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GLOBAL ENVIRONMENT FACILITY

Enhancing global environmental benefits through  
excellence in evaluation



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# Semi-Annual Evaluation Report

## November 2017

# Outline

## 1 OPS6

Objective, Quality Assurance, Methodology, Limitations

GEF Portfolio

Strategic Relevance

Performance and Impact

Focal Areas and Multifocal Investments

Programmatic Approaches and Integrated Approach Pilots

Institutional Framework

Conclusions and Recommendations

## 2 IEO Update on Knowledge Management

## 3 Recommended Council Decision

## SECTION 1

# Overview



## OPS6 Overview

### Objective

To provide solid evaluative evidence to inform the replenishment negotiations for

**GEF-7**

### Methodology

**29** evaluations and studies

Mix of qualitative and quantitative approaches including geospatial analysis

Formative approaches to evaluate ongoing programs

### Limitations

**Limitations imposed by data and timing**

## OPS6 Overview

# Quality assurance panel

Dr. Hans Bruyninckx

Dr. Holly Dublin

Prof. Osvaldo Feinstein

Dr. Sunita Narain

Dr. Kazuhiko Takemoto

Statement on quality of OPS6 included in annex A

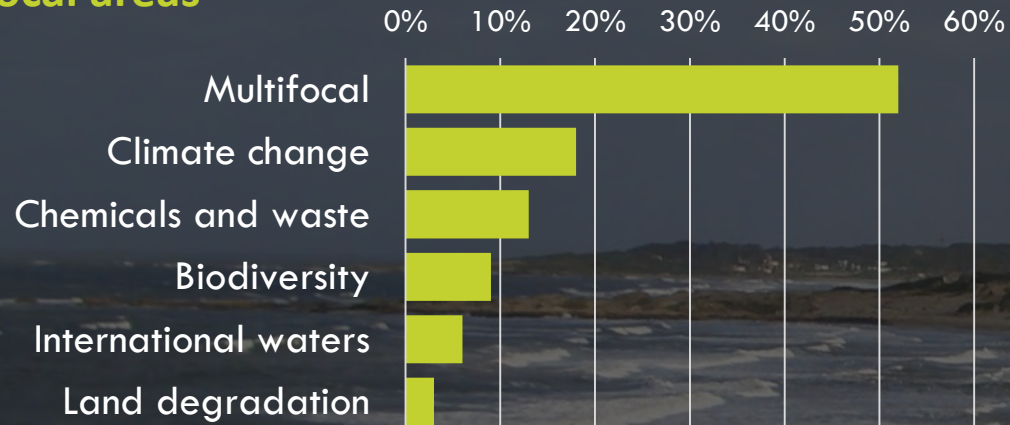
## GEF-6 Overview

# Portfolio (as of June 30, 2017)

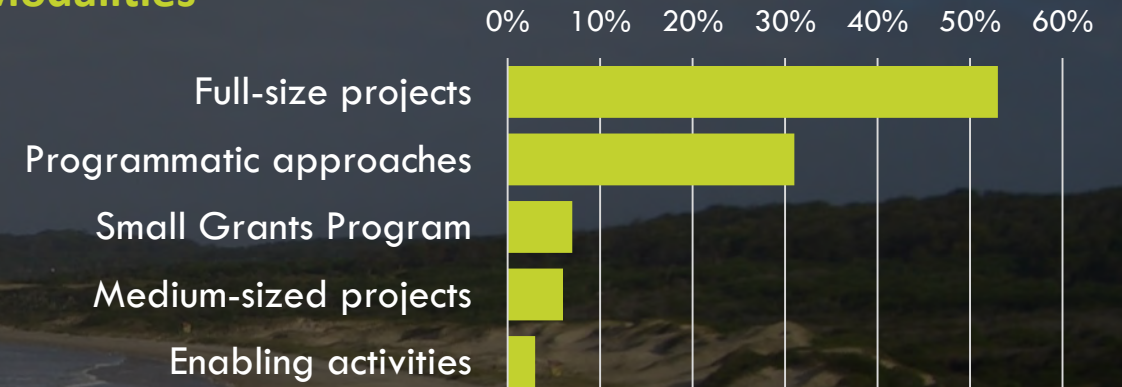
444 projects

\$2.4 billion

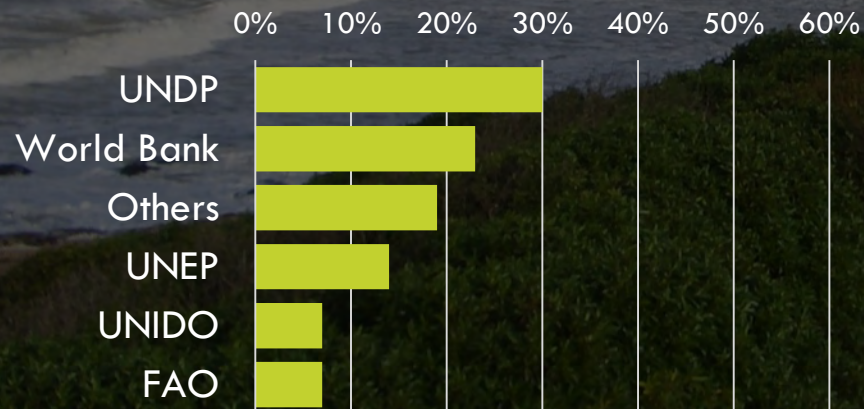
### Focal areas



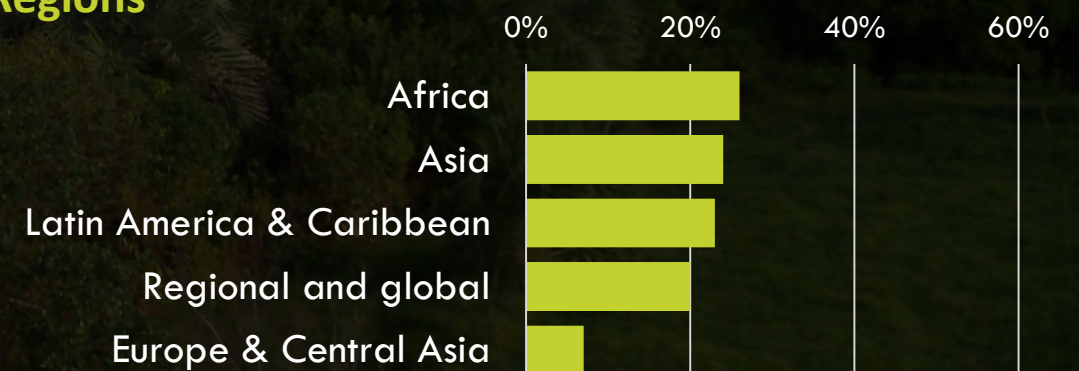
### Modalities



### Agencies



### Regions





## OPS6 Overview

# Strategic relevance

**Conventions.