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Agenda Item 14

GEF ANNUAL PERFORMANCE REPORT 2015

(Prepared by GEF Independent Evaluation Office)

Recommended Council Decision

The Council, having reviewed GEF/ME/C.50/04 “Annual Performance Report 2015” and GEF/ME/C.50/05, “Management Response to the Annual Performance Report 2015” takes note of the conclusions of the evaluation and endorses the recommendation.

EXECUTIVE SUMMARY

1. The objective of the Annual Performance Report (APR) is to provide 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.
2. APR 2015 covers 159 recently completed projects for which terminal evaluation reports, including – where applicable – an independent review by the respective Partner Agency evaluation office, were submitted to the IEO during the calendar year 2015 with few exceptions. These 159 projects account for \$728 million in GEF funding and 3.3 billion in realized co-financing. In total APR2015 reports on 1,077 completed projects for which terminal evaluations have been submitted to the IEO from calendar year 2000 to 2015. These 1077 projects represent \$4.8 billion in GEF funding and \$22.4 billion in realized co-financing.
3. APR 2015 reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution, trends in co-financing, quality of project M&E systems, and quality of terminal evaluation reports. APR2015 also features a review of the GEF focal area tracking tools. The findings are based primarily on the evidence presented in the terminal evaluation reports prepared by the GEF Partner Agencies at project completion. Prior to reporting in APRs, all terminal evaluations and ratings are reviewed and validated by the IEO and/or the independent evaluation office of the respective GEF partner Agency.
4. The key findings of APR2015 are:
 - (a) Seventy-five percent of the projects and 74 percent of the funding for the APR2015 cohort, is in projects with outcome ratings in the satisfactory range. These figures are lower than the average of 81 percent of projects and 79 percent of funding in the satisfactory range for the projects covered in previous APRs. A major reason for the slightly lower ratings for the FY 2015 cohort is a higher representation of projects from the Africa region, which tend to have lower outcome ratings. Projects implemented in Small Island Developing States have, on average, lower outcome ratings than other projects, and Medium sized projects have on average higher ratings than full size projects.
 - (b) Sixty-seven percent of projects of the APR 2015 cohort, and 70 percent of funding is in projects with sustainability rated moderately likely or higher. An increase in sustainability ratings is noted when examining sustainability ratings by GEF replenishment period, with a significant increase in GEF-4.
 - (c) The quality of implementation ratings are steady at 77 percent, but a lower percentage of APR2015 cohort is rated in the satisfactory range on the quality of execution (at 72 percent for APR 2015 cohort versus 81 percent for the cumulative total).
 - (d) In the APR2015 cohort, 55 percent projects were rated in the satisfactory range for M&E design and 52 percent for M&E during implementation. Ratings on M&E

Implementation have improved from the Pilot phase, however progress from GEF-1 has been incremental. About 30 percent of completed GEF-4 projects have unsatisfactory M&E Design and Implementation ratings indicating that a sizable gap still exists between M&E expectations and practice.

- (e) Compared to GEF-5, the focal tracking tools for GEF-6 are leaner and better aligned with the focal area results framework indicators. Although tracking tools for the Biodiversity focal area have also been streamlined, they still account for the most number of data fields. Although there has been some progress in reducing the tracking tool reporting related burden for the multi focal area projects, it has been through the streamlining of the tools for individual focal areas. There are gaps in compliance, retrieval and management of tracking tools. The Secretariat is taking steps to facilitate better tracking of the submission of the tools.
- (f) Ratings for quality of terminal evaluations in the APR 2015 cohort are lower on average than in previous years (73 percent rated satisfactory), driven in part by medium sized projects. Seventy-nine percent of medium size projects are rated in the satisfactory range for the quality of terminal evaluations, as compared with and eighty-four percent for full size projects.

5. The MAR 2015 tracked 11 GEF Council decisions, of which four have been deferred, and will be reported on following future detailed assessments. Of the remaining seven decisions tracked, for five the level of adoption was rated to be substantial or higher. Three of will be graduated from the MAR and addressed issues including the revitalization of the SGP Steering Committee, improvement in GHG accounting methodologies used in GEF projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas area. Decisions with a medium rating include the request to reduce the burden of reporting requirements of multi-focal area projects based on the Annual Country Portfolio Evaluation Report 2012, and the request to the Secretariat and UNDP to continue upgrading the SGP Country Program.

6. The APR2015 has one recommendation: The GEF needs to reassess its approach to tracking tools for GEF-7. It should also assess the burden and utility of its biodiversity tracking tools and of other alternatives.

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1. BACKGROUND AND MAIN FINDINGS

1.1 Background

7. 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.

8. In total, 1,077 projects are covered in APR 2015, representing \$4.8 billion in GEF funding and \$22.4 billion in realized co-financing.¹ The APR 2015 cohort covers 159 recently completed projects representing \$728 million in GEF funding and 3.3 billion in realized co-financing. The terminal evaluation reports, including – where applicable – an independent review by the respective Agency evaluation office, were submitted to the IEO during the calendar year 2015, with few exceptions (see figures 1, 2 & 3).

9. As in previous years, APR 2015 reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution, trends in co-financing, quality of project M&E systems, and quality of terminal evaluation reports. This year's APR also features a review of the GEF focal area tracking tools.

10. The findings are based primarily on the evidence presented in the terminal evaluation reports prepared by the GEF Partner Agencies at 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.

