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## **REVIEW OF KNOWLEDGE MANAGEMENT IN THE GEF**

(Prepared by the Independent Evaluation Office of the GEF)

**November 2017**

## EXECUTIVE SUMMARY

1. This report presents the findings of a review by the Independent Evaluation Office (IEO) to review the current role of the Global Environment Facility (GEF) as a knowledge broker and provider both within and beyond the GEF partnership. The objectives of the KM study are to assess the role of the GEF partnership as a knowledge broker and provider, the relevance and effectiveness of knowledge management and sharing across the GEF partnership, as well as the barriers to and opportunities for successful implementation. The study applied a mixed methods approach, encompassing desk and literature review, perceptions gathering through central level interviews/focus groups and an online survey specifically designed to gather country stakeholder views and information. Specific methodological components of the study include: (i) a meta-analysis of KM-related evaluative evidence contained in 26 country level evaluations and studies conducted by IEO from 2005 to 2016; (ii) a benchmarking exercise to compare the GEF KM function to similar international partnerships; and (iii) a citation analysis to identify the number and typology of GEF lessons and experience used both within and outside the partnership.

2. Following are the key findings of this review:

- (a) **The relevance of KM for the GEF mandate has been increasingly recognized in the past 15 years, with resources and consequent initiatives launched.** A KM work stream was set up within the GEF Secretariat in September 2015, guided by a KM Approach Paper (GEF/C.48/07/Rev.01). KM has demonstrated its relevance to achieving the GEF's goals. Yet, the priority given to KM at the policy level is yet to be fully matched by its actual implementation across the GEF partnership. A series of activities launched since 2015 have been recognized by the interviewed stakeholders as useful; however, there are areas with greater KM needs which have been previously identified. These include the standardization of creating, storing and accessing GEF project and program documentation; and the ability of the GEF partnership to collate, analyze and share knowledge in a systematic manner at the corporate level. Although identified since 2005, these needs remain largely unmet.
- (b) **Knowledge is often generated during project implementation and facilitates achievement of environmental benefits primarily through monitoring systems, information sharing and awareness raising.** Examples have been found where knowledge management components in GEF-supported projects and programs have contributed to behavioral and policy changes that support environmental benefits across GEF focal areas. The effectiveness of KM components contributing to environmental benefits depends on accessibility of knowledge and information produced by GEF investments. To date, knowledge generated by GEF projects is inconsistently integrated into knowledge bases of the GEF Secretariat or GEF Agencies, and therefore not consistently accessible to all interested parties.

- (c) **The GEF partnership was found to have a role of a knowledge provider with the broader international environmental community.** The GEF is cited in some 2,500 academic articles for its approaches and lessons, as well as for its funding role. At the national level, all 26 countries examined by the meta-analysis had activities to share knowledge, and the majority of surveyed country level stakeholders used the knowledge produced by different parts of the GEF partnership as an input to their own environmental projects, policies, and awareness campaigns. Convention Secretariats are currently under-served by knowledge and information systems of the GEF, including PMIS. The GEF has played less of a role as a knowledge broker in linking -- being a link between those who create and use knowledge by systematically organizing and sharing knowledge produced by different parts of the partnership.
- (d) **The knowledge generated and shared by GEF projects is useful, but needs common taxonomies, knowledge sharing approaches, and consistent integration into repositories to increase access by all interested parties.** Consistent approaches to knowledge sharing beyond the national level were not observable. Good examples of knowledge sharing are noted in some focal areas, particularly in international waters and biodiversity. In cross-cutting areas, the GEF Gender Partnership is slowly developing into a platform for building a wider constituency on gender and the environment. Improved knowledge sharing is also seen in programs (compared to stand-alone projects) and within the Integrated Approach Pilots (IAPs). GEF Agencies differ in their ability to use knowledge generated by GEF projects and programs, depending mainly upon their own agency-specific KM approaches and systems. The knowledge products produced by the GEF Secretariat are found to be lacking a consistent style, categorization and taxonomy; the Project Management Information System (PMIS) is not seen by stakeholders as an effective sharing tool mainly due to data incompleteness. Country level stakeholders indicated more outreach and accessible information on/ from GEF projects/programs was needed.
- (e) **Compared to four similar partnership organizations, the GEF has placed less emphasis on knowledge management at the project/program level in developing technical solutions to manage knowledge and in applying a systematic approach to its knowledge products.** All four comparator organizations had a KM strategy in place, except for the Green Climate Fund (GCF). Overall, the secretariats/administrative units of these organizations have a greater focus on internal systems at the strategic level than the GEF. The organizations are at different stages of implementing technology solutions and they also face challenges in having an overview of, and access to all project-level documentation. Within the respective KM-dedicated resource envelopes, all four organizations carry out a range of knowledge sharing activities, and some are more advanced in developing common knowledge products than the GEF.

3. The main conclusions are:

- (a) **The GEF partnership has made substantial progress in KM during GEF-6.** The GEF2020 Strategy emphasizes “strategically generating knowledge” as a priority for the future of the institution. Accordingly, a higher priority has been given to KM during GEF-6. In line with GEF-6 policy recommendations to improve the uptake of lessons learned in GEF projects/programs, a dedicated KM work stream has been established within the Secretariat, a KM approach paper was developed and is currently being implemented.
- (b) **Knowledge generated in the GEF partnership is being used and has influenced national environmental policies and practices.** GEF-supported projects generate a substantial amount of knowledge in the form of technical and operational project-level documentation, as well as through strategic and summary papers. There is evidence that this knowledge is being used and influencing national environmental practices and policies. In focal areas such as international waters, evidence shows that lessons from the GEF are also having a broader influence in the academic literature.
- (c) **The GEF is more of a knowledge provider rather than a knowledge broker.** The knowledge produced in the GEF is being used, but not to its full extent. Limitations exist in terms of collating and analyzing knowledge and facilitating its access, transfer and sharing across the partnership, and GEF falls short in this role of “knowledge-broker” against other comparable donor-funded partnership organizations. However, GEF is clearly moving towards improving in this area. Recent positive illustrations of this role include the biodiversity mainstreaming work, the regional knowledge days targeting country stakeholders, the gender partnership, the inclusion of KM requirements in project proposals, the GEF Art of Knowledge Exchange Guidebook and Workshops, the GEF online search tool “Kaleo”, the new knowledge and learning page on the GEF website, and the integration of KM as a specific project component of the IAPs.
- (d) **Systemic issues continue to be barriers to KM in the GEF.** Barriers to progress in KM are systemic in nature, longstanding, and have previously been identified by the GEF partnership in studies of the Secretariat and STAP, and by several major IEO evaluations. These issues are having an impact at both the project and global levels for KM, and particularly include: (a) Availability of an information management system to capture and provide access to project-level documentation from conception to conclusion that is accessible and user-friendly for GEF Agencies, countries, project and program staff; (b) Guidance on KM for GEF-supported projects and programs through the project lifecycle, beyond basic documentation requirements to ensure minimum standards of consistency and accessibility; (c) capacity within the Secretariat to connect with GEF Agency systems and platforms and to create an enabling environment for corporate-level learning, knowledge exchange and collaboration across the GEF portfolio.

4. The main recommendations are:
- (a) **The GEF Secretariat should place a high priority on improving the quality and the availability of project-level documentation from a KM perspective, including lessons learned during design and implementation.** To ensure minimum standards of consistency in KM across GEF agencies and projects, clear guidance should be provided to Agencies on, for example, the typology of knowledge products to be generated during and after project implementation, and the capture and storage of such information. As the PMIS is currently under revision, efforts should be made to ensure that it becomes the key platform for storing and sharing project-level documentation throughout the project lifecycle. The revisions to this platform should be made in consultation with the GEF Agencies and other parts of the partnership to ensure access for GEF Agencies, project and program staff and countries. The platform should facilitate easy uploading, downloading, and analysis of project and program documents from design through supervision and finally completion.
  - (b) **The GEF Secretariat and the KM Advisory Group, should develop a plan to connect across GEF Agency KM systems, generate knowledge products and organize learning activities across focal areas, agencies and cross cutting themes.** The partnership would benefit from a clear work plan on learning activities and knowledge products to be generated within and across focal areas in collaboration with GEF agencies, along with a proposed resource envelope and enhanced internal capacity. Ideally these products would draw on lessons from across the partnership, including from agencies, STAP, Conventions and countries, and would support strategic decision making and planning at the portfolio and corporate levels. Mechanisms to disseminate and share such knowledge products should also be clearly articulated in the plan.

## **GLOSSARY OF ABBREVIATIONS**

ADB	Asian Development Bank
CBD	Convention on Biological Diversity
CIF	Climate Investment Funds
ECW	Expanded constituency workshop
GAVI	Global Alliance for Vaccines and Immunization
GCF	Green Climate Fund
GEBs	Global environmental benefits
GEF	Global Environment Facility
GPE	Global Partnership for Education
IAPs	Integrated Approach Pilots
IEO	Independent Evaluation Office (of the GEF)
KM	Knowledge management
MDB	Multilateral development bank
OPS	Overall Performance Study
PMIS	Project Management Information System
STAP	Scientific and Technical Advisory Panel
FAO	Food and Agriculture Organization of the United Nations
FUNBIO	Brazilian Biodiversity Fund
IFAD	International Fund for Agricultural Development
IUCN	International Union for Conservation of Nature
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

UNFCCC United Nations Framework Convention on Climate Change

WWF World Wildlife Fund

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## **INTRODUCTION**

1. This report presents the findings of a review to assess the current role of the Global Environment Facility (GEF) as a knowledge broker and provider, both within the GEF partnership and beyond, in the international environmental community of practitioners. The aim of the review is to assess whether there are any systemic issues that need to be addressed in terms of relevance, effectiveness and efficiency of the knowledge management function in planning for GEF-7.

