



# Global Environment Facility

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May 5, 2005

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GEF Council  
June 3-8, 2005

## GEF ANNUAL PERFORMANCE REPORT (2004)

**(Prepared by the Office of Monitoring and Evaluation)**

### **Recommended Council Decision**

The Council, having reviewed the document GEF/ME/C.25/1 *Annual Performance Report (2004)* endorses its recommendations and requests that the GEF Office of Monitoring and Evaluation reports on the follow-up of the following recommendations and the management response to the June 2006 Council meeting:

- The transparency of the GEF project approvals process should be increased. The GEF Secretariat and Implementing Agencies should make project proposal status information available to proponents through internet accessible databases and project tracking tools.
- GEF Secretariat should institute an active management approach to the project approvals process, including accountability for processing time standards within the GEF Secretariat and Implementing Agencies.
- UNDP and UNEP should set in place terminal evaluation review processes for GEF projects to improve their quality and meet the concerns of the GEF.
- Recommendations to improve project M&E systems have been issued in the past, as well as request to include an assessment of project M&E systems in all terminal evaluation reports. While there have been advances in upgrading project M&E systems, there is still considerable room for improvement, and therefore the Office considers that these recommendations continue to be valid.

## EXECUTIVE SUMMARY

1. This Annual Performance Report (APR) is a step towards an annual account of the results of GEF activities, processes that affect accomplishment of results and the state of project monitoring and evaluation activities across the system.

2. This year the APR does not include a chapter on results. They would have been drawn partly from the recently completed program studies, but these will be discussed separately by Council. The discussion of results could also have been drawn from the outcome and sustainability ratings of project terminal evaluations. But the mixed quality of terminal evaluations and monitoring systems of projects made a significant portion of the available data unreliable. In subsequent years the Office will verify the achievements of project objectives and the likelihood of sustainability of project outcomes presented in terminal evaluations and will report on these verified achievements. The Project Implementation Review (PIRs) Overview Reports present implementing agency assessments of project achievements by focal areas. In account of the independence of the APR, the Implementing Agency PIR Overview Reports are presented to Council as information documents. These are: Project Implementation Review 2004 - Overview Report/UNDP, GEF/ME/C.25/Inf.2 (Prepared by UNDP); Project Implementation Review 2004 - Overview Report/UNEP, GEF/ME/C.25/Inf.3 (Prepared by UNEP); and Project Implementation Review 2004 - Overview Report/World Bank, GEF/ME/C.25/Inf.4 (Prepared by the World Bank).

3. On process issues, the APR focuses on a review of timeframes associated with GEF project design. This review indicates that the average elapsed times from pipeline entry to program inclusion for GEF full-sized projects regularly exceed the 730 day (24 month) standard expected of routine investment loans or technical assistance grants at multi lateral development banks such as the World Bank. The record for medium-sized projects is also well beyond what was originally expected for this type of grant. No major elapsed time differences among Implementing Agencies were detected. Some of the critical factors affecting the duration of the cycle identified by the review are related to the complexity of the GEF structure and process. These include the need to address the GEF and Implementing Agency processing steps and the specific characteristics of GEF projects which include among others determining baselines and securing co-financing. Other factors are lengthy approval periods of GEF focal points and other political and institutional issues. Although this review is consistent with the findings of other performance reviews and evaluation reports, there is a clear need within the GEF to establish a more uniform and integrated approach to gathering and maintaining critical data on project cycle timeframes.

4. The Office review of Implementing Agency terminal evaluations found that most of the World Bank reports (i.e., Implementation Completion Reports) were of satisfactory or above quality. UNEP reports ratings for fiscal year 2004 showed a slight improvement compared to the reports completed between January 2001 and June 2003. UNDP terminal evaluation quality ratings, on the other hand, exhibited a decline. While there is not sufficient information to interpret this decline as a trend, this decline is a matter of concern because it contributed disproportionately to the drop on the ratings of the quality of terminal evaluation reports submitted in fiscal year 2004. There is still room for improvement for the World Bank, but more needs to be done by UNDP and UNEP. Particular areas in which reports need to improve are:

presentation of actual project cost; report consistency; completeness of evidence and convincing substantiation and use of ratings; assessment of sustainability of outcomes; and the assessment of relevant outcomes and objectives. In line with international best practices, and for the sake of clarity and standardization, the Office of Monitoring and Evaluation has requested the Implementing Agencies to provide ratings on the achievement of objectives/outcomes, sustainability and quality of the M&E systems using a six scale rating system in terminal evaluation reports.

5. The analysis of the quality of project monitoring and evaluation systems seem to suggest that there is an improvement when comparing projects that started before 1995 with those that started after 1995, the point at which the GEF Council requested that project level monitoring and evaluation plans be included in all projects approved for GEF funding. However, there is a substantial gap in the information as the quality of the project monitoring and evaluation systems is unknown for a large percentage of projects: 18 of 75 reports from the period under consideration did not provide sufficient information on the systems. Therefore, the Office requests to Implementing Agencies that future terminal evaluations include an assessment of project monitoring and evaluation systems.

### **Recommendations**

- The transparency of the GEF project approvals process should be increased. The GEF Secretariat and Implementing Agencies should make project proposal status information available to proponents through internet accessible databases and project tracking tools.
- GEF Secretariat should institute an active management approach to the project approvals process, including accountability for processing time standards within the GEF Secretariat and Implementing Agencies.
- UNDP and UNEP should set in place terminal evaluation review processes for GEF projects to improve their quality and meet the concerns of the GEF.
- Recommendations to improve project M&E systems have been issued in the past, as well as request to include an assessment of project M&E systems in all terminal evaluation reports. While there have been advances in upgrading project M&E systems, there is still considerable room for improvement, and therefore the Office considers that these recommendations continue to be valid.

## 1. INTRODUCTION

6. In November 2004, the GEF Council approved the Office of Monitoring and Evaluation's proposal to gradually transfer its direct monitoring functions to the implementing agencies and the GEF Secretariat, allowing the Office to focus more on assessing results of GEF activities and on overseeing monitoring and evaluation operations across the GEF system. Consistent with this shift, this first issue of the *GEF Annual Performance Report (APR)*, the successor of the Project Performance Report (PPR), will be a first step in the direction of an annual presentation of the results of GEF activities, the processes that affect the accomplishment of results, and the findings of the Office's oversight of project monitoring and evaluation activities across the portfolio. The Annual Performance Review also provides the GEF Council, and other GEF institutions and stakeholders, with feedback to help improve the performance of GEF projects. Given these changes, the overview of the GEF portfolio is presented in Appendix A, and the list of projects included in the 2004 APR is included in Appendix B.

7. Future APRs will include four chapters:

- (i) Results of GEF activities
- (ii) Processes that affect attainment of GEF results
- (iii) Quality of project terminal evaluations reports
- (iv) Quality of project monitoring and evaluation systems.

8. This year the APR does not include a chapter on results because these are more comprehensively covered in the Biodiversity, Climate Change, International Waters and Integrated Ecosystem Management Program Studies. The program studies were presented to the GEF Council in November 2004 (GEF/ME/C.24/Inf.1, Inf. 2, and Inf. 3) and were major inputs to the Third Overall Performance Study (OPS3). The GEF Secretariat coordinated with the implementing agencies to prepare the GEF Management Responses (GEF/ME/C.24/7) to these studies, which were also presented to Council in November 2004. The OP12 study and corresponding management response (GEF/ME/C.25/5 and GEF/ME/C.25/6) are being presented to the June 2005 Council session. The discussion of results could also have been drawn from the outcome and sustainability ratings of project terminal evaluations. But the mixed quality of terminal evaluations and monitoring systems of projects made a significant portion of the available data unreliable.

9. For the next APR, an attempt will be made to verify and report on outcome and sustainability ratings of terminal evaluations and to supplement this with results reported through other credible and legitimate sources of information, such as other GEF evaluations, evaluations of GEF partners, and data coming out of independent monitoring systems. The aim will be to give the GEF Council an annual update of the results that the GEF is achieving on various levels and by focal areas. The benchmarking of existing monitoring and evaluation systems in the GEF family will also be very valuable for this task.

10. Chapter two on process and performance issues is dedicated to the study of elapsed time in preparing GEF projects, which was undertaken as a follow-up to the last PPR. This is a topic for which the May 2004 Council specifically requested further review by the Office.

11. Chapters three and four of the APR refer to the quality of project terminal evaluations and the quality of project M&E systems, respectively. As the GEF project portfolio matures, an increasing number of terminal evaluation reports permit a more systematic analysis than in previous years. Larger dataset will allow the Office to identify and track issues that may be in need of improvement. These chapters are a first step to doing so. The number of terminal evaluations is still relatively low, and the analysis that can be done is still relatively limited. However, it is hoped that these limitations will diminish in the coming years as implementing and executing agencies submit more terminal evaluation reports that comply with the GEF Terminal Evaluation Guidelines. As ratings in terminal evaluation reports become more consistent, the Office will be able to rely more on them and report on an aggregated basis on the levels of accomplishment of projects at exit, based on the ratings for achievement of project objectives and the likelihood of sustainability of outcomes. The Office will also report on the relationship between validated ratings and rating in terminal evaluations to assess the disconnect between independent ratings and those provided in project implementation reports.

12. The role of the Office of M&E in the review of terminal evaluation reports could be transitional and/or complementary. The Office will work with the evaluation departments of implementing and executing agencies to establish independent validation processes of terminal evaluation findings and ratings, thus addressing GEF concerns. Presently, the World Bank's terminal evaluation independent review process by the Operations Evaluation Department (OED) meets most of our concerns. Therefore, the Office will primarily use OED's validation of terminal evaluation reports and, where necessary, complement this with a relatively minor effort to address the specific information needs of the GEF. The Office is consulting with the other evaluation departments of GEF's partners to set in place terminal evaluation review processes that are independent and meet GEF concerns.

13. The analysis of 75 project terminal evaluation reports (submitted since January 2001) was supplemented by some information provided during the focal area task forces that took place during November and December of 2004. Starting this year, the annual overview reports of UNDP, UNEP, and the World Bank are being presented to the Council as separate informational documents. The findings and conclusions presented in this report were also shared and discussed with the implementing agencies on various occasions, including during the program studies review process and the Interagency Meeting held in Washington, DC, in January 2005. Individual reviews of project evaluations were also sent to the implementing agencies for comments.

## **2. PROCESSES THAT AFFECT THE ATTAINMENT OF GEF RESULTS: ELAPSED TIME IN THE PREPARATION OF GEF PROJECTS<sup>1</sup>**

### **Key Findings on Elapsed Time in the Preparation of GEF Projects**

#### Performance of Project Preparation

- Data indicates that the average elapsed times for GEF full-sized projects regularly exceed the 730-day (24-month) standard expected of routine investment loans or technical assistance grants at multilateral development banks, such as the World Bank. The record for medium-sized projects is also well beyond what was originally expected for this type of grant.
- The trends that have emerged are consistent with the findings of other performance reviews and evaluation reports, but there is a clear need to establish a more uniform and integrated approach to gathering and maintaining critical data within the GEF.
- The critical factors affecting the duration of the cycle come into play primarily in the development of project concepts and project preparation and appraisal.
- Over the years, the length of time to reach project start-up after initial approval by an implementing agency has decreased, but the amount of time spent in project preparation has either increased or remained flat.

#### Factors Affecting Duration of Project Preparation

- The nature of the GEF structure, with its intersecting, multilayered institutional requirements creates competitive tensions and confusion between implementing agencies and the GEF Secretariat.
- At the operational level, the lines between the roles and responsibilities of the GEF Secretariat and implementing agency staff have not been clearly and consistently drawn, frustrating both parties over the handling of projects in the review process. This may create a clash between the incentives driving the implementing agency to move a project through the GEF process to meet internal IA deadlines and the quality control priorities of the GEF Secretariat reviewer.
- The information systems for effective central coordination and management of the project cycle are not well integrated and maintained by the GEF Secretariat and implementing agency family, making it difficult to routinely track and monitor the development of projects at the Secretariat level.
- The GEF project approvals process is not sufficiently transparent, and this lack of transparency also contributes to project delays. The inability of project proponents to track the current status of their proposal also generates a great deal of tension and criticism of the GEF as a whole.

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<sup>1</sup> This section of the 2005 Annual Performance Report is taken from the working paper prepared externally for the Office of Monitoring and Evaluation titled “Review of Factors Affecting the Length of Time Required To Prepare, Process, and Begin Implementation of GEF Projects” (April 2005).

## Recommendations

- The transparency of the GEF project approvals process should be increased. The GEF Secretariat and implementing agencies should make project proposal status information available to proponents through Internet-accessible databases and project tracking tools.
- GEF Secretariat should institute an active management approach to the project approvals process, including accountability for processing time standards within the GEF Secretariat and implementing agencies.

## Rationale for a Methodology of the Review

14. This year the chapter on processes that affect the attainment of GEF results focuses on the elapsed time in the preparation of GEF projects. Following its review of the Report of the Monitoring and Evaluation Unit (GEF/C/23/3) and the associated 2003 Project Performance Report (GEF/C.23/Inf.5, April 21, 2004), the GEF Council explicitly asked what was then the Monitoring and Evaluation Unit to give a high priority to examining the causes of time delays in “project preparation and implementation and disbursement of funds...” This review responds to the Council’s request. The review’s central objectives are to: a) examine the elapsed times involved in taking projects through the GEF project cycle; b) assess the factors that affect the times required to prepare, approve, and initiate the implementation of projects; and c) recommend steps to address those factors that cause delays while taking into account the need to ensure quality of project preparation.

15. The review focused primarily on the experience of the GEF Secretariat and the three implementing agencies of the GEF and on the elapsed times associated with the preparation of GEF full-sized projects and medium-sized projects. It focused particularly on the period from the time a project enters the GEF pipeline until implementation of the project begins. The review did not examine experience with other types of GEF instruments, such as enabling activities, national capacity self-assessments, or small grants, and it did not cover executing agencies brought into the GEF under the policy of expanded opportunities.

### Box 1. Sources of information for the review on the elapsed time of the preparation of GEF projects

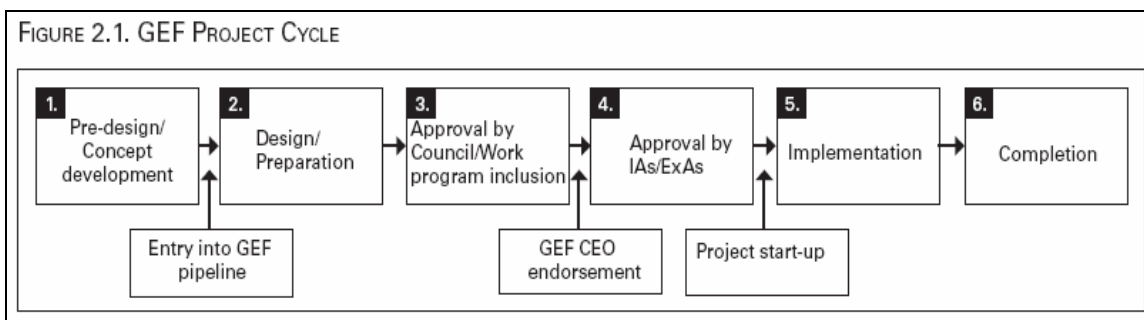
The review is based on information provided by the GEF Secretariat, the World Bank, UNDP, and UNEP. These sources include Overall Performance Studies, annual Project Performance Reviews, special program studies on biodiversity, international waters, and climate change, and interviews with technical staff and program managers from the agencies. With the exception of a limited number of interviews with people involved in GEF projects in Africa and Latin America, this study did not entail field work in recipient countries. With regard to the experience of the World Bank, the review drew heavily on the study of elapsed times for preparation and approval of full-sized GEF projects recently undertaken by the Bank’s GEF team as part of the Bank’s FY2004 Portfolio Improvement Plan. Data on elapsed time for specific agencies is derived from the databases and project information systems of each of the implementing agencies and the GEF Secretariat.

## The GEF Project Approval Process

16. The GEF project cycle involves two interrelated processes: the process by which the GEF Council and Secretariat review, approve, and eventually evaluate projects brought to the GEF by the implementing and executing agencies, and the process by which these agencies develop,



approve, and implement those projects. It is important to note that each of the implementing and executing agencies follows its own internal project cycle, which may involve different terms and internal procedures.<sup>2</sup> The figure below, taken from the Biodiversity Program Study, shows the basic steps in the project cycle. In each of the six steps identified below, multiple sub-steps are also undertaken.



17. The GEF Secretariat is primarily consulted in steps 2 and 3, to which there are a number of sub-steps: 1) concept agreement, 2) Project Development Facility (PDF) Block A, B, or C approval, 3) approval for work program inclusion, and 4) council approval, which is followed by CEO endorsement (when required).

### Timeframes for Project Processing

18. The GEF has established timeframes for processing project proposals at each stage of the approval process. As reflected in the schedules of the *Program Management Bulletin*, proceeding without interruption, a full-sized project will take, at least 152 days (5 months) to pass through the GEF review and approval process. The processing time for medium-sized projects is approximately 61 days (2 months), as they are not formally reviewed by the Secretariat for pipeline entry or work program inclusion but submitted directly to the CEO for endorsement on a rolling basis. The implementing agencies also have established time periods for project review and approval within their own individual project cycles.

### GEF Project Approval Timeframes

19. The central question is how long it takes to move a project through the process of approval to implementation. In this section, we will examine “elapsed time” data to illustrate the overall performance of the GEF and the individual experience of the three implementing agencies. The main focus will be on full-sized GEF projects. The information has been drawn from a variety of sources, as no single source of project information provides a comprehensive, overall picture of the experience of the GEF through all the stages of the project cycle. While the data provided by an implementing agency is considered accurate for that implementing agency, no unified methodology ties the calculations of the implementing agencies together. As a result,

<sup>2</sup> For the World Bank, project start-up is described as “project effectiveness,” while for UNDP this stage is termed “ProDoc” (when the project document gains approval from UNDP). For the purposes of this review, this stage in the project cycle will be generalized as “project start-up.”

judgments about the elapsed time performance of GEF as a whole are estimates that must be taken with a measure of caution.

### **Experience of the Implementing Agencies**

20. *World Bank:* The World Bank recently conducted an internal review to explain elapsed times between processing steps in the GEF project cycle.<sup>3</sup> This report used data from 65 full-sized projects, including both freestanding and blended<sup>4</sup> projects. For the complete data, see Table 1 in Appendix C.

21. The average amount of time it takes to develop and take a Bank GEF project to implementation is slightly more than 1,144 days (37.6 months). For all stages of the project cycle, the elapsed times are shorter for so-called blended projects and longer for freestanding projects. The differences between “blended” and “freestanding” projects may be accounted for in part by management priorities within the Bank. According to a number of sources, Bank managers tend to give a high priority to processing investment loans, so that they would tend to push harder for a GEF project “blended” with such a loan than for a freestanding GEF grant.<sup>5</sup>

22. The World Bank’s record with GEF projects is more than a year greater than the experience of the Bank with non-GEF projects. The total elapsed time for Bank projects is between 578 and 669 days (19 and 22 months). As the Bank does not always meet its three month standard for reaching project start-up after board approval, a general rule of thumb for the Bank is closer to 730 days (24 months). This is 395 days (13 months) less than the Bank’s overall experience with GEF projects and some 274 days (9 months) less than its experience with “blended” projects. The Bank’s experience with “freestanding” GEF projects surpasses the Bank’s 730-day (24-month) standard by almost 548 days (18 months).

23. *UNDP:* UNDP provided a sample of 48 full-sized projects that have reached project start-up since 1995, which represents about 30 percent of UNDP’s active GEF full-sized project portfolio. The average overall elapsed time for these projects was approximately 1,241 days (41 months). Additional data provided by UNDP indicated that the elapsed time for the time from pipeline entry to work program inclusion has been increasing over the last 2 years, but that the time from work program inclusion to project start-up has decreased slightly. This suggests that by developing detailed and thorough project documents for Council approval UNDP can reduce the time needed to move projects to implementation. For complete data, see Table 2 in Appendix C.

24. *UNEP:* In its Project Implementation Report for FY2004, UNEP provided information on 28 projects that had been approved between 1997 and 2005. The data places UNEP’s elapsed time record squarely within the range of the other implementing agencies. The overall elapsed time from approval of the project development fund (PDF-B) to project approval by UNEP (project start-up) is 1,156 days (38 months). As with UNDP and the World Bank, UNEP’s largest expenditure of time is on project preparation and appraisal. UNEP’s data shows varied but approximately consistent amounts of time required from one year to the next to move from

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<sup>3</sup> Draft Report on Elapsed Time Analysis of World Bank GEF Projects ( January 12, 2005)

<sup>4</sup> “Blended” projects are WB GEF projects that are packaged with a Bank investment loan.

<sup>5</sup> Each year regional offices commit to specific Bank Board dates for loans and credits.

GEF approval to implementing agency approval/project start-up. In general, a clear message can be distilled: the overall increase in the amount of time it takes UNEP to develop a full-sized GEF project and initiate its implementation is due primarily to the amount of time it takes to do the planning and design of projects rather than the time spent on their appraisal and approval. For complete data, see Table 3 in Appendix C.

