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## **GEF ANNUAL PERFORMANCE REPORT 2014**

### **GEF INDEPENDENT EVALUATION OFFICE**

**FULL REPORT**  
Unedited

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## 1. BACKGROUND AND MAIN CONCLUSIONS

### 1.1 Background

1. The APR provides a detailed overview of the performance of GEF activities and processes, key factors affecting performance, and the quality of monitoring and evaluation (M&E) systems within the GEF partnership. The APR provides GEF Council members, the Secretariat, countries, partner Agencies, and other stakeholders with information on the degree to which GEF activities, systems, and processes are meeting their objectives and identifies areas for further improvement.
2. In total, 918 projects are covered in APR 2014, representing \$4.07 billion in GEF funding and \$19.1 billion in realized cofinancing.<sup>1</sup> This cohort covers 156 recently completed projects representing \$803.8 million in GEF funding and 111 projects completed prior to 2005 that are reported on for the first time. The majority of newly reported projects completed in year 2005 or later are those for which terminal evaluation reports were submitted to the IEO during the period from January 1, 2013, to December 31, 2014.
3. As in past years, APR 2014 reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution, trends in cofinancing, quality of project M&E systems, and quality of terminal evaluation reports. This year's APR also features a substudy examining lessons from terminal evaluations of 603 completed GEF projects.
4. The findings presented are based primarily on the evidence and ratings in the terminal evaluation reports prepared by the GEF partner Agencies at the time of project completion. Prior to reporting in APRs, all terminal evaluations and ratings are reviewed and validated by the IEO, the independent evaluation offices of the GEF partner Agencies, or both. Since 2009, the IEO has adopted the ratings from the evaluation offices of the World Bank, the United Nations Development Programme (UNDP), and the United Nations Environment Programme (UNEP), when available, as past reviews have shown them to be largely consistent with those provided by the GEF IEO. In other instances, ratings provided by the IEO are reported.
5. This year's management action record (MAR) tracks 22 separate GEF Council decisions and reports on the level of adoption of 18 of these decisions. The tracked decisions include 20 decisions that were part of MAR 2013, and two new decisions that emerged from the May 2014 GEF Council meeting. In addition to the GEF Council decisions, the IEO has, since APR 2012, been tracking the adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. One decision from the LDCF/SCCF Council is tracked in MAR 2014. The MARs are published on the IEO website.<sup>2</sup>
6. The draft report of the APR 2014 was shared with the GEF stakeholders to solicit their feedback on data, analysis and conclusions. This report takes into account the feedback received from the stakeholders.

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<sup>1</sup> This excludes GEF funding for project development activities. Data on realized cofinancing are available for 782 completed GEF projects.

<sup>2</sup> <http://www.gefiew.org>

## 1.2 Findings and conclusions

*Conclusion 1: Seventy-nine percent of the projects in the APR 2014 cohort and 81 percent of the funding is in projects with outcome ratings in the satisfactory range. When ratings are assessed by GEF replenishment phase, a pronounced rise in ratings is seen, moving from the pilot phase to GEF-4.*

7. To date, 909 completed GEF projects have been rated on overall outcome achievement, based on the extent to which project objectives were achieved, the relevance of project results to GEF strategies and goals and country priorities, and the efficiency with which project outcomes were achieved. Key findings of this assessment follow.

- (a) Seventy-nine percent of the projects in the APR 2014 cohort and 81 percent of the funding is in projects with outcome ratings in the satisfactory range; this is in line with the overall GEF-5 replenishment target of 80 percent of completed projects receiving satisfactory outcome ratings and above the GEF-4 target of 75 percent of completed projects.
- (b) When outcome ratings are assessed by GEF replenishment phase, a pronounced rise in outcome ratings is seen, moving from the pilot phase through GEF-4. Differences in outcome ratings are most pronounced when comparing projects from the pilot phase with those of later GEF phases. Analysis of factors associated with outcome ratings—including quality of implementation, quality of M&E systems, and level of cofinancing—suggest that the improvements in overall outcome ratings may be linked to improvements and changes in all of these associated factors. They may also be linked to factors that are not fully captured by the indicators tracked by the IEO through the APR.
- (c) Among the GEF partner Agencies, outcome ratings on UNDP-implemented projects have on average risen over time, from 64 percent of pilot phase projects ( $n=33$ ) rated as satisfactory to 87 percent of GEF-4 projects ( $n=86$ ). Reasons for the increase in UNDP ratings are not fully understood. Seventy-one percent of completed GEF-3 World Bank projects ( $n=94$ ) are rated in the satisfactory range compared with 80 percent of World Bank projects from the pilot phase through GEF-2. Reasons for the lower ratings on GEF-3 World Bank ratings are not well understood, although they may be linked to an increase in the level of stringency with which the World Bank Independent Evaluation Group applies its ratings criteria when reviewing terminal evaluations.
- (d) Just 68 percent all completed jointly implemented projects ( $n=34$ ) are rated as satisfactory, compared with 82 percent of single-Agency-implemented projects ( $n=875$ ). This difference is significant at a 95 percent confidence level.
- (e) Two other areas that continue to underperform relative to the larger portfolio are projects implemented in African states and in small island developing states (SIDS).

**Conclusion 2:** *Sixty-three percent of the projects in the APR 2014 cohort and 62 percent of the funding is in projects with sustainability of outcome ratings of moderately likely or above. A pronounced rise in sustainability ratings is seen moving from the pilot phase to GEF-4, with those of pilot phase projects significantly lower than those of other phase projects.*

8. To date, 877 completed GEF projects have been rated on their sustainability, based on the perceived risks to sustainability of project outcomes. Key findings of this assessment follow.

- (a) Sixty percent of all completed projects and 61 percent of funding is in projects with sustainability ratings of moderately likely or above. By the same token, over a third of all completed projects have sustainability ratings of moderately unlikely or below.
- (b) Significant shifts in sustainability ratings are found when projects are grouped by GEF replenishment phase, with ratings on pilot phase projects significantly lower than those of other phase projects. Forty-five percent of rated projects from the pilot phase have sustainability ratings of moderately likely or above, compared with 61 percent of non-pilot phase projects. This difference is statistically significant at a 95 percent confidence level. There could be several reasons for this difference, including weakness in the project design of the pilot phase projects, changes in priorities addressed through projects, and the change in the operational context in which these projects are implemented. This remains an area for further study.
- (c) Among completed GEF projects, satisfactory sustainability ratings (moderately likely or above) are highly correlated with satisfactory outcome ratings.
- (d) Among all completed projects, climate and chemical focal area projects tend to have higher sustainability ratings than biodiversity, land degradation, and multifocal projects.

**Conclusion 3:** *Quality of implementation and execution ratings are in the satisfactory range for some 80 percent of all completed projects, and have risen over time—in line with improvements in outcome and sustainability ratings. Differences in quality of implementation ratings are seen among GEF partner Agencies.*

9. To date, 726 completed projects have been rated on quality of implementation, and 734 rated on quality of execution. Key findings of this assessment follow.

- (a) Quality of implementation and quality of execution ratings are in the satisfactory range for 78 percent and 83 percent, respectively, of all completed projects.
- (b) The percentage of completed projects with satisfactory quality of implementation ratings has risen over time, from 52 percent of pilot phase projects to 87 percent of GEF-4 projects. Similarly, the percentage of completed projects with satisfactory quality of execution ratings has risen from 72 percent of pilot phase projects to 86 percent of GEF-4 projects. Improvements in quality of execution ratings are notable in that they suggest that the performance of executing partners on the ground may be

linked to other factors that have shown improvement over time, including quality of implementation and quality of M&E systems.

- (c) Among the Agencies, from the pilot phase to the GEF-4 period, there has been a substantial increase in the percentage of UNDP projects that received quality of implementation ratings in the satisfactory range. The improvement from the pilot phase (26 percent) to GEF-1 (73 percent) is salient; after this, the ratings show marginal improvements. Trends for other Agencies are not as clear.
- (d) Among projects implemented in the Africa region, in SIDS, and under joint implementation arrangements—three areas of the GEF portfolio where overall outcome ratings have on average been lower—quality of execution ratings are also markedly lower. This finding is statistically significant at a 95 percent confidence level when considering all projects completed over the past eight years.

**Conclusion 4:** *There has been a steady rise in the median ratio of promised cofinancing to GEF grant over the replenishment phases. The GEF partners continue to largely meet or exceed cofinancing expectations.*

10. Of the completed projects to date, data on realized cofinancing is available for 782 projects. Trends in cofinancing follow.

- (a) The median ratio of promised cofinancing to GEF grant—what would be present in a “typical” project—has risen from around 30 cents of promised cofinancing to each dollar of GEF grant in the pilot phase, to over 2 dollars of cofinancing for each dollar in of GEF grant in GEF-4. When considering all approved full- and medium-size projects (FSPs and MSPs) from the pilot phase through GEF-4, the portfolio ratio of promised cofinancing to GEF grant has risen from 2.5 in GEF-1 to 6.3 in GEF-4.
- (b) Portfolio-level cofinancing ratios are driven by a small number of exceptional projects. Among all completed projects to date with data on realized cofinancing ( $n=782$ ), the top 5 percent of projects with the highest cofinancing ratios ( $n=39$ ) have generated some 66 percent of all realized cofinancing (\$12.57 billion of \$19.13 billion total realized cofinancing).
- (c) The percentages of projects realizing at least 90 percent and 100 percent of promised cofinancing have risen over time, from 68 percent and 60 percent of pilot phase projects realizing at least 90 percent and 100 percent, respectively, of promised cofinancing; to 79 percent and 69 percent in GEF-4.
- (d) By focal area, a smaller share of climate change projects have realized 90 percent or more of promised cofinancing compared to projects from other focal areas. Sixty-two percent of completed climate change projects ( $n=192$ ) have realized at least 90 percent of promised cofinancing compared to 73 percent of non-climate change projects ( $n=579$ ); this difference is statistically significant at a 95 percent confidence level. While the total amount of realized cofinancing among completed projects exceeds the total amount of promised cofinancing (\$11.4 billion compared to \$9.6

billion), findings show that at the project level, a significant share of climate projects fail to realize the expected levels of cofinancing.

- (e) Among regions and considering more recent GEF-3 and GEF-4 projects, a smaller share of projects implemented in African countries have realized 90 percent or more of promised cofinancing compared to projects implemented elsewhere. Sixty-four percent of completed GEF-3 and GEF-4 projects implemented in Africa have realized 90 percent or more of expected cofinancing, compared to 75 percent of non-African projects; again, the difference is significant at a 95 percent confidence level.

***Conclusion 5:*** *Ratings on the quality of M&E design and implementation have risen substantially over the GEF replenishment phases. At the same time, some 30 percent of completed GEF-4 projects have unsatisfactory M&E design ratings, indicating considerable scope for improvement.*

11. To date, 847 completed projects have been rated on quality of M&E design, and 763 completed projects have been rated on quality of M&E implementation. Key findings of this assessment follow.

- (a) Ratings on quality of M&E design have risen substantially over time, from 34 percent of pilot phase projects rated in the satisfactory range to 72 percent of GEF-4 projects. Similarly, ratings on quality of M&E implementation have risen from 42 percent of pilot phase projects to 70 percent of GEF-4 projects being in the satisfactory range. The difference in the share of projects with satisfactory M&E design and M&E implementation ratings between the pilot phase and GEF-1 and subsequent phase projects is statistically significant at a 95 percent confidence level.
- (b) Some 30 percent of completed GEF-4 projects are rated as having unsatisfactory quality of M&E design and implementation—showing considerable scope for improvement.
- (c) For pilot phase projects implemented by UNDP, M&E design at entry was weak, but M&E was weaker during project implementation. For GEF-1 projects, however, even though the M&E design at entry ratings are low for a significant percentage of projects, the M&E weaknesses seem to have been rectified by UNDP during implementation, leading to an improved M&E implementation rating. A similar pattern of rectifying weaknesses in M&E design during implementation is seen in GEF-2 for UNEP-implemented projects.
- (d) Ratings on quality of M&E implementation are, on average, lower among completed multifocal area projects than for all other focal areas and have declined over time: 56 percent of GEF-2 projects ( $n=9$ ), 47 percent of GEF-3 projects ( $n=34$ ), and 38 percent of GEF-4 projects ( $n=16$ ) were rated in the satisfactory range. Reasons for the declining pattern in M&E implementation ratings among multifocal area projects are not yet understood.



**Conclusion 6:** *Lessons from terminal evaluations highlight weaknesses in project design, the most commonly cited of which were weaknesses in M&E design, overly ambitious project objectives, and weaknesses in intervention strategy.*

12. Lessons from terminal evaluations of 603 completed GEF projects were assessed to identify those meeting criteria for relevance and usefulness. In total, 594 lessons from 293 terminal evaluations met the criteria for inclusion; the lessons were then classified. Key findings of this study follow.

- (a) Only half of all terminal evaluations assessed had lessons meeting the study criteria for broad applicability and relevance.
- (b) Most lessons meeting the inclusion criteria highlighted perceived weaknesses in project design, of which—in order of frequency—weaknesses in M&E design, overly ambitious project objectives, and weaknesses in intervention strategy were the most commonly cited lesson types.
- (c) Multifocal area project evaluations were twice as likely as evaluations of single-focal projects to have lessons highlighting weaknesses in the design of the project’s M&E system.
- (d) Lessons noting overambitious project objectives concerned, in order of frequency, underestimation of time and effort required, unrealistic objectives given the scope of the project, and underestimation of financial costs. Notably, no appreciable difference was found between FSPs and MSPs in the percentage of terminal evaluations citing this issue.
- (e) The two most frequently cited strengths in project design were (1) including a strong role for stakeholder participation in design and/or implementation, which was seen as fostering ownership and a shared vision among project stakeholders; and (2) a flexible design that facilitated adaptive management.
- (f) Evaluations of projects implemented in SIDS were twice as likely to have lessons highlighting weaknesses in project management or oversight as evaluations of projects implemented in non-SIDS.

**Conclusion 7:** *The quality of terminal evaluations received by the IEO over the past eight years is high among all partner Agencies, with 86 percent rated in the satisfactory range for overall quality of reporting. GEF Agencies have to date been inconsistent in evaluating programmatic approaches.*

13. Six hundred and twenty-six terminal evaluations completed over the past eight years have been rated on quality of reporting. Key findings from this assessment follow.

- (a) Eighty-six percent of terminal evaluations received by the IEO over the past eight years have satisfactory ratings for overall quality of reporting. A small (~5 percent)

difference in the percentage of terminal evaluations with satisfactory overall quality ratings is observed when evaluations are sorted based on project size.

- (b) Two areas where reporting has remained relatively weak are reporting on project financials and the quality of M&E systems.
- (c) APR 2014 includes the results of a study examining findings on lessons contained in terminal evaluations of GEF projects. One finding is that around half of all terminal evaluations assessed ( $n=603$ ) did not contain lessons meeting the criteria used to identify lessons seen as having broad applicability among GEF partners.

14. To date, the GEF Agencies have been inconsistent in evaluating programmatic approaches. Agencies have submitted evaluations of child projects approved under a programmatic approach, but not of the overall programmatic approach itself; evaluated the programmatic approach but not completed child projects under the programmatic approach; and evaluated a subset of child projects approved under a programmatic approach. In addition, in one submitted evaluation covering 15 MSP child projects, it was not possible to discern individual project performance ratings on the individual MSPs using the information provided in the portfolio evaluation.

#### *Management Action Record*

15. The MAR 2014 tracked 22 GEF Council decisions, of which four were prescreened for detailed assessment through evaluations that are included in the IEO's four year work program. Of the remaining eighteen, six have been graduated due to high or substantial progress. Eight have been retired because action on these is linked to the GEF replenishment cycles, e.g. decisions related to improvements in the GEF-6 focal area strategies and National Portfolio Formulation Exercise for GEF-6. Four of the decisions continue to be relevant and will be reported on in future.

### **1.3 Issues for the Future**

- (a) This APR covers 918 completed projects that account for more than US \$ 4.0 billion in GEF grants. Substantial coverage of projects approved from Pilot Phase to GEF-3 period provides an opportunity to compare experiences across different replenishment periods and assess trends. Due to extended coverage of projects, tracking of some of these trends was possible for the first time. However, to ensure that the reported trends are meaningful there needs to be consistency in the rating approaches across agencies and also within the same agency over a period of time. The experience so far shows that when time period as long as 20 years are involved, it is natural for agencies to make adjustments to their approaches. For example, the Independent Evaluation Group of the World Bank has been using a more stringent approach in providing performance ratings now although the rating criteria has remained the same. For the GEF IEO the challenge will be to ensure that its reporting on performance facilitates inter temporal and interagency comparisons. The IEO will keep track of the reporting by agencies so that the portfolio performance assessments that it provides are realistic and meaningful. In addition, the IEO will work on

developing datasets that are not as sensitive to subtle changes in the rating approaches and may still provide a good basis for inter temporal and interagency comparisons.

- (b) GEF has experimented with programmatic approaches since its inception. In its April 2008 meeting the Council after discussing the Working Paper on ‘From Projects to Program: Clarifying the Programmatic Approach in the GEF Portfolio’<sup>3</sup> endorsed the objectives and basic principles for programmatic approaches and considered these approaches an option for providing GEF support. Several activities – i.e. child projects – undertaken as part of programmatic approaches are now complete. There is considerable inconsistency in the approaches being followed by the agencies to report on these activities. Given that the programmatic approaches are becoming increasingly important, more attention is required to develop a consistent approach.
- (c) The first terminal evaluation guidelines were issued by the GEF IEO in 2008. Given that it has been seven years since these guidelines were issued, there is a need to update these. At the same time, development of the terminal evaluation guidelines needs to take into account the minimum requirements specified by the GEF M&E policy. The GEF M&E policy is slated for an update for GEF-6. The IEO will revise the terminal evaluation guidelines once the new M&E policy is approved.

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<sup>3</sup> GEF/C.33/6

## 2. SCOPE AND METHODOLOGY

### 2.1 Scope

16. The Annual Performance Report (APR) of the GEF Evaluation Office provides a detailed overview of the performance of GEF projects and funding, as well as analysis of some key factors affecting performance. Much of the evidence presented in the report is based on the evidence provided in the terminal evaluations of 918 completed GEF projects.

17. APR 2014 includes the following:

- (a) **An overview of the extent to which GEF projects and funding are achieving desired outcomes (Chapter 3).** The assessment covers 909 completed projects for which ratings on overall project outcomes are available. Also presented here are ratings on the sustainability of project outcomes.
- (b) **Analysis of factors affecting project outcomes (Chapter 4).** Factors covered include quality of project implementation and execution, trends in the co-financing of GEF projects, and quality of M&E systems.
- (c) **Analysis of lessons from terminal evaluations of completed GEF projects (Chapter 5).** Lessons from 603 terminal evaluations – representing two thirds of the portfolio of completed projects covered in APR 2014 – were assessed to identify factors that affect project performance.
- (d) **Assessment of the quality of terminal evaluation reports submitted by the GEF agencies to the GEF Evaluation Office (Chapter 6).** Trends in the overall quality of reporting, as well as trends in reporting along individual performance dimensions are presented. Issues concerning reporting of projects implemented under the GEF Programmatic Approach are also discussed.
- (e) **Presentation of the Management Action Record (Chapter 7).** The Management Action Record (MAR) assesses the degree to which relevant GEF Council decisions based on GEF IEO recommendations have been adopted by GEF management.

### 2.2 Projects covered for the first time in APR 2014

18. Two hundred and sixty-seven projects, representing \$1.4 billion in GEF funding, are reported on for the first time in APR 2014. Newly reported projects include 156 projects that were completed in year 2005 or later, and 111 projects completed prior to 2005. The expansion in coverage of earlier year GEF projects is the product of ongoing GEF IEO review work, undertaken at the request of GEF stakeholders, to facilitate reporting by GEF replenishment phases, and support additional analytical work.

19. The majority of newly-reported projects completed in recent years (2005 and onward) consist of projects for which terminal evaluation reports have been submitted to the GEF IEO from the period January 1, 2013 to December 31, 2014, and the respective terminal evaluations have undergone a subsequent independent review, either by the GEF IEO or the independent

evaluation offices of UNDP, UNEP, or the World Bank IEG.<sup>4</sup> Table 1 presents an overview of the 267 projects covered for the first time in APR 2014, including 156 projects completed in year 2005 or later (what is termed the “APR 2014 cohort”), and 111 projects completed prior to 2005 (what is termed the “Pre-2005 APR Cohort”). Projects are characterized in terms of focal area and regional composition<sup>5</sup>, GEF agency representation, and GEF phase. A complete listing of the 267 projects covered for the first time in APR 2014 is found in Annex A.

Table 1. Composition of the Pre-2005 and 2014 APR cohorts, and all projects to date.

Criteria		Pre-2005 APR cohort			APR 2014 cohort			All Projects		
		Projects (#)	Funding (\$M)	Funding (%)	Projects (#)	Funding (\$M)	Funding (%)	Projects (#)	Funding (\$M)	Funding (%)
Focal area composition	Biodiversity	70	315.5	57%	58	269.3	34%	427	1,709.8	42%
	Chemicals <sup>†</sup>	5	10.2	2%	16	53.9	7%	44	200.5	5%
	Climate Change	24	128.9	23%	37	256.5	32%	224	1,112.8	27%
	International Waters	12	99.4	18%	20	115.3	14%	107	716.5	18%
	Land Degradation	-	-	-	12	50.3	6%	46	115.8	3%
	Multi Focal	-	-	-	15	58.4	7%	70	211.6	5%
Regional composition	Africa	31	146.5	26%	50	279.7	35%	222	1,034.4	25%
	Asia	23	195.4	35%	35	240.6	30%	213	1,103.6	27%
	Europe & Central Asia	15	69.7	13%	31	94.7	12%	193	684.7	17%
	Latin America and Caribbean	26	93.3	17%	29	145.8	18%	195	881.1	22%
	Global	13	49.0	9%	14	42.9	5%	95	363.2	9%
Lead GEF agency	UNDP	44	147.1	27%	65	232.6	29%	412	1,296.1	32%
	UNEP	15	26.1	5%	12	21.7	3%	120	318.7	8%
	World Bank Group	48	334.7	60%	59	467.9	58%	321	2,077.1	51%
	Other GEF Agency	-	-	-	10	36.8	5%	31	95.9	2%
	Joint Implementation	4	46.1	8%	10	44.9	6%	34	279.2	7%
GEF Phase	Pilot Phase	59	350.8	63%	-	-	-	72	451.7	11%
	GEF – 1	25	177.2	32%	8	70.4	9%	100	803.4	20%
	GEF – 2	27	26.0	5%	24	195.8	24%	278	1,292.3	32%
	GEF – 3	-	-	-	64	393.1	49%	327	1,259.5	31%
	GEF – 4	-	-	-	58	142.6	18%	137	256.5	6%
	GEF – 5	-	-	-	2	1.9	<1%	4	3.6	<1%
<b>Total number of projects and funding</b>		<b>111</b>	<b>554.0</b>	<b>-</b>	<b>156</b>	<b>803.8</b>	<b>-</b>	<b>918</b>	<b>4,067.0</b>	<b>-</b>

<sup>†</sup> Projects shown in the Chemicals focal area are those involving activities under the POPs focal area in support of the implementation of the Stockholm Conventions, and activities in the ozone layer depletion focal area to support implementation of the Montreal Protocol in eligible Countries with Economies in Transition. Prior to GEF-4, these projects were not grouped together in a single GEF focal area.

## 2.3 Coverage of GEF replenishment phases in APRs

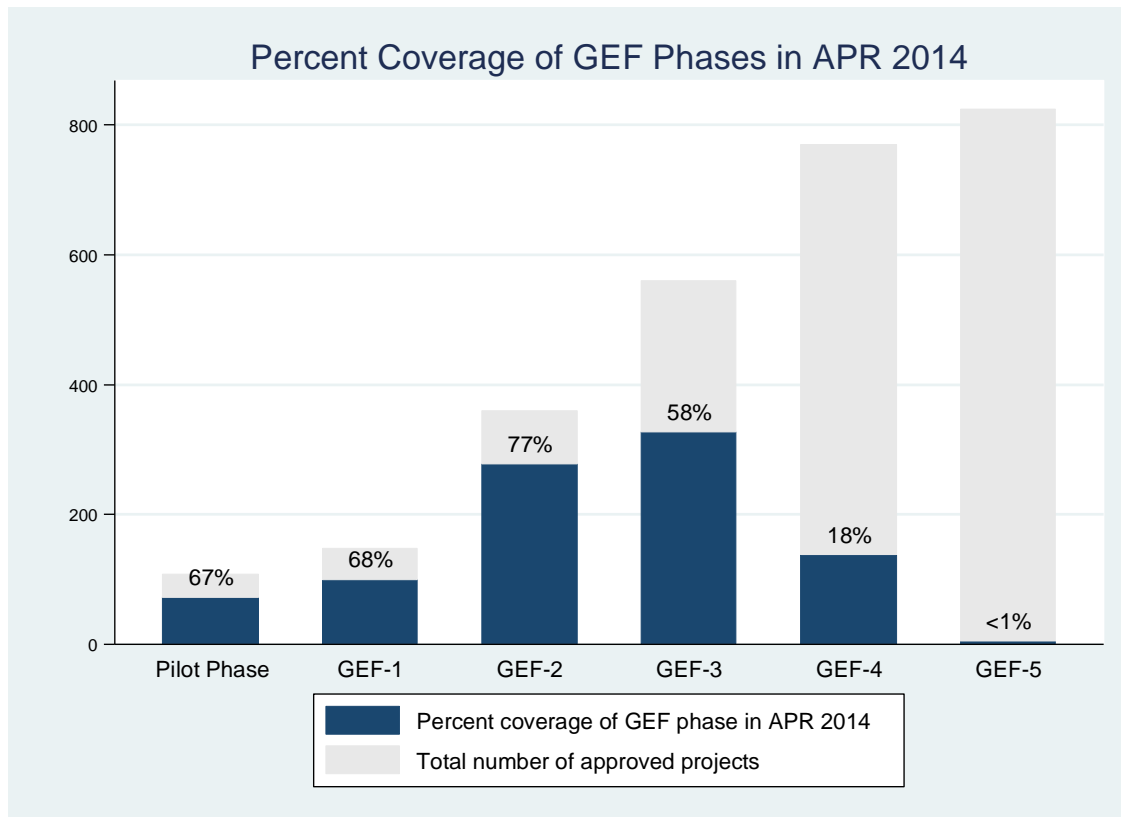
20. Coverage of GEF replenishment phases in GEF APRs – that is, the percentage of approved projects from each GEF replenishment phase that have been reviewed, and performance ratings included among those presented in the APR – is, to date, incomplete for all GEF phases for two principle reasons. First, for later phase projects (mainly GEF-3 and onwards), many projects are still under implementation or the project review process is not yet complete (see section 2.4 below). Second, a number of projects from early GEF phases – the

<sup>4</sup> Twelve terminal evaluations from completed IFC-implemented projects were also received by the GEF IEO during this period. These projects are not reported in APR 2014 as several of them appeared to be of poorer quality, and the GEF IEO wished to explore the possibility that their quality could be improved. GEF IEO discussion with the IFC showed that the reporting gap is primarily a result of IFC policies covering confidentiality of proprietary information. These terminal evaluations will now be reported on in APR 2015.

<sup>5</sup> For a description of GEF Regions used in this report, see Annex C.

Pilot phase and GEF-1 – were not included when the GEF IEO first began publishing APRs in 2004, as evaluation requirements for completed projects and systems to track submission of evaluations were not established until after the Pilot Phase of the GEF.<sup>6</sup> Many of these early projects are included in APR 2014 for the first time. The remainder will be included in subsequent APRs to the extent that evaluations from these projects are available. Figure 1 shows the percent coverage of GEF replenishment phases to date in APR 2014. The top of each grey bar indicates the total number of projects meeting the threshold for APR review (see section 2.4 below). As shown, coverage of GEF-2 is highest, at 77 percent, followed by around two thirds of all Pilot phase and GEF-1 projects, 58 percent of GEF-3 projects, and just 18 percent of GEF-4 projects. To date, only 4 projects from the GEF-5 phase are covered in APR 2014. Incomplete coverage, particularly of the GEF-3 and GEF-4 phases, cautions against drawing any early conclusions based on performance data from this phase cohorts.

Figure 1. Percentage of approved projects covered in GEF Annual Performance Reports to date, inclusive of the APR 2014 cohort. Excludes Enabling Activities <\$0.5M and SGP programme.