## **METHODOLOGY**

2. The methodology used for the review included the following major components:

- (a) Semi-structured interviews held with 33 members of the GEF partnership: 8 staff of the GEF Secretariat; 18 staff of 10 GEF Agencies; 4 staff of 2 Convention Secretariats; 2 staff and the chair of the Scientific and Technical Advisory Panel (STAP);
- (b) An online survey conducted in English, French and Spanish, administered to country-level stakeholders (GEF national focal points, country focal points of multilateral environmental conventions, representatives of civil society organizations, project partners and staff, GEF Agencies country and regional staff) for which 736 responses were received, corresponding to a 28 percent response rate;
- (c) A citation analysis of academic literature conducted using Google Scholar and the Scopus database. The citation analysis covered the period since GEF establishment until June 2017.
- (d) A comparative study on knowledge management (KM) systems, structures and approaches conducted on four comparable donor-funded partnership organizations: The Climate Investment Funds (CIF), the Global Partnership for Education (GPE), the Green Climate Fund (GCF), and Global Alliance for Vaccines and Immunization (GAVI). The study was based on relevant documentation and interviews with nine staff of these organizations;
- (e) A meta-analysis of KM-related evidence from 26 country-level evaluations conducted by IEO from 2005 to 2016; and
- (f) Document and literature review.

3. A list of the persons interviewed can be found at Annex 1. The complete responses to the online survey can be found at Annex 2. Main KM features of the four comparable organizations can be found at Annex 3. The citation analysis and meta-analysis reports are available as technical documents upon request.

## FINDINGS

4. Findings are structured in five main sections: (i) relevance of KM to the GEF mandate and strategy; (ii) effectiveness of GEF-supported KM contributions to global environmental benefits; (iii) GEF role as a provider of knowledge both within and beyond the GEF partnership; (iv) efficiency of knowledge sharing and access in the GEF; and (v) comparing KM function in the GEF partnership with similar donor-funded partnership organizations.

### Relevance to the GEF mandate and strategy

5. The relevance of KM to the GEF mandate has been increasingly recognized in the past 15 years. The starting point was the proposal in 2003 of the internal GEF Monitoring and Evaluation Unit to establish a KM strategy. This led to the GEF Council endorsing KM as a corporate-level task together with an initial US\$0.49 million budget, in 2004. As part of GEF-3 to 5 replenishment periods (June 2002 to June 2014) a KM strategy and accompanying initiatives were launched. However, the third, fourth and fifth Overall Performance Studies (OPS) of the GEF (GEF IEO 2005, 2009 and 2014) reported that the KM approach during this period was not comprehensive and under-resourced.

6. In 2014, the policy recommendations in the GEF-6 replenishment document requested the Secretariat to develop a comprehensive work plan to build a KM system.<sup>1</sup> As a result, the Secretariat produced a KM Approach Paper and established a KM work stream within its Policy, Partnership and Operations Unit.<sup>2</sup> This work stream, tasked to coordinate KM work across the GEF partnership and consisting of one full-time KM coordinator and several part-time staff, became operational in September 2015. The GEF Strategy 2020 has also emphasized “*strategically generating knowledge*” as a priority.<sup>3</sup> However, the priority given to KM at the policy level is yet to be fully matched by its actual implementation across the GEF partnership.

7. Since the KM work stream in the GEF Secretariat became operational in 2015, KM has demonstrated its relevance to achieving the GEF’s goals. The KM work stream has implemented substantial activities in a period of less than two years. A KM Advisory Group was established as an informal mechanism for collaboration across the GEF partnership. KM surveys, the knowledge asset assessment and the knowledge audit were conducted to assess the current state of the knowledge system and identify priorities for the work program. The initial action plan and the roadmap for knowledge management were developed. In addition, several KM pilot initiatives were launched. They ranged from extracting lessons from completed multifocal area projects, implementing regional GEF Knowledge Days, developing the Art of Knowledge Exchange guidebook and workshops, launching the GEF Kaleo question and answer online tool, and the incorporation of mandatory KM questions in project documents, among others.

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<sup>1</sup> GEF (May 2014), *Report on the sixth replenishment of the GEF Trust Fund*. Fifth GEF Assembly. GEF/A.5/07/Rev.01

<sup>2</sup> GEF (2015), *GEF Knowledge Management Approach Paper*, 48<sup>th</sup> Council Meeting, GEF/C.48/07/Rev.01

<sup>3</sup> GEF (2014), *GEF 2020 strategy for the GEF*, p. 32.

8. Although recognized as useful initiatives, persons interviewed from across the GEF partnership believed that there were areas with greater KM needs to be met. The KM Audit and Knowledge Asset Assessment conducted by the GEF Secretariat in partnership with IUCN in 2016 summarized these needs in clear terms: *“The tendency seems to be to give attention to generating more and different knowledge, rather than taking a step back and understanding the limitations of how data is currently being generated and managed”* (p. 2). That study identified these needs in two main areas. First, the need for learning at project level, which includes the standardization of creating, storing and accessing GEF project and program documentation. Second, the corporate-level learning needs, involving the ability of the GEF partnership to collate, analyze and share knowledge in a systematic manner. These two needs are not new and have been identified since 2005 (OPS-3) and are recognized equally in the KM Approach Paper with solutions proposed as described above. Activities have been launched to address these needs, including a pilot to extract lessons from terminal evaluation reports of multifocal area projects, and improvements to the next version of the PMIS, but its early to assess their contribution to enhancing KM. Many agencies rely on their own KM systems and cannot draw on knowledge generated from other GEF Agencies (Box 1).

*Box 1: KM at the project level*

**Box 1: KM at the project level**

In 2009 a KM and learning initiative was carried out for IFAD’s work in Eastern and Southern Africa (ESA). The initiative had a broad and ambitious agenda: to improve project management processes and results by fully integrating KM into all aspects of project management, including monitoring and evaluation, financial management, supervision and reporting. Over a period of two and a half years from 2009 to 2012, the initiative worked with more than 125 project staff from 32 IFAD-supported projects in 12 countries, as well as limited number of staff from government departments and partner organizations. Three main products resulted from the KM and learning initiative in East and Southern Africa: a model for an integrated KM system; a conceptual framework and guidelines for how to operationalize KM in large development projects; a performance framework for KM and learning; and a concept for project start-up.

Source: Hagmann, J. and H. Gillman. 2017. The future of knowledge management in large development programmes and organisations: lessons from a large-scale institutional experiment. Knowledge Management for Development Journal 13(1): 4-24 <http://journal.km4dev.org>

9. The role of KM within the GEF supported projects and programs is not always clear. Seven out of 10 interviewed GEF Agencies’ representatives stated that they lacked guidance on KM from the Secretariat. No partnership-level guidance, such as minimum expectations on KM at the project level was found, as was also noted in the KM Audit. Agencies stated that that KM was applied in a haphazard manner within programs and projects and its relevance not reinforced. While Agencies acknowledged that KM was happening despite this limitation and

KM activities were indeed found at project level in all 26 GEF country portfolios examined by the meta-analysis, their concern was that the full potential of KM was not being met. The mandatory KM questions introduced by GEF Secretariat for project documents during GEF-6, do not provide guidance on minimum requirements on KM. STAP produced a practitioner guide for mainstreaming KM into project design that was presented to the GEF KM Advisory Group in October 2016. To date, the guide is still at the draft stage.

10. Some GEF Agencies linked this weakness to available resources. The 2017 GEF Secretariat's aggregated budget for KM related activities is some US\$2 million which is 9 percent of the total GEF Secretariat's corporate budget and includes publications (some US\$0.3 million from the communications budget), expanded constituency workshops (ECW) knowledge days and training workshops (some US\$1 million from the Country Support Program budget). KM budgets of secretariats/administrative units for three comparable organizations range from US\$2.3 to 13 million and are 7-11 percent of their total operational budgets for secretariats/administrative units of these partnership organizations (see Annex 3). CIF's budget of US\$2.6 million excludes US\$9 million for a multi-year Evaluation and Learning initiative. In addition to GPE's budget of US\$2.3 million for the internal GPE Secretariat KM systems, the organization will use some 5 percent of annual disbursement for their country and partnership-focused Knowledge and Innovation Exchange Mechanism. GAVI's budget of US\$13 million includes all document management and business analyst costs but does not include country-level KM costs. If GEF's country-level KM costs are not considered, the KM budget, including the communication budget for publication, is approximately 4 percent of total budget.

11. Outside of the KM work stream, the roles and responsibilities for KM within the Secretariat are not clear, according to Secretariat and Agency staff interviewed. A survey conducted by the Secretariat staff in 2016 found that almost half of respondents had KM as part of their 2016 performance objective. The survey report authors concluded that: *"KM is important, but this importance has not yet translated into an integration with our daily work or clearly defined roles and responsibilities across the Secretariat."*<sup>4</sup>

### **Effectiveness of KM contribution to environmental benefits**

12. Through its investments, the GEF aims to deliver global environment benefits (GEBs).<sup>5</sup> In doing so, a contribution is anticipated from KM. This review found examples from different sources, including the meta-analysis of 26 country-level evaluations, document analysis, and stakeholder interviews, where KM components in GEF investments have contributed to behavioral and policy changes that support global environmental benefits across GEF focal areas, as illustrated in the following main categories:

- (a) Monitoring systems, information sharing and awareness raising supported by GEF projects/programs. Marine monitoring systems in Samoa provided information on fish population and coral health over years. In Nicaragua, awareness raising efforts have contributed to the protection of 5,796 species in flora and 12,290 species in fauna in

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<sup>4</sup> GEF (April 2016), KM Survey Results by Sonja Sabita Teelucksingh, Brown Bag Lunch Presentation, slide 20.