11. This year's management action record (MAR) tracks 11 separate GEF Council decisions and reports on the level of adoption of 7 of these decisions. The tracked decisions include 8 decisions that were part of MAR 2014, and three new Council decisions based on the evaluations that were presented to the Council in 2015. The IEO has, since APR 2012, also been tracking the adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. However, none of the decisions from the LDCF/SCCF Council are tracked in the MAR2015 because the one decision that was tracked in MAR2014 was graduated from the MAR due to significant adoption, and no new decision from the LDCF/SCCF Council was eligible for inclusion. Nonetheless, tracking and reporting will resume when a decision of the LDCF/SCCF Council meets the criteria for inclusion. The MARs are published on the IEO website.²

¹ This excludes GEF funding for project development activities. Data on realized co-financing are available for 905 completed GEF projects.

² <http://www.gefio.org>

Figure 1: Regional Distribution of Projects in APR 2015 Cohort Compared to All

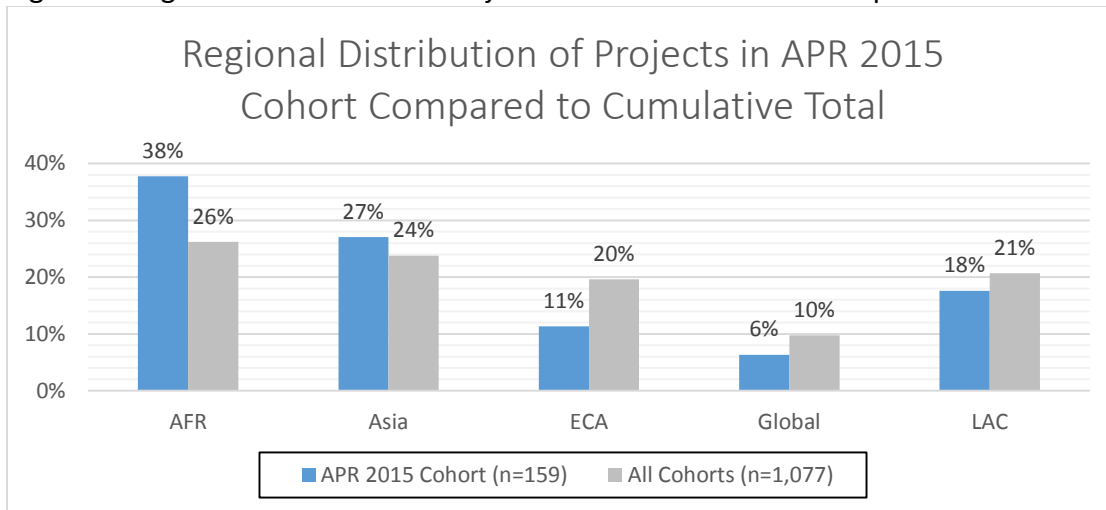


Figure 2: Focal Area Distribution of Projects in APR 2015 Cohort Compared to All

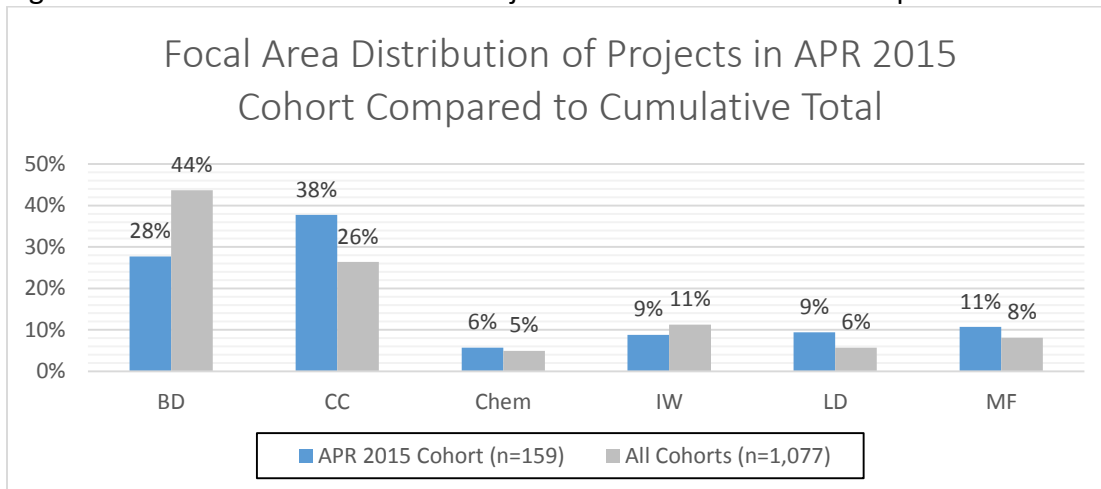
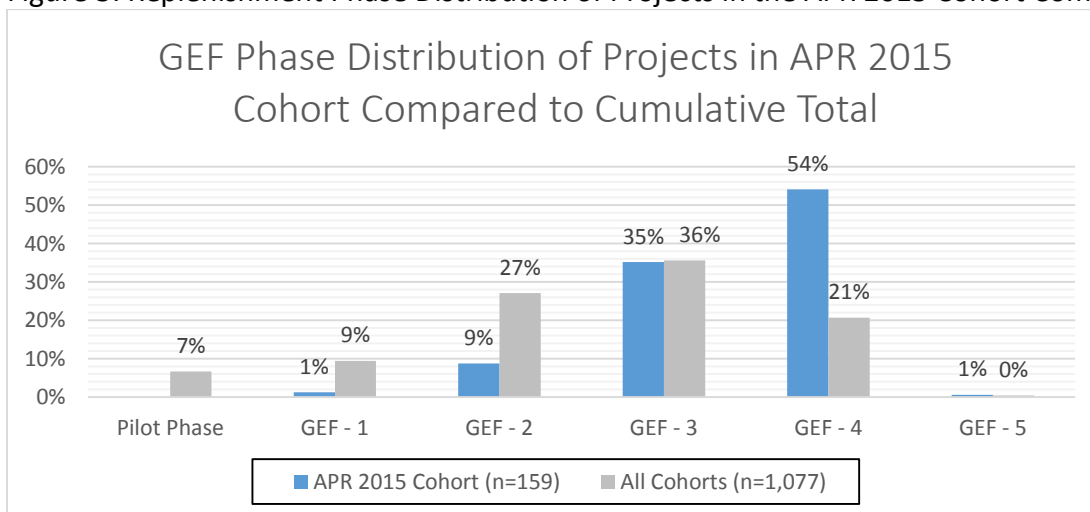