### Summary of Implementing Agency Experience

25. This review of elapsed times for each of the implementing agencies establishes the basis for making a rough estimate for the duration of the GEF project cycle as a whole. The chart below is derived from the elapsed time data discussed above for each implementing agency. Based on this information, the average elapsed time for each of the stages of the cycle leading to project start-up is roughly the following: pipeline entry to work program inclusion/Council approval 621 days (20.4 months) and Council approval to project start-up 548 days (18 months). So it takes roughly 1,168 days (38.4 months or 3.2 years) to develop a GEF project.

**Table 2.1 Implementing Agency Experience of Average Elapsed Time of GEF Project Cycle (days)**

Project Cycle	Pipeline/ Council	Council/ IA Approval	Project Start-up	Total
World Bank	465	493	186	1,144
UNDP	669	578	-	1,247
UNEP	730	365	-	1,095
Average Elapsed Time	621	487	61	1,168

Note: For both UNDP and UNEP, IA approval virtually coincides with project start-up.

### Experience with Focal Areas

26. The program performance studies prepared for the biodiversity, international waters, and climate change focal areas in 2004 offer a view of the duration of the project cycle for each area. The findings for the biodiversity and international water focal areas show slightly longer elapsed times than the overall IA averages presented above, but the differences are not great enough to raise doubts about the overall findings. The report on climate change comments on the lengthy project cycle but does not offer an analysis of elapsed time data.

27. *Biodiversity:* The 2004 Biodiversity Program Study examined project cycle timeframes, and the data used for this analysis was drawn from this report. See Table 4 in Appendix C for complete data. The overall average for these biodiversity projects is not notably different from the averages for all types of full-sized projects: 1,278 days compared to 1,168 days.

28. The 2004 Biodiversity Program Study points out that there are two interesting trends when the data is broken down over time. First, for both full-sized and medium-sized projects, the GEF approval process has been taking longer in recent years when compared to GEF's early years. This is possibly due to the expanded review process and increasing complexity of projects. The second trend is that for full-sized projects the time to work program inclusion has increased, while time from work program inclusion to CEO endorsement has decreased. This could be due to projects being at more advanced stages of preparation at work program inclusion.

29. *International Waters:* The 2004 International Waters Program Study only examined the development time for projects endorsed by the CEO from 2002 to 2004. Broken down by IA, it appears that compared to their preparation times overall, the World Bank and UNEP have both

taken longer to prepare international waters projects. UNDP has taken less time, however; the International Waters Program Study attributes UNDP's shorter experience with these projects to UNDP's recent attempts to streamline its internal approval process.

30. *Climate Change*: The additional data UNDP presented for this review, shown in Table 2 of Appendix C, allowed a limited comparison of climate change projects with projects from the other focal areas.

### **Focal Area Summary**

31. The comparison indicates that UNDP elapsed time record for these projects is best with regard to climate change (1,044 days) and longest with international waters (1,399 days), with biodiversity being closer to international waters. Data examined in this review shows that biodiversity projects do not appear to take significantly longer to move to implementation than projects in the other GEF focal areas. In general, international waters projects tend to involve complex multinational institutional coordination that extends the time they take to reach project start-up. In the case of climate change, the elapsed time will depend to a great extent on the degree to which the project involves new and untested technologies or is predicated on market conditions being ripe for a design or financial innovation.

### **Regional Experience**

32. Both the World Bank and UNDP provided information on the elapsed time for projects developed in different geographic regions. The Bank's review shows that projects developed in the Africa Region took the longest to move to project start-up. In UNDP's experience, Africa and Latin America (approximately 1,400 days each) take the longest for pipeline entry to work program inclusion. This snapshot offers a general pattern, but no conclusions about the causes of longer elapsed times in one region or another. In general, however, the institutional capacity of the recipient country would have a marked effect on the elapsed times for project preparation<sup>6</sup>.

### **Factors Affecting the Duration of the Project Cycle**

33. The factors that affect the duration the GEF project cycle are so numerous and varied that it is not possible to identify just one or two culprits whose reform might shorten the time required to prepare GEF projects and bring them to implementation. Nevertheless, the duration of the cycle can be explained by examining its structural complexity, the factors that come into play in the preparation of projects, and the decision making process at the level of the GEF Secretariat. Through these three windows, one can view a more complete picture of the factors that interact to influence the duration of the cycle.

### **Complexity of the GEF Structure and Process**

34. The GEF is a complex, multilayered institution. It is not only governed by its own policies, procedures, and program requirements, but dependent, by design, upon the

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<sup>6</sup> Another Factor reported by the World Bank's internal review is the presence of a large number of regional projects in Africa, which take longer to prepare.

performances of a variety of other institutions with separate identities and behavioral characteristics. Each of these actors is governed by its own policies and procedures and internal political and bureaucratic idiosyncrasies, and the behavior of each influences the performance of the whole system. This may seem like an obvious point, but it should not be dismissed, especially for the GEF, whose global environmental objectives and institutional design are not commonly or easily understood in many of the countries seeking its financial support. To design an acceptable GEF project and successfully navigate the institutional processes is no easy task, and there can be many delays along the way. This picture of complexity is the context that defines the GEF, and it is this context that can be said to generate many of the individual factors that affect the duration of the project cycle.

35. Each of the phases of the project cycle involves a wide variety of activities and generates considerable interaction between implementing agency and project proponents on matters ranging from fundamental issues of national policy and financial commitment to more mundane matters of consultant contracting, the scope and sufficiency of technical work, and coordination among the public and private entities involved in the project. Past evaluations and the work conducted for this review have identified the major factors that determine how expeditiously these activities can be carried out.

36. Requirements for GEF projects may inject a level of difficulty into project preparation and appraisal that would not be the case for more conventional technical assistance or investment loan projects. The *characteristics of GEF projects* most often cited as causing delays are a) determining baseline conditions for calculating impacts and global benefits, b) coordinating stakeholder participation, c) establishing implementation partnerships, and d) securing co-financing. Another of the major causes of delays in all three of these stages of the project cycle is the *capacity of the project proponent* (i.e., governmental or non-governmental organization). Furthermore obtaining *project approval from GEF Focal Points* may also cause delays in the process.

37. As has been observed in other contexts, this review identified a number of factors affecting a small number of projects that are well beyond the control of the implementing agency project team or the GEF. These have to do with political or military instability, personnel changes in governmental bureaucracies, and local elections. Data is not available to analyze the full effect these factors have on GEF projects on average.<sup>7</sup>

## **Management of the Project Cycle**

38. *Implementing Agencies:* The process for review and approval of GEF projects within the implementing agencies is complex in its own right and includes steps that are essential to fulfill the technical and fiduciary responsibilities of the implementing agencies. A closer look at the internal implementing agency project cycles could reveal additional areas for improvement that would have positive implications of the GEF process as a whole. However, unless major

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<sup>7</sup> It may be possible that a few outlier projects are having a considerable effect because yearly cohorts of projects are small. Nonetheless the Office does not have sufficient information at this point to properly assess the impact of outliers across the portfolio. The coming evaluation of the project cycle will further explore the issue of the significance of outliers.

changes in the project cycle are instituted, the effort necessary to undertake such an exercise may be greater than the benefit ultimately realized.

39. *The GEF Secretariat:* The central question is whether the GEF Secretariat conducts its review process in an expeditious manner. At first glance, the answer would appear to be that GEF Secretariat decision making and reviews do not represent a major drag on the process of project preparation and approval. Although few projects submitted for work program are rejected or deferred (7 and 9 percent, respectively), the question remains whether GEF Secretariat reviews exceed the time periods stipulated in the Program Management Bulletin. Evidence of the extent of the delays that occur in the GEF Secretariat's review process can be found in information provided by the World Bank.

40. The World Bank's analysis of the data shows that there were delays in the circulation of consolidated Council comments on two work programs; for example, fewer than 20 percent of PDF-Bs were approved by the CEO within the established 5-day service standard. However, a look at the average length of the delays reflected in the data provided by the Bank offers a less alarming picture of the performance of the GEF Secretariat. Delays affecting Block B PDFs were 11 days (less than 2 work weeks) for receiving CEO approval.

41. As currently observed, delays in the GEF review process do not account for a significant portion of the total elapsed time in the project cycle. Such delays tend to occur in the early pipeline and PDF-B stages of the project cycle and result from the need to resolve issues of technical quality and eligibility. For some projects, however, delays can occur that cause projects to miss work program submissions or, in the case of delays at CEO endorsement, force an implementing agency to run up against tight deadlines for submissions to its internal board for approval. Given the nature of the data, there is no way to calculate what the cumulative result of these delays might be. Undoubtedly, some delays are caused by bureaucratic inefficiencies, and there is a need to reach a clear understanding of the respective roles of the GEF Secretariat and implementing agency in these reviews and approach them with greater clarity, consistency, coordination, and oversight on the part of GEF Secretariat management. But the GEF Secretariat's review also provides a crucial quality control function that should not be forgotten in the drive to simplify and speed up the project cycle. As discussed earlier in this chapter, technical weaknesses continue to be found in the GEF portfolio of projects.

42. *Pipeline Management:* In 2004, the GEF Secretariat initiated a new approach to managing the pipeline that sheds light on the reasons some projects may take so long to reach approval and implementation. A recent review identified some 72 projects that had been in the pipeline for over 3 years without moving beyond the concept stage to work program inclusion. The projects had been held up for a variety of reasons ranging from difficult political, institutional, and technical issues to bureaucratic neglect.

43. In order to address this problem, the GEF Secretariat instituted a more aggressive approach to pipeline management. This "use or lose" policy on the part of the GEF Secretariat should have a ripple effect that may do a great deal to discipline and expedite the development and approval of GEF projects overall.

## Recommendations

### *Considerations for the Future*

44. The immediate potential for reducing the duration of the project cycle appears to be improving its management by both the GEF Secretariat and the implementing agencies. While such improvements may not produce radical decreases in the amount of time required to develop GEF projects, they could introduce a more disciplined and transparent process. Although the GEF Secretariat and implementing agencies should deepen their understanding of the strengths and weaknesses of the existing management process before embarking on such a course of action, a number of critical suggestions have emerged from this review and should be considered. These include:

- Increase the transparency in the project approval process. Making information on the status of project proposals available and transparent would significantly reduce the confusion about and criticism directed at the implementing agencies and GEF Secretariat and would likely help reduce the time necessary for projects to reach implementation. Although some parties may be reluctant to fully divulge this type of information, in essence by making information on the status of projects available, project proponents would be better able to address legitimate concerns or questions about a project. As it stands, when proponents are unable to find out the status of a project proposal, they have no clear path to address concerns regarding a project's development.

One possibility for developing this transparency would be to establish and maintain integrated project information databases within the GEF Secretariat and the IA/EAs that would enable task leaders, focal area managers, and the GEF and implementing agency coordinators to record and monitor the critical milestones in the project development and use this information for routinely reporting on project progress. A secure Web-based project development database could be created that would enable project proponents to view current proposal status.

This level of process evolution would likely require a decision from the GEF Council to ensure the proper level of support, coordination, and cooperation from all relevant parties.

To take this process one step further, the GEF should continuously review and improve the clarity and accessibility of GEF guidance materials and the transparency of the GEF project cycle for interested public and potential project proponents.

- Firmly institute a more aggressive management approach to monitoring the progress of projects through the pipeline. A number of actions would be required to put such an approach in place. This should include clarifying the roles and responsibilities of GEF Secretariat and implementing agency staff in the project review and approval process and establishing clear and commonly understood

business standards for the duration of critical processing steps in the project cycle at the implementing agency and GEF Secretariat levels of responsibility. Within this framework, GEF program managers and implementing agency task managers should be routinely accountable for meeting business standards, reporting on project progress, and explaining the nature of delays for the project. In this regard, the current “red zone” review of the pipeline should be made as stringent as possible and accompanied by an explicit “use or lose” policy for the allocation of GEF funds.

45. Both suggestions are dependent on each other. Vigorous management requires effective monitoring, and effective monitoring requires greater transparency and accessibility of information about the GEF. Although some parties may be reluctant to openly divulge information, it is in the best interest of the GEF portfolio to develop tools that enable key parties to access information and understand the factors affecting project status. Without having such integrated databases in place, there is little to be gained by further studies of “elapsed time” in the project cycle. Moreover, such studies could be avoided altogether if more energetic program management addressed the issues that cause delays in project preparation.

46. In the longer run, the GEF might also wish to examine more structural changes in the project cycle to determine what effect they might have on the duration of the process. The GEF Office of Monitoring and Evaluation is currently planning to undertake a joint consultative process with the implementing agencies to fully examine the GEF project cycle. Some of the changes to the project cycle that have been suggested in past reviews include a) instituting a rolling process for submitting and approving projects, b) placing more emphasis on projects that involve strategic partnerships and programmatic approaches, and c) focusing Council priorities on policy and program matters rather than project reviews in work program approval. While these approaches involve changes in roles and responsibilities, it would be important to assess whether they actually would have a marked effect of the length of the project cycle given the fact most of the delays appear to emerge in the project preparation process.

47. A final consideration underscores the need to carefully consider the trade-offs between reducing the elapsed times and maintaining the quality at entry of GEF projects. In theory, at least, time spent in project preparation and time spent in the early GEF review process contribute directly to the substantive technical design of a project. The rush to speed up the process should not undermine the quality of design.



### **3. THE QUALITY OF TERMINAL EVALUATION REPORTS**

#### **Summary of Findings on the Quality of Terminal Evaluation Reports**

- Ratings of the quality of terminal evaluation reports decreased in FY04 (with almost half rated below satisfactory quality) compared to the reports completed before FY04. While this decrease is not viewed as a trend, the finding is a concern.
- The analysis indicates that most of the World Bank reports (i.e., implementation completion reports) were of satisfactory or above quality. There is still room for improvement by the World Bank, but still more needs to be done by UNDP and UNEP.
- The review suggests that all areas (i.e., assessment criteria) need work to improve the quality of terminal evaluation reports, but of particular note are the presentation of actual project costs; report consistency, completeness of evidence, and convincing substantiation and use of ratings; the assessment of sustainability of outcomes; and the assessment of relevant outcomes and objectives.

#### **Recommendation**

- UNDP and UNEP should set in place terminal evaluation review processes for GEF projects to improve their quality and meet the concerns of the GEF.

#### **Methodology for the Assessment of the Quality of the Reports**

48. To assess the quality of the terminal evaluations, the 75 evaluations completed between January 2001 and December 2004 were organized by year of preparation and separated into two groups: one including a total of 50 reports that were completed between January 2001 to June 2003 and another group of 25 reports that were completed after May 2003, when the Office of Monitoring and Evaluation's "Guidelines for the Implementing Agencies to Conduct Terminal Evaluations" became effective. The latter represent the reports prepared in FY04 (July 2003 to June 2004). The number of terminal evaluation reports currently available at the GEF is 140. This analysis examines 100 percent of the reports completed since the M&E Unit, the predecessor to the Office of Monitoring and Evaluation, started reviewing terminal evaluations from January 2001 forward.

49. There are certain limitations with the dataset. For example, the size of the group of terminal evaluation reports is still not substantial enough to determine trends on quality as there is one year of data (FY04) to compare with those reports completed before FY04 (i.e., those reports completed from January 2001 to June 2003). In addition, although the group includes 37 reports from the Bank and 27 from UNDP, the group of UNEP reports (13) is relatively smaller<sup>8</sup>.

50. Finally, very few projects were visited in the field, making this mostly a desk exercise. In those cases where substantial independent information was collected (for example, through a

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<sup>8</sup> There are 22 terminal evaluation reports from UNEP on record so these 13 represent 59 percent.

field visit of independent evaluators working for the Office), the analysis of the terminal evaluation report was complemented with that information. The main purpose of the visit often was to examine the project in light of another evaluation such as the local benefits study or the program studies, and this was considered in the analysis. However, these visits provided an additional independent view on the quality of the assessment of those terminal evaluation reports. Projects that were visited were the Jigme Dorji National Park project in Bhutan, the Renewable Energy project in Ghana, the Strategic Action Plan in the Red Sea and Gulf of Aden, and the Bolivia Biodiversity project.

51. For comparison purposes, the Office ratings on the quality of the reports were cross checked with the ratings that the independent Operation Evaluation Department of the WB provided on the quality of the Implementation Completion Reports that were part of the group of reports analyzed. The review found that out of 37 Bank reports, 10 medium-size projects did not provide ratings<sup>9</sup>. Of the remaining 27, the Office upgraded three from S to HS and one from U to MU, and it downgraded three from S to MU. The remaining matched the Office of Monitoring and Evaluation ratings on the quality of the report. These results were considered a good indication of consistency.

52. The projects that were upgraded by the Office generally exceeded expectations in terms of the review criteria for the quality of TEs described in box 3. One project was jointly implemented by the WB and UNDP and both terminal evaluation reports were considered together when the assessment of the quality of the TEs was done since they assessed the project components for which each agency was responsible. In cases where the ratings were downgraded, the report did not address the review criteria in box 3 to merit the higher rating (e.g., not all relevant outcomes were analyzed, the implications of some basic sustainability issues raised in the report were not analyzed or were downplayed) and there were omissions in the analysis or significant contradictions.

53. The review of the terminal evaluation reports was carried out by a team of consultants in close coordination with senior Office staff. The Office assessed and rated the quality of the terminal evaluation reports. Implementing agencies were also given the opportunity to comment on the reviews.

#### **Box 2 Project Terminal Evaluations**

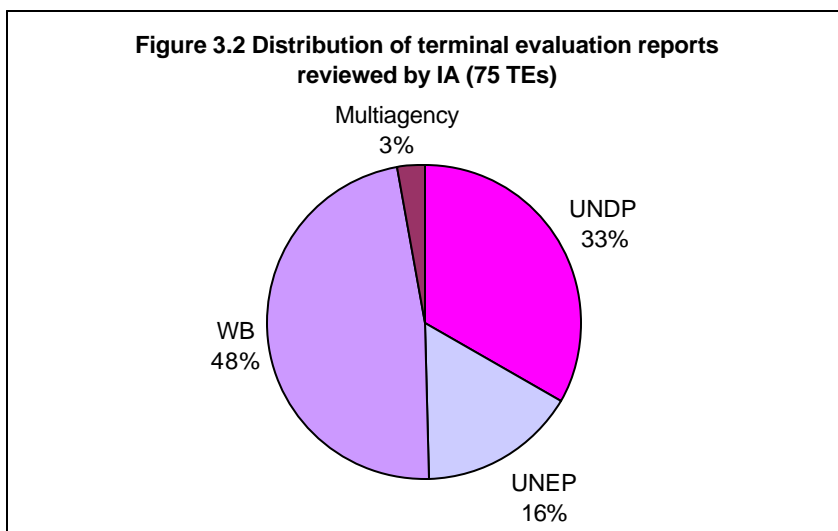
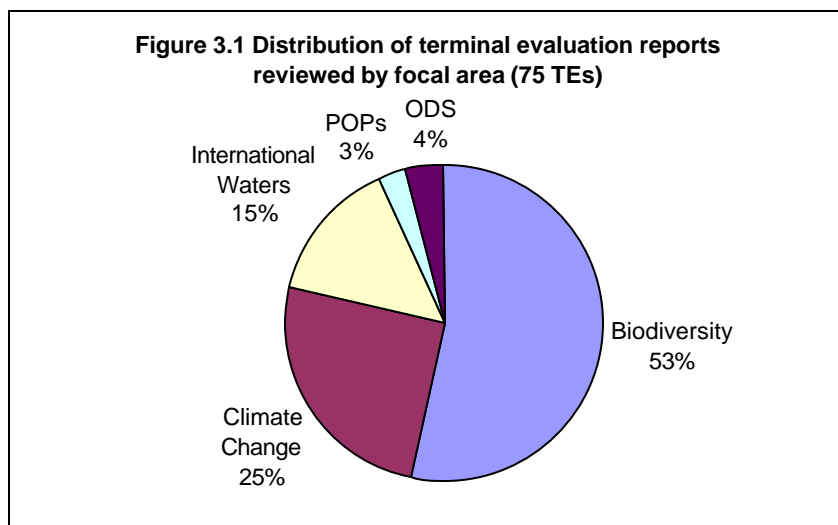
The implementing agencies perform terminal evaluations of GEF projects around their completion. UNDP uses the term "terminal evaluations," UNEP uses "final evaluations," and the Bank uses the term "implementation completion reports" to refer to these evaluations. For simplicity, the Office will use the term "terminal evaluation reports" for all. UNDP and UNEP use independent evaluators to conduct these evaluations, and sometimes conduct them before the project's completion because this enables the evaluators to have access to the implementation team before it is disbanded. At UNEP the evaluation office is fully involved in the process. At UNDP evaluations are contracted by management. The World Bank conducts the implementation completion reports (ICR) no longer than 6 months after project completion, and the team leader or sector manager designates the task team to prepare the ICR. Subsequently, the Operations Evaluation Department of the World Bank conducts an independent review of the ICRs and prepares an Evaluation Summary of every project. In addition, this department conducts a field assessment of the results of 25 percent of projects, 1 or 2 years after completion.

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<sup>9</sup> OED does not review MSPs as these have been treated as Trust Funds which go through a separate review process. The Office is in discussions with OED to find ways to address this issue.

## Distribution of Terminal Evaluation Reports

54. The distributions of the 75 projects by focal area and implementing agency are presented in Figures 3.1 and 3.2 below.