<sup>6</sup> Requirements that GEF implementing agencies prepare a terminal evaluation upon project completion were not established until 1995 (GEF Project Cycle (GEF.C.4/7) and Joint Summary of Chairs, May 3 to 5, 1995, Global Environment Facility), and the requirement did not apply to projects approved before 1995. Thus, terminal evaluations were not prepared for some early Pilot Phase projects. In addition, in cases where terminal evaluations had been prepared, many were not submitted to the GEF IEO as systems were not yet in place to track these submissions. As a consequence of these factors, there were gaps in the reporting coverage of the Pilot and GEF-1 phase projects. Beginning in FY 2014, the GEF IEO has been working in collaboration with GEF agencies to identify and locate terminal evaluations of completed GEF projects not yet covered in APRs, and many of these projects are now covered in this report.

## 2.4 Methodology

21. Reporting on project outcomes and sustainability, factors affecting outcomes, and quality of terminal evaluations – chapters 3, 4, and 6 – are based on analysis of the ratings and information provided in terminal evaluations that have been first reviewed by the GEF IEO and/or the evaluation offices of GEF Partner Agencies. GEF activities under the Small Grants Programme (SGP), as well as Enabling Activities<sup>7</sup> with GEF funding below \$0.5 million, are not required to submit terminal evaluations, and are not covered in this report. Among the 918 projects covered in APR 2014 are 4 Enabling Activities that have met the threshold for review. For analysis, these have been grouped with Full-Sized projects based on the size of associated GEF funding.

22. All of the terminal evaluations used for analysis and reporting in APRs are first reviewed to verify that ratings are properly substantiated, and where needed, to provide revised or additional ratings (such as for Quality of Terminal Evaluations). For earlier APR years, this oversight was performed entirely by the GEF IEO. Beginning in 2009, the GEF IEO began accepting ratings from the independent evaluation offices of the World Bank Group, UNEP, and subsequently UNDP. This approach, which reduces duplicative work, follows the GEF IEO finding that ratings from these three evaluation offices are largely consistent with those provided by the GEF IEO (GEF IEO 2009). The GEF IEO will consider accepting the ratings provided by the evaluation offices of the other GEF agencies when there is a sufficient record of ratings on which to compare consistency and when the ratings from the two offices are found to be consistent. If over the course of time significant inconsistencies emerge in the ratings provided by the GEF IEO and those from Agency Evaluation Offices whose ratings are currently accepted by the GEF IEO for publication, the GEF IEO may stop accepting these ratings until inconsistencies are addressed.

### *Ratings approach*

23. The principle dimensions of project performance on which ratings are first provided in terminal evaluations, and in subsequent GEF IEO or GEF Partner Agency evaluation office reviews of terminal evaluations, are described here in brief, and in full in Annex B:

- (a) **Project Outcomes** – projects are evaluated on the extent to which project objectives, as stated in the project’s design documents approved or endorsed by the GEF CEO<sup>8</sup>, were achieved or are expected to be achieved; the relevance of project results to GEF strategies and goals and country priorities; and the efficiency, including cost-effectiveness, with which project outcomes and impacts were achieved. A six-point rating, from Highly Satisfactory to Highly Unsatisfactory, is assigned.

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<sup>7</sup> GEF classifies projects based on the size of associated GEF grant; whether GEF funding supports country activities related to the conventions on biodiversity, climate change, and persistent organic pollutants; and implementation approach. These categories are Full-Sized Projects, Medium-Sized Projects, Enabling Activities, and Programmatic Approaches. For a complete description see: [www.thegef.org/gef/project\\_types](http://www.thegef.org/gef/project_types).

<sup>8</sup> All full-sized GEF projects require approval by GEF Council and Endorsement by GEF CEO prior to funding, while medium-sized projects require only GEF CEO’s approval to go forward.

- (b) **Sustainability of Project Outcomes** – projects are evaluated on the likelihood that project benefits will continue after project implementation. To arrive at an overall sustainability rating, project evaluators are asked to identify and assess key risks to sustainability of project benefits, including financial risks, sociopolitical risks, institutional/governance risks, and environmental risks. A four-point rating, from Likely to be sustained to Unlikely to be sustained, is assigned.
- (c) **Quality of Implementation and Quality of Execution** –Quality of Implementation primarily covers the quality of project design, as well as the quality of supervision and assistance provided by implementing agency(s) to executing agencies throughout project implementation. Quality of Execution primarily covers the effectiveness of the executing agency(s) in performing its roles and responsibilities. In both instances the focus is upon factors that are largely within the control of the respective implementing and executing agency(s). A six-point rating, from Highly Satisfactory to Highly Unsatisfactory, is assigned.
- (d) **Quality of Monitoring and Evaluation Systems (M&E)** – M&E facilitates adaptive management during project implementation, and assessment of project outcomes and impacts after project completion. The quality of project M&E systems is evaluated in two ways: (1) an assessment of the project’s M&E design, including whether indicators used are SMART<sup>9</sup>, whether relevant baselines are established, whether roles and responsibilities and a schedule for M&E activities are defined, and whether M&E processes are properly budgeted; and (2) the degree and quality of M&E during implementation, including its use in facilitating adaptive management. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned for Quality of M&E Design and Quality of M&E Implementation.
- (e) **Quality of Terminal Evaluation reports** –Terminal evaluations, which are the primary source of information on which project performance is assessed, are assessed for quality, consistency, coverage, quality of lessons and recommendations, and to determine the degree to which project ratings provided in terminal evaluations are properly substantiated. A six-point rating, from Highly Satisfactory to Highly Unsatisfactory is used to indicate the quality of terminal evaluations.

*Procedure for GEF IEO review of terminal evaluations*

24. When terminal evaluations are reviewed by the GEF IEO prior to inclusion in the APR, as well as for oversight purposes, the procedure is as follows. Using a set of detailed guidelines to ensure that uniform criteria are applied (see Annex B for these guidelines), Evaluation Office reviewers assess the degree to which project ratings provided in terminal evaluations are properly substantiated, and address the objectives and outcomes set forth in the project design documents approved by the GEF Council and/or GEF CEO. In the process of drafting a terminal evaluation review, a peer reviewer with substantial experience in assessing terminal evaluations

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<sup>9</sup> SMART indicators are Specific, Measurable, Achievable and Attributable, Relevant and Realistic, and Time-bound, Timely, Trackable and Targeted. See GEF Monitoring and Evaluation Policy 2010 for a complete description.



provides feedback on the report. This feedback is incorporated into subsequent versions of the report.

25. When a primary reviewer proposes downgrading of project outcome ratings from the satisfactory range to the unsatisfactory range, a senior evaluation officer in the GEF IEO also examines the review to ensure that the proposed rating is justified.

26. In cases where a terminal evaluation report provides insufficient information to make an assessment or to verify the report's ratings on any of the performance dimensions, the GEF IEO rates the project as "Unable to Assess," and excludes it from further analysis on the respective dimension.

27. Reviews are then shared with the GEF Partner Agencies and, after their feedback is taken into consideration, the reviews are finalized.

#### *Source of ratings reported in APR 2014*

28. As noted above, prior to FY 2009, the GEF IEO reviewed all terminal evaluations reported on in APRs, and verified ratings provided therein. Beginning FY 2009, the GEF IEO began accepting ratings from the independent evaluation offices of UNEP, the World Bank Group, and subsequently UNDP. Because the procedure used by GEF Partner Agencies for arriving at overall ratings in terminal evaluations is not always identical to that used by the GEF IEO, comparability between ratings from APR 2009 and later cohorts and earlier APR cohorts is of some concern.

29. The GEF IEO has been tracking the consistency between ratings provided by the evaluation offices of GEF Partner Agencies and ratings provided by the GEF IEO. This is accomplished through random sampling and GEF IEO review of a portion of terminal evaluations included in the APR for which ratings have been provided by the evaluation offices of GEF agencies. To date, ratings provided by Partner Agencies' evaluation offices are largely consistent with those provided by the GEF IEO. The GEF IEO will continue to track the consistency of ratings going forward.

30. For projects implemented by GEF Partner Agencies other than UNDP, UNEP, and the World Bank Group, the GEF IEO currently provides final project performance ratings. In addition, where ratings are not provided by the independent evaluation offices of UNDP, UNEP and the World Bank Group, the GEF IEO provides final ratings. Examples of these projects include all projects under joint implementation; medium-sized projects implemented by the World Bank Group, for which the World Bank's Independent Evaluation Group does not provide review; and projects where independent review of terminal evaluations is not prepared within two years of terminal evaluation completion.

31. For projects in the APR 2014 cohorts, table 2 lists the source of terminal evaluation review ratings used for analysis and reporting in APR 2014. The GEF IEO is the source of ratings for all projects in the Pre-2005 APR cohort that are reported for the first time in APR 2014, to ensure consistency of ratings approach among earlier-year projects.

Table 2. Source of terminal evaluation review ratings for projects in APR 2014 cohort.

Source of ratings	Projects	Total
UNDP Evaluation Office		54
UNEP Evaluation Office		11
World Bank IEG		49
GEF IEO	1 ADB project	42
	2 FAO projects	
	1 IDB project	
	4 IFAD projects	
	14 UNDP projects	
	1 UNEP project	
	2 UNIDO projects	
	10 World Bank projects	
	7 joint implementation projects	
<b>Total</b>		<b>156</b>

### *Materialization of Co-financing*

32. The reporting in section 4.2 on co-financing and materialization of co-financing is based on information in project design documents, as well as information provided by implementing agencies on completed projects both through terminal evaluation reports and other project reports. Information on actual (realized) co-financing is available for 782 of the 918 completed project reported on in APR 2014.

### *Management Action Record*

33. At the request of the GEF Council, the GEF IEO tracks the level of adoption by the relevant actors within the GEF partnership (here referred to broadly as GEF Management) of GEF Council decisions that have been made on the basis of GEF IEO recommendations. The “Management Action Record” (MAR) is updated annually, and reported in the APR. The procedure for compiling the MAR is as follows: the GEF IEO produces a working document containing all of the relevant GEF Council decisions being tracked for the current MAR. This includes all Council decisions from the prior year MAR that continue to be tracked because they continue to be relevant and the level of adoption is not yet sufficient to warrant graduation. Decisions are graduated from the MAR when a high level of adoption has been achieved, or the decision is no longer relevant and/ or subsequent Council decisions have made it difficult to adopt its earlier decision. For decisions that continue to be tracked, a full record of prior GEF management action and ratings as well as GEF IEO ratings is provided in the working document. In addition, the working document includes all relevant Council decisions that have been adopted at the GEF Council meetings in the preceding calendar year.

34. The GEF Management provides self-assessment and ratings on the level of adoption of each tracked Council decision. After Management completes its self-assessment and ratings on the level of adoption of tracked Council decisions the GEF IEO provides its own assessment and ratings on adoption. The completed MAR is then published and reported in the APR.

### *Review of Findings*

35. This report has been finalized based on the feedback received from stakeholders. The preliminary findings presented in this report were presented to and discussed with the GEF Secretariat and GEF Partner Agencies during an interagency meeting held in Washington, DC, on April 16, 2015. The draft report was then shared with the stakeholders and their feedback has been taken into account in finalizing the report.

### 3. OUTCOMES AND SUSTAINABILITY OF OUTCOMES

36. This chapter presents verified ratings on Outcomes for completed GEF projects. Of the 156 newly reported projects in the APR 2014 cohort, outcome ratings are available on 154 projects, representing \$795.7 million in GEF funding. To date, the GEF IEO has provided or adopted outcome ratings on 909 projects, which account for \$4,052 million in GEF funding. Also presented in this chapter are ratings on the Sustainability of outcomes.

#### 3.1 Ratings Scale on Outcomes and Sustainability

37. As described in chapter 2, project outcomes are rated based on the extent to which project objectives were achieved; the relevance of project results to GEF strategies and goals and country priorities; and the efficiency with which project outcomes were achieved. A six-point rating scale is used to assess overall Outcomes, with the following categories:

- (a) **Highly satisfactory.** The project had no shortcomings.
- (b) **Satisfactory.** The project had minor shortcomings.
- (c) **Moderately satisfactory.** The project had moderate shortcomings.
- (d) **Moderately unsatisfactory.** The project had significant shortcomings.
- (e) **Unsatisfactory.** The project had major shortcomings.
- (f) **Highly unsatisfactory.** The project had severe shortcomings.
- (g) **Unable to assess.** Unable to provide an overall outcome rating.

38. For sustainability of project outcomes, and overall assessment on the likelihood of project benefits continuing after project closure is made. A four-point rating scale is used to assess overall likelihood of sustainability, with the following categories:

- (a) **Likely.** There are no risks to the sustainability of project outcomes.
- (b) **Moderately likely.** There are moderate risks to the sustainability of project outcomes.
- (c) **Moderately unlikely.** There are significant risks to the sustainability of project outcomes.
- (d) **Unlikely.** There are severe risks to the sustainability of project outcomes.

#### *Methodological note*

39. It is not uncommon for the results frameworks of projects to be modified during project implementation. This, however, presents a challenge to project evaluation in that assessing project outcomes based on original outcome expectations may discourage adaptive management. To address this concern, for projects where modifications were made in project objectives, outcomes, and outputs without a down-scaling of the project's overall scope, the GEF IEO

assesses outcome achievements based on the revised results framework. In instances where the scope of project objectives, outcomes, and outputs were downscaled, the original outcomes and/or objectives of the project are used to measure project performance.

### 3.2 Outcomes

40. Table 3 presents overall outcome ratings among rated projects in the APR 2014 cohort (n=154), and for all other completed projects (n=755). As shown, the percentage of projects and the percentage of funding in projects with outcome ratings in the satisfactory range<sup>10</sup> is relatively unchanged at the portfolio level between projects in the most recent APR year cohort and all other projects. When considering all completed and rated projects to date (n=909), 81 percent of projects and 79 percent of GEF funding is in projects with overall outcome ratings in the satisfactory range – in line with the overall GEF-5 replenishment target of 80 percent of completed projects receiving satisfactory outcome ratings and above the GEF-4 target of 75 percent of completed projects.<sup>11</sup>

Table 3. Percentage of projects and percentage of GEF funding in projects with different overall Outcome ratings, for the APR 2014 cohort and all other completed projects.

Outcome Rating/Criteria	Projects		Funding	
	APR 2014 cohort	All other projects	APR 2014 cohort	All other projects
<b>Highly Satisfactory</b>	2%	4%	2%	4%
<b>Satisfactory</b>	35%	41%	37%	38%
<b>Moderately Satisfactory</b>	42%	36%	43%	37%
<b>% of projects, or % of funding in projects, with Outcomes rated MS or higher</b>	79%	82%	81%	78%
<b>Moderately Unsatisfactory</b>	16%	13%	15%	17%
<b>Unsatisfactory</b>	4%	5%	3%	5%
<b>Highly Unsatisfactory</b>	1%	<1%	1%	1%
<b># of rated projects or funding in rated projects</b>	154	755	\$795.7M	\$3,256.4M

Note – numbers may not sum to 100% due to rounding.

41. Figure 2 and Table 4 show overall outcome ratings by GEF replenishment phase. While coverage of all GEF phases, particularly GEF-4, is incomplete, results to date show a pronounced rise in outcome ratings at the portfolio level from the Pilot phase through GEF-4. Differences in outcome ratings among completed projects from different GEF replenishment phases are most pronounced when comparing projects from the Pilot Phase of the GEF with those of other GEF phases. Seventy-three percent of rated projects from the Pilot phase (n=70) have satisfactory overall outcome ratings, compared with 82 percent of non-Pilot phase projects (n=839). This difference is significant at a 90% confidence level. Analysis of factors associated with outcome ratings, including quality of implementation, quality of M&E systems, and level of co-financing, suggest that the improvements in overall outcome ratings from the Pilot Phase to the present day may be linked to improvements and changes in these associated factors. They

<sup>10</sup> In accordance with standard reporting practices of the international development community, projects with outcome ratings of moderately satisfactory or higher are here referred to as having satisfactory outcome ratings.

<sup>11</sup> GEF 2010. GEF-5 Programming Document, Sixth Meeting for the Fifth Replenishment of the GEF Trust Fund. Page 90. GEF/R.5/31/CRP.1. GEF 2006. Summary of Negotiations on the Fourth Replenishment of the GEF Trust Fund. Page 12.

may also be linked to factors not fully captured in other performance ratings, such as changes in the quality of project design, shift in priorities addressed and change in the operational context.

Figure 2. Outcome ratings on GEF projects and funding by GEF replenishment phase.

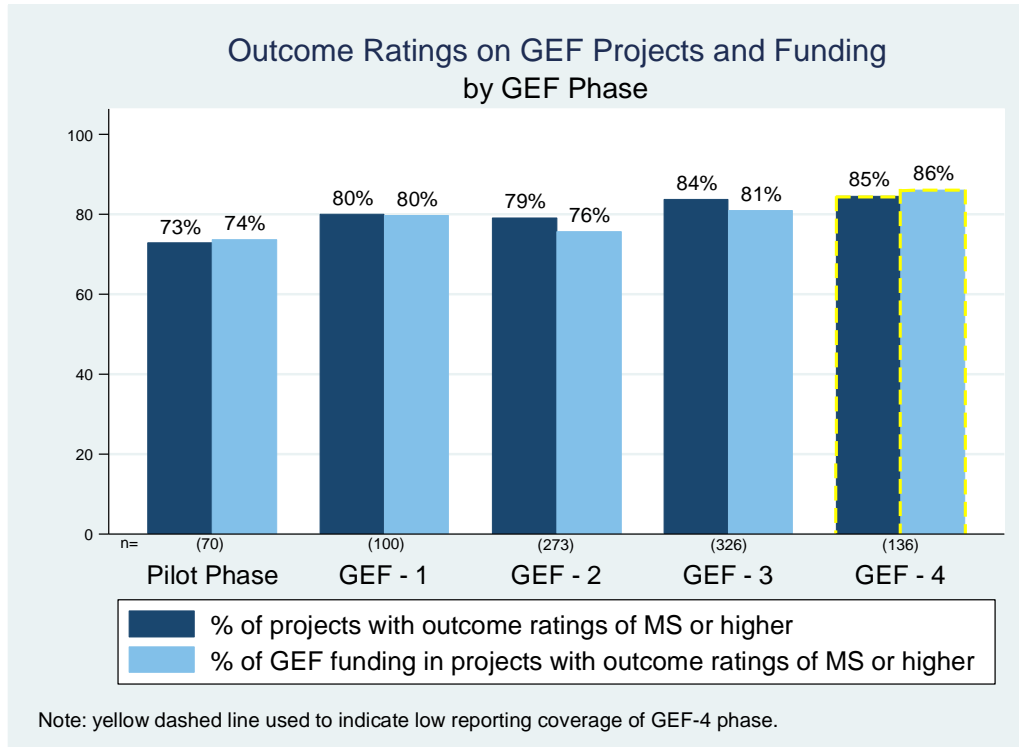


Table 4. Outcome ratings on GEF projects and funding by GEF replenishment phase.

Criteria	GEF Replenishment Phase					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases*
Percentage of projects with outcome ratings of MS or higher	73%	80%	79%	84%	85%	81%
Number of rated projects	70	100	273	326	136	909
Percentage of GEF funding in projects with outcome ratings of MS or higher	74%	80%	76%	81%	86%	79%
GEF funding in rated projects (\$M)	449.0	803.1	1,288.2	1,252.3	255.6	4,052.1

\*Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase. Coverage of GEF phases to date is incomplete and as follows: Pilot Phase (67%); GEF-1 (68%); GEF-2 (77%); GEF-3 (58%); GEF-4 (18%).

42. For a look at how outcome ratings have shifted among projects implemented by different GEF Partner Agencies, table 5 shows outcome ratings on completed projects by Agency and GEF replenishment phase. Because the number of completed and rated projects is limited for some Partner Agencies when sorting by GEF replenishment phase, figure 3 compares ratings from GEF-1 and GEF-2 phases with those from GEF-3 and GEF-4 phases. Overall,

improvements in outcome ratings over replenishment phases are seen in ratings from UNDP, especially so from Pilot Phase to GEF-1 period. For other agencies trends are not as clear.

43. Outcome ratings on GEF projects implemented by the World Bank declined in GEF-3 compared with previous periods, from 80 percent of Pilot through GEF-2 projects (n=205) rated in the satisfactory range to 71 percent of GEF-3 projects (n=94), with the difference significant at a 90 percent confidence level (table 5). Ratings on completed GEF-4 World Bank projects, of which there are only 18 to date, have increased from the GEF-3 period, with 83 percent of completed projects in the satisfactory range. The overall decline in outcome ratings of GEF-3 World Bank projects was highlighted in APR 2013, along with possible explanations. A 2014 World Bank IEG review that examined the World Bank Group's partnership with the GEF identified a number of issues that could plausibly be linked to project performance, including fees for project administration that are "felt to be at unsustainably low levels by the World Bank and other Agencies," and weak and inconsistent information systems across the partnership (IEG 2014). However, as the evidence above indicates, the projects with on-average lower ratings were approved in GEF-3. Therefore, reduction of Agency fee, as suggested in the IEG's evaluation, should not have been relevant as the decline in fee started from GEF-4 onwards.<sup>12</sup> Moreover, weak and inconsistent information systems across the partnership may be a reason for low performance, but this does not explain a decline in ratings exclusive to GEF projects implemented by the World Bank, unless a case is made that information systems have become both increasingly weaker and more inconsistent across the partnership.

44. Another possibility that continues to be examined by the GEF IEO is whether a change in the application of ratings criteria by the IEG might be responsible in part for the decline in ratings of WB GEF projects. A large gap is seen in the ratings from terminal evaluations (termed Implementation Completion Reports (ICRs) by the World Bank) and the ratings from IEG review of ICRs that are used for reporting in APRs. In some review years, the difference in the percentage of projects rated in the satisfactory range is greater than 25 percent. The difference in ratings is particularly large for projects completed in more recent years, suggesting that some change in the stringency with which IEG is applying ratings criteria to the review of ICR ratings may be contributing to the decline in overall outcome ratings on WB GEF projects.

45. In its communication with the GEF IEO, IEG confirmed that it has become more stringent over time in the application of ratings criteria. However, the IEG notes that other non-GEF environment related projects, along with all World Bank projects approved during the same time periods (except for those approved FY2004-2007), have not experienced similar declines in ratings, suggesting that other factors may also be at play. The GEF IEO will continue to monitor this issue going forward, and, if needed, develop methodologies to ensure that ratings on GEF projects from different time periods and implemented by different GEF Agencies are presented in a way that enables cross comparison.

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<sup>12</sup> See APR 2009 on GEF approach to Agency Fees.

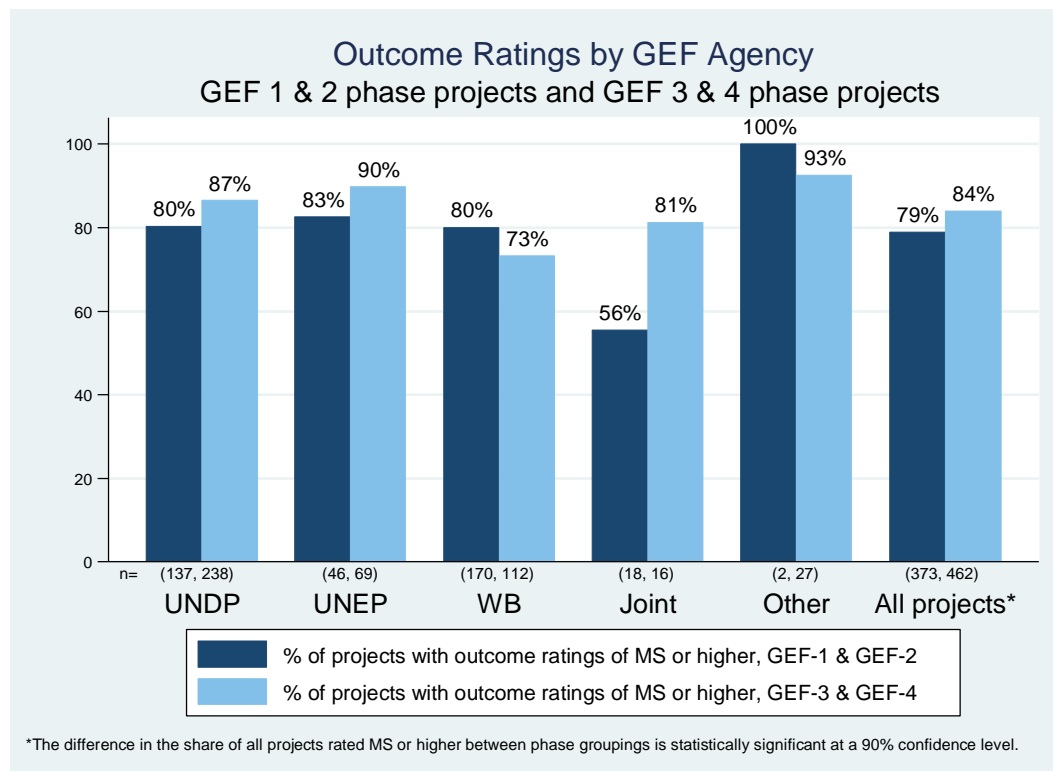
Table 5. Outcome ratings on GEF projects, by lead implementing agency and GEF replenishment phase (number of observations in parentheses).

Agency	Percentage of Projects with Satisfactory Outcomes					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases†
UNDP	64% (33)	75% (40)	82% (97)	86% (152)	87% (86)	83% (408)
UNEP	100% (2)	100% (6)	80% (40)	94% (53)	75% (16)	87% (119)
World Bank	80% (35)	83% (46)	79% (124)	71%** (94)	83% (18)	78%** (317)
Joint Implementation	-	75% (8)	40% (10)	85% (13)	67% (3)	68%** (34)
Other Agencies	-	-	100% (2)	100% (14)	85% (13)	94% (31)
All projects	73% (70)	80% (100)	79% (124)	84% (326)	85% (136)	81% (909)

†Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

\*\* The difference in the share of projects with satisfactory outcome ratings from within and outside of this grouping is statistically significant at a 95% confidence level (ex. the share of WB GEF-3 projects vs non-WB GEF-3 projects).

Figure 3. Outcome ratings on GEF projects, by lead implementing agency and GEF phase groupings.



46. Another finding that stands out when assessing outcome ratings by GEF Partner Agency is the on-average lower ratings among jointly-implemented projects, with just 68 percent all completed projects (n=34) rated satisfactorily compared with 82 percent of single-agency



implemented projects (n=875). This difference is significant at a 95 percent confidence level. While the reasons for lower on-average performance of jointly-implemented projects are not yet well understood, a study on lessons from terminal evaluations presented in chapter 5 of this report found that evaluations of jointly-implemented projects were more likely than those of non-jointly implemented projects to have lessons highlighting unclear roles among partners, poor project management, and overambitious objectives – suggesting that weaknesses in factors associated with performance may have played a role in the degree to which these projects were able to achieve their overall objectives. None of these differences were statistically significant at 90 percent confidence level however. Table 6 presents overall outcome ratings on completed GEF-1 through GEF-4 projects, by various groupings. Two trends identified in earlier APRs – the tendency for projects implemented in African states as well as those implemented in Small Island Developing States (SIDS) to have lower outcome ratings compared to projects implemented in other states – continue to the present day. This underscores both the challenges of implementing projects in these countries, and the similarities in preconditions for success between GEF and other non-GEF development projects. Chapter 4, examining key factors affecting project performance, contrasts performance ratings in African and SIDS states with other regions and states to provide a fuller picture of the operating environment that may underlie overall outcome ratings of these projects.

Table 6. Overall outcome ratings for completed GEF-1 through GEF-4 projects, by alternate groupings.

