4; At least 1 institute in each of LPC offering BWM specialist course during yr 5 	65,000	GEF	Accreditation criteria is developed to identify and accredit institutes; Ad hoc support from PCU for LPC-led effort
				234,550	LPCs	
2.7	Compliance monitoring and enforcement indicators are developed and national systems enhanced, with an emphasis on risk-based priority setting, and the use of voluntary approaches	By the end of yr 4, each LPC has developed / enhanced its CME system. By end of year 4, 35% of merchant shipping fleet calling on LPC ports indicates BWM plans being implemented	<ul style="list-style-type: none"> By 2nd Q, yr 2, all Shipping companies calling on LPC ports have received model BWM plans. Follow on questionnaire in mid yr 3 identifies shipping companies implementing the plans. 	380,000	GEF	CME systems include approved mechanisms for BW reporting, sampling, citations, and streamlined procedures for low risk ship. Voluntary approaches, including streamlined procedures for ISO and 'green award' certification are strongly supported
				544,250	IMO	
				126,700	RCO	
				352,200	LPC	
2.7.1	Develop and disseminate model CME framework, including indicators	By start of yr. 3, model CME framework is available for LPCs to develop their revised	<ul style="list-style-type: none"> Model CME framework and indicators developed, 3rd Q, Yr 2 	60,000	GEF	Build on CME activities during GloBallast Pilot Phase (scoping study and CME symposium); Takes

		CME systems		544,250	IMO	into account approval of the BWM Convention and IMO guidelines; Emphasis placed on voluntary approaches, streamlined procedures and risk-based priority setting
2.7.2	Hold training workshops on CME	By end of year 3, at least 100 Port State Control Officers and CME managers in partner countries are trained on essential aspects of BW CME	<ul style="list-style-type: none"> Country CME managers trained, 4th Q yr 3; Regional training workshop reports, APR/PIR 	150,000	GEF	Training of port state control authorities - 5 regions. \$30,000
				126,700	RCO	
				114,800	LPC	
2.7.3	Countries implement modified CME systems	By the end of yr 4, LPCs are effectively monitoring and enforcing BWM requirements based on new BWM laws and procedures	<ul style="list-style-type: none"> By 2nd Q yr 4, all 13 LPCs have regulations approved, procedures revised, budgets augmented for revised CME programs 	130,000	GEF	Technical assistance to 13 LPCs for implementing CMEs. Clear expectations on LPCs to improve CME systems; CME systems utilize risk-based priority setting; LPC CME systems are harmonized with BWM Convention
				123,950	LPC	
2.7.4	Conduct follow up reviews of modified CME systems and develop lessons learned study	All 13 LPCs have undertaken a review of CME improvements by end of yr 5	<ul style="list-style-type: none"> PCU / RCOs to hire consultants to report on progress with CME reforms 1 yr after implementation by 5 regions. 	40,000	GEF	Follow up study developed as part of concluding report and sustainability recommendations; CME study to include # of BW report forms received, ships boarded, samples taken, enforcement actions
				113,450	LPC	
3	Knowledge management tools and marine monitoring systems are effectively utilized to expand global public awareness and stakeholder support, improve	Sufficient information is available by the end of the project for LPCs to implement risk-based ballast water management	<ul style="list-style-type: none"> GMEIS system is operational, web sites are in place in each of the 13 LPCs. Newsletters are published. The GMEIS web portal includes information 	1,198,000	GEF	Flexibility for adaptive management is assumed, with the PCU empowered to respond to information requests from (not yet

	understanding of ballast water impacts on marine ecology, and enhance maritime sector communications.	systems. All LMEs and regional Seas programs globally have raised ballast water management as an important coastal zone concern, with their members taking steps to address the issue. Momentum on GBM is sustained in the GB pilot regions.	showing ballast water protocols and strategies in each LME and Regional Sea globally.	736,400	IMO	participating) LMEs, and able to build in opportunities for GB pilot country experts to assist in regional and global activities.
				731,800	RCO	
				1,964,979	LPCs	
3.1	Baseline information established on biodiversity and alien species presence in major ports (SR)	By end of yr 3, LPCs have detailed knowledge of marine invasive species risks, and presence	<ul style="list-style-type: none"> Baseline data from at least 1 port in each of the 13 LPCs developed, plus expectation of other participating country surveys, enabling ID of existing invasive species prevalence 	385,000	GEF	Actual survey assessments carried out and funded by LPCs with additional cosponsor support
				55,000	IMO	
				400,000	IUCN	
				1,387,179	LPCs	
				381,100	RCO	
3.1.1	Update Port baseline survey protocols	Lessons learned from previous baseline surveys are applied as revised protocols	<ul style="list-style-type: none"> PCU completes revised protocols; 1st Q yr 2 	25,000	GEF	Builds from protocol improvement recommendations during GB survey
				25,000	IMO	
3.1.2	Hold training workshops on port baseline survey design and	Regional experts are trained during yr 3 to	<ul style="list-style-type: none"> 6 workshops (hosted by one LPC each from CAR, PERSGA, 	150,000	GEF	Experienced trainers from GloBallast countries can be

	implementation	carry out baseline port invasive species surveys	CPPS and WACAF and SPREP), each with 20 participants (including other participating countries in the region) + MED training to be funded by SAFEMED Project implemented by RCO for Mediterranean Region.	321,100	RCO	utilized
				30,000	IMO	
				222,000	LPC	
3.1.3	Develop country, regional and global rosters of taxonomy experts	Taxonomists are identified in every LPC	<ul style="list-style-type: none"> Roster compiled 4th Q Yr 1 	55,000	LPCs	Roster compiled by LCPs, RCOs, PCU
				60,000	RCO	
3.1.4	Train local taxonomists in generic tools and methodologies for marine invasives detection and analysis	Local expertise is raised for marine taxonomy work in each LPC	<ul style="list-style-type: none"> 13 sessions carried out by 3rd Q year 2. 75 persons trained 	65,000	GEF	Able to utilize IOC capacity building program or Census of Marine Life Project for training content
				200,000	IUCN	
				12,000	LPC	
3.1.5	LPCs carry out baseline surveys and develop national marine invasives reports	LPCs provide assessments and data on biodiversity in major ports by end of yr 3	<ul style="list-style-type: none"> 13 LPC reports completed by 2nd Q yr 3. 	130,000	GEF	PCU provides support to LPCs, including baseline survey training, and technical assistance on report and database development; LPCs to seek co-financing to carry out surveys and then develop report; LPCs are able to raise own funds and get additional co-sponsors conduct port baseline surveys for 2 or more major ports; Each LPC conducts at
				200,000	IUCN	

				1,098,179	LPC	least 2 commercial port baseline surveys
3.1.6	Compile country baseline data and input into GMEIS (see activity 3.2)	Global marine electronic information system is enhanced through detailed LPC information on port area biodiversity	<ul style="list-style-type: none"> Data input received, entry completed Q4, Yr 5 	15,000	GEF	LPC data is generated and provided in proper format for easy collation and GMEIS input
3.2	Global Marine Electronic Information System (GMEIS) for Ballast Water Management Established	Architecture is agreed to and data entered for launch and updating of Global Marine Electronic Information System during yrs 3 - 5.	<ul style="list-style-type: none"> GMEIS launched during yr 3. By project year 5, the backbone for a Globallast marine electronic information system for BWM has been designed. Web portal as the front-end of this system is operating, and a country profile database is in place 	370,000	GEF	GMEIS will expand in use to encompass other environmental applications and will provide seamless linkages with existing/upcoming safety and navigational applications such as MEHs. Database should enable risk-based priority setting for port state control authorities and greater clarity on country requirements to shippers. Shipping industry and other stakeholders buy into the GMEIS concept and are willing to use this system for BWM purposes
				126,700	RCO	
				115,400	IMO	
				498,000	LPCs	
3.2.1	Identify GMEIS Design/architecture Options	Design options identified and explained	<ul style="list-style-type: none"> Design options report, completed by 1st Q, Yr 2 	25,000	GEF	Study identifies GMEIS architecture options for ballast, expandable to other shipping & navigation issues
3.2.2	Hold GMEIS expert workshop for design / architecture selection	By mid yr 2, top experts have planned out the GMEIS architecture, with ballast water as 1 st	<ul style="list-style-type: none"> Expert Workshop held (Marine Electronic Highway experts, other database developers) to finalize the global architecture 	70,000	GEF	Workshop succeeds to develop recommended GMEIS architecture