## Assessment on the Quality of Project Terminal Evaluation Reports

55. Table 3.1 presents the breakdown of the quality of reports completed before and after June 30, 2004. While there was an increase in the ratings of highly satisfactory reports from zero prior to FY04 to four during FY04, overall, ratings on the quality of the reports dropped from 33 out of 50 (66%) satisfactory or above before FY04 to 13 out of 25 (52%) in FY04. This decrease is mostly due to a large drop in the number of UNDP reports with satisfactory quality ratings, which decreased from 14 out of 21 (66%) to 1 out of 6 (17%) during FY04. Ratings for UNEP's reports improved slightly. Before FY04, the quality of two out of four UNEP reports was rated as

satisfactory and during FY04 this proportion improved slightly to five out of nine satisfactory (including one highly satisfactory). The proportion of Bank reports rated satisfactory or above in their quality also improved slightly from 18 out of 26 (69%) before FY04 to eight out of 11 (73%) during FY04, including three highly satisfactory. Given the lower number of UNDP reports in FY04, this may not be a trend, but it is nonetheless a point of concern. Appendix D presents a table listing the 75 reports reviewed and their ratings on the quality of the report and quality of project M&E systems.

**Table 3.1. Quality of terminal evaluation reports**

<b>RATING</b>	<b>BEFORE FY04</b>	<b>FY04</b>
HS	0	4
S	33	9
MU	13	7
U	4	5
<b>Total number of reports</b>	50	25

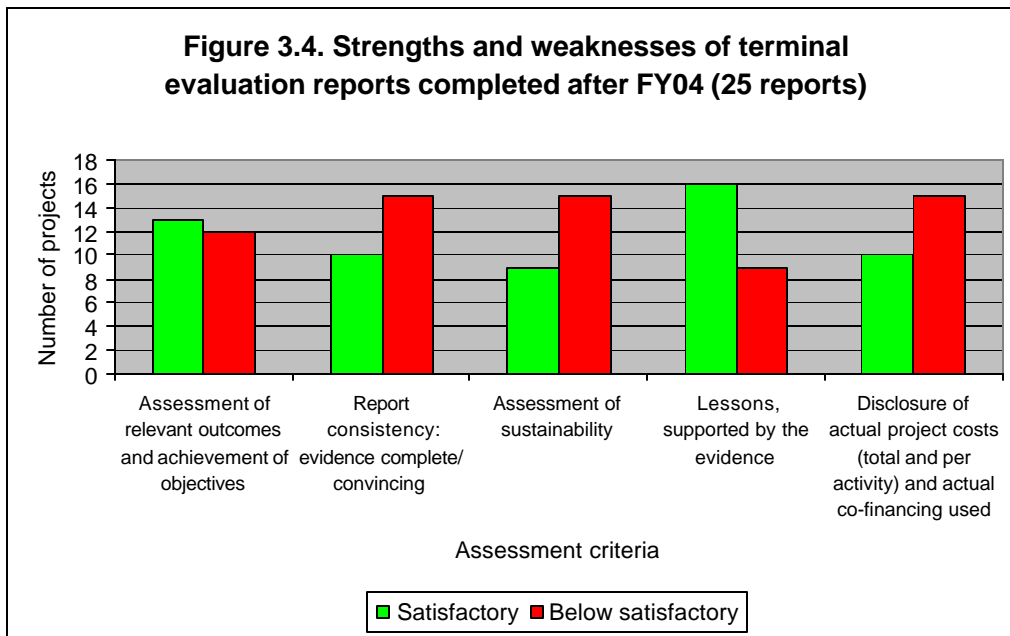
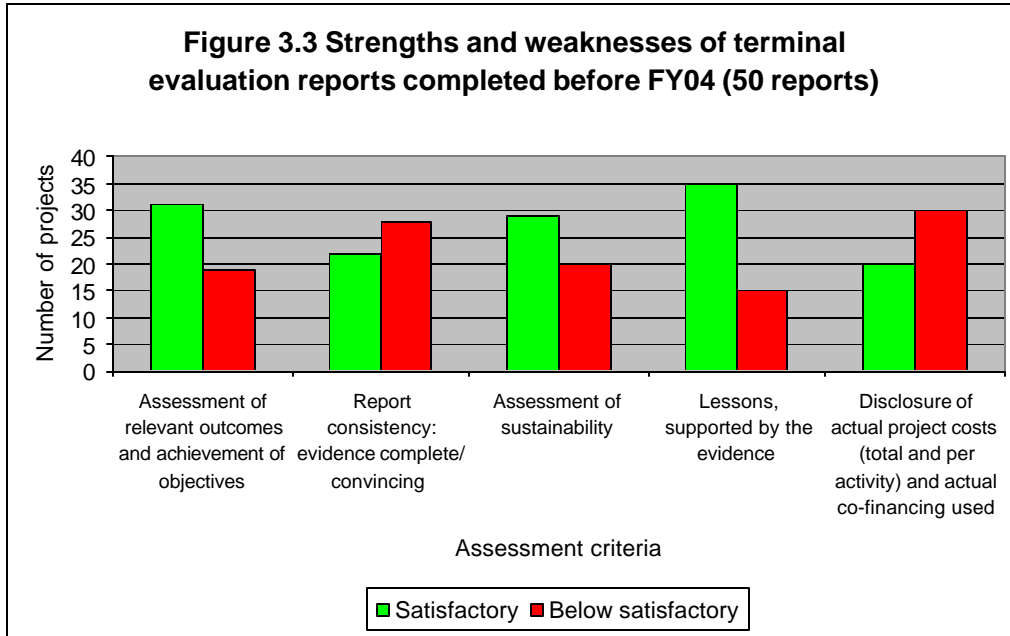
*Criteria for the Assessment of the Quality of the Terminal Evaluation Reports*

56. The weaknesses and strengths of reports according to the five assessment criteria are presented in Figure 3.3 (for TE reports prepared before FY04) and Figure 3.4 (for those prepared during FY04). In general, reports fare better in supporting lessons with evidence, as well as in the assessment of relevant outcomes and objectives. However, there is reason for concern as the proportion of reports rated below satisfactory in all criteria has increased compared to the group of reports completed before FY04. This is particularly true for the assessment of sustainability, report consistency, and the assessment of relevant outcomes and achievement of objectives.

**Box 3. Criteria for the assessment of the quality of terminal evaluation reports**

The ratings on the quality of the TE reports were assessed using the following criteria:

1. Did the report present an assessment of relevant outcomes and achievement of project objectives ?
2. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?
3. Did the report present an assessment of sustainability of outcomes ?
4. Were the lessons and recommendations supported by the evidence presented?
5. Did the report include the actual project costs (total and per activity) and actual co-financing used?



57. Table 3.2 presents a breakdown of the number of reports before and after FY04 that fully meet the quality assessment criteria. Percentages are presented to facilitate comparison between those prepared before FY04 and those completed during FY04. This table may not be representative of trends given the low numbers in each category. Nevertheless, with time, patterns will emerge.

The analysis shows that there is an increase in the percentage of reports that meet all five criteria used to assess their quality. However, the percentage of projects that meet four or three of the five criteria has decreased while the percentage that meet only two or none of the criteria has

increased. Six reports prepared before FY04 meet all five criteria but are not Highly Satisfactory because not all criteria were met beyond expectations. Appendix E includes an explanation of the rating systems for the assessment of the quality of terminal evaluation reports and Appendix F includes a breakdown of the strengths and weaknesses of terminal evaluation reports by IA.

**Table 3.2. Terminal evaluation reports meeting the quality criteria**

Projects that met:	BEFORE FY04		FY04	
	Number of reports	Percentage	Number of reports	Percentage
all 5 criteria	6	12%	4	16%
4 criteria	15	30%	3	12%
3 criteria	9	18%	3	12%
2 criteria	7	14%	7	28%
1 criteria	6	12%	3	12%
None of the criteria	7	14%	5	20%
<b>TOTAL</b>	50	100%	25	100%

58. Some examples of projects with reports of high quality (rated HS) are the Global Alien Invasive Species (AIS) project (UNEP), the Sichuan Gas project in China (WB), and the Environment Program in Madagascar (UNDP/WB). In all cases, the TE reports presented a very complete set of relevant outcomes and impacts in line with the project objectives, adequate facts to back up the assessment of outcomes including routine reporting information, and qualitative data. In addition, weaknesses and shortcomings were systematically identified. These were treated as lessons learned and not skipped over. For example, in the Global Alien Invasive Species (AIS) project, the terminal evaluation indicates that the “Early Warning System” refers to a database of “worst case” examples and not a system or process for intervention or reporting incipient problems as was pointed out in the terminal evaluation report. The focus to date has been on “icon species” and “the worst 100 AIS,” omitting many significant problems, particularly of diseases and marine species. Therefore, the database needs to be populated more representatively, perhaps through mapping linkages to existing national and regional AIS systems as is recommended in the terminal evaluation report.

59. Other strengths of the TE reports mentioned above were that key dimensions of sustainability and any shortcomings or limitations in this regard were assessed including ecological, financial, sociopolitical, institutional, and technical constraints. For example, in the case of the Environment Program in Madagascar, the report indicates that while the project supported the adoption of an advanced environmental impact assessment (EIA), including legislation and other improvements, only 26% of households introduced to conservation technologies were using them after 2 years (when the target was 70%).

60. Finally, the lessons learned in the Highly Satisfactory projects were comprehensive and supported by adequate evidence and particularly insightful in terms of key measures to be taken to improve future project performance. The terminal evaluation reports presented clear and concise information on the level of disbursement for each of the key outputs of the project. An actual cost breakdown structure was presented by component with a breakdown of local and foreign investment. A cost breakdown by procurement arrangements was also presented.

61. Some examples of projects with unsatisfactory quality of the terminal evaluation reports are the Conservation of Arid and Semi-arid Ecosystems in Georgia (UNDP), Regional Dryland Ecosystems in Latin America (UNEP), and Solar Power in South Africa (WB). The report for the project in Georgia provides some information on the project outcomes in terms of awareness raising and improvement to the enabling environment but overall it mostly describes the activities implemented without assessing how they contributed to the achievement of outcomes. In addition, the report did not indicate why some activities were not undertaken and did not include a cost breakdown. The report for the regional project in Latin America fails to assess adequately the achievement of the project objective. Also the evidence on outcomes is sparse and lacks key supporting information. For instance, the report could have explained better how participating stakeholders have or will incorporate the model into their ongoing work for dryland management. There were inconsistencies between the discussion and the ratings. In the case of the project in South Africa, the completion report contains a very superficial assessment of project achievements and the potential sustainability of project outcomes is not assessed.

### **Quality of Terminal Evaluation Reports by IA**

62. For UNDP and UNEP, data suggests that in general all areas (i.e., assessment criteria) are in need of improvement<sup>10</sup>. One particularly weak area is the presentation of actual project costs: only one out of six UNDP reports and only two out of nine UNEP reports prepared in FY04 included a satisfactory presentation of the actual project costs and co-financing. This may be due to the fact that many terminal evaluations are conducted before project completion to take advantage of the presence of the project management team before it is disbanded. In such cases, these actual costs can be sent to the Office after project completion. In the case of the Bank, most reports prepared in FY04 (i.e., eight out of 11 ICRs) provided a satisfactory presentation of actual project costs and co-financing used.

63. Regarding the use of ratings in the reports, 22 of the 25 completed in FY04 provided ratings on the achievement of the objectives and 23 provided ratings on sustainability. However, the ratings were not consistent across or within IAs with some reports ranging from 1 to 5 (with 1 being the highest rating), other ratings and variations, and others using the scale from Highly Satisfactory to Unsatisfactory as specified in the May 2003 “Guidelines for Implementing Agencies to Conduct Terminal Evaluations.” Tables 3.3, 3.4, and 3.5 present a breakdown of the ratings provided by the IAs in the reports prepared during FY04 to illustrate this point. A list of projects and their ratings on achievement of objectives and sustainability provided by the IAs is presented in Appendix G.

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<sup>10</sup> Refer to Appendix F, Strengths and weaknesses of IA terminal evaluation reports.

**Table 3.3. Bank ratings on the achievement of objectives and sustainability for reports prepared in FY04**

Achievement of objectives			Sustainability		
Rating	Bank report	OED	Rating	Bank report	OED
HS	1	-	Highly Likely	2	2
S	6	3	Likely	7	4
MS	-	4	Unlikely	1	2
MU	-	2	Highly Unlikely	-	-
U	3	1	Non- evaluable	-	2
No rating*	1	1	No rating*	1	1
<b>Total number of reports</b>	<b>11</b>	<b>11</b>	<b>Total number of reports</b>	<b>11</b>	<b>11</b>

\*This was a Medium-Size Project.

**Table 3.4. UNDP ratings on the achievement of objectives and sustainability for reports prepared in FY04**

IA Rating	Achievement of objectives	Sustainability
HS	2	-
HS/S	-	1
S	2	3
MU	-	-
U	-	-
No rating	2	2*
<b>Total number of reports</b>	<b>6</b>	<b>6</b>

\*Includes one project rated for sustainability as "fair," which is not an official UNDP rating.

**Table 3.5. UNEP ratings on the achievement of objectives and sustainability for reports prepared in FY04**

IA Rating*	Achievement of objectives	Sustainability
HS	3	1
S	-	1
MS	-	1
U	-	-
Excellent	-	1
Very good	3	1
Good	3	4
Fair	-	-
Poor	-	-
<b>Total number of reports</b>	<b>9</b>	<b>9</b>

\*Some reports used the HS-U scale as required by the Office and others used a scale ranging from Excellent to Poor demonstrating the inconsistency in ratings reporting.

64. As shown in Table 3.3, the OED independent review of Bank reports downgraded four of the ratings on achievement of objectives from S or above to below S and upgraded two from U to MU. It is important to mention that the Bank uses a four point scale while OED uses a six scale rating system. Two Bank reports indicated that they would have rated the outcomes as moderately satisfactory instead of satisfactory and one report indicated that it would have used moderately satisfactory instead of unsatisfactory had these ratings been available. OED agreed with these assessments. Aside from these ratings issues, there were always explicit reasons for OED's adjustments in ratings in the projects affected that were beyond the differences in rating scales. In sustainability as well, OED downgraded one to unlikely and two to non-evaluable. This highlights the importance and value of having an independent review process. UNDP did not have any projects that were rated below satisfactory in either the achievement of objectives or sustainability, and UNEP only had one rated MS on sustainability (Tables 3.4 and 3.5). However, these agencies currently do not have an independent review process in place as the



Bank does to corroborate the project ratings. The Office will begin conducting this verification next year.

65. The issues that this review has found regarding the quality of reports were discussed during the Interagency Meetings, and the Office of Monitoring and Evaluation has requested that IAs address these issues in all future terminal evaluation reports. In addition, in line with international best practices, and for the sake of clarity and standardization, the Office has requested that terminal evaluation reports provide ratings for the achievement of objectives/outcomes, sustainability, and quality of the M&E systems using a six-scale rating system. The suggested ratings range from “Highly Satisfactory”(HS), “Satisfactory”(S), “Moderately Satisfactory”(MS), “Moderately Unsatisfactory”(MU), “Unsatisfactory” (U), and “Highly Unsatisfactory” (HU). This will enable better aggregation of data and assessment of trends in the future as the Office will also verify that the information contained in the reports supports the ratings and will also analyze the trends. The Office has also requested that terminal evaluations either provide a breakdown or sufficient information on final actual costs and co-financing for the project—or be amended with this information after project closure.

## **4. THE QUALITY OF PROJECT M&E SYSTEMS**

### **Summary of Findings on the Quality of Project M&E Systems**

- The ratings on the quality of project M&E systems seem to suggest an improvement when comparing projects that became effective after 1995 with those that became effective by 1995, when the GEF Council requested that project-level M&E plans be included in all projects accepted for GEF funding.
- There is, however, a substantial gap in information as the percentage of reports without sufficient M&E information ranged from 18% to 33% for the period under consideration. Therefore, the quality of M&E systems is unknown for a number of projects.
- Regarding weaknesses by focal area, in international waters, only one out of 11 projects had a satisfactory M&E system, six (55%) projects did not have M&E systems in place, two (18%) had MU ratings, and two provided insufficient information to assess the quality. In climate change, the main concern was that eight out of 19 (42%) reports did not provide sufficient information on the quality of the project M&E system. This is particularly significant as only seven (37%) of the climate change projects had satisfactory or above M&E ratings. Of the 40 biodiversity projects, 18 (45%) had below satisfactory M&E systems, and seven (18%) did not provide sufficient information.
- The data suggests that much work is needed to improve M&E (or integrate effective M&E systems) in projects in all three IAs, but especially in UNDP and UNEP, where most of the projects had either below satisfactory M&E systems or no M&E systems according to the terminal evaluation reports.

### **Recommendation**

- Recommendations to improve project M&E systems have been issued in the past, as well as request to include an assessment of project M&E systems in all terminal evaluation reports. While there have been advances in upgrading project M&E systems, there is still considerable room for improvement, and therefore the Office considers that these recommendations continue to be valid.

### **Background and Relevance**

66. The GEF Council has indicated its concern about project M&E systems for several years. The Council requested that the GEF Secretariat submit a paper on the monitoring and evaluation of the GEF operations for its May 1995 meeting. One of the requirements adopted by the council as part of the structure of a GEF-wide M&E program was that “Project level M&E plans be

included in all projects accepted for GEF funding”<sup>11</sup> and that these M&E functions be well established and operating within the implementing and executing agencies to serve GEF goals. The rationale for this was to enable project evaluators/managers to assess accomplishments, disseminate lessons, contribute to GEF learning and capacity building goals, and increase accountability for the use of resources. In following years the Council has made additional requests<sup>12</sup>.

### **Methodology for the Assessment of the Quality of the Project M&E Systems**

67. The quality of project M&E systems was assessed based on what the terminal evaluation reports explicitly indicated. Therefore, this analysis only includes reports that contained sufficient information to allow an assessment of the project M&E system. Projects whose reports did not include a description of the project M&E system and how it was used for project management were excluded from the analysis because insufficient information was provided to make an assessment.

#### **Box 4. Project Monitoring and Evaluation Systems**

The term “M&E systems” refers to the application of effective (i.e., timely, sufficient, and relevant) tools such as indicators, baselines, and benchmarks, as well as the collection and analysis of data or the use of special studies and reports, and other means of measuring progress towards the achievement of objectives that produces useful information for project management.

68. To analyze the quality of the project M&E systems and trends, the reports were grouped by the year of project effectiveness because it was assumed that by this time the project M&E systems should have been designed. In May 1995, the Council requested that project-level M&E plans be used in all projects. Therefore, trends in the project M&E systems quality were compared before and after this year. This will allow tracking progress in this area over time.

69. Project M&E systems were assessed using two criteria: first, whether the project had an effective M&E system in place to track progress of project outcomes and impacts and, second, whether the M&E information generated was properly used for the management of the project. This simple approach was consistent with the Council requirements for project M&E systems as will be discussed later.

70. The Office assessed and rated the quality of project M&E systems (based on information explicitly stated in the terminal evaluation reports). The IAs were also given the opportunity to comment on the analysis. In all the cases in which project M&E systems were rated unsatisfactory in the analysis, the terminal evaluation report came to the conclusion that M&E systems did not satisfy the information needs of the project or that the systems were not developed in time to provide useful information for project management.

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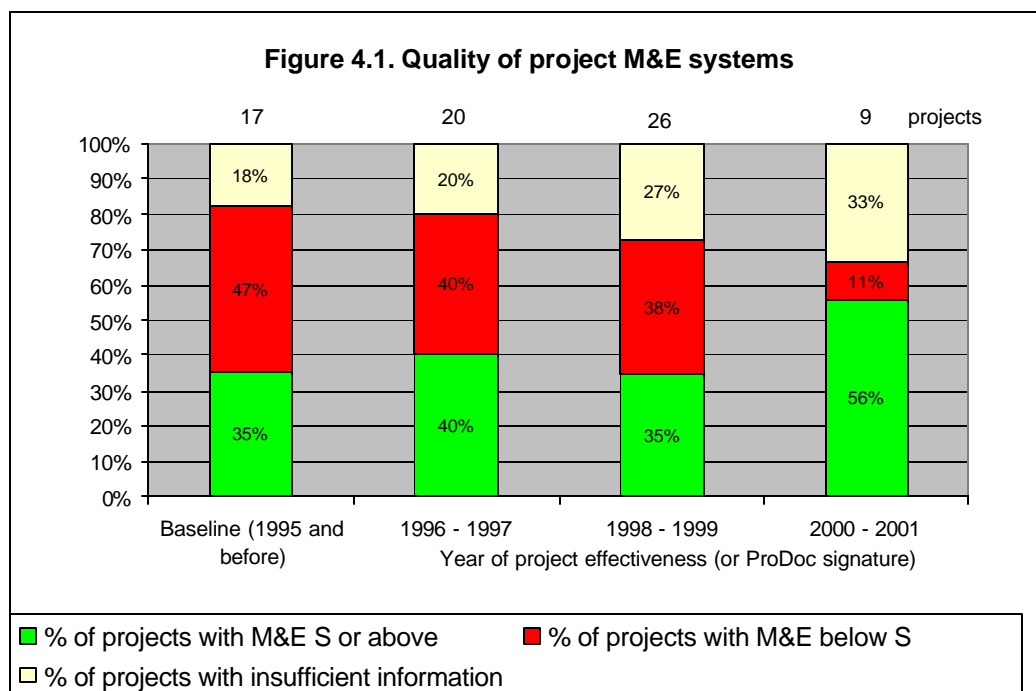
<sup>11</sup> “General requirements for a coordinated GEF -wide Monitoring and Evaluation System,” GEF/C.4/6, May 3-5, 1995. p. 2.