<sup>5</sup> <https://www.thegef.org/documents/global-environmental-benefits>

72 protected areas. In Sri Lanka, awareness raised among forest department officials contributed to the reduction of illegal activities such as logging and encroachment. The Small Grants Program has been reported as an effective channel to share information and raise awareness among stakeholders at the local level in a number of countries such as India, Egypt, Eritrea, Sri Lanka<sup>6</sup>.

- (b) Knowledge products/processes contributing to GEF approaches being either replicated in different geographical locations, or scaled up in the same location. Examples of replication fueled by knowledge products and processes supported by GEF projects and programs was found in 14 out of 26 countries examined by the meta-analysis. Lessons learnt on GEF-supported biodiversity monitoring systems for protected areas in the Philippines are replicated by other donor projects and non-governmental organizations in a number of other countries in the region. In interviews for this review, the World Bank reported on the scaling up of solar energy from GEF supported projects in Albania and Morocco as did the Asian Development Bank for land degradation projects in China and Myanmar that was supported by the exchange of knowledge between projects.
- (c) Transfer of knowledge to further GEF and national initiatives after project completion. The meta-analysis provided an example how the GEF biodiversity database in Madagascar had been used for creating new protected areas to confirm ecosystem priorities. The same database and the clearing house mechanisms are used in Madagascar as a reference for ecological monitoring and environmental impact assessments for sectoral investments. FAO reported documenting lessons learnt on heritage technologies and practices from GEF supported projects for small farmers in Bangladesh for broader use.<sup>7</sup>
- (d) Mainstreaming, where information, lessons or other specific aspects of a GEF intervention become part of a stakeholder's own initiative, such as laws, policies, regulations, and programs. Mainstreaming of knowledge-related aspects of GEF interventions often occurred within the government. In India, a community-based approach to protected area management piloted by a GEF supported project (GEF ID 84) had been mainstreamed, gaining wider acceptance with the country. In Eritrea, the Sustainable Land Management projects (GEF IDs 3362 and 2009) developed a knowledge management system for sustainable land management and mainstreamed its principles into the regional and national development strategies, programs and projects.

13. Knowledge management components in GEF-supported projects and programs also contributed to specific GEBs areas. Examples include the reduction of waste volumes (Vanuatu), decreased greenhouse gas emissions (Egypt, El Salvador, Cameroon, Madagascar, South Africa, Sri Lanka, Syria, Timor-Leste, Turkey, Vanuatu), regeneration of flora and fauna (Benin, Costa Rica, Nicaragua, Samoa), improved biodiversity and prevention of further biodiversity

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<sup>6</sup> GEF IEO and UNDP IEO (July 2015), *Joint GEF-UNDP Evaluation of the Small Grants Programme*

<sup>7</sup> See for example, *Traditional floating garden practices for vegetable production in Bangladesh*: <http://teca.fao.org/read/8867>

deterioration (Benin, Brazil, Cameroon, Costa Rica, Egypt, El Salvador, Eritrea, India, Jamaica, Madagascar, Moldova, Nicaragua, the Philippines, Sierra Leone, South Africa, Sri Lanka, Syria, Turkey, Vanuatu).

14. The effectiveness of KM components in contributing to environmental benefits is dependent upon accessibility of knowledge and information produced. STAP affirms that the effectiveness knowledge and information activities contributing environmental benefits “depends upon the sustained availability of the KM products generated by these investments over the long term.”<sup>8</sup> STAP also found that that sustained availability of GEF-supported knowledge products varied, a finding confirmed by the meta-analysis.

15. One key issue identified in this review and confirmed by STAP and the GEF Secretariat’s Knowledge Audit,<sup>9</sup> is that the knowledge generated by GEF projects is inconsistently integrated into knowledge databases of the GEF or its Agencies in a form accessible to all interested parties. In response, and acknowledging this weakness, the Secretariat has proposed updating the project management information system (PMIS), introducing an improved document management system/library and establishing a knowledge exchange hub.<sup>10</sup> To date, only the redesign of the PMIS has been initiated.

### **The GEF as a provider of knowledge**

16. The GEF partnership plays a role as a provider of knowledge within the broader international environmental community. This role differs based on the community type. Although sometimes these communities overlap or are connected, this review makes a distinction between the following types: (i) environmental academics and researchers; (ii) country level environmental stakeholders, including GEF national focal points, country focal points of multilateral environmental conventions, representatives of civil society organizations, project partners and staff, GEF Agencies country and regional staff; and (iii) staff of multilateral environmental conventions secretariats.

17. The citation analysis indicated that GEF was cited in about 2,500 academic articles in the environmental field and in the social sciences, agriculture and biological sciences. The articles were in a broad range of journals and a keyword analysis shows three main topic clusters: governance (in green); ecosystems (in red) and energy (blue) (Figure 1).

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<sup>8</sup> STAP (May 2015), STAP (May 2015), *Knowledge Management in the GEF: STAP Interim Report*, 48<sup>th</sup> GEF Council Meeting, GEF/STAP/C.48/Inf.03, , p. 3.

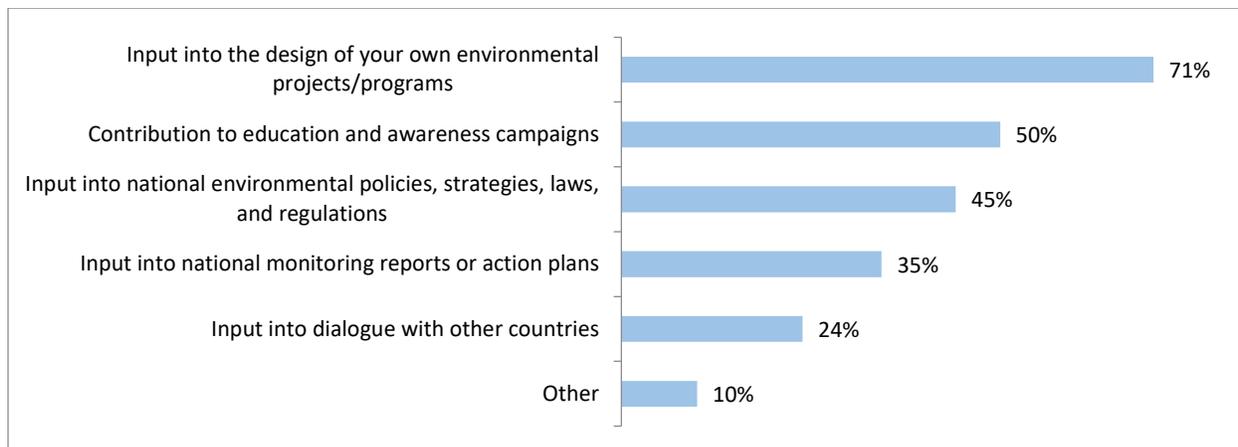
<sup>9</sup> GEF Secretariat (2016) *Knowledge Audit*.

<sup>10</sup> GEF (April 2015), *Status Report on Knowledge Management*, 52<sup>nd</sup> GEF Council Meeting, GEF/C.2/Inf.08.



environmental projects, as a contribution to education and awareness campaigns or as an input into national environmental policies, strategies, laws, and regulations (Figure 2).

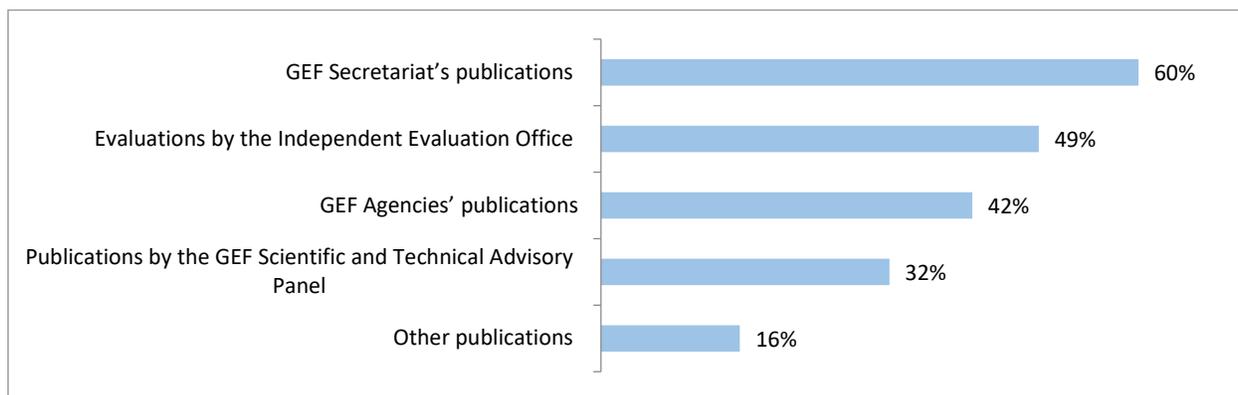
Figure 2: Use of GEF-related documents and information sources (n=456)



Source: Online survey. Question: Thinking of the GEF-related documents, publications, and information sources that you have accessed, have you used them for any of the following? (Select all that apply)

21. In terms of knowledge products consulted since 2010, more than half of surveyed country level stakeholders indicated that they had consulted a GEF Secretariat publication. IEO evaluations are the second most consulted documents (Figure 3).