		application		35,000	IMO	
3.2.3	Develop country profile database format and disseminate to participating countries	By mid yr 2, participating countries receive tools and instruction for developing Country Profile / BW databases	<ul style="list-style-type: none"> Guidance developed and sent to LPCs by 1st Q Yr 2 	20,000	GEF	User-friendly format is developed that LPCs can readily utilize
3.2.4	Provide training and technical assistance on knowledge management and database development for LPCs	During yrs 3&4, training enables experts to manage database development in participating countries	<ul style="list-style-type: none"> IT consultancy team provides internet and (limited) on-site assistance (5, per LPC) or sub-regional training 	125,000	GEF	Database guidance (3.2.3) developed
				126,700	RCO	
				40,000	IMO	
				132,800	LPCs	
3.2.5	Develop country profile databases	Each LPC is able to develop a database of information on marine invasive species and ballast water management	<ul style="list-style-type: none"> All LPC databases developed by Yr 4, using local technical assistance 	100,000	GEF	LPCs have existing IT hardware and software capacity; LPCs organize data entry; LPCs and PCU pre-agreed on information sharing
				348,000	LPC	
3.2.6	Develop and maintain GloBallast GMEIS web portal	GloBallast web site is updated for use in GBP during yr 1 and then gets major transformation to GMEIS portal during yr 3	<ul style="list-style-type: none"> Website updated and in operation during year 1, augmented as GMEIS by year 3 	50,000	GEF	Scale up from existing GloBallast site; GMEIS database enhancements ready by yr 3; Stakeholder interest expands to utilize portal features
				40,400	IMO	
3.2.7	Launch and maintain national BWM websites	Each LPC has a web site up and running early in Yr 2, as main access for public to project information	<ul style="list-style-type: none"> All lead participating country websites developed and operational by 1st Q yr 2, 	17,200	LPCs	LPCs have financial and human resources to develop and maintain
				125,000	GEF	

3.3	Stakeholder and public awareness of ballast water management and marine bio-invasion issues is raised and sustained	Interested stakeholders and the general public in all GBP regions and participating countries stay informed of the issues and project status	<ul style="list-style-type: none"> Timely publication of newsletters, printing and dissemination of brochures, and widespread dissemination of the BBC documentary 	298,000	GEF	Information made available through various printed media compliments the GMEIS web porthole. Stakeholder outreach to the pilot regions and to new regional partners is supported through other GEF funding (direct to LMEs and regional seas).
				79,800	LPC	
				566,000	IMO	
				224,000	RCO	
3.3.1	Stakeholder outreach to GB pilot regions, LMEs and Regional Seas	Momentum on ballast water management is maintained in the GB pilot regions and extended to new regions, networked through the LME and regional Seas structures	<ul style="list-style-type: none"> Prior to the conclusion of GBP, all LMEs and regional seas globally have addressed the issue of ballast water borne invasive species, through strategies, protocols, white papers, etc. 	160,000	GEF	Assumes a mix of tools to build and sustain stakeholder momentum, including direct contact, literature, participation in events, review of strategies and resolutions and in the case of the pilot regions, some small scale financial support for the inclusion of pilot country experts in regional workshops. Any direct support will be limited to use by and for GEF-eligible countries.
				224,000	RCO	
3.3.2	Publish and post quarterly newsletters	Interested stakeholders are provided with regular project updates by email	<ul style="list-style-type: none"> 4 newsletters per yr, 20 total 	88,000	GEF	Mailing list will need to be developed; Email preferred to keep postage to a minimum; Newsletters also posted on GMEIS portal

3.3.3	Develop, update and translate GloBallast brochures and publications	Public awareness is raised through selected development, translation and dissemination of pamphlets, posters, and the BBC documentary	<ul style="list-style-type: none"> 2 new brochures, 2 publications updated, 4 translated, 600 copies of BBC documentary distributed. 	50,000	GEF	Translation services are acquired; Builds from successful publications effort during GB, including 10 most wanted poster; BBC documentary to be a major feature of promotion efforts
				566,000	IMO	
				79,800	LPC	
4	Public-private partnerships developed to spur the development of cost-effective ballast water technology solutions	Cost effective technology solutions and testing standards are developed, tested and promoted through a successful partnership with industry	<ul style="list-style-type: none"> A GloBallast Industry Alliance is launched, testing facility standards are developed, sediment facility options have been piloted, at least 2 R&D symposiums held, and the BWM Innovation Fund gets launched 	230,000	GEF	The GloBallast Industry Alliance is developed early during year 1 and forms a close partnership, meeting regularly with GPTF
				315,000	LPC	
				3,133,340	GIA	
4.1	Strategic partnership forged with shipping industry	Shipping industry enters into close partnership with other key stakeholders under GBP, through the GIA, helping to overcome major barriers in developing and implementing technology solutions	<ul style="list-style-type: none"> At least 5 major maritime industry players agree to join the GIA. The GITF and industry dialogue meetings held concurrent to GPTF meetings throughout 5 yr project. 	75,000	GIA	GloBallast Industry Alliance successfully launched with sufficient industry support. MOA signed between IMO and GIA members on purpose of alliance and use of funds. GIA fund established
4.1.1	Set up a GloBallast Industry Task Force to meet annually and provide input to GloBallast Partnerships	Shipping Industry organized throughout project, providing timely advise and support to GBP	<ul style="list-style-type: none"> 3 GITF meetings held concurrent to industry dialogues and GPTF meetings. Minutes produced. 	45,000	GIA	Successful launch of a GloBallast Industry Alliance and approval of industry funding

4.1.2	Hold biannual industry dialogues between GITF and the GloBallast Steering Committee	Throughout the project, structured discussions are held for the GPTF to receive industry advice on GBP	<ul style="list-style-type: none"> Industry dialogues held concurrent to the (3) GPTF meetings. 	30,000	GIA	Sequencing of meetings – GITF – Industry Dialogue - GPTF
4.2	Globally agreed standards developed for ballast water technology test facilities	Port States can mutually accept technologies approved based on internationally agreed testing standards and test facilities	<ul style="list-style-type: none"> By end of yr 3, test facility standards and procedures for endorsement of test facilities are developed into IMO BWMC guidelines 	70,000	GEF	Testing facility for standards review in GEF eligible country. Countries prepared to set-up test facilities in different regions and are willing to cooperate in developing common standards for test facilities.
				40,000	GIA	
4.2.1	Develop framework for ballast water treatment equipment test facility standards and inter-calibration procedures	Frameworks are developed that identify the key issues and options for expert agreement on test facility standards and procedures	<ul style="list-style-type: none"> PCU to develop general framework for global standardization of test facilities. Framework developed by 2nd Q, Yr 2 	40,000	GEF	Government and industry interest to devise uniform standards for testing BW treatment technologies
4.2.2	Hold experts workshop to propose test facility standards and procedures	Test facility standards and procedures are agreed to and proposed to IMO for adoption into BWMC guidelines	<ul style="list-style-type: none"> GIA to sponsor 1 workshop. Workshop held by 1st Q y r3 	40,000	GIA	Willingness of key non-GEF countries (US, Australia, Norway and Singapore etc) to work with GBP on unified test facility standards development
4.2.3	Develop and disseminate standards and procedures manual for ballast water treatment equipment test facility standards	All IMO members receive notice of recommended testing facility standards	<ul style="list-style-type: none"> By end of yr 3, test facility standards and procedures are developed into IMO BWMC guidelines 	30,000	GEF	GB or GBP lead country will agree to host and pay for test facility construction: Consensus can be achieved at experts meeting: IMO members will approve the recommended standards and procedures and include in BWMC guidance

4.3	Solutions devised and best practices publicized on port-based reception facilities for ballast water tank sediments (SR)	Based on pilot site results, all port authorities within priority regions receive recommendations on construction of sediment facilities	<ul style="list-style-type: none"> Pilot site constructed in Yr 4, with results evaluated and disseminated in year 5. 	110,000	GIA	sediment pilot established in one of the GBP LPCs
4.3.1	Identify dry dock site and conduct feasibility study for pilot sediment facility	PCU to organize feasibility study; completed by 1 st Q, yr	<ul style="list-style-type: none"> Feasibility study developed. Report issued to PCU 1st Q, yr 4 	20,000	GIA	GIA funding agreed to by industry partners; Suitable site is found
4.3.2	Construct and manage pilot sediment facility (SR)	Pilot site constructed by 3rd Q yr 4, and operational	<ul style="list-style-type: none"> Construction and management of 1 pilot facility. Start up report available by 1st Q, yr 5, 	80,000	GIA	Host provides significant in-kind support
4.3.3	Assess pilot facility operation and disseminate lessons learned	Operational recommendations are made available to participating countries during yr 5 on construction of sediment facilities	<ul style="list-style-type: none"> PCU to hire consultancy for evaluation and reporting. Assessment report completed 3rd Q yr 5 	10,000	GIA	pilot site activity is enough to yield lessons learned and recommendations; IMO members prepared to include results into guidance for BW Convention
4.4	State of the art in Ballast water treatment technology solutions identified and publicized (P/SR)	Innovative solutions for ships to meet the BWMC requirements are developed and publicized.	<ul style="list-style-type: none"> Up to 10 innovative technology projects provided with seed money through GIA (alternatively, 3 to 4 best currently available technologies tested onboard a ship for technology transfer/training purpose). 2 technology conferences and 2 R&D forums held, with participation by LPC scientists and other representatives 	160,000	GEF	GIA willing to sponsor innovation effort. Singapore willing to continue sponsorship of Technology Conferences
				315,000	LPC	
				2,908,340	GIA	
4.4.1	Establish Ballast Water Innovation Fund and support innovative projects (P/SR)	Innovative research on BW technologies is supported	<ul style="list-style-type: none"> PCU to send request for proposals (RFP) for Technology Testing, proposals reviewed by 	1,000,000	GIA	From GIA industry partners directly to support the innovation fund