<sup>12</sup> The Negotiations for the Third Replenishment reinstated the importance of project M&E systems by indicating “...that all projects should include provisions for monitoring the impacts and outcomes of projects, and those existing projects which do not have such provisions and which have more than two years left in their implementation should be retrofitted to meet such monitoring standards.” “Summary of Negotiations on the Third Replenishment of the GEF Trust Fund,” GEF/C.20/4. September 19, 2002. p. 56.

71. A limitation on the assessment of trends in the quality of M&E systems is that the group includes only terminal evaluation reports completed between January 2001 and June 30, 2004; all those completed previously are not accounted for in this analysis. Also, the number of projects that became effective in 2000-2001 and had reports completed between January 2001 and June 2003 is 12, a small number compared to the previous periods. These biases will be corrected in future years as more terminal evaluation reports are completed and sent to the Office, which will enable an improved assessment of trends.

### Assessment on the Quality of Project M&E Systems

72. Figure 4.1 presents the trends in the ratings on the quality of project M&E systems.



Note: Three projects were excluded from the 2000-2001 period because M&E did not apply as explained below.

73. The ratings on the quality of project M&E systems seems to suggest that there has been an improvement since 1995, when the Council requested that project-level M&E plans be included in all projects accepted for GEF funding. However, there are certain limitations with the datasets. For example, the quality of the M&E systems is unknown for those reports that did not provide sufficient information to make an assessment. As these percentages range from 18% to 33%, their contribution to the trends could be significant.

74. There were three projects for which the traditional concept of a project M&E system did not apply. These were projects that primarily entailed studies and workshops, such as Global Fuel Cell Market Prospects, the Global Assessment of Persistent Toxic Substances (RBA/PTS), and Global Implementation of the Stockholm Convention. All three became effective in the

2000-2001 period and have been excluded from Figure 7. These projects have been excluded from the analysis.

75. The May 2003 “Guidelines for Implementing Agencies to Conduct Terminal Evaluations” requires that reports completed after FY03 include an assessment of the project M&E system. The percentage of reports providing sufficient information on the project M&E systems increased from 74% (for the 50 reports completed before FY04) to 80% in FY04 (for 25 reports completed in FY04), which is an encouraging sign. This percentage will increase in future reports.

76. Some of the projects that had M&E systems rated satisfactory or above include the Seychelles Avian Ecosystems project and the Regional Water project (WEMP) in the Aral Sea. The project in the Seychelles had strong monitoring plans with clear indicators that led to the design and implementation of seven action plans for several ecosystems in 10 islands. The monitoring systems included species population and breeding surveys in all areas and for all species of interest. The Seychelles government financed and implemented the M&E systems with the guidance of scientists. The report for the Aral Sea project indicated that a comprehensive ecological and socioeconomic monitoring system was well managed for the wetlands restoration program, one of the project’s stress reduction objectives. The project contributed to setting up transboundary water monitoring stations to measure water flows and quality, as well as training staff at the stations to measure and manage data. Water management organizations are using these data to improve the timing and scheduling of irrigation releases.

77. Some of the projects with unsatisfactory M&E systems included the Philippines Protected Areas (WB), Comoros Biodiversity and Sustainable Development (UNDP), and Regional Marine Environment in Sub-Saharan Africa (UNEP). In the Comoros, the M&E systems focused on completion of activities and deliverables without relating these to the outcomes intended as a result of the activities and without identifying the baseline conditions. In the Philippines, the project was unable to develop a successful project monitoring and evaluation system. Moreover, the information and resource assessment activities under the biodiversity component were not achieved.

### **Quality of Project M&E Systems by Focal Area**

78. The analysis identified several problems in the project M&E systems specific to the focal areas. These problems have also been found in other studies such as the program studies, and the Specially Managed Project Reviews (SMPRs) conducted by the Office which examine projects under implementa

79. The analysis of international waters reports indicated that only one out of 11 projects had a satisfactory M&E system, six (55%) projects did not have M&E systems in place, two (18%) had a MU rating, and two provided insufficient information to assess the M&E system quality. All IW projects except for one became effective after 1995 so there are practically no projects against which to compare the quality of IW project M&E systems. The International Waters Program Study distinguishes between monitoring of environmental status, stress, and processes. However, while the IW Program Study found an encouraging trend of recent projects that have better logical frameworks, most projects reviewed, many of which were visited by project

evaluators, continue to exhibit considerable weaknesses across all three forms of monitoring. The study found that it was particularly difficult to convince governments to sustain environmental monitoring systems, which the evaluator characterized as the “Achilles heel” of long-term interventions. For example, in the Black Sea, except for Romania and partially in Ukraine, a coherent monitoring system is still not in place even after 10 years of discussions, capacity building efforts, and donor support. Factors contributing to the problems seem to range from poor project preparation to a lack of clarity in GEF guidance and multiple or incohesive sets of indicators. The study found that indicator descriptors in logical frameworks are often too generic for practical use and are not clearly related to the text in the project document. Logical frameworks do not identify the stages between project outputs and outcomes, making it difficult to conduct a post-project assessment. But M&E problems extend beyond the projects. The IW study reports that, “The [International Waters] current monitoring-and-evaluation system seems somewhat like a patchwork quilt with indeterminate linkages between the pieces. Each of the pieces has value to someone at a given time, but the overall combination does not add up to a coherent M&E system.”<sup>13</sup>

80. Only seven out of 19 (37%) climate change projects that were part of this analysis had satisfactory or above ratings. In addition, eight (42%) reports did not provide sufficient information to make an assessment on the quality of the project M&E systems. Some of the problems with M&E systems in climate change were also identified in the program study. For example, the program study found that “...there are specific limitations in the estimates, measurement, monitoring, and reporting on GHG and CO<sub>2</sub> emissions. In addition, the GEF performance in the climate change area needs to be assessed in terms of qualitative results such as market transformation, replication, and barrier removal. This study observed weaknesses and inconsistencies in the application of GEF performance dimensions, in regular monitoring mechanisms, and the use of results-oriented or proxy indicators. And the guidance on these issues available to field and project staff, as well as aggregate program indicators, are not easily usable or coherent. The current project monitoring system is not likely to yield reporting on the GEF strategic priorities in a satisfactory manner. It is also weak on assessment of impact; although the recent GEF post-project evaluations by the World Bank must be commended.”<sup>14</sup>

81. Of the 40 biodiversity projects, only 15 (37%) had M&E systems of satisfactory or above quality, and seven reports (18%) provided insufficient information to make an assessment. Some of the issues regarding M&E systems for biodiversity projects were also identified in the Program Study. For example, regarding impact-level indicators, the Biodiversity Program Study also identified problems related to guidance and procedures: “ ‘The New Strategic Priorities’ developed for GEF3 and the ‘Measuring Results of the Biodiversity Program’ (GEF/C.22/Inf.7, October 2003) documents are signs of progress at the program outcome level. But there are still no clear guidelines, standardized procedures, or measurable program-level targets or indicators to assess the impacts of the GEF portfolio on biodiversity status. This shortcoming presented a major challenge to assessing impacts and attributing credit in any meaningful way during this study.”<sup>15</sup> The study also concluded that the IAs are beginning to develop the means for measuring impacts at their operational levels. Furthermore, the study found that a review of

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<sup>13</sup> Program Study on International Waters, GEF/ME/C.24/Inf.1, p. 55, November 2004

<sup>14</sup> Program Study on Climate Change, GEF/ME/C.24/Inf.2, p. 85, November 2004

<sup>15</sup> Biodiversity Program Study 2004, GEF/ME/C.24/Inf.1, p. 88, November 2004

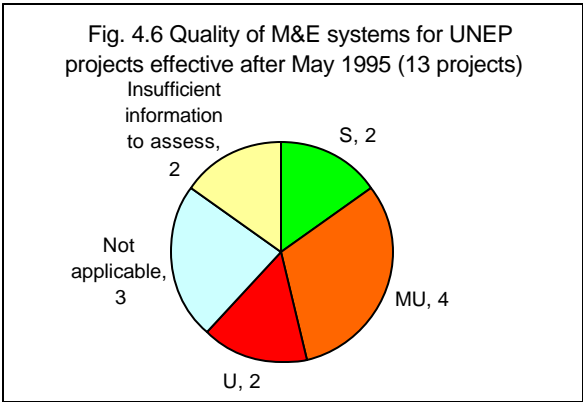
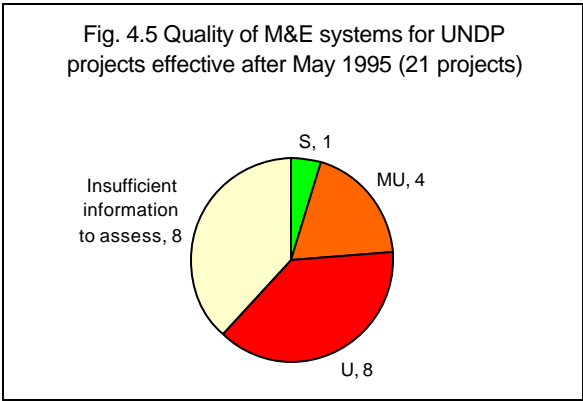
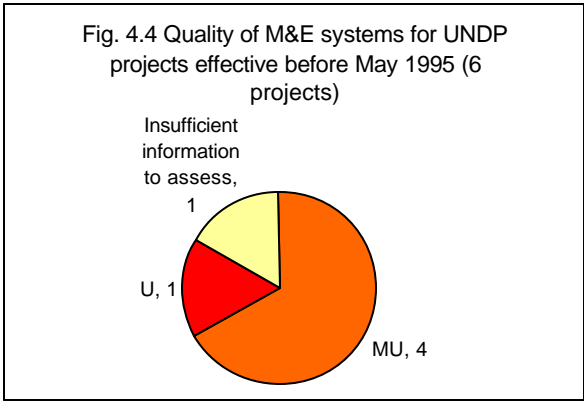
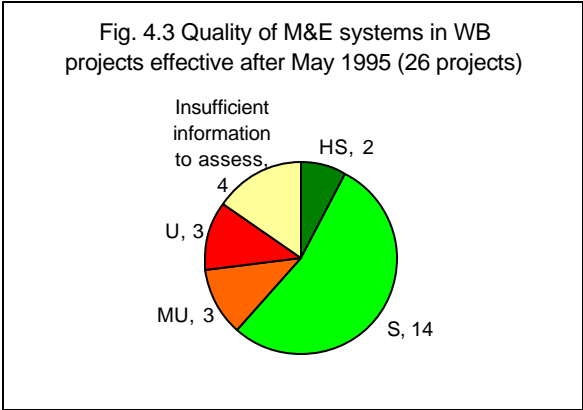
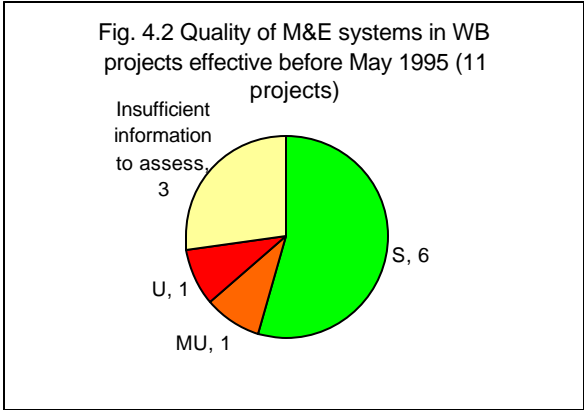
biodiversity projects recently approved showed significant improvement in the presentation of logframes and plans for collecting and using biodiversity baselines for project preparation and management. The weakness remains in linking outcomes and impacts at the project level to changes in the status of local or global biodiversity (page 93).

82. Other studies, such as the SMPRs conducted by the Office have also identified problems with project M&E systems. The SMPR concluded that the overall effectiveness of project M&E systems was less than satisfactory (15 of 21 projects reviewed in 2002 and 2003 were rated below satisfactory in the quality of the M&E systems, with three rated unsatisfactory). The use of logical frameworks and the reporting against performance indicators were two of the M&E modalities that received the least attention and planning in 2002 and 2003 according to the SMPR. The SMPR also found that the level of implementation of monitoring activities such as collection of baseline and other data often had not yet been implemented by project mid-term. Adaptive management was taking place in three of the six projects reviewed in 2003 that also had M&E system in place. The SMPR found that projects such as Lake Manzala Wetlands and India Energy Efficiency did not have M&E systems in place nor did they take adaptive management measures. The Central European Grasslands project was taking into account changing circumstances, particularly in the policy and regulatory environment associated with the EU accession, and changing the course as necessary, even though it did not have a formal M&E plan at the time of the SMPR. However, the ad hoc nature of this approach does not lend itself to systematic and thorough review and measurement of project performance and impact. Thus this project would benefit from revisiting and refining the project logframe, while formulating an M&E system in parallel.

83. The program studies concluded that there continues to be a need to improve project M&E systems. The effort requires the involvement of the GEF Secretariat, the Office of Monitoring and Evaluation, and the IAs to improve strategic coherence and develop better guidance, tools, and indicators for assessing impacts and outcomes.

#### **Quality of Project M&E Systems by IA**

84. The IA breakdown indicated that the Bank fared better than UNDP and UNEP on both assessment criteria and that over 50% of Bank projects (Figure 4.2 and 4.3) had M&E systems of satisfactory or above quality. However, the data suggests that all three IAs have much work to do to improve project M&E (or integrate effective M&E systems), but especially UNDP and UNEP, where most projects fared poorly in both criteria used to assess the quality of the project M&E systems; in fact, some projects had no M&E systems according to the reports (Figures 4.4, 4.5, and 4.6). Reports received from UNEP from January 2001 to June 2004 only include projects that became effective after 1995, so UNEP has no M&E data on the conditions before that year to allow for comparisons to the other agencies.



85. The Office has asked the implementing agencies to ensure that all terminal evaluation reports provide an assessment of the quality of the project M&E systems as discussed in the previous section on the quality of terminal evaluation reports. Specifically, the Office requested that the evaluators focus on:

- (a) Whether an appropriate M&E system for the project was put in place (including capacity and resources to implement it) and whether this allows for tracking of progress towards projects objectives.
- (b) Whether the M&E system was used for project management.

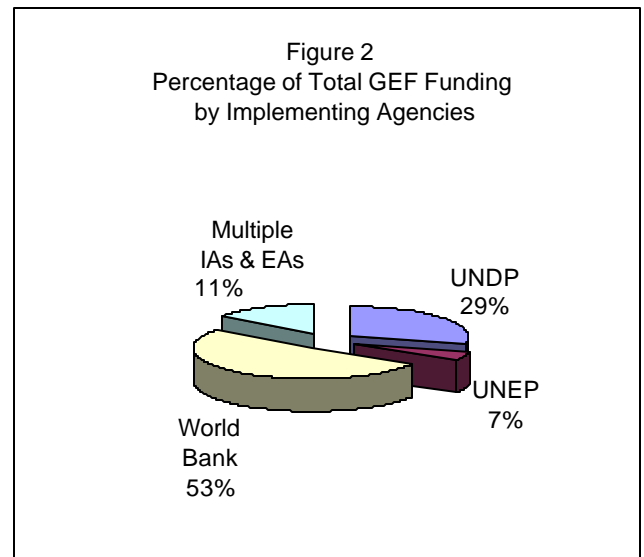
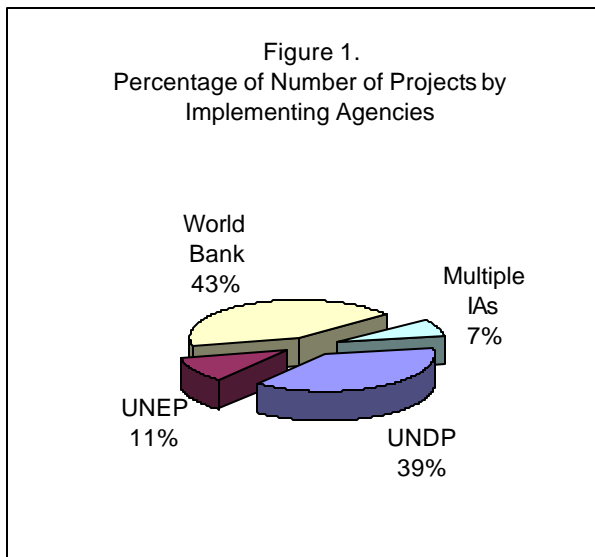


## Appendix A: GEF portfolio overview

1. This appendix provides an overview of the GEF Portfolio and projects under implementation. The source of information, regarding the GEF Portfolio, was compiled and submitted by the Operations and Strategy Team of the GEF Secretariat. The information about the projects under implementation was taken from the annual reports, submitted by the implementing agencies.

### Overall GEF Portfolio

2. As of June 30, 2004, a total of 826 full and medium-sized projects have been allocated funding in approved GEF work programs, compared to 722 projects by June 30, 2003, representing an increase of nearly 13 percent. As shown in Figure 1, 43 percent of the projects are implemented by the World Bank (WB), 39 percent by the United Nations Development Program (UNDP), and 11 percent by United Nations Environment Program (UNEP), while 7 percent have more than one implementing agency (IA). Figure 2 shows the funding distribution among IAs: 53 percent was allocated to Bank projects, 29 percent to UNDP projects, seven percent to UNEP projects, and 11 percent to projects with multiple IAs. Additionally, 708 enabling activity (EA) projects for a total of US\$217 million had been approved. Of these activities 456 were implemented by UNDP, 173 by UNEP, 37 by the Bank, and 42 by multiple IAs (Tables 1 and 2).



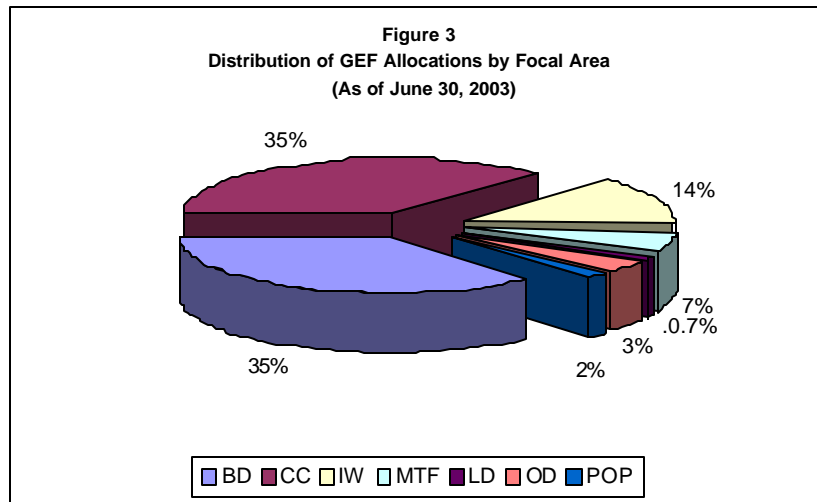
**Table 1. GEF Project Allocations by Implementing and Executing Agencies  
(as of June 30, 2004)**

Agency	FSPs		EAs		MSPs		Totals	
	Project Count	GEF Grant	Project Count	GEF Grant	Project Count	GEF Grant	Project Count	GEF Grant
ADB	2	14.45			3	2.28	5	16.73
GEFSEC	1	2.60					1	2.60
IADB	1	2.82					1	2.82
Multiple IAs	53	492.36	5	64.67	6	5.42	64	562.45
UNDP	225	1,297.50	456	122.23	89	74.75	770	1,494.47
UNEP	37	205.26	173	88.31	56	40.91	266	334.48
UNIDO			37	21.22			37	21.22
World Bank	261	2,609.06	37	8.47	92	74.07	390	2,691.60
Totals	580	4,624	708	305	246	197	1,534	5,126

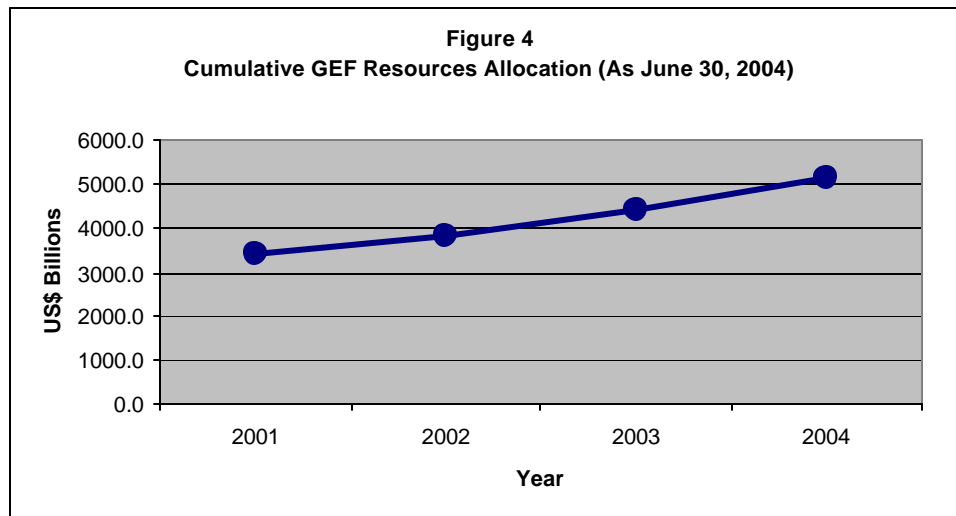
**Table 2. GEF Project Allocations by Focal Area (as June 30, 2004)**

Focal Area	FSPs		EAs		MSPs		Totals	
	Project Count	GEF Grant	Project Count	GEF Grant	Project Count	GEF Grant	Project Count	GEF Grant
Biodiversity	238	1,620.80	280	90.79	143	116.11	661	1,827.70
Climate Change	199	1,657.56	228	144.80	48	37.16	475	1,839.51
International Waters	80	734.95			15	12.98	95	747.94
Land Degradation	2	34.35			6	5.51	8	39.86
Multi-focal Areas	38	355.81	99	19.82	24	18.60	161	394.24
Ozone Depletion	19	173.41			5	3.78	24	177.19
Persistent Organic Pollutants	4	47.15	101	49.48	5	3.28	110	99.91
Totals	580	4,624	708	305	246	197	1,534	5,126

3. The distribution of GEF allocations for full and medium-sized projects in the portfolio as of June 30, 2004, among focal areas are: 35 percent to biodiversity, 35 percent to climate change, 14 percent to international waters, three percent to ozone, seven percent to projects with multiple focal areas, and two percent to persistent organic pollutants. During 2004, the portfolio of projects within Integrated Ecosystems Management (OP12) and Short-Term Response Measures (STRMs) represented less than one percent of the GEF allocation in the portfolio (Figure 3).