** Main funding mechanism for:



The image displays five logos for international conventions. In the top left is the Convention on Biological Diversity logo, featuring a green leaf. To its right is the Stockholm Convention logo, a stylized 'S' in orange and blue. Below these are the United Nations Framework Convention on Climate Change logo (a blue 'C' in a circle) and the United Nations Convention to Combat Desertification logo (a blue globe with a leaf). In the bottom right is the UNEP Minamata Convention on Mercury logo, which includes the UNEP logo and the text 'MINAMATA CONVENTION ON MERCURY' in white on a blue background.

Also relevant to the



**Countries**

More than  
**140**  
recipient  
countries

Support for  
middle  
income  
countries  
remains  
important

Support to  
**LDCs and  
SIDS**  
has increased



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## SECTION 2

# Performance and Impact

# Performance and Impact



81%

Satisfactory outcomes

Cofinancing commitments for GEF-6 exceed the target



8.8:1

6:1 target

Sustainability of Outcomes is a challenge

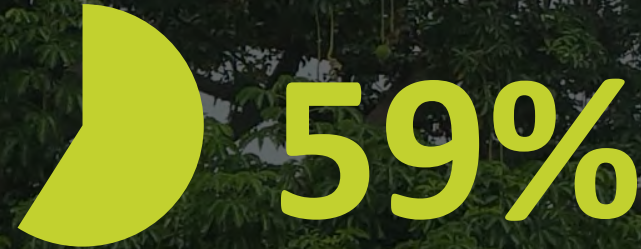
Project cycle efficiency gains are slow

## PERFORMANCE AND IMPACT

# Broader adoption and transformational change



of projects achieved  
broader adoption



of projects achieved  
environmental stress reduction

### Mechanisms for broader adoption:

- + Mainstreaming and replication
- Scaling-up and market change

### Success factors for transformational change:

- Clear ambition in designs
- Addressing market reforms through policies
- Mechanisms for financial sustainability
- Quality of implementation and execution
- May be achieved by projects of different size

## PERFORMANCE AND IMPACT

# Examples: transformational change

### Uruguay

Wind power  
2008: 0%  
2016: 33%

### Africa

1.3 mln – quality  
solar lanterns;  
  
Private market  
transformed

### Amazon

13.2 mln ha – strict  
protection  
10.8 mln ha –  
sustainable use

### China

Wind power  
2005: 1.3 GW  
2015: 129.3 GW

### Namibia

98% PAs improved;  
  
Doubled number of  
wild dogs, leopards,  
cheetahs, lions  
(2004–12)



