

GEF Council Meeting  
June 5 – 7, 2012  
Washington, D.C.

Agenda Item 9

**Terms of Reference and Budget  
for the  
Fifth Overall Performance Study of the GEF**

**Recommended Council Decision**

The Council, having reviewed document GEF/ME/C.42/05, “*Terms of Reference and Budget for the Fifth Overall Performance Study of the GEF,*” approves these terms of reference, as well as the budget for an amount of USD 1.075 million, to be incorporated in the multi-annual budget of the Evaluation Office.

The Council requests the Evaluation Office to implement OPS5 and to provide the first and final reports to the Replenishment process and to the Council according to the schedule presented.

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## Executive Summary

1. This Working Document presents the draft Terms of Reference for the Fifth Overall Performance Study of the GEF, which will provide an important input into the sixth replenishment of the GEF. These terms of reference are based on comments received on the approach paper for OPS5 that was published in March 2012. A separate audit trail document published on the website of the Office shows how comments were taken into account.

2. OPS5 will produce two reports: a first report at the start of the replenishment process, which the Office expects to take place in early 2013, and a final report to be presented in the final phase of the replenishment, which the Office expects to take place at the end of 2013 or in early 2014. This Working Document contains detailed proposals on how OPS5 will be implemented and how the reports will be assembled.

3. The first report will consist of a meta-evaluation of findings and conclusions on the achievements of the GEF as emerging from evaluations of the GEF Evaluation Office and evaluations from independent evaluation units of the GEF Agencies, where relevant. The report will provide answers to the following key questions:

- (1) Has the GEF followed the guidance from the conventions?
- (2) Has the GEF support in international waters focused on key transboundary issues?
- (3) Has the GEF succeeded in maintaining its high level of outcome performance in finished projects since OPS4 and has it continued to meet the target of more than 75% outcome rating of moderately satisfactory and higher?
- (4) What have been the ratings of projects on sustainability and on progress towards impact since OPS4?
- (5) What have been concrete achievements in global environmental benefits and adaptation challenges in focal areas since 2009 and how do these compare to achievements before 2009?
- (6) What are trends in the catalytic role of the GEF, as characterized by project activities that focus on foundation, demonstration and/or investment/market change?
- (7) What are trends in ownership and country drivenness, as emerging in the country portfolio evaluations of the Office?
- (8) To what extent has the GEF been able to meet countries' needs, quantitatively and qualitatively and vis-à-vis their obligations to the conventions?
- (9) What are the factors promoting or hindering progress towards impact?
- (10) What are trends in performance issues, including the project cycle, co-financing, management costs and project fees, quality at entry, supervision?
- (11) What are trends in the implementation and achievements of focal area support of the GEF?

4. The final report will contain findings from sub-studies of OPS5 that will be undertaken during fiscal year 2013 and early fiscal year 2014. The key questions that this report will address are:

- (1) What are the trends in global environmental problems and climate change adaptation challenges in the focal areas and the relevance of the GEF to these problems?
- (2) Given the emergence of new financing channels that address these problems, what is the added value and catalytic role of the GEF as a funding channel?
- (3) Does the GEF have sufficient funding to address the focal area strategies, guidance of the conventions and the needs of recipient countries in a meaningful way? To what extent is the GEF able to mobilize sufficient resources? To what extent do the donors perform as pledged?
- (4) What are the strengths and weaknesses of focal area strategies? What is the role and added value of synthetic and cross-cutting support through multi-focal area interventions?
- (5) To what extent have the major reform processes of the GEF achieved their objectives, following the key principles of enhanced country ownership and improved effectiveness and efficiency?
- (6) To what extent is the governance of the GEF in line with international best practice?
- (7) To what extent is STAP serving the needs of the GEF as a provider of independent scientific and technological advice?
- (8) To what extent is the GEF support able to mobilize stakeholders on the ground? What are trends in involvement of the private sector and of civil society organizations?
- (9) To what extent are cross-cutting policies like gender, participation, as well as information and knowledge sharing strategies adding value to the GEF support?
- (10) To what extent is the GEF Small Grants Programme successful in broadening its scope to more countries while continuing to ensure success on the ground?
- (11) What is the current “health” of the GEF network? To what extent are the network and partnerships of the GEF enhancing or diluting achievements?

5. The budget for OPS5 is calculated as USD 145,000 for the first report and USD 855,000 for the final report. An additional amount of USD 75,000 is reserved for translations and printing. The total amount to be approved is USD 1,075,000, which is USD 1.15 million lower than the actual expenditure for OPS4. These savings were achieved through integrating a substantial amount of work for OPS5 in the regular work program of the Office.

6. The budget is incorporated in the multi-annual budget for evaluations, as presented to the Council in the Work Program and Budget of the Office (GEF/ ME/C.42/06).

## **Introduction**

7. An approach paper dated March 15, 2012, was posted on the Evaluation Office website with an open request for comments, and circulated to the Secretariat, STAP, GEF Agencies and the NGO Network, as well as submitted to Council members and alternates for comments. Furthermore, key issues for OPS5 have been raised and continue to be raised in Extended Constituency Workshops and comments received in these workshops have also been taken into account. Comments were received from five Council members, the GEF Secretariat, five GEF Agencies, STAP, the NGO Network and one individual. GEF Operational Focal Points have provided comments in Extended Constituency Workshops.<sup>1</sup> Comments received in writing have been integrated into an audit trail that explains how they were taken into account in these draft terms of reference. This audit trail is published on the OPS5 website of the Evaluation Office.

8. Initial work for OPS5 has started in 2011 and is continuing to take place: the Office has joined an initiative to learn lessons from recent comprehensive evaluations of funds, agencies and global programs, to ensure that OPS5 will be managed and implemented according to the best international standards. This initiative will lead to a workshop in June 2012 in which lessons from several case studies will be discussed, which should lead to the identification of best practices. These can be incorporated into the second phase work of OPS5 when undertaking the special studies that will be included in the final report. The Office will report on this workshop and its conclusions in the Progress Report of the Director which will be presented to Council in November 2012.

## **Context of the Sixth Replenishment of the GEF**

9. The sixth replenishment of the GEF takes place in an international context that is increasingly difficult to predict and to navigate. While global environmental trends seem to continue on a downward slide, the recovery of the global economy from the financial crisis of 2008 in the developed countries is still slow and has led to budget cuts in public funding in many countries. Given the fact that environmental benefits tend to be global public goods, the challenge to find adequate funding involving both the private and the public sector remains of vital importance. At the same time the international environmental architecture of conventions, funds, programs and donors is showing increasing fragmentation, making it more difficult to coordinate and harmonize funding and approaches.

10. On international developments and trends many sources of information are available to GEF stakeholders. OPS5 will aim to synthesize recent assessments of global environmental trends, as documented in for example the OECD Environmental Outlook to 2050 and the fifth Global Environmental Outlook (GEO-5). The Planet under Pressure conference in March 2012 in London provided another perspective. More overview assessments can be expected – OPS5 will provide an overview of these to ensure that contextual factors can be taken into when assessing the results and achievements of the GEF. This means that although the focus of OPS5 will be on the results and achievements, this will be with proper attention for the context in which the GEF and its Agencies and partners had to perform, and will need to perform in future.