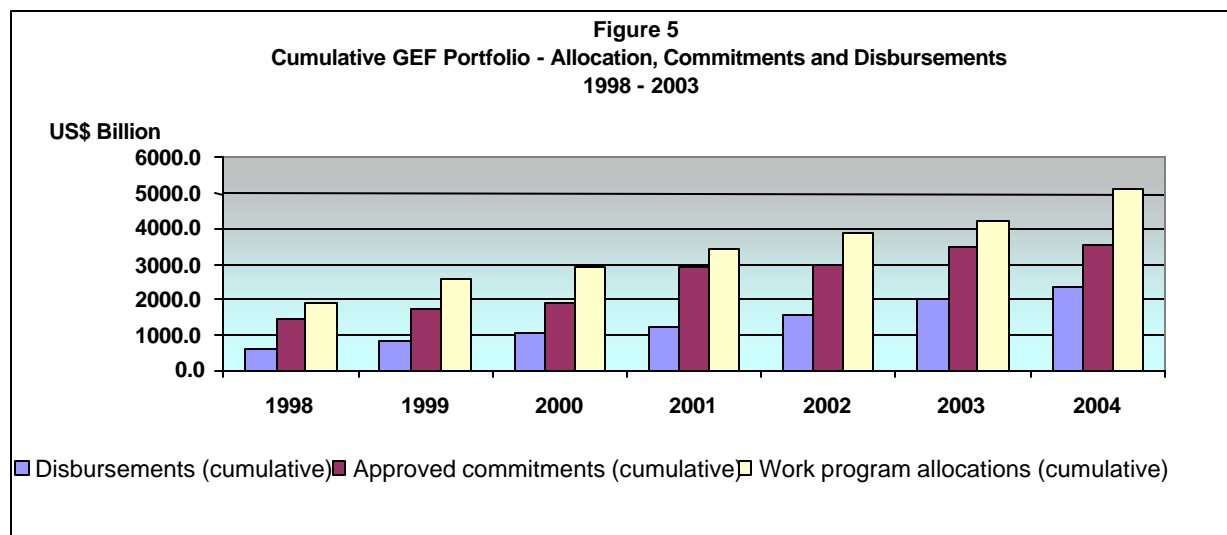


4. The growth of the overall GEF portfolio continued in the upward trend of the last two years (including EAs and project development funds). During 2004, 67 full-sized projects (FSP), 39 medium-sized projects (MSP), and 121 enabling activity (EA) projects were approved, for a total of \$555.62 million in GEF funding. The total GEF allocation at the end of FY04 was \$5,126 billion (Figure 4 and Tables 1 and 2).



## Gaps between Approved Commitments and IA Project Disbursements

5. Figure 8 shows GEF allocations, commitments, and disbursements as of June 30, 2004. The cumulative work program allocation from the start of the GEF is US\$5,126 billion. During FY04, 68 full-sized projects (FSP), 36 medium-sized projects (MSP) and 89 enabling activities were approved totaling \$715.35 million. Cumulative disbursement for the entire GEF portfolio increased during FY04 to \$2.355 billion, up from \$1.987 billion in FY03.

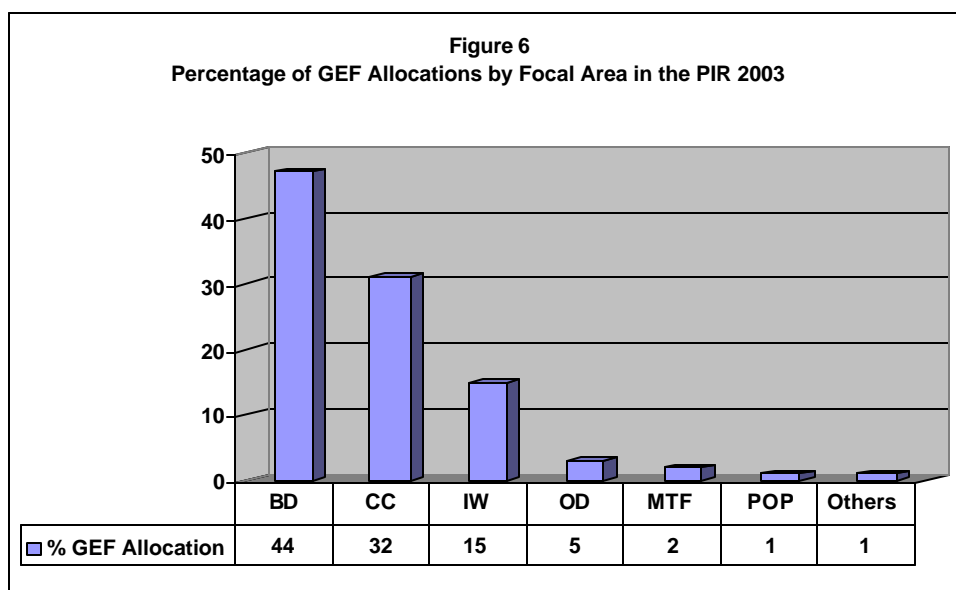


6. The gap between the approved commitments and the actual disbursements was 57 percent in 2001 but has been decreasing since then and was 33 percent in 2004 (Figure 8).

## Overview of Projects Covered in the PIR 2004

7. The 2004 PIR includes 375 ongoing projects that had been under implementation for at least one year by June 30, 2004. This number reflects the steadily growing portfolio of projects under implementation, from 135 projects in 1999. As the GEF portfolio matures, more projects enter the PIR process (Table 3). As in previous years, projects in the biodiversity focal area (BD) represent the greatest portion of the portfolio, at 48 percent. Climate change (CC) is the second largest focal area in the 2003 PIR, with 43 active projects, or 29 percent of the total. At 12 percent of the portfolio, there was a small increase in the number of projects for international waters (IW) during FY03. The remaining focal areas, ozone depletion, multi-focal, persistent organic pollutants, and land degradation account for 10 percent of the 2004 PIR.

8. In FY 2004, 44 percent of the total GEF funds were allocated to biodiversity, 32 percent to climate change, and 15 percent to international waters. The remaining focal areas, ozone depletion (OD), multi-focal (MTF), persistent organic pollutants (POPs), and others, were together allocated 9 percent of the GEF funds.



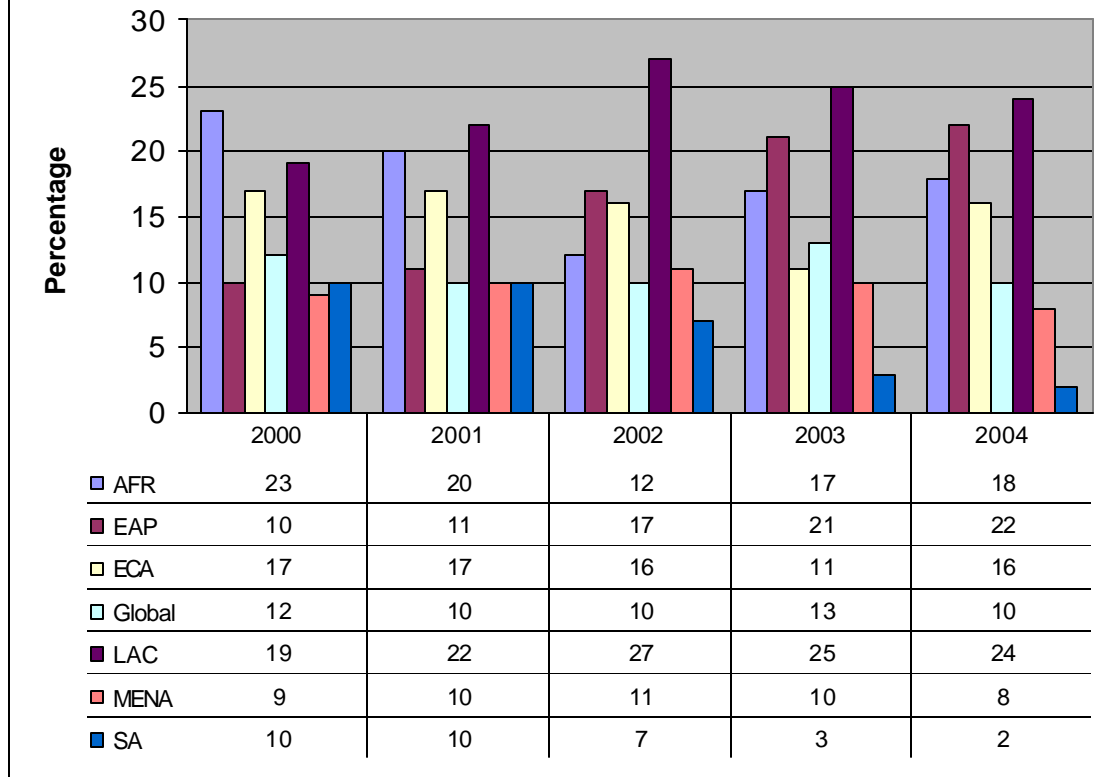
9. Overall, 37 projects are included in the PIR for the first time in 2004 (Table 3) compared to 58 in 2003.

**Table 3. New projects in the PIR 2004 (as of June 30, 2004)**

FOCAL AREAS	NUMBER OF ACTIVE PROJECTS	NEW IN 2004 PIR
Biodiversity	181	2
Climate Change	110	18
International Waters	45	9
Multiple	19	8
Ozone	12	1
POPs	2	0
Land Degradation	6	-
Total	375	37

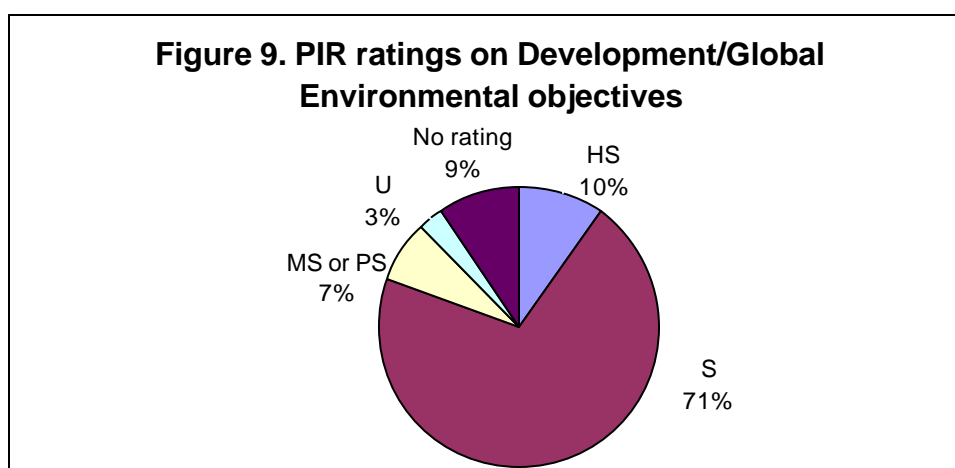
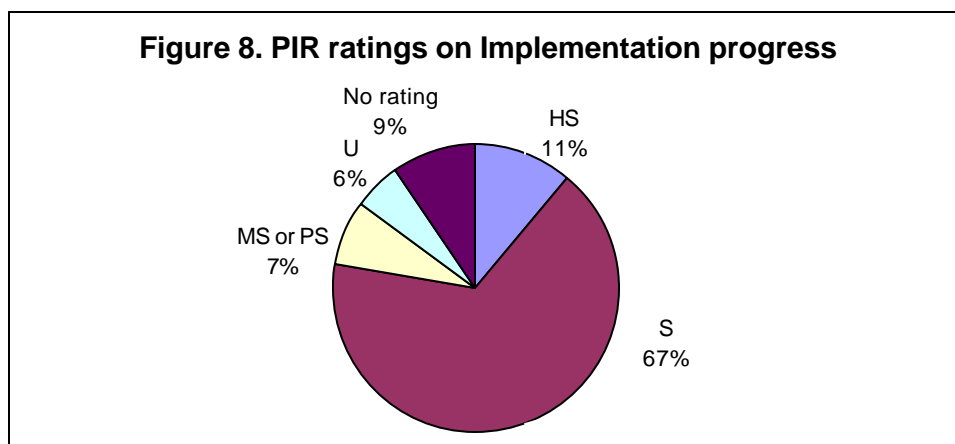
10. The percentage distribution of projects by region in the 2004 PIR was: LAC region (24), EAP (22), AFR (18), ECA (16), MENA (8), SA (2), and global/regional projects (10). Figure 10 presents a comparison with previous years.

**Figure 7**  
**Percentage of Geographical Distribution of Projects in the PIR 2003**



## Ratings

11. The PIR is a monitoring tool that relies on each IA to report on and rate project performance. Every year the IAs rated their projects according to two criteria: implementation progress and likelihood of attaining development/global environment objectives. The World Bank rated their projects as Highly Satisfactory (HS), Satisfactory (S), and Unsatisfactory (U). Partially satisfactory (PS) is included as a rating for IFC projects. UNDP uses the ratings of highly satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), and Unsatisfactory (U). UNEP uses the ratings of Highly Satisfactory (HS), Satisfactory (S), Marginally Satisfactory (MS), and Unsatisfactory (U). Figure 8 and 9 below provide the ratings for implementation progress and the likelihood of attaining development/global environment objectives.



**Projects Rated Highly Satisfactory and Unsatisfactory in the PIRs**

12. The IAs' rated 28 projects (7%) highly satisfactory and 7 projects (2%) unsatisfactory on both their implementation progress and the likelihood of achieving their development/global environmental objectives. The distribution of projects by focal area and IA is presented in tables 4 and 5:

**Table 4. Distribution by focal area of HS and U projects on both IP and DO**

	HS Rating in both IP and DO	Percentage of projects rated HS in both IP and DO	U Rating in both IP and DO	Percentage of projects rated U in both IP and DO	Total number of projects in each focal area
Bio	13	7%	4	2%	187
CC	5	5%	2	2%	109
IW	6	13%	-	-	46
MTF	2	11%	-	-	19
ODS	2	17%	1	8%	12
POPs	-	-	-	-	2
<b>TOTAL</b>	<b>28</b>	<b>-</b>	<b>7</b>	<b>-</b>	<b>375</b>

**Table 5. Distribution by focal area of HS and U projects on both IP and DO**

	HS Rating on both IP and DO	Percentage of projects rated HS in both IP and DO	U Rating on both IP and DO	Percentage of projects rated U in both IP and DO	Total number of projects by each IA
WB	8	5%	3	2%	158
UNDP	13	8%	3	2%	154
UNEP	7	11%	1	2%	63
TOTAL	28	-	7	-	375

13. The WB Hon Mun marine protected area pilot project in Vietnam was rated HS on both the Implementation Progress and Development Objective. The project was designed to conserve a representative example of internationally significant and threatened marine biodiversity through co-management by local island communities and Government agencies. The report indicates that the project has met nearly all of the planned goals as it approaches the last year of implementation. Some key accomplishments achieved are the completion of the draft Management Plan for the Nha Trang Bay Marine Protected Area (MPA); formulation of an exit strategy for the IUCN Project Staff; preparation of an environmental mitigation and monitoring plan for the new livelihood activities that could have adverse impacts on water quality; preparation of an environmental education plan for all primary and secondary schools in the area including teaching materials for students and teachers; greater local participation of residents in MPA in marine resources monitoring; and a permanent office has been provided by the Khanh Hoa People's Committee for the NTB Marine Protected Area Authority with possession taken by the NTB MPA Authority on June 4, 2004. The report indicates that there is evidence that the density of fishes in the project area is measurably higher and destructive fishing activities are close to being fully eliminated.

14. The WB Macedonia mini-hydropower project was also rated HS on both criteria. The project's objectives were to reduce primarily carbon dioxide by encouraging the development of independent power plants especially mini-hydropower plants. According to the PIR report, the objectives have been achieved. All five of the mini-hydropower plants are operating at high rates and profitably, and an agreement has been reached on a tariff system for purchasing power from the mini-hydropower plants. The report indicates that the impact of the plants is to provide around 10 Gwh of electricity per year at a very low operating cost since there is no fuel use.

15. UNDP's Transfer of Environmentally Sound Technology (TEST) to Reduce Transboundary Pollution in the Danube River Basin was rated HS in both criteria. The project is intended to demonstrate ways an institution can reduce pollution while remaining financially viable. The project includes the transfer of cleaner production technologies to pilot enterprises that are contributing to transboundary pollution in the Danube River basin and Black Sea. The PIR indicates that 230 cleaner production options were implemented in the 17 demonstration enterprises resulting in US\$1.3 million/ year in financial savings, 4.6 million m<sup>3</sup>/year of wastewater discharge reduction in the Danube river basin, and an average 30% of BOD/COD reduction in effluent per unit of



production. In addition, investment projects have been prepared for all participating enterprises for a total of US\$47 million. Additional reduction of wastewater discharge into the Danube river Basin is expected to be 7.9 million m<sup>3</sup> after implementation of these investments.

16. In Biodiversity, UNDP's Development of Jozani-Chwaka Bay National Park in Zanzibar Island, Tanzania, was also rated HS in both criteria. The project was designed to promote integrated conservation and development activities in the Jozani-Chwaka Conservation Area. The main thrust has been upgrading the status of Jozani Forest Reserve to become a National Park. According to the PIR report, the project has achieved its six outcomes in the area of Biodiversity Conservation, Community Based Natural resources Management (CBNRM) and Alternative Income Generation activities. The project has operationally finalized activities supported by the GEF funds, but to some degree activities still continue at a limited level with support from the Government. Efforts to seek further support from other donors are underway, focusing on policy reform in energy sector and livelihood support.

17. In climate change, UNDP's Barrier Removal for the Widespread Commercialization of Energy-efficient CFC-free Refrigerators project in China has also been rated HS in both criteria. The project was designed to promote the widespread commercialization of energy-efficient refrigerators by removing technical, market, commercial, information and other barriers to increased market penetration of the technologies and products. The PIR report indicates that the project worked with manufacturers to increase the average total refrigerator efficiency. Production and sale of energy efficient refrigerators (consuming less than 55% energy than the standard refrigerators) was 4.8 million units in 2003. If 2003 sales trends continue, 48 million EE fridges could be produced and sold during the project impact period, which would exceed the project's emissions reduction target by more than a factor of two to a total of 200 million tons of CO<sub>2</sub> equivalent.

18. UNEP also rated HS in both criteria the following projects which had satisfactory progress towards the achievement of objectives: Phasing Out Ozone Depleting Substances project in Uzbekistan, the Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand, and Support to the Implementation of the National Biosafety Frameworks in Cuba and Poland. The project in Uzbekistan assisted to put in place appropriate ODS legislation and there is no illegal/residual ODS consumption in the country. In the South China Sea, the project components have been implemented based on the revised implementation plan. The project has completed the selection of habitat demonstration sites based on the submitted proposals by the participating countries. National reports have been prepared and went through external review, and are awaiting finalization and publication. The PIR indicated that the project in Poland began with a national start-up workshop to identify gaps. A Biosafety Strategy (policy) outline is being circulated to Ministries. The GMO Act (2003) is amended to incorporate the EU directives and regulations. Guidelines on handling request are under preparation. A workshop on decision making/risk assessment was organized. Three GMO laboratories are being equipped for monitoring activities. Public awareness activities

included distribution of brochures and DVD on biosafety to teachers and journalists and posting of public opinion on biotechnology/biosafety on the website.