Figure 3: Replenishment Phase Distribution of Projects in the APR 2015 Cohort Compared to All:



1.2 Findings

Results

12. Seventy-five percent of projects in the APR 2015 cohort have satisfactory outcomes. To date, 1,066 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, goals and country priorities, and the efficiency with which project outcomes were achieved. Key findings on performance include: Seventy-five percent of the projects in the APR 2015 cohort for which outcome ratings are available, and 74 percent of the funding is associated with projects with outcome ratings in the satisfactory range. These figures are lower than the average of 81 percent of projects and 79 percent of funding in the satisfactory range for the projects covered in the past APRs. Although it is difficult to account for the reasons for annual fluctuations in outcome ratings, a major reason for the slightly lower ratings for the FY 2015 cohort appears to be driven by a greater proportion of projects in the Africa region.

13. Projects from ‘Other Agencies’ still represent a small portion of all completed projects, (n= 41).³ However, a high percentage of projects in this small cohort fare well in terms of outcome ratings: 88 percent had outcomes rated in the satisfactory range (Table 1). Joint projects covered in APR 2015 performed well, with all three projects rated in the satisfactory range. However, ratings for jointly implemented projects are still on average lower, at 70 percent (37), than the average for all others of 81 percent (1029), but this difference is not statistically significant.

14. There are differences among the Agencies in terms of the percentage of projects rated in the satisfactory range. However, the characteristics of the project portfolio of these Agencies are very different making direct comparisons less meaningful. For example, within the World Bank portfolio of completed projects covered through APR so far, 80 percent of the stand-alone projects are rated in the satisfactory range whereas only 64 percent of the blended projects are rated in the satisfactory range.⁴

15. When all completed projects are considered, projects implemented in Small Island Developing States have, on average, lower outcome ratings than other projects when all phases are considered, a difference which is statistically significant at the 95 percent level when controlling for project size, region, focal area and other country characteristics. Medium sized projects have on average higher ratings than full size projects, and this difference is statistically significant at the 95 percent level when focal area, region, and country characteristics are controlled for. Regional projects and global projects have slightly higher ratings than national

³ Other agencies include all agencies other than the World Bank, UNDP and UNEP.

⁴ Blended projects are those that are financed by both the GEF and the World Bank. Fully blended projects are processed as one project so that there is only one set of project documents and one decision at each stage of the project cycle. Stand-alone GEF projects are generally not associated with any other World Bank project in terms of processing.

projects, but the differences are not statistically significant. Differences in outcome ratings by executing agency type are not significant.

Table 1: Project Outcome Ratings by Agency, Region, and Focal Area

Criteria		Project Outcome Ratings	
		APR 2015 Cohort	Cumulative Total excluding APR 2015 Cohort
Agency	UNDP	78% (69)	83% (408)
	UNEP	87% (15)	87% (119)
	World Bank	67% (60)	78% (317)
	Joint Implementation	100% (3)	68% (34)
	Other Agencies	70% (10)	94% (31)
Region	Africa	64% (59)	76% (220)
	Asia	81% (43)	82% (211)
	Europe & Central Asia	78% (18)	83% (192)
	Latin American and Caribbean	79% (28)	83% (192)
	Global	89% (9)	84% (94)
Focal Area	Biodiversity	80% (44)	84% (423)
	Chemicals	78% (9)	80% (44)
	Climate Change	73% (60)	81% (221)
	International Waters	58% (12)	76% (107)
	Land Degradation	73% (15)	78% (46)
	Multi-focal	76% (17)	81% (68)
Replenishment Phase	Pilot Phase	-	73% (70)
	GEF-1	50% (2)	80% (100)
	GEF-2	64% (14)	79% (273)
	GEF-3	62% (55)	84% (326)
	GEF-4	85% (85)	85% (136)
	GEF-5	100% (1)	100% (4)
All Rated Projects		75% (157)	81% (909)

Number of rated projects in parentheses

16. Sixty-seven percent of projects in the APR 2015 cohort, and 70 percent of funding is in projects with sustainability rated moderately likely or higher. This is higher than the long term average, however this difference is not statistically significant. To date, 1,021 projects have been rated on overall sustainability, based on the perceived risks to sustainability of project outcomes.

17. An increase in sustainability ratings of moderately likely or higher is noted when examining sustainability ratings by GEF replenishment period, with a pronounced increase in GEF-4.

Process

Implementation and Execution

18. Quality of Implementation ratings are relatively unchanged, but Quality of Execution ratings are lower in the APR2015 cohort. In the APR2015 cohort, 75 percent of all projects rated on the quality of implementation were rated in the satisfactory range (n=143). Seventy two percent of all projects rated on the quality of execution were rated in the satisfactory range (n=144). While APR 2015 cohort ratings for quality of implementation are largely in line with the overall average of 77 percent (869), quality of execution ratings in APR2015 are lower than the average for all projects of 81 percent (878.)