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## SECTION 3

# Focal Areas

# Performance and Impact

## FOCAL AREA STUDIES

# Common findings

*Relevant to conventions*

***Strong performance ratings on outcomes with limited variation***

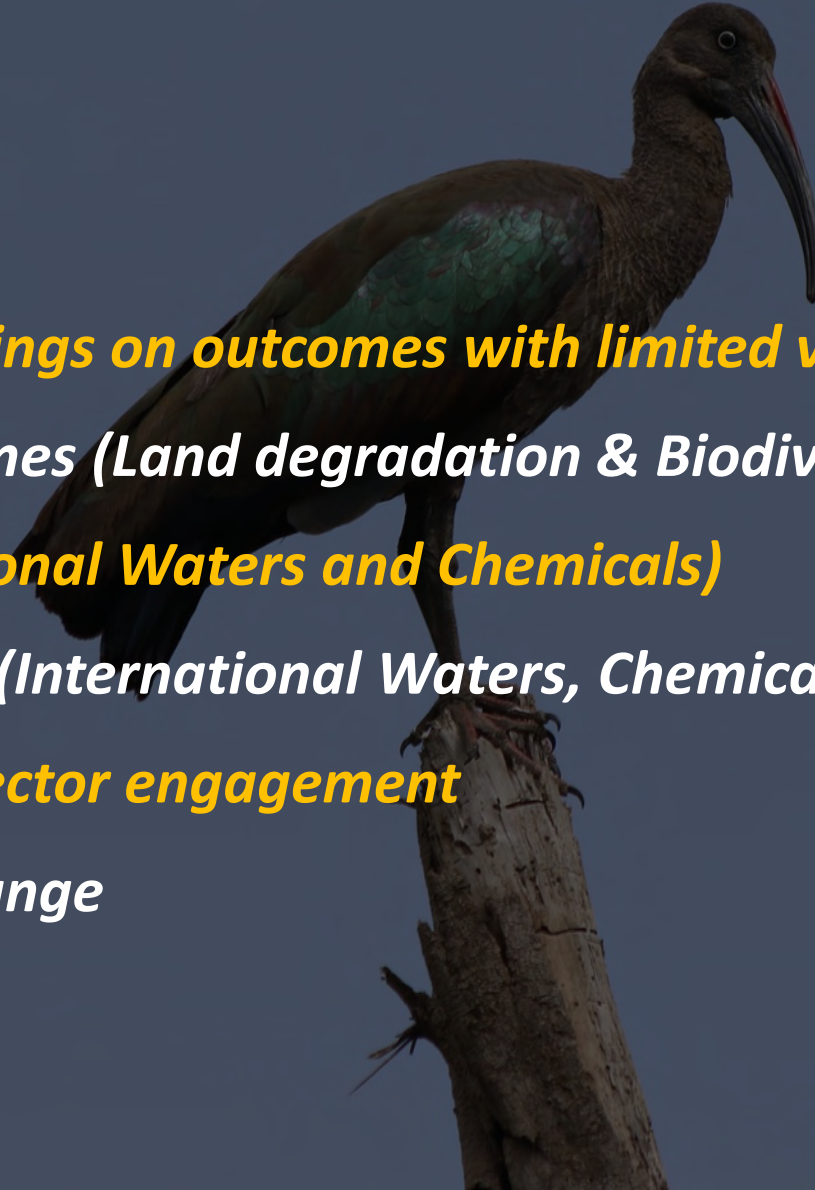
***Sustainability of outcomes (Land degradation & Biodiversity)***

***M&E Design (International Waters and Chemicals)***

***M&E Implementation (International Waters, Chemicals and Multifocal)***

***Variation in private sector engagement***

***Transformational change***



FOCAL AREA STUDIES

Climate change



Highly relevant to  
UNFCCC



Important role in  
strengthening enabling  
environment



GHG emission reductions  
(a) Significant contributions  
from other focal areas  
(b) Inadequate measurement