19. The projects rated U on both criteria from the WB include the Biodiversity and Natural Resource Management in Turkey, the Mesoamerican Biological Corridor in Mexico, and the Protected Areas Management Project in Tunisia. For UNDP, the projects are the Conservation management of Eritrea's coastal, marine and island, the Lebanon - Cross Sectoral Energy Efficiency and Removal of Barriers to ESCO Operation, and the Barrier removal to the development of commercially institutionally and technically sustainable solar energy services in Namibia. UNEP's project Phasing Out Ozone Depleting Substances in Latvia was also rated U in both criteria. The PIR indicates that the poor performance of the project in Turkey has been caused by of a series of systemic institutional and project management failures, and by site-specific constraints for which workable solutions have not been found. To date, no replication sites have been identified or prioritized, and there has been no clear strategy developed for distilling the lessons learned from the pilot sites, or for incorporating these lessons into the institutional framework for protected area management elsewhere in Turkey. This is a serious weakness, and the absence of progress in this area will constrain the project from meeting its objectives. The UNDP project in Namibia has experienced considerable delays and is just beginning. Although the ProDoc was signed in April 2003 the project started in February 2004. The project in Lebanon has experienced delays in hiring staff and equipment procurement, a proposal for the institutionalization of the Lebanese Center for Energy Conservation & Planning was found unsatisfactory, although the project conducted a few energy audits and made the recommendations available for other sectors. The ProDoc for the project in Lebanon was signed in July of 2001 and is scheduled to close in 2006. For the project in Latvia, UNEP-DTIE sent the Minister of Environment of Latvia an official letter in June of 2004 requesting Latvia to begin activities under the project within 15 days or to return the funds already transferred to enable UNEP to cancel the project.

## Appendix B: Projects included in the APR 2004 (As of June 30, 2004)

### Biodiversity

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	WB	Argentina	Biodiversity Conservation	10.10
2	WB	Armenia	Natural Resources Management and Poverty Reduction	5.12
3	WB	Bangladesh	Aquatic Biodiversity Conservation	5.00
4	WB	Bangladesh	Biodiversity Conservation in the Sundarbans Reserved Forest	12.20
5	WB	Belize	Community Managed Sarstoon Temash Conservation	0.81
6	WB	Benin	National Parks Conservation and Management	6.76
7	WB	Bolivia	Achieving the Sustainability of the Bolivian Protected Area System	15.00
8	WB	Bolivia	Private Protected Areas (PPAs) in Bolivia (PROMETA)	0.68
9	WB	Brazil	Amazon Region Protected Areas	30.00
10	WB	Brazil	Biodiversity Protection in Parana	8.00
11	WB	Brazil	Brazilian Biodiversity Fund (FUNBIO)	20.00
12	WB	Brazil	National Biodiversity Project (PROBIO)	10.00
13	WB	Burkina Faso	Partnership for Natural Ecosystem Management (PAGEN)	7.50
14	WB	Cambodia	Biodiversity and Protected Areas Management	2.75
15	WB	Chile	Conservation of the Santiago Foothills	0.73
16	WB	Chile	Valdivian Forest Zone: Private Public Mechanisms for Biodiversity Conservation	0.73
17	WB	China	Sustainable Forestry Development	16.00
18	WB	China	Lake Dianchi Freshwater Biodiversity Restoration	0.98
19	WB	Colombia	Andes Region - Conservation and Sustainable Use of Biodiversity	15.00
20	WB	Colombia	Archipelago of San Andres: Conservation and Sustainable Use of the Marine Reserves	0.98
21	WB	Colombia	Mataven Forest - Conservation and Sustainable Development	0.73
22	WB	Costa Rica	Biodiversity Resources Development	7.00
23	WB	Costa Rica	Eco-Markets	8.00
24	WB	Costa Rica	Sustainable Cacao Production in Southeastern Costa Rica	0.73
25	WB	Croatia	Karst Ecosystems Conservation Project	5.07
26	WB	Ecuador	Conservation of Indigenous Peoples in Pastaza	0.76
27	WB	Ethiopia	Conservation and Sustainable Use of Medicinal Plants	1.80
28	WB	Gambia	Integrated Marine and Coastal Biodiversity	0.96
29	WB	Georgia	Integrated Coastal Zone Management	1.30
30	WB	Georgia	Protected Areas Development	8.70
31	WB	Ghana	Natural Resource Management	8.70
32	WB	Ghana	Northern Savanna Biodiversity Conservation (NSBC) Project	7.60
33	WB	Global	Critical Ecosystems Partnership Fund (CEPF)	25.00
34	WB	Grenada	Dry Forest Biodiversity Conservation	0.72

No.	Implementing Agency	Country	Project	Funding (US\$) mill
35	WB	Guatemala	Community Management of the Bio-Itzá Reserve (Petén)	0.73
36	WB	Honduras	Biodiversity Conservation in Priority Protected Areas	7.00
37	WB	India	Ecodevelopment	20.00
38	WB	Indonesia	COREMAP I	4.10
39	WB	Indonesia	Berbak-Sembilang Ecosystem Conservation	0.73
40	WB	Indonesia	Indonesia Forests and Media (INFORM)	0.94
41	WB	Indonesia	Sangihe -Talaud Forest Conservation	0.82
42	WB	Kenya	Lewa Wildlife Conservancy and Community Conservation	0.75
43	WB	Madagascar	Environment Program Support	12.80
44	WB	Malawi	Mulanje Mountain Biodiversity	6.75
45	WB	Mauritius	Restoration of Round Island	0.75
46	WB	Mexico	COINBIO - Indigenous and Community Conservation of Biodiversity	7.50
47	WB	Mexico	Consolidation of the Protected Area System (SINAP II)	16.10
48	WB	Mexico	Mesoamerican Biological Corridor	14.84
49	WB	Mexico	Private Land Conservation Mechanisms	0.73
50	WB	Moldova	Biodiversity Conservation in the Lower Dniester Delta Ecosystem	0.98
51	WB	Mongolia	Egin-Uur Watershed Conservation Initiative (IFC)	0.98
52	WB	Morocco	Protected Areas Management	10.50
53	WB	Mozambique	Coastal and Marine Biodiversity Management	4.10
54	WB	Nicaragua	Atlantic Biological Corridor	7.10
55	WB	Pakistan	Protected Areas Management	10.08
56	WB	Panama	Atlantic Mesoamerican Biological Corridor	8.40
57	WB	Panama	Effective Protection with Community Participation of the New Protected Area of San Lorenzo	0.73
58	WB	Papua New Guinea	Forestry and Conservation	17.00
59	WB	Paraguay	Mbaracayú Biodiversity	0.97
60	WB	Peru	(PROFONANPE II): Participatory Management of Protected Areas	14.80
61	WB	Peru	Indigenous Management of Protected Areas in the Amazon	10.00
62	WB	Peru	Biodiversity Conservation in the Nanay River Basin	0.75
63	WB	Philippines	Mindanao Rural Development/Coastal Resource Conservation	1.25
64	WB	Regional	Terra Capital Biodiversity Fund (IFC)	5.00
65	WB	Regional ( Belize, Bolivia, Costa Rica, Ecuador, El Salvador, México, Panamá, Paraguay, Perú,)	Eco Enterprises Fund (IFC/TNC)	1.00
66	WB	Regional (Burkina Faso, Cote d'Ivoire,)	West Africa Pilot Community -Based Natural Resource and Wildlife Management (GEPRENAF)	7.00
67	WB	Regional (Comoros, Mauritius, Seychelles, Madagascar)	Coral Reef Monitoring Network in member states of the Indian Ocean Commission (COI), within the Global Coral Reef Monitoring Network (GCRMN)	0.74

No.	Implementing Agency	Country	Project	Funding (US\$) mill
68	WB	Regional (Kyrgyz Republic, Kazakhstan, Uzbekistan)	Central Asia Transboundary Biodiversity	10.15
69	WB	Regional (Lesotho)	Maloti/ Drakensberg Mountain Transfrontier Biodiversity Conservation	15.25
70	WB	Regional (México, Guatemala, Belize, Honduras)	Conservation and Sustainable use of the Mesoamerican Barrier Reef	11.00
71	WB	Regional (South Africa)	Maloti/ Drakensberg Mountain Transfrontier Biodiversity Conservation	
72	WB	Romania	Biodiversity Conservation Management	5.50
73	WB	Russian Federation	Khabarovsk Krai Protected Areas Network for Sikhote -Alin Mountain Forest Ecosystems Conservation	0.75
74	WB	Samoa	Marine Biodiversity Protection and Management	0.90
75	WB	Seychelles	Marine Ecosystems Management	0.75
76	WB	Slovak Republic	Conservation and Sustainable Use of Central European Grasslands	0.73
77	WB	South Africa	Cape Peninsula Biodiversity	12.30
78	WB	South Africa	Sustainable Protected Area Development in Namaqualand	0.75
79	WB	Sri Lanka	Conservation and Sustainable Use of Medicinal Plants	4.57
80	WB	Syria	Conservation of Biodiversity and Protected Areas Management	0.75
81	WB	Tunisia	Protected Areas Management	5.33
82	WB	Turkey	Biodiversity and Natural Resource Management Project	8.19
83	WB	Uganda	Protected Areas Management and Sustainable Use (PAMSU)	8.00
84	WB	Ukraine	Biodiversity Conservation in the Azov -Black Sea Ecological Corridor	6.90
85	WB	Venezuela	Conservation & Sustainable Use of the Llanos Ecoregion	0.94
86	WB	Viet Nam	Hon Mun Marine Protected Area Pilot	0.98
87	WB	Viet Nam	Pu-Luong/Cuc Phuong Limestone Landscape	0.72
88	WB	Yemen	Coastal Zone Management along the Gulf of Aden	0.73
89	WB	Yemen	Protected Areas Management	0.74
90	UNDP	Algeria	Strengthening of National Capacity & Grassroots In-Situ Conservation for Sustainable Biodiversity Protection	2.50
91	UNDP	Argentina	Consolidation and Implementation of the Patagonian Coastal Zone Management Programme and BD Conservation	5.20
92	UNDP	Argentina	Management and Conservation of wetland biodiversity in the Esteros del Iberia, Corrientes	1.00
93	UNDP	Bangladesh	Coastal and Wetland BD Management	5.76
94	UNDP	Brazil	MSP Establishment of Private Reserve Heritage Reserves (RPPNs) in the Brazilian Cerrado Biome	0.75
95	UNDP	Belize	Conservation and Sustainable Use of the Belize Barrier Reef Complex	5.36
96	UNDP	Bhutan	Linking and Enhancing Protected Areas in the Temperate Broadleaf Forest Eco-region of Bhutan (LINKPA)	0.79

No.	Implementing Agency	Country	Project	Funding (US\$) mill
97	UNDP	Brazil	Promoting BD Conservation and Sustainable Use in the Frontier Forest Mato -Grosso	6.98
98	UNDP	Burkina Faso	Optimization of BD in game ranching systems; a pilot experiment in a semi arid area	2.50
99	UNDP	Cambodia	Management of the Cardamom Mountain Protected Forest and Wildlife Sanctuaries- Cambodia	1.00
100	UNDP	Cameroon	Sustainable Forest Management by Communities in the Bamenda Highlands, Cameroon.	1.00
101	UNDP	Central African Republic	A Highly Decentralized Approach to BD Protection and Use: The Bangassou Dense Forest.	2.50
102	UNDP	Chile	Biodiversity Conservation in Salar del Huasco	0.86
103	UNDP	Chile	MSP: Conservation and Sustainable Use of Chiloe Globally Significant Biodiversity	4.08
104	UNDP	China	Wetlands BD Conservation and Sustainable Use	12.03
105	UNDP	China	Multi-Agency And Local Participatory Cooperation in BD Conservation in Yunnan's Upland Mountain Ecosystems	0.75
106	UNDP	Colombia	Biodiversity Conservation in the Paramo and Montana Forest Ecosystems of the Colombian Massif	4.03
107	UNDP	Cote d' Ivoire	Control of Aquatic Weeds to enhance and restore BD	3.00
108	UNDP	Cuba	Priority Actions to Consolidate BD Protection in the Sabana-Camaguey Ecosystem -FULL	4.20
109	UNDP	Cuba	Strengthening the National System of Protected Areas	2.15
110	UNDP	DPR Korea	Conservation of BD Mt. Myonghan in the DPRK.	0.75
111	UNDP	Ecuador	Integrated Programme for the Control of Introduced Species in Galapagos Archipelago	18.68
112	UNDP	Ecuador	Galapagos Oil Spill - Environmental Rehabilitation and Conservation	18.68
113	UNDP	Egypt	Conservation & Sustainable Use of Native Biodiveristy Resources used for Herbal, Medicinal, Pharmaceutical & Cosmetic Purposes	
114	UNDP	Eritrea	Conservation management of Eritrea's coastal, marine and island BD	4.98
115	UNDP	Georgia	Conservation of Arid and Semi-arid Ecosystems in the Caucasus	0.75
116	UNDP	Ghana	BD Conservation of Lake Bosumtwe Basin	0.52
117	UNDP	Guatemala	Integrated BD Protection in the Sarstun-Motagua Region.	4.00
118	UNDP	India	Gulf of Mannar -Multi-Sectoral and Integrated Systems Approach to the Conservation, Management and Sustainable Utilization of Coastal Biodiversity.	7.87
119	UNDP	Iran	Conservation of the Asiatic cheetah, its Natural Habitat and Associated Biota in the I.R. of Iran	0.75
120	UNDP	Lebanon	Lebanon - Strengthening of National Capacity & Grassroots In-Situ Conservation for Sustainable BD Protection	2.53
121	UNDP	Lesotho	Conserving Mountain BD in southern Lesotho	2.48
122	UNDP	Madagascar	Madagascar environment program support	
123	UNDP	Malaysia	Conservation and Sustainable Use of Tropical Peat Swamp Forests and Associated Wetland Ecosystems	6.31

No.	Implementing Agency	Country	Project	Funding (US\$) mill
124	UNDP	Mexico	Biodiversity Conservation in the Sierra Gorda Biosphere Reserve	6.73
125	UNDP	Mexico	Capacity Building for Implementation of the Cartagena Protocol	1.46
126	UNDP	Micronesia	Community Conservation and Compatible Enterprise development in Pohnpei, Federated States of Micronesia	0.75
127	UNDP	Mongolia	BD Conservation and Sustainable Livelihood Options in the Grasslands of Eastern Mongolia	5.16
128	UNDP	Mongolia	The Conservation of the Great Gobi and Its Umbrella Species	0.98
129	UNDP	Morocco	Transhumance for BD Conservation in the southern High Atlas	4.37
130	UNDP	Nepal	Upper Mustang BD Conservation Project	0.73
131	UNDP	Nepal	Landscape-scale Conservation of Endangered Tiger and Rhinoceros Populations in and around the Chitwan National Park.	0.75
132	UNDP	Nicaragua	Establishment of a programme for the Consolidation of the Mesoamerican Biological Corridor.	
133	UNDP	Pakistan	Mountain Areas Conservancy Project	10.60
134	UNDP	Papua New Guinea	Milne-Bay Province Marine Integrated Conservation	3.55
135	UNDP	Paraguay	Paraguayan Wildlands Protection Initiative -FULL	9.21
136	UNDP	Peru	In situ conservation of Native Cultivars and Wild relatives	5.22
137	UNDP	Peru	Conservation and Sustainable use of the Coastal Lomas of Southern Peru	0.75
138	UNDP	Philippines	Samar Island BD Project (SIBP) Conservation and Sustainable Use of the BD of a Forested Protected Area.	6.11
139	UNDP	Philippines	Conservation of the Tubbataha Reef National Marine Park	0.77
140	UNDP	Philippines	BD Conservation and Management of the Bohol Islands (Pamilacan-Balicasag-Panglao Islands) Marine Triangle	0.74
141	UNDP	Philippines	Sustainable management of Mount Isarogs Territories	0.75
142	UNDP	Regional	Southern African BD Support Programme	4.50
143	UNDP	Regional	Regional - Conservation of Wetland and Coastal Ecosystems in the Mediterranean Region	13.44
144	UNDP	Regional	Conservation of BD in the Lake Titicaca Basin	3.11
145	UNDP	Russian Federation	Demonstrating Sustainable Conservation of Biological Diversity in Four Protected Areas of Russia's Kamchatka Oblast. Phase 1.	2.36
146	UNDP	Senegal/Mauritius	Biological Diversity Conservation through Participatory Rehabilitation of Degraded Mauritania an Senegal	7.89
147	UNDP	South Asia	Capacity building network for southern African Botanical diversity	4.72
148	UNDP	Sri Lanka	Conservation of BD through Integrated Collaboration Management in the Rekawa, Usangoda and Kalametiya Coastal Ecosystem	0.75
149	UNDP	Sri Lanka	Project name: Contributing to the Conservation of the Unique BD in the Threatened Rain Forests of Southwest Sri Lanka	0.75

No.	Implementing Agency	Country	Project	Funding (US\$) mill
150	UNDP	Sudan	Sudan - Conservation and Management of Habitats and Species, and Sustainable Community Use of BD in Dinder National Park	0.75
151	UNDP	Suriname	Conservation of Globally Significant Forest Ecosystems in the Suriname's Guyana Shields.	9.59
152	UNDP	Syrian Arab Republic	Regional: Conservation and Sustainable Use of Dryland Agro-BD of the Fertile Crescent	8.23
153	UNDP	Tanzania	Development of Jozani-Chwaka Bay National Park, Zanzibar Island.	0.75
154	UNDP	Tanzania	Reducing Biodiversity Loss at Selected Cross Borders Sites in East Africa	.
155	UNDP	Tunisia	Regional - Participatory Management of Plant Genetic Resources in Date Palm Oases of the Maghreb	3.08
156	UNDP	Uzbekistan	Establishment of Naratau-Kyzylkum Biosphere Reserve as a Model for BD Conservation in Uzbekistan.	0.75
157	UNDP	Venezuela	Protection and Sustainable Use of Biological Diversity in the Orinoco Delta Wetlands.	9.79
158	UNDP	Viet Nam	Vietnam PARC - Creating Protected Areas for Resources Conservation (PARC) in Vietnam Using a Landscape Ecology Approach	6.04
159	UNDP	Viet Nam	<i>In situ</i> Conservation of Native Landraces and their Wild Relatives in Vietnam	0.93
160	UNDP	Zimbabwe	Conservation and sustainable use of traditional medicinal plants in Zimbabwe	0.97
161	UNEP	Bulgaria	Support for the Implementation of the National Biosafety Framework for Bulgaria	0.41
162	UNEP	Cameroon	Support for the Implementation of the National Biosafety Framework for Cameroon	0.56
163	UNEP	China	Support for the Implementation of the National Biosafety Framework for China	1.00
164	UNEP	Cuba	Support to the National Biosafety Framework for Cuba	0.65
165	UNEP	Global	Millennium Ecosystem Assessment	7.31
166	UNEP	Global	Conservation and Sustainable Management of Below-Ground Biodiversity - Phase I	5.30
167	UNEP	Global	Global Biodiversity Forum (GBF): Multistakeholder support for the implementation of the Convention on Biological Diversity	1.00
168	UNEP	Global	Development of National Biosafety Frameworks	2.61
169	UNEP	Global	Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-Arid Zones	0.75
170	UNEP	Kenya	Support for the Implementation of the National Biosafety Framework for Kenya	0.51
171	UNEP	Kenya	Lake Baringo Community Based Land and Water Management Project	0.75
172	UNEP	Namibia	Support to the Implementation of the National Biosafety Framework of Namibia	0.67
173	UNEP	Nepal	Arun Valley Sustainable Resource Use and Management Pilot Demonstration Project	0.63
174	UNEP	Poland	Support to the Implementation of the National Biosafety Framework for Poland	0.46
175	UNEP	Regional	Development of a Wetland Site and Flyway Network for Conservation of the Siberian Crane and other Migratory Waterbirds in Asia	10.35



No.	Implementing Agency	Country	Project	Funding (US\$) mill
176	UNEP	Regional	Community Based Management of On-Farm Plant Genetic Resources in Arid and Semi-Arid Areas of Sub-Saharan Africa	0.75
177	UNEP	Regional	Biodiversity Conservation and Integration of Traditional Knowledge on Medicinal Plants in National Primary Health Care Policy in Central America and the Caribbean	0.75
178	UNEP	Regional	Conservation of Gramineae and Associated Arthropods for Sustainable Agricultural Development in Africa	0.97
179	UNEP	Regional	Biodiversity Indicators for National Use	0.85
180	UNEP	Regional	Development of the Econet for Long-term Conservation of Biodiversity in the Central Asia Ecoregions	0.78
181	UNEP	Regional	Catalyzing Conservation Action in Latin America: Identifying Priority Sites and Best Management Alternatives in five Globally significant Ecoregions	0.75
182	UNEP	Regional	Emergency Response to Combat Forest Fires in Indonesia to Prevent Haze in South East Asia	0.75
183	UNEP	Regional	Land Use Change Analysis as an Approach for Investigating Biodiversity Loss and Land Degradation (LUCID)	0.80
184	UNEP	Regional	Desert Margin Program	5.62
185	UNEP	Regional	Biological Diversity Conservation through Participatory Rehabilitation of the Degraded Lands of the Arid and Semi-Arid Transboundary Areas of the Mauritania and Senegal	7.89
186	UNEP	Regional	Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa	8.72
187	UNEP	Uganda	Support for the Implementation of the National Biosafety Framework for Uganda	0.56

## Climate Change

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	WB	Argentina	Renewable Energy in Rural Markets	10.00
2	WB	Bangladesh	Rural Electrification And Renewable Energy Development	8.20
3	WB	Brazil	Energy Efficiency	15.00
4	WB	Cape Verde	Energy & Water Sector Reform and Development	4.70
5	WB	China	Beijing Second Environment	25.00
6	WB	China	Energy Conservation	22.00
7	WB	China	Energy Conserve II	26.00
8	WB	China	Fuel Efficient Industrial Boilers	32.81
9	WB	China	Renewable Energy Development	35.00
10	WB	China	Passive Solar Rural Health Clinics	0.75
11	WB	Cote d Ivoire	Energy efficiency service market	0.73
12	WB	Ecuador	Power and Communications Sector Modernization (PROMEC)	2.84