19. Seventy seven percent of all projects (n=869) rated for quality of implementation, were rated in the satisfactory range, while 81 percent of those rated (n=878) for quality of execution were rated in the satisfactory range (n=878). In the case of both quality of implementation and execution, ratings have risen steadily for projects approved in the pilot phase through GEF-4.

20. The percentage of UNEP implemented projects receiving implementation ratings in the satisfactory range was 88 percent (n=106). Quality of implementation ratings for the World Bank implemented projects declined in the GEF-3 period, however they show an improvement in GEF-4 based on the projects rated to date for that period (28). Meanwhile, 79 percent of UNDP projects (n=398) and 80 percent of rated projects for other agencies are rated in the satisfactory range (n=40; includes projects implemented by ADB, FAO, IDB, IFAD and UNIDO).

21. Sixty percent of jointly implemented projects that were rated for quality of implementation (n=35) are rated in the satisfactory range. This is substantially lower than the figures for projects that are implemented by a single agency. Although the jointly implemented projects from GEF-3 and GEF-4 periods together have tended to have higher ratings, the number of observations are yet too small (83 percent; n=18).

22. In terms of project execution ratings, ratings for projects implemented in the Africa Region (72 percent) are lower than other regions (84 percent), as are ratings for projects implemented in SIDS (72 percent compared to 82 percent).

Co-financing

23. For the APR2015 cohort, co-financing requirements were fully met in 54 percent of the projects, with an average co financing ratio of 5.6. To date, information on promised co-financing is available for all 1,077 projects covered in APR 2015, while information on realized co-financing is available for 905 projects. For the APR-2015 cohort of 159 projects, information on promised co-financing is available for all 159 projects, while data on realized co-financing is available for 123 projects. Analysis of the information shows:

24. For the FY2015 cohort promised co-financing materialized fully in 54 percent of GEF projects and the total realized at the portfolio level was 136 percent. While the percent of projects for which at least 100 percent of co-financing was realized is slightly lower than for all projects (59 percent of 894) total co-financing at the portfolio level is higher than the average for all projects (122 percent).

25. Average ratios of co-financing to GEF Grant at appraisal for the APR 2015 were high, at 4.6 (n=159), compared to 3.2 for all projects (n=1077). This is also true of average ratios of realized co-financing to GEF Grant, which were 5.6 for APR 2015 (n=123) compared to 4.5 for all projects (n=905). In general, average ratios of GEF grant at appraisal have risen steadily since GEF Phase-1, with an average ratio of 2.0 (n=102) to an average of 3.7 in GEF-4 (n=223). Both promised and realized median co-financing ratios have continued to rise over the GEF replenishment period as well. Although actual co-financing information is not available for all projects, the median project ratio of promised co-financing to GEF grant and median project ratio of realized co-financing to GEF grant are both 1.6.

26. When all projects are considered, an increasing percentage of projects have fulfilled or exceeded their original co-financing commitments, rising from 48 percent of GEF 1 projects realizing 100 percent or more of promised co-financing, to 66 percent of completed GEF-4 projects. Similarly, 75 percent of completed GEF-4 projects realized 90 percent or more of co-financing, compared with 55 percent of GEF-1 projects.

Monitoring and Evaluation

27. Of the projects of the APR2015 cohort, 55 percent were rated in the satisfactory range for M&E design and 52 percent for M&E during implementation. To date, ratings on M&E Design and M&E implementation are available for 1,004 and 908 projects, respectively. This includes the APR2015 cohort, where ratings on M&E Design and M&E Implementation are available for 157 and 145 projects, respectively.

28. Fifty-five percent of projects in the APR 2015 cohort, and fifty-nine percent of all projects for which ratings are available are rated in the satisfactory range for M&E Design. From the pilot phase to GEF-4 there has been a steady trend of improvement in quality of M&E Design ratings. Seventy percent of the GEF -4 projects that are rated (n=220) are rated in satisfactory range for the quality of M&E design.

29. Fifty-two percent of projects in the APR 2015 cohort, and sixty-two percent of all projects for which ratings are available are rated in the satisfactory range for M&E Implementation. Although the ratings on M&E Implementation ratings have risen over time, i.e. from 42 percent of projects in the pilot phase (38) to 67 percent of projects in GEF-4 (208), much of the increase was between the pilot phase and GEF-1 (42 percent in Pilot Phase to 62 percent in GEF-1).

30. Ratings on M&E Implementation have improved considerably from the Pilot phase, although improvements in ratings from GEF-1 onwards are incremental. While improvements in M&E ratings are positive, the finding that around 30 percent of completed GEF-4 projects have unsatisfactory M&E Design and Implementation ratings indicates that a sizable gap still exists between the M&E expectations and practice.

31. Treatment of M&E at the program level varies widely between programs. A survey of 38 programs, representing the portfolio of programs approved since the publication of the 2008 council document which introduced guidelines on future programmatic approaches and the procedure for developing programs using the Program Framework Document (PFD) template, shows that while 92 percent of them provide at least some information on M&E at the program level, relatively few provide information on overall program budget for M&E (31 percent) and program level indicators (26 percent). On the other hand, treatment of M&E at the project level appears more uniform in making provisions for reporting.

Tracking Tools

32. Compared to GEF-5, the focal tracking tools for GEF-6 are leaner and better aligned with the focal area results framework indicators. Significant progress has been made in meeting the OPS-5 recommendation that the tracking tools be simplified and the reporting burden on Agencies be reduced. The number of data fields Agencies are required to fill up in tracking tools has dropped by 33 percent (from 1504 to 1009). When taking into account the fact that during GEF-6, there has been a net increase in the number of programs and activities supported by the GEF, and considering the change in reporting burden only for tracking results of activities common to GEF-5 and GEF-6, the number of data fields has been reduced by 44 percent.