Criteria	GEF-1 & GEF-2		GEF-3 & GEF-4		GEF-1 through GEF-4		
	# of rated projects	% of projects with outcomes rated ≥MS	# of rated projects	% of projects with outcomes rated ≥MS	# of rated projects	% of projects with outcomes rated ≥ MS	
Focal area	Biodiversity	195	82%	183	88%	378	85%
	Chemicals	16	75%	27	81%	43	79%
	Climate Change	101	78%	101	86%	202	82%
	International Waters	45	76%	54	74%*	99	75%*
	Land Degradation	-	-	46	78%	46	78%
	Multi Focal	16	75%	51	82%	67	81%
	LCDF and SCCF projects	-	-	13	92%	13	92%
Region	Africa	87	74%	108	78%**	195	76%**
	Asia	91	84%	101	85%	192	84%
	Europe and Central Asia	68	76%	116	88%	184	84%
	Latin America and the Caribbean	94	82%	82	85%	176	84%
	Global	33	82%	55	84%	88	83%
Country characteristics <sup>a</sup>	Fragile state	50	72%	58	79%	108	76%*
	SIDS	26	73%	34	65%**	60	68%**
	LDC	77	77%	99	81%	176	79%
	Landlocked	72	76%	126	87%	198	83%
Size <sup>b</sup>	Full-sized project	243	78%	237	84%	480	81%
	Medium-sized project	130	82%	225	84%	355	84%
Scope	National	278	79%	321	83%	599	81%
	Regional	62	77%	86	87%	148	83%
	Global	33	82%	55	84%	88	83%
Executing agency	Government or parastatal agency	214	82%	268	82%	482	82%
	NGO or foundation	76	79%	86	92%	162	86%
	Bilateral or multilateral agency	74	74%	98	84%	172	80%
	Other, including private sector organizations	9	67%	10	80%	19	74%
<b>All projects</b>	<b>373</b>	<b>79%</b>	<b>462</b>	<b>84%</b>	<b>835</b>	<b>82%</b>	

<sup>a</sup> For regional and global projects, country characteristic groupings include projects in which at least one participating country with on-the ground implementation activities is a member of the relevant grouping.

<sup>b</sup> The full-sized project class includes 4 Enabling Activities based on size of GEF grant.

\* The difference in the share of projects with satisfactory outcome ratings from within and outside of this grouping is significant at a 90 percent confidence level (ex. the share of GEF-3 & GEF-4 IW projects vs non-IW GEF-3 & GEF-4 projects).

\*\* The difference in the share of projects with satisfactory outcome ratings from within and outside of this grouping is statistically significant at a 95% confidence level (ex. the share of GEF-3 & GEF-4 projects implemented in Africa vs non-African GEF-3 & GEF-4 projects).

### 3.3 Sustainability

47. The sustainability of project outcomes following project completion is an important element of project success for two principle reasons: (1) it provides an indication of the degree to which GEF project interventions have been successful in bringing about any lasting change to the systems, institutions, or networks upon which the project is focused, and (2) the sustainability of project outcomes is very often a prerequisite for the achievement of desired impacts which can be expected to manifest over time periods longer than the project implementation period.<sup>13</sup> Given the scale of global environmental challenges and the relative scarcity of GEF funding, designing and implementing projects such that project outcomes are sustainable has been, and continues to be, an essential goal for the GEF.<sup>14</sup>

48. Note that Sustainability ratings are forward looking, predictive assessments of the likelihood that project outcomes will be sustained, based on evaluators' assessments of risks to sustainability. As these assessments are made at the point of project completion, they should not be mistaken for measurements of sustainability itself.

49. Table 7 presents sustainability ratings among rated projects in the APR 2014 cohort (n=146) and for all other completed projects (n=731). As shown, the percentage of projects and the percentage of funding in projects with sustainability ratings of moderately likely or higher is relatively unchanged at the portfolio level between the APR 2014 cohort and all other projects. When considering all completed and rated projects to date (n=877), 60 percent of projects and 61 percent of funding is in projects with sustainability ratings of moderately likely or higher. By the same token, over a third of all completed GEF projects have sustainability ratings of moderately unlikely or below.

Table 7. Percentage of projects and percentage of GEF funding in projects with different Sustainability ratings, for the APR 2014 cohort and all other completed projects.

Outcome Rating/Criteria	Projects		Funding	
	APR 2014 cohort	All other projects	APR 2014 cohort	All other projects
<b>Likely</b>	15%	15%	15%	17%
<b>Moderately Likely</b>	48%	44%	46%	44%
<b>% of projects, or % of funding in projects, with Sustainability rated ML or higher</b>	63%	60%	62%	60%
<b>Moderately Unlikely</b>	31%	30%	34%	30%
<b>Unlikely</b>	6%	10%	4%	10%
<b># of rated projects or funding in rated projects</b>	146	731	\$769.7M	\$3,130.2M

Note – numbers may not sum to 100% due to rounding.

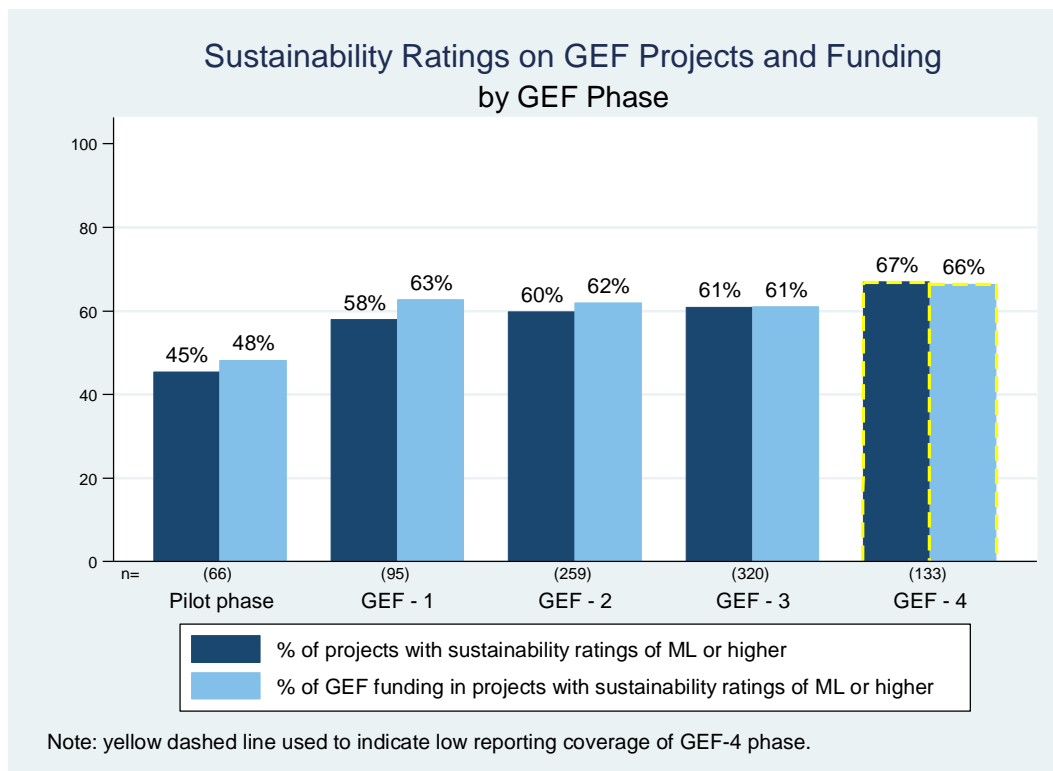
50. Substantial shifts in sustainability ratings are found when grouping projects by GEF replenishment phase, as shown in figure 4. Similar to the rise in overall outcome ratings, a pronounced rise in the percentage of projects with sustainability ratings of moderately likely or above is seen moving from the Pilot Phase to GEF-4, with sustainability ratings on Pilot phase

<sup>13</sup> GEF EO 2009. *The ROTI Handbook: Towards Enhancing the Impacts of Environmental Projects*. OPS4 Methodological Paper #2.

<sup>14</sup> GEF 2011. *Instrument for the Establishment of the Restructured Global Environment Facility*.

projects significantly lower than those of other phase projects. Forty-five percent of rated projects from the Pilot phase (n=66) have sustainability ratings of moderately likely or above, compared with 61 percent of non-pilot phase projects (n=811). This difference is statistically significant at a 95 percent confidence level. This suggests that projects from the Pilot Phase of the GEF did not include provisions supporting sustainability of project outcomes to the degree found in subsequent GEF phase projects. At present, this is an area for further study, as there may be other factors distinguishing Pilot and non-pilot phase projects and that are linked to sustainability, including the type of environmental concerns addressed and operating context.

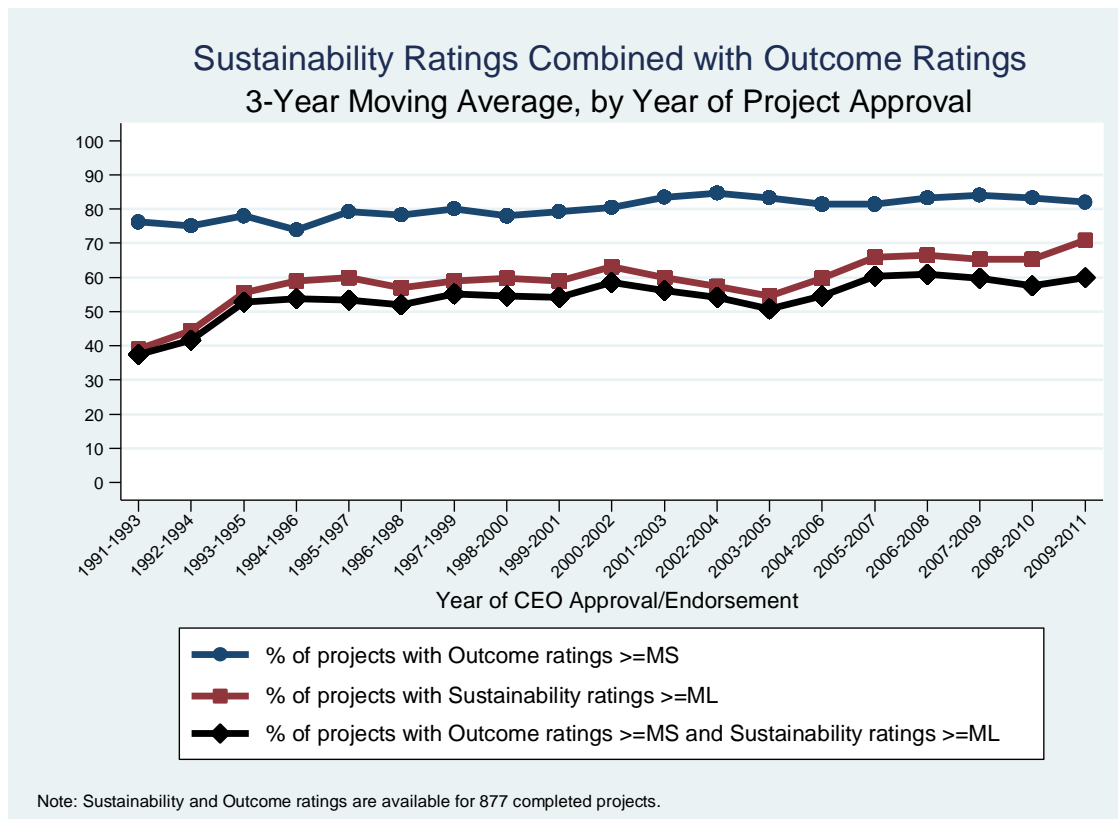
Figure 4. Percentage of projects and GEF funding in projects with sustainability ratings of moderately likely or above, by GEF replenishment phase.



51. Among completed GEF projects, satisfactory Sustainability ratings (moderately likely or above) are highly correlated with satisfactory Outcome ratings – that is, projects with satisfactory Sustainability ratings are more likely than not to have satisfactory Outcome ratings as well.<sup>15</sup> This is illustrated in figure 5, which shows a three-year moving average of outcome ratings, sustainability ratings, and sustainability ratings combined with outcome ratings, by year of GEF CEO project approval or endorsement. When sustainability ratings are combined with outcomes, the resulting trend line is only slightly below the Sustainability trend line, which would not be the case if outcome and sustainability ratings were largely uncorrelated.

<sup>15</sup> Chi-square ( $X^2$ ) statistic = 100.5, Pr = 0.000.

Figure 5. Sustainability ratings and Sustainability ratings combined with Outcome ratings on GEF projects and funding, 3-year moving average, by year of GEF CEO Approval or Endorsement.



52. Differences in sustainability ratings are also apparent when projects are grouped according to GEF focal area. As shown in table 8, among all completed projects, climate and chemical focal area projects tend to have higher sustainability ratings than land degradation, multi-focal, and biodiversity projects. Differences are statistically significant when comparing Climate change with non-Climature change projects, and Biodiversity with non-Biodiversity projects, as indicated. Other differences in sustainability ratings between focal area groupings are not statistically significant.

53. While the number of completed projects limits the degree to which sustainability can be assessed by focal area strategy, among completed climate change projects, projects focused on energy efficiency have on average higher sustainability ratings than projects focused on renewable energy. Among all completed projects, 68 percent (n=66) of projects focused on energy efficiency have sustainability ratings of moderately likely or higher, compared to 59 percent (n=82) of projects focused on renewable energy, although differences are not statistically significant. This finding may be reflective of the differing levels of technological maturity, market size, and economic viability associated with renewable and energy efficiency approaches supported by GEF funding.

Table 8. Sustainability ratings on completed GEF projects, by GEF focal area and replenishment phase (number of observations in parentheses).

GEF Focal Area	Percentage of Projects with Satisfactory Sustainability Ratings					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases <sup>††</sup>
<b>Biodiversity</b>	46% (41)	53% (53)	56% (131)	57% (132)	70% (46)	56%** (404)
<b>Chemicals<sup>†</sup></b>	-	80% (5)	64% (11)	45% (11)	80% (15)	65% (43)
<b>Climate Change</b>	41% (17)	65% (26)	67% (70)	68% (73)	75% (28)	67%** (215)
<b>International Waters</b>	50% (8)	60% (10)	64% (33)	69% (32)	67% (21)	64% (104)
<b>Land Degradation</b>	-	-	-	55% (38)	43% (7)	53% (45)
<b>Multi-Focal</b>	-	0% (1)	50% (14)	65% (34)	44% (16)	56% (66)
<b>All projects</b>	45% (66)	58% (95)	60% (259)	61% (320)	67% (133)	60% (877)

<sup>†</sup> Projects shown in the Chemicals focal area are those involving activities under the POPs focal area in support of the implementation of the Stockholm Conventions, and activities in the ozone layer depletion focal area to support implementation of the Montreal Protocol in eligible Countries with Economies in Transition. Prior to GEF-4, these projects were not grouped together in single GEF focal area.

<sup>††</sup> Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

\*\* The difference in the share of projects with Sustainability ratings of ML or higher from within and outside of this grouping is statistically significant at a 95% confidence level (ex. the share of all completed Climate Change projects vs all completed non-Climate Change projects).

### 3.4 Outcome and sustainability ratings of completed SCCF and LDCF projects

54. Since APR 2013, GEF Annual Performance Reports have included coverage of completed projects funded from the LDCF and SCCF trust funds. The GEF IEO also provides more detailed coverage of the LDCF/SCCF portfolio in the LDCF/SCCF Annual Evaluation Report, first published in 2014.<sup>16</sup>

55. For APR 2014, the GEF IEO received terminal evaluations of 5 completed LDCF projects and 3 completed SCCF projects. These projects account for \$13.3 million in LDCF funding and \$6.8 million in SCCF funding. To date, the portfolio of completed projects covered in APR 2014 includes 13 completed LDCF and SCCF projects. Given the small number of completed projects to date, these projects are not representative of the full range of objectives and approaches of the two funds.

56. Table 9 provides summary information and outcome and sustainability ratings for the eight recently completed LDCF/SCCF projects contained in the APR 2014 cohort. Four national projects focused on freshwater availability and management linked to agriculture and/or food security. Three national projects focused on the adaptive capacity of vulnerable communities targeting the agro-pastoral sector, the agro-forest-pastoral sector, and coastal communities. Coastal communities were also the target population of one project (GEF ID 3358), with the main focus being on the provision of climate risk and early warning information towards the agriculture and health sectors.

57. All of the eight completed projects had outcome ratings in the satisfactory range; with four rated as moderately satisfactory and the other four rated satisfactory. One theme common to

<sup>16</sup> GEF IEO 2014. LDCF/SCCF Annual Evaluation Report 2013. GEF/LDCF.SCCF.16/ME/02.

all projects is a focus on climate information, knowledge and awareness, either through capacity development activities, demonstration or pilot sites, small grants for demonstration activities, and/or the strengthening of systems involved in climate information provision.

58. In terms of sustainability of project outcomes, seven of the eight completed projects received ratings in the likely range - six are rated moderately likely and one is rated as likely. Risks to project sustainability are diverse, but often link to concerns over financial and environmental sustainability. Financial sustainability at times depends on external market factors that are beyond the projects' scope and sphere of influence, impacting the operation, maintenance and reproducibility of (demonstration) activities. Environmental sustainability is a concern given that adaptive capacity of stakeholders and systems remains low despite the intervention. The Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso project (GEF ID 3684) has a sustainability rating of moderately unlikely given concerns over continued financial support for continuation of project achievements.

59. All of the LDCF projects have clear linkages with and are inspired by their respective country's National Adaptation Plan of Action (NAPA), either through identified key adaptation needs, project priority areas, or sectors most at risk as identified in the countries' NAPA documents.

Table 9. Outcome and Sustainability ratings of recently completed SCCF and LDCF projects.

GEF ID	Fund	Agency	Project Title	Country	GEF Funding (M\$)	Outcome rating <sup>†</sup>	Sustainability rating <sup>††</sup>
3155	SCCF	UNDP	Coping with Drought and Climate Change	Mozambique	0.96	MS	ML
3265	SCCF	World Bank	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	People's Republic of China	5	S	L
3299	SCCF	UNDP	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	0.87	MS	ML
3319	LDCF	UNDP	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	Niger	3.5	S	ML
3358	LDCF	UNDP	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa (ICCRAHS) Project	Samoa	2	MS	ML
3404	LDCF	UNDP	Promoting Climate Resilient Water Management and Agriculture Practice in Rural Cambodia	Cambodia	1.8	S	ML
3581	LDCF	UNDP	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cabo Verde	Cabo Verde	3	MS	ML
3684	LDCF	UNDP	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	Burkina Faso	2.9	S	MU

<sup>†</sup> GEF/UNDP/World Bank six-point rating scale: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

<sup>††</sup> GEF/UNDP/World Bank four-point rating scale: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).

#### 4. FACTORS AFFECTING ATTAINMENT OF PROJECT RESULTS

60. Attainment of project results is affected by many factors, from project design and quality of project implementation and execution, to the operational context in which projects take place, to exogenous factors beyond the control of project management. Given the range and complexity of these factors and their interactions, it is difficult to isolate variables and determine their specific effects on project outcomes at a given point in time. At the same time, associations between factors and project outcomes are found within the current set of project ratings for completed GEF projects.

61. This chapter reports on four factors that may be expected to link with project outcomes: quality of project Implementation, quality of project execution, extent and realization of promised co-financing, and quality of project monitoring and evaluation systems. While other factors can, and likely do, affect attainment of project results, such as projects' operational context or strategic approach, they are not covered in performance ratings presented in the APR.

##### 4.1 Quality of Implementation

62. As noted in chapter two, quality of implementation covers the quality of project design, as well as the quality of supervision and assistance provided by GEF Implementing Agency(s) to executing agency(s) throughout project implementation. To date, 726 completed projects have been rated on Quality of Implementation. Ratings on projects for the Pilot (n=54) and GEF-1 (n=46) phases are limited in numbers, however, as shown in table 10, the same general trend of higher outcome and sustainability ratings found in later GEF phases is present in Quality of Implementation ratings.

Table 10. Quality of Implementation ratings on GEF projects, by GEF replenishment phase.

Criteria	GEF Replenishment Phase					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases*
Number of rated projects	54	46	177	314	131	726
Percentage of projects with quality of Implementation ratings of MS or higher	52%	74%	76%	80%	87%	78%

\*Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

63. Table 11 shows Quality of Implementation ratings by GEF Agency and replenishment phase. The implementation rating for UNDP show a dramatic improvement from Pilot Phase to GEF-1, after which the ratings show a steady improvement. The World Bank ratings do not show as dramatic shifts but there are variations from one replenishment period to the other. From GEF-2 to GEF-3 they show a decrease in rating. The World Bank ratings improve for the projects approved during GEF-4, the coverage and observations for this period is limited at this point. For UNEP, substantial number of observations are available for GEF-2 and GEF-4. It shows that quality of implementation of more than 80 percent of the UNEP implemented project was in the satisfactory range. Reasons for improvements in quality of Implementation ratings are not well understood at this time.



Table 11. Quality of Implementation ratings on GEF projects, by lead implementing agency and GEF replenishment phase (number of observations in parentheses).

Agency	Percentage of Projects with Satisfactory Implementation					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases†
UNDP	26% (23)	73% (15)	77% (65)	84% (146)	87% (83)	79% (332)
UNEP	100% (2)	100% (2)	84% (19)	82% (50)	100% (15)	87% (90)
World Bank	69% (29)	77% (22)	79% (81)	71%** (92)	83% (18)	75% (242)
All projects	52% (54)	74% (46)	76% (177)	80% (314)	87% (131)	78% (726)

†Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

\*\* The difference in the share of projects with satisfactory Quality of Implementation ratings from within and outside of this grouping is statistically significant at a 95% confidence level (ex. the share of WB GEF-3 projects vs non-WB GEF-3 projects).

## 4.2 Quality of Project Execution

64. As noted in chapter two, Quality of Execution covers the effectiveness of executing agency(s) in performing their roles and responsibilities, focusing on factors that are largely within the control of the executing agency(s). To date, 734 completed projects have ratings on Quality of Execution. Ratings on projects for the Pilot (n=57) and GEF-1 (n=51) phases are limited in quantity, however, as shown in table 12, the same general trend of higher outcome and sustainability ratings found in later GEF phases is present in Quality of Execution ratings. From an institutional perspective, the increase in Quality of Execution over time mirroring that of other GEF performance ratings is notable in that it suggests that the performance of executing partners on the ground is linked to other factors that have shown improvements over time, including quality of implementation and quality of M&E systems.

Table 12. Quality of Execution ratings on GEF projects, by GEF replenishment phase.

Criteria	GEF Replenishment Phase					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases*
Number of rated projects	57	51	181	310	131	734
Percentage of projects with quality of Execution ratings of MS or higher	72%	76%	82%	85%	86%	83%

\*Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

65. Because the performance of executing partners may have more to do with external factors than any changes by GEF replenishment cycle, Quality of Execution ratings were also assessed by year of project completion. As shown in table 13, among projects implemented in the Africa region, in SIDS, and under joint implementation arrangement – three areas of the GEF portfolio where overall outcome ratings have on average been lower – Quality of Execution ratings are also markedly lower. This finding is statistically significant at a 95% confidence level when considering all projects completed over the past 8 years. A study presented in chapter 5 of this report, examining lessons from terminal evaluations, found that terminal evaluations of projects implemented in SIDS or under joint implementation were more likely than those of other project evaluations to contain lessons highlighting weaknesses in project management or oversight.

Table 13. Quality of Project Execution ratings by alternate groupings, for projects completed 2007-2014.

Project grouping	2007-2010 Year of Completion	2011-2014 Year of Completion	2007-2014 Year of Completion
% of projects implemented in Africa with satisfactory Quality Execution ratings	79% (n=66)	77%** (n=75)	78%** (n=141)
% of projects implemented in non-African states with satisfactory Quality Execution ratings	83% (n=232)	88% (n=209)	85% (n=441)
% of projects implemented in SIDS states with satisfactory Quality Execution ratings	62%** (n=13)	77% (n=22)	71%** (n=35)
% of projects implemented in non-SIDS states with satisfactory Quality Execution ratings	83% (n=285)	85% (n=262)	84% (n=547)
% of jointly-implemented projects with satisfactory Quality Execution ratings	43%** (n=14)	78% (n=9)	57%** (n=23)
% of non jointly-implemented projects with satisfactory Quality Execution ratings	84% (n=284)	85% (n=275)	85% (n=559)
% of all projects with satisfactory Quality of Execution ratings	82% (n=298)	85% (n=284)	84% (n=582)

\*\* The difference in the share of projects with satisfactory Quality of Execution ratings from within and outside of this grouping is statistically significant at a 95% confidence level.

### 4.3 Co-financing of GEF Projects

66. This section presents information on promised and realized co-financing for completed GEF projects<sup>17</sup>, by GEF replenishment period and by various project groupings. To date, information on promised co-financing is available for all 918 projects covered in APR 2014, while information on realized co-financing is available for 782 projects.

67. The Fifth Overall Performance Study of the GEF (OPS-5) reported a general consensus among key stakeholders in the GEF partnership on the utility of co-financing, which is seen as helping to bring additional resources to GEF projects, increase country ownership, and increase the likelihood support for follow-up activities following project closure.<sup>18</sup> Similar sentiments were also expressed by participants to the Sixth Replenishment of the GEF, who “affirmed that the GEF should continue to seek high levels of co-financing as a means to achieve greater environmental impact and to encourage country ownership.”<sup>19</sup>

68. Note that the definition of co-financing in GEF policy documents has changed over time. The current definition for co-financing, approved by the GEF Council at its 46<sup>th</sup> meeting in May 2014, is “resources that are additional to the GEF grant and that are provided by the GEF Partner Agency itself and/or by other non-GEF sources that support the implementation of the GEF-financed project and the achievement of its objectives.” Language from an earlier 2003 policy on co-financing described co-financing resources as being “essential for meeting the GEF-financed project objectives,” which proved difficult to determine in practice.<sup>20</sup>

69. Along with the level of promised co-financing, the GEF IEO tracks the level of materialization of co-financing, which provides information on the extent to which partner organizations and entities are meeting their commitments. Non-materialization of co-financing

<sup>17</sup> Excluding SGP programme and Enabling Activity projects not covered in ARP 2014.

<sup>18</sup> GEF IEO, 2014. OPS5, pg. 30.

<sup>19</sup> GEF Secretariat, 2014. Co-Financing Policy. GEF/C.46/09.

<sup>20</sup> Ibid 23.

may hamper implementation of project activities and, depending upon the extent of non-materialization, in some situations compromise achievement of project results.

70. Figure 6 presents promised and realized co-financing ratios (co-financing to GEF grant) for completed projects, by GEF phase. As has been noted in other GEF publications<sup>21</sup>, a steady rise in the median ratio of promised co-financing to GEF grant – what would be present in a ‘typical’ project – is seen over replenishment phases, rising from around 30 cents of promised co-financing to each dollar of GEF grant in the pilot phase, to just over 2 dollars of co-financing for each dollar of GEF grant in GEF-4. Equally significant, the median ratio of realized co-financing among all projects for which data is available (n=782) is equal to or a bit higher than the ratio of promised co-financing to GEF grant, when projects are grouped by GEF phase.

71. The right side of figure 6 shows portfolio level co-financing ratios – that is, the total amount of co-financing to total amount of GEF funding in a replenishment phase grouping. A high degree of volatility is seen among total co-financing ratios by replenishment phase, particularly when compared against median co-financing ratios. This volatility is due to several projects with very large co-financing, primarily from World Bank loans, which increase the portfolio co-financing ratio significantly.<sup>22</sup> Significantly, the portfolio-level ratio of realized co-financing to GEF grant is substantially higher than the portfolio-level ratio of promised co-financing to GEF grant for all GEF phases except GEF-2. When considering all completed projects to date for which data on realized co-financing is available (n=782), GEF partners have realized 5.5 dollars of co-financing for each dollar of GEF grant. Note that the extremely high ratio of realized co-financing to GEF funding among completed projects in the GEF-4 phase, at 16.4 dollars of realized co-financing to dollar of GEF grant, is due largely to a single project implemented in South Africa by UNDP and focused on sustainable public transport, and that is reported to have realized some \$1.8 billion in co-financing.<sup>23</sup>

72. Portfolio-level co-financing ratios are driven by a small number of exceptional projects. Among all completed projects to date with data on realized co-financing (n=782), the top 5 percent of projects with the highest co-financing ratios (n=39) have generated some 66 percent of all realized co-financing (\$12.57 billion of \$19.13 billion total realized co-financing).