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<sup>1</sup> OPS5 was and will be discussed in ECWs from September 2011 to July 2012 in Honiara, Tashkent, Cape Town, Nairobi, Bujumbura, Dead Sea (Jordan), San José (Costa Rica), Tirana, Ouagadougou, Antigua, and Lima.

This follows OPS4, which presented “the GEF in a changing world” as an overview chapter on international developments and trends in which the GEF had to be placed.

11. The fifth Overall Performance Study differs from the fourth in one important aspect: many of the key issues that were explored in OPS4, such as impact, country ownership, key aspects of performance, the catalytic role of the GEF and many others, have been integrated into the regular work program of the GEF Evaluation Office, with full support and encouragement of the Council. This means that OPS5 can depend to a much larger extent than OPS4 on existing evaluative evidence, as emerging in the years 2009-2012. OPS5 thus partly changes in nature: a major element will be a meta-evaluation of existing evaluative evidence – which will look for evidence that emerges out of aggregate data of the evaluations that the Office has produced.

12. Furthermore, independent evaluations from GEF Agencies will be analyzed for OPS5. Both UNDP’s Evaluation Office and the Independent Evaluation Group of the World Bank have produced several reports that look at the involvement of their institution in environmental issues. Other GEF Agencies have also produced evaluations that will provide an additional perspective on the role that the GEF plays in these agencies on supporting the environmental agenda and mainstreaming of environmental issues in development and transition policies and support.

## **Objective and Audience**

13. The Fifth Overall Performance Study of the GEF, bearing in mind articles 14a and 15 of the instrument, and following the overall objectives of previous overall performance studies, will aim:

*To assess the extent to which the GEF is achieving its objectives and to identify potential improvements*

14. OPS5’s audience consists of the replenishment participants, the GEF Council, the Assembly and through the Assembly the members of the GEF. While OPS5 will not be directed primarily to stakeholders of and parties in the GEF, such as the GEF Secretariat, GEF Agencies, STAP, the GEF NGO network, and project proponents ranging from different Civil Society groups that includes private and public sector entities as well as the academic community, the findings where relevant will be presented to these audiences as well, especially through existing channels such as the Extended Constituency Workshops, GEF NGO network meetings and so on. Last but by no means least, OPS5 will be made available to the multilateral environmental agreements and their conferences of the parties.

15. Council has discussed OPS5 several times in the context of the Four Year Work Plan and Budget of the GEF Evaluation Office, given the integration of key issues of OPS4 in the regular evaluation planning of the Office. The Fifth Overall Performance Study will deliver two concrete products to the replenishment process: a first report that will provide a synthetic overview of trends in performance, achievements, results and impact of the GEF as evident in the four evaluation streams of the Office. The second and final report will be presented in the final stage of the replenishment and will contain additional studies that tackle specific questions and issues that do not emerge from existing evaluative evidence.

## Objective and Key Questions for the First Report

16. The objective of the first report of OPS5 is to provide a solid understanding of the current results, achievements and performance of the GEF as emerging from the evaluative evidence gathered by the GEF Evaluation Office up to the end of 2012. The report will look at developments since July 2009, since June 2009 was the last month that OPS4 took into account. The following key questions will be assessed in the first report:

- (1) Has the GEF followed the guidance from the conventions?
- (2) Has the GEF support in international waters focused on key transboundary issues?
- (3) Has the GEF succeeded in maintaining its high level of outcome performance in finished projects since OPS4 and has it continued to meet the target of more than 75% outcome rating of moderately satisfactory and higher?
- (4) What have been the ratings of projects on sustainability and on progress towards impact since OPS4?
- (5) What have been concrete achievements in global environmental benefits and adaptation challenges in focal areas since 2009 and how do these compare to achievements before 2009?
- (6) What are trends in the catalytic role of the GEF, as characterized by project activities that focus on foundation, demonstration and/or investment/market change?
- (7) What are trends in ownership and country drivenness, as emerging in the country portfolio evaluations of the Office?
- (8) To what extent has the GEF been able to meet countries' needs, quantitatively and qualitatively and vis-à-vis their obligations to the conventions?
- (9) What are the factors promoting or hindering progress towards impact?
- (10) What are trends in performance issues, including the project cycle, co-financing, management costs and project fees, quality at entry, supervision?
- (11) What are trends in the implementation and achievements of focal area support of the GEF?

## Meta-Evaluation Approach for the First Report

17. A meta-evaluation is defined as an evaluation “designed to aggregate findings from a series of evaluations”.<sup>2</sup> Aggregate findings will allow for additional analysis (sometimes called meta-analysis) that would lead to new insights that were not obvious in the individual evaluations that are used as building blocks for the meta-evaluation. In general a meta-evaluation consists of taking the primary data from several evaluations, judge them on their reliability and comparability and perform an analysis on the resulting data. This can be a cumbersome and difficult exercise if the evaluations are derived from many different sources, as it will be difficult

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<sup>2</sup> OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management, p. 27 – Paris: OECD, 2002. A meta-evaluation can also refer to an evaluation of (an) evaluation(s), which is not the meaning that is used in this paper.



to establish the validity, reliability and credibility of the data gathering methods and comparison may be difficult or even impossible.

18. In the case of OPS5 a meta-evaluation of evaluations of the GEF Evaluation Office is relatively easy. Since all evaluations were undertaken in-house and have used similar methods and approaches, data can be aggregated within the evaluation streams of the Office in a reliable way and further analysis is possible. The main approach to make this possible and to ensure that the analysis is sound is to build up a portfolio database that can provide a solid basis for further work.

19. Currently the GEF has a project management information system that is underperforming. Up to 2007/2008 the project database used to be unreliable and not reflect the correct status of projects. In early 2009 a new database, the current PMIS, emerged and this started off with solid basic information. However, over time this database has deteriorated and this process may have turned into a vicious cycle. The Secretariat is currently working on improvements, but in any case the Evaluation Office will need a full portfolio database and analysis as a basis for OPS5 – a database that will reflect the current situation and can be updated up to the “cut-off” time of OPS5, which should be June 30, 2013. This OPS5 database will be validated through exchanges with the Secretariat, the GEF Agencies and the Trustee. After validation any corrections that would be relevant for PMIS will be made available to the Secretariat, to ensure that these corrections can also be entered into PMIS.

20. The OPS5 database of GEF interventions will provide the foundation for the meta-analysis. This will lead to identification of the cohorts of projects for OPS5, which will have two main cohorts: one for completed projects after OPS4 closed, up to a date to be decided later, and the other of approved and on-going projects after OPS4 closed, again with a closing date to be decided later. These cohorts will allow for an analysis of trends in GEF support in terms of modalities, focal areas, countries and regions covered and in terms of results and achievements as far as closed projects are concerned. Table 1 presents an overview of issues that will be tackled in the meta-evaluation on the basis of integrated evidence from various sources.