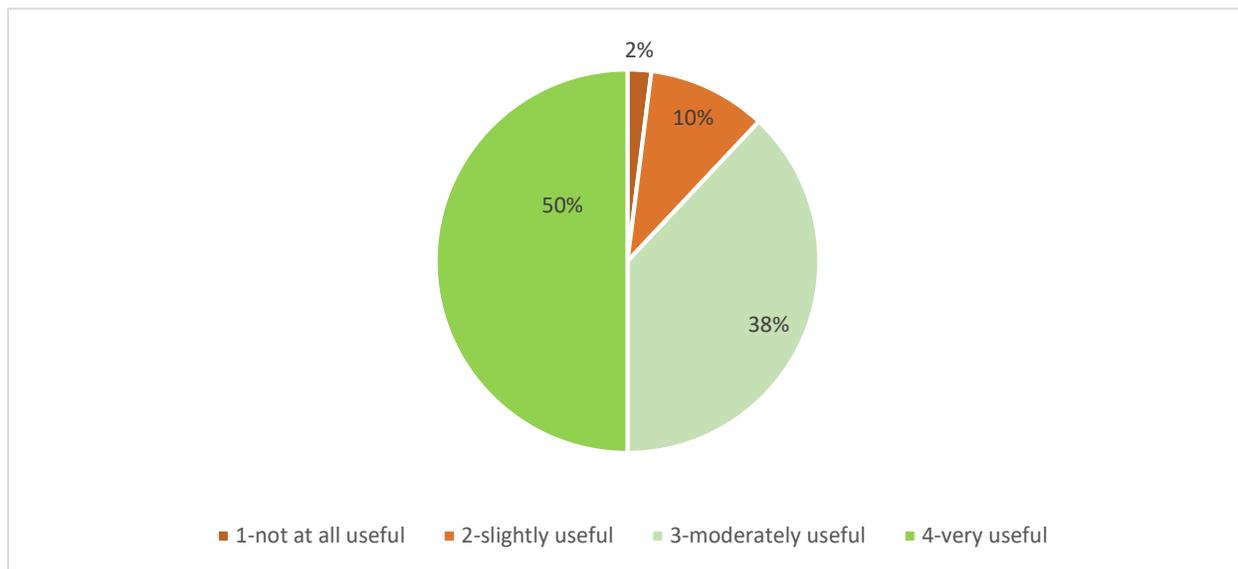
Figure 3: Knowledge products consulted since 2010 (n=429)



Source: Online survey. Question: Please indicate if you have accessed any of the following publications at least once since January 2010? (Select all that apply)

22. When rating GEF knowledge products, half of surveyed country stakeholders found them “very useful” and 38 percent “moderately useful” (Figure 4). Technical documents such as a guide or a manual, had been the most useful for their work, followed by strategy documents such as National Biodiversity Strategies and Action Plans (NBSAPs) or the GEF Strategy 2020 (see Annex 2 for more detail).

Figure 4: Usefulness of GEF KM products (n=469)



Source: Online survey. Question: Referring to all GEF-related information sources, documents, and publications that you have accessed since January 2010, how useful were they to you?

23. Convention Secretariats are a community currently under-served by the GEF knowledge management and information systems, including PMIS. Secretariats indicated they used GEF knowledge, but were not always considered in the design, production and dissemination of knowledge related to GEF projects and programs. An example they cited relates to lack of access to project and program documentation which they could use during country consultations. Another example is inconsistent use of taxonomies relevant to conventions in project documents and GEF Secretariat’s knowledge products . Importantly, some Convention Secretariats play a statutory role in KM, as in the case of the clearing house mechanism of the Convention on Biological Diversity: “*The Clearing House Mechanism...promote and facilitate scientific and technical cooperation, knowledge sharing and information exchange, and to establish a fully operational network of Parties and partners.*”<sup>11</sup> No synergies between these roles and the GEF knowledge and information systems were observed.

24. The above findings illustrate that the GEF partnership has essentially played a role as a provider of knowledge in its ability to produce knowledge, not only at the level of projects and programs but also in the technical and strategic documentation produced and used by all the communities examined. At the same time, this review found that the GEF has played less of a role as a broker of knowledge, that is, as a link between those who create and those who will use the knowledge produced by collating and systematically organizing it in order to facilitate its access, transfer and sharing within the partnership.<sup>12</sup> In its interim report on KM in the GEF,

<sup>11</sup> <https://www.cbd.int/chm/>

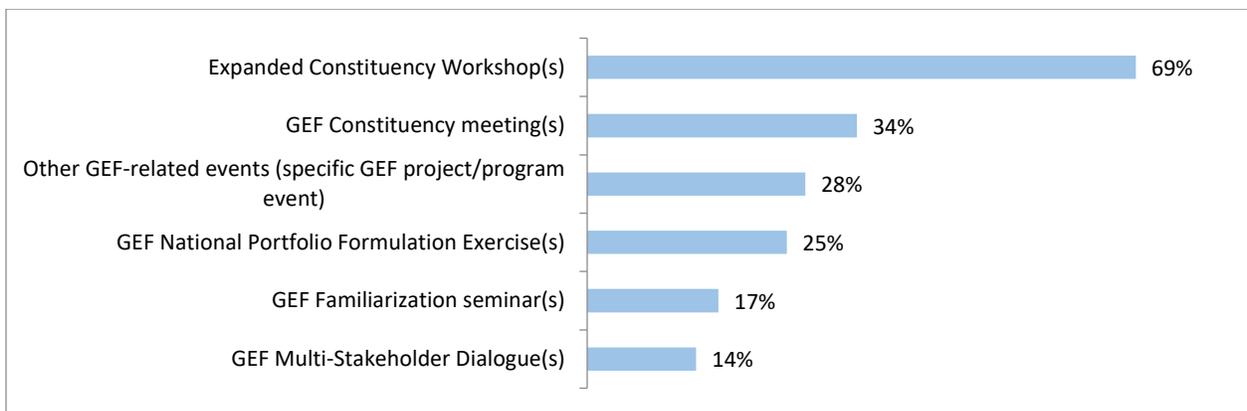
<sup>12</sup> For a discussion on knowledge brokering see: Ward, V., House, A., & Hamer, S. (2009). Knowledge Brokering: The missing link in the evidence to action chain? *Evidence & Policy: A Journal of Research, Debate and Practice*, 5(3), 267–279. <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3024540/>

STAP called this a KM “*adoption gap*”.<sup>13</sup> The Secretariat is requesting project implementers to track and report on some 1,000 data points through its tracking tools.<sup>14</sup> However, interviewed staffs from both the Secretariat and GEF Agencies indicated that beyond aggregating tracking tool information for periodic reporting to Conventions, the Secretariat has limited ability to analyze, collate and share the large and diverse amount of data collected through the tacking tools in a way that is useful to the partnership as a whole..

**Efficiency of knowledge sharing and access in the GEF**

25. As noted in the preceding sections, the knowledge produced with the GEF support has been shared more broadly (for example through academic articles) and at a country level. Most surveyed stakeholders participated in a GEF-related event since 2010, the most attended events being the ECWs and Constituency meetings (Figure 5). Eighty seven percent of surveyed country stakeholders (419) found these events useful for their work. To further facilitate sharing knowledge on the country and regional levels, the Secretariat has implemented a new initiative in 2016 titled “GEF Knowledge Days”. Included as a component of the Expanded Constituency Workshops (ECWs), the GEF Knowledge Days encompass thematic workshops and field visits to GEF supported projects through which the knowledge is shared among participants from different countries in the ECW constituency. In 2016, the Knowledge Days have been held 13 times reaching more than 1,000 participants from over 140 GEF member countries.

Figure 5: Participation in GEF events (n=429)



Source: Online survey. Question: Have you participated in any of the following GEF-related events at least once since January 2010?

26. Beyond the sharing of knowledge at the national level, activities occur somehow inconsistently. Good examples of knowledge sharing are observed in some focal areas, particularly international waters and biodiversity, where the GEF has led initiatives to encourage an exchange of knowledge and learning. A unique feature of the International

<sup>15</sup> GEF IEO (2016). International Waters Focal Area Study, GEF/ME/C.51/Inf.01

<sup>15</sup> GEF IEO (2016). International Waters Focal Area Study, GEF/ME/C.51/Inf.01

Waters focal area is the prevalence of projects directed at learning and making knowledge and experience gained through the focal area accessible to all. The IW: Learn, the International Waters Learning Exchange and Resource Network, is a series of projects and a community of practice that was set up in 2001<sup>15</sup>. The biodiversity focal area has started an ongoing learning process on biodiversity mainstreaming, including a systematic review of completed projects to inform project design and implementation and identify lessons learned (Box 2). In cross-cutting areas, the GEF Gender Partnership, is a community of gender focal points/practitioners from both within and outside the GEF, which has become an important forum to support the building of evaluative evidence on gender and the environment, according to a recent IEO evaluation.<sup>16</sup>

*Box 2: GEF biodiversity mainstreaming and KM*

**Box 2: GEF biodiversity mainstreaming and KM**

After 25 years of investment, the GEF biodiversity focal area has started an ongoing learning process on biodiversity mainstreaming. Led by the GEF Secretariat, biodiversity mainstreaming projects and evaluations were reviewed to identify best practices and lessons learned. The aim was to identify key factors that support project success, both “project moderators” (factors not part of project design but influence the magnitude and quality of the project outcomes) and “project design features” (design elements which can be changed by project designers or implementers that make the project more successful). This is an ongoing process to inform better project design and implementation, identify lessons learned, refine the GEF’s investment strategy, and improve the GEF’s Theory of Change of biodiversity mainstreaming.