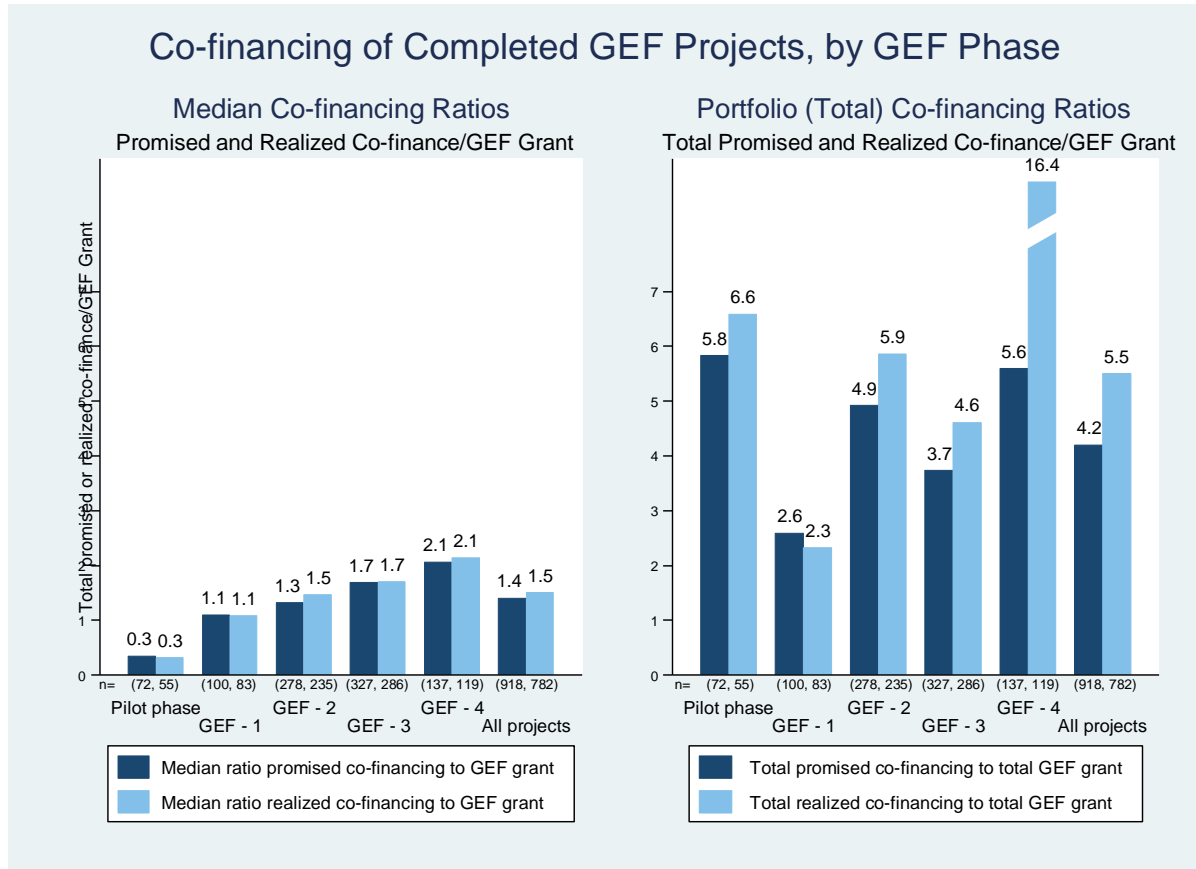
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<sup>21</sup> Ibid 23.

<sup>22</sup> It should be noted that while figure x includes only completed projects, when considering all approved Full-sized and Medium-sized projects from the Pilot Phase through GEF-4, a more consistent rise in the portfolio ratio of promised co-financing to GEF grant is found, rising from 2.5 in GEF-1 to 6.3 in GEF-4.<sup>22</sup> The ratio of promised co-financing to GEF grant for all approved Pilot phase projects is 4.1, again due to several projects with very large co-financing.

<sup>23</sup> This project is “Sustainable Public Transport and Sport: A 2010 Opportunity,” GEF ID 2604, UNDP ID 3276.

Figure 6. Promised and realized co-financing of completed GEF projects, by GEF phase.



73. Focusing on completed GEF-1 through GEF-4 phase projects, figure 7 shows the distribution of project-level co-financing ratios (promised co-financing to GEF grant), by GEF focal area. As shown, co-financing ratios have increased across all focal areas<sup>24</sup>, but there is considerable variability both between and within focal areas. Climate change projects tend to have the highest co-financing ratios, and have accounted for some 50 percent of total promised co-financing to date (from GEF PMIS data - not shown). Also of note is the large degree of variability within focal areas – for Climate change and International Waters projects in particular – reflective of the diversity of approaches, partners, and operational contexts found in projects developed under these two focal areas. To illustrate, among completed GEF-3 and GEF-4 international waters projects, the promised co-financing ratio ranges from some 70 cents to dollar of GEF grant for a project focused on development and dissemination of best practices in integrated trans-boundary water management<sup>25</sup>, to over 42 dollars of co-financing to dollar of GEF grant for a project implemented in China and focused on improving water quality and management in the Pearl River Delta and seas of East Asia<sup>26</sup>. Co-financing ratios tend to be lowest among Chemical focal area projects – a consequence of the relative scarcity of additional

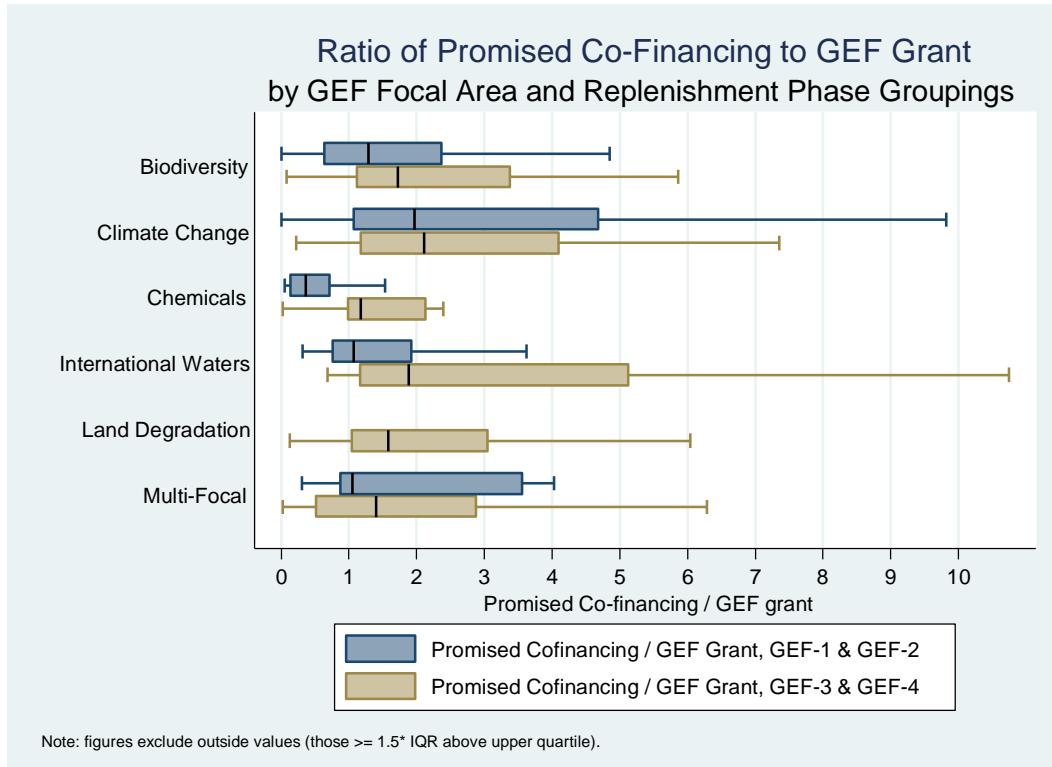
<sup>24</sup> Projects directly addressing land degradation concerns emerged a separate GEF strategy in GEF-3.

<sup>25</sup> GEF project ID 1426, *Development and Implementation of Mechanisms to disseminate Lessons Learned and Best Practices in Integrated Transboundary Water Resources Management in Latin America and the Caribbean*.

<sup>26</sup> GEF project ID 2135, *Guangdong - Pearl River Delta Urban Environment*.

funding sources for this work<sup>27</sup> and because a significant proportion of the completed projects have tended to focus on national level planning and facilitating an enabling environment.

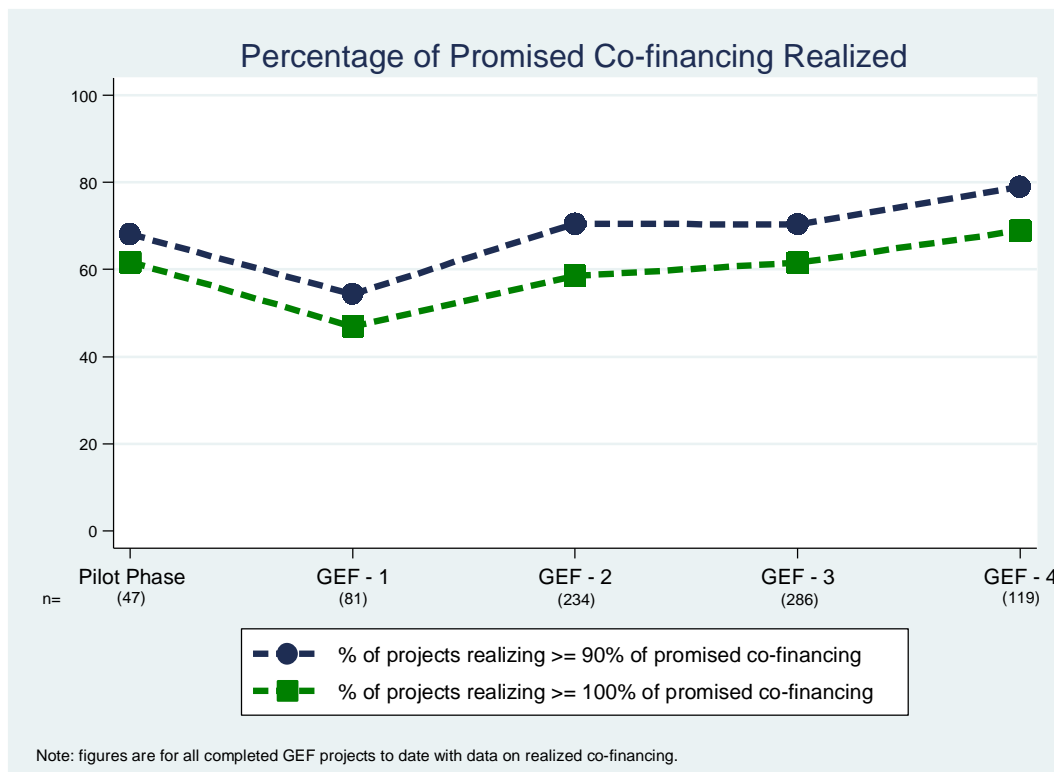
Figure 7. Distribution of project-level co-financing ratios, by GEF focal area, GEF-1 & GEF – 2 phases compared with GEF-3 and GEF-4 phases (includes only completed projects and excludes outside values).



74. Figure 8 shows the percentage of completed projects that have realized at least 90 percent and at least 100 percent of promised co-financing. As shown, an increasing percentage of projects have fulfilled or exceeded their original co-financing commitments, rising from 60 percent of Pilot phase projects realizing 100 percent or more of promised co-financing, to 69 percent of completed GEF-4 projects. Similarly, 79 percent of completed GEF-4 projects realized 90 percent or more of co-financing compared with 68 percent of Pilot phase projects.

<sup>27</sup> Ibid 23.

Figure 8. Percentage of promised co-financing realized among all completed GEF projects with data on realized co-financing (n=771), at the project level and portfolio level, by GEF phase.



75. Some variability is also seen among focal areas and regions in terms of the percentage of promised co-financing realized at the project-level, as shown in tables 14 and 15. Among focal areas, a smaller share of Climate Change projects have realized at least 90 percent of promised co-financing compared to other focal area projects. Sixty-two percent of completed Climate Change projects (n=192) have realized at least 90 percent of promised co-financing compared to 73 percent of non-Climate Change projects (n=579), with this difference statistically significant at a 95 percent confidence level. While the total amount of realized co-financing among completed projects exceeds the total amount of promised co-financing (\$11.4 billion realized to \$9.6 billion promised), findings show that at the project-level, a significant share of climate projects fail to realize expected levels of co-financing.

76. Among regions, global projects have on-average realized a higher percentage of promised co-financing than other projects, with 79 percent of completed global projects (n=77) realizing 90% or more of promised co-financing compared to 69 percent of non-global projects (n=694). This difference is significant at a 90 percent confidence level. Also of note, among more recent GEF-3 and GEF-4 projects, a smaller share of projects implemented in African states have realized 90 percent or more of promised co-financing compared to projects implemented in non-African states. Sixty-four percent of completed GEF-3 & 4 projects implemented in Africa have realized 90 percent or more of expected co-financing, compared to 75 percent of non-African projects, with differences significant at a 95 percent confidence level. Table 15. Percentage of

projects realizing  $\geq 90\%$  and  $\geq 100\%$  of promised co-financing, by GEF phase and focal area, among completed projects (number of observations in parentheses).

Table 14: Reported realization of co-financing in completed projects

Focal Area	Pilot Phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases <sup>††</sup>	
	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$
Biodiversity	63%	60%	58%	47%	74%	59%	73%	64%	84%	69%	72%	60%
	(30)		(45)		(116)		(125)		(45)		(362)	
Chemicals <sup>†</sup>	-	-	50%	50%	100%	100%	90%	70%	75%	67%	83%	74%
			(4)		(8)		(10)		(12)		(35)	
Climate Change	69%	54%	50%	46%	58%	52%	66%	59%	69%	58%	62%**	55%*
	(13)		(24)		(69)		(59)		(26)		(192)	
International Waters	100%	100%	50%	50%	71%	64%	69%	59%	94%	94%	74%	68%
	(4)		(8)		(28)		(29)		(16)		(85)	
Land Degradation	-	-	-	-	-	-	71%	68%	67%	67%	70%	68%
							(34)		(6)		(40)	
Multi-Focal	-	-	-	-	85%	46%	62%	48%	71%	64%	70%	51%
					(13)		(29)		(14)		(57)	
All projects	68%	62%	54%	47%	71%	59%	70%	62%	79%	69%	70%	60%
	(47)		(81)		(234)		(286)		(119)		(771)	

<sup>†</sup> Projects shown in the Chemicals focal area are those involving activities under the POPs focal area in support of the implementation of the Stockholm Conventions, and activities in the ozone layer depletion focal area to support implementation of the Montreal Protocol in eligible Countries with Economies in Transition. Prior to GEF-4, these projects were not grouped together in single GEF focal area.

<sup>††</sup> All phases includes 4 completed projects from GEF-5. Figures exclude projects approved without any co-financing.

\* The difference in the share of Climate Change and non-Climate Change projects realizing  $\geq 100\%$  of promised co-financing is statistically significant at a 90% confidence level.

\*\* The difference in the share of Climate Change and non-Climate Change projects realizing  $\geq 90\%$  of promised co-financing is statistically significant at a 95% confidence level.

Table 15. Percentage of projects realizing  $\geq 90\%$  and  $\geq 100\%$  of promised co-financing, by GEF phase and region, among completed projects (number of observations in parentheses).

Focal Area	Pilot Phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases <sup>†</sup>	
	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$	$\geq 90\%$	$\geq 100\%$
Africa	69%	63%	75%	60%	77%	58%	62%*	57%	70%	57%	69%	58%
	(16)		(20)		(52)		(65)		(23)		(177)	
Asia	71%	64%	57%	57%	68%	52%	66%	50%	77%	67%	67%	55%
	(14)		(23)		(56)		(58)		(30)		(181)	
Europe & Central Asia	50%	38%	50%	44%	68%	63%	79%*	71%	79%	70%	72%	65%
	(8)		(16)		(41)		(72)		(33)		(170)	
Latin America & Caribbean	78%	78%	33%	20%	70%	62%	66%	61%	86%	79%	67%	60%
	(9)		(15)		(69)		(59)		(14)		(166)	
Global	-	-	43%	43%	69%	56%	84%	72%	89%	79%	79%*	66%
			(7)		(16)		(32)		(19)		(77)	
All projects	68%	62%	54%	47%	71%	59%	70%	62%	79%	69%	70%	60%
	(47)		(81)		(234)		(286)		(119)		(771)	

<sup>†</sup> All phases includes 4 completed projects from GEF-5. Figures exclude projects approved without any co-financing.

\* The difference in the share of projects from within and outside this grouping realizing  $\geq 90\%$  of promised co-financing is statistically significant at a 90% confidence level (ex., the difference in the share of African and non-African GEF-3 projects.)

77. Lastly, table 16 shows the percentage of total promised co-financing realized by GEF Partner Agency by GEF phase. As shown, at the portfolio-level Partner Agencies have been very consistent in helping to meet or exceed co-financing commitments. The percentage of total promised co-financing realized has risen from 83 percent in GEF-1 to 288 percent in GEF-4. As noted previously, figures are likely to change as coverage of phases increases over time.

Especially, for GEF-4 the figures for percentage materialization are likely to regress towards the figures for other replenishment periods.

Table 16. Percentage of total promised co-financing realized by GEF Partner Agency, for all completed projects with data on realized co-financing, by GEF phase (number of observations in parentheses).

Partner Agency	Pilot Phase % Realized	GEF-1 % Realized	GEF-2 % Realized	GEF-3 % Realized	GEF-4 % Realized	All phases <sup>†</sup> % Realized
UNDP	122% (16)	80% (30)	202% (81)	143% (132)	364% (74)	214% (333)
UNEP	-	121% (3)	100% (30)	94% (51)	112% (14)	98% (100)
World Bank	95% (31)	85% (41)	96% (111)	120% (80)	93% (17)	99% (280)
All projects	96% (47)	83% (81)	109% (234)	119% (286)	288% (119)	120% (771)

<sup>†</sup>All phases includes 4 completed projects from GEF-5. Figures exclude projects approved without any co-financing.

#### 4.4 Quality of M&E Design and Implementation

78. Project monitoring and evaluation (M&E) systems provide real-time information to managers on the progress made in achieving intended results, and facilitate adaptive management. Effective M&E systems allow for the evaluation of project sustainability and impacts following project closure. They also provide information that is potentially of value for the management of resources at the portfolio level. They are therefore among the key project performance indicators tracked and reported on by the GEF IEO in the APR.

79. The section presents ratings on the quality of design and implementation of M&E systems in completed GEF projects. To date, 847 completed projects have been rated on the Quality of M&E Design, and 763 completed projects have been rated on the Quality of M&E Implementation.

*Background, criteria, and ratings scale for assessing M&E Design and Implementation quality.*

80. Policies guiding the Results Based Monitoring systems of the GEF, of which project-level M&E systems are one component, have changed since the GEF was established in 1991. While the three founding implementing partners of the GEF – the World Bank, UNDP, and UNEP – have M&E policies governing project-level activities that predate their partnership with the GEF, it was not until May 1997 that the GEF Council approved its own framework for M&E.<sup>28</sup> A stated principle of the 1997 M&E framework was that it was designed to “build on the existing systems of the Implementing Agencies,” while facilitating harmonization of M&E practices across the partnership sufficient to track, analyze and assess GEF-wide objectives and performance in a fair and consistent manner.<sup>29</sup> Among other principles, the framework document established that all GEF projects would utilize a logical framework in project planning that

<sup>28</sup> GEF 2007. Framework and Work Program for GEF’s Monitoring, Evaluation and Dissemination Activities. GEF/C.08/04.

<sup>29</sup> Ibid 18, pg 2.



identifies links between goals, objectives, outputs and inputs, along with the use of verifiable indicators. Minimum standards would also include establishment of a baseline and a dedicated budget for M&E funded by project resources.

81. Building on the principles stated in the 1997 M&E framework, and following the establishment of the GEF Evaluation Office in 2004, the GEF Evaluation Office developed a Monitoring and Evaluation Policy in 2006.<sup>30</sup> This policy laid out minimum requirements for project-level monitoring and reporting, including use of SMART indicators<sup>31</sup>, establishment of a baseline against which to measure and report progress, establishment of roles and responsibilities, inclusion of a budget for M&E activities, the kinds of evaluations required for projects with differing amounts of GEF funding, and the application of M&E plans. The 2006 M&E policy was updated in 2010 to, among other items, include reference to the GEF's new results-based management and other policies introduced in GEF-5, and provide a stronger role for GEF operational focal points in M&E.<sup>32</sup> The 2010 policy remains in effect, and a revision to the GEF results-based management system, in support of GEF-6 operations, is currently being developed by the GEF Secretariat.

82. Changes in the guidance and requirements governing the design and use of M&E systems in GEF projects present some challenges in assessing and interpreting ratings of these systems over time. While ratings reported in the APR are assessed principally on evidence presented in the terminal evaluations of completed projects, for earlier years, assessment and ratings of M&E design and implementation were often missing from terminal evaluations. Where ratings are missing and where possible, the GEF IEO has assessed Quality of M&E design and implementation based on evidence provided in the approved project document(s), project monitoring reports, and terminal evaluations. Because expectations and requirements for project-level M&E systems in GEF projects have changed over time, the possibility exists that assessments of the quality of project-level M&E systems made today would differ had those reviews been based on identical evidence but performed in the past. APR 2014 includes M&E ratings of several Pilot and GEF-1 phase projects that were assessed by the GEF IEO in FY 2014. At the same time, it is important to note that the large majority of ratings on M&E presented in the APR are those that were assessed contemporaneously with project completion and review.

83. For reporting in APRs, a six-point rating scale is used to assess M&E Design and M&E Implementation, with the following categories:

- (a) **Highly satisfactory.** The project had no shortcomings in M&E Design/Implementation.
- (b) **Satisfactory.** The project had minor shortcomings in M&E Design/Implementation.

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<sup>30</sup> GEF EO, 2006. The GEF Monitoring and Evaluation Policy. Evaluation Document No. 1.

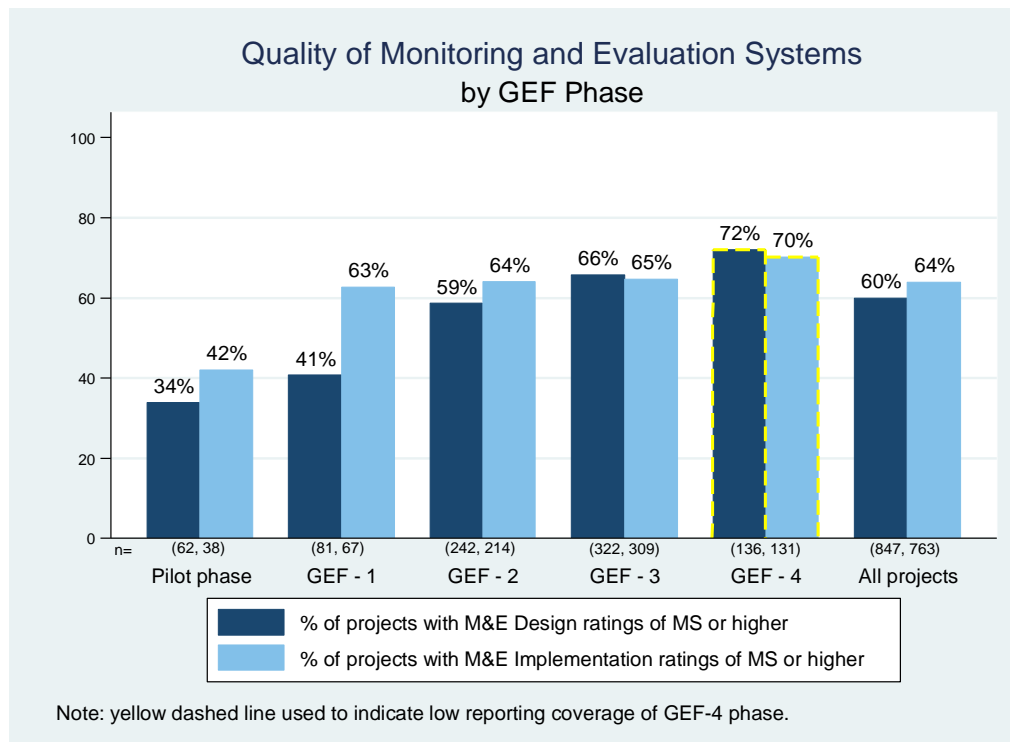
<sup>31</sup> SMART indicators are Specific, Measurable, Achievable and Atttributable, Relevant and Realistic, and Time-bound, Timely, Trackable and Targeted.

<sup>32</sup> GEF EO 2010. The GEF Monitoring and Evaluation Policy 2010. Evaluation Document No. 4.

- (c) **Moderately satisfactory.** The project had moderate shortcomings in M&E Design/Implementation.
- (d) **Moderately unsatisfactory.** The project had significant shortcomings in M&E Design/Implementation.
- (e) **Unsatisfactory.** The project had major shortcomings in in M&E Design/Implementation.
- (f) **Highly Unsatisfactory.** There was no project M&E Design/Implementation.

84. Figure 9 presents ratings on M&E design and implementation for completed projects by GEF replenishment phase. A very pronounced rise in ratings on the quality of M&E design is seen over time, from 34 percent of Pilot phase projects with satisfactory M&E Design ratings (n=62) to 72 percent of GEF-4 projects (n=136). The difference in the share of projects with satisfactory M&E design ratings between Pilot and GEF-1 projects and subsequent phase projects is statistically significant at a 95 percent confidence level. Ratings on M&E Implementation also rise considerably from the Pilot phase, although improvements in ratings from GEF-1 onwards are more incremental compared with those of M&E Design. As with M&E Design ratings, the difference in the share of projects with satisfactory M&E implementation ratings between Pilot and GEF-1 projects and subsequent phase projects is statistically significant at a 95 percent confidence level. While improvements in M&E ratings are positive, the finding that some 30 percent of completed GEF-4 projects have unsatisfactory M&E Design and Implementation ratings indicates that a sizable gap still exists between the stated M&E goals of the GEF partnership, and practice.

Figure 9. Quality of Monitoring and Evaluation systems of completed GEF projects, by GEF phase.



85. Tables 17 and 18 present M&E Design and Implementation ratings by GEF Partner Agency and replenishment phase. The tables show a substantial increase in the M&E design rating of UNDP from GEF-2 onwards. World Bank ratings for M&E design also show a similar increasing trend up to GEF-2. For GEF-3 the World Bank ratings show a dip. Although the rating improves for GEF-4, the observations and coverage for this phase is yet not sufficient to draw a more certain picture. Due to small number of observations, not much may be said about the Pilot and GEF-1 phase for UNEP. However, UNEP too shows significant improvements from GEF-2 to GEF-3. Large, statistically significant improvements in M&E design ratings are seen in the ratings of projects from these groupings implemented by UNDP and UNEP. Improvements in M&E Design were also confirmed on a smaller set of projects through three “quality of entry” reviews done in FY 2005, 2008, and 2011. Improvements in M&E design identified in these studies include more widespread use of SMART indicators, a larger share of projects specifying targets for objectives and outcomes, and allocation of a dedicated budget for M&E activities.<sup>33</sup>

86. When Table 17 and 18 are seen in conjunction, it appears that for Pilot phase projects implemented by UNDP not only were the M&E design at entry weak, the implementation of M&E was also weak. However, the implementation approach shows an improvement for the GEF-1 period, where the weaknesses in M&E design seem to have been rectified during implementation for a substantial percentage of projects leading to improved M&E

<sup>33</sup> GEF EO 2011. Annual Performance Report 2011.

implementation rating. A similar pattern of rectifying weaknesses in M&E design during implementation is seen in GEF-2 period for UNEP implemented projects.

Table 17. Quality of M&E Design ratings on GEF projects, by lead implementing agency and GEF replenishment phase (number of observations in parentheses).

Agency	Percentage of Projects with Satisfactory M&E Design					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases†
<b>UNDP</b>	33% (30)	37% (30)	66% (82)	72% (149)	66% (85)	63% (376)
<b>UNEP</b>	50% (2)	50% (6)	45% (31)	64% (53)	88% (16)	62% (110)
<b>World Bank</b>	33% (30)	49% (37)	62% (117)	53%** (93)	79% (19)	55% (296)
<b>All projects</b>	34% (62)	41% (81)	59% (242)	66% (322)	72% (136)	60% (847)

†Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

\*\* The difference in the share of World Bank and non World Bank GEF-3 projects with satisfactory Quality of M&E Design ratings is statistically significant at a 95% confidence level.

Table 18. Quality of M&E Implementation ratings on GEF projects, by lead implementing agency and GEF replenishment phase (number of observations in parentheses).

Agency	Percentage of Projects with Satisfactory M&E Implementation					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases†
<b>UNDP</b>	23% (22)	59% (22)	61% (74)	73% (148)	72% (85)	66% (351)
<b>UNEP</b>	100% (1)	100% (4)	67% (30)	65% (52)	81% (16)	70% (105)
<b>World Bank</b>	67% (15)	70% (33)	69% (100)	52%** (85)	60% (15)	63% (248)
<b>All projects</b>	42% (38)	63% (67)	64% (214)	65% (309)	70% (131)	64% (763)

†Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

\*\* The difference in the share of World Bank and non World Bank GEF-3 projects with satisfactory Quality of M&E Implementation ratings is statistically significant at a 95% confidence level.

87. Table 19 presents the trends in rating on M&E design by GEF focal area. It shows that there is general increasing trend in ratings across focal areas, although the extent of improvement and periods of dramatic improvements have differed. Table 20 presents the trends in rating on M&E implementation. Although the overall trend indicates improvement, the improvement from the Pilot phase to GEF-1 is more dramatic. However, the M&E implementation rating does not show a consistent trend by focal area.