<b>Table 1 – Key issues, evaluation questions and approach for the first OPS5 report</b>			
<i>Key issue</i>	<i>Evaluation questions</i>	<i>Sources of evaluative evidence</i>	<i>Scope and limitation</i>
Relevance of the GEF to the conventions, as well as relevance of International Waters support to trans-boundary issues	Extent to which the guidance from the conventions has been followed and the extent to which GEF support in international waters focuses on key transboundary issues	Validated terminal evaluations of projects Country Portfolio Evaluations Thematic and impact evaluations	Focal area strategy evaluations will consolidate relevance information per focal area as emerging from other evaluations CPEs, thematic and impact evaluations have limited coverage on countries and regions
Achievements of the GEF at project level	Extent to which the GEF has been able to meet the international benchmark of 75% successful outcomes of	Validated terminal evaluations of projects Country Portfolio Evaluations Impact evaluations	High level of coverage and confidence as terminal evaluations reviews are quality assured and trends can

	completed projects and has been able to promote sustainability Extent to which global environmental targets were achieved	Validation of the focal area tracking tools and the reporting on achievements through these tools	be established from 2004
Progress toward impact at the project level	Extent to which the GEF has been able to maintain or improve upon the ratings for progress toward impact in OPS4	ROtI analysis of validated terminal evaluations of projects Field ROtIs as incorporated in impact evaluations and CPEs	High level of coverage on completed projects Lower level of coverage on field ROtIs which should be compensated for by increased investment in impact evaluations
Catalytic role of the GEF	Extent to which the GEF has been able to fulfill its catalytic role in countries and focal areas	Classification of GEF portfolio in foundation, demonstration and investment Role of the GEF as evident in CPEs and thematic and impact evaluations	Better coverage than in OPS4, due to further analytic and impact work on the catalytic role
Trends in ownership, country drivenness and extent to which country needs have been met	Extent to which the GEF portfolio is owned by countries and regions; Extent to which new projects are developed within countries and within national priorities and policies Extent to which needs of recipient countries have been met, quantitatively and qualitatively, as well as vis-à-vis their obligations to the conventions	In-depth evidence in CPEs Final CPE workshops Validated terminal evaluations of projects Thematic and impact evaluations Evidence of broad stakeholder consultation in country	Main evidence will come from CPEs, but additional evidence from terminal evaluations and other EO evaluations will increase geographical coverage
Longer term impact of the GEF	What are factors promoting or hindering progress toward impact?	In-depth evidence in impact evaluations	Coverage is mainly focused on biodiversity, international waters and ozone depletion Evidence on climate change will be gathered from various sources, including the ECG and Climate-Eval
Trends in performance issues, including co-financing, management costs and project fees,	Extent to which performance in the GEF has improved, especially on:	Project cycle: GEF portfolio analysis, CPEs Co-financing: validated terminal evaluations	GEF portfolio analysis and existing evaluative evidence will not deliver in-depth insights

quality at entry, supervision, as well as performance at the country level	<ul style="list-style-type: none"> <li>• Project cycle</li> <li>• Co-financing</li> <li>• Management costs and project fees</li> <li>• Quality at entry</li> <li>• Supervision</li> </ul>	Management costs and project fees: GEF portfolio analysis Quality at entry: APR Supervision: APR	but will indicate changes in trends that may indicate where additional work is needed for final OPS5 report
Trends in focal area achievements	Extent to which the focal area strategies have been able to achieve their objectives	Focal area strategies meta-evaluation, based on CPEs, thematic and impact evaluations, as well as validated terminal evaluations	Evaluative evidence on projects is not fully reflective of the current focal area strategies, as many projects have been formulated under older strategies, so evidence cannot be taken one-on-one but has to be carefully considered

## Final Report of OPS5 and Key Questions

21. The final report of OPS5, which is envisaged at an appropriate moment near the end of the replenishment process, which will possibly be at the end of 2013 or early 2014, will provide answers to the following key questions:

- (1) What are the trends in global environmental problems and climate change adaptation challenges in the focal areas and the relevance of the GEF to these problems?
- (2) Given the emergence of new financing channels that address these problems, what is the added value and catalytic role of the GEF as a funding channel?
- (3) Does the GEF have sufficient funding to address the focal area strategies, guidance of the conventions and the needs of recipient countries in a meaningful way? To what extent is the GEF able to mobilize sufficient resources? To what extent do the donors perform as pledged?
- (4) What are the strengths and weaknesses of focal area strategies and how were they formulated? What is the role and added value of synthetic and cross-cutting support through multi-focal area interventions?
- (5) To what extent have the major reform processes of the GEF achieved their objectives, following the key principles of enhanced country ownership and improved effectiveness and efficiency?
- (6) To what extent is the governance of the GEF in line with international best practice?
- (7) To what extent is STAP serving the needs of the GEF as a provider of independent scientific and technological advice?
- (8) To what extent is the GEF support able to mobilize stakeholders on the ground? What are trends in involvement of the private sector and of civil society organizations?

- (9) To what extent are cross-cutting policies like gender, participation, as well as information and knowledge sharing strategies adding value to the GEF support?
- (10) To what extent is the GEF Small Grants Programme successful in broadening its scope to more countries while continuing to ensure success on the ground?
- (11) What is the current “health” of the GEF network? To what extent are the network and partnerships of the GEF enhancing or diluting achievements?

22. These key questions will be tackled through separate and concrete evaluation studies that will focus on the aspects that need to be incorporated. These terms of reference present how each of these issues will be translated into specific studies to be undertaken. The level of effort on each of these issues is also guided by cost implications in order to remain within the overall budget perspective.

## Approach for the Final Report

23. The sub-studies will put emphasis on literature reviews, interviews, data analysis and a limited amount of field work that would address specific hypotheses emerging from the reviews. Table 2 provides an overview of the key issues, evaluative questions, how each study will be tackled and its scope and depth.