**Catalytic effects in closed projects**

~70% | mainstreaming

~30% | replication, scaling up, market changes

**FOCAL AREA STUDIES**

# Climate change: Added value and complementarity

**Significant and flexible grant financing**

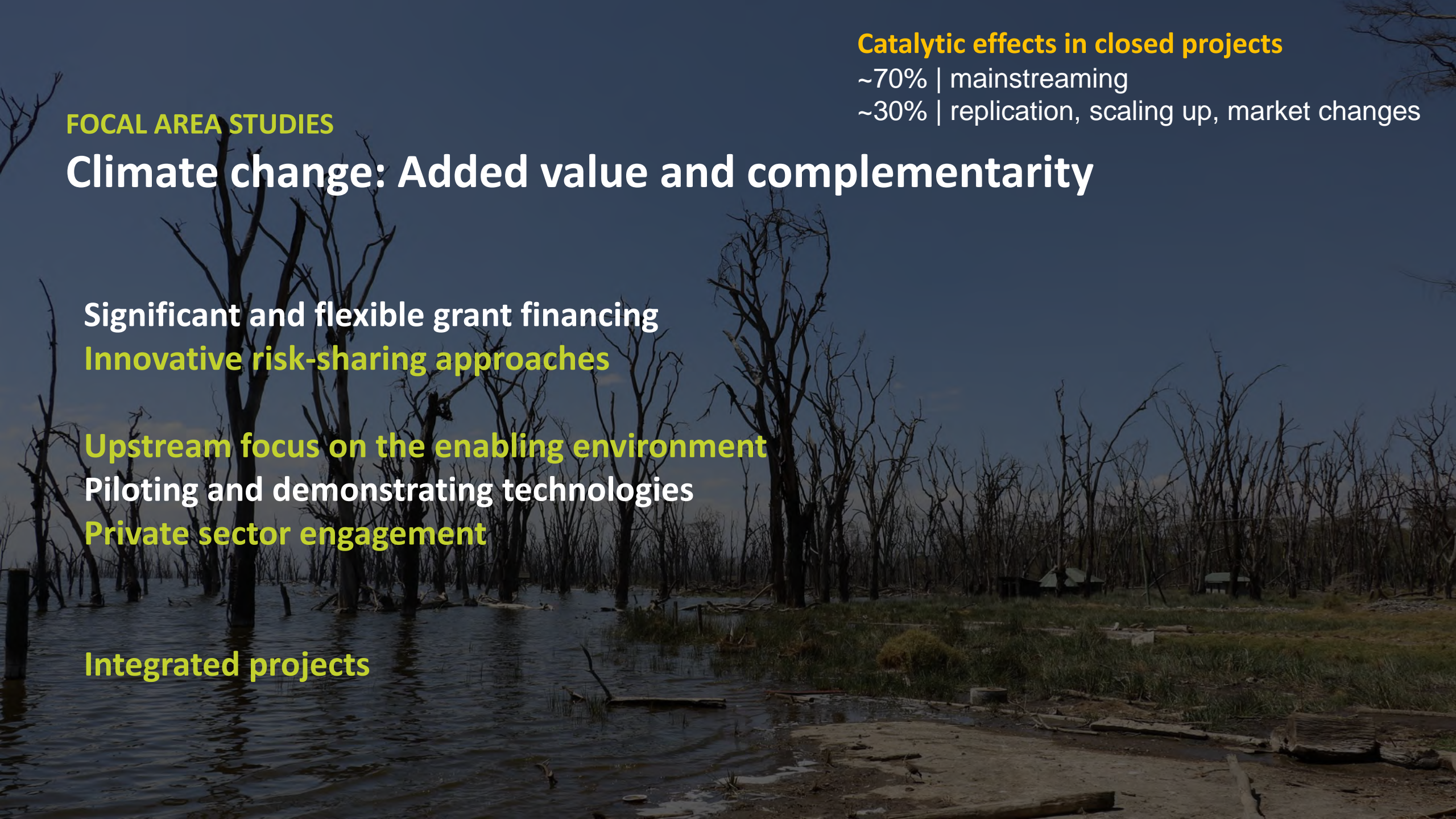
**Innovative risk-sharing approaches**

**Upstream focus on the enabling environment**

**Piloting and demonstrating technologies**

**Private sector engagement**

**Integrated projects**



**FOCAL AREA STUDIES**

**Climate change  
changing landscape**

**Niche areas**

Upstream approaches including policy reform to accelerate market development and create an enabling environment for investment