Table 19. Quality of M&E Design ratings on completed GEF projects, by GEF focal area and replenishment phase (number of observations in parentheses).

GEF Focal Area	Percentage of Projects with Satisfactory M&E Design Ratings					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases <sup>††</sup>
<b>Biodiversity</b>	34% (41)	41% (44)	62% (123)	68% (136)	73% (48)	60% (393)
<b>Chemicals<sup>†</sup></b>	-	0% (4)	18% (11)	55% (11)	75% (16)	47% (43)
<b>Climate Change</b>	31% (13)	50% (22)	65% (69)	72% (71)	70% (27)	65% (203)
<b>International Waters</b>	38% (8)	40% (10)	44% (27)	58% (33)	86% (21)	57% (99)
<b>Land Degradation</b>	-	-	-	59% (37)	63% (8)	60% (45)
<b>Multi-Focal</b>	-	0% (1)	58% (12)	62% (34)	56% (16)	59% (64)
<b>All projects</b>	34% (62)	41% (81)	59% (242)	66% (322)	72% (136)	60% (847)

<sup>†</sup> Projects shown in the Chemicals focal area are those involving activities under the POPs focal area in support of the implementation of the Stockholm Conventions, and activities in the ozone layer depletion focal area to support implementation of the Montreal Protocol in eligible Countries with Economies in Transition. Prior to GEF-4, these projects were not grouped together in single GEF focal area.

<sup>††</sup> Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

Table 20. Quality of M&E Implementation ratings on completed GEF projects, by GEF focal area and replenishment phase (number of observations in parentheses).

GEF Focal Area	Percentage of Projects with Satisfactory M&E Implementation Ratings					
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases <sup>††</sup>
<b>Biodiversity</b>	35% (26)	65% (40)	64% (113)	68% (126)	84% (44)	66% (350)
<b>Chemicals<sup>†</sup></b>	-	33% (3)	67% (9)	36% (11)	67% (15)	56% (39)
<b>Climate Change</b>	57% (7)	79% (14)	68% (60)	70% (70)	67% (27)	69% (179)
<b>International Waters</b>	60% (5)	44% (9)	57% (23)	55% (31)	71% (21)	58% (89)
<b>Land Degradation</b>	-	-	-	76% (37)	75% (8)	76% (45)
<b>Multi-Focal</b>	-	0% (1)	56% (9)	47% (34)	38% (16)	46% (61)
<b>All projects</b>	42% (38)	63% (67)	64% (214)	65% (309)	70% (131)	64% (763)

<sup>†</sup> Projects shown in the Chemicals focal area are those involving activities under the POPs focal area in support of the implementation of the Stockholm Conventions, and activities in the ozone layer depletion focal area to support implementation of the Montreal Protocol in eligible Countries with Economies in Transition. Prior to GEF-4, these projects were not grouped together in single GEF focal area.

<sup>††</sup> Note – numbers may not sum to 100% due to rounding. All phases includes 4 projects from the GEF-5 phase.

## 5. LESSONS FROM TERMINAL EVALUATIONS OF COMPLETED GEF PROJECTS

88. Lessons from 603 terminal evaluations – representing about two thirds of the portfolio of completed projects covered in APR 2014 – were assessed, and, to the extent that lessons were found to meet criteria for relevance and usefulness, lessons were classified into different groupings. In total, 594 lessons from 293 terminal evaluations met criteria for inclusion. These lessons were classified into 4 broad categories and 47 sub-categories, using an iterative approach that relied principally upon the lessons and narrative of the terminal evaluations to identify and guide the formation of classification groupings (see methodology section below). Lessons from terminal evaluations highlight weaknesses in project design, the most commonly cited of which were weaknesses in M&E design, overly ambitious project objectives, and weaknesses in intervention strategy.

### 5.1 Background

89. In undertaking evaluation of GEF-funded work, evaluators are requested to include a synthesis of key lessons and recommendations based on project experiences. These lessons are intended to provide further documentation of project experiences, as well as help inform the design and operation of ongoing and subsequent projects and programs. The GEF IEO has in past undertaken targeted analyses based upon lessons and other narrative evidence presented in terminal evaluations. APR 2008 included a sub-study examining lessons from underperforming projects<sup>34</sup>, and APR 2012 expanded this approach to identify factors attributed to both high and low project performance.<sup>35</sup> Many of the findings presented in this study, in particular the finding that perceived weaknesses in project design are the most frequently cited shortcoming in terminal evaluation lessons, were also noted in these earlier studies, although here further detail is provided on the kinds of design weaknesses highlighted.

90. This study, conducted for APR 2014, benefits from a larger pool of terminal evaluations from which to draw from, including expanded coverage of early-phase GEF projects. This study is informed by a similar undertaking performed by the Evaluation and Oversight Unit of UNEP in 2007.<sup>36</sup>

### 5.2 Methodology

91. A stratified random sample of terminal evaluations of completed GEF projects was performed, ensuring that evaluations from multi-focal projects, projects implemented in Small Island Developing States, and jointly-implemented projects – three groupings identified in portfolio-wide analysis as being of interest due to lower performance along one or more performance dimensions – were proportionally represented among assessed evaluations.

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<sup>34</sup> GEF EO 2009. 2008 Annual Performance Report.

<sup>35</sup> GEF EO 2013. 2012 Annual Performance Report.

<sup>36</sup> Spilsbury et al, 2007. *Lessons Learned from Evaluation, A platform for Sharing Knowledge*. UNEP Special Study Paper # 2, available online at: <http://www.unep.org/eou/Portals/52/Reports/Lessons%20Learned%20rpt.pdf>

Drawing from the pool of randomly-selected evaluations, lessons<sup>37</sup> from 603 terminal evaluations were assessed to determine if they met three broad criteria for inclusion in the study:

- (a) lesson is applicable in a different context (sufficiently generic);
- (b) lesson suggests a prescription and guides action;
- (c) lesson is based on project experiences.

92. Lessons meeting the above criteria were then classified using an approach similar to that employed by Spillsbury et al.<sup>38</sup> The first 50 lessons were surveyed to identify and condense each key point expressed in a lesson in form of single sentences. Lessons were then organized into related, non-overlapping clusters through group discussion that led to a consensus. Clusters were structured into hierarchies moving from four broad classes of lessons to more specific subgroupings. After the initial exercise, which established the broad architecture used to classify and group lessons, the process of classifying a grouping lessons was streamlined and done independently by (three) members of the study team. Additional sub-classes were added as needed to capture lessons meeting the initial criteria for inclusion, but which were found to represent new, non-overlapping sub-groupings. All classified lessons were recorded on templates that identified the terminal evaluation which generated the lesson.

93. The classification system that emerged is shown in part in figures 10 to 14. In total, out of 603 randomly selected terminal evaluations, 594 lessons from 293 terminal evaluations met criteria for inclusion and were classified.

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<sup>37</sup> Terminal evaluations of GEF completed projects are frequently inconsistent in differentiating between lessons and recommendations. For this study, both lessons and recommendations were assessed to see if they met criteria for inclusion. The large majority of 'lessons' presented in this study were also classified as lessons in their respective terminal evaluations.

<sup>38</sup> Ibid, 27.

Figure 10. Four broad categories of terminal evaluation lessons were identified.

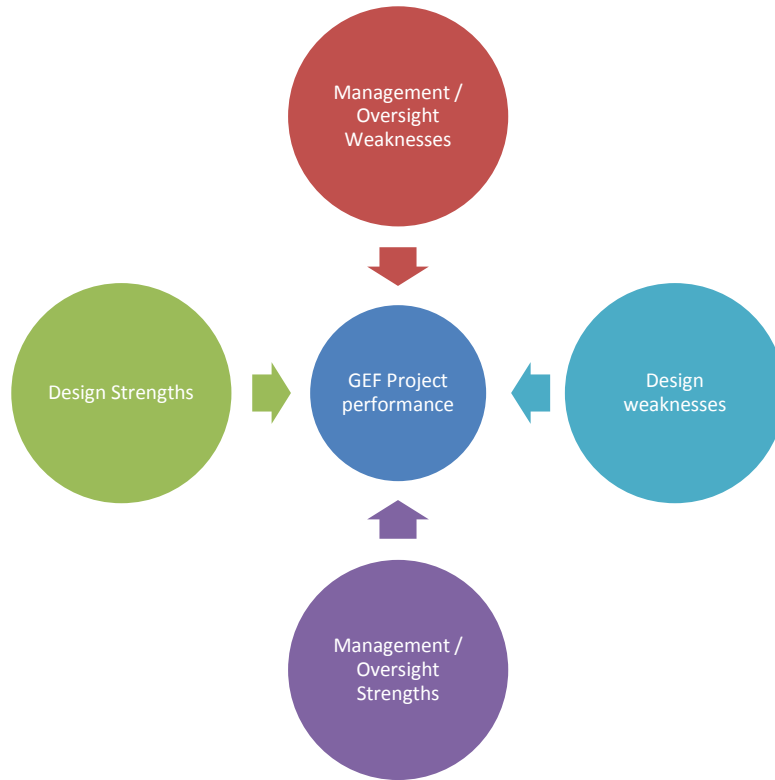




Figure 11. Design weakness classification tree

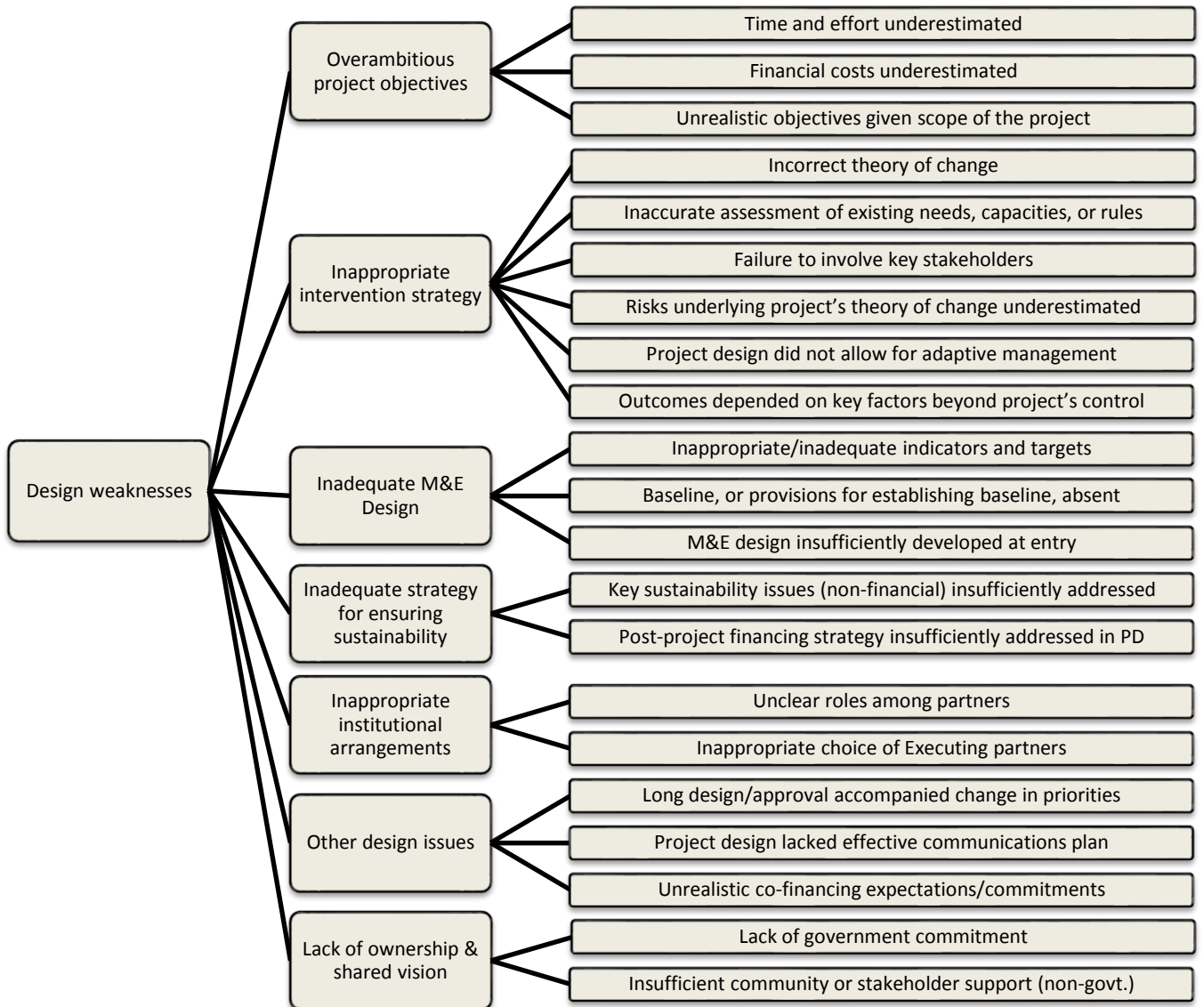


Figure 12. Design strengths classification tree

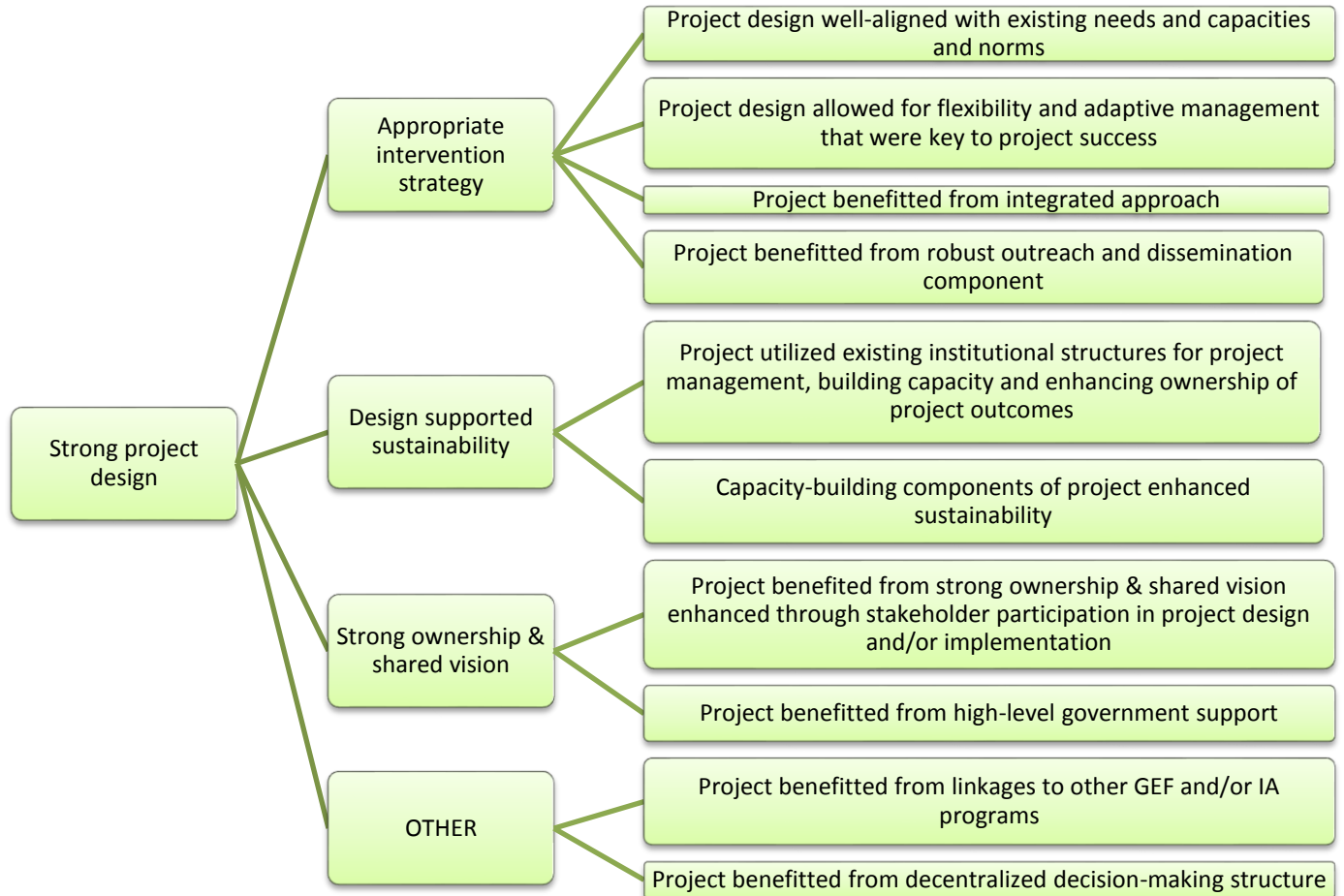


Figure 13. Management/oversight weaknesses classification tree

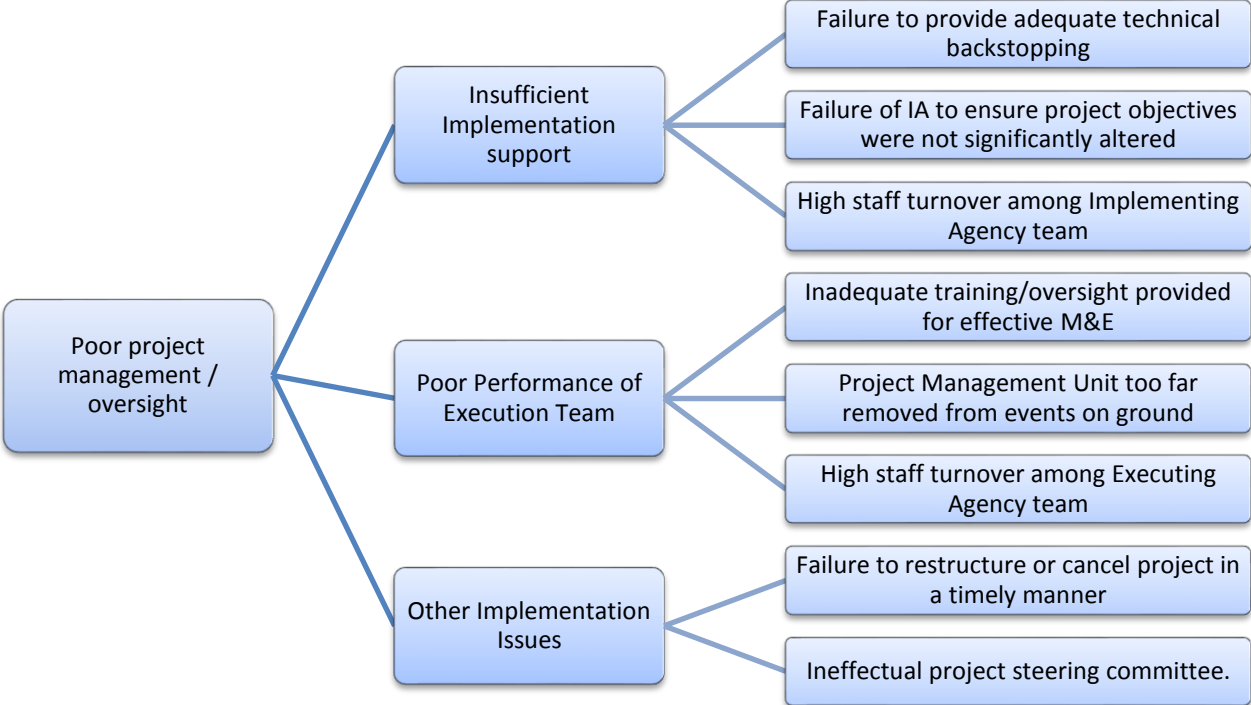
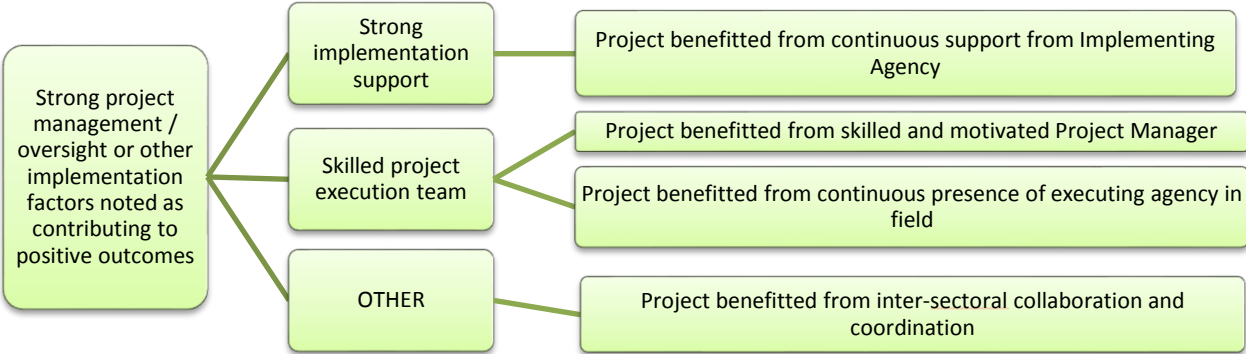


Figure 14. Management/oversight strengths classification tree



## *Limitations*

94. The process of grouping similar but distinct narratives into categories and sub-classes involves choices that limit and exclude information. In this study, evaluators sought to define categories that were non-overlapping and clearly defined, while small enough in number to facilitate analysis of overall trends. At the same time, a fair amount of subjectivity in the design and use of the classification system employed in this study is to be acknowledged.

## **5.3 Findings**

95. Around half (51 percent) of all assessed evaluations failed to generate lessons satisfying the above criteria for inclusion in this study. This finding, while noteworthy and similar to results from the UNEP EO study<sup>39</sup>, should not however be interpreted as signifying that half of all terminal evaluations lessons fail to generate useful lessons. Many lessons, such as those addressing experiences with a specific technology or issues specific to a sub-class of projects are potentially of interest to stakeholders focusing on those respective areas. Their exclusion from this sub-study is more a reflection of the overall aims of this exercise, which seeks to provide an exposition of lessons seen as having a broader application throughout the GEF portfolio of work. At the same time, because lessons meeting the criteria for inclusion in this study are seen as having value for a wide cross-section of GEF stakeholders, the GEF may wish to include further guidance on the development of lessons in the next update to the GEF M&E policy, so as to ensure that a greater number of evaluations capture these kinds of lessons. Of note, no significant difference in the percentage of evaluations generating lessons that meet the above criteria is found when sorting evaluations by GEF replenishment phase, indicating that this issue is ongoing.

96. Among lessons satisfying criteria for inclusion, those highlighting project design shortcomings were by far the most common (65 percent), followed by those highlighting project design strengths (17 percent), poor project management or oversight (13 percent), and a small number of projects highlighting positive project management or oversight factors (5 percent). While a number of terminal evaluations (n=93) have lessons in more than one lesson category, it's worth noting that outcome ratings among projects with lessons highlighting weaknesses in project design and implementation are on average lower than those with lessons highlighting strengths in project design and oversight (71 percent and 59 percent of TE's with outcome ratings  $\geq$ MS, respectively, vs 89 percent and 93 percent). This suggests a link between overall project performance and the factors highlighted in this study's lessons. Table 21 shows the overall classification of lessons meeting study criteria for inclusion, and the number of evaluations containing lessons from each class.

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<sup>39</sup> Ibid, 27.

Table 21. Overall classification of lessons meeting study criteria for inclusion, and number of evaluations containing lessons from each class.

Lesson category	# of lessons in this category	# of evaluations containing lesson type
Project design shortcoming	386	219
Project design strength	99	73
Project management shortcoming	80	67
Project management strength	29	27
<b>Total</b>	<b>594</b>	<b>293*</b>

\* Note that 93 terminal evaluations in the study have lessons from more than one lesson category, thus total evaluations are less than sum.

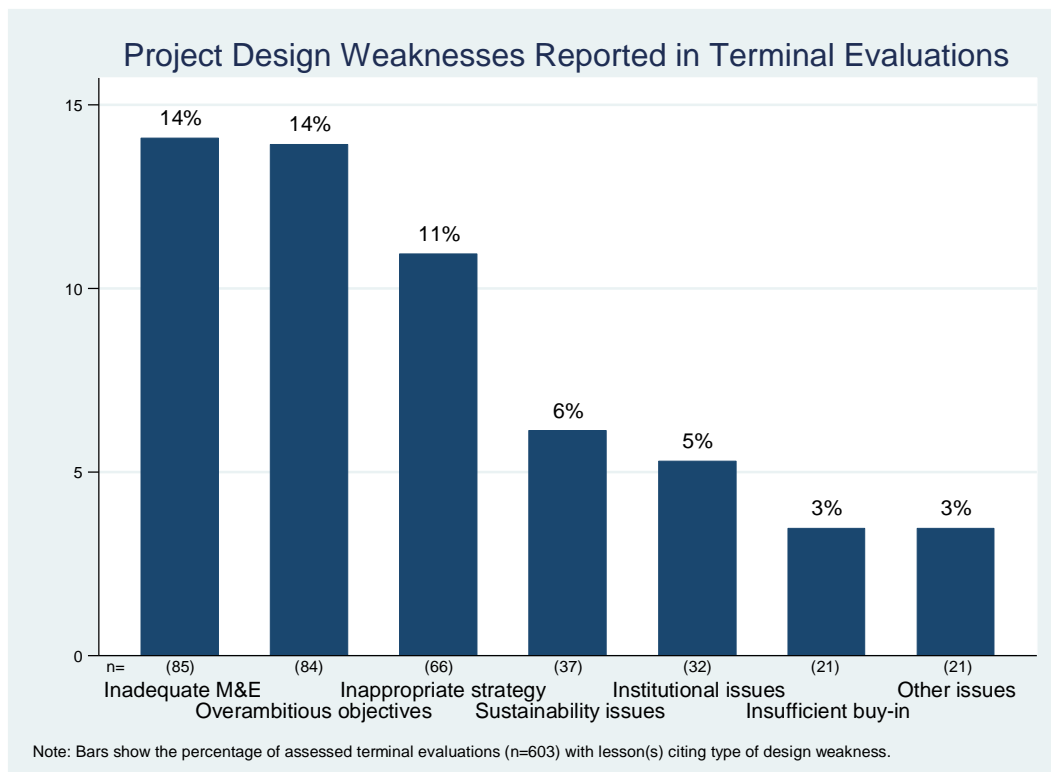
97. Figure 15 shows the percentage of assessed terminal evaluations with one or more lessons citing weaknesses in project design, by the sub-class (or type) of design weakness. The two most frequently cited design weaknesses were those pertaining to shortcomings in the design of project M&E systems, and overambitious project objectives – each present in some 14 percent of assessed evaluations – followed by lessons highlighting weaknesses in the project’s intervention strategy (11 percent of assessed evaluations).

98. The relatively large number of evaluations citing M&E weaknesses is in line with overall performance ratings on M&E design, which find that among all completed and rated projects (n=844), 40 percent of projects have unsatisfactory M&E design ratings (see section 4.4). The large majority of lessons citing weaknesses in M&E design focused on perceived shortcomings in the choice or absence of indicators and targets (63 percent), followed by those that found the design of project M&E systems to be insufficiently developed at entry (21 percent). Other trends emerge when lessons are sorted by GEF focal area. Among assessed evaluations, multi-focal projects were more than twice as likely to have lessons citing weaknesses in M&E design compared with projects from other focal areas, and Chemical area projects, of which there are fewer, were more than three times as likely to have lessons citing weaknesses in M&E design compared with projects from other focal areas. Differences in the share of multi-focal and single-focal are projects, as well as differences in the share of chemical and non-chemical area projects with evaluative lessons citing weaknesses in M&E design are statistically significant at a 95 percent confidence level.

99. Overambitious objectives – the second most frequently cited type of design weakness in terminal evaluation lessons – were, in order of frequency, underestimation of time and effort required (56 percent)<sup>40</sup>, unrealistic objectives given the scope of the project (31 percent), and underestimation of financial costs (14 percent). Notably, no appreciable difference is found in the percentage of terminal evaluations citing this issue between full-sized and medium-sized projects, or when projects are sorted by region, or by GEF Agency. Among focal areas, projects from the biodiversity focal area were slightly more likely to have terminal evaluation lessons noting overambitious objectives compared to projects from other focal areas (17 percent vs 11 percent), with the difference statistically significant at a 95 percent confidence level. Similarly, a high percentage of terminal evaluations of projects from the international waters focal area also cite this issue (18 percent), however the finding is not statistically significant due to lower number of observations.

<sup>40</sup> Percentages are out of total number of lessons in study citing overambitious objectives of any kind (n= 95).

Figure 15. Percentage of assessed terminal evaluations with lessons citing classified design weaknesses.