No.	Implementing Agency	Country	Project	Funding (US\$) mill
13	WB	Global	I-Efficient Lighting Initiative (IFC) Tranche I	9.35
14	WB	Global	II-Efficient Lighting Initiative (IFC) -Tranche II	5.65
15	WB	Global	Photovoltaic Market Transformation Initiative (IFC)	30.00
16	WB	Global	Renewable Energy and Energy Efficiency Fund (IFC)	30.00
17	WB	Global	Solar Development Group (IFC)	10.00
18	WB	Global	Renewable Energy Sustainable Livelihood Projects for Youth	0.80
19	WB	Guinea	Rural Energy	2.00
20	WB	Hungary	Hungary Energy Efficiency Co-Financing Program (IFC)	5.00
21	WB	Hungary	Hungary Energy Efficiency Co-Financing Program 2 (IFC)	0.70
22	WB	India	Energy Efficiency	5.00
23	WB	Indonesia	Western Java Environmental Management	3.11
24	WB	Lao PDR	Southern Provinces Renewable Energy	0.74
25	WB	Latvia	Solid Waste Management and Landfill Gas Recovery	5.12
26	WB	Macedonia	Mini-Hydro Power Project	0.75
27	WB	Mexico	Climate Friendly Measures In Transport	5.80
28	WB	Mexico	Methane Gas Capture/Landfill Demonstration	6.27
29	WB	Mexico	Renewable Energy for Agricultural Productivity (RETS)	8.90
30	WB	Mongolia	Improved Household Stoves	0.75
31	WB	Philippines	Metro Manila Urban Transport - Marikina Bicycle Network	1.30
32	WB	Philippines	CEPALCO Grid-Connected Photovoltaic Distributed Utility Pilot Plant (IFC)	4.00
33	WB	Poland	Coal-to-Gas Conversion Project	25.00
34	WB	Poland	Zakopane/Podhale Geothermal District Heating and Environment	5.40
35	WB	Regional	I-Commercializing Energy Efficiency Finance (CEEF)(IFC) (Tranche I)	11.25
36	WB	Regional (Antigua and Barbuda, Bahamas, Belize, Dominica, Grenada, Guyana, Jamaica, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines, Trinidad and Tobago,)	Mainstreaming Adaptation to Climate Change (MACC)	5.00
37	WB	Romania	Energy Efficiency Project	10.00
38	WB	Senegal	Sustainable and Participatory Energy Management	4.70
39	WB	Sri Lanka	Renewable Energy for Rural Economic Development	8.00

No.	Implementing Agency	Country	Project	Funding (US\$) mill
40	WB	Thailand	Building Chiller Replacement Program	2.50
41	WB	Tunisia	Solar Water Heating	4.00
42	WB	Uganda	Energy for Rural Transmission	12.10
43	WB	Uruguay	Landfill Methane Recovery Demonstration Project	0.98
44	WB	Viet Nam	SEIER (Renewable Energy component)	4.50
45	UNDP	Bolivia	Rural Electrification with Renewable Energy through the Popular Participation Law	4.45
46	UNDP	Brazil	Hydrogen Fuel Cell Buses for Urban Transport	12.62
47	UNDP	Bulgaria	Energy Efficiency Strategy to Mitigate Greenhouse Gas Emissions. Energy Efficiency Demonstration Zone in the City of Gabrovo	2.60
48	UNDP	Chile	Barrier Removal for Rural Electrification with Renewable Energies.	6.07
49	UNDP	China	Energy Conservation and GHG Emissions Reduction in Township and Village Enterprise Industries in China 2	8.00
50	UNDP	China	CPR: Promoting Methane Recovery and Utilization from Mixed Municipal Refuse	5.31
51	UNDP	China	CPR: Capacity Building for the Rapid Commercialization of Renewable Energy	8.85
52	UNDP	China	CPR: Barrier Removal for the Widespread Commercialization of Energy-Efficient CFC -Free Refrigerators in China	9.86
53	UNDP	China	China's Initial National Communication: Needs Assessment and Enabling Activity Preparation	3.60
54	UNDP	China	Demonstration for Fuel Cell Bus Commercialization in China	5.82
55	UNDP	China	Improving Lighting Energy Efficiency in China: The China Green Lights Program	
56	UNDP	China	Targeted Research	1.72
57	UNDP	Czech Republic	Low Cost/Low Energy buildings in the Czech Republic	0.45
58	UNDP	Egypt	Regional - Energy Efficiency Improvements and GHG Reduction in Egypt and the Palestinian Authority	
59	UNDP	Egypt	Introduction of Viable Electric and Hybrid Electric Bus Technology in Egypt	0.75
60	UNDP	Fiji	Fiji Renewable Energy Hybrid Village Power Systems.	0.75

No.	Implementing Agency	Country	Project	Funding (US\$) mill
61	UNDP	Guatemala	Renewable Energy Based Small Enterprise Development in the Quiche Region of Guatemala	0.41
62	UNDP	Hungary	Public Sector Energy Efficiency Programme	4.20
63	UNDP	Hungary	Capacity Building for Improving the Quality of GHG Inventories	
64	UNDP	India	Optimizing Development of Small Hydel Resources in the Hilly Regions of India	7.50
65	UNDP	India	IND: Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	5.50
66	UNDP	India	Biomass Energy for Rural India	4.23
67	UNDP	India	Coal Bed Methane Capture and Commercial Utilization -FULL	9.19
68	UNDP	India	Enabling Activities for the preparation of India's Initial National Communication to the UNFCCC	2.00
69	UNDP	Iran	Carbon Sequestration in the Decertified Rangelands of Iran	0.75
70	UNDP	Jordan	Jordan - Reduction of Methane Emissions and Utilization of Municipal Waste for Energy in Amman	2.74
71	UNDP	Kenya	Removal of barriers to energy conservation and energy efficiency in small and medium scale enterprises	3.19
72	UNDP	Latvia	Economic and Cost-Effective Use of Wood Waste for Municipal Heating Systems in Latvia	0.75
73	UNDP	Lebanon	Energy Efficient Buildings	
74	UNDP	Lebanon	Lebanon - Cross Sectoral Energy Efficiency and Removal of Barriers to ESCO Operation	3.40
75	UNDP	Lithuania	Elimination of Green House Gases in the Manufacturing of Domestic Refrigerators and Freezers at Snaige	1.00
76	UNDP	Malawi	National Sustainable and Renewable Energy Programme	3.42
77	UNDP	Malaysia	Industrial Energy Efficiency and Improvement Project	7.30
78	UNDP	Malaysia	Barrier Removal for Biomass Residues Cogeneration, Tranche-1	4.03
79	UNDP	Mexico	Project to demonstrate Fuel Cell Buses and Associated Fuel Supply system in Mexico , Phase I	6.90
80	UNDP	Mongolia	Commercialization of super-insulating building technology in Mongolia	0.75
81	UNDP	Morocco	Market Development for Solar Water Heaters.	2.97

No.	Implementing Agency	Country	Project	Funding (US\$) mill
82	UNDP	Namibia	Barrier removal to the development of commercially institutionally and technically sustainable solar energy services in Namibia	2.70
83	UNDP	Pakistan	Fuel Efficiency in the Road Transport Sector	7.00
84	UNDP	Palestine	Lebanon/Palestine - Energy Efficient Buildings	
85	UNDP	Panama	Capacity Building for Stage II Adaptation to Climate Change in Central America, Mexico and Cuba	
86	UNDP	Peru	Photovoltaic-based Rural Electrification in Peru.	3.96
87	UNDP	Peru	Renewable Energy Systems in the Peruvian Amazon Region (RESPAR).	0.75
88	UNDP	Philippines	Capacity Building to Remove Barriers to RE Development Project	5.45
89	UNDP	Philippines	Palawan Alternative Rural Energy and Livelihood Support Project	0.75
90	UNDP	Poland	Integrated Approach to Wood Waste Combustion for Heat Production in Poland	0.98
91	UNDP	Poland	Gdansk Cycle Infrastructure and Promotion Project	1.00
92	UNDP	Romania	Capacity Building for GHG Emission Reduction through Energy Efficiency improvement in Romania	2.29
93	UNDP	Russian Federation	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	3.38
94	UNDP	Russian Federation	Low Cost Energy Efficiency Measures in the Russian Educational Sector	1.00
95	UNDP	Samoa	South Pacific Renewable Energy Initiative	
96	UNDP	Slovakia	Removal of Barriers to Creation of a Market for Biomass Energy in Slovakia	
97	UNDP	Slovenia	Removing Barriers to the Increased Use of Biomass as an Energy Source	4.40
98	UNDP	South Africa	Pilot Production and Commercial Dissemination of Solar Cookers in South Africa	0.80
99	UNDP	Sudan	Barrier Removal to Secure PV Market Penetration in Semi-Urban Sudan.	0.75
100	UNDP	Syrian Arab Republic	Supply-Side Efficiency and Energy Conservation and Planning.	4.61
101	UNDP	Thailand	Removal of Barriers to Biomass Power Generation and Co-generation in Thailand	6.83

No.	Implementing Agency	Country	Project	Funding (US\$) mill
102	UNDP	Tunisia	Tunisia - Experimental Validation of Building Codes and Removal of Barriers to their Adoption	4.36
103	UNDP	Tunisia	Tunisia -Barrier Removal to Encourage and Secure Market Transformation and Labeling of Refrigerators.	0.71
104	UNDP	Turkmenistan	Improving the Energy Efficiency of the Heat and Hot Water Supply	0.75
105	UNDP	Ukraine	Overcoming Market Barriers to the Implementation of Energy Efficiency Improvements and Renewable Energy Technologies in Ukraine	
106	UNEP	Global	Solar and Wind Energy Resource Assessment	6.81
107	UNEP	Global	Assessment of Impacts of and Adaptation to Climate Change in Multiple Regions and Sectors (AIACC)	7.85
108	UNEP	Global	Joint Geophysical Imaging (JGI) Methodology for Geothermal Reservoir Assessment	0.98
109	UNEP	Global	Promoting Industrial Energy Efficiency through a Cleaner Production / Environmental Management System Framework.	0.95
110	UNEP	Global	Redirecting Commercial Investment Decisions to Cleaner Technologies - A Technology Transfer Clearinghouse	0.75

### International Waters

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	WB	Argentina	Coastal Contamination Prevention & Marine Management	8.35
2	WB	Bulgaria	BS/Wetlands Restoration and Pollution Reduction Project	7.50
3	WB	Georgia	Agricultural Research, Extension and Training (Formerly Agric. II)	2.48
4	WB	Global	Lake Basins Management Initiative	0.97
5	WB	Poland	Rural Environmental Protection	3.00
6	WB	Regional	Baltic Sea Development (Tranche -1)	5.50
7	WB	Regional	Strategic Action Plan (SAP) for the Red Sea	5.61
8	WB	Regional (Albania, Macedonia)	Lake Ohrid Management	4.10
9	WB	Regional (Brazil, Paraguay, Uruguay, Argentina)	Guarani Aquifer	13.40
10	WB	Regional (Cambodia, Thailand, Vietnam)	Mekong River Water Utilization	11.00

No.	Implementing Agency	Country	Project	Funding (US\$) mill
11	WB	Regional (Comoros, Madagascar, Mauritius, Seychelles,)	Western Indian Ocean Islands Oil Spill Contingency Planning Project	3.15
12	WB	Regional (Kenya, Tanzania, Uganda)	Lake Victoria Environmental Management (46870/71/72)	35.00
13	WB	Regional (Kenya, Tanzania, Uganda)	Lake Victoria Environmental Management (46870/71/72)	
14	WB	Regional (Kenya, Tanzania, Uganda)	Lake Victoria Environmental Management (46870/71/72)	
15	WB	Romania	BS/ Agricultural Pollution Control Project	5.15
16	UNDP	Chad	Reversal of land and water degradation trends in the Lake Chad Basin Ecosystem	5.00
17	UNDP	Cuba	Demonstration of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean	6.91
18	UNDP	Egypt	Lake Manzala Engineered Wetlands	5.26
19	UNDP	Egypt	Egypt - Developing Renewable Underground Water Resources in Arid Lands, A Pilot Case - The Eastern Desert of Egypt	0.83
20	UNDP	Estonia	Lake Peipsi/Chudskoe Basin Management Program	
21	UNDP	Global	Removal of Barriers to the Effective Implementation of Ballast Water Control and Management Measures in Developing Countries	7.61
22	UNDP	Global	Artisanal Gold Mining	7.12
23	UNDP	Global	Capacity Building for Small Island Developing States through SIDS Net	1.00
24	UNDP	Namibia	Benguela Current Large Marine Ecosystem	15.46
25	UNDP	Philippines	Partnerships for Environmental Management in the Seas of East Asia	
26	UNDP	Regional	Regional - Implementation of the Strategic Action Programme (SAP) for the Red Sea and Gulf of Aden	19.00
27	UNDP	Regional	Control of eutrophication, hazardous substances and related measures for rehabilitating the Black Sea ecosystem, Tranche -1	4.35
28	UNDP	Regional	Strengthening the implementation capacities for nutrient reduction and transboundary cooperation in the Danube River Basin	5.35
29	UNDP	Regional	Environmental Protection of the Rio de La Plata and its Maritime Front: Pollution Prevention and Control and Habitat Restoration	6.01
30	UNDP	Samoa	Implementation of the Strategic Action Programme (SAP) of the Pacific Small Island Developing States (13 countries)	12.29
31	UNDP	Slovakia	Transfer of Environmentally Sound Technology (TEST) In the Danube River Basin	0.99
32	UNDP	Ukraine	Preparation of the Strategic Action Plan for the Dnipro River Basin and Development of SAP Implementation Mechanism	7.26

No.	Implementing Agency	Country	Project	Funding (US\$) mill
33	UNEP	Brazil	Integrated Management of Land Based Activities in the Sao Francisco Basin	4.77
34	UNEP	Global	Global International Waters Assessment (GIWA)	6.79
35	UNEP	Regional	Determination of Priority Actions for the Further Elaboration and Implementation of the Strategic Action Programme for the Mediterranean Region	6.29
36	UNEP	Regional	Implementation of Integrated Watershed Management Practices for the Pantanal and Upper Paraguay River Basin.	6.32
37	UNEP	Regional	Formulation of a Strategic Action Programme for the Integrated Management of the San Juan River Basin and its Coastal Zone	3.64
38	UNEP	Regional	Reversing Environmental Degradation Trends in the South China Sea and Gulf of Thailand	16.41
39	UNEP	Regional	Implementation of the Strategic Action Program for the Bermejo River Binational Basin	3.22
40	UNEP	Regional	Reduction of Environmental Impact from Tropical Shrimp Trawling through the Introduction of By-catch Reduction Technologies and Change of Management	4.45
41	UNEP	Regional	Implementation of the Strategic Action Programme (SAP) for the Red Sea and Gulf of Aden	19.00
42	UNEP	Regional	Demonstration of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean Region	
43	UNEP	Regional	Addressing Transboundary Environmental Issues in the Caspian Environment Programme (CEP) - Strengthening Institutional, Legal, Regulatory and Economic Frameworks for SAP Implementation	8.39
44	UNEP	Regional	Development and Implementation of Mechanisms to Disseminate Lessons Learned and Best Practices in Integrated Transboundary Water Resources Management in Latin America and the Caribbean	0.97
45	UNEP	Regional	Protection of the North West Sahara Aquifer System (NWSAS) and related humid zones and ecosystems.	0.60



## Multi-Focal

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	WB	Burkina Faso, Cameroon, Egypt, Ethiopia, Ghana, Kenya, Niger, Nigeria, Senegal, South Africa, Zambia, Zimbabwe.	Climate, Water and Agriculture: Impacts on and Adaptation of Agro-Ecological Systems in Africa	0.70
2	WB	Ethiopia, Madagascar, Niger.	Integrated Land and Water Management (ILWM) Initiative for Africa	0.98
3	WB	Global	Small and Medium Scale Enterprise Program (replenishment - IFC)	17.44
4	WB	Mexico	Oaxaca Sustainable Hill-Side Management Project	0.72
5	WB	Mongolia	Dynamics of Biodiversity Loss and Permafrost Melt in Lake Hovsgol National Park (targeted research)	0.80
6	WB	Nicaragua	Barrier Removal and Forest Habitat Conservation (Coffee/Allspice)	0.73
7	WB	Nicaragua, Costa Rica, Colombia	Integrated Silvo-Pastoral Ecosystem Management	4.50
8	WB	Zambia	Sustainable Land Management in the Zambian Miombo Woodland Ecosystem	0.75
9	UNDP	Global	Country Dialogue Workshop	3.51
10	UNDP	Mexico	Strategic Planning and Design for the Environmental Protection and Sustainable Development of Mexico	0.65
11	UNDP	South Africa	Best Environmental Practice in the Hosting of the World Summit on Sustainable Development	1.00
12	UNEP	Global	Global Environmental Citizenship	
13	UNEP	Global	Technology Transfer Networks (TTN) Phase II: Prototype verification and Expansion at the Country Level	1.28
14	UNEP	Global	Integrated Management of Peatlands for Biodiversity and Climate Change: The Potential of Managing Peatlands for Carbon Accumulation while Protecting Biodiversity	1.00
15	UNEP	Global	Assessment of Soil Organic Carbon Stocks and Change at National Scale	0.98
16	UNEP	Regional	Support for World Parks Congress, September 8-17, 2003, Durban, South Africa	
17	UNEP	Regional	Finalization of the Action Plan on the Environment Component of the New Partnership for Africa's Development	0.30

## Ozone

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	WB	Russian Federation	Phaseout of Ozone Depleting Substances	60.00
2	WB	Ukraine	Phaseout of Ozone Depleting Substance Phaseout	23.20
3	UNEP	Azerbaijan	Phasing Out Ozone Depleting Substances in Azerbaijan	6.92
4	UNEP	Estonia	Phasing Out Ozone Depleting Substances in Estonia	0.92
5	UNEP	Kazakhstan	Phasing out Ozone Depleting Substances - Kazakhstan	5.60
6	UNEP	Latvia	Phasing Out Ozone Depleting Substances in Latvia	1.47
7	UNEP	Lithuania	Phasing Out Ozone Depleting Substances in Lithuania	4.65
8	UNEP	Regional	Promoting Compliance with the Trade and Licensing Provisions of the MP in CEIT's	0.69
9	UNEP	Regional	Initiating Early Phase-Out of Methyl Bromide through Awareness raising, Policy Development and Demonstration/Training Activities	0.66
10	UNEP	Tajikistan	Phasing Out Ozone Depleting Substances in Tajikistan	0.99
11	UNEP	Turkmenistan	Phasing Out Ozone Depleting Substances in Turkmenistan	0.52
12	UNEP	Uzbekistan	Phasing Out Ozone Depleting Substances in Uzbekistan	3.41

## Persistent Organics Pollutants

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	UNEP	Global	Persistent Toxic Substances (PTS), Food Security and Indigenous Peoples of the Russian North	0.72
2	UNEP	Global	Development of National Implementation Plans for the Management of Persistent Organic Pollutants	6.19

## Integrated Ecosystem Management

No.	Implementing Agency	Country	Project	Funding (US\$) mill
1	UNDP	Mexico	Integrated Ecosystem Management in Three Priority Eco-regions	15.65
2	UNDP	Senegal	Integrated Ecosystem Management of Four Representative Landscapes of Senegal	4.35

## Appendix C: Elapsed Time Full Data Tables by Implementing Agencies

**Table 1: World Bank-GEF Full-sized Projects, FY00 to FY04 (days)**

Project Type	Pipeline to Project Start-up	Pipeline to GEF Council Approval	Pipeline to Bank Management Approval	GEF Council Approval to Bank Management Approval	Management Approval to Project Start-up
Overall	1144	465	958	493	186
Blended	998	377	821	444	176
Freestanding	1271	538	1074	535	192
Africa	1539	621	1317	697	222
East Asia Pacific	885	353	736	383	149
Eastern Europe/ Central Asia	1156	481	1010	529	146
Latin America and the Caribbean	1043	426	818	392	222

**Table 2: UNDP Project Approval Timeframes by Focal Area (days)**

Focal Area	Pipeline to Work Program	Work Program to Project Start-up	Total
Biodiversity	704	578	1282
International Waters	717	683	1399
Climate Change	507	537	1044

**Table 3: UNEP Full-sized Projects\* (days)**

Year	Number of Projects	PDF-B IA Approval	PDF-B Maturation	FP Appraisal	FP IA Approval	FP Appraisal/ Approval Total	PDF-B Approval to FP Start-up
1997 - 2000	5	113.7	244.8	344.8	39.8	384.6	749.0
2001	6	88.3	382.5	281.3	69.7	351.0	907.7
2002	6	207.8	624.4	354.2	48.2	402.3	1289.2
2003	3	114.3	827.3	190.0	17.0	207.0	1148.7
2004 & 2005	8	76.3	812.5	357.9	50.6	408.5	1378.7
Cumulative Average	28	122.3	590.4	320.4	48.6	369.0	1156.7

\* Note: In developing the cumulative averages for different stages of the project cycle, there was some variation in the number of projects included in each year. These discrepancies do not alter the underlying trends in each stage.