Risk sharing approaches

Piloting innovative technologies

Collaborating with other climate funds and MDBs to scale up investments

## FOCAL AREA STUDIES

# Biodiversity: Addresses specific drivers and pressures of biodiversity loss

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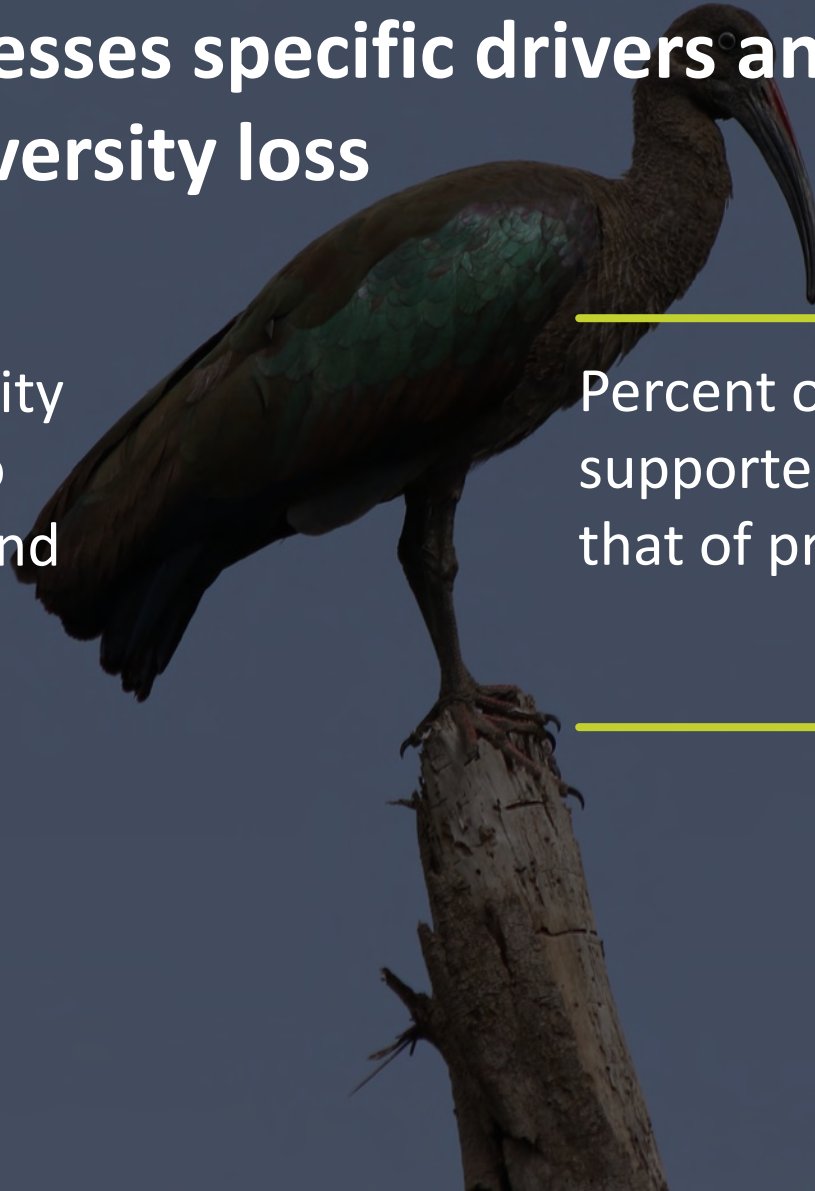
Increase in the biodiversity **mainstreaming** portfolio with focus on reforms, and improved outcomes

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Percent of forest loss in GEF supported protected areas was **half** that of protected areas not supported

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## FOCAL AREA STUDIES

# Biodiversity: Access and Benefits Sharing and the Nagoya Protocol



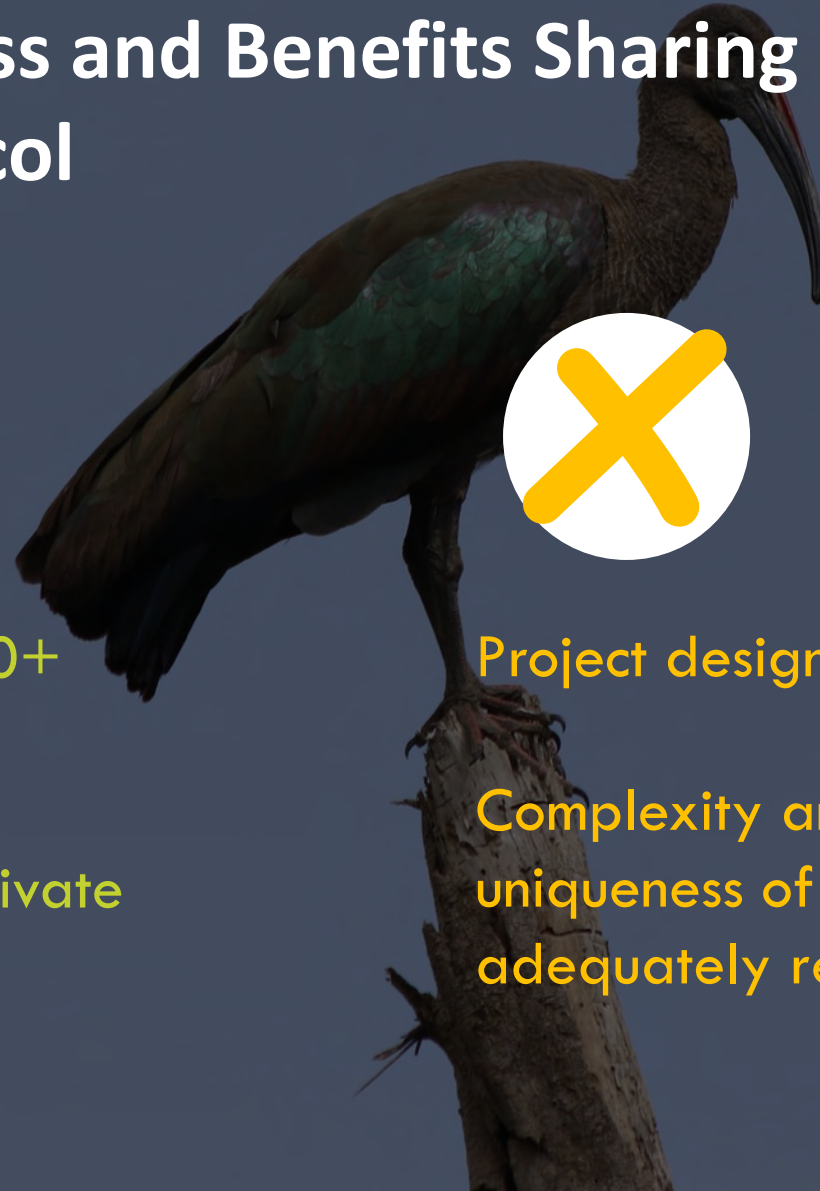
Significant support to 100+ countries in ratifying