33. There is variance in the extent to which tracking tools have been streamlined across focal areas. The number of data fields in tracking tools for the Climate Change Mitigation, Climate Change Adaptation, Land degradation, and Sustainable Forest Management focal areas, were slashed by more than half. Although tracking tools for the Biodiversity focal area have also been streamlined, they still account for the most number of data fields.

34. The Management Effectiveness Tracking Tool (METT), which is embedded in the Biodiversity Tracking Tool and tracks results on projects focused on protected area management, has been substantially streamlined. However the financial sustainability related data fields that account for more than half of the data fields have not been streamlined. Together with the requirement of preparation of a METT for each protected area covered by a project, tracking tool reporting requirements in the biodiversity focal area remain high for

projects that focus on protected areas. For other biodiversity focal area programs the relevant sections of the tracking tools are sufficiently streamlined. The Biodiversity focal area team reports that the tracking tools have been serving GEF well in terms of meeting its information needs. At the same time several GEF Partner Agencies noted the high burden that these tracking tools impose on them.

35. Tracking tool reporting requirements for Multi-Focal Projects continue to present challenges. Agencies are required to prepare tracking tools for all the focal areas that support a given multi-focal area project. Although indirectly the reporting burden for multi-focal areas is somewhat reduced due to the reduction in the number of data fields in the tracking tools in GEF-6, this reduction in burden is limited given that agencies are still required to prepare tracking tools for all focal areas covered by a multi-focal area project.

36. For Integrated Approach Pilots (IAPs), customized tracking tools that draw from the relevant indicators and data fields of the tracking tool for given focal areas covered by the IAP are being used to track results. Though this is likely to make it easier for Agencies to use and report on tools, it may create a challenge in aggregating this information.

37. A major step towards streamlined and consistent reporting on results is incorporation of corporate results indicators in the PIF (Table F) and CEO Endorsement/ Approval (Table E) templates for GEF-6. This has ensured that the project proponents link their projects to the corporate targets at the project preparation stage. This will also allow for aggregation.

38. The Secretariat does not have a robust system in place to track submission of completed tracking tools at mid-term and project completion. Analysis of the AMR dataset indicates significant gaps in submission by the Partner Agencies. However, verification of these gaps indicates that in recent years, at least a part of the problem is related to retrieval, storage and management of tracking tools by the Secretariat. Recent measures by the RBM team, including an internal review to assess gaps in tracking tool submission and the development of a dash board to facilitate tracking of project implementation progress and tracking tools submission, should, if well implemented, help to increase compliance with tracking tool submission requirements.

Quality of Terminal Evaluations

39. Ratings for quality of terminal evaluations in the APR 2015 cohort are lower on average than past years, driven partly by medium sized projects. To date, ratings on quality of terminal evaluations is available for 1,067 projects, including 158 of the 159 projects in the APR 2015 cohort. The quality of 73 percent of terminal evaluations covered as part of the APR 2015 cohort is rated in the satisfactory range. Though this is lower than the ratings for all the terminal evaluations covered so far, this is partly explained by a number of medium sized projects included in the cohort for which the terminal evaluation quality was lower.

40. Differences between the ratings for medium size projects, and full size projects remain, with seventy-nine percent of medium size projects for which ratings are available (413) rated in

the satisfactory range for the quality of terminal evaluation, and eighty-four percent of full size projects for which ratings are available (654) rated in the satisfactory range for quality of terminal evaluation.

Management Action Record

41. The MAR 2015 tracked 11 GEF Council decisions, of which four have been deferred, and will be reported on following future detailed assessment. Of the remaining seven decisions tracked, for five the level of adoption was rated to be substantial or higher. For the remaining two, level of adoption was rated as medium. For six of the seven decisions tracked, the ratings provided by the management and the GEF IEO matched.

42. Three of the five decisions which received a rating of substantial or high adoption will be graduated from the MAR, including one decision which received a 'high' rating and two which received 'substantial' ratings for adoption. The graduated decisions addressed issues including the revitalization of the SGP Steering Committee, improvement in GHG accounting methodologies used in GEF projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas area.

43. Four decisions, two rated 'substantial' and two rated 'medium' continue to be relevant and will be reported on in future. The first decision which received a rating of medium was a request to reduce the burden of reporting requirements of multi-focal area projects based on the Annual Country Portfolio Evaluation Report 2012. Though the reporting burden has been somewhat reduced for multi-focal area projects it is still significantly higher than for single focal area projects (see chapter 5 for details). The second decision on which the level of adoption has been rated medium asked the Secretariat and UNDP to continue upgrading the SGP Country Program, based on the recommendations of the Semi-Annual Evaluation Report of June 2015. As further progress is needed in building on the strengths and addressing the weaknesses identified in the evaluation, the level of adoption is rated as medium.

Performance Matrix

44. The performance matrix provides a summary of the performance of the GEF Agencies on 6 parameters, including results, quality of implementation, co-financing, efficiency and monitoring & evaluation. Some of the parameters included in the performance matrix, such as outcome ratings and co-financing, are also covered in preceding chapters of the APR, while others are only reported in the matrix. Values presented in the performance matrix are a four year moving average. This year includes projects covered for the first time in the APR2012 to APR2015 (i.e. completed projects covered in these APRs for the first time) for all parameters but quality of terminal evaluations, for which values are a four year average for Terminal Evaluations completed in years 2012-2015. The performance matrix is presented below, and in chapter 8 of the report.