<b>Table 2 – Key issues, questions and approaches for the final OPS5 report</b>			
<i>Key issue</i>	<i>Evaluation questions</i>	<i>Sources of evaluative evidence</i>	<i>Scope and limitation</i>
Trends in global environmental problems	Extent to which problems have deteriorated or are on the mend	This sub-study will depend on scientific insights as related by STAP and other scientific bodies, including the Global Environmental Outlook 5 and similar publications	Scope: existing insights and perspectives through literature review and interviews
Emergency of new funding channels, including the GEF’s role in some of these channels	Extent to which the global architecture fragments or tends to harmonize Extent to which the GEF is involved in or collaborates with other mechanisms, such as the CIFs, Adaptation Fund and the Green Climate Fund	This sub-study will review existing documentation from the UN, WB, DAC and relevant forums such as G8/G20 as well as Rio+20. Furthermore, the GEF engagement with other mechanisms will be reviewed through documentation and interviews	Scope: existing insights and perspectives through literature review and interviews
Assessment of the comparative advantage of the GEF and whether the GEF has the	Extent to which the GEF has the resources to meet objectives in a cost-effective manner or	This sub-study will match the level of available resources to the ambitions of the	Caution: Matching levels of funding to objectives and comparison to other

resources to achieve objectives	with added value compared to other funding channels	GEF and position the GEF vis-à-vis other funding channels Evaluations of other independent evaluation units will be included in the sources	funding channels can be useful but may have limited validity
Donor performance in the GEF and resource mobilization	Extent to which the GEF is capable of mobilizing resources and whether donors are meeting their obligations	A sub-study will update the findings of OPS4 in light of the developments since then.	Focus on a few key issues and limited scope
In-depth look at focal area strategies, as well as multi-focal area efforts, including impact	Extent to which focal area strategies are good or need to be strengthened Extent to which multi-focal area programs and projects achieve added value How were the focal area strategies developed?	Focal area strategies evaluation will deliver in-depth strength and weakness analysis Comparison between focal area interventions and multi-focal area interventions Evidence from other evaluations	Linkage of evidence on the ground to strategy will be a challenge and may limit evidence base
Reform processes: <ul style="list-style-type: none"> <li>• STAR</li> <li>• CSP (including NPFE)</li> <li>• Broadening the GEF Partnership</li> <li>• Reforms in the project cycle</li> <li>• Programmatic approach</li> <li>• Results based management including knowledge management</li> </ul>	Extent to which the major reform processes of the GEF have achieved their objectives and are strengthening the results on the ground, following the key principles of enhanced country ownership and improved effectiveness and efficiency	Mid-term evaluations on STAR and CSP/NPFE will run in parallel with OPS5. The portfolio analysis of the meta-evaluation will be extended to the end of the OPS5 period to ensure up-to-date assessments of the other reform processes.	The mid-term evaluations have not yet been scoped but sufficient funding is available in the multi-annual budget to ensure solid evaluative work. The update of the portfolio analysis should not pose any problems
Governance of the GEF	Extent to which the governance of the GEF continues to follow best international practice	A sub-study will look at the OPS4 conclusions and where necessary update them for OPS5	Focus on a few key issues and limited scope
Role of STAP	Extent to which the GEF has benefitted from STAP's advice and involvement Extent to which the current arrangements for STAP facilitate or hinder STAP's independence and interaction with the	A sub-study will look at changes in the role of STAP as well as aim to assess client satisfaction with STAP's products, as well as an assessment of the state of the art of these products It will also look at the current organizational	This sub-study will include a self-assessment of STAP, interviews and a survey, as well as desk study.

	GEF	set-up and its consequences for STAP's functioning	
Role of private sector	Extent to which the private sector is involved in the GEF and whether this strengthens results on the ground	The update to the portfolio analysis will include a more in-depth look at to what extent and with which results the private sector and civil society organizations are involved at the project level – a sub-study will link this to the findings in the focal area strategy evaluations	The portfolio analysis and the sub-study together will provide solid indications of trends and achievements – the trend analysis will however be limited to the last two GEF periods
Role of civil society organizations	Extent to which civil society organizations are involved in the GEF and whether this strengthens results on the ground		
Cross-cutting policies: <ul style="list-style-type: none"> <li>• Gender</li> <li>• Indigenous peoples</li> <li>• Public involvement</li> <li>• Communication</li> </ul>	Extent to which cross-cutting policies have achieved their objectives and whether this strengthens results on the ground	A sub-study will identify the evidence on these cross-cutting policies in the portfolio as well as existing evaluations – some emerging hypotheses may be tested in the field	Desk study plus field evidence, coupled with existing evaluative evidence should enable solid conclusions
Update of the GEF SGP evaluation	Extent to which the GEF SGP has managed to increase coverage while maintaining levels of achievement	A sub-study will look at trends, network issues, management issues, M&E issues, focal area and capacity indicators and aim to link these to achievements on the ground	Desk study plus field evidence – if this evaluation would be useful to GEF SGP, partial co-funding could be achieved if this sub-study could also serve as the independent terminal evaluation for a GEF SGP phase.
“Health” of the GEF Network and Partnerships	Extent to which the network and the current partnerships support achievements of the GEF	A sub-study will look at trends in network and partnership relations (including factors that facilitate or hinder and knowledge sharing issues) and link these to developments in the GEF, as well as the extent to which broadening the partnership has contributed to better achievements	This will involve an electronic survey and interviews with stakeholders and partners, and will involve further analysis on the added value of a broadened partnership also on the basis of other OPS5 findings

24. OPS5 will not address all the issues that were raised in OPS4. OPS4 included an independent professional peer review of the GEF Evaluation Office, which validated the independence of the Office and the quality of the work undertaken, while identifying issues that could be improved. Upon request of the Council these issues have been taken up in the revision of the GEF Monitoring and Evaluation Policy in 2010. Given the fact that this policy is now two years old, it does not seem prudent to include a professional peer review of the policy and the Office in OPS5. The current Director of the Office serves until September 2014. It is proposed that a professional peer review will take place in the first half of 2014, so that its conclusions can be taken up by the new Director who would take up the position in September 2014.

25. The governance work for OPS4 was undertaken by an independent external consultant, given the fact that the GEF Evaluation Office would be biased to evaluate the Council, to which it reports and which approves its budget. OPS5 does not include such an independent study but would update the main findings of the OPS4 sub-study through a desk review of Council documents and other relevant documentation. If new issues would emerge (which is not expected), OPS5 would recommend doing another independent study rather than to present judgments and recommendations.

26. OPS4 contained detailed work on many issues that will not be explored in the same level of depth in OPS5. One emerging finding of the comprehensive evaluation initiative, which looks at how effective these evaluations have been in their respective organizations, is that these evaluations tend to become less effective if they raise too many issues. The OPS5 reports (first and final) will need to be strategic in reporting on findings and in lessons that could be applied in GEF-6. More in-depth evaluative work that would lead to recommendations at the operational level or at the level of interventions should be accommodated in the regular evaluation programming of the Office and should be reported on in separate and specific evaluation reports that would follow the standard approach of discussion of preliminary findings in workshops and uptake of findings and lessons in management responses.

## Methodological Considerations

27. The GEF Evaluation Office has over time distilled from evaluative evidence the overall approach that the GEF has developed to achieve impact. OPS4 has extensively reported on the catalytic role of the GEF and on progress toward impact. Further methodological development in the Office has led to the formulation of a generic “theory of change” that identifies why the GEF and its partners are supposed to achieve global environmental benefits. This theory of change incorporates assumptions about causal pathways in focal areas, country programs and modalities of the GEF and how these interact.