Support pilots with the private sector



Project designs “overpacked”

Complexity and individual uniqueness of each situation not adequately recognized



## FOCAL AREA STUDIES

# Biodiversity: Global Wildlife Program



Relevant to GEF-6 BD Strategy

The coordination grant is accomplishing more than expected

Appropriate theory of change

Simple M&E



Funding mechanism creates structural limitations

Supply side focus

Gaps in species and geographic coverage; single country projects

Political will and corruption not explicitly addressed

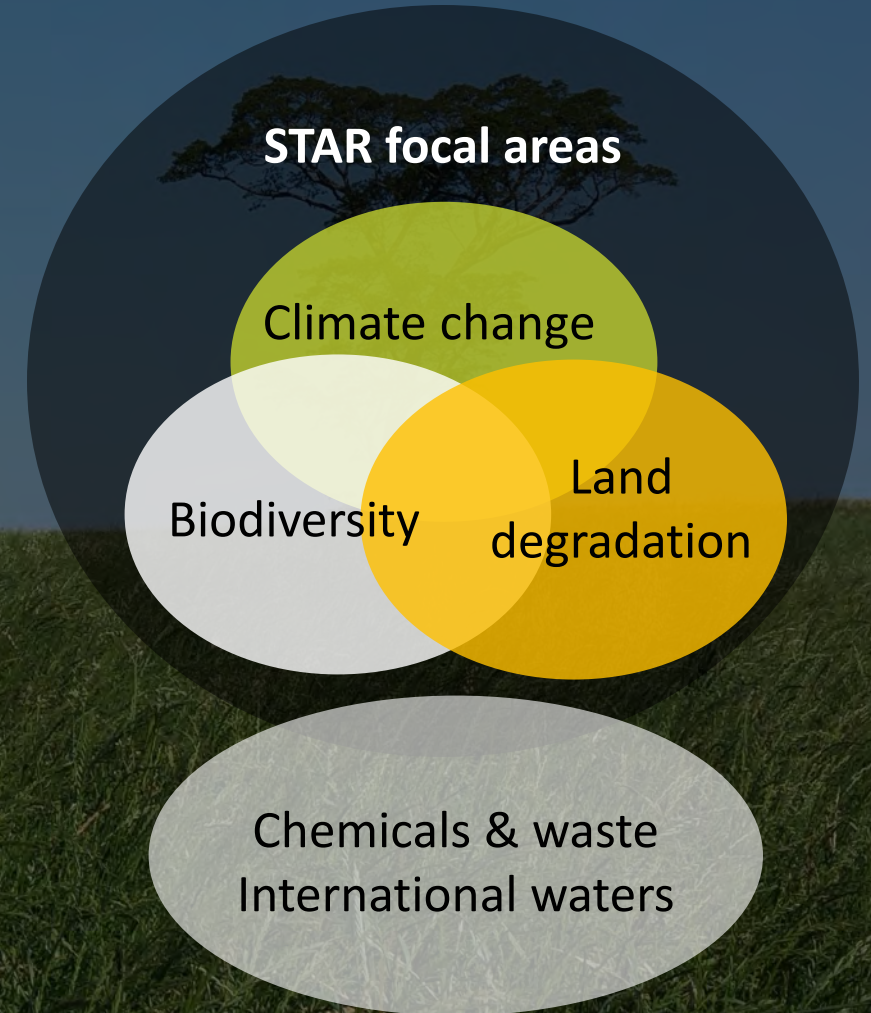
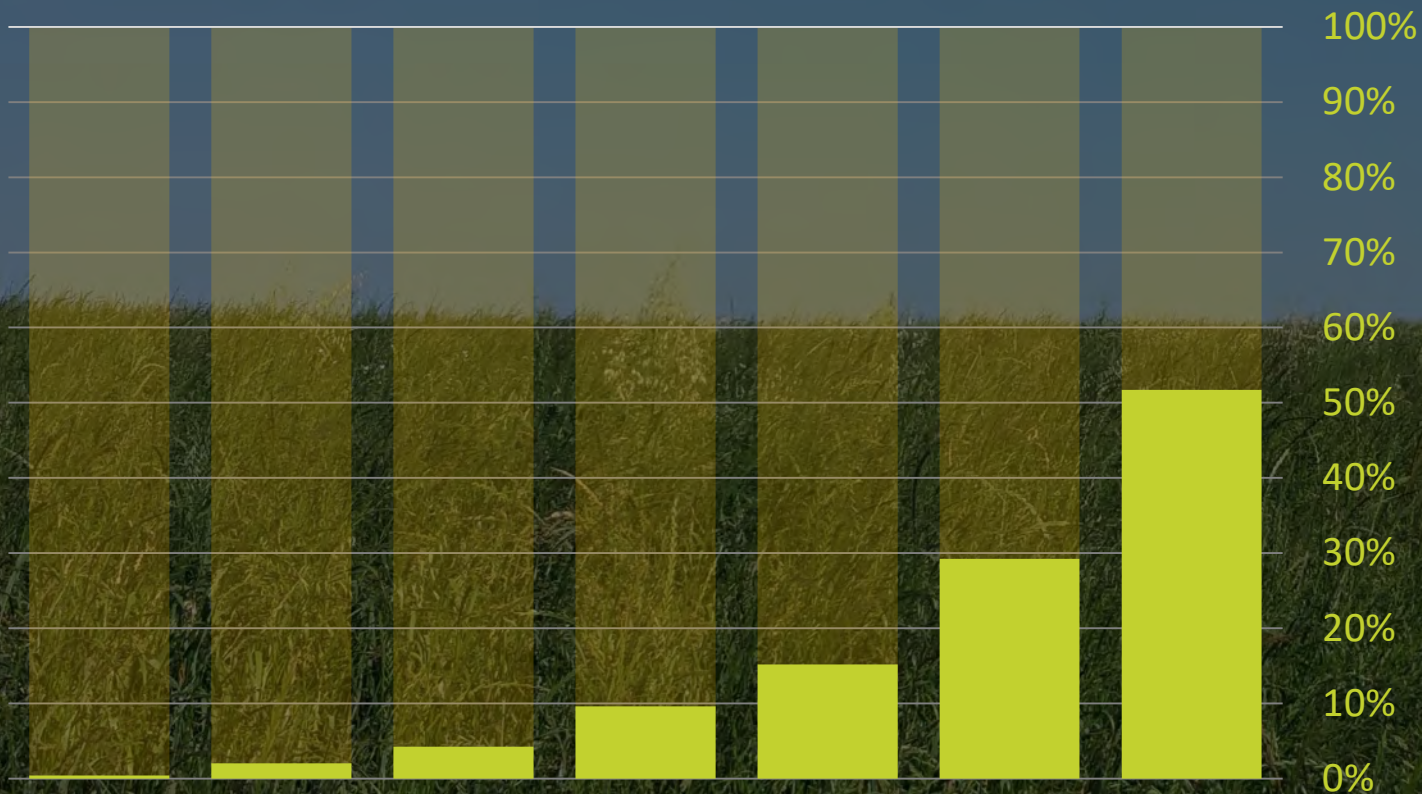