45. Table 2: Performance Matrix

Parameter	UNDP	UNEP	World Bank	UNIDO	IFAD	Other †	Overall GEF Performance
Results							
1. Percentage of projects with overall Outcome ratings of moderately satisfactory or higher	84%	87%	68%	85%	80%	80%	79%
APR 2012-2015	(258)	(63)	(170)	(13)	(10)	(35)	(549)
Factors affecting results							
2. Quality of Implementation: percentage of projects rated moderately satisfactory or higher	83%	90%	65%	75%	80%	74%	78%
APR 2012-2015	(245)	(63)	(159)	(12)	(10)	(34)	(523)
Reported co-financing							
3a. Reported materialization of total co-financing to total GEF funding	8.4	2.5	9.0	7.9	3.0	2.3	7.6
APR 2012-2015	(215)	(61)	(134)	(12)	(8)	(30)	(460)
3b. Reported materialization of co-financing to GEF funding – median project value	2.2	1.2	2.7	2.1	2.8	1.4	2.1
APR 2012-2015	(215)	(61)	(134)	(12)	(8)	(30)	(460)
3c. Reported materialization of co-financing as a percentage of total promised co-financing	215%	84%	110%	113%	107%	71%	128%
APR 2012-2015	(215)	(61)	(134)	(12)	(8)	(30)	(460)
Efficiency							
4. Percentage of completed projects that require extensions of more than 2 years	13%	13%	14%	0%	0%	26%	13%
APR 2012-2015	(258)	(63)	(169)	(11)	(10)	(31)	(542)
Quality of M&E							
5. Percentage of projects with M&E Implementation ratings of moderately satisfactory or above	69%	70%	43%	62%	40%	60%	61%
APR 2012-2015	(251)	(64)	(151)	(13)	(10)	(30)	(519)
6. Percentage of terminal evaluations rated moderately satisfactory or above (TE Completion years 2012-2015)	80%	100%	81%	67%	70%	84%	82%
	(219)	(49)	(122)	(12)	(10)	(19)	(431)

†† Other in includes ADB, FAO, IDB & Joint Projects. †† Ratios include only projects for which data on realized co-financing is available

1.3 Recommendation

The GEF needs to reassess its approach to tracking tools for GEF-7. It should also assess the burden and utility of its biodiversity tracking tools and other alternatives.

46. The GEF has made significant progress in streamlining its tracking tools for GEF-6. Most of the focal area tracking tools have been streamlined. However, even after streamlining the focal area tracking tools, the total number of indicators that are being tracked at the GEF portfolio level remains high. Progress on streamlining reporting for multi-focal area projects has been limited to the streamlining of individual focal area tools. There is, therefore, a need for GEF to reassess its approach to tracking tools for GEF-7 with a greater focus on tracking the indicators needed to demonstrate results.

47. The number of indicators tracked through the biodiversity tracking tools remain high and cause excessive burden on the Partner Agencies. Among the biodiversity tracking tools, the tool to assess financial sustainability provides further opportunities for streamlining. However, even after streamlining this tool the overall burden of the biodiversity tracking tools is likely to remain high. Therefore, while developing its approach for GEF-7, the Secretariat should assess the extent to which the burden imposed by these tracking tools is justified by its utility. The Secretariat should also consider alternatives, such as the GIS and remote sensing based approach to monitor changes in biodiversity conditions, and assess the extent and manner in which they could be used in monitoring results of the focal area. If the present approach of tracking tools is assessed to be optimal based on the burden-utility review, providing support to the Partner Agencies through better technical support and/or increased support for preparation of tracking tools in project M&E budgets should be considered.

1.4 Issues for the Future

48. As terminal evaluations for programs become available, treatment of the evaluations for programs and their child projects will require a different approach to avoid double counting. For APR2015, three program level terminal evaluations were received and considered separately from the other projects included in APR coverage. The IEO will need to develop an approach to report on program level evaluations in future APR reports.

2. SCOPE AND METHODOLOGY

2.1 Performance and Effectiveness of Completed Projects and Programs

49. The Annual Performance Report (APR) of the Independent Evaluation Office of the GEF brings together detailed findings from the portfolio of completed GEF projects, as well as analysis of some key factors affecting performance.

50. APR 2015 includes the following:

- (a) **An overview of the extent to which GEF projects and funding are achieving desired outcomes, and the sustainability of these outcomes.** The assessment covers completed projects for which ratings on overall project outcomes are available, as well as ratings on the sustainability of project outcomes. This year, the section also takes stock of the extent to which the projects approved under the programmatic approach are being reported on through terminal evaluations.
- (b) **Analysis of factors affecting project outcomes.** 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 GEF Tracking Tools.** The assessment details the extent to which focal area tracking tools, including those for multi-focal projects, have been streamlined for GEF-6, arrangements for gathering and managing information gathered through the tracking tools, and utilization of information gathered through tracking tools.
- (d) **Quality of terminal evaluation reports.** This chapter presents an assessment of the quality of terminal evaluation reports submitted by the GEF Agencies to the Independent Evaluation Office. Trends in overall quality of reporting, as well as trends in reporting along individual performance dimensions, are presented, based on the year in which terminal evaluation reports were completed.
- (e) **Presentation of the Management Action Record.** The Management Action Record (MAR) assesses the degree to which relevant GEF Council decisions based on IEO recommendations have been adopted by GEF management.
- (f) **Performance matrix.** The performance matrix provides a summary of GEF Agency performance on key indicators. Eight indicators are tracked in the matrix included in APR 2015.