100. Weaknesses in projects’ intervention strategy encompasses a wide range of issues, with the three most commonly cited factors being, in order of frequency: (1) an inaccurate assessment of existing needs, capacities, or rules and procedures (45 percent)<sup>41</sup>; (2) underestimation of risks to the project’s theory of change, or inadequate provisions to address risks (18 percent); and (3) failure to involve key stakeholders in project design and implementation. No significant differences were found in the percentage of evaluations with lessons citing weaknesses in intervention strategy when grouping evaluations by GEF replenishment phase, GEF Agency, focal area, or region.

101. Among evaluations with lessons highlighting perceived strengths in project design (n=73), the most frequently cited strengths were those highlighting the key role that stakeholder participation in project design and/or implementation played in fostering ownership and a shared vision among project stakeholders (33 percent)<sup>42</sup>. This was followed in frequency by lessons that describe, in one way or another, how the project benefitted from a flexible design that facilitated adaptive management during project implementation (14 percent).

102. A relatively smaller number of terminal evaluations had lessons citing weaknesses in project management or oversight (n=67, or 11 percent of all assessed evaluations). The three most commonly cited management or oversight weaknesses were inadequate training or

<sup>41</sup> Percentages are out of total number of lessons in study citing weaknesses of any kind in intervention approach (n= 73).

<sup>42</sup> Percentages are out of total number of lessons in study citing strengths of any kind in project design (n= 99).

oversight provided for effective M&E (24 percent)<sup>43</sup>, failure to restructure or cancel the project in a timely manner (20 percent), and failure to provide adequate technical backstopping (18 percent). Of note, the percentage of evaluations with lessons citing project management or oversight weaknesses from projects implemented in SIDS and projects under joint evaluation was higher than for projects outside these groupings. Twenty percent of assessed evaluations (14 out of 70 TEs) from projects implemented in SIDS had lessons citing weaknesses in project management or oversight compared with 10 percent of non-SIDS evaluations (53 out of 533 TEs), and this difference is statistically significant at a 95 percent confidence level. Similarly, 18 percent of evaluations of jointly-implemented projects had lessons citing weaknesses in project management or oversight compared with 11 percent of non-joint evaluations, although the difference is not statistically significant.

103. As noted in the methodology section, results of this study are best seen as part of ongoing work by the GEF IEO to capture, assess, learn from, and disseminate, the large body of knowledge residing in terminal evaluations of GEF projects. As such, there is need to build on the work undertaken for this study, to better assess root causes of perceived shortcomings and strengths in the design and implementation of GEF projects.

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<sup>43</sup> Percentages are out of total number of lessons in study citing weaknesses of any kind in project management or oversight (n= 80).



## **6. QUALITY OF TERMINAL EVALUATION REPORTS**

104. This chapter presents an assessment of the quality of terminal evaluations of completed GEF projects that are submitted to the GEF IEO by GEF agencies. In addition, issues concerning evaluation of projects approved under the GEF's programmatic approach are highlighted.

105. Terminal evaluation reports provide one of the principle ways by which the GEF Council, Management, Agencies, GEF Independent Evaluation Office, and other stakeholders, are able to assess the performance of completed GEF projects. This assessment facilitates continued learning and adaptation throughout the GEF partnership. The integrity and quality of terminal evaluations is therefore essential to the validity of any findings that may arise from analysis of terminal evaluations.

106. As noted in chapter two and described in full in Annex B, terminal evaluations are assessed and rated by the GEF IEO based on the following criteria:

- (a) Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators, if applicable?
- (b) Was the report consistent, the evidence complete and convincing, and the ratings substantiated?
- (c) Did the report present a sound assessment of sustainability of outcomes?
- (d) Were the lessons and recommendations supported by the evidence presented?
- (e) Did the report include the actual project costs (total and per activity) and actual co-financing used?
- (f) Did the report include an assessment of the quality of the project M&E system and its use in project management?

107. Performance on each of these criteria is rated on a six point scale, from Highly Satisfactory to Highly Unsatisfactory. The overall rating for the terminal evaluation is a weighted average of the six sub-ratings, with the first two sub-ratings receiving more weight than the other four (see Appendix B). The evaluation offices of GEF Partner Agencies generally use an identical or comparable approach to the rating of terminal evaluation quality.

### **6.1 Findings**

108. As shown in table 22, over the past eight years, the overall quality of terminal evaluations received by the GEF IEO from the three original GEF Agencies, as well as from other GEF partners, is high. Of the 626 terminal evaluations produced over the past eight years, 86 percent have satisfactory ratings for overall quality. A small (~5 percent) difference in the percentage of terminal evaluations with satisfactory overall quality ratings is seen when evaluations are sorted based on project size, with a smaller share of medium-sized project evaluations rated satisfactorily compared to full-sized projects. At the same time, over the past eight years, more

than 80 percent of medium-sized project evaluations have received satisfactory overall quality ratings.

Table 22. Quality of terminal evaluations prepared by GEF Agencies, 2007-2014 year of evaluation.

GEF Agency		Year of Terminal Evaluation		
		2007-2010	2011-2014	2007-2014
UNDP	# rated TEs	110	205	315
	% rated ≥MS	87%	81%	83%
UNEP	# rated TEs	42	39	81
	% rated ≥MS	90%	97%	94%
WB	# rated TEs	110	90	200
	% rated ≥MS	86%	88%	87%
Other	# rated TEs	7	23	30
	% rated ≥MS	71%	83%	80%
All Agencies	# rated TEs	269	357	626
	% rated ≥MS	87%	85%	86%

109. Two areas where reporting has remained relatively weak are reporting on project financials and the quality of M&E systems, as shown in table 23. Among evaluations produced over the past eight years, 72% have satisfactory ratings for financial reporting and just 65% have satisfactory ratings for M&E reporting, compared with 86% overall satisfactory ratings for the same period.

Table 23. Two areas - financial reporting and reporting on the quality of project M&E systems - where the quality of reporting in terminal evaluations is on average lower than other performance dimensions.

TE reporting metric	Year of Terminal Evaluation		
	2007-2010	2011-2014	2007-2014
<b>Financial reporting</b> (% of evaluations rated ≥MS)	70%	73%	72%
<b>M&amp;E quality</b> (% of evaluations rated ≥MS)	65%	66%	65%
<b>Overall TE quality</b> (% of evaluations rated ≥MS)	89%	84%	86%
<b># of rated evaluations†</b>	247	297	544

†Includes only those terminal evaluations with ratings on all quality metrics.

110. APR 2014 includes results of a study examining findings from lessons contained in terminal evaluations of GEF projects. One finding of this study was that around half of all terminal evaluations assessed (n=603) did not contain lessons meeting criteria used to identifying lessons seen as having broad applicability among GEF partners. As discussed in chapter 5, the GEF may wish to include further guidance on the development of lessons in the next update to the GEF M&E policy, so as to ensure that a greater number of evaluations capture lessons seen as having value to a wider cross-section of GEF stakeholders.

## **6.2 Issues concerning reporting on projects implemented under GEF Programmatic Approach**

111. At its December 1999 meeting, the GEF Council endorsed the provision of GEF support to countries through a programmatic approach. This modality, which continues through the present day, presents new challenges with regard to the way in which projects are reported on in GEF IEO Annual Performance Reports. The current 2010 GEF M&E Policy<sup>44</sup> stipulates that all full-sized projects and all programs are to be evaluated at the end of implementation. However, there is an absence of guidance on the evaluative requirements of child projects implemented under programmatic approaches. That is, the M&E policy of the GEF does not specify whether project evaluations are to be undertaken and submitted for these child projects, in addition to an overall programmatic evaluation, or whether the requirements and expectations of child project evaluations are the same as for stand-alone projects of similar funding size.

112. GEF Agencies have to date been inconsistent in evaluating programmatic approaches. Examples of differing reporting for completed (of which there are three) and ongoing programmatic approaches include:

- (a) Agencies have submitted evaluations of child projects approved under a programmatic approach, but not of the overall programmatic approach itself (GEF ID 2762);
- (b) The World Bank submitted an evaluation of a programmatic approach (GEF ID 1685) but not of the completed child project under this programmatic approach (full-sized project, GEF ID 3022);
- (c) UNDP submitted evaluations for 2 of 3 approved child projects, along with an evaluation of the programmatic approach (GEF ID 2439).
- (d) UNEP submitted an evaluation covering 15 MSP projects focused on implementation of National Biosafety Frameworks, under the GEF Biosafety Program (GEF ID 3645). It is not possible to discern individual project performance ratings on the individual MSPs using the information provided in the UNEP portfolio evaluation, and the portfolio evaluation received does not cover the entire GEF Biosafety Program.

113. The GEF IEO will aim to address the programmatic approaches in future APRs.

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<sup>44</sup> GEF EO 2010. The GEF Monitoring and Evaluation Policy 2010. Evaluation Document No. 4.

## 7. MANAGEMENT ACTION RECORD

114. The GEF Management Action Record (MAR) tracks the level of adoption, by the GEF Secretariat and/or the GEF Partner Agencies (together here referred to as GEF Management), of GEF Council decisions that have been made on the basis of GEF EO recommendations. The MAR serves two purposes: “(1) to provide Council with a record of its decision on the follow-up of evaluation reports, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues.”<sup>45</sup>

115. The MAR were first presented in APR 2005 and, thereafter, it has been presented annually to the Council through APR. In past 10 years the GEF IEO has gained experience in tracking actions on Council decisions and has been thinking of ways to streamline the process. The feedback Secretariat and the GEF Agencies also indicates that the process is burdensome and needs to be simplified. Therefore, beginning this year, the IEO is streamlining its approach to MAR. There are two key changes in the approach.

116. First, of the Council decisions tracked through MAR, not all will be reported on an annual basis. While progress on adoption of some Council decisions may be tracked through regular work of the GEF IEO, there are others that require a thorough assessment to determine adoption and/or where adoption is linked to a specific activity is undertaken a specific point in time in the GEF replenishment cycle. For example, decisions on mainstreaming of gender concerns, building capacity of civil society organizations, and improving supervision, are directional in nature and require a thorough analysis to assess progress. Similarly, recommendations related to improvement in strategies and policies are better tracked at the time when these strategies and policies are being, and/or have been, designed. Similarly, changes in focal area strategies and tracking tools are linked to the GEF replenishment cycle. Therefore, coverage of these issues through detailed assessments or through the comprehensive evaluation of GEF is more feasible and appropriate.

117. Second, where appropriate, the decisions tracked through may be graduated from MAR if ‘substantial’ rating or higher have been achieved. So far the decisions may be graduated only if a ‘High’ rating has been achieved. The earlier approach worked fine in most situations but not in situations where the assessment yardsticks are affected by escalating expectations. For example, a decision may seek improvements in the information systems but by the time specific actions are taken, the expectations from the information systems may escalate. Since such issues continued to be relevant to GEF, the earlier approach was leading to a situation where a decision could potentially never graduate because the adoption in all likelihood would never be rated ‘high’.

118. This change in approach means that each year at the start of the MAR process, the GEF IEO will determine whether a decision needs to be reported on in MAR in that year. If a decision does not need to be reported that year, then the GEF IEO would list these decisions as those for which reporting has been deferred along with information on when and how the adoption of the

decision will be assessed in future. The decisions that where deferment is not necessary will be reported on annually.

119. MAR 2014 tracks 22 separate GEF Council decisions: 20 that were part of MAR 2013, and 2 new decisions that emerged from the May 2014 GEF Council meeting. Of these 22, MAR2014 reports on level of adoption of 18 decisions. In addition to GEF Council decisions, since APR 2012 the Independent Evaluation Office has started tracking adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. One decision from the LDCF/SCCF Council is tracked in MAR 2014

## 7.1 Rating Approach

120. For each tracked GEF Council and LDCF/SCCF Council decision that is reported on, self-ratings are provided by GEF Management on the level of adoption along with commentary as necessary. Ratings and commentary on tracked decisions are also provided by the GEF Evaluation Office for verification. The rating categories for the progress of adoption of Council decisions were agreed upon through a consultative process of the Evaluation Office, the GEF Secretariat, and the GEF Agencies. Categories are as follows:

- (a) **High:** Fully adopted and fully incorporated into policy, strategy or operations.
- (b) **Substantial:** Decision largely adopted but not fully incorporated into policy, strategy or operations as yet.
- (c) **Medium:** Adopted in some operational and policy work, but not to a significant degree in key areas.
- (d) **Negligible:** No evidence or plan for adoption, or plan and actions for adoption are in a very preliminary stage.
- (e) **Not rated or possible to verify yet:** ratings or verification will have to wait until more data is available or proposals have been further developed.
- (f) **N/A:** Not-applicable (see commentary).

121. The Council decisions may be graduated or retired from the MAR because of one or more of the following reasons:

- (a) **Graduated** due to high or, where appropriate, substantial level of adoption of Council decision
- (b) **Retired** as the Council decision has become less relevant, or subsequent Council decisions have made high level of adoption of the decision difficult, or further progress on adoption of the decision is likely to be slow and long drawn. An automatic reason for retirement would be if a decision has been reported on in the MAR for five years.

122. The GEF IEO keeps track of the reasons for removing a decision from the MAR.

123. MAR 2014 tracks management actions on GEF Council and LDCF/SCCF Council decisions based on 11 GEF Evaluation Office documents:

- (a) Annual Performance Report 2009 (GEF/ME/C.38/4, June 2010)
- (b) Evaluation of the GEF Strategic Priority for Adaptation (GEF/ME/C.39/4, October 2010)
- (c) Annual Thematic Evaluations Report 2011 (GEF/ME/C.41/02, October 2011)
- (d) Evaluation of the Special Climate Change Fund (GEF/LDCF.SCCF.11/ME/02, October 2011)
- (e) Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03, May 2012)
- (f) Annual Thematic Evaluations Report 2012 (GEF/ME/C.43/02, October 2012)
- (g) GEF Annual Impact Report 2012 (GEF/ME/C.43/04, October 2012)
- (h) GEF Annual Impact Report 2013 (GEF/ME/C.45/2, October 2013)
- (i) Mid-Term Evaluation of the System for Transparent Allocation of Resources (STAR) (GEF/ME/C.45/04, October 2013)
- (j) Mid-Term Evaluation of the National Portfolio Formulation Exercise (NPFE) (GEF/ME/C.45/06, October 2013)
- (k) Annual Country Portfolio Evaluation Report 2014 (GEF/ME/C.46/04)

124. Of the 22 GEF Council decision that are tracked for MAR 2014, four decisions pertaining to different evaluations were screened as decisions that require detailed assessments to ascertain the progress in their adoption (Table 24). These decisions pertain to four different evaluations and reports. The GEF IEO will report on the progress on these decisions when the required assessments are undertaken.

Table 24: List of Council Decisions where GEF IEO reporting is deferred

GEF IEO Evaluation	Relevant Council Decision	How would it be assessed in future?
Annual Country Portfolio Evaluation Report 2012	To enable South-South cooperation activities as components of national, regional and/or global projects.....	Proposed GEF IEO's Comprehensive Evaluation of the GEF
Annual Impact Report 2012	.....Take into account the findings and recommendations of this evaluation when screening future proposals submitted for GEF	Proposed GEF IEO Evaluation on Programmatic Approaches

	funding in the South China Sea and adjacent areas,	
Annual Impact Report 2013	.....The Council requests the Secretariat to include this emphasis (i.e. emphasis on broader adoption) and where necessary further strengthen it in the proposals for GEF-6.	Proposed GEF IEO's Comprehensive Evaluation of the GEF
Annual Country Portfolio Evaluation Report 2014	..... the Secretariat and the Agencies: To pay greater attention to national knowledge exchange and promote dissemination of data and information in the relevant national languages.	Proposed GEF IEO's Comprehensive Evaluation of the GEF

## 7.2 Findings

125. In all 18 decisions were assessed for MAR 2014. Table 25 provides a comparison of the ratings given by the GEF Management and GEF IEO for these 18 decisions. The Management and IEO ratings were more likely to be the same where Management rated the level of adoption to be medium or negligible. They assessments were more likely to differ where adoption was rated high or substantial by the management. As has also been the case in past years, GEF IEO ratings on adoption tend to be more conservative than those of the Management.

Table 25. GEF Management and GEF IEO ratings of adoption of Council decisions assessed for MAR 2014.

		GEF IEO ratings					Not rated or possible to verify yet	Not applicable	Sum of Management ratings
		High	Substantial	Medium	Negligible				
Management ratings	High	4	3	1	0	0	0	8	
	Substantial	0	1	2	0	0	0	3	
	Medium	0	0	5	0	1	0	6	
	Negligible	0	0	0	1	0	0	1	
	Not rated	0	0	0	0	0	0	0	
	Not applicable	0	0	0	0	0	0	0	
Sum of GEF IEO ratings		4	4	8	1	1	0	18	

**Note:** Highlighted cells show agreement between GEF Management and GEF IEO ratings. Values to the right of highlighted cells represent higher ratings by Management than those provided by the IEO, except in cases where a rating of "not rated or possible to verify yet" is given.

### *GEF Council Decisions with Adoption Rated at a High or Substantial Level*

126. The GEF IEO assessed adoption of four decisions to be high. Two of these decisions pertain to GEF Annual Thematic Evaluations Report 2011 (GEF/ME/C.41/02). One of decisions based on the report called for incorporation of the lessons from the implementation of NCSA strategies during GEF-5 in NCSA strategies for GEF-6. The GEF IEO's assessment indicates

that this has indeed been the case. The second decision based on this report called for Secretariat to make available the relevant knowledge products of NCSAs to GEF stakeholders including agencies and GEF focal points. The GEF IEO concurred with the Management's response that this was being done through Extended Constituency Workshops.

127. The Council decision based on Annual Thematic Evaluations Report 2012 (GEF/ME/C.43/02), asked the GEF Management to revisit the GEF's overall approach to capacity development in response to concerns voiced by the conventions when formulating the GEF-6 strategies. The GEF IEO assessed that the Conventions' concerns have been adequately addressed in the programming documents of the GEF-6 replenishment and approved by the Council and communicated to the GEF Assembly. One of the GEF Council decision based on Mid-Term Evaluation of the STAR (GEF/ME/C.45/04) asked that while preparing the GEF-6 STAR for Council's consideration, limits for flexible use of focal area allocations for activities could be increased for countries with marginal flexibility. The Management's proposals for STAR for GEF-6 indeed increased the level of flexibility to US \$ 2.0 million for all recipient countries with marginal flexibility.

128. There were four decisions where adoption of the relevant Council decision was assessed to be 'substantial'. Two of these based on the Mid-Term Evaluation of the STAR (GEF/ME/C.45/04) asked the GEF Management (1) to improve the STAR indices and (2) to ensure sufficient quality control in calculation of STAR indices. On both these decisions substantial progress was made, although some aspects were not fully addressed. One of the GEF Council decisions based on GEF Annual Impact Report 2013 (GEF/ME/C.45/1) asked for improvement and consistency in methodologies for GHG estimation for GEF projects. In response to this decision, the Secretariat constituted three Working Groups (WG) and engaged a consulting firm to undertake the necessary ground work. Substantial progress has been made so far and this work is nearing completion. One of the decisions based on the Annual Country Portfolio Evaluation Report 2014 (GEF/ME/C.46/04) asked the GEF management to consider the use of established SGP country programs as service providers to implement community level activities for FSPs and MSPs. This decision has been incorporated into the SGP programming document for GEF-6. However, the discussion on its operationalization is still ongoing

#### *Graduated and Retired Decisions*

129. Of the 18 decisions that are reported on in MAR2014, 14 have been either graduated or have been retired. Of the 14 decisions, six decisions were graduated due to high or substantial adoption and the remaining eight were retired. Others were retired because they are either not relevant any more or were linked to tasks that have now been completed. Several decisions such as those related to improvements in STAR, NPFE, and GEF strategies, are linked with the GEF replenishment cycle. Once the work on policy reforms and strategy formulation for a replenishment period is complete, the next time the issue opens up for discussion is during the preparation for the next replenishment period.



Table 27. Council decisions, final GEF EO ratings, and reason for adoption, by MAR year.

Rating at Exit: Final Rating at Graduation or Retirement from MAR							
MAR	High	Substantial	Medium	Negligible	Not Rated/ Possible to Verify Yet	Not Applicable	Total
2005	5	15	7	3	-	-	30
2006	5	1	-	-	-	-	6
2007	7	8	-	-	2	-	17
2008	5	-	-	-	-	-	5
2009	5	-	-	-	-	-	5
2010	9	3	4	3	-	2	21
2011	2	-	-	-	-	-	2
2012	-	-	-	-	-	-	0
2013	5	1	1	1	2	-	10
2014	4	2	6	1	1	-	14
<b>Total</b>	<b>47</b>	<b>30</b>	<b>18</b>	<b>8</b>	<b>5</b>	<b>2</b>	<b>110</b>

130. The Office will continue to track the four decisions that have been reported on in MAR2014 but have neither been graduated nor retired. Similarly, when appropriate, the four decisions that were screened out from the assessment process, will be revisited and reported on.

#### **Tracked Decision of the LDCF/SCCF Council**

131. In addition to the 18 GEF Council decisions, the MAR 2014 also tracked and assessed adoption of one LDCF/SCCF Council decision. The decision was based on the Evaluation of the Special Climate Change Fund (GEF/LDCF.SCCF.11/ME/02) and called for the Secretariat to prepare proposals to ensure: transparency of the project pre-selection process; dissemination of good practices through existing channels; and visibility of the fund by requiring the projects to identify their funding source. The GEF IEO had already assessed adoption of the decisions related to transparency and dissemination of the good practices to be high in MAR 2013. The GEF IEO assessment for MAR 2014 noted the continued work of the Secretariat with agencies to highlight and promote the identity of the LDCF/SCCF projects and programs and rated the level of adoption on this aspect to be Substantial. This decision has been graduated from MAR.

132. A complete version of MAR 2014 is available at the GEF Evaluation Office website ([www.gefio.org](http://www.gefio.org)).

## ANNEX A

Table A1, list of projects included in APR 2014 cohort (n=156)

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area <sup>46</sup>	Fund	GEF Phase	Outcome rating <sup>47</sup>	Sustainability rating <sup>48</sup>	Source of rating <sup>49</sup>
15	Programme for Phasing Out Ozone Depleting Substances	UNDP/UNEP	Tajikistan	0.900	Chem	GET	GEF - 2	MS	MU	GEFIO
29	Palawan New and Renewable Energy and Livelihood Support Project	UNDP	Philippines	0.750	CC	GET	GEF - 2	S	ML	GEFIO
260	Southern Africa Biodiversity Support Programme	UNDP	Regional	4.480	BD	GET	GEF - 1	MS	MU	GEFIO
343	Phaseout of Ozone Depleting Substances	UNDP/UNEP	Latvia	1.320	Chem	GET	GEF - 1	MU	ML	GEFIO
344	Lithuania Phase out of Ozone Depleting Substances	UNDP/UNEP	Lithuania	4.420	Chem	GET	GEF - 1	S	L	GEFIO
446	Renewable Energy Development	World Bank	China	35.000	CC	GET	GEF - 1	S	L	IAEO
456	Participatory Management of Plant Genetic Resources in Oases of the Maghreb	UNDP	Regional	2.780	BD	GET	GEF - 1	S	L	GEFIO
463	Programme for Phasing Out Ozone Depleting Substances	UNDP/UNEP	Azerbaijan	6.930	Chem	GET	GEF - 1	U	U	GEFIO
500	In-Situ Conservation of Native Cultivars and Their Wild Relatives	UNDP	Peru	5.050	BD	GET	GEF - 2	MU	MU	GEFIO
532	Global - Strengthening Capacity for Global Knowledge-Sharing in International Waters	UNDP/World Bank	Global	3.130	IW	GET	GEF - 2	U	MU	GEFIO
593	Programme for Phasing Out Ozone Depleting Substances	UNDP/UNEP	Turkmenistan	0.400	Chem	GET	GEF - 2	MU	U	GEFIO
594	Programme for Phasing out Ozone Depleting Substances	UNDP/UNEP	Uzbekistan	3.200	Chem	GET	GEF - 2	S	ML	GEFIO
632	Renewable Energy Hybrid Power Systems	UNDP	Fiji	0.740	CC	GET	GEF - 2	MS	NR	GEFIO
634	Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve's Coastal Biodiversity	UNDP	India	7.650	BD	GET	GEF - 2	MS	ML	IAEO
647	Integrated Solar Combined Cycle Power Plant (formerly Solar Based Thermal Power Plant)	World Bank	Morocco	43.200	CC	GET	GEF - 2	S	ML	IAEO
658	Removing Barriers to the Increased Use of Biomass as an Energy Source	UNDP	Slovenia	4.300	CC	GET	GEF - 2	S	NR	GEFIO
762	Maloti-Drakensberg Conservation and Development Project	World Bank	Regional	15.250	BD	GET	GEF - 2	MU	ML	GEFIO

<sup>46</sup> GEF focal area abbreviations shown are: BD = Biodiversity; Chem = Chemicals; CC = Climate Change; IW = International Waters; LD = Land Degradation; MF = Multi-Focal.

<sup>47</sup> Outcome ratings abbreviations are: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

<sup>48</sup> Sustainability ratings abbreviations are: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).

<sup>49</sup> GEFIO = Independent Evaluation Office of the GEF; IAEO = Evaluation Office of GEF Partner Agency.