28. The generic GEF theory of change, as shown in figure 1, draws on a large amount of evaluative evidence gathered over the years by the Evaluation Office. It is not presented and used by the Office as a representation of an objective reality, but as a symbolic representation and a heuristic<sup>3</sup> device, an exploratory tool to help understand the causal pathways between GEF

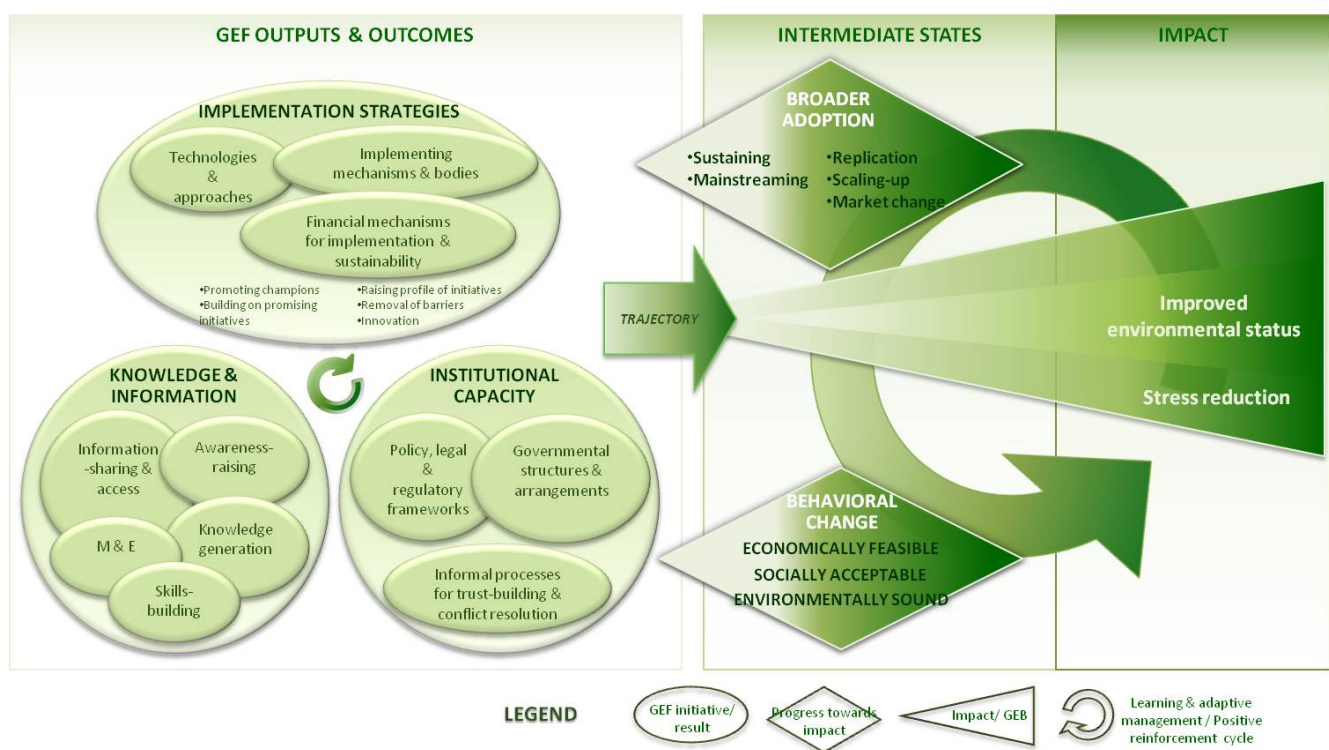
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<sup>3</sup> The Merriam-Webster dictionary defines **heuristic** as “involving or serving as an aid to learning, discovery, or problem-solving by experimental and especially [trial-and-error](#) methods <heuristic techniques> <a heuristic assumption>; also : of or relating to exploratory problem-solving techniques that utilize self-educating techniques (as the evaluation of [feedback](#)) to improve performance.

support and global environmental benefits. The purposes of the generic GEF theory of change are to: 1) help place GEF support contributions in a chain of causality leading to the generation of global environmental benefits; 2) help establish links between different elements of GEF support, and identify mechanisms of change put into place by GEF support; 3) assess progress towards global environmental benefits; and 4) identify gaps or constraints on further progress towards global environmental benefits. Thus, the generic theory of change is not meant to be a standard against which GEF support is to be measured, but a tool for better understanding how GEF support contributes or does not contribute to progress towards impact, and ultimately to global environmental benefits.

**Figure 1 – Generic Theory of Change of the Global Environment Facility support**

## General Framework for GEF Theory of Change



29. Typically, GEF support is concentrated in knowledge & information, institutional capacity, and implementation initiatives that seek to contribute to an enabling environment and to the development of institutions. Results in these areas that can be linked to GEF support are known as GEF outputs and outcomes, and are considered to be within the realm of GEF influence. GEF-supported elements are meant to interact, complement and reinforce each other, collectively contributing to the trajectory leading towards impact. Intermediate states refer to situations in which there is evidence of progress towards impact at the level of the system. While in some cases, early intermediate states take place by the end of GEF support, or may be an integral part of GEF-supported interventions, these states generally take place after GEF support. Progress in this realm depends mainly on actions taken by countries. This takes place with increasing country ownership, and also increasing engagement of non-government stakeholders, such as civil society organizations (CSOs) and the private sector.



30. Broader adoption refers to the intermediate state where governments and other stakeholders continue and expand GEF outputs and outcomes beyond GEF support. Broader adoption can occur through various processes, but five are often seen following GEF initiatives, which may happen sequentially or simultaneously. The first is sustaining, where a GEF initiative continues to be implemented through its integration into the regular activities and budget of the government or some other stakeholder. The second is mainstreaming, whereby information, lessons, or specific aspects of a GEF initiative are incorporated into a broader stakeholder initiative. The third is replication, whereby a GEF intervention is reproduced at a comparable scale, often in different geographical areas or regions. The fourth is scaling-up, where an activity is expanded to address concerns operating at larger geographical, ecological or administrative scales. The fifth, market change, pertains to market transformation, which might encompass technological changes, policy and regulatory reforms, and financial instruments that increase demand for goods and services likely to contribute to global environmental benefits.

31. The various elements in the framework are related to the findings of OPS4 on the catalytic approach of the GEF, which identified foundational, demonstration and investment elements in GEF support. They are related to the framework presented here in the following ways. **Foundational elements** focus on institutional issues and include support to the generation of knowledge and information, as well as to the governance framework that will enable the necessary changes to take place. These are meant to contribute to an enabling environment, and by themselves are not expected to cause any direct changes in environmental status.

32. **Demonstration elements** are meant to test approaches that directly contribute to stress reduction or removal of threats and that, if adopted on a broader scale, could lead to significant environmental benefits. Typically, GEF-supported demonstrations involve the testing of technologies, organizational structures or arrangements, and financial mechanisms, or a combination of the three. Demonstrations are also frequently accompanied by specific regulatory reforms and the generation of specific knowledge and information related to the approaches being demonstrated. Demonstrations can lead to environmental stress reduction or barrier removal at a relatively small scale, benefits may also vary with regards to their durability.