			<p>Expert panel and award decisions by GIA and GBP</p> <ul style="list-style-type: none"> • Independent technology solutions development by R&D Sector within the GIA framework. • Fund developed by 4th Q yr 1, 1st awards by 3rd Q yr 2 2nd awards by 1st Q yr. 5. 20-25 projects 	60,000	GEF	Awarding of funds using transparent screening procedures
				315,000	LPC	Private sector direct R&D spend on GBP related issues (e.g. sediment facilities, testing facilities)
				1708,340	GIA	
4.4.2	Hold biennial global R&D forums and biennial technology conferences	State of the art in BW research and treatment techniques are showcased every other year	<ul style="list-style-type: none"> • R&D Forums and Technology Conferences (GBP funds used to facilitate participation of LPC nominees. 	200,000	GIA	Organizations continue hosting the ongoing Technology Conferences / IMO to provide venue for the R&D conference

ANNEX C: RESPONSE TO PROJECT REVIEWS

STAP expert review and IA/ExA response

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The comments and suggestions of the reviewer are boxed and in italics, followed by the PCU responses.

General Comments:

The report describes an impressive plan for an inter-continental network to begin to manage the problem of the transport of invasive alien species by ships' ballast water. Developing countries are aided by a framework of a PCU at the IMO head-office in London and for each region LPC to set up a regulatory framework in their own countries to develop legislation and a management structure. The goals for this impressively large framework have been described in detail in the table starting on page 81. This project builds on the experience gained during the pilot phase of IMO's Globallast Program which has just been finished. When going through the document however, I felt an imbalance between the impressively extensive description of the theoretical framework of the project and the degree of detail in the description of the hands-on practical implementation which is envisaged during the five year period 2007-2012. "Can this all be implemented successfully beyond reasonable doubt?" is my main question.

The reviewer has raised an important point relating to the chances for project success and the achievement of objectives. While the project goals and scope may be large, they are achievable, because of several important factors:

1. The project builds upon the significant body of knowledge and experience gained during the GloBallast Pilot Phase and will continue to draw on the expertise developed in this phase.
2. The project will be implemented concurrent to the efforts of IMO Member States to ratify the Ballast Water Convention. Consequently, the guidance being developed at IMO for the Convention will be directly pertinent to the partner country efforts.
3. The Project includes a wide array of experienced personnel at the regional level who are fully supportive and will serve in a coordinating capacity.
4. The PCU has succeeded to develop an extensive co-financing through regional, country and industry partners, emphasizing the very catalytic nature of the GEF funding to the overall initiative.

I will explain these doubts in the form of a number of questions and worries, that should in my opinion be addressed:

In my view, the document is not linked tightly enough to the IMO ballast water Convention, which plays a pivotal role in this field of policy development. At the moment, ships can only treat their ballast water by exchange in open sea according to the appropriate regulations (B 1-5 and D1) of the BaWa Convention. However, they are not obliged to do so, and it is often considered unsafe by nautical experts (which I am not!). BaWa treatment technology according to regulation D2 is still in the prototype stage and well-defined protocols for the certification of BWT installations are currently being developed. So what should the authorities in the LPCs and PCs do when a ship arrives in a harbor without either having exchanged or treated its ballast water in a country which has not yet signed the Convention? How should CME be enforced, when well defined and accredited measurement methods to assess the quality of ballast water have not yet been defined? GMEIS addresses this to some degree (5 items in activity 3.2.1. on p. 42).

GloBallast Partnerships has been developed in order to provide partner countries with the means to reduce the threat of bioinvasions from shipping based vectors. It is not designed as an instrument to push countries to ratify the IMO ballast water management convention (BWMC). Nevertheless, there is a close linkage between GloBallast and the BWMC, as the Convention represents an important lever to get countries to enact legal, policy and institutional reforms, and to compel industries to develop technologies and manage ballast water in ways that reduce the threat of bioinvasions.

The BWMC provides an important basis for the legal, policy development efforts of the project. The LPI roadmap was developed based on BWMC and the timelines in the convention. In addition, the compliance monitoring and enforcement (CME) plans expected to be produced during GloBallast Partnerships are expected to be in place by the fourth and fifth project years (by 2010-2011). This matches with the IMO member country expectations when they formulated the BWMC i.e., that technologies will be ready by 2008. The IMO MEPC 53, 2005 undertook a technology review and the conclusion of the review was that “the variety of systems being tested on board ships have the potential to meet the criteria of safety, environmental accessibility and practicality and that it is reasonable to expect ballast water management technologies and type-approved systems will be available by end of 2008”.

When a ship cannot exchange BW or treat it, there is a provision in the convention that member countries can designate an area where ships can discharge ballast water. The policy developments and legal frameworks developed during the project will incorporate such scenarios and suggest strategies to deal with such issues. A central aim of LPI review and NBWMS in the project is to address such issues. The project has taken into serious consideration the technology hurdle and is giving a special focus on this through the GloBallast Industry Alliance, and technology development support efforts. Such efforts can also include technologies for monitoring of discharges.

With respect to enforcing ballast water management measures absent BWMC ratification, it is important to note that several countries are already enforcing ballast water provisions prior to the BWMC entering into force. These include Brazil, Argentina, Australia, USA, and New Zealand.

In the world, many microbial, plant and animal species have already been imported by ships from other continents up to this moment. Luckily, this has caused real plagues only in a small minority of cases with the associated high ecological and economical costs. A classical ecological response at the population level of an AIS is an initial rapid growth of the population density, followed by a strong decrease some years later and a gentle merge in the existing ecosystem. The mechanisms behind the main question “when and why does an organism become a plague?” are often still not understood. Also, if one wants to monitor the import of alien organisms into an existing ecosystem, one should know what one has at the start of the environmental observation period in each region, i.e. at T_0 . Extra valuable habitats in terms of biodiversity with their key-species and/or endemic species are of special importance (add endemic species to activity 2.2.1. first item). So in my view, ecological research and education of BaWa officers by marine research institutions and universities should be incorporated much more firmly in this project. One can only manage, legislate, regulate, coordinate etc. (e.g. p. 22) when one knows the subject where one is talking about, i.e. the marine ecosystem. So, scientific inventories of the different regions involved should be carried out within the project, of course using the existing literature whenever possible. In this respect, it is risky that the money for the different baseline surveys should be found outside this project, as stated on page 40. This makes the success of this project dependent on other projects, of which it should be completely certain that they do get financed. I would prefer to keep this in one hand.

The reviewer has made an important point regarding the need to gain a better understanding of bioinvasions and ecological responses. Recognizing that GloBallast partnerships cannot fully cover all aspects in the struggle to stem marine bio-invasions the GPTF, during the PDF-B process, decided to focus greater project attention on the legal, institutional and policy aspects, as well as to support a partnership with industry to make substantial progress on technology developments. These decisions do not suggest that environmental monitoring is less important, but rather that the project can best serve by focusing on LPI and technology development, while building partnerships with other organizations for environmental monitoring. It is worth noting also that the GEF Secretariat, in its comments at pipeline entry, emphasized that GloBallast partnerships should not be focusing on monitoring type work and rather focused towards legal policy and institutional reform.

The project has identified the need to establish baseline information on biodiversity and alien species. Output 3.1 (LogFrame) identifies the expectation that by the end of project year 3, each of the LPC's has done one or more baseline survey, and identified marine invasives risks and presence. Some GEF funding is anticipated for this effort, in particular to provide training on carrying out baseline surveys, to assist on strengthening taxonomy capabilities, and to ensure that baseline data gets added into the GMEIS database.

It is important to note that PBS surveys are quite expensive to carry out properly (upwards of \$100,000 per survey per port), and therefore difficult to finance through a global project covering 8 regions and over 40 countries. GloBallast can have far greater impact as a catalyst that generates interest and support from national and other international sources for these important environmental monitoring efforts, in addition to the GEF supported training activities and tools development.

During the inception period, the PCU will be working with its international, regional and country partners to solidify financial support for baseline survey work. In particular, there is interest from several Regional Seas and LME programs (e.g., CCLME) to provide funding for baseline survey work. Several LPCs have already made allocations for surveys. Jamaica recently announced

\$3.5 million for survey work. Venezuela has also allotted a large sum for surveys in its co-financing agreement. Similarly the co-financing table captures several other country commitments for surveys and environmental monitoring. The Globallast Pilot phase countries are continuing with the port surveys they had initiated (e.g. India allocated \$600K for post-GloBallast base line surveys and South Africa is also following this). Countries in the Mediterranean region are currently mobilizing resources to undertake such port baseline surveys (e.g., CIESM initiatives).