Source: <http://www.thegef.org/publications/biodiversity-mainstreaming-practice-review-gef-experience>

27. IEO also noted improved knowledge sharing in programs in comparison to stand-alone projects.<sup>17</sup> Similarly, the formative review of Integrated Approach Pilot Programs (IAPs) noted the innovative role of the knowledge platforms established for cross-learning across child projects, and which are designed to coordinate the sharing of knowledge across participating countries, cities, and agencies. The review cautions that with no historical evidence on the effectiveness of such platforms, a strong commitment and support by all participating entities will be needed to provide the services and benefits in terms of sharing of knowledge they have been designed for.<sup>18</sup>

28. Despite the absence of a common approach to knowledge sharing within the GEF partnership, the Secretariat has been quite prolific, producing and disseminating nearly 50 knowledge products (videos and publications) from May 2016 to March 2017. These products lack a consistent style, categorization and taxonomy. Their accessibility and usefulness was questioned by persons interviewed across the partnership. The ability of the GEF partnership to

<sup>15</sup> GEF IEO (2016). International Waters Focal Area Study, GEF/ME/C.51/Inf.01

<sup>16</sup> GEF IEO (2017), Evaluation of Gender Mainstreaming in the GEF, GEF/ME/C.52/Inf. 09

<sup>17</sup> GEF IEO (2017), Evaluation of Programmatic Approaches in the GEF, GEF/ME/C.52/Inf. 01/A/Rev.01, p. 34.

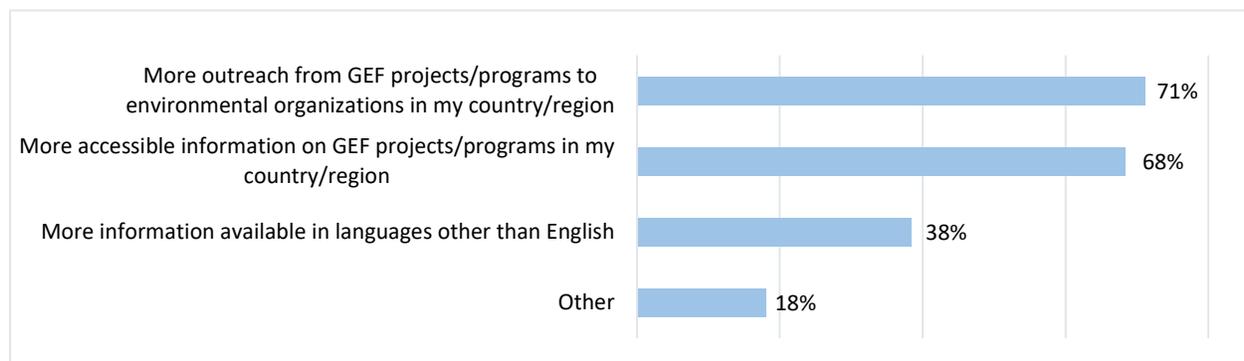
<sup>18</sup> GEF IEO (2017), Evaluation of the Integrated Approach Pilots. GEF/ME/C.53/Inf.04

measure the use of the knowledge it is sharing is also limited. STAP indicated the absence of any tracking or assessment of the relative success or influence of KM products, to be attributed to the lack of planning for KM products and events and their anticipated use, influence and impact.<sup>19</sup>

29. The PMIS, which is a repository for a large amount of project data and documentation was not considered an effective sharing tool by the stakeholders interviewed. This was confirmed by the 2016 KM audit and the 2016 Assessment of Existing Knowledge Assets of the GEF. Reasons relate to the incompleteness of the data present, often lacking documentation on project implementation, among others. Agencies confirmed that the most up-to-date project level documentation is within their management information systems. It varies largely as to what extent the documentation and knowledge is made public, integrated into the agency’s own knowledge products and subsequently shared.

30. Limitations have also been highlighted by country stakeholders. Asked what would make lessons from the GEF partnership more accessible and easier to use, surveyed stakeholders indicated more outreach, followed by more accessible information on and from GEF-supported projects and programs in their region. Nearly two-fifths of surveyed country stakeholders pointed out the need to have information available in languages other than English (Figure 6).

Figure 6: Lessons from the GEF more accessible (n=437)



Source: Online survey. Question: Do you have any suggestions, on what would make lessons from the GEF partnership more accessible and easier to use in your country/region? (Select all that apply)

### KM in the GEF relative to similar organizations

31. Four similar publicly-funded partnership organizations analyzed in this review as comparators to the GEF<sup>20</sup> had a KM strategy in place, except for the GCF (Table 1). The strategies place a priority on developing and improving the internal systems to store the knowledge and the consequent processes to facilitate its use and contribution to the organization goals. While the GPE had distinct internal and external KM strategies, CIF and GAVI had strategies that considered both internal and external audiences. Overall, these

<sup>19</sup> STAP (May 2015), *Op. Cit.*

<sup>20</sup> The Climate Investment Funds (CIF), the Global Partnership for Education (GPE), the Green Climate Fund (GCF), and the Global Alliance for Vaccines and Immunization (GAVI)

organizations had a greater focus on internal systems at the strategic level than the GEF. As mentioned, internal systems have been identified as a priority for the GEF, but are yet to secure the resources to advance.

Table 1: Comparing by KM strategy

CIF	GPE	GCF	GAVI
KM strategy supported with annual KM work plan; a focus on KM contributing to scale-up and replication.	Internal and external focused KM strategies in place; both emphasize scaling up of education models and innovations.	No dedicated KM strategy or action plans although current strategic plan (2016-18) commits CGF to operate as a learning institute.	KM strategy and work plans in place; a focus on improving business processes where efficiencies seen.

Source: Comparative analysis

32. Within the organizations, different structures exist to support KM. CIF and GPE have cross-cutting staff teams to advance KM within their organizations (Table 2). The CEOs in these organizations were strong champions of KM. The CEO of GAVI highlights KM as one of four key progress points in his 2016 report to the GAVI Board.<sup>21</sup> Rather than an internal cross-cutting staff team inside the GEF Secretariat or a group to support KM, the GEF has an inter-agency Advisory Group on KM. A similar arrangement is observed in the CIF.

Table 2: Comparing by KM leadership and structure

CIF	GPE	GCF	GAVI
Evaluation and Learning Advisory Group considers KM issues. The CEO is championing KM.	KM Group made up of GPE Secretariat's staff reports to the Secretariat's leadership team; championed by CEO.	GCF board has oversight; no specific governance for KM. Broad appreciation for KM amongst Management Team.	KM is taken up by the Senior Management Team as needed. CEO has made KM a priority.

Source: Comparative analysis

33. The organizations are at different stages of implementing technology solutions to support their KM strategies (Table 3). GAVI is the most advanced and has placed emphasis on improving the grant management process, allowing the organization and its partners to monitor progress of projects in real time. All organizations consider their public websites as important platforms for sharing selected knowledge products. The GEF has recognized the importance of its technology solutions for KM, as noted in the KM approach paper, but these technologies remain to be fully developed. For example, they still do not offer data in real-time.

<sup>21</sup> GAVI, Report of the CEO, 7-8 December 2016; <http://www.gavi.org/about/governance/gavi-board/minutes/2016/7-dec/>

Similar to the GEF, the four organizations have faced challenges in their ability to provide an overview and stakeholder access to project-level documentation.

Table 3: Comparing by KM technology systems

CIF	GPE	GCF	GAVI
Planning to use a new World Bank's Financial Intermediary Funds system for project documentation. The public website is the main tool to stock KM products.	Plans to develop key tools, such as grants management platform to complement public website.	Although not a specific KM system, the Integrated Portfolio Management System manages projects from concept note to post-approval stages. Public website also used for sharing.	Common KM processes facilitated through combination of the Online Country Portal and enterprise knowledge repository.

Source: Comparative analysis

34. All but one organizations – GCF – have a central KM team ranging from 4 to 13 staff (Table 4). Of note, GAVI's KM staff also includes staff responsible for the document management system and a team of business analysts that focuses on improving business processes. This strong emphasis on KM is also reflected in the GAVI Secretariat's annual budget for KM, estimated at 13 million USD compared to 2.3 million (GPE) and 2.6 million (CIF). Of note, the GPE has launched a distinct financing stream for its knowledge and innovation exchange efforts aiming for 20 million funding per year over three years.<sup>22</sup> The GEF Secretariat has less staff dedicated to KM (currently one full-time coordinator and several part-time staff) and its budget is lower in real figures (about \$2 million USD annually), but within the range of the other organizations as a percentage of total administrative budget (9 percent).

Table 4: Comparing by resources dedicated to KM

CIF	GPE	GCF	GAVI
2.6 million USD KM annual budget (including central costs and MDB funding) (about 13 percent of its administrative budget). In addition, the Evaluation and Learning is a multimillion, multi-year initiative separately funded by donors.  4 KM staff	2.3 million USD KM annual budget - some 7 percent of total administrative budget. In addition, plans to allocate about 5 percent of its current annual disbursement to the Knowledge and Innovation Exchange mechanism	No central KM budget. Any expenses are integrated directly in divisional and project budgets.  No staff dedicated to KM.	13 million USD KM annual budget (includes KM IT costs) -some 13 percent of total administrative budget.  13 KM staff including document management and business analysts.

<sup>22</sup> Financing and Funding Framework, Annex 1: Technical Annex, Meeting of the Board of Directors: <http://country.globalpartnership.org/content/financing-and-funding-framework-technical-annex-march-2017-3>

	3 staff - internal KM 1.8 staff - external KM		
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Source: Comparative analysis

35. The four organizations develop knowledge products to varying degrees, often in the form of summaries of lessons and thematic/sectorial reports (Table 5). In most cases, products focus more on the hard science rather than the science of delivery.<sup>23</sup> GAVI is an exception, with its focus on the direct work of the KM team to improve delivery processes, including grant management processes. Organizations had developed a range of activities to share knowledge similar to the GEF, often with differences seen from sector to sector in the same organization.