33. **Investment elements** normally seek to expand the reach and scale of lessons and approaches tested through demonstrations, or to sustain and expand foundational activities. Investments are oriented as systemic and more durable transformations that contribute to environmentally sound behavioral changes. Paths to expand reach can vary, but four paths are often found in GEF projects, which may happen sequentially or simultaneously. The first is mainstreaming, whereby information, lessons, or specific outputs of GEF support are incorporated in a broader policy or administrative reform. The second is replication, whereby a demonstrated technology or approach is reproduced at a comparable scale, often in different areas or regions. The third is scaling-up, where an activity is expanded to address concerns operating at larger geographical, ecological or administrative tiers (or scales). The fourth, market change, pertains to market transformation, which might encompass technological changes, policy and regulatory reforms, and financial instruments that increase demand for goods and services likely to contribute to global environmental benefits.

34. In OPS4 GEF projects were classified according to which of these elements was predominantly present in activities and the focus of the project. However, in many if not most projects these elements are present to some extent. Foundational projects tend to include some

demonstration or even investment elements, as it is often fully recognized that a regulatory framework on its own does not achieve much. Demonstration elements tend to be accompanied by foundational elements that enable these demonstrations and that open the door for broader application of what is demonstrated. Investment elements are also often accompanied by foundational elements to remove remaining barriers to up-scaling or market change, and may contain demonstration elements to ensure further uptake or to tackle remaining doubts in the market or in adoption of new policies. Knowledge and information tend to be present as elements in almost all activities.

35. The generic GEF theory of change assumes that mainstreaming, replication, scaling-up and market changes will gradually result in or be evidence of behavioral change that leads to greater environmental stress reduction, and eventually in the removal of threats and improvement of environmental status, or in the reduction of the rate of environmental degradation. The model assumes that, for positive environmental change to continue, these processes will also have to result in an increasing shift to development approaches that meet people's needs in ways that are environmentally sustainable. Typically, GEF support is concentrated in the foundational and demonstration elements that seek to contribute to an enabling environment and to the development of institutions. Intermediate states refer to situations in which there is evidence of progress towards systemic changes, while in some cases early intermediate states take place by the end of GEF support, these states take place mostly after GEF support and progress in this realm depends mainly on actions taken by countries.

36. These concepts provide a methodological framework for OPS5. The generic theory of change will be used as a common framework during the meta-evaluation to organize and classify evidence and to carry out broad comparative analysis of data derived from different sources and techniques. The specific methods that are used to gather data, to analyze these data and to validate and triangulate findings and evaluative judgments are the usual standard methods that will be applied following best international practice: literature and document reviews, portfolio analysis, (semi-structured) interviews, surveys, stakeholder consultation and analysis, country and field visits, statistical analysis and qualitative analysis and case studies, as well as triangulation of findings from different sources.

37. Counterfactual analysis will be made explicit in OPS5 where appropriate. The GEF is rich in counterfactual analysis, as its basic premise is the additionality of global environmental benefits that can be achieved if an alternative to "business as usual" is followed. For almost all GEF activities counterfactual argumentation is at the core of the funding proposal and scenarios "with" GEF support and "without" GEF support are available. However, due to the lack of baseline data in older projects the terminal evaluations have often been unable to verify the counterfactuals. In OPS5 the available evidence on counterfactuals will be made explicit, including where such evidence remains unverifiable. Given the long time horizon of causal pathways to global environmental benefits this is to be expected.

## **Quality Assurance**

38. The previous overall performance studies have benefitted from various quality assurance processes. The third overall performance study was followed by a high level advisory panel, composed of five members. This panel interacted at key moments with the evaluation team of ICF Consulting. Quality assurance was also provided by the GEF Evaluation Office to the team

through peer reviews. At no time did this reduce the independence of the evaluation team which maintained full responsibility for the final OPS3 report.

39. OPS4 was implemented by the GEF Evaluation Office. Two quality advisors, Mr. Shekhar Singh of India and Mr. Bob Picciotto of the UK, provided extensive comments and suggestions on the on-going work as provided their final comments to the replenishment process and the GEF Council. Furthermore, peer reviews on specific work for OPS4 were provided by staff of the independent evaluation offices of GEF Agencies. These arrangements did not reduce the independence of the GEF Evaluation Office in undertaking OPS4 and the Office maintained full responsibility for the final report of OPS4.

40. The lessons from quality assurance of OPS3 were incorporated into the arrangements for OPS4. Similarly, the lessons from quality assurance of OPS4 will now need to be integrated into OPS5. First of all, the two quality advisors provided excellent and very welcome comments during and at the end of OPS4. They would have liked to have been involved at an earlier stage. This can be accommodated, by asking the GEF Council for an early approval of the quality assurance team that would accompany OPS5.

41. It is proposed that this time a team of three quality assurance advisors is appointed. For OPS4 two quality advisors represented the developed and the developing nations in the GEF. With a team of three advisors, the representation could be from three categories of nations: the developed, the newly emerging group of BRICS, and the developing nations in general. The quality advisors need to be recognized international experts with a solid background in the environment, development and evaluation.

42. The following three independent quality assurance advisors are proposed, whose brief biographies can be found in annex I:

- (a) Mr. Kabir Hashim, Sri Lanka. Mr. Hashim is a former board member of the International Development Evaluation Association. He is a member of Parliament and has served as minister for Tertiary Education from 2001 to 2004. He has undertaken several international evaluations and worked for the UN and other international agencies, on development, conflict resolution and environmental issues. He is a member of the Sri Lanka Evaluation Association and an evaluation consultant.
- (b) Mrs. Elizabeth McAllister, Canada. Mrs. McAllister has a distinguished career in evaluation in Canada and in the World Bank, where she was Director of the Operations Evaluation Department of IBRD/IDA. She has led major evaluations, of which the most prominent was the evaluation of the Consultative Group on International Agricultural Research, which included environmental aspects.
- (c) Professor (Mrs.) Chen Zhaoying, China. Prof. Zhaoying is Deputy Director-General of the National Center for Science and Technology Evaluation (NCSTE) in Beijing and one of the founders of evaluation in China. She was a member of the high level panel for OPS4. She has been involved in many international evaluations as well as Chinese evaluations of external support to China, amongst them several evaluations that focused on environmental issues. Recently she was a member of the management team of the “UN as one” evaluation.

43. It is not possible to achieve geographical representation through three quality assurance advisors and no attempt has been made to do so. The Office is aware that a solid and broad representation of regions and countries in OPS5 is essential to ensure that the findings are balanced and take the specific needs and requirements of regions and groups of countries into account and will ensure this representativeness throughout OPS5 as much as feasible.

44. The peer review mechanism for OPS4 through involvement of staff of the independent evaluation offices of GEF agencies did not work as well as it should and could have. In general two key moments for peer reviews were identified: when sub-studies of OPS4 delivered products that could be reviewed and when the final report was prepared. However, it turned out that the time-frame of OPS4 was too short to allow for the peer review work that staff of the GEF agencies evaluation offices had volunteered to do – if a peer review has to be done within a week, it may not be fully satisfactory neither to the staff member involved or to the GEF Evaluation Office.