786	Krakow Energy Efficiency Project	World Bank	Poland	11.000	CC	GET	GEF - 2	MU	ML	IAEO
817	Biodiversity Conservation of Lake Bosumtwé Basin	UNDP	Ghana	0.520	BD	GET	GEF - 2	S	MU	GEFIO
921	Electricity Services for Rural Areas Project	World Bank	Senegal	5.000	CC	GET	GEF - 2	MU	MU	IAEO
943	Renewable Energy Scale Up Program (CRESP), Phase 1	World Bank	China	40.220	CC	GET	GEF - 2	MS	MU	IAEO
946	Rural Electrification and Transmission	World Bank	Cambodia	5.750	CC	GET	GEF - 2	MS	MU	IAEO
970	Groundwater and Drought Management in SADC	World Bank	Regional	7.000	IW	GET	GEF - 3	MS	ML	IAEO
1017	Partnership Interventions for the Implementation of the Strategic Action Programme (SAP) for Lake Tanganyika	UNDP	Regional	13.500	IW	GET	GEF - 3	MS	ML	IAEO
1021	Conservation and Sustainable Use of Chiloé Globally Significant Biodiversity	UNDP	Chile	1.000	BD	GET	GEF - 2	MS	NR	GEFIO
1035	Integrated Ecosystem Management in the Cotahuasi Basin	UNDP	Peru	0.870	MF	GET	GEF - 3	MS	ML	IAEO
1047	Promoting Integrated Ecosystem and Natural Resource Management	UNDP	Honduras	4.207	MF	GET	GEF - 3	MS	ML	IAEO
1056	Conservation and Sustainable Use of Biodiversity on the South African Wild Coast	UNDP	South Africa	6.500	BD	GET	GEF - 3	MS	MU	IAEO
1063	Forest and Environment Development Policy Grant (FEDPG)	World Bank	Cameroon	10.000	BD	GET	GEF - 3	U	U	GEFIO
1091	Building the Inter-American Biodiversity Information Network (IABIN)	World Bank	Regional	6.000	BD	GET	GEF - 3	MS	MU	IAEO
1101	Participatory Management of Protected Areas	World Bank	Peru	14.830	BD	GET	GEF - 3	MS	ML	IAEO
1126	Sanjiang Plain Wetlands Protection Project	ADB	China	12.140	BD	GET	GEF - 3	MS	ML	GEFIO
1152	Biodiversity Conservation and Participatory Sustainable Management of Natural Resources in the Inner Niger Delta and its Transition Areas, Mopti Region	IFAD	Mali	6.000	BD	GET	GEF - 3	S	NR	GEFIO
1158	Energy Reform and Access Project	World Bank	Mozambique	3.090	CC	GET	GEF - 2	MS	MU	GEFIO
1174	Gulf of Gabes Marine and Coastal Resources Protection	World Bank	Tunisia	6.310	BD	GET	GEF - 3	MS	MU	IAEO
1197	Enhancing the Effectiveness and Catalyzing the Sustainability of the W-Arly-Pendjari (WAP) Protected Area System	UNDP	Regional	5.155	BD	GET	GEF - 3	S	MU	IAEO
1204	OECS Protected Areas and Associated Sustainable Livelihoods	World Bank	Regional	3.700	BD	GET	GEF - 3	MS	MU	IAEO
1207	Regional System of Protected Areas for Sustainable Conservation and Use of Valdivian Temperate Rainforest	UNDP	Chile	4.707	BD	GET	GEF - 3	MU	MU	IAEO
1209	Rural Electrification and Renewable Energy Development	World Bank	Bangladesh	8.200	CC	GET	GEF - 2	HS	ML	IAEO
1214	Integrated Ecosystem and Natural Resource Management in the Jordan Rift Valley	World Bank	Jordan	6.150	BD	GET	GEF - 3	MS	MU	IAEO
1217	Conservation and Sustainable Use of Wetlands	UNDP	Nepal	1.965	BD	GET	GEF - 3	S	ML	IAEO
1223	Removal of Barriers to the Introduction of Cleaner Artisanal Gold Mining and Extraction Technologies	UNDP	Global	6.800	IW	GET	GEF - 2	MS	MU	GEFIO
1253	Gourma Biodiversity Conservation Project	World Bank	Mali	5.500	BD	GET	GEF - 2	MU	U	IAEO
1274	Household Energy and Universal Rural Access Project	World Bank	Mali	3.500	CC	GET	GEF - 3	MS	MU	IAEO

1275	Community-based Integrated Ecosystem Management Program under the Community Action Program	World Bank	Niger	4.000	MF	GET	GEF - 2	MS	MU	IAEO
1299	Integrated Management of Aquatic Resources in the Amazon (AquaBio)	World Bank	Brazil	7.180	BD	GET	GEF - 3	NR	NR	IAEO
1319	Conservation and Sustainable Utilization of Wild Relatives of Crops (resubmission from Feb 2006 IWP)	UNDP	China	7.850	BD	GET	GEF - 3	S	ML	IAEO
1375	Reducing Transboundary Degradation in the Kura-Aras Basin	UNDP	Regional	2.900	IW	GET	GEF - 4	MS	MU	IAEO
1462	Programme for the Agulhas and Somali Current Large Marine Ecosystems: Agulhas and Somali Current Large Marine Ecosystems Project (ASCLMEs)	UNDP	Regional	12.200	IW	GET	GEF - 3	S	ML	IAEO
1537	Integrated Ecosystem Management in the Prespa Lakes Basin of Albania, FYR-Macedonia and Greece	UNDP	Regional	4.135	MF	GET	GEF - 3	MS	ML	IAEO
1538	Integrated Natural Resources and Biodiversity Management	World Bank	Uruguay	7.000	BD	GET	GEF - 3	MS	ML	IAEO
1542	DBSB Environmental Infrastructure Project - under Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River Basin and the Black Sea	World Bank	Moldova	4.562	IW	GET	GEF - 3	HU	NR	IAEO
1544	Rio de Janeiro Integrated Ecosystem Management in Production Landscapes of the North-Northwestern Fluminense	World Bank	Brazil	6.750	MF	GET	GEF - 3	MU	ML	IAEO
1545	Renewable Energy for Rural Economic Development	World Bank	Sri Lanka	8.000	CC	GET	GEF - 2	S	L	IAEO
1829	Coral Reef Rehabilitation and Management Project Phase II (COREMAP II)	World Bank	Indonesia	7.500	BD	GET	GEF - 1	MS	MU	IAEO
1830	Protected Areas Management and Sustainable Use (PAMSU)	World Bank	Uganda	8.000	BD	GET	GEF - 1	MS	ML	IAEO
1831	Energy for Rural Transformation Project (APL)	World Bank	Uganda	12.100	CC	GET	GEF - 2	MU	MU	IAEO
1837	Extending Wetland protected Areas through Community Based Conservation Initiatives	UNDP	Uganda	0.800	BD	GET	GEF - 4	S	ML	IAEO
1848	Mount Kenya East Pilot Project for Natural Resource Management (MKEPP)	IFAD	Kenya	4.700	MF	GET	GEF - 3	MS	ML	GEFIEO
1872	Community Agriculture and Watershed Management	World Bank	Tajikistan	4.500	MF	GET	GEF - 3	MS	ML	IAEO
1894	Renewable Energy Market Transformation (REMT)	World Bank	South Africa	6.000	CC	GET	GEF - 3	MS	ML	IAEO
1895	Improved Certification Schemes for Sustainable Tropical Forest Management	UNEP	Global	0.987	BD	GET	GEF - 3	S	L	GEFIEO
1905	Development of an Energy Efficiency Program for the Industrial Sector for Tunisia	World Bank	Tunisia	8.500	CC	GET	GEF - 3	MS	MU	IAEO
2019	Integrated National Adaptation Plan: High Mountain Ecosystems, Colombia's Caribbean Insular Areas and Human Health (INAP)	World Bank	Colombia	5.400	CC	GET	GEF - 3	MS	ML	IAEO
2045	GEF National Consultative Dialogue Initiative	UNDP/World Bank, UNEP, GEFSEC	Global	5.775	MF	GET	GEF - 3	S	NR	GEFIEO
2052	Sustainable Management of Inland Wetlands in Southern Africa: A Livelihoods and Ecosystem Approach	UNEP	Regional	0.975	LD	GET	GEF - 3	MS	MU	IAEO
2099	Corazon Transboundary Biosphere Reserve	World Bank	Regional	12.000	BD	GET	GEF - 3	MS	MU	IAEO
2120	Biodiversity Conservation in the Productive Landscape of the Venezuelan Andes	UNDP	Venezuela	7.352	BD	GET	GEF - 3	S	MU	IAEO

2127	CBPF: Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems (GIAHS)	FAO	Global	1.000	BD	GET	GEF - 4	MU	ML	GEFIO
2133	Lake Skader-Shkoder Integrated Ecosystem Management	World Bank	Regional	4.550	IW	GET	GEF - 4	MS	U	IAEO
2135	Guangdong - Pearl River Delta Urban Environment	World Bank	China	10.000	IW	GET	GEF - 3	MU	MU	IAEO
2141	DBSB Reduction of Enterprise Nutrient Discharges Project - RENDR - under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	World Bank	Serbia	9.020	IW	GET	GEF - 3	MU	MU	IAEO
2152	Butrint National Park: Biodiversity and Global Heritage Conservation	World Bank	Albania	0.950	BD	GET	GEF - 4	NR	NR	GEFIO
2268	SIP: Integrated Ecosystem Management in Four Representative Landscapes of Senegal, Phase 2	UNDP	Senegal	3.640	LD	GET	GEF - 4	S	NR	GEFIO
2275	The Middle Atlas Forest Restoration project	UNDP	Morocco	0.965	MF	GET	GEF - 3	S	ML	IAEO
2357	Agricultural Rehabilitation and Sustainable Land Management Project	World Bank	Burundi	5.000	LD	GET	GEF - 3	MS	ML	IAEO
2358	Sustainable Land Management	World Bank	Bhutan	7.664	LD	GET	GEF - 3	S	MU	IAEO
2359	Demonstration of Alternatives to Chlordane and Mirex in Termite Control	World Bank	China	14.357	Chem	GET	GEF - 3	MS	L	IAEO
2371	Biodiversity Conservation in Coffee: Transforming Productive Practices in the Coffee Sector by Increasing Market Demand for Certified Sustainable Coffee	UNDP	Regional	12.000	BD	GET	GEF - 3	S	ML	IAEO
2372	Forest and Mountain Protected Areas Project	World Bank	Bosnia-Herzegovina	3.400	BD	GET	GEF - 3	MS	ML	IAEO
2373	Sustainable Land Management in the Semi-Arid Sertao	IFAD	Brazil	5.943	LD	GET	GEF - 3	S	ML	GEFIO
2377	Sustainable Land Management in the High Pamir and Pamir-Alai Mountains - and Integrated and Transboundary Initiative in Central Asia Phase I	UNEP	Regional	3.000	LD	GET	GEF - 3	S	ML	IAEO
2380	Sustainable Co-Management of the Natural Resources of the Air-Tenere Complex	UNDP	Niger	4.000	LD	GET	GEF - 3	MS	MU	IAEO
2443	Environmental Services Project	World Bank	Mexico	15.000	BD	GET	GEF - 3	S	L	IAEO
2459	Community-based Watershed Management Project	World Bank	Mauritania	6.000	LD	GET	GEF - 3	MU	MU	IAEO
2511	Groundnut Basin Soil Management and Regeneration	UNDP	Senegal	3.656	LD	GET	GEF - 3	S	ML	IAEO
2517	Sustainable Environmental Management for Sixaola River Basin	IADB	Regional	3.500	MF	GET	GEF - 3	S	ML	GEFIO
2531	Sustainable Energy Program	World Bank	Macedonia	5.500	CC	GET	GEF - 3	MS	ML	IAEO
2545	Catalyzing the Implementation of Uruguay's National Protected Area System	UNDP	Uruguay	2.500	BD	GET	GEF - 3	MS	MU	IAEO
2586	PAS: Implementing Sustainable Integrated Water Resource and Wastewater Management in the Pacific Island Countries - under the GEF Pacific Alliance for Sustainability	UNDP/UNEP	Regional	9.026	IW	GET	GEF - 4	S	ML	IAEO
2604	Sustainable Public Transport and Sport: A 2010 Opportunity	UNDP	South Africa	10.973	CC	GET	GEF - 4	MS	MU	IAEO
2615	National Grasslands Biodiversity Program	UNDP	South Africa	8.300	BD	GET	GEF - 4	S	ML	IAEO

2629	Improvement of DDT-based production of Dicofol and introduction of alternative technologies including IPM for leaf mites control in China	UNDP	China	6.000	Chem	GET	GEF - 4	S	L	IAEO
2634	Guangxi Integrated Forestry Development and Biodiversity Conservation	World Bank	China	5.250	BD	GET	GEF - 3	HS	ML	GEFIO
2635	Protected Areas Consolidation and Administration	World Bank	El Salvador	5.000	BD	GET	GEF - 3	MU	MU	IAEO
2669	Natural Resources Development Project	World Bank	Albania	5.000	MF	GET	GEF - 3	MS	MU	IAEO
2689	Latin America: Multi-country Capacity-building for Compliance with the Cartagena Protocol on Biosafety	World Bank	Regional	4.000	BD	GET	GEF - 3	MS	ML	IAEO
2701	Development and Adoption of a Strategic Action Program for Balancing Water Uses and Sustainable Natural Resource Management in the Orange-Senqu River Transboundary Basin	UNDP	Regional	6.300	IW	GET	GEF - 4	MS	ML	IAEO
2746	Promoting Replication of Good Practices for Nutrient Reduction and Joint Collaboration in Central and Eastern Europe	UNDP	Regional	0.975	IW	GET	GEF - 4	S	L	GEFIO
2750	WB-GEF POL Ningbo Water and Environment Project - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	World Bank	China	5.000	IW	GET	GEF - 3	MU	MU	IAEO
2767	LAC Regional Sustainable Transport and Air Quality Project	World Bank	Regional	2.900	CC	GET	GEF - 3	MS	MU	IAEO
2812	Teacher's Solar Lighting Project	World Bank	Papua New Guinea	0.992	CC	GET	GEF - 3	HU	U	GEFIO
2865	Promotion of Strategies to Reduce Unintentional Production of POPs in the PERSGA Coastal Zone	UNIDO	Global	0.950	Chem	GET	GEF - 4	S	L	GEFIO
2896	Sacred Orchids of Chiapas: Cultural and Religious Values in Conservation	World Bank	Mexico	0.838	BD	GET	GEF - 4	HS	L	GEFIO
2899	Country Support Program for GEF Focal Points	UNDP/UNEP	Global	11.900	MF	GET	GEF - 3	S	ML	GEFIO
2932	Alternatives to DDT Usage for the Production of Anti-fouling Paint	UNDP	China	10.365	Chem	GET	GEF - 3	S	L	IAEO
2954	Bus Rapid Transit and Pedestrian Improvements in Jakarta	UNEP	Indonesia	5.812	CC	GET	GEF - 3	MS	ML	IAEO
3010	LGGE: Energy Efficiency in New Construction in the Residential and Commercial Buildings Sector in Mongolia	UNDP	Mongolia	0.975	CC	GET	GEF - 4	S	ML	IAEO
3074	Capacity Development for Improved National and International Environmental Management in Seychelles	UNDP	Seychelles	0.400	MF	GET	GEF - 4	U	ML	IAEO
3082	Safe Management and Disposal of PCBs, Pillar I	UNDP	Morocco	2.198	Chem	GET	GEF - 4	S	ML	IAEO
3120	Development of the National Capacities for the Environmental Sound Management of PCBs in Uruguay	UNDP	Uruguay	0.955	Chem	GET	GEF - 4	MS	L	IAEO
3138	Applying an Ecosystem-based Approach to Fisheries Management: Focus on Seamounts in the Southern Indian Ocean	UNDP	Global	0.950	IW	GET	GEF - 4	MU	U	IAEO
3148	DBSB Agricultural Pollution Control Project - under the Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River and Black Sea	World Bank	Croatia	5.000	IW	GET	GEF - 3	MU	ML	IAEO
3155	Coping with Drought and Climate Change	UNDP	Mozambique	0.960	CC	SCCF	GEF - 3	MS	ML	IAEO
3183	Mitigating the Threats of Invasive Alien Species in the Insular Caribbean	UNEP	Regional	3.034	BD	GET	GEF - 4	S	L	IAEO
3224	Establishing Sustainable Liquid Biofuels Production Worldwide (A Targeted Research Project)	UNEP	Global	0.970	CC	GET	GEF - 4	MU	L	IAEO

3239	CACILM: Capacity Building and on-the-ground Investments for Integrated and Sustainable Land Management - under CACILM Partnership Framework, Phase 1	UNDP	Turkmenistan	0.975	LD	GET	GEF - 3	MU	U	GEFIO
3265	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	World Bank	China	5.000	CC	SCCF	GEF - 4	S	L	IAEO
3293	Steppe Conservation and Management	UNDP	Kazakhstan	2.215	BD	GET	GEF - 4	S	ML	IAEO
3296	Geothermal Power Generation Development Program	World Bank	Indonesia	4.000	CC	GET	GEF - 4	U	U	IAEO
3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	UNDP	Thailand	0.869	CC	SCCF	GEF - 4	MS	ML	IAEO
3305	Implementation of the Benguela Current LME Action Program for Restoring Depleted Fisheries and Reducing Coastal Resources Degradation	UNDP	Regional	5.138	IW	GET	GEF - 4	MS	MU	IAEO
3319	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	UNDP	Niger	3.500	CC	LDCF	GEF - 4	S	ML	IAEO
3346	DSSA Malaria Decision Analysis Support Tool (MDAST): Evaluating Health Social and Environmental Impacts and Policy Tradeoffs	UNEP	Regional	0.999	Chem	GET	GEF - 4	MU	L	IAEO
3358	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa	UNDP	Samoa	2.000	CC	LDCF	GEF - 4	MS	ML	IAEO
3382	SIP: Community Driven SLM for Environmental and Food Security	World Bank	Niger	4.670	LD	GET	GEF - 4	MS	MU	IAEO
3385	SIP: Sustainable Land Management in Senegal	World Bank	Senegal	4.800	LD	GET	GEF - 4	S	MU	IAEO
3404	Promoting Climate-Resilient Water Management and Agricultural Practices	UNDP	Cambodia	1.850	CC	LDCF	GEF - 4	S	ML	IAEO
3410	Piloting of an Ecosystem-based Approach to Uruguayan Coastal Fisheries	FAO	Uruguay	0.950	BD	GET	GEF - 4	MS	NR	GEFIO
3418	Mainstreaming Biodiversity Management into Medicinal and Aromatic Plants Production Processes	UNDP	Lebanon	0.980	BD	GET	GEF - 4	MS	L	IAEO
3419	Strategic Partnerships to Improve the Financial and Operational Sustainability of Protected Areas	UNDP	Botswana	0.953	BD	GET	GEF - 4	S	ML	IAEO
3425	Improving Energy Efficiency in Buildings	UNDP	Kyrgyzstan	0.900	CC	GET	GEF - 4	S	ML	IAEO
3428	SFM Extending the Coastal Forests Protected Area Subsystem	UNDP	Tanzania	3.550	BD	GET	GEF - 4	MS	ML	IAEO
3433	Sustainable Mobility in the City of Bratislava	UNDP	Slovak Republic	0.930	CC	GET	GEF - 4	MS	ML	IAEO
3465	CBPF: Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin	UNDP	China	2.730	BD	GET	GEF - 4	MS	ML	IAEO
3522	CTI Arafura and Timor Seas Ecosystem Action Programme (ATSEA) - under the Coral Triangle Initiative	UNDP	Regional	2.500	IW	GET	GEF - 4	S	ML	IAEO
3572	Regional Plan for Introduction of BAT/BEP Strategies to Industrial Source Categories of Stockholm Convention Annex C of Article 5 in ESEA Region	UNIDO	Regional	0.950	Chem	GET	GEF - 4	S	MU	GEFIO
3581	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cape Verde	UNDP	Cabo Verde	3.000	CC	LDCF	GEF - 4	MS	ML	IAEO
3627	SFM: Promotion of Sustainable Forest and Land Management in the Vietnam Uplands	IFAD	Vietnam	0.650	MF	GET	GEF - 4	MS	ML	GEFIO
3629	BS Implementation of the National Biosafety Framework	UNEP	Costa Rica	0.719	BD	GET	GEF - 4	MS	ML	IAEO

3639	CTI GEF IW: LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes - under the Coral Triangle Initiative	UNDP/ADB	Global	2.700	IW	GET	GEF - 4	MU	ML	IAEO
3676	Grasslands and Savannas of the Southern Cone of South America: Initiatives for their Conservation in Argentina	World Bank	Argentina	0.900	BD	GET	GEF - 4	S	MU	GEFIO
3684	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	UNDP	Burkina Faso	2.900	CC	LDCF	GEF - 4	S	MU	IAEO
3698	Strengthening the Turkmenistan Protected Areas System	UNDP	Turkmenistan	0.950	BD	GET	GEF - 4	MU	ML	IAEO
3762	Developing the Protected Area System	UNDP	Armenia	0.950	BD	GET	GEF - 4	MS	L	IAEO
3790	Communities of Conservation: Safeguarding the World's Most Threatened Species	UNEP	Global	1.775	BD	GET	GEF - 4	S	ML	IAEO
3793	Namibia Energy Efficiency Programme (NEEP) In Buildings	UNDP	Namibia	0.859	CC	GET	GEF - 4	MU	ML	IAEO
3816	Mainstreaming the Conservation of Ecosystem Services and Biodiversity at the Micro-watershed Scale in Chiapas	UNEP	Mexico	1.484	BD	GET	GEF - 4	S	L	IAEO
3817	SPWA-BD: Guinea Bissau Biodiversity Conservation Trust Fund Project	World Bank	Guinea-Bissau	0.950	BD	GET	GEF - 4	MS	ML	GEFIO
3849	Improving the Financial Sustainability of the Carpathian System of Protected Areas	UNDP	Romania	0.950	BD	GET	GEF - 4	MS	MU	IAEO
3864	CBPF: Strengthening Globally Important Biodiversity Conservation Through Protected Area Strengthening in Gansu Province	UNDP	China	1.738	BD	GET	GEF - 4	S	ML	IAEO
3900	MENARID: GEF IW LEARN: Strengthening IW Portfolio Delivery and Impact	UNDP/UNEP	Global	4.095	IW	GET	GEF - 4	MS	ML	IAEO
3961	SPWA-BD: The Gambia Biodiversity Management and Institutional Strengthening Project	World Bank	Gambia	0.950	BD	GET	GEF - 4	S	ML	GEFIO
4030	Greening 2014 Sochi Olympics: A Strategy and Action Plan for the Greening Legacy	UNDP	Russian Federation	0.900	CC	GET	GEF - 4	U	MU	IAEO
4527	Partnering for Natural Resource Management - Conservation Council of Nations (CCN)	UNEP	Global	0.909	BD	GET	GEF - 5	S	L	IAEO
4543	The GLOBE Legislator Forest Initiative	UNEP	Global	1.000	MF	GET	GEF - 5	S	L	IAEO



Table A2, list of newly reviewed projects completed prior to 2005, covered in APR 2014 (n=111)

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area	Fund	GEF Phase	Outcome rating	Sustainability rating	Source of ratings
14	Global - Regionally-Based Assessment of Persistent Toxic Substances (RBA/PTS)	UNEP	Global	2.662	Chem	GET	GEF - 2	S	MU	GEFIEO
16	Guatemala - Management and Protection of Laguna del Tigre National Park and Biotope	World Bank	Guatemala	0.723	BD	GET	GEF - 2	S	ML	GEFIEO
19	South Africa - Concentrating Solar Power for Africa (CSP-Africa)	World Bank	South Africa	0.230	CC	GET	GEF - 2	S	NR	GEFIEO
23	Global - Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-arid Zones	UNEP	Global	0.750	BD	GET	GEF - 2	MS	MU	GEFIEO
25	Georgia - Conservation of Arid and Semi-arid Ecosystems in the Caucasus	UNDP	Georgia	0.725	BD	GET	GEF - 2	S	ML	GEFIEO
27	Regional - Creation and Strengthening of the Capacity for Sustainable Renewable Energy (RE) Development in Central America (FOCER)	UNDP	Regional	0.725	CC	GET	GEF - 2	MS	ML	GEFIEO
28	Guatemala - Renewable Energy-Based Small Enterprise Development in the Quiche Region	UNDP	Guatemala	0.383	CC	GET	GEF - 2	NR	NR	GEFIEO
32	Mini-Hydropower Project	World Bank	Macedonia	0.750	CC	GET	GEF - 2	S	ML	GEFIEO
33	Regional - An Indicator Model for Dryland Ecosystems in Latin America	UNEP	Regional	0.725	BD	GET	GEF - 2	MS	L	GEFIEO
48	Wildlands Protection and Management	World Bank	Congo	10.097	BD	GET	Pilot Phase	MS	U	GEFIEO
49	Coastal Wetlands Management	World Bank	Ghana	7.200	BD	GET	Pilot Phase	MS	ML	GEFIEO
50	Kenya - Conservation of the Tana River Primate National Reserve (TRNPR)	World Bank	Kenya	6.200	BD	GET	Pilot Phase	MU	U	GEFIEO
51	Lake Malawi/Nyasa Biodiversity Conservation	World Bank	Malawi	5.000	BD	GET	Pilot Phase	MS	ML	GEFIEO
52	Mali - Household Energy Project	World Bank	Mali	2.500	CC	GET	Pilot Phase	S	ML	GEFIEO
53	Mozambique Transfrontier Conservation Areas Pilot And Institutional Strengthening Project P001759	World Bank	Mozambique	5.000	BD	GET	Pilot Phase	MS	MU	GEFIEO
59	Regional - OECS Ship-Generated Waste Management	World Bank	Regional	12.500	IW	GET	Pilot Phase	MS	ML	GEFIEO
62	Mexico - Protected Areas Program	World Bank	Mexico	25.000	BD	GET	Pilot Phase	S	L	GEFIEO
64	Demand Side Management Demonstration	World Bank	Jamaica	3.800	CC	GET	Pilot Phase	MU	MU	GEFIEO
66	Egypt - Red Sea coastal and marine resource management project	World Bank	Egypt	4.750	BD	GET	Pilot Phase	S	ML	GEFIEO
68	Oil Pollution Management Project for the Southwest Mediterranean Sea	World Bank	Regional	18.100	IW	GET	Pilot Phase	S	ML	GEFIEO
69	Danube Delta Biodiversity	World Bank	Romania	4.500	BD	GET	Pilot Phase	MS	ML	GEFIEO

70	Greenhouse Gas Reduction	World Bank	Russian Federation	3.200	CC	GET	Pilot Phase	MU	L	GEFIO
72	Jordan - Gulf of Aqaba Environmental Action Plan	World Bank	Jordan	2.700	IW	GET	GEF - 1	S	L	GEFIO
73	Regional - Water and Environmental Management Project (WEMP) in the Aral Sea Basin	World Bank	Regional	12.000	IW	GET	GEF - 1	MU	ML	GEFIO
75	China Sichuan Gas Transmission and Distribution Rehabilitation	World Bank/UNDP	China	10.000	CC	GET	Pilot Phase	S	L	GEFIO
77	Indonesia - Biodiversity Collections Project	World Bank/UNDP	Indonesia	7.200	BD	GET	Pilot Phase	MS	ML	GEFIO
78	Laos - Forest Management and Conservation	World Bank	Lao PDR	5.000	BD	GET	Pilot Phase	MU	U	GEFIO
79	Philippines - Conservation of Priority Protected Areas	World Bank	Philippines	20.000	BD	GET	Pilot Phase	MU	MU	GEFIO
80	Leyte-Luzon Geothermal	World Bank	Philippines	31.200	CC	GET	Pilot Phase	MS	MU	GEFIO
81	Promotion of Electricity Energy Efficiency	World Bank/UNDP	Thailand	9.500	CC	GET	Pilot Phase	S	ML	GEFIO
83	China - Nature Reserves Management	World Bank/UNDP	China	17.900	BD	GET	GEF - 1	MS	ML	GEFIO
85	Cameroon - Biodiversity Conservation and Management	World Bank	Cameroon	5.960	BD	GET	Pilot Phase	MS	ML	GEFIO
90	Russia Biodiversity Conservation Project	World Bank	Russian Federation	20.100	BD	GET	GEF - 1	S	ML	GEFIO
99	Indonesia - Kerinci Seblat - Integrated Conservation and Development Project (ICDP)	World Bank	Indonesia	15.020	BD	GET	GEF - 1	U	MU	GEFIO
100	Danube Delta Biodiversity	World Bank	Ukraine	1.500	BD	GET	Pilot Phase	S	U	GEFIO
102	Mauritius - Biodiversity Restoration Project	World Bank	Mauritius	1.200	BD	GET	GEF - 1	S	L	GEFIO
106	Lithuania - KLAIPEDA GEOTHERMAL DEMONSTRATION PROJECT	World Bank	Lithuania	6.900	CC	GET	GEF - 1	MS	ML	GEFIO
119	Indonesia - Solar Home Systems (SHS)	World Bank	Indonesia	24.300	CC	GET	GEF - 1	U	ML	GEFIO
125	Madagascar - The Environment Program Phase II Project	UNDP/World Bank	Madagascar	20.800	BD	GET	GEF - 1	S	MU	GEFIO
142	Global - People, Land Management, and Environmental Change (PLEC)	UNEP	Global	6.176	BD	GET	GEF - 1	S	L	GEFIO
145	Biodiversity Data Management Capacitation in Developing Countries and Networking Biodiversity Information	UNEP	Global	4.000	BD	GET	Pilot Phase	MS	ML	GEFIO
173	Global Biodiversity Assessment	UNEP	Global	3.300	BD	GET	Pilot Phase	S	NR	GEFIO
192	Bhutan Integrated Management of Jigme Dorji National Park (JDNP)	UNDP	Bhutan	1.492	BD	GET	GEF - 1	MS	ML	GEFIO
195	Biodiversity Conservation and Management in the Coastal Zone of the Dominican Republic	UNDP	Dominican Republic	3.000	BD	GET	Pilot Phase	U	NR	GEFIO
206	Uruguay - Consolidation of the Bañados del Este Biosphere Reserve	UNDP	Uruguay	2.500	BD	GET	GEF - 1	S	ML	GEFIO
220	Comoros - Conservation of biodiversity and sustainable development	UNDP	Comoros	2.350	BD	GET	GEF - 1	MU	MU	GEFIO