2.2 Projects Covered for the first time in APR 2015

51. This report is primarily based on the evidence provided in the terminal evaluations of 1,077 completed GEF projects, representing \$4.8 billion in GEF funding and \$22.4 billion in realized co-financing. This includes the APR 2015 cohort of 159 recently completed projects representing \$728 million in GEF funding and 3.3 billion in realized co-financing. The terminal evaluation reports, including – where applicable – an independent review by the respective

Agency evaluation office, for the APR2015 cohort of 159 projects were submitted to the IEO mainly during the period from January 1, 2015, to December 31, 2015.

52. The terminal evaluation reports for each of the projects covered in this report have undergone a subsequent independent review, either by the IEO or the independent evaluation offices of UNDP, UNEP, or IEG (World Bank). Table 3 presents an overview of the 159 projects covered for the first time in APR 2015. Projects are characterized in terms of focal area and regional composition⁵, GEF agency representation, and GEF phase. A complete listing of the 159 projects covered for the first time in APR 2015 is found in Annex A.

Table 3. Composition of the APR 2005-14 and 2015 APR cohorts, and all cohorts to date.

Criteria	Cumulative Total Excluding APR 2015			APR 2015 cohort			Cumulative Total			
	Projects (#)	Funding † (\$M)	Funding (%)	Projects (#)	Funding (\$M)	Funding (%)	Projects (#)	Funding (\$M)	Funding (%)	
Focal area composition	Biodiversity	427	1,709.8	42%	44	166.8	23%	471	1,876.5	39%
	Chemicals ††	44	200.5	5%	9	35.4	5%	53	235.8	5%
	Climate Change	224	1,112.8	27%	60	340.6	47%	284	1,453.4	30%
	International Waters	107	716.5	18%	14	64.4	9%	121	780.9	16%
	Land Degradation	46	115.8	3%	15	39	5%	61	154.8	3%
	Multi Focal	70	211.6	5%	17	82.2	11%	87	293.8	6%
Regional composition	Africa	222	1,034.4	25%	60	215.9	30%	282	1,250.3	26%
	Asia	213	1,103.6	27%	43	266.8	37%	256	1,370.4	29%
	Europe & Central Asia	193	684.7	17%	18	57.8	8%	211	742.5	15%
	Latin America and Caribbean	195	881.1	22%	28	111.4	15%	223	992.5	21%
	Global	95	363.2	9%	10	76.4	10%	105	439.6	9%
Lead GEF agency	UNDP	412	1,296.1	32%	69	203.4	28%	481	1,499.6	31%
	UNEP	120	318.7	8%	16	32.4	4%	136	351.1	7%
	World Bank Group	321	2,077.1	51%	61	406.0	56%	382	2,483.1	52%
	Other GEF Agency	31	95.9	2%	10	20.2	3%	41	116.2	2%
	Joint Implementation	34	279.2	7%	3	66.1	9%	37	345.4	7%
GEF Phase	Pilot Phase	72	451.7	11%	-	-	-	72	451.7	9%

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

GEF – 1	100	803.4	20%	2	18.8	3%	102	822.2	17%
GEF – 2	278	1,292.3	32%	14	52.9	7%	292	1,345.2	28%
GEF – 3	327	1,259.5	31%	56	394	54%	383	1,653.5	34%
GEF – 4	137	256.5	6%	86	261.6	36%	223	518.1	11%
GEF – 5	4	3.6	<1%	1	1	<1%	5	4.6	<1%
Total number of projects and funding	918	4,067.0	-	159	728.3	-	1077	4,795.3	-

† † 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.

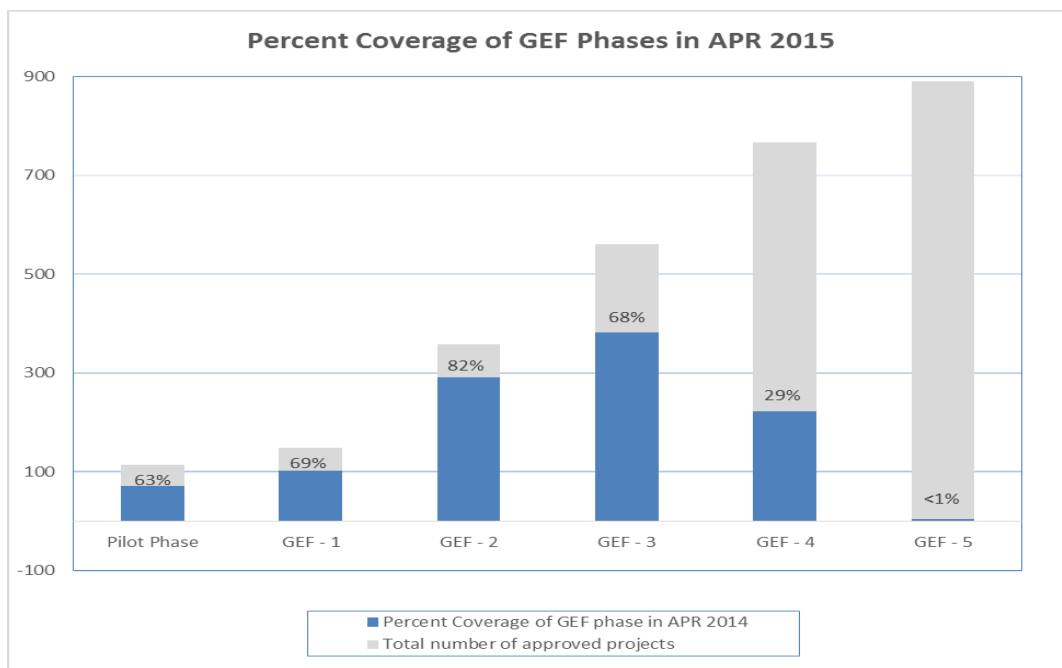
† Funding does not include Project Preparation Grant