45. For OPS5 a similar process of undertaking peer reviews with staff from the independent evaluation offices of the GEF agencies is foreseen, but care needs to be taken to ensure a timely production of interim material that will enable a fruitful peer review. This may be helped by a reduced number of sub-studies that will be undertaken as well as a more stepped approach through a first meta-evaluation report and a later full report. A reference group will be set up with the evaluation offices of the GEF agencies to ensure that the process will be better guided and have a stronger peer interaction for OPS5.

46. Quality Assurance will be applied to key moments of OPS5:

- The start-up phase of the meta-evaluation
- The draft first report of OPS5
- The start-up phase of the studies for the final report
- The draft final report of OPS5

47. The final report of OPS5 will be accompanied by a statement of the independent quality assurance advisors.

## **Organizational Issues**

48. The team for Thematic Evaluations will coordinate the work for OPS5. The Director will take personal responsibility for OPS5 and manage the study. Each team in the office will contribute especially on the subjects that are in line with the work of the team. Thus the current office structure will ensure a strong support for OPS5. The Operations and Knowledge Management Team will ensure budget oversight, contracting additional expertise where needed and will support the communication and dissemination strategy for OPS5.

49. The Comprehensive Evaluation Initiative that looks at overall comprehensive evaluations of international funds and agencies will report on best practices in these evaluations through a workshop in Paris on June 14 and 15. Any emerging lessons that need to be taken into account in OPS5 will be incorporated in the further planning of the work for OPS5, and where this will have

consequences for key questions or budgetary questions, these issues will be submitted to Council in the Progress Report of the Evaluation Director in November 2012.

## Stakeholder Interaction

50. OPS5 will include a stakeholder consultation process. The possibilities for a more structural exchange with stakeholders have increased over time. In the Third Overall Performance Study stakeholder consultations had to be budgeted and implemented by the OPS3 team. During OPS4 a lower number of meetings needed to be budgeted as sub-regional meetings of GEF focal points had emerged as an important means to interact directly with the Evaluation Office. With the current Extended Constituency Workshops the Evaluation Office will have an even broader interaction with stakeholders in the GEF and no special meetings need to be budgeted in OPS5. Stakeholder interactions with the Secretariat and other GEF partners, such as STAP, GEF Agencies, the Trustee, will be part of the OPS5 process.

51. On top of the ECW workshops, special interaction will need to be set up with representatives of civil society organizations, the private sector, and representatives of staff and beneficiaries involved in projects. The Evaluation Office will consult with partners (most notably the NGO network) to ensure that a broad and inclusive interaction will take place during OPS5. However, the expectation is that new media, like skype and adobe connect, as well as instruments like surveymonkey.com will be sufficient to ensure wide engagement.

## Timeline

52. If the same process and timeline is followed as for the fourth replenishment of the GEF, the first meeting of the replenishment could conceivably take place in March 2013, whereas the last and concluding replenishment meeting could be held at its earliest in November 2012 and at its latest in February or March 2013. This means that the first synthesis report should be available to the first meeting of the replenishment and should be finalized end of February 2013. The second report should be available to the replenishment at the latest in November 2013.

TORs and budget approved	June Council meeting					
Work for meta-evaluation		June to Dec 2012				
First OPS5 report				Early 2013		
Sub-studies for OPS5			Nov 2012 to Sept 2013			
Final OPS5 report						November 2013

## Interactions with Council and the Replenishment

53. Special mention should be made of the interactions with the replenishment process and with Council. The GEF Council will decide on the terms of reference and budget for OPS5 in its June 2012 meeting. The first report of OPS5 will be presented to the first replenishment meeting, which is expected in the first half of 2013. It will also be presented to the GEF Council meeting

in May or June 2013, which may be several months after the first replenishment meeting. Both presentations will include a consultation on any further refinement that the replenishment process and the Council would like to see included in the final phase of OPS5, which the Office will aim to accommodate within the budget allocated for OPS5. The final report of OPS5 will also be presented both to Council and to the replenishment.

54. The first report will contain conclusions and recommendations based on the meta-evaluation that can be taken up in the replenishment process, or can be taken up directly by Council. Since this is early in the replenishment process, when the policy recommendations and programming documents still need to be written, reference can be made to these conclusions and recommendation when preparing the replenishment documents. This would mean that the replenishment process would contain a response to findings and recommendations of OPS5. This has not been possible for previous overall performance studies, because they became available at a late stage in the process when most if not all documents had already been written, and negotiations focused on fine-tuning of existing texts rather than to add new text on the basis of findings and recommendations of the overall performance study. Although these references to OPS5 would look like the “management response” that evaluations receive in the GEF, they would not constitute a management response, but rather an account of the replenishment participants of how findings and recommendations of OPS5 have been incorporated. In principle these references would demonstrate the focus on learning and accountability in the GEF and would support replenishment participants in demonstrating these principles to their respective constituencies.

55. The final report of OPS5 could likewise lead to references in the final versions of the policy and programming documents. The GEF Evaluation Office and the Secretariat could ensure timely information exchange to make this possible. Given the fact that the schedule of replenishment meetings is still undecided this is an issue that will need to be taken up at a later stage in the process.

## **Budget**

56. The first report of OPS5 has a detailed budget of sub-components. This budget is provided in table 3. The sub-studies that will be undertaken for the final report of OPS5 have not yet been budgeted in detail, but the budget is based on OPS4 experience and experience of the Office with undertaking similar studies and evaluations in the course of its regular work program. The budget for the final report is presented in table 4. The overview of the total budget for OPS5 in fiscal years 2013 and 2014 is contained in table 5. Council is asked to approve the budget for OPS5 in fiscal years 2013 and 2014 for a total of USD 1,075,000. This amount has been included also in the overall work program and budget of the Evaluation Office in the multi-annual budget for the thematic evaluations and any changes that the Council would like to apply to this budget should be incorporated into the overall work program and budget as well.

57. In general the overall budget of OPS5 amounts to a substantial reduction vis-à-vis the budget for OPS4. Savings of more than USD 1 million were achieved through incorporating the preparatory work for OPS5 into the regular work program of the Office.