## FOCAL AREA STUDIES

# Multifocal

Share of portfolio is growing

Pilot GEF-1 GEF-2 GEF-3 GEF-4 GEF-5 GEF-6



## FOCAL AREA STUDIES

# Multifocal



Majority of projects  
generated multiple benefits



Potential to enhance  
synergies and mitigate trade-  
offs



Institutional  
arrangements for  
sectoral integration

**FOCAL AREA STUDIES**

**Multifocal**

Enhancing synergies

Mitigating trade-offs through value addition



Senegal



Brazil



China



## SECTION 3

# Programmatic and Integrated Approach Pilots

## PROGRAMMATIC APPROACHES

### Findings



Program child projects perform slightly better than standalone projects



Outcome performance, cost effectiveness and efficiency decline with increased complexity



Coherence in project-program objectives has improved, but results focused on projects rather than programs

## INTEGRATED APPROACH PILOTS

Designed to build on **linkages** and **connections** across focal areas  
Formative evaluation based on **30** child projects approved



### Sustainable cities

Challenges to rapid urbanization in 28 cities



### Commodities

Tropical Deforestation caused by soy, beef and palm oil in 4 producing countries



### Food Security

Smallholder agriculture and food value chains in 12 African countries

## INTEGRATED APPROACH PILOTS

### Relevance



93%

of in-country stakeholders agree on potential to address conventions



IAPs are equally or better aligned with country priorities

INTEGRATED APPROACH PILOTS

Design



Coherence in objectives between program and child projects

Emphasis on knowledge exchange



Limited demonstration of program  
additionality

## INTEGRATED APPROACH PILOTS

### Process



Relevant selection of countries, cities and agencies but process varied

Set-aside funds provided incentives for countries



Selection process not always transparent

It takes time to design and launch a complex integrated program



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## SECTION 4

# Institutional Framework



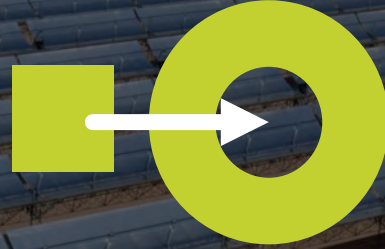
460 projects  
\$2,5 million in GEF investments