36. Compared to the GEF, other organizations are more advanced in developing common knowledge products.. The GEF also has limited KM services to improve business processes compared GAVI, although it has produced some specific resources, as for example the 2017 guide “*The Art of Knowledge Exchange: A Results-Focused Planning Guide for the GEF Partnership*”, which focuses on knowledge exchange at the project level. In terms of KM as a more integrated service or activity within organizations, the GPE was most advanced.

Table 5: Comparing by KM products and services

CIF	GPE	GCF	GAVI
Various types of knowledge products produced including thematic case studies, evaluation and learning reports and briefs; strategic papers and e-learning. Activities include country meetings, south-south cooperation, thematic learning events and training.	Knowledge products produced and a common taxonomy developed. External Knowledge Exchange includes activities such as webinars, study tours and training.	Knowledge products developed at divisional level. Current sharing includes dialogues and events.	Research and evaluation reports focus on lessons learnt and knowledge. Peer exchange in key policy areas. Focus of KM team on streamlining business processes.

Source: Comparative analysis

<sup>23</sup> See for example: <https://kmonadollaraday.wordpress.com/2013/10/31/km-me-the-art-and-science-of-delivery/>

37. All organizations aim at having the knowledge they produced used to improve current and future projects, both in the substance and process aspects (Table 6). Organizations currently have limited abilities to assess the use of the knowledge produced.

*Table 6: Comparing by KM use*

<b>CIF</b>	<b>GPE</b>	<b>GCF</b>	<b>GAVI</b>
Main use seen through drawing learnings from the monitoring and evaluation.	Focus on encouraging use both for internal and external audiences.	Knowledge seen as being important for upscaling and replication.	Use seen by focusing on improving business processes.

*Source: Comparative analysis*

## CONCLUSIONS AND RECOMMENDATIONS

38. The main conclusions are:

- (a) **The GEF partnership has made substantial progress in KM during GEF-6.** The GEF2020 Strategy emphasizes “strategically generating knowledge” as a priority for the future of the institution. Accordingly, a higher priority has been given to KM during GEF-6. In line with GEF-6 policy recommendations to improve the uptake of lessons learned in GEF projects/programs, a dedicated KM work stream has been established within the Secretariat, a KM approach paper was developed and is currently being implemented.
- (b) **Knowledge generated in the GEF partnership is being used and has influenced national environmental policies and practices.** GEF-supported projects generate a substantial amount of knowledge in the form of technical and operational project-level documentation, as well as through strategic and summary papers. There is evidence that this knowledge is being used and influencing national environmental practices and policies. In focal areas such as international waters, evidence shows that lessons from the GEF are also having a broader influence in the academic literature.
- (c) **The GEF is more of a knowledge provider rather than a knowledge broker.** The knowledge produced in the GEF is being used, but not to its full extent. Limitations exist in terms of collating and analyzing knowledge and facilitating its access, transfer and sharing across the partnership, and GEF falls short in this role of “knowledge-broker” against other comparable donor-funded partnership organizations. However, GEF is clearly moving towards improving in this area. Recent positive illustrations of this role include the biodiversity mainstreaming work, the regional knowledge days targeting country stakeholders, the gender partnership, the inclusion of KM requirements in project proposals, the GEF Art of Knowledge Exchange Guidebook and Workshops, the GEF online search tool “Kaleo”, the new knowledge and learning page on the GEF website, and the integration of KM as a specific project component of the IAPs.
- (d) **Systemic issues continue to be barriers to KM in the GEF.** Barriers to progress in KM are systemic in nature, longstanding, and have previously been identified by the GEF partnership in studies of the Secretariat and STAP, and by several major IEO evaluations. These issues are having an impact at both the project and global levels for KM, and particularly include: (a) Availability of an information management system to capture and provide access to project-level documentation from conception to conclusion that is accessible and user-friendly for GEF Agencies, countries, project and program staff; (b) Guidance on KM for GEF-supported projects and programs through the project lifecycle, beyond basic documentation requirements to ensure minimum standards of consistency and accessibility; (c) capacity within the Secretariat to connect with GEF Agency systems and platforms

and to create an enabling environment for corporate-level learning, knowledge exchange and collaboration across the GEF portfolio.

39. The main recommendations are:

- (a) **The GEF Secretariat should place a high priority on improving the quality and the availability of project-level documentation from a KM perspective, including lessons learned during design and implementation.** To ensure minimum standards of consistency in KM across GEF agencies and projects, clear guidance should be provided to Agencies on, for example, the typology of knowledge products to be generated during and after project implementation, and the capture and storage of such information. As the PMIS is currently under revision, efforts should be made to ensure that it becomes the key platform for storing and sharing project-level documentation throughout the project lifecycle. The revisions to this platform should be made in consultation with the GEF Agencies and other parts of the partnership to ensure access for GEF Agencies, project and program staff and countries. The platform should facilitate easy uploading, downloading, and analysis of project and program documents from design through supervision and finally completion.
- (b) **The GEF Secretariat and the KM Advisory Group, should develop a plan to connect across GEF Agency KM systems, generate knowledge products and organize learning activities across focal areas, agencies and cross cutting themes.** The partnership would benefit from a clear work plan on learning activities and knowledge products to be generated within and across focal areas in collaboration with GEF agencies, along with a proposed resource envelope and enhanced internal capacity. Ideally these products would draw on lessons from across the partnership, including from agencies, STAP, Conventions and countries, and would support strategic decision making and planning at the portfolio and corporate levels. Mechanisms to disseminate and share such knowledge products should also be clearly articulated in the plan.

## ANNEXES

### Annex 1: List of persons interviewed

The interviews were held between April and June 2017.

<b>Agencies</b>		
<b>Name</b>	<b>Position</b>	<b>Agency</b>
Nancy Bennet	Results Management and Evaluation Advisor	UNDP
Dinara Besekei Sutton	Natural Resources Management Specialist	World Bank
Anuradha Bhandari	Communications Consultant	FAO
Geneviève Braun	Programme Officer, FAO-GEF Coordination Unit	FAO
Bruce Dunn	Principal Environment Specialist, Environment and Safeguards and ADB/GEF Coordinator	ABD
Ilaria Firmian	Environment and Climate Knowledge Officer - Environment and Climate Division	IFAD
Jeffrey Griffin	Senior Coordinator - GEF Investment Center Division	FAO
Fabio Heuseler Ferreira Leite	GEF Coordinator	FUNBIO
Andrew Hume	Director, WWF GEF Agency	WWF-US
Dominique I. Kayser	Lead - Quality and Business Management Systems, Environmental & Social Framework Implementation Team	World Bank
Linda Klare	Coordinator, Environmental and Social Management Systems, GEF Coordination Unit	IUCN
Free de Koning	Senior Director, Project Development and Implementation, CI-GEF Project Agency	Conservation International
Naoko Nakagawa	Knowledge Management Consultant	FAO
Jean-Yves Pirot	Head, GEF Coordination Unit	IUCN
Orissa Samaro	Director, GEF Project Agency	Conservation International
Renaë Stenhouse	Director, WWF GEF Agency	WWF USA
Brian Thomson	Senior Communications and Advocacy Specialist	IFAD
Kelly West	Senior GEF Portfolio Manager	UNEP

<b>STAP</b>	
Rosina Bierbaum	Chairperson
Guadalupe Duron	Programme officer
Virginia Gorsevski	Programme officer

<b>Convention Secretariats</b>		
Alejandro Kilpatrick	Team Leader, Climate Finance sub-programme, Finance, Technology and Capacity Building Programme	UNFCCC
Kata Koppel	Documentation Officer	CBD
Olivier de Munck	Programme Officer, Clearing-House Mechanism	CBD
Alexandre Rafalovitch	Information Systems Officer	CBD

<b>GEF Secretariat</b>	
Mohamed Imam Bakarr	Lead Environmental Specialist
Yasemin Biro	Coordinator - Knowledge Management
Robert Bisset	Head of communications
Francoise Clottes	Director, Secretariat Policy and Operations
Gustavo Fonseca	Director of Programs
Claude Gascon	Lead Program Manager
Deepak Kataria	Information Technology Coordinator
Christine Roehrer	Lead Results Based Management Specialist

<b>Comparative organizations</b>		
Joseph Dickman	Senior Evaluation and Learning Specialist	CIF
Andrey Kiselev	Senior IT Officer	GPE
Ian Macpherson	Education Specialist for Global, Regional and Thematic Initiatives	GPE
Edward Mishaud	Communications Consultant	GCF
Ousseynou Nakoulima	Director, Country Programming Division	GCF
David Nix	Chief Knowledge Officer	GAVI
Clifford Polycarp	Manager, Country Operations Dialogue	GCF
Jacqueline Sibanda	Web Manager	CIF
Stefan Zutt	Head of ICT	GCF

## Annex 2: Survey responses from country stakeholders

The survey was sent to 2,633 respondents, including GEF national focal points, country focal points of multilateral environmental agreements for which GEF is a financial mechanism, representatives of civil society organizations, GEF project partners and staff, GEF Agencies country and regional staff. Since the survey was not intended for the GEF Council members, it was not sent to the GEF country focal points who were also Council members at the time of the survey. The survey was open between 5/29/2017 and 6/17/2017.

Q1: Please select your language

Row Labels	Total	%
1-English	492	67%
2-French	138	19%
3. Spanish	106	14%
Total	736	

Q2: What best describes the institution where you work?