<b>Table 3 – Budget for first OPS5 report</b>	
Relevance of the GEF to the conventions	\$10,000
Achievements of the GEF at project level	\$5,000
Progress toward impact at the project level	\$8,000
Catalytic role of the GEF	\$16,000
Country ownership and needs	\$8,000
Longer term impacts of the GEF	\$17,500
Trends in performance issues	\$17,500
Trends in focal area achievements	\$30,000
Finalization of report, communication and travel	\$20,000
Contingency	\$13,000
<b>Total budget</b>	<b>\$145,000</b>

<b>Table 4 – Budget for the final OPS5 report</b>	
<i>Key issue</i>	<i>Budget</i>
Trends in global environmental problems	\$5,000
Emergence of new funding channels, including the GEF's role	\$15,000
Assessment of the comparative advantage and resources of the GEF	\$15,000
Donor performance in the GEF and resource mobilization	\$10,000
Strengths and weaknesses of focal area strategies	\$10,000
Reform processes	\$150,000
Governance of the GEF	\$15,000
Role of STAP	\$95,000
Role of private sector	\$50,000
Role of civil society organizations	\$50,000
Cross-cutting policies	\$100,000
Update of the GEF SGP evaluation	\$75,000
“Health” of the GEF Network and Partnerships	\$50,000
Stakeholder consultations and travel	\$100,000
Final report preparations	\$20,000
Presentations, communication	\$20,000
Contingency	\$75,000
<b>Total</b>	<b>\$855,000</b>

<b>Table 5 – Budget overview OPS5</b>	
First report	\$145,000
Final report	\$855,000
Publication and communication	\$75,000
<b>Total budget</b>	<b>\$1,075,000</b>

<b>Table 6 – Comparison of OPS (in \$k)</b>		
OPS3	Actual costs	\$2,142
OPS4	Actual costs	\$2,231
OPS5 (FY13/FY14)	Budget	\$1,075



## **Annex I – Biographies of Independent Quality Advisors**

### **Kabir Hashim**

- Mr. Hashim, a native of Sri Lanka was educated at Trinity College, Kandy and Royal College Colombo. He received a degree in Economics from the University of Peradeniya in 1979 with honors. In 1997 he completed his masters degree in Economics at the University of Colombo.
- He was involved in his family business from 1984 to 1996. In 1994 he was elected as Member of Parliament of Sri Lanka. He continues to be a senior parliamentarian for 18 years up to date. In 1997 Mr. Hashim became senior consultant to the International Center for Ethnic Studies and also began to work as an independent consultant. As a Parliamentarian, Mr. Hashim served on various parliamentary consultative committees. He was member of the M&E committee of public sector development projects in Parliament. He was also on the main Oversight committee whose task was to monitor “Good Governance” and review the performance of public sector institutions, projects and ministries towards achieving their outcomes and goals. He also represented the Parliament of Sri Lanka at the United Nations in 1999. From 2001 to 2004 Mr. Hashim served as Minister of Tertiary Education & Training in the Government of Sri Lanka.
- In 2010, Mr. Hashim was appointed a Board Member of the International Development Evaluation Association (IDEAS). He was also a member of the Sri Lanka Evaluation Association and was involved in assisting in developing an M&E training program for South Asia. He also worked closely with the Ministry of Plan Implementation (Sri Lanka) in strengthening M&E practices for Parliamentarians and the public sector. Mr. Hashim worked for the Asian Development Bank and UNDP on M&E projects in Pakistan and Afghanistan, where he helped establish a community based participatory monitoring system for Monitoring & Evaluation under conflict conditions.
- Mr. Hashim has worked as an independent consultant in many countries for international donor agencies. He has worked in conflict areas and has worked to make a change. He has extensive experience in M&E, Project Management and Workforce Development. He remains a Member of Parliament in Sri Lanka and is actively involved in M&E work.

### **Elizabeth J. McAllister**

- Elizabeth McAllister has served in leadership positions in the international development community for over 25 years. From 1997 to 2005, she held a number of senior assignments at the World Bank in Washington, D.C., including Director of the Operations Evaluation Department (OED), Director of External Affairs and United Nations Relations and Special Advisor to the Vice Presidency for East Asia and Pacific.
- Prior to joining the World Bank, Ms. McAllister held executive positions in the Canadian International Development Agency (CIDA) including Director General of Performance Review, Director General for Latin American and the Caribbean Region, Director of the China Country Program and Director of Women in Development. She twice chaired the DAC Working Group

on Women In Development. From 1985 to 1988, she was Counselor for Development in Jakarta, Indonesia.

- In 2007/8, she chaired the International Panel for the Independent Review of the Consultative Group on International Agricultural Research System<sup>4</sup>.
- Ms McAllister enjoys an active practice in international development focuses on organizational strategy, results based management, evaluation management and gender analysis. Her clients include the World Bank, UN Food and Agriculture Organization (FAO), International Fund for Agricultural Development (IFAD), the United Kingdom's Department for International Development (DFID), International Federation of the Red Cross and Red Crescent Societies (IFRC), Canadian International Development Agency (CIDA), Caribbean Development Bank (CDB), MOPAN and the CGIAR. She is currently a member of the Advisory Council to the Gregg Center for the Study of War and Society at the University of New Brunswick and an advisor to organizations working for people with disabilities.
- Ms. McAllister is a recipient of numerous awards for community service and leadership, including a 1994 Governor General's Commemorative Medal in her native Canada. A graduate of Harvard University's Kennedy School of Government (MPA) and the University of New Brunswick, she lives in Ottawa.

### **Chen Zhaoying**

- Professor Chen is currently high level adviser of the National Centre for Science and Technology Evaluation (NCSTE) of China where she was the Deputy Director General/Executive Director (1997–2010) and pioneered program evaluations in China complying with international standards. Professor Chen received a master's degree in 1981 in system engineering from the graduate school of Science Academia of China. She served as Division Chief at the Research Centre of the Ministry of Science and Technology of China and was an Associate Professor at the Automation Institute of Science Academia of China. Since 1994 she has worked extensively in evaluation. One of her particular areas of expertise concerns design, implementation and management of complex and strategic evaluations to enhance their utilization and increase the likelihood that evaluations will be influential.
- As an international evaluation consultant, Professor Chen worked in advisory roles for multilateral organizations and the Chinese government, providing overall direction and substantive guidance for evaluations, including as a member of the Evaluation Management Group for the Independent Evaluation of Lessons Learned from Delivering As One UN (2011). She was an international advisory group member for the conference on National Evaluation Capacities (2011) of UNDP. For the GEF she was a member of the High-level Advisory Panel for the Third Overall Performance Study of the Global Environment Facility (2005). More recently she was a high level adviser for mid-term evaluation of U.S.-China Joint Clean Energy Research Center (2012). Prof. Chen has advised many governmental departments in China, including the Ministries of Supervision, of Finance, of Science and Technology, of Agriculture, and of Health.

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<sup>4</sup> [www.cgiar.org/externalreview](http://www.cgiar.org/externalreview)

- As team leader she has been responsible for numerous evaluations, such as the International Evaluation on the Funding and Management Performance of the National Science Foundation of China (2011), which is recognized as the most influential evaluation in China up to now. Furthermore, she managed the Assessment of Development Results in China (for UNDP, 2010), Study and Pilot Work on Performance Assessment of IFIs Projects in China (for World Bank and the Chinese Ministry of Finance, 2009), the Diagnostic Study of M&E Practice of international financial institutions in China (for World Bank and the Chinese Ministry of Finance, 2008), a country-led joint evaluation of the Netherlands aid programme in China (for Netherlands Ministry of Foreign Affairs, 2006). She is the chief drafter of China's science and technology evaluation standards. Professor Chen was a board member of the International Development Evaluation Association (IDEAS) from 2002 to 2005.