The document remains rather vague on who i.e. which instances, government bodies are actually going to join this project in the different regions. Especially the organization in the LPCs should be well established and look trustworthy before this plan is going to start.

In each LPC, a lead organization is already identified based on the letter of commitments. Mostly these are maritime administrations, which are best suited for a project related to a ship / maritime regulation/policy issue. The initial project activities focus on efforts in each country to form a National task Force (NTF) that will bring various other key stakeholders into the project decision-making process. The PCU will provide guidelines suggesting who should be involved, as the countries form their NTFs. This process worked well during the pilot phase and will be replicated. It is important to note that all of the 13 LPCs undertook extensive internal consultations with various government bodies before sending their commitment/support letters.

As to the regions, the regional coordinating organizations have all been identified. They are duly authorized by the countries within their respective regions to focus on maritime environmental issues. In each case, they are already directly linked to GEF, UNDP and/or IMO through pre-existing funding arrangements and MOU's.

Considering the ambitions and the anticipated scale of the activities described in the document, I am not convinced that the anticipated PCU staff at IMO of only three persons seems is enough. The anticipated GBTF should lead the entire project in the entire Atlantic Coast of Africa (WACAF), the Pacific coast of South America (CPPS+ Argentina), the Caribbean, the Mediterranean, and the many islands in the Southern Pacific Ocean. They must also make newsletters, a web-site and manage the progress of the entire project. When a certain region is lagging behind, they should jump in to revive it. What happens if one of these persons gets ill or leaves? In my view, one officer for two regions and one chief officer for the overall management of the project would be more appropriate. I am also worried that the WACAF region has only one LPC (Ghana) for the enormous coastline of west-Africa, where many countries suffer from political instabilities.

It is recognized that the PCU is lean for a global program. This limitation is overcome by having a strong regional presence, with one person for each region (as part of the RCO), who will help the PCU in implementing the project and especially in the coordination of regional activities. The LPCs have committed to allocate a National Project Coordinator for the day to day running of the Project. In addition, there will be backstopping support from IMO, from within the Ballast Water Management Office within the MEPC. The GloBallast pilot phase included a 3 member PCU, covering 6 countries globally. Now, with the strong involvement of the RCO, it is expected that the project scope can expand and still be manageable.

With respect to the WACAF region, the PCU will continue to work with the countries of the region to raise one or more partner countries into the LPC role. Discussions have been ongoing with especially Angola and Guinea; however no commitments for playing an LPC role came forward in time for proDoc submission. The dialogue will continue, with the hope of adding at

least one more LPC prior to project commencement. In the meantime, it should be noted that there is a strong cooperation with the project's cooperating partners: Guinea Current LME and Benguela Current LME. In addition, the Canary Current LME management has been in dialogue to establish linkages and to use the LME project to replicate the efforts. As a consequence, the full extent of the coast will be represented.

In summary, although it is written in the report that this UNDP effort is complementary to other actions on the ballast water issue, the interaction becomes not very clear and therefore the items described above seem to miss.

Detailed comments:

P. 14: Implementation. Technology development is essential, for BaWa treatment as well as for CME.

Agreed. Revised sentence to read: Some incremental investments will be supported by the project to support technology development for ballast water treatment and management.

P 29, outcome 2, first paragraph: HOW can the risk of bio-invasions from ships' BaWa activities be reduced if the Convention is not yet mandatory?measures that insure financial sustainability under the polluter pays" principle. How do you do that when there are no measurement protocols for BaWa quality yet?

It is expected that majority of the LPCs will ratify the convention during the project. As per the convention, several types of ships will be required to meet the regulatory requirements by 2008 and most by 2012. This is very much in line with the project time line.

There are already several countries with mandatory requirements for ballast water discharge, signaling that IMO convention entering into force (becoming mandatory) is not an essential pre-requisite for countries to start taking action. In addition, there are already several surrogate compliance monitoring methods for enforcement purposes when BW exchange is used. While technologies get developed and perfected for treatment technologies, some of these measures can now be used (e.g. the US Coast Guard measures salinity to gauge whether mid-ocean exchange occurred and Australia has developed the "New Castle" method for verifying exchange). In addition, several research organizations are developing hand-held tools for measuring water quality (e.g., flow-cytometry based monitoring tool development efforts of NIOZ).

P. 32, text below the 7 items addresses only economy, but ecology seems to be forgotten. A sustainable use of the sea however, requires a successful merging of both aspects!

We agree that sustainable use of the sea requires the merging of economic and ecological aspects. The Project Document includes both considerations, with Output 2.3 focused on economic aspects to be factored into national strategic planning, and output 3.1 designed to build further information on ecological issues, and the intention that both will drive development of NBWMS (Output 2.4), and both will feed into the project database development: GMEIS (Output 3.2)

P. 32, activity 2.3.3. (bottom lines). I am afraid that a recovery of an ecosystem affected seriously by a plague is often impossible. One simply has to prevent this to happen.

Agreed; "recovery" costs has been replaced with management costs. Nevertheless, it is important to recognize that while an invasion is practically irreversible, the water resource can

settle into a new equilibrium after the invasion, and natural predators may in time bring the infestation under control (e.g. the Black Sea), although in most of the cases we cannot depend on such phenomenon.

P38: CME courses: What do they contain and how do they relate to the IMO BaWa Convention?

The CME courses cover mainly Port state control requirements and guidelines for BWM (developed through the IMO process as a Convention guideline). This guideline is still under development, but is likely to contain:

- Generic CME frameworks
- Case studies from other countries who are having CME systems
- Risk-based priority settings and decision support systems
- Shipboard sampling aspects
- Report forms and verification procedures
- Port state control MOUs and relationships with BMW Convention etc.

The ProDoc text has been amended to include the above information.

P. 43, last paragraph “Marine Bio-Invasions:..... I wonder why satellite data on the plant pigment chlorophyll have not been mentioned. Algae are the main food and therefore a tracer of a productive ecosystem. When possible, ships should avoid loading ballast water in the midst of an algal bloom. Many data on chlorophyll are nowadays obtained by satellites (e.g. the seawiffs satellite). These data could for instance be collected by IMO in London and made available to ships.

We agree with the reviewer on this important consideration. The GMEIS workshop can look into this and consider ways on how to incorporate such information.

P. 46, first three sentences: This is absolutely crucial for the project!

P. 46, outcome 4: Ships of 5,000 meters, should this perhaps be metric tons?

Text is revised to read Metric Tons

P. 47: GIA: Item “Acceleration of research and development”. There is a lack of involvement even in some western countries!

The aim of the GIA is to bring a group together that includes representation from the “western” countries as well as developing nations. The founding members of the GIA are global companies.

nP. 49: Test facilities. Is miss the ones being developed at my own institute, the Royal Netherlands Institute for Sea Research NIOZ at Texel at the moment? Why haven’t they been mentioned?

This was an omission and the text is now revised. A support letter from NIOZ has been included in the endorsements.

Abbreviations: The document is full of abbreviations. Yet I missed some of them in the essential list at the beginning of the document: REMPEC, OBIC being sub-committee of CoML (p.43 bottom), ROPME (p. 45, 2/3 from above), IAS (!!), RAC/REMPEITC-Carib (p.54) UNEP CAR/RCU (p.54), ROAR (p.63).

The abbreviations mentioned have been included, and the text reviewed for others to be added.

Recommendation:

I recommend that general theory and anticipated practical implementation practices should be in a better equilibrium in the proposal.

Much more anticipated partners (government bodies, harbor authorities, maritime and marine research institutions, academia) should actually be identified for the different regions.

The role of marine sciences for the understanding of processes leading to a plague and the inventory of the different coastal areas to be protected should become more prominent.

The recommendations are very much appreciated, and have been taken into consideration. As indicated previously, the specific government bodies at the regional and country level that will be the focal points for project management have been defined. It is anticipated that during the implementation stage, there will be efforts between the PCU, RCOs and Country Focal Points to identify specific governmental bodies, maritime institutes and other partners. In the case of establishing task forces, these partners need to be identified early on, and requested to participate. In the case of specific tasks – such as undertaking analyses, writing reports and managing training programs, the partnerships will need to be tied to specific Terms of Reference, as the project progresses. Finally, we agree that the role of marine sciences and an understanding of bioinvasions processes are important. The Project as written gives prominence to these issues, even as it emphasizes legal policy and institutional reforms, and partnerships for technology development, in accord with the views of the GEF Secretariat and the GloBallast GPTF.

GEF Secretariat and other Agencies' comments and IA/ExA response

General Response:

The design and development process for GloBallast, starting in 2003, included a series of consultations occurred between IMO, UNDP and the GEF Secretariat (GEFSEC) to evaluate the work of the initial phase of GloBallast, discuss policy issues, analyze the provisions of the newly adopted Ballast Water Management Convention and arrive at a common understanding of the possible approaches to take. The GEFSEC emphasized:

- Need for national level legal, policy and institutional reforms,
- Importance to develop financially sustainable BWM strategies at the national level;
- Incremental focus of GEF intervention in particularly vulnerable countries;
- Objective of spurring North-South collaboration.
- Opportunities for the project to instigate action on marine electronic information system development, and linkages with the Marine Electronic Highway (MEH) development efforts.
- Desire to have the project foster a close partnership with industry.