**Table 4 GEF Biodiversity Projects (days)<sup>16</sup>**

	GEF Approval Process (Pipeline to CEO Endorsement)		Breakdown of the GEF Approval Process for FSPs		GEF to Project Start-up (begin implementation) <sup>17</sup>	
	<i>FSP</i>	<i>MSP</i>	<i>Pipeline Entry to Work Program Inclusion</i>	<i>Work Program Inclusion to CEO Endorsement</i>	<i>FSP</i>	<i>MSP</i>
Total	1095	657	876	438	402	146
UNDP	1059	803	986	438	584	146
UNEP	1351	657	1022	402	183	110
WB	949	584	767	438	438	183

<sup>16</sup> Because of the limited data available regarding specific dates in the project cycle, especially for projects approved during the early years of the GEF, the figures for this table have been calculated using the best available data within each specific timeframe. Because of this factor, readers will note that total time periods cannot be directly computed by simply adding the two phases of project approval. The figures provided are averages (means), not medians.

<sup>17</sup> Data on the approval process for UNEP projects was provided directly by UNEP because it was not available at the GEF Secretariat.

## Appendix D: List of terminal evaluation reports reviewed

Name	IA	Quality of the terminal evaluation report						Quality of M&E syst.			Date effect or Prod or signature	FY IA prepared the TE
		GEF OME rating	Outcomes and objectives	Report consistent	Sustainability	Lessons	Actual costs & co financing	GEF OME rating	Effective M&E system	Information used for mgmt		
<b>Biodiversity</b>												
Belize - Creating A Co-Managed Protected Areas (PA) System	UNDP	S	Y	Y	Y	Y	N	U	N	N	1998	2003
Bhutan Integrated Management of Jigme Dorji National Park (JDNP)	UNDP	U	N	N	Y	Part	N	MU	N	Part	1997	2004
Costa Rica - Conservation of Biodiversity in the Talamanca Caribe Biological Corridor	UNDP	MU	Y	Part	Part	Part	Part	U	N	N	2000	2003
Ethiopia - A dynamic farmer-based approach to the conservation of plant genetic resources	UNDP	S	Part	Part	Y	Y	N	MU	Part	N	1994	2003
Comoros - Conservation of biodiversity and sustainable development	UNDP	S	Y	Part	Y	Part	Part	U	N	N	1997	2003
Georgia - Conservation of Arid and Semi-arid Ecosystems in the Caucasus	UNDP	U	Part	Part	Part	N	N	U/A	N/I	N/I	1999	2004
Panama - Biodiversity Conservation in the Darien Region	UNDP	U	N	N	Part	N	Part	MU	Part	N	1994	2001
Regional - African NGO-Government Partnership for Sustainable Biodiversity Action	UNDP	S	Y	Y	Y	N	N	U	N	N	1998	2003
Regional - Conservation Priority-Setting for the Upper Guinea (UG) Forest Ecosystems, West Africa	UNDP	S	Y	Y	Y	Y	Part	U/A	N/I	N/I	1998	2002
Regional - South Pacific Biodiversity Conservation Programme (SPBCP)	UNDP	S	Y	Y	Y	Y	Part	MU	Part	N	1993	2002
Uruguay - Consolidation of the Bañados del Este Biosphere Reserve	UNDP	MU	Part	Part	Part	Y	Part	MU	Part	Part	1997	2004
Madagascar - The Environment Program Phase II Project	UNDP/WB	HS	Y	Y	Y	Y	Y	MU	Part	N	1997	2004
China - Lop Nur nature sanctuary biodiversity conservation project	UNEP	MU	Part	Part	Part	Y	Part	MU	N	Part	1998	2004
Global - Development of best practices and dissemination of lessons learned for dealing with the global problem of alien invasive species (AIS)	UNEP	HS	Y	Y	Y	Y	Y	S	Part	Y	1998	2004

Name	IA	Quality of the terminal evaluation report						Quality of M&E syst.			Date effect or Prod or signature	FY IA prepared the TE
		GEF OME rating	Outcomes and objectives	Report consistent	Sustainability	Lessons	Actual costs & co financing	GEF OME rating	Effective M&E system	Information used for mgmt		
that threaten biological diversity.												
Global - People, Land Management, and Environmental Change (PLEC)	UNEP	MU	Part	Part	Part	Y	N	S	Part	Y	1998	2003
Global - Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-arid Zones	UNEP	S	Y	Y	Y	Y	N	U/A	N/I	N/I	1999	2004
Kenya - Lake Baringo Community-based Integrated Land and Water Management Project	UNEP	MU	Y	N	Part	Y	Part	MU	Part	Part	2000	2004
Regional - An Indicator Model for Dryland Ecosystems in Latin America	UNEP	U	N	N	N	Part	N	U	N	N	1999	2004
Belize - Northern Belize Biological Corridors Project	WB	S	Part	Y	Y	Y	Y	S	Y	Y	1999	2003
Bolivia - Biodiversity Conservation Project	WB	MU	Part	Part	Y	Y	Part	U/A	N/I	N/I	1993	2001
Cameroon - Biodiversity Conservation and Management	WB	S	Part	Y	Part	Y	Part	MU	N	Part	1995	2004
China - Nature Reserves Management	WB	S	Y	N	Part	Y	Y	S	Y	Y	1995	2003
Ecuador Monitoring the Galápagos Islands	WB	MU	Part	Part	Part	Part	Part	S	Y	Y	1999	2003
Ecuador- Wetland Priorities for Conservation Action	WB	S	Y	Y	N	Y	Y	S	Y	Part	1999	2003
Egypt - Red Sea coastal and marine resource management project	WB	S	Part	Part	Y	Y	Y	S	Y	Y	1994	2003
Guatemala - Management and Protection of Laguna del Tigre National Park and Biotope	WB	S	Y	Y	Y	Y	Y	S	Part	Y	1999	2003
Indonesia - Biodiversity Collections Project	WB	S	Y	Y	Y	Y	Part	S	Y	Y	1994	2002
Indonesia - Kerinci Seblat - Integrated Conservation and Development Project (ICDP)	WB	S	Y	Y	N	Y	Y	S	Y	Part	1996	2003
Kenya - Conservation of the Tana River Primate National Reserve (TRNPR)	WB	S	Y	Y	Y	Y	Y	MU	Part	N	1997	2003
Laos - Forest Management and Conservation	WB	S	Y	Y	Y	Y	Part	S	Y	Y	1995	2001
Mauritius - Biodiversity Restoration Project	WB	S	Y	Y	Y	Y	Y	S	Y	Y	1996	2003
Mexico - El Triunfo Biosphere Reserve: Habitat Enhancement in Productive Landscapes	WB	MU	Part	N	Y	Part	Y	U	N	Part	1999	2003
Mexico - Protected Areas Program	WB	MU	Part	N	Part	Y	Y	S	Y	Part	1997	2004

Name	IA	Quality of the terminal evaluation report						Quality of M&E syst.			Date effect or Prod or signature	FY IA prepared the TE
		GEF OME rating	Outcomes and objectives	Report consistent	Sustainability	Lessons	Actual costs & co financing	GEF OME rating	Effective M&E system	Information used for mgmt		
Mozambique Transfrontier Conservation Areas Pilot And Institutional Strengthening Project	WB	S	Y	Part	Y	Y	Part	U	N	N	1997	2004
Philippines - Conservation of Priority Prot. Areas	WB	S	N	Part	Y	Y	Y	U	N	N	1994	2004
Republic of Croatia Kopacki rit Wetland Management Project	WB	MU	Y	Part	Y	Part	Part	S	Y	Part	1999	2004
Russia Biodiversity Conservation Project	WB	U	Part	N	Part	Y	Y	U/A	N/I	N/I	1996	2004
Seychelles - Management of Avian Ecosystems	WB	S	Y	Y	Y	Y	Y	HS	Y	Y	1998	2003
Uganda - Bwindi Impenetrable National Park and Mgahinga Gorilla National Park Conservation	WB	U	N	N	Part	Part	Part	U/A	Part	N/I	1995	2001
Uganda - Kibale Forest Wild Coffee Project	WB	MU	Part	Part	Part	Y	N	U/A	N/I	N/I	1999	2002
<b>Climate Change</b>												
Brazil - Biomass Power Generation: Sugar Cane Bagasse and Trash.	UNDP	MU	Part	Part	Part	Y	Part	U/A	N	N/I	1996	2003
Bulgaria - Energy Efficiency Strategy to Mitigate GHG (greenhouse gases) Emissions Energy Efficiency Zone in the City of Gabrovo	UNDP	MU	Part	N	Part	Part	N	U/A	N/I	N/I	1998	2004
Ghana - Renewable Energy-Based Electricity for Rural, Social and Economic Development	UNDP	MU	Part	Part	Part	Part	N	U/A	N	N/I	1998	2003
Guatemala - Renewable Energy-Based Small Enterprise Development in the Quiche Region	UNDP	MU	Part	Part	N	Part	N	U/A	N/I	N/I	2000	2003
Regional - Creation and Strengthening of the Capacity for Sustainable Renewable Energy (RE) Development in Central America (FOCER)	UNDP	S	Y	Y	Part	Y	Part	S	Y	Y	2000	2003
Regional (Cote d'Ivoire & Senegal) - Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	UNDP	U	Part	N	Part	N	N	U/A	N/I	N/I	1995	2001
Sudan - Community Based Rangeland Rehabilitation for Carbon Seq. and Biodiversity	UNDP	S	Y	Y	Y	Y	N	MU	Part	Y	1995	2001
Uganda - Photovoltaic pilot project for rural electrification (UPPPRE)	UNDP	S	Y	Y	Part	Y	Y	U/A	N/I	Part	1997	2003
Global - Fuel Cell Bus and Distributed Power Generation Market Prospects and Intervention Strategy Options	UNEP	MU	Part	Part	N/A	Part	N	N/A	N/A	N/A	2000	2003

Name	IA	Quality of the terminal evaluation report						Quality of M&E syst.			Date effect or Prodoc signature	FY IA prepared the TE
		GEF OME rating	Outcomes and objectives	Report consistent	Sustainability	Lessons	Actual costs & co financing	GEF OME rating	Effective M&E system	Information used for mgmt		
Global - Redirecting commercial investment decisions to cleaner technology - a technology transfer clearing house	UNEP	S	Y	Y	Part	Part	N	MU	N	Part	1999	2003
Argentina - Efficient Street Lighting Program	WB	S	Y	Part	Part	Y	Y	S	Y	Y	1999	2002
China Sichuan Gas Transmission and Distribution Rehabilitation	WB	HS	Y	Y	Y	Y	Y	S	Y	Y	1994	2004
Czech Republic - Kyjov Waste Heat Utilization Project	WB	MU	Part	N	Y	Y	Y	MU	Part	Part	1998	2002
India - Renewable Resources Development Project (Alternate Energy)	WB	S	Y	Part	Y	Y	Y	S	Y	Y	1993	2001
Indonesia - Solar Home Systems (SHS)	WB	HS	Y	Y	Y	Y	Y	HS	Y	Y	1997	2004
Lithuania - KLAIPEDA GEOTHERMAL DEMONSTRATION PROJECT	WB	S	Y	Part	Y	Part	Part	S	Y	Y	1996	2003
Mali - Household Energy Project	WB	MU	Part	N	Part	Y	Part	U/A	N/I	N/I	1995	2002
South Africa - Concentrating Solar Power for Africa (CSP-Africa)	WB	U	Part	N	N	N	Y	U/A	Part	N/I	2000	2001
Sri Lanka - Energy Services Delivery (ESD)	WB	S	Y	Y	Y	Y	Y	S	Y	Y	1997	2003
<b>International Waters</b>												
Global - Strengthening Capacity for Global Knowledge-Sharing in International Waters	UNDP	S	Y	Part	Y	Y	Part	U	N	N	2000	2003
Regional - Developing the Implementation of the Black Sea Strategic Action Plan	UNDP	S	Y	Y	Y	Y	N	U	N	N	1997	2001
Regional - Hungary and Slovenia Building Environmental Citizenship to Support Transboundary Pollution Reduction in the Danube: A Pilot Project	UNDP	MU	Part	Part	Y	Y	N	U/A	N/I	N/I	2000	2002
Regional - Implementation of the Strategic Action Programme(SAP) for the Red Sea and Gulf of Aden	UNDP	U	N	N	N	N	N	MU	Part	N	1999	2004
Regional - Preparation of A Strategic Action Program (SAP) and Transboundary Diagnostic Analysis (TDA) for the Tumen River Area, Its Coastal Regions and Related Northeast Asian	UNDP	S	Y	Y	Y	Y	N	U	N	N	1999	2002



Name	IA	Quality of the terminal evaluation report						Quality of M&E syst.			Date effect or Prod oc signature	FY IA prepared the TE	
		GEF OME rating	Outcomes and objectives	Report consistent	Sustainabil ity	Lessons	Actual costs & co financing	GEF OME rating	Effective M&E system	Information used for mgmt			
Environs													
Yemen - Protection of Marine Ecosystems of the Red Sea Coast	UNDP	S	Y	Part	Y	Y	N	U	N	N	1993	2001	
Regional - Addressing Transboundary Environmental Issues in the Caspian Environment Programme (CEP)	UNDP/ UNEP/ WB	S	Y	Y	Y	N	Y	U	N	N	2000	2003	
Regional Development and Protection of the Coastal and Marine Environment in Sub-Saharan Africa	UNEP	S	Y	Y	Part	Y	Y	MU	Part	N	2000	2004	
Jordan - Gulf of Aqaba Environmental Action Plan	WB	S	Y	Part	Part	Y	Y	U/A	Part	N/I	1996	2003	
Regional - OECS Ship-Generated Waste Management	WB	S	Y	Part	Part	Part	Y	U	N	N	1996	2004	
Regional - Water and Environmental Management Project (WEMP) in the Aral Sea Basin	WB	S	Y	Y	Part	Y	Y	S	Y	Y	1998	2004	
<b>Ozone Depleting Substances</b>													
Regional - Initiating early phase out of methyl bromide (MB) in countries with economies in transition through awareness-raising, policy development and demonstration and training activities	UNEP	MU	Part	Part	Part	N	N	U/A	N/I	N/I	1999	2004	
Belarus - ODS PHASEOUT	WB	S	Y	Part	Y	Y	Y	S	Y	Y	1997	2002	
Poland - Phaseout of Ozone Depleting Substances	WB	S	Y	Y	Y	Y	Y	S	Y	Y	1997	2001	
<b>Persistent Organic Pollutants</b>													
Global - Regionally-Based Assessment of Persistent Toxic Substances (RBA/PTS)	UNEP	S	Y	Y	Y	N	Part	N/A	N/A	N/A	2000	2004	
Global - Support to the Implementation of the Stockholm Convention on Persistent Organic Pollutants	UNEP	S	Y	Y	N/A	Part	N	N/A	N/A	N/A	2001	2004	

## **Appendix E: Ratings for the Quality of the Terminal Evaluation Reports and M&E Systems**

The ratings on the quality of the evaluation report were as follows:

- a. **Highly Satisfactory:** If there is clear evidence that all five criteria were fully addressed. These can be considered best practice.
- b. **Satisfactory:** If at least one of the first two criteria is addressed while the other one is at least partially addressed and at least two of the remaining criteria are partially addressed.
- c. **Marginally Unsatisfactory:** If either: a) the two first criteria are only partially addressed or, b) one is at least partially addressed while the other is not and one of the next two criteria is addressed and the other is at least partially addressed.
- d. **Unsatisfactory:** If either: a) the first two criteria were not addressed or, b) if only one was partially addressed while the second was not, and two of the remaining three criteria were not addressed.

Overall project M&E systems were rated as follows:

- a. **Highly Satisfactory:** If the project exceeded expectations in terms of collecting additional data or conducting additional studies not initially considered in the project design and this information has been used to improve project implementation and results (e.g. information collected was used for adaptive management), has provided clear evidence of the project impacts, and systems are in place to ensure data will continue to be collected and used after project closing.
- b. **Satisfactory:** If the project developed and used the tools selected during the project design such as indicators (including baseline conditions) and effective systems for data collection, and these tools allowed it to measure progress towards the objectives, and the information collected was used for adaptive management.
- c. **Marginally Unsatisfactory:** The M&E tools used did not fully address the information needs of the project and resulted in significant information gaps for adaptive management, or if gathered information was not used for adaptive management.
- d. **Unsatisfactory:** If the project had no M&E system, or if information produced by the system is insufficient or unreliable to be used for adaptive management.

If the report did not provide sufficient information on the project M&E systems to respond to the questions above, then the project was rated as “Insufficient information to assess”.

## Appendix F: Strengths and Weaknesses of IA Terminal Evaluation Reports

Criteria for the assessment of the quality of TEs					
UNDP					
Baseline	Assessment of relevant outcomes and achievement of objectives	Report consistency: evidence complete/convincing and ratings substantiated	Assessment of sustainability	Lessons, supported by the evidence	Disclosure of actual project costs (total and per activity) and actual co-financing used
Yes	14	10	13	13	2
Partially	6	9	7	4	8
No	1	2	1	4	11
<b>Total</b>	<b>21</b>	<b>21</b>	<b>21</b>	<b>21</b>	<b>21</b>
FY04					
Yes	1	1	2	2	1
Partially	3	2	3	2	1
No	2	3	1	2	4
<b>Total</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>	<b>6</b>
UNEP					
Baseline					
Yes	2	2	1	1	1
Partially	2	2	2	2	
No				1	3
<b>Total</b>	<b>4</b>	<b>4</b>	<b>3</b>	<b>4</b>	<b>4</b>
FY04					
Yes	6	5	3	5	2
Partially	2	2	4	2	3
No	1	2	1	2	4
<b>Total</b>	<b>9</b>	<b>9</b>	<b>8</b>	<b>9</b>	<b>9</b>
WB					
Baseline					
Yes	16	11	16	21	18
Partially	9	9	7	4	7
No	1	6	3	1	1
<b>Total</b>	<b>26</b>	<b>26</b>	<b>26</b>	<b>26</b>	<b>26</b>
FY04					
Yes	7	5	6	9	8
Partially	3	4	5	2	3
No	1	2	0		
<b>Total</b>	<b>11</b>	<b>11</b>	<b>11</b>	<b>11</b>	<b>11</b>

Note: There are two terminal evaluation reports for which the assessment of sustainability was not applicable due to the nature and activities of the project. These were the Global - Fuel Cell Bus Market Prospects and Strategy Options and the Global – POPs. Therefore they are not included in this table.

## Appendix G: Ratings on the Achievement of Objectives and Sustainability Provided by the IA in Reports Prepared in FY04

<b>Project Name</b>	<b>IA</b>	<b>Achievement of objectives</b>	<b>Sustainability</b>
Bhutan Integrated Management of Jigme Dorji National Park (JDNP)	UNDP	No rating	fair
Bulgaria - Energy Efficiency Strategy to Mitigate GHG (greenhouse gases) Emissions Energy Efficiency Zone in the City of Gabrovo	UNDP	HS	HS/S
Georgia - Conservation of Arid and Semi-arid Ecosystems in the Caucasus	UNDP	No rating	No rating
Regional - Implementation of the Strategic Action Programme(SAP) for the Red Sea and Gulf of Aden	UNDP	S	S
Uruguay - Consolidation of the Bañados del Este Biosphere Reserve	UNDP	HS	S
Madagascar - The Environment Program Phase II Project	UNDP/ WB	S	Likely
China - Lop Nur nature sanctuary biodiversity conservation project	UNEP	Very Good	Excellent
Global - Development of best practices and dissemination of lessons learned for dealing with the global problem of alien invasive species (AIS) that threaten biological diversity.	UNEP	HS	S
Global - Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-arid Zones	UNEP	Good	Good
Global - Regionally-Based Assessment of Persistent Toxic Substances (RBA/PTS)	UNEP	HS	MS
Global - Support to the Implementation of the Stockholm Convention on Persistent Organic Pollutants	UNEP	HS	HS
Kenya - Lake Baringo Community-based Integrated Land and Water Management Project	UNEP	Good	Good
Regional - An Indicator Model for Dryland Ecosystems in Latin America	UNEP	Very Good	Good
Regional Development and Protection of the Coastal and Marine Environment in Sub-Saharan Africa	UNEP	Good	Good
Regional - Initiating early phase out of methyl bromide (MB) in countries with economies in transition through awareness-raising, policy development and demonstration and training activities	UNEP	Very Good	Very Good
Cameroon - Biodiversity Conservation and Management	WB	S	Likely
China Sichuan Gas Transmission and Distribution Rehabilitation	WB	S	Highly Likely
Indonesia - Solar Home Systems (SHS)	WB	U	Likely
Mexico - Protected Areas Program	WB	HS	Highly Likely
Mozambique Transfrontier Conservation Areas Pilot And Institutional Strengthening Project	WB	S	Likely
Philippines - Conservation of Priority Protected Areas	WB	U	Unlikely
Regional - OECS Ship-Generated Waste Management	WB	S	Likely
Regional - Water and Environmental Management Project (WEMP) in the Aral Sea Basin	WB	U	Likely
Republic of Croatia Kopacki rit Wetland Management Project	WB	No rating	No rating
Russia Biodiversity Conservation Project	WB	S	Likely