## INSTITUTIONAL FRAMEWORK

### Private sector



Not an area of comparative advantage



Operational restrictions constrain engagement



Climate change investments feature heavily

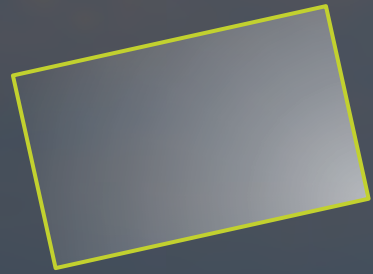


**Needs to be seen as a partner, not only a source of funding**



## INSTITUTIONAL FRAMEWORK

# System for Transparent Allocation of Resources (STAR)



Enhanced resource allocation transparency and predictability



Complex



GEF-6 STAR increases in allocation to least developed countries

SHORTFALL

19%

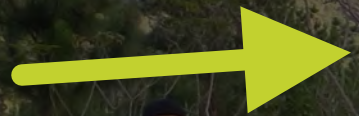
Country allocations

33%

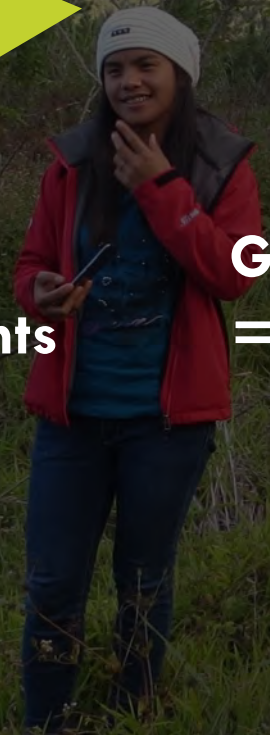
Allocation for non-SIDS, non-LDCs

**INSTITUTIONAL FRAMEWORK**

**Gender**



**Modest improvements**



**Gender analysis = higher gender ratings**



**Policy does not provide a clear framework**



**Gender Partnership is evolving into a platform to build a constituency**



## INSTITUTIONAL FRAMEWORK

# Indigenous peoples and local communities



Important stakeholder



Agencies in alignment with Minimum Standard 4



Advisory Group provides relevant advice



SGP is primarily modality for engagement

## ISSUES TO ADDRESS



Portfolio monitoring



Move to “Free, Prior, Informed Consent”

## INSTITUTIONAL FRAMEWORK

# Health of expanded partnership

Increase in access to new capacities

New agencies are catching up quickly

STAP provides high quality knowledge

Inter agency competition counterproductive

Efficiency trade offs with expansion

STAP can play a stronger unifying role



## INSTITUTIONAL FRAMEWORK

# Governance

GEF is effectively governed

CSO network is relevant

Council has good regional balance  
and is transparent

Transparency in management

Col risks of executing/implementing agencies

Limited delegation from Council to committees

Independent Chair



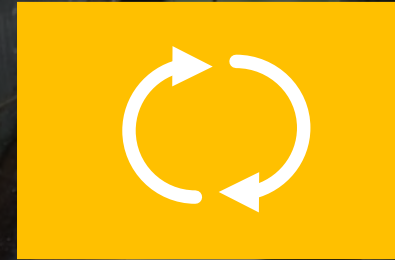
**INSTITUTIONAL FRAMEWORK**

**PMIS, RBM: Progress observed**



**Project Management  
Information System**

Data quality needs to keep up with partnership needs



**Results-Based  
Management**

Promotes accountability,  
limited learning

## INSTITUTIONAL FRAMEWORK

# Knowledge management



Substantial progress during GEF-6

Influenced national policies and practices

Knowledge provider

## Systemic issues

Availability and  
accessibility of project  
information

Limited guidance to  
Agencies

Limited connection with  
Agencies' KM systems and  
platforms

# Comparative advantage

## RELEVANCE

1. Serves multiple conventions and broad range of environmental issues
2. Strong Support to LDCs and SIDS

## PERFORMANCE

3. Long history of good performance
4. Ability to address linkages and synergies between focal areas

## TRANSFORMATIONAL

5. Ability to Create an enabling environment in countries through legal and regulatory reforms
6. Delivers innovative financial models and risk-sharing approaches



# Recommendations

## Strategic

1. Strategic positioning
2. Transformational change
3. Integration based on additionality

## Financial

4. Financial management
5. Private sector management

## Policies

6. Gender equality
7. Safeguards and indigenous people

## Institutional

8. Operational governance
9. Systems for data, monitoring and knowledge

UPDATE

# IEO knowledge management

## Events



## Expanded Constituency Workshops (7)



## Partnerships



## Website



## Earth-Eval





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## Recommended Council Decision

*The Council, having reviewed the “Semi-Annual Evaluation Report of the GEF Independent Evaluation Office: November 2017,” endorses the recommendations of the individual evaluations included. The Council takes note of the OPS6 recommendations and advises the GEF Secretariat to address them in programming for GEF-7.*



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