Row Labels	Total	%
1-Government Agency/Department	308	52%
2-Education Institution	2	0%
3-Multilateral/Bilateral/Intergovernmental organization	71	12%
4- Civil Society Organization	204	35%
5-Private-for-Profit	3	1%
6-Media	1	0%
Total	589	

Q3: What best describes your current role in your organization?

Row Labels	Total	%
1-Manager/Director/Senior staff	363	62%
2-Technical staff/program staff	213	36%
3-Support staff	9	2%
Total	585	

Q4: To what extent are you familiar with the GEF?

Row Labels	Total	%
1-Not familiar at all	6	1%
2-Slightly familiar	57	10%
3-Moderately familiar	226	39%
4-Very familiar	297	51%
Total	586	

Q5: Please indicate if you are: (Select all that apply)

Row Labels	Total	%
Representative of a civil society organization (non-governmental organization), which is part of the GEF CSO Network	165	30%
Country's focal point for a global environmental convention and their representative/staff	147	26%
GEF Operational/Political Focal Point and their representative/staff	110	20%
Program/project executing partner	93	17%
GEF-Other (please specify)	73	13%
Staff/Consultant of a GEF project/program	57	10%
GEF Agency's staff/consultant	52	9%
Total	558	

Q6: Please indicate if you have accessed any of the following information sources at least once since January 2010 (Select all that apply)

Row Labels	Total	%
GEF website, including project documents	428	86%
GEF Council and Information Documents	236	47%
GEF Project Management Information System (PMIS)	165	33%
Other sources (e.g. environmental monitoring system(s); a website of a specific GEF project/program; GEF Agency website(s); online portal(s); multimedia; social media; maps, etc.). Please specify:	118	24%
Total	498	

Q7: Please indicate if you have accessed any of the following documents at least once since January 2010 (Select all that apply)

Row Labels	Total	%
National Biodiversity Strategy and Action Plans (NBSAPs)	288	59%
National communications to the United Nations Framework Convention on Climate Change (UNFCCC)	276	57%
National reports to the Convention on Biological Diversity (CBD)	258	53%
National Action Programs to Adapt to Climate Change (NAPAs)	250	51%
National Action Programs (NAPs) to combat desertification	214	44%
National Implementation Plans (NIPs) for dealing with Persistent Organic Pollutants (POPs)	164	34%
National Capacity Self-Assessments (NCSAs)	139	29%
Documents-Other (please specify):	52	11%
Total	486	

Q8: Please indicate if you have accessed any of the following publications at least once since January 2010 (Select all that apply)

Row Labels	Total	%
Other publications	67	16%
Publications by the GEF Scientific and Technical Advisory Panel	139	32%
GEF Agencies' publications	179	42%
Evaluations by the Independent Evaluation Office	211	49%
GEF Secretariat's publications	259	60%
Total	429	

Q9: Referring to all GEF-related information sources, documents, and publications that you have accessed since January 2010, how useful were they to you?

Row Labels	Total	%
1-not at all useful	9	2%
2-slightly useful	45	10%
3-moderately useful	179	38%
4-very useful	236	50%
Total	469	

Q10: Thinking of the GEF-related documents, publications, and information sources that you have accessed, have you used them for any of the following? (Select all that apply)

Row Labels	Total	%
Other	46	10%
Input into dialogue with other countries	110	24%
Input into national monitoring reports or action plans	158	35%
Input into national environmental policies, strategies, laws, and regulations	203	45%
Contribution to education and awareness campaigns	230	50%
Input into the design of your own environmental projects/programs	323	71%
Total	456	

Q.11: Please list here up to 3 GEF-related documents, publications and/or information sources that have been most useful for your work and indicate how you have used them: (see the analysis of open-ended questions below)

Q12: Have you participated in any of the following GEF-related events at least once since January 2010?

Row Labels	Total	%
GEF Multi-Stakeholder Dialogue(s)	59	14%
GEF Familiarization seminar(s)	71	17%
GEF National Portfolio Formulation Exercise(s)	108	25%
Other GEF-related events (specific GEF project/program event)	118	28%

GEF Constituency meeting(s)	146	34%
Expanded Constituency Workshop(s)	297	69%
Total	429	

Q13: Thinking of the GEF-related events that you have participated since January 2010, how useful were they for your work?

Row Labels	Total	%
1-Not at all useful	21	5%
2-slightly useful	37	9%
3-moderately useful	120	29%
4-very useful	241	58%
Total	419	

Q. 14- Please list here up to 3 GEF-related events that have been most useful for your work and how you have used them: (see the analysis of open-ended questions below)

Q15: Do you have any suggestions, on what would make lessons from the GEF partnership more accessible and easier to use in your country/region? (Select all that apply)

Values	Total: all languages	%
More outreach from GEF projects/programs to environmental organizations in my country/region	311	71%
More accessible information on GEF projects/programs in my country/region	299	68%
More information available in languages other than English	168	38%
Suggestions-Other (please specify)	79	18%
Total	437	

Q15: only responses in French and Spanish

1-Please select your language	French/Spanish	%
Row Labels	Total	
More information available in languages other than English	104	71%
More outreach from GEF projects/programs to environmental organizations in my country/region	101	69%
More accessible information on GEF projects/programs in my country/region	100	68%
Suggestions-Other (please specify)	30	21%
Subtotal: French-81; Spanish-65	146	

Q15: only responses in Spanish

1-Please select your language-Spanish	Spanish	%
Row Labels	Total	
More information available in languages other than English	42	65%
More outreach from GEF projects/programs to environmental organizations in my country/region	38	58%
More accessible information on GEF projects/programs in my country/region	37	57%
Suggestions-Other (please specify)	15	23%
Subtotal: Spanish: 65	65	

Q15: only responses in French

1-Please select your language-French	French	%
Row Labels	Total	
More accessible information on GEF projects/programs in my country/region	63	78%
More outreach from GEF projects/programs to environmental organizations in my country/region	63	78%
More information available in languages other than English	62	77%
Count of 15-Suggestions-Other (please specify)	15	19%
Subtotal: French: 81	81	

Q15: only responses in English

1-Please select your language-English	English	%
Row Labels	Total	
More outreach from GEF projects/programs to environmental organizations in my country/region	210	72%
More accessible information on GEF projects/programs in my country/region	199	68%
More information available in languages other than English	64	22%
Suggestions-Other (please specify)	49	17%
Subtotal: English: 291	291	

Q16: Please indicate the region where you currently work:

Row Labels	Total	%
1-Africa	169	37%
4-Middle East and North Africa	91	20%
2-East Asia and the Pacific	61	13%
7-Eastern Europe and Central Asia	49	11%
3-Latin America and the Caribbean	44	10%
6-South Asia	34	7%
8-Western Europe	7	2%
5-North America	6	1%
Total	461	

Q. 17: This survey has been about how knowledge and lessons - related to GEF projects and programs - are shared and used in countries and regions. Please add here any comments or feedback on this topic: (see the analysis of open-ended questions below)

***Analysis of open-ended survey questions***

Q 11. Please list here up to 3 GEF-related documents, publications and/or information sources that have been most useful for your work and indicate how you have used them:

282 responses received; most responses described 2-3 publications/documents; categorized as follows:

<b>Category</b>	<b>Main documents cited</b>	<b>% (number)</b>
Technical publications	CBD documents - biodiversity (24), Art of Knowledge Exchange (14), NAPA climate change (14), NIPs POPs (13), GEF CSO network (11), Public Involvement Policy (10), NAPs desertification (10), STAP documents (9), STAR priority areas (8), NAP guidelines (6), policy documents (5), NCSA (5), RAPTA (4)	26% (170)
Strategy	NBSAP (20), 2020 strategy (15), strategy and planning - general (10), GEF 6 (10), country strategy/plans papers (9), Gender Equality action plan/women empowerment (8), GEF operational strategy - waste (7); GEF 7 (5)	16% (102)
Project	general/country project documents (29), implementation guidelines (14), PMIS (7), PIF (5), GEF co-financing requirements (6)	15% (99)
Publications/ Documents	A-Z GEF (29), GEF programming directions (12), Designing projects in rapidly changing world (4), GEF Agencies' / Secretariat's publications in general (8), GEF and sustainable development (9), GEF Forests/ Sustainable Forest Management (6), GEF and climate change (5), the GEF Instrument (4), GEF Work Program/Activity (4)	15% (99)
M&E	project evaluation reports (10), experiences and lessons learned (8), reviews (5), Annual Performance Report (5), monitoring (4)	7% (44)
Websites/newsletters	GEF website/newsletter (30), GEF bulletin (4)	7% (43)
Other	UN conventions (12), Education/Public Awareness Campaign (9)	6% (41)

Small Grants Project	A to Z of the SGP: A Guide to the GEF Small Grants Program (21)	4% (27)
Council documents	--	2% (15)
N/A	--	2% (13)

Q. 14. Please list here up to 3 GEF-related events that have been most useful for your work and how you have used them:

290 responses received; most responses described 2 events; categorized as follows:

Category	Main events cited	% (number)
Constituency Workshops & ECW	GEF Introduction/Operations/Cycle (17), Regional Workshop (11), Networking with different GEF FPs (7), Steering Committee (7)	45% (249)
Project-level meetings	project design/preparation/M&E (22), National Dialogues (7), GEF SGP/PPD (6), biodiversity management (6), Discussions with country GEF OFP and staff (5), GEF Funded projects/GEF 6 (5), Financial procedures/Fund Allocation (5)	22% (113)
Other	GEF Familiarization (16), side events at COP (7), Grantee site visits (3), UNCCD - UNCBD (3), Environmental Agreements (3)	10% (52)
GEF Council	Assembly and associated meetings (8)	7% (38)
CSO/NGO consultation	GEF CSO Network (12)	5% (28)
National Portfolio Formulation Exercise	--	5% (25)
N/A	--	4% (19)