All of these issues are taken into account. Legal policy and institutional reform is the major focus of the coordinated effort with partnering countries (a), financially sustainable strategies are to be a central feature in the development of national Ballast Water Management Strategies (b). The six regions in which the partnering countries reside have been selected for their high vulnerability, high needs and high marine biodiversity (c). Each of the partner countries are GEF eligible developing countries. Their involvement should spur south-north collaboration, recognizing the interest also amongst developing countries to participate, (d). The project includes a series of outputs and activities focused on knowledge management, including the development of a Global Marine Electronic Information System (GMEIS), to enhance communications on ballast water management. The GMEIS should in time link with other marine systems, including the Marine Electronic Highway (e). The project includes as one of its most significant features a close association with industry, with the GloBallast Industry Alliance to be launched, and co-financing of \$ 3 million (including \$ 1 million direct cash contribution to the project by major maritime industry sectors) and parallel financing of over \$15 million by industry partners who have agreed to work very closely with GloBallast Partnership Project(f).

It was agreed that IMO and its Member States would take the burden of activities for implementation of the Ballast Water Management Convention with GEF providing support for incremental activities in highly sensitive countries and specific ecosystems that are of particular global value and under serious threat from IAS.

Specific Comments and suggestions are boxed, followed by PCU responses.

GEFSEC Concept Agreement Review - Expected at Work Program Inclusion

(i) Countries targeted by the project will be identified

This was achieved, through extensive regional and national level consultations

(ii) It is expected that at WP entry all countries that will participate to, and benefit from the project, will have signed/ratified the Ballast Water IMO Convention. In addition the four countries involved in the Pilot Project will also have signed/ratified (Brazil has already done so).

Brazil has signed the Convention and South Africa has recently (9 September) taken the Cabinet decision to sign the Convention. The other four pilot countries have not signed but are in the process of assessing impacts of ratification and identifying implementation strategies. The Government of China has completed a study that looked into the implication of ratification and has recommended to the Parliament to ratify the Convention. India has progressed considerably in the ratification process and has allocated US\$600K for implementing the early activities such as country-wide port base line surveys. The BWMC was approved at IMO in February 2004. It has so far been signed / ratified by 9 countries. This pace is common for international environmental treaties and in no way suggests problems for eventual entry into force. Even those countries that have been in the forefront of ballast water management and enforcement efforts, including Australia, Canada, the US and New Zealand, have not yet ratified the Convention, although these countries have unilateral requirements for BW.

After approval of the Convention, more than 130 nations were in contact with the IMO Secretariat asking for information and assistance on implementation of the Convention. There is strong support to ratify and implement the Convention, but also concern that proven treatment technologies must be in place for the convention to succeed.

The LPCs have agreed to make a good faith effort to sign / ratify the BWMC during the GloBallast Partnerships project period.

(iii) At WP entry, all GEF eligible countries where project activities will be concentrated will have endorsed the project.

The Project focuses on 13 Lead Partnering Countries (LPC) all of whom have endorsed the project. 10 of the 13 LPCs have provided GEF OFP endorsements, with the other 3 endorsed by senior officials of the maritime authority. Additionally 10 of the 27 Partner Countries (PCs) have endorsed the project through their GEF OFP, with the rest endorsing through other, mostly senior maritime, officials. Within the 5 regions where country-specific activities are planned, there are 40 (13 LPCs and 27 PCs) that have endorsed, meaning that the effort has accomplished support from 56% of the GEF-eligible countries in the target regions to date, with a notable 100% from the CPPS region. It is anticipated that during the course of the project, many of the remaining countries in each of the 5 key regions will endorse the effort and become partner countries. (Note: 2 additional endorsements are from non-GEF countries: Canada and the Netherlands, which have territories in the targeted regions). Tables provided in the ProDoc, (Section 1.2.3, National Component, as well as index table given in ProDoc Section 3.1.1) list all countries in the target regions, their GEF eligibility and endorsement status.

(iv) At WP entry, the brief will clearly demonstrate the incrementality of March 2005. GEF funded activities with respect to IMO regular mandate, and to Country commitments under the Convention.

The Incremental Cost Assessment included as part of the ProDoc provides a clear breakout of GEF funded activities, IMO's regular mandate, country commitments and also industry support.

(v) As an OPI0 demonstration project, the bulk of the project activities will be directed to recipient countries in most vulnerable coastal areas, and include specific replicable actions.

The bulk of project support activities are indeed directed towards GEF eligible countries in vulnerable coastal areas. The regions selected for inclusion were chosen by the GloBallast GPTF in keeping with GEF eligibility requirements, and taking into account vulnerability, sensitivity of the resource, and government capacity. All identified LPCs are GEF-eligible.

Specific replicable actions have been included, such as training programs, the development of CME systems, and guidance on legal policy and institutional reform. The two tier country arrangement, of LPCs and PCs, has been designed with the expectation that replication commences from project day 1. Partnering Countries may in fact escalate their activities during the course of the project and be considered to enter the LPC tier.

(vi) Countries that will be supported in the projects should be identified, and the criteria for the selection will be presented. It should also be specified what activities / achievements from the first project that will be replicated where.

The process of selecting regions and countries to participate in GloBallast Partners has been deliberate and participatory. At the start of the PDF-B project, an analysis was carried out identifying high priority regions and countries using a ranking of regions built upon considerations of several criteria, including bio-invasion risk and vulnerability, socioeconomic importance of the marine and coastal resources, and relative global and transboundary significance. Other criteria driving the regional selection process were GEF eligibility, region/country interest, the practicality of implementation, and links to other GEF projects. The GloBallast GPTF, at its June meeting in 2005, then agreed upon six high priority regions (see ProDoc, section 1.2.2). Following this decision, contact was made to the countries in each of the regions, with the assistance of the partnering regional coordinating agencies, (especially the Regional Seas Conventions and LMEs).

As noted in the ProDoc (section 1.2.3), all countries within the priority regions were invited to express their interest in being an LPC. In order to be an LPC, each country had to provide a letter of endorsement and commitment to the project, and to commit co-financing support. At the time of ProDoc submission, 13 countries are identified as Lead Partner Countries (LPCs). This designation has been arrived at based upon the confirmed interest of these 13 states to play a leading role in GloBallast Partnerships. Due to time and financial constraints, a decision was made, and supported by the GPTF, to have no more than 3 countries from any given region serve as LPCs.

Many of the activities in the project build upon the achievements of the GloBallast pilot phase. These include the ‘road map’ on legal policy and institutional reform, (2.5.1) the development of national ballast water management strategies (2.4) and risk-based CME systems (2.7.1), and training on procedures for carrying out port baseline surveys (3.1.1). Where possible, expertise for training and analysis work will involve experts from the pilot countries.

(vii) In addition to actions at country level (see above), the project will include special focus on two regions where GEF action is being developed in ship related pollution and hazards: the Western Indian Ocean, including the Gulf of Aden, and the Mediterranean. At WP entry activities to capture synergies and coordinate action with all relevant GEF projects (in particular MEH related projects) will be included in project design.

The Gulf of Aden and Mediterranean are included as two of the 5 priority regions. Specific linkages will be made to the WI Ocean Projects dealing with IAS (WIOLaB, A&SCLMEs), including the one being proposed for Seychelles. With respect to MEH, the PCU established close linkages with the Mediterranean and Turkish Straits MEH projects (both in preparation phase) during the PDF-b phase, including a detailed discussion amongst UNDP, MEH Consultants and the PCU in New York in May, 2006. The culmination of these discussions has been the establishment of the GloBallast Marine Electronic Information System (GMEIS) output (see LogFrame Output 3.2). GMEIS is envisioned to serve as the backbone of a global marine

electronic information system, which, while focused initially on ballast water, can in time serve to meet a broader array of maritime communications and data management needs, including those of MEHs. It is expected that the MEH experts and project managers of all ongoing MEH projects will be involved in the global workshops planned within Activity 3.2.2 and contribute to the design of the GMEIS.

(viii) The component for financial sustainability should be well developed.

Financial sustainability aspects have now been fully articulated in the DPD, (see section 1.2.10, and in particular, note the articulation of activities 2.3.2 and 2.4.1). The project will provide countries with a wide array of tools/methodologies/strategies for (national) financial sustainability of ballast water management. These tools will be both in how to develop and implement strategies, and how to finance ballast water management activities, and also the strategies for enabling them.

It is important to note that during the course of the GloBallast effort, including the pilot phase and PDF-B phase for GloBallast partnerships, full sustainability at the global level has been achieved, through the creation of the IMO Ballast Water Management Office, the significant ongoing efforts of the IMO member states through the MEPC to develop guidelines, and through the IMO – GESAMP Expert Group for Approval of Active Substances used in Ballast Water Treatment.