263	Energy Conservation and Pollution Control in Township and Village Enterprise Industries	UNDP	China	1.000	CC	GET	GEF - 1	S	L	GEFIEO
302	Bulgaria - Energy Efficiency Strategy to Mitigate GHG (greenhouse gases) Emissions Energy Efficiency Zone in the City of Gabrovo	UNDP	Bulgaria	2.575	CC	GET	GEF - 1	S	ML	GEFIEO
333	Ghana - Renewable Energy-Based Electricity for Rural, Social and Economic Development	UNDP	Ghana	2.472	CC	GET	GEF - 1	MS	MU	GEFIEO
338	Brazil - Biomass Power Generation: Sugar Cane Bagasse and Trash.	UNDP	Brazil	3.700	CC	GET	GEF - 1	S	ML	GEFIEO
340	Regional - Implementation of the Strategic Action Programme(SAP) for the Red Sea and Gulf of Aden	UNDP/UNEP/World Bank	Global	19.000	IW	GET	GEF - 1	MS	U	GEFIEO
347	Biodiversity Conservation and Resource Management	UNDP	Papua New Guinea	5.000	BD	GET	Pilot Phase	U	U	GEFIEO
348	Panama - Biodiversity Conservation in the Darien Region	UNDP	Panama	2.000	BD	GET	Pilot Phase	MU	U	GEFIEO
349	Conservation of Biodiversity through Effective Management of Wildlife Trade	UNDP	Gabon	1.000	BD	GET	Pilot Phase	NR	U	GEFIEO
350	Biodiversity Conservation in Nepal	UNDP	Nepal	3.800	BD	GET	Pilot Phase	MU	MU	GEFIEO
351	Ethiopia - A dynamic farmer-based approach to the conservation of plant genetic resources	UNDP	Ethiopia	2.456	BD	GET	Pilot Phase	S	L	GEFIEO
352	Development of Wildlife Conservation and Protected Areas Management	UNDP	Sri Lanka	4.100	BD	GET	Pilot Phase	MS	MU	GEFIEO
354	Patagonian Coastal Zone Management Plan	UNDP	Argentina	2.800	BD	GET	Pilot Phase	MS	MU	GEFIEO
355	Conservation of the Dana and Azraq Protected Areas	UNDP	Jordan	6.300	BD	GET	Pilot Phase	MS	MU	GEFIEO
356	Restoration of Highly Degraded and Threatened Native Forests in Mauritius	UNDP	Mauritius	0.200	BD	GET	Pilot Phase	MS	NR	GEFIEO
357	Institutional Support for the Protection of East African Biodiversity	UNDP	Regional	10.000	BD	GET	Pilot Phase	MS	MU	GEFIEO
358	Sustainable Development and Management of Biologically Diverse Coastal Resources	UNDP	Belize	3.000	BD	GET	Pilot Phase	MS	MU	GEFIEO
363	Protecting Biodiversity and Establishing Sustainable Development of the in Sabana-Camaguey Region	UNDP	Cuba	2.000	BD	GET	Pilot Phase	S	NR	GEFIEO
365	Strengthening Conservation Capacity and Development and Institution of a National Biodiversity Conservation Plan (Implementation Phase I)	UNDP	Mongolia	1.000	BD	GET	Pilot Phase	MS	ML	GEFIEO
366	Conservation of Biodiversity in the Choco Biogeographic Region	UNDP	Colombia	6.000	BD	GET	Pilot Phase	MS	L	GEFIEO
367	Conservation of Biodiversity in the Eastern Wetlands	UNDP	Uruguay	3.000	BD	GET	Pilot Phase	U	ML	GEFIEO
368	Programme for Sustainable Forestry (Iwokrama Rain Forest Programme)	UNDP	Guyana	3.000	BD	GET	Pilot Phase	S	ML	GEFIEO
371	Decentralized Wind Electric Power for Social and Economic Development (Alizes Electriques)	UNDP	Mauritania	2.100	CC	GET	Pilot Phase	MU	U	GEFIEO
374	Photovoltaics for Household and Community Use	UNDP	Zimbabwe	7.000	CC	GET	Pilot Phase	MU	U	GEFIEO

376	Regional (Cote d'Ivoire & Senegal) - Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	UNDP	Regional	3.500	CC	GET	Pilot Phase	U	U	GEFIO
377	Sudan - Community Based Rangeland Rehabilitation for Carbon Sequestration and Biodiversity	UNDP	Sudan	1.500	CC	GET	Pilot Phase	MS	U	GEFIO
381	Biomass Integrated Gasification/Gas Turbine Project	UNDP	Brazil	8.115	CC	GET	Pilot Phase	S	ML	GEFIO
392	Support for Regional Oceans Training Programmes	UNDP	Global	2.583	IW	GET	Pilot Phase	MS	ML	GEFIO
393	Water Pollution Control and Biodiversity Conservation in the Gulf of Guinea Large Marine Ecosystem (LME)	UNDP	Regional	6.000	IW	GET	Pilot Phase	MS	MU	GEFIO
394	Yemen - Protection of Marine Ecosystems of the Red Sea Coast	UNDP	Yemen	2.800	IW	GET	Pilot Phase	U	MU	GEFIO
396	Prevention and Management of Marine Pollution in the East Asian Seas	UNDP	Regional	8.000	IW	GET	Pilot Phase	MS	MU	GEFIO
398	Pollution Control and Other Measures to Protect Biodiversity in Lake Tanganyika	UNDP	Regional	10.000	IW	GET	Pilot Phase	S	MU	GEFIO
402	Pilot Biosafety Enabling Activity	UNEP	Global	2.744	BD	GET	GEF - 1	S	MU	GEFIO
403	Regional - South Pacific Biodiversity Conservation Programme (SPBCP)	UNDP	Regional	6.400	BD	GET	Pilot Phase	MU	MU	GEFIO
406	Regional - African NGO-Government Partnership for Sustainable Biodiversity Action	UNDP	Regional	4.330	BD	GET	GEF - 1	S	ML	GEFIO
413	Global Biodiversity Forum Phase II	UNEP	Global	0.745	BD	GET	GEF - 1	MS	U	GEFIO
462	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 Environs	UNDP	Global	4.957	IW	GET	GEF - 1	MU	MU	GEFIO
465	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	Global	0.750	BD	GET	GEF - 1	S	ML	GEFIO
483	Seychelles - Management of Avian Ecosystems	World Bank	Seychelles	0.740	BD	GET	GEF - 1	S	L	GEFIO
490	Uganda - Kibale Forest Wild Coffee Project	World Bank	Uganda	0.750	BD	GET	GEF - 2	U	U	GEFIO
495	Republic of Croatia Kopacki rit Wetland Management Project	World Bank	Croatia	0.750	BD	GET	GEF - 2	MS	L	GEFIO
496	Belize - Northern Belize Biological Corridors Project	World Bank	Belize	0.724	BD	GET	GEF - 2	MS	ML	GEFIO
499	Belize - Creating A Co-Managed Protected Areas (PA) System	UNDP	Belize	0.750	BD	GET	GEF - 2	U	U	GEFIO
535	Biodiversity Conservation and Marine Pollution Abatement	World Bank	Seychelles	1.800	BD	GET	Pilot Phase	S	MU	GEFIO
536	Regional - Conservation Priority-Setting for the Upper Guinea (UG) Forest Ecosystems, West Africa	UNDP	Regional	0.742	BD	GET	GEF - 1	MS	ML	GEFIO
537	Biodiversity Protection	World Bank	Belarus	1.000	BD	GET	Pilot Phase	MS	MU	GEFIO
538	National Trust Fund for Protected Areas	World Bank	Peru	5.000	BD	GET	Pilot Phase	S	ML	GEFIO

539	Forest Biodiversity Protection	World Bank	Poland	4.500	BD	GET	Pilot Phase	S	ML	GEFIEO
542	Trust Fund for Environmental Conservation	World Bank	Bhutan	10.000	BD	GET	Pilot Phase	S	L	GEFIEO
566	Biodiversity Protection	World Bank	Czech Republic	2.000	BD	GET	Pilot Phase	MS	ML	GEFIEO
567	Biodiversity Protection	World Bank	Slovak Republic	2.300	BD	GET	Pilot Phase	MS	MU	GEFIEO
569	Argentina - Efficient Streetlighting Program	World Bank	Argentina	0.736	CC	GET	GEF - 2	MU	MU	GEFIEO
572	Teheran Transport Emissions Reduction	World Bank	Iran	2.000	CC	GET	Pilot Phase	S	MU	GEFIEO
600	China - Lop Nur nature sanctuary biodiversity conservation project	UNEP	China	0.725	BD	GET	GEF - 2	MS	MU	GEFIEO
601	Ecuador Monitoring the Galápagos Islands	World Bank	Ecuador	0.941	BD	GET	GEF - 2	S	ML	GEFIEO
611	Global - Redirecting commercial investment decisions to cleaner technology - a technology transfer clearing house	UNEP	Global	0.750	CC	GET	GEF - 2	S	MU	GEFIEO
628	Ecuador- Wetland Priorities for Conservation Action	World Bank	Ecuador	0.718	BD	GET	GEF - 2	S	ML	GEFIEO
644	Mexico - El Triunfo Biosphere Reserve: Habitat Enhancement in Productive Landscapes	World Bank	Mexico	0.725	BD	GET	GEF - 2	S	ML	GEFIEO
672	Costa Rica - Conservation of Biodiversity in the Talamanca Caribe Biological Corridor	UNDP	Costa Rica	0.750	BD	GET	GEF - 2	U	U	GEFIEO
768	Programme for Phasing Out Ozone Depleting Substances	UNDP/UNEP	Estonia	0.850	Chem	GET	GEF - 2	S	ML	GEFIEO
769	Programme for Phasing Out Ozone Depleting Substances	UNDP/UNEP	Kazakhstan	5.430	Chem	GET	GEF - 2	MU	MU	GEFIEO
772	Community Based Conservation in the Bamenda Highlands	UNDP	Cameroon	1.000	BD	GET	GEF - 2	MS	MU	GEFIEO
796	Kenya - Lake Baringo Community-based Integrated Land and Water Management Project	UNEP	Kenya	0.750	BD	GET	GEF - 2	MU	MU	GEFIEO
849	Regional Development and Protection of the Coastal and Marine Environment in Sub-Saharan Africa	UNEP	Regional	0.750	IW	GET	GEF - 2	S	ML	GEFIEO
1305	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	Regional	0.663	Chem	GET	GEF - 2	MS	ML	GEFIEO
1430	Global - Support to the Implementation of the Stockholm Convention on Persistent Organic Pollutants	UNEP	Global	0.580	Chem	GET	GEF - 2	S	ML	GEFIEO

## ANNEX B. TERMINAL EVALUATION REPORT REVIEW GUIDELINES

The assessments in the terminal evaluation reviews will be based largely on the information presented in the terminal evaluation report. If insufficient information is presented in a terminal evaluation report to assess a specific issue such as, for example, quality of the project's monitoring and evaluation system or a specific aspect of sustainability, then the preparer of the terminal evaluation reviews will briefly indicate so in that section and elaborate more if appropriate in the section of the review that addresses quality of report. If the review's preparer possesses other first-hand information such as, for example, from a field visit to the project, and this information is relevant to the terminal evaluation reviews, then it should be included in the reviews only under the heading "Additional independent information available to the reviewer." The preparer of the terminal evaluation review will take into account all the independent relevant information when verifying ratings.

### B.1 Criteria for Outcome Ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review will make an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved<sup>50</sup>, relevance of the project results, and the project's cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:<sup>51</sup>

- a) **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities? Explain.
- b) **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (that is, the original or modified project objectives)?
- c) **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following questions: Was the project cost-effective? How does the project's cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

An overall rating will be provided according to the achievement and shortcomings in the three criteria ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, highly unsatisfactory, and unable to assess.

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<sup>50</sup> *Objectives* are the intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002).

<sup>51</sup> *Outcomes* are the likely or achieved short-term and medium-term effects of an intervention's outputs. Outputs are the products, capital goods, and services that result from a development intervention; these may also include changes resulting from the intervention that are relevant to the achievement of outcomes (OECD DAC 2002). For the GEF, environmental outcomes are the main focus.

The reviewer of the terminal evaluation will provide a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes will be rated on a binary scale: a ‘satisfactory’ or an ‘unsatisfactory’ rating will be provided. If an ‘unsatisfactory’ rating has been provided on this criterion, the overall outcome achievement rating may not be higher than “unsatisfactory”. Effectiveness and Efficiency will be rated as following:

- **Highly satisfactory.** The project had no shortcomings.
- **Satisfactory.** The project had minor shortcomings.
- **Moderately satisfactory.** The project had moderate shortcomings.
- **Moderately unsatisfactory.** The project had noticeable shortcomings.
- **Unsatisfactory.** The project had major shortcomings.
- **Highly unsatisfactory.** The project had severe shortcomings.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

The calculation of the overall outcomes score of projects will consider all three criteria, of which relevance criterion will be applied first - the overall outcome achievement rating may not be higher than “unsatisfactory”. The second constraint that is applied is that the overall outcome achievement rating may not be higher than the “effectiveness” rating. The third constraint that is applied is that the overall rating may not be higher than the average score of effectiveness and efficiency criteria calculated using the following formula:

$$\text{Outcomes} = (b + c) \div 2$$

In case the average score is lower than the score obtained after application of the first two constraints, then the average score will be the overall score. The score will then be converted into an overall rating with mid values being rounded up upwards.

## **B.2 Impacts**

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts will be understood to include positive and negative, primary and secondary long-term effects produced by a development intervention. They could be produced directly or indirectly and could be intended or unintended. The terminal evaluation review’s preparer will take note of any mention of impacts, especially global environmental benefits, in the terminal evaluation report including the likelihood that the project outcomes will contribute to their achievement. Negative impacts mentioned in the terminal evaluation report should be noted and recorded in section 2 of the terminal evaluation reviews template in the subsection on “Issues that require follow-up.” Although project impacts will be described, they will not be rated.

### B.3 Criteria for Sustainability Ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, and enabling economy. The following four types of risk factors will be assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional frameworks and governance, and environmental.

The following questions provide guidance to assess if the factors are met:

- **Financial resources.** What is the likelihood that financial resources will be available to continue the activities that result in the continuation of benefits (income-generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project outcomes)?
- **Sociopolitical.** Are there any social or political risks that can undermine the longevity of project outcomes? What is the risk that the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained? Do the various key stakeholders see in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- **Institutional framework and governance.** Do the legal frameworks, policies, and governance structures and processes pose any threat to the continuation of project benefits? While assessing this parameter, consider if the required systems for accountability and transparency, and the required technical know-how, are in place.
- **Environmental.** Are there any environmental risks that can undermine the future flow of project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

The reviewer will provide a rating under each of the four criteria (financial resources, sociopolitical, institutional, and environmental) as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.



- **Unable to assess.** Unable to assess risk on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

A number rating 1–4 will be provided in each category according to the achievement and shortcomings with likely = 4, moderately likely = 3, moderately unlikely = 2, unlikely = 1, and not applicable = 0. A rating of unable to assess will be used if the reviewer is unable to assess any aspect of sustainability. In such instances, it may not be possible to assess the overall sustainability.

All the risk dimensions of sustainability are critical. Therefore, the overall rating will not be higher than the rating of the dimension with the lowest rating. For example, if the project has an unlikely rating in either of the dimensions, then its overall rating cannot be higher than unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average

#### **B.4 Criteria for Assessment of Quality of Project M&E Systems**

GEF projects are required to develop M&E plans by the time of work program inclusion, to appropriately budget M&E plans, and to fully carry out the M&E plan during implementation. Project managers are also expected to use the information generated by the M&E system during project implementation to improve and adapt the project to changing situations. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that measure results (such as environmental results) after project completion. Terminal evaluation reviews will include an assessment of the achievement and shortcomings of M&E systems.

- M&E design.** Project should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; effective use of data collection; analysis systems including studies and reports; practical organization and logistics in terms of what, who, and when for M&E activities)?
- M&E plan implementation.** The M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project. Annual project reports were complete, accurate, and with well-justified ratings. The information provided by the M&E system was used to improve and adapt project performance. An M&E system should be in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Question to guide this assessment include: Did the project M&E system operate

throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?

- c) **Other questions.** This includes questions on funding and whether the M&E system was a good practice.
- Was sufficient funding provided for M&E — in the budget included in the project document?
  - Was sufficient and timely funding provided – for M&E during project implementation?
  - Can the project M&E system be considered – a good practice?

A number rating 1–6 will be provided for each criterion according to the achievement and shortcomings with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. The reviewer of the terminal evaluation will provide a rating under each of the three criteria (M&E design, M&E plan implementation, and M&E properly budgeted and funded) as follows:

- **Highly satisfactory.** There were no shortcomings in that criterion of the project M&E system.
- **Satisfactory.** There were minor shortcomings in that criterion of the project M&E system.
- **Moderately satisfactory.** There were moderate shortcomings in that criterion of the project M&E system.
- **Moderately unsatisfactory.** There were significant shortcomings in that criterion of the project M&E system.
- **Unsatisfactory.** There were major shortcomings in that criterion of the project M&E system.
- **Highly unsatisfactory.** There was no project M&E system.

The rating for M&E during implementation will be the overall rating of the M&E system:

**Rating on the Quality of the Project Monitoring and Evaluation System = b**

#### *B.5 Criteria for Assessment of Quality of Terminal Evaluation Reports*

The ratings on quality of terminal evaluation reports will be assessed using the following criteria:

- a) The report presents an assessment of all relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable.
- b) The report was consistent, the evidence presented was complete and convincing, and ratings were well substantiated.
- c) The report presented a sound assessment of sustainability of outcomes.
- d) The lessons and recommendations are supported by the evidence presented and are relevant to the portfolio and future projects.
- e) The report included the actual project costs (totals, per activity and per source) and actual co-financing used.
- f) The report included an assessment of the quality of the M&E plan at entry, the M&E system used during implementation, and whether the information generated by the M&E system was used for project management.

A number rating 1–6 will be provided for each criterion according to the achievement and shortcomings with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating.

Each criterion to assess the quality of the terminal evaluation will be rated as follows:

- **Highly satisfactory.** There were no shortcomings in the terminal evaluation on this criterion.
- **Satisfactory.** There were minor shortcomings in the terminal evaluation on this criterion.
- **Moderately satisfactory.** There were moderate shortcomings in the terminal evaluation on this criterion.
- **Moderately unsatisfactory.** There were significant shortcomings in the terminal evaluation on this criterion.
- **Unsatisfactory.** There were major shortcomings in the terminal evaluation on this criterion.
- **Highly unsatisfactory.** There were severe shortcomings in the terminal evaluation on this criterion.

The first two criteria (of all relevant outcomes and achievement of project objectives and report consistency and substantiation of claims with proper evidence) are more important and have therefore been assigned a greater weight. The quality of the terminal evaluation reports will be calculated by the following formula:

**Quality of the Terminal Evaluation Report =  $0.3 \times (a + b) + 0.1 \times (c + d + e + f)$**

The total number will be rounded and converted to the scale of highly satisfactory to highly unsatisfactory.

#### *B.6 Assessment of Processes Affecting Attainment of Project Outcomes and Sustainability*

This section of the terminal evaluation review will summarize the factors or processes related to implementation delays and co-financing that may have affected attainment of project results.

This section will summarize the description in the terminal evaluation on key causal linkages of these factors:

- **Co-financing and project outcomes and sustainability.** If there was a difference in the level of expected co-financing and actual co-financing, what were the reasons for it? To what extent did materialization of co-financing affect project outcomes and/or sustainability? What were the causal linkages of these effects?
- **Delays and project outcomes and sustainability.** If there were delays, what were the reasons for them? To what extent did the delay affect project outcomes and/or sustainability? What were the causal linkages of these effects?
- **Country ownership and sustainability.** Assess the extent to which country ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability, highlighting the causal links.

## **ANNEX C: ANALYSIS OF RECENT RATINGS DECLINE IN WORLD BANK GEF PROJECTS**

Note - The analysis here is an update of the one presented in APR 2013, and includes all WB GEF projects covered in the GEF 2014 Annual Performance Report.

In section 3.2 it is reported that overall outcome ratings on WB GEF projects, along with ratings on most other performance indicators, have declined substantially in recent years, with just 71% of completed GEF-3 projects (n=94) rated in the satisfactory range compared to 80% of Pilot through GEF-2 projects (n=205). The difference is significant at a 90% confidence level. This decline in ratings is also noted in a recent 2014 WB IEG review examining the World Bank Group's partnership with the GEF (IEG 2014).

The GEF IEO has sought to better understand what may be behind the recent decline in performance ratings of WB GEF projects. One factor that is suggested by ratings data is the possibility that the IEG review of ICRs has changed over time, becoming more stringent in its application of ratings criteria. As shown in Figure A1 below, for most years, ICR ratings and IEG ICR review ratings are more or less in line with one another, particularly when projects are grouped by year of project completion. However, as can be seen in the figure, the gap between ICR ratings and IEG ICR review ratings becomes very large in recent years. The gap in ratings is apparent when aggregating ratings based on year of project completion, or the year that IEG review took place.

Because the ICR and ICR review process, and all project reviews, entails a fair amount of subjectivity, and can be influenced by such events as changes in personnel or management, the possibility that changes in ratings are not reflective of true changes in project performance cannot be fully discounted. Given the very large gap in ratings between ICRs and IEG ICR reviews, it seems likely that some changes in the application of ratings criteria by IEG to ICR reviews may have played a role. At the same time, as is noted in the 2014 WB IEG review, the fact that the decline in ratings for World Bank GEF projects is not found in the World Bank's portfolio of other non-GEF environment-related projects, except those projects approved during the most recent four-year period (approved during FY 2004-07), does suggest that some of the decline in ratings is in fact due to real changes in project performance.

One factor to consider is whether the large spread in outcome ratings between ICR and IEG ICR reviews evident in later years is heightened by the threshold effect of sorting those ratings on a 6-point scale that fall in the satisfactory range (moderately satisfactory and above) from those in the unsatisfactory range (moderately unsatisfactory and below). As shown in figure C2, when outcome ratings from ICR and IEG ICR reviews are plotted using the 6-point ratings, the gap between ratings in recent years is not as extreme.

Figure C1. Comparison of overall Outcome ratings from WB ICRs and WB IEG ICR reviews of GEF projects, by year of project completion (left) and year of IEG review (right).

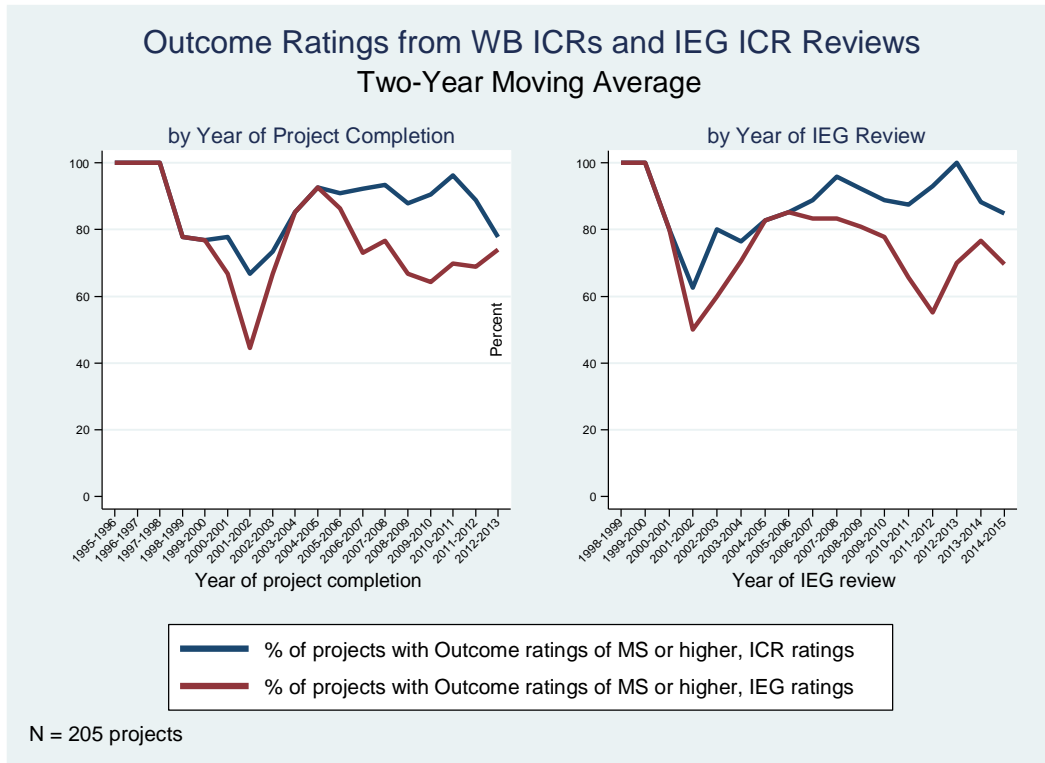
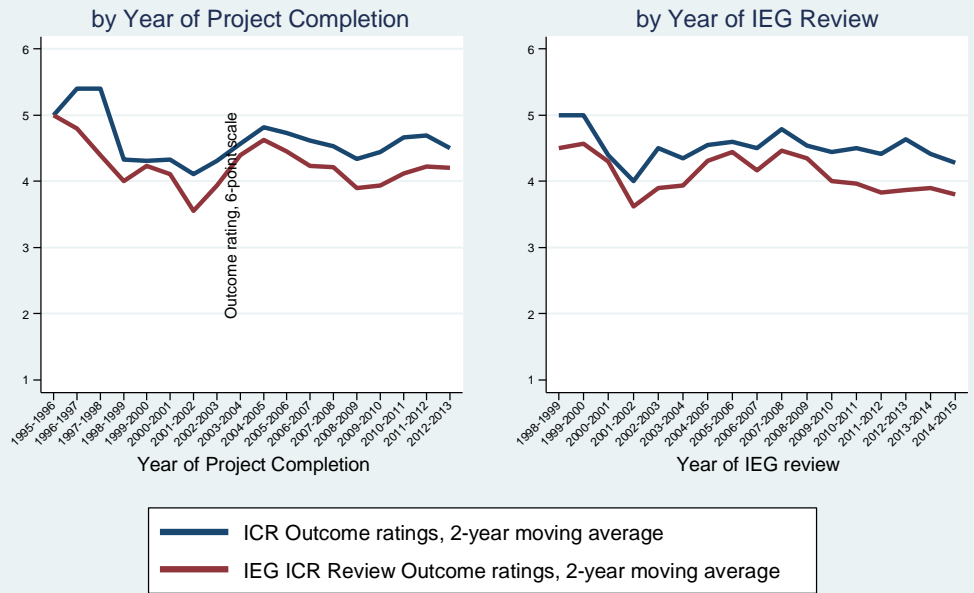


Figure C2. Comparison of overall Outcome ratings on a six-point scale from WB ICRs and WB IEG ICR reviews of GEF projects, by year of project completion (left) and year of IEG review (right).

## Outcome Ratings from WB ICRs and IEG ICR Reviews Six-Point Rating Scale, Two-Year Moving Average



N = 205 projects

## ANNEX D: GEF REGIONS DEFINED

The analysis presented in chapters two and three includes ratings on the basis of the region in which GEF project activities take place. Four regions are defined. Below are the countries included in each region:

### Africa

Algeria	Gabon	Niger
Angola	Gambia, The	Nigeria
Benin	Ghana	Rwanda
Botswana	Guinea	São Tomé and Príncipe
Burkina Faso	Guinea-Bissau	Senegal
Burundi	Kenya	Seychelles
Cameroon	Lesotho	Sierra Leone
Cape Verde	Liberia	Somalia
Central African Republic	Libya	South Africa
Chad	Madagascar	Sudan
Comoros	Malawi	Swaziland
Congo, Dem. Rep.	Mali	Tanzania
Congo, Rep.	Mauritania	Togo
Côte d'Ivoire	Mauritius	Tunisia
Djibouti	Mayotte	Uganda
Egypt	Morocco	Zambia
Eritrea	Mozambique	Zimbabwe
Ethiopia	Namibia	

### Asia region

Afghanistan	Lao PDR	Philippines
American Samoa	Malaysia	Samoa
Bangladesh	Maldives	Solomon Islands
Bhutan	Marshall Islands	Sri Lank
Cambodia	Micronesia, Fed. Sts	Thailand
China	Mongolia	Timor-Leste
Fiji	Myanmar	Tuvalu
India	Nepal	Tonga
Indonesia	Palau	Vanuatu
Kiribati	Pakistan	Vietnam
Korea, Dem. Rep.	Papua New Guinea	



## Europe and Central Asia

Albania	Jordan	Romania
Armenia	Kazakhstan	Russian Federation
Azerbaijan	Kosovo	Serbia
Belarus	Kyrgyz Republic	Syrian Arab Republic
Bosnia and Herzegovina	Latvia	Tajikistan
Bulgaria	Lebanon	Turkey
Georgia	Lithuania	Turkmenistan
Hungary	Macedonia, FYR	Ukraine
Iran	Moldova	Uzbekistan
Iraq	Montenegro	West Bank and Gaza

## Latin America and the Caribbean

Antigua and Barbuda	Dominican Republic	Nicaragua
Argentina	Ecuador	Panama
Belize	El Salvador	Paraguay
Bolivia	Grenada	Peru
Brazil	Guatemala	St. Lucia
Chile	Guyana	St. Vincent and the Grenadines
Colombia	Haiti	Suriname
Costa Rica	Honduras	Uruguay
Cuba	Jamaica	Venezuela, RB
Dominica	Mexico	

## REFERENCES

*All of the GEF publications and GEF Council documents cited here are available on the GEF web site, [www.thegef.org](http://www.thegef.org), under the Documents & Publications tab. GEF Evaluation Office documents can be found on the Evaluation Office section of the GEF web site, [www.thegef.org/gef/eo\\_office](http://www.thegef.org/gef/eo_office), under the Evaluations & Studies tab.*

[Note – this list is incomplete and needs to be filled in]

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