Q. 15. Do you have any suggestions, on what would make lessons from the GEF partnership more accessible and easier to use in your country/region? OTHER responses

78 responses received; categorized as follows:

Category	Main issues cited	% (number)
process/procedures	access to finance (7), Simplification (3)	33% (36)
Communication	French (3) publications in languages other than English (3),	20% (22)

Sharing/learning	lessons learned (3), information exchange (3)	13% (14)
Interaction	GEF CSO Members' Meet (2), in-country engagements (2)	12% (12)
Training	workshops (3), seminars (2)	8% (8)
Other	--	8% (8)
N/A	--	7% (7)

Q. 17. This survey has been about how knowledge and lessons - related to GEF projects and programs - are shared and used in countries and regions. Please add here any comments or feedback on this topic:

219 responses received; categorized as follows:

<b>Category</b>	<b>Main issues cited</b>	<b>% (number)</b>
process/procedures	GEF activities/programs (17), GEF projects/project development (9), SGP (6), capacity building (5), monitoring/evaluation (4)	25% (98)
Sharing/learning	knowledge and information (24), Experiences (6)	18% (70)
Communication	Website/communication platform (10), more outreach (4), awareness programs (4)	15% (61)
Interaction	involving/working with CSOs, IPOs (18), GCN (4), coordination with other international organizations (3)	14% (57)
Other	Financial support (12), Translation/French/Spanish/integrate other languages (8)	14% (56)
Training	workshops/seminars (10), ECW (4)	7% (28)
N/A	--	7% (29)

## Annex 3: Main KM features in comparative organizations

<p><b><i>Climate Investment Funds</i></b></p>
<p><b>A. Strategy</b></p> <p><i>Strategy:</i> KM strategy supported with annual KM work plan, accompanying budget, and implementation progress report; strong link to Evaluation and Learning.</p> <p><i>Planning:</i> KM planning is linked to the CIF planning cycle.</p> <p><i>Innovation:</i> Examples seen where KM can contribute to scale-up and replication</p>
<p><b>B. Structure</b></p> <p><i>Governance:</i> An Evaluation and Learning Advisory Group of stakeholders considers KM issues.</p> <p><i>Leadership:</i> The CEO is championing KM and other managers on multiple levels.</p> <p><i>Technology:</i> The public website is the main tool to stock KM products; social media, and online communities of practice also used.</p> <p><i>Network:</i> Sharing and partnerships are key parts of the existing strategy; collaborations with multilateral-development banks (CIF members) and external think tanks, firms, and networks.</p>
<p><b>C. Processes</b></p> <p><i>Knowledge development:</i> Various types of knowledge products produced including thematic case studies, evaluation and learning reports and briefs; strategic papers and e-learning. Most knowledge products are produced by the multilateral development banks.</p> <p><i>Knowledge retention:</i> Project level data rests with MDBs; evaluation is main way that knowledge retained, collated and shared.</p> <p><i>Knowledge sharing:</i> activities include country meetings, south-south cooperation, thematic learning events, capacity building and training, CIF website and podcasts.</p> <p><i>Knowledge application:</i> Main results drawn from the evaluations and monitoring that is carried out; 2014 Independent Evaluation of CIF showed multiple results of internal institutional level learning, such as improving processes and procedures.</p>
<p><b>D. Resources</b></p> <p><i>Annual budget:</i> 2.6 USD million (including central costs and funding for MDB's KM activities). In addition, external funding of 9 USD million for a multi-year Evaluation and Learning initiative.</p> <p><i>Staff:</i> on average 4 staff centrally located (including 3 consultants) and in addition to 1 senior evaluation and learning specialist.</p> <p><i>Roles and responsibilities:</i> All programs are expected to have a KM role, but KM is not systematically included in job or project descriptions.</p>

## ***Global Partnership for Education***

### ***A. Strategy***

*Strategy:* An internally-focused KM strategy exists in addition to an externally focused knowledge and innovation exchange mechanism.

*Planning:* Workplan accompanies current KM strategy.

*Innovation:* Both strategies emphasize scaling up of education models and innovations.

### ***B. Structure***

*Governance:* A KM Group made up of GPE Secretariat staff oversees the internally-focused KM; reports to the Secretariat leadership team. GPE Board oversees the knowledge and innovation exchange mechanism.

*Leadership:* KM strategy supported by the CEO.

*Technology:* No uniform KM technical system currently exists; plans to develop key tools, such as grants management platform to complement public website.

*Network:* Several initiatives have focused on exchange between partners (countries), e.g. gender equality and early learning.

### ***C. Processes***

*Knowledge development:* Currently no common way of collecting information linked to the project cycle. Some programs such as the Global and Regional Activities Program have focused on knowledge development through guidelines and tools.

*Knowledge retention:* Storing of data information centrally pending future grants management system. Taxonomy developed to help sort, retain and search publications.

*Knowledge sharing:* External Knowledge Exchange includes webinars, study tours and training. The new Knowledge and Innovation Exchange Mechanism is expected to support innovation and exchange of evidence on policy solutions. It will focus on funding for scaling-up of innovative technologies and educational models that have already demonstrated results in the pilot stages and are ready to be tested at larger levels of scale, operational complexity, and integration at the systems level.

*Knowledge application:* Current KM strategies place emphasis on need for stronger indicators for KM initiatives. The 2015 Independent Evaluation of the GPE noted some promising results in areas relevant to the GPE goals.

### ***D. Resources***

*Annual Budget:* 2.3 million \$USD (for KM processes and systems) – some 7% of operational administrative budget. In addition, about 5% of annual disbursements is proposed to be allocated for the Knowledge Innovation Exchange mechanism (of which approximately 40% could be raised through targeted financing)

*Staff:* 3 staff (including 2 consultants) and one manager working part-time on KM – focused internally. For the external strategy (the Knowledge and Innovation Exchange), 1.8 staff on its implementation.

*Roles and responsibilities:* Currently not formally integrated into job descriptions.

## **Green Climate Fund**

### **A. Strategy**

*Strategy:* No dedicated KM strategy although current strategic plan (2016-18) commits CGF to operate as a learning institute.

*Planning:* No dedicated KM action or work plans at corporate or divisional levels.

*Innovation:* Examples seen such as GCF supporting structured regional dialogues to support scaling up and readiness.

### **B. Structure**

*Governance:* GCF board has oversight over policy and strategic direction; no specific governance for KM.

*Leadership:* Broad appreciation and support for KM amongst GCF Senior Management Team.

*Technology:* Although not a specific KM system, the Integrated Portfolio Management System (IPMS) manages projects from concept note to post-approval stages. SharePoint currently used for document storage and sharing.

*Network:* Structured regional dialogues and thematic events are main tools for partner exchanges.

### **C. Processes**

*Knowledge development:* knowledge products currently developed at divisional rather than corporate level.

*Knowledge retention:* IPMS is foreseen to retain information and documentation at the project level; public website has current publications available. SharePoint used internally.

*Knowledge sharing:* Current sharing includes dialogues and events with plans to extend to knowledge hubs and south-south exchanges.

*Knowledge application:* monitoring and evaluation systems being set up within GCF with a focus on measuring impact linked to knowledge application.

**D. Resources**

*Annual budget:* no central budget. Any expenses are integrated directly in divisional and project budgets.

*Staff:* No staff dedicated to KM. Two IT staff with support of several consultants work on developing KM-related systems.

*Roles and responsibilities:* KM not explicitly integrated into job descriptions. Reference to knowledge sharing and lesson learning is becoming more mainstreamed in the context of the Fund’s Readiness and Preparatory Program. The Independent Evaluation Unit is also mandated to support the GCF in its learning function.

**GAVI – the Vaccine Alliance**

**A. Strategy**

*Strategy:* comprehensive KM strategy in place; a focus on improving business processes.

*Planning:* KM tasks are integrated within the work plans of staff and projects.

*Innovation:* KM approach to improving business processes had led to concrete efficiency in terms of time saved; forecasting is a priority of the KM team in terms of country demand, vaccine supply, pricing and financial expenditure.

**B. Structure**

*Governance:* KM sits within the Public Engagement and Information Services of the GAVI Secretariat; KM is taken up by the Senior Management Team as needed.

*Leadership:* CEO has made KM a priority and it features prominently in his 2016 report to the GAVI Board.

*Technology:* Common processes facilitated through combination of Salesforce and SharePoint systems.; Online Country Portal and enterprise knowledge repository two main “front offices”.

*Network:* Knowledge exchange occurs between partners at both global and country levels.

**C. Processes**

*Knowledge development:* Project documentation had become more standardized and new systems facilitate access; some publications focus on knowledge and lessons.

*Knowledge retention:* The two main platforms (mentioned under “Technology”) centralize knowledge, contacts and interactions with stakeholders.

*Knowledge sharing:* Examples seen in peer exchanges on key policy areas. This also occurs through the platforms but is further planned as next stage.

Knowledge application: Focus on streamlining and automating processes has seen time efficiencies; focus on M&E and how results have been used to inform policy and program changes.

***D. Resources***

*Annual budget:* 13 million USD (include staff and IT related costs, e.g. document management software) – 13% of administrative operational budget. Other KM budgets present in project and program budgets.

*Staff:* 13 central staff positions (responsible for documentation management); supported by some 40 consultants (temporary staff).

*Roles and responsibilities:* GAVI moving to competency-based approach and KM will be a competency that will appear in job descriptions.