As detailed in the table on regional plans, protocols and activities (see DPD section 1.2.9), there are high expectations for regional sustainability based upon the efforts of the partnering RCOs (Regional Seas and LMEs), to adopt and promote conventions and protocols supporting ballast water management, and to incorporate the issue into their committee work plans. As just one example, a Regional Action Plan for Ballast Water Management was adopted and a regional task force was formed by PERSGA at their meeting in Jeddah, November 2005. In addition in the WACAF region, the Abidjan Convention recognizes invasive species as an important issue, with the GCLME TDA/SAP including ballast water/invasive species as a priority area.

It is important to recognize that the role of the project with respect to financing is to provide recommendations to countries on how they can meet the financial obligations of their maritime environmental programs. While the project management cannot guarantee financial sustainability, it can enable the countries to make financial decisions that provide financial sustainability. Ample opportunities are provided throughout the duration of the project to enable the countries to identify the optimal mechanisms and to harmonize them across the region.

The project will also engage the private sector, especially in the effort to identify and bring to market cost-effective treatment technologies. Incremental and additional co-financing from industry will amount to more than \$20 million.

(ix) During project preparation the issue of financial sustainability at the national level will be addressed along the lines recommended in June 2004, including a feasibility of "charging the ships" schemes. By the time of WP entry, the brief will present the identified solution(s).

The Project Document now lays out 5 different options for how countries may choose to finance ballast water management activities, including:

- Fees for port services,
- Port fees directly levied to support BWM activities.
- Penalties

- Partnerships with stakeholders benefiting from BWM
- National budgets

These will be further elaborated early on in the project, within the activities under outcome 2.3, (see LogFrame) and especially activity 2.4.1, factoring economic aspects into national ballast water management planning. The feasibility of “charging the ship” schemes has been proven with countries already utilizing this method for BW and other purposes.

(x) Being eligible as an OPIO demonstration project, a replication strategy, to be developed during preparation, will be an essential component. The strategy will build upon but not be limited to the IMO CHM and IW LEARN tools.

Replication is built in to all aspects of the country-based efforts. As noted in the DPD (Section 1.2.11), the project will promote dissemination and replication of its best practices and lessons learnt through the Global Marine Electronic Information System (GMEIS) and GloBallast Web Portal, and through specialized communication projects such as GEF IW:LEARN. The training package designed using Train-X methodology in the pilot phase will be enhanced and delivered at new locations and will be made available worldwide through the maritime training institute networks as well as through an e-learning module

Replication will be further enhanced through the networking efforts of the PCU and partners. While the main focus is on 6 regions, there are 8 additional regions directly involved (from the pilot phase countries and through the EBRD supported training workshops). This wide level of inclusion should help with replication of lessons learned and best practices. Further opportunities to share knowledge will be achieved via the R&D forums (4.4.2) and participation of GB partners in regional conventions (see activity 1.1.7). What’s more, through the GloBallast website / GMEIS portal, the GBP quarterly newsletters and the several reports to be prepared as IMO monographs, there will be opportunities for other interested countries to learn from the GBP efforts and replicate them

In addition, it is important to note that replication is a key feature of the three-tier implementation modality. This globally directed, regionally coordinated and country-based project is ideally suited to replication and the sharing of best practices. For instance,

- The work done by the LPCs will be shared regionally with other partner countries (PCs) and replicated.
- The training approach taken for LPI and CME development is a train-the trainers approach, with project mechanisms in place to ensure that trained experts can in turn train other regional and national colleagues; and
- The close linkages being established with the Regional Seas and LMEs will ensure the replication of project activities on a much broader scale.

(xi) Stakeholder involvement plan should be available at time for Work Program inclusion.

A stakeholder plan has been included in the ProDoc, and will be further detailed country by country during the Project Inception Phase.

(xii) M&E plan should be available at time for Work Program inclusion.

The M&E plan is included in the ProDoc.

(xiii) Incremental reasoning will be provided, clearly defining the roles of the IMO, the countries under the Convention, and the GEF funded activities.

Roles have been defined, and incremental reasoning utilized to indicate the appropriate roles of the various stakeholders.

(xiv) Co-financing from the shipping industry and the project's countries will be assured.

Co-financing from the shipping industry has been identified, with co-financing letters submitted. In particular, the activities to be undertaken under, and financed by, the GloBallast Industry Alliance are pivotal to the success of the project.

(xv) Specific mechanisms of collaboration and/or coordination with UNEP's Regional Seas, GEF LME and costal management projects, and with GEF Projects dealing with navigational issues will be identified per region/country.

The Regional Seas and GEF LMEs constitute key stakeholders for the project, and are serving as regional coordinating organizations for many of the project activities. Wherever possible, close linkages with on-going and forthcoming GEF projects have been identified (e.g., linkages with MEH projects, CCLME project, proposed GISP and CABI projects and specific GEF projects such the proposed IAS project for the Seychelles.

With respect to MEH, the PCU established close linkages with the Mediterranean and Turkish Straits MEH projects during the PDF-b phase, including a detailed discussion amongst UNDP, MEH Consultants and the PCU in New York in May, 2006. The culmination of these discussions has been the establishment of the GloBallast Marine Electronic Information System (GMEIS) output (see LogFrame Output 3.2). GMEIS is envisioned to serve as the backbone of a global marine electronic information system, which, while focused initially on ballast water, can in time serve to meet a broader array of maritime communications and data management needs, including those of MEHs. It is expected that the MEH experts and project managers of all ongoing MEH projects will be involved in the global workshops planned within Activity 3.2.2 and contribute to the design of the GMEIS.

Upstream/pre-submission GEFSEC Comments:

Comments from Peter Bjornsen, Senior Policy Officer, Date: Friday, September 15, 2006

I have based my comments on the previous Concept Review which summarizes a number of requirements identified at concept approval and at PDF-B submission. Most of the concerns and requirements raised (in the Concept Review) have in my view been adequately addressed in the Draft Project Document that you sent to GEFSEC in August. I have tried to summarize the issues that I believe still remain in the following:

1. It is a strong assumption - probably a 'killer' assumption - for the sustainability and relevance of the Project, that the BWMC eventually enters into force. As noted in the DPD, only 6 countries representing 1% of global shipping tonnage have ratified, and none of the selected LPCs have ratified the BWMC. I would suggest that the DPD could provide a more thorough analysis of the likelihood and time perspective of BWMC entering into force, a documentation of the selected LPCs and LPs commitment towards ratification, and the incentives and barrier removal provided by the Project for partner countries to ratify the BWMC.

(see response to item one from the GEFSEC Concept Agreement Review)

2. The DPD (p. 57) describes how financial sustainability will be analyzed during implementation. This description, however, offers no assurance of financial sustainability and no feasibility analysis of schemes for charging ships as suggested in the Concept Review. I would suggest in the DPD to provide an estimate of post-Project costs to sustain outputs and outcomes, and a realistic plan for meeting these costs, including a feasibility analysis of charging the ships.

An expanded discussion on financial sustainability has now been included in the text, with specific reference to five financing instruments that will be promoted. The expanded discussion suggests that most of the compliance costs will be borne by the shipping industry, and that government infrastructure investments will be minimal.

The suggestion that a post-Project costing analysis be done, to include a feasibility study for charging ships, is most welcome. These activities fit well within the planned output (2.3) Economic aspects of marine bioinvasions factored into national strategic planning, and especially the development of National Ballast Water Management Strategies (see activity 2.4.1). The log frame and ProDoc have been revised to include these outputs. Conducting this work during the project itself enhances its practical application, as the analysis can then feed directly into country strategy development.

As the analyses are developed, they will consider case experience from around the world. Australia, for example, has one model worth studying. The Australian government established a limited duration 2 cents per ton of cargo fee on every ship, raising \$2 million to fund ballast water management R&D. When the \$2 million goal was achieved, the scheme was discontinued.

3. The DPD (p. 58-59) provides a replication strategy through expansion of LPs within regions and involvement of remaining regions. It is not quite clear to me whether the costs for this expansion from the presently selected countries is covered within the present budget. It has been stated earlier from the GEFSEC, that the GEF should not slide into a role as a financial

mechanism for the BWMC. It is therefore important that the replication strategy also provides an Exit Strategy for the financial involvement of the GEF.

The financial burden of implementing the Convention is primarily borne by the shipping industry, and then by the IMO member states. The project will assist to develop tools and to gain experience from LPC initiatives so that other countries can replicate the LPC experiences.

Representatives of the PCs (partner countries) will get the opportunity to be trained through training workshops coordinated by the RCOs (see the relevant training portions of outputs 2.5, 2.6, 2.7 and 3.1 for examples). Further training and other activities will be the responsibility of the PCs themselves.

4. The DPD specifies present country selection and criteria and notes that the status (PC, LPC) of individual countries may be revised during implementation. I think it would be useful to specify criteria, procedures and responsibilities for revising the status of partners - who is going to do this, when and how?

Criteria, procedures and responsibilities with respect to revising the status of partners will be developed by the PCU during the initial months of project inception, subject to management committee (IMO/UNDP) approval, and then included in Memorandums of Understanding with the lead agencies of each LPC and also the RCO's. The agreements will be tabled for endorsement at the Project Inception meeting of the GPTF.

The LPCs have signaled their interest to play a lead role through project endorsement and also through their co-financing agreements. Current Partner Countries who wish to be considered for escalation to an LPC role would be required also to indicate their co-financing commitment. The limiting factors for additional LPCs will be the overall budget and the management complexity when more than 3 LPCs are active in a given region.

It is envisioned that a presently identified LPC could slip back to a partner role, based upon repeated evidence that they were not meeting their commitments. This would include failure to:

- a) establish a national task force,
- b) participate regularly in project meetings and workshops,
- c) utilize agreed co-financing
- d) achieve milestones under the LPIR "road map"
- e) develop and implement a NBWMS
- f) pursue signing and ratification of the BWMC
- g) utilize any provided funds according to IMO/UNDP/GEF requirements

5. Following a dialogue between GEFSEC, UNDP and IMO, it was agreed that the baseline 'business as usual' scenario means most countries going about their ship-related environmental management with little effective regard to and progress in addressing the ballast invasives issue (e.g. core environmental management budgets and maritime administrations.)

As detailed in the Incremental Cost Analysis (see DPD section 2.1), a financial baseline for the project has been set at just over \$ 900 million, over 5 years, established based on a 'business as usual' scenario where most countries are tending to their ship-related environmental management activities with little effective regard for, or progress in, addressing ballast water-borne invasive species issues. The baseline estimate adds up expenditures by Governments to

manage ship-based pollutions (spills, wastewater, solid wastes, air pollution etc), but not ballast water. Up until the GloBallast pilot phase activities, and then the IMO BWM Convention, there has been little attention given to the environmental consequences of ships' ballast, especially amongst developing countries. None of the lead partnering countries for the upcoming project has as yet ratified the BWM Convention, nor have they yet developed and/or strengthened their legal, policy and institutional structures for ballast water management. Consequently, all of the government actions planned, and co-financing offered, are additional measures. Likewise, the co-financing support from industry, for research and development, the testing of new equipment and solutions, and the holding of R&D symposia, are considered additional activities, with an expectation that GloBallast Partnerships will help set the legal, policy and institutional framework for countries that will facilitate technology adoption and diffusion among the shipping industry worldwide, in response to the requirements and timetables set out in BWM Convention. All told, the incremental financing building from the GloBallast partnerships effort should reach just under US \$50 million.

6. Substantial co-financing has been assured (DPD, pp. 76-79). I think it would be useful to have some specification of the in-kind contributions from IMO and from the GIA, and a qualification of the incrementality of the IMO contribution, in the light of point 5 above.

The IMO co-financing contribution is summarized in Annex G, as per the suggestions by GEFSEC.

As agreed with GEFSEC 10% of the PS development activities, which include the significant and crucial contribution of the GIA, remain as co-financing, and the justifications have been augmented accordingly. Also see response to item 2 from the GEFSEC Concept Agreement Review.

7. I believe that there has been a lot of debate on the relative significance of ballast water as a carrier of IAS in comparison to other ship and non-ship vectors and drivers of marine IAS. I don't want to reopen that discussion given that there is now a BWMC in place, but I do think it would be useful if the DPD could put BWM into a wider perspective, both in relation to IAS (when/if ballast water is properly managed globally, how far would we then be in controlling marine IAS?) and in terms of costs (I was quite intrigued by the figure given on p.46 of the DPD of 15 billion USD as a market value for ballast water treatment technologies - this implies that the global costs of complying with the BWMC would be much higher - is that realistic?)

A recent study (Gollasch et. al.) suggests that the two main vectors of marine invasives are ballast water and hull fouling (with small contributions by aquaculture, aquarium trade, floating platforms etc). The study also showed that ballast water and hull fouling almost equally contribute to the risk of bioinvasion, although there exist some variations depending on the regions. However, there are significant differences in how these two vectors are considered from the shipper's point of view. Hull fouling is more self-regulating, as it impacts on the efficiency of vessels traveling from port to port. Hull fouling producing drag, which reduces fuel efficiency, and therefore failure to address this issue adds costs. So there is an incentive for shippers to minimize this problem. The proper management of Ballast water to reduce bioinvasions risk, on the other hand, represents an extra cost, and potential safety issue, for shippers, hence there is a greater need for regulatory mechanisms and there are more complex technologies to manage. These differences notwithstanding, the project has been designed to tie in to broader marine IAS

aspects, through linkages with GISP, CABI and also through the cooperation of the LMEs and Regional Seas.

The cited \$15 billion figure originated from a market study by Royal Haskoning of Netherlands. This estimates the market for R&D, new installations and retrofits for treatment technologies over the next 10 to 15 years. As noted in the (revised) ProDoc text on financial sustainability, most of the BWMC compliance costs are on the treatment technology end, not on the monitoring and enforcement end. It is important to keep in mind that even if the total compliance and R&D costs came to twice this price (e.g. \$30 billion for the next 10 to 15 years), which is highly unlikely, the compliance costs would still be much less than the economic impacts of just three well known bioinvasions: Zebra mussels into the US Great Lakes, Golden Mussel into the Pantanal of Argentina and Brazil, and the Comb Jelly infestation into the Black and Caspian Seas. In addition, it is important to recognize that the cost per ship to ship owners is not that large, as a \$500,000 investment in ballast water treatment equipment may be required to fit a ship costing \$100 million to build.

8. Finally, from the big perspective to a small formal note: just to remind you that there is a formal requirement for an executive summary of the DPD. Also, if there could be a systematic hierarchical heading and enumeration of chapters and sub-chapters (e.g. 1, 1.1, 1.1.1, ...) it would be easier to read.

An executive summary has been produced, and a systematic hierarchical heading and enumeration of chapters and subchapters has been added.

Comments from follow-up GEFSEC Concept Agreement Review, October 2006

1. Need for continued attention to LPC's and PC's commitment to ratify BWMC, as it is a 'killer' assumption for project sustainability that BWMC enters into force.

Agree on the need for continued attention throughout the project, to LPC's and PCs commitment to ratify the Convention, and this aspect has been captured in the LFA as one of the indicators of the success of the project. During national and regional consultations at the PDF-B Phase, it was made clear to all potential LPCs that ratification was a high expectation for their efforts during the project. All of the LPCs have indicated they intend to initiate legal, institutional and policy reforms, and many have directly linked this to intended ratification of the BWMC. Some partner countries (PC) have also indicated they intend to ratify, and one has already ratified. From the GloBallast Pilot Phase, Brazil has ratified and South Africa has announced in the cabinet meeting that the country is going ahead with ratification. Clear indications to IMO are that several other participating countries are currently working to ratify and several countries, Iran for example, have taken it into their parliamentary process. In addition, the Government of China has completed a study that looked into the implication of ratification and has recommended to the Parliament to ratify the Convention. India has progressed considerably in the ratification process and has allocated US \$600K for implementing initial activities such as country-wide port base line surveys. The pilot countries are continuing their post-project activities even when the Convention is not in force (evident from the support letters). If one considers the fact that progress achieved in ratification process within GloBallast pilot countries is much higher than that of several developed countries who have not yet ratified the convention, it clear that GloBallast Pilot phase had a significant influence and played a catalytic role in accelerating the ratification processes and it is reasonable to assume that GloBallast Partnership will continue to

play this catalytic role, especially since the project focuses directly on LPIR and removal of associated barriers through enhanced stakeholder participation (including shipping industry), awareness raising, capacity building and regional harmonization activities. The progress in ratification process will be closely monitored and encouraged throughout the project duration and the flexibility that was built in the project to bring PC-track countries to LPC-track and vice-versa, would provide great incentives for the countries to accelerate the ratification process.

The Convention includes 2009, 2012 and 2016 as years for phasing in BWM requirements and this was done with a reasonable assurance by the IMO Member Countries that the Convention will enter into force before the first application date (2009). The shipping industry (the most important stakeholder) is keen to address the issue and it is strategic to them to support an early entry into force of an international instrument rather than subjecting themselves to a plethora of unilateral requirements, (there are already mandatory requirements by USA, and Australia for instance and several countries who are severely affected by IAS have indicated they will move to unilateral actions if the IMO instrument is delayed).

Although one of the main concerns on hurdles to Convention ratification could be the availability of cost effective treatment technologies, the technology review by the IMO member countries (MEPC-53 in 2005 confirmed again in MEPC-55 in 2006) concluded that it was reasonable to assume that technologies would be available by 2008; hence this concern shouldn't pose a major long term risk. In the interim, ships can meet the BWMC requirements through ballast water exchange in mid-ocean. IMO has also established a technology review committee as well as an approval mechanism for potential active substances that can be used in ballast water treatment. The basic approval of four or more such active substances in 2005-2006 by IMO indicates that the confidence by the shipping industry and therefore the member governments to mandate the requirement is much higher than before. As a consequence of these factors, an early entry into force of the BWMC is distinctly possible, and GloBallast Partnerships can be instrumental in hastening this process.

<p>2. Adjustment of the stated co-finance from PS and from IMO to comply with GEF requirements for co-finance.</p>
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As agreed with GEFSEC, the PS co-financing is now reduced to 10% of the original co-financing figures. Recognizing that the GloBallast Pilot Phase was a critical instigator for passage of the Ballast Water Convention and an essential driver for the R&D that is now being spent to develop ballast water treatment technologies, there is a solid ground to include the entire committed R&D spend as co-financing for GloBallast Partnerships. It is recognized, however that the convention ratification process is ongoing, with the new GEF project to move simultaneously, so there may be questions as to whether the R&D is really being spent to co-finance the GloBallast Partnerships Project. As per the suggestions by GEFSEC, the PS co-financing level is now reduced to 10% of the committed Private Service R&D providing a co-financing of approx. 2 million, in addition to the 1 million direct cash contribution, so the industry co-financing then rests at just above \$3 million. This inclusion of some PS investment budget is justified as the project includes activities in Outcome 4 relating to holding R&D symposiums, industry forums, the development of test facility standards and piloting sediment facilities, all of which will drive industry R&D spending and all of which will require industry funding beyond the already promised GIA cash contribution, including the active participation of the private sector in such meetings and activities.

As agreed with GEFSEC, the IMO co-financing figure has been reduced to \$4.3 million from the original \$12.7 million. This takes into account the fact that the IMO Office for Ballast Water Management will provide significant technical and administrative backstopping for the project. In addition, GESAMP-Ballast Water activities are crucial for supporting technology developments, one of the main objectives that the Project supports. In addition, the IMO consists of member governments and the costs associated with the travel to MEPC's dedicated ballast water working group meetings by project participants (LPCs and PCs) can be captured as co-financing, as these meetings not only contribute to the global benefits (and are incremental in nature), but they also reduce the costs of administering the project since MEPC-BW meetings and GloBallast meetings will in many cases occur in parallel, at the IMO HQ. In view of the above and as agreed with GEFSEC, only 10% of the MEPC-BW and GESAMP-BW related costs is now accounted for as co-financing.

ANNEX D: TERMS OF REFERENCE FOR PROJECT STAFF

Chief Technical Advisor (CTA), Level – P5, International Hire

The CTA will be responsible for the overall co-ordination of all aspects of the GloBallast Partnership Project in general, and in addition he/she shall be responsible for the delivery of a number of technical activities involving training, capacity building in participating developing countries and liaise directly with the units established under the project, i.e., the Global Project Task Force (GPTF), Regional Project Task Forces (RPTFs), the National Project Task Forces (NPTFs), potential additional project donors, private sector, national focal points and the representatives of Global Environment Facility (GEF) partners, in order to co-ordinate the annual work plan for the Programme. While providing the necessary project management services for the Project, the CTA's main responsibilities will be in the role as an international ballast water management expert responsible for the delivery of the technical outcomes through technical assistance activities and coordination of all related activities identified in the GloBallast Partnership Project. The estimated number of staff-weeks for this position is 220.

The CTA will in particular:

- Manage the GEF components of the Programme Co-ordination Unit (PCU), its staff, budget and imprest funds if any;
- Prepare the annual work plan of the Programme on the basis of the Project Document, in close consultation and co-ordination with the GPTF, national focal points, GEF partners and relevant donors;
- Co-ordinate and monitor the activities described in the work plan and provide progress reports to IMO and UNDP as per the project monitoring and evaluation plan;
- Ensure consistency between the various programme elements and related activities provided or funded by other donor organizations;
- Prepare and oversee the development of terms of reference for additional consultants and contractors when needed;
- Co-ordinate and oversee the preparation of reports from the Programme;
- Foster and establish links with other related GEF programmes and, where appropriate, with other regional international waters' programmes;
- In the capacity as an international expert in ballast water management field, provide technical assistance and capacity building services to the participating developing countries with an aim to increase learning, evaluation and adaptive management, and to ensure ballast water management strategies are in place, legal, policy and institutional reforms developed and implemented at national levels.

Qualifications and Experience

Post-graduate degree in environmental science and engineering, marine engineering or a directly related field (e.g. marine science, natural resources economics, etc.). At least fifteen years experience in related fields, of which 8 years experience in ballast water management field and related capacity building activities. Experience as a senior project manager. Demonstrated diplomatic and negotiating skills; Familiarity with the goals and procedures of international organizations, in particular those of the GEF partners (UNDP, IMO, World Bank); Excellent knowledge of spoken and written English; and familiarity with the shipping industry and issues related to the industry in general; direct knowledge of or work experience in one or more of the participating countries would be an asset.

Technical Advisor (TA), Level – P3, International Hire

Under the supervision of the Chief Technical Adviser (CTA), the Technical Adviser (TA) will be responsible for the delivery of a number of technical activities that includes training, capacity building and coordination of the knowledge management and private-public partnership component of the GloBallast Partnership Project. He/she shall be responsible for activities aimed at the collection of information, exchange and networking between a wide range of project participants including government officials, scientists, non-governmental organizations and the public at large. He/she will work closely with institutional focal points, project lead agencies, specialized UN Agencies, international NGOs, national and local NGOs, and will co-operate and encourage the activities of other donors in the area of project communications. While providing the necessary project management services for the Project as requested by CTA, the TA's main responsibilities will be in the role as an international expert responsible for the delivery of the technical outcomes and coordination of all related activities. The estimated number of staff-weeks for this position is 220.

The TA will have the following specific duties:

- Generate and maintain a directory of all persons and institutions engaged in work related to the implementation of the programme;
- Supervise data exchange and the maintenance of the data communications network between and among project related institutions and individuals;
- Create, edit, and distribute a regular information bulletin on the programme;
- Collect information on ballast water management options, related research projects and their results, as well as on new invasions of aquatic species, on related financial implications and on related remediation programmes;
- Supervise the development of an electronic information and communications system as part of a global resource information centre;
- Supervise the development and maintenance of information management strategies;
- Develop and maintain a World Wide Web home page for project;
- Consult in the creation of and supervise the creation of awareness and education programmes in each participating country;
- Lead the development of a global marine electronic information system for ballast water management
- Supervise the technical activities identified under the Global Industry Alliance which is the Private-Public Sector Partnership component of the GloBallast Partnership Project
- Assist the CTA in delivering technical activities as per the Project Plan
- Assist in the administration of other information-related communications systems as required by CTA.
- Carry out any other tasks as requested by the Chief Technical Advisor of the Project.

Qualifications and Experience:

Post-graduate degree in marine science, information management, natural resources economics or a directly related field; At least five years experience in the international arena dealing with information exchange and marine scientific/environmental management projects; Experience in international communication technologies, computer data bases, web design and information systems; Experience in the development of awareness and training programmes; Excellent knowledge of spoken and written English; Familiarity with maritime transportation issues.

Administrative Assistant (AA), Level – G6, Local Hire

As part of the GloBallast Programme Coordination Unit (PCU), the AA will perform a variety of secretarial, coordinating, monitoring and administrative services to ensure the efficient daily running of the PCU and in support of project/programme activities. The AA will work within the PCU with a considerable degree of independence, ensuring the smooth functioning and continuity of the projects/programmes and will receive directions from the Chief Technical Advisor on technical matters. The estimated number of staff-weeks for this position is 220.

Typically, the AA will perform the following duties:

- Draft correspondence and documents of an administrative nature in consultation with the CTA and TA.
- Coordinate the procurement activities for the PCU and support the financial control and monitoring activities of the PCU.
- Establish and maintain the filing system of technical documents and general internal and external correspondence. Establish and update a proper computerized information system on on-going activities, collaborating partners, activities of other international organizations related to the Project. Access and retrieve information from relevant databases and update as required. Support the TA in maintaining the GloBallast Information Clearinghouse.
- Make administrative arrangements with regard to recruitment of additional consultants / experts for the Project
- Assist in the organization of meetings held by PCU (Global Task Force Meetings, working groups, and symposia), i.e. make general administrative preparations, including providing logistical support to the delegates such as sending invitation letters and other advises as necessary and preparation of meeting documents. Provide administrative and secretarial support during the meetings.
- Identify and recruit temporary office staff, if required, and provide briefing and guidance to any temporary staff on general office practices and procedures

Qualifications and Experience:

Equivalent to graduation from secondary school or equivalent technical or commercial school and specialized training preferably in administration / management related fields. Basic training in secretarial/administrative training, or equivalent work-related experience, including typing and proven skills on standard office software. Work with computerized systems and databases. Demonstrated managerial and communication skills. Considerable and progressively responsible experience in the secretarial/clerical/administrative field. Knowledge and practical experience in ERP systems desirable. Sound computer skills