53. Separate from 159 projects covered for the first time in APR 2015, 3 programs are also covered for the first time.

2.3 Coverage of GEF replenishment phases

54. As was noted in APR 2014, 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. Figure 4 shows the percentage coverage of GEF replenishment phases to date in APR 2015. 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 82% percent, a 5% increase from last year’s coverage. GEF 1 coverage follows at 69% and GEF 3 at 68%, with 63% of all Pilot Phase projects covered. Coverage of GEF-3 and GEF-4 projects have increased by 10% and 11% respectively this year, though GEF-4 coverage remains comparatively low at 29%. To date, 5 projects from the GEF-5 phase are covered in APR 2015. Incomplete coverage, particularly of the GEF-4 phase, cautions against drawing any early conclusions based on performance data from this phase of cohorts.

Figure 4: Percentage of approved projects covered in GEF Annual Performance Reports to date, inclusive of the APR 2015 cohort. Excludes Enabling Activities <\$0.5M and Small Grants Programme (SGP).



2.4 Methodology

55. Reporting on project outcomes and sustainability, factors affecting outcomes, and quality of terminal evaluations – chapters 3, 4 & 5 – are based on analysis of the information provided in terminal evaluations that have been first reviewed by the IEO and/or the evaluation offices of GEF Partner Agencies. GEF activities under the Small Grants Programme (SGP), as well as Enabling Activities⁶ with GEF funding below \$0.5 million, are not required to prepare terminal evaluations, and are not included in this report. Among the 1077 projects covered in APR 2015 are five 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.

56. 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 revise or include additional ratings (such as for Quality of Terminal Evaluations). For earlier APR years, this oversight was performed entirely by the IEO. Beginning in 2009, the 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 IEO finding that ratings from these three evaluation offices are largely consistent with those provided by the IEO (GEF IEO 2009). The IEO will consider accepting the ratings provided by the evaluation offices of the other GEF agencies in the future, once enough ratings are available to compare consistency. If over the course of time significant inconsistencies emerge in the ratings provided by the IEO and those from Agency Evaluation Offices whose ratings are currently

⁶ 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.

accepted by the IEO, the IEO may stop accepting these ratings and assign its own ratings until the inconsistencies are addressed.

57. Where differences between groups are reported as statistically significant, regression analysis was used to determine the statistical significance of differences between groups, controlling for relevant factors when possible.

Ratings approach

58. The principal dimensions of project performance on which ratings are first provided in terminal evaluations, and in subsequent 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 CEO⁷, 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.
- (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 SMART⁸, whether relevant baselines are established, whether roles and responsibilities and a schedule for M&E activities are defined,

⁷ 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.

⁸ SMART indicators are Specific, Measurable, Achievable and Atttributable, Relevant and Realistic, and Time-bound, Timely, Trackable and Targeted. See GEF Monitoring and Evaluation Policy 2010 for a complete description.

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. The quality of terminal evaluations is determined by assessing quality in terms of: coverage of outcomes; consistency and completeness; assessment on sustainability; lessons and recommendations; project finances; and, M&E systems. A six-point rating, from Highly Satisfactory to Highly Unsatisfactory is used to indicate the quality of terminal evaluations.

Procedure for IEO review of terminal evaluations

59. When terminal evaluations are reviewed by the 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 provides feedback on the report. This feedback is incorporated into subsequent versions of the report.

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

61. 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 IEO rates the project as "Unable to Assess," and excludes it from further analysis on the respective dimension.

62. 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 2015

63. As noted above, prior to FY 2009, the IEO reviewed all terminal evaluations reported on in APRs, and verified ratings provided therein. Beginning in FY 2009, the 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.

64. The IEO has been tracking the consistency between ratings provided by the evaluation offices of GEF Partner Agencies and ratings provided by the IEO. This is accomplished through random sampling and IEO review of a percentage 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 IEO. The IEO will continue to track the consistency of ratings going forward.

65. For projects implemented by GEF Partner Agencies other than UNDP, UNEP, and the World Bank Group, the 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 IEO provides final ratings.⁹ 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 a review; and projects where independent reviews of terminal evaluations are not prepared within two years of the terminal evaluation completion. For APR2015, at the request of the UNDP IEO, the IEO has undertaken terminal evaluation reviews for all of the new terminal evaluations submitted by UNDP.

66. For projects in the APR 2015 cohort, table 2 lists the source of terminal evaluation review ratings used for analysis and reporting in APR 2015.

Table 4: Source of terminal evaluation review ratings for projects in APR 2015 cohort.

Source of ratings	Projects	Total
UNDP Evaluation Office		0
UNEP Evaluation Office		13
World Bank IEG		43
GEF IEO	1 ADB project	
	1 FAO projects	
	6 IFAD projects	
	69 UNDP projects	
	3 UNEP projects	
	2 UNIDO projects	
	18 World Bank projects	
	3 joint implementation projects	
Total		159

Materialization of Co-financing

67. The reporting in section 4.3 on co-financing and materialization of co-financing is based on information in project design documents, as well as information provided by the implementing agencies on completed projects both through terminal evaluation reports and

⁹ This year the IEO is the source of ratings for all UNDP projects submitted between in 2015, as ratings were not provided by UNDP's evaluation office for projects submitted this year.

other project reports. Information on actual (realized) co-financing is available for 905 of the 1,077 completed projects reported on in APR 2015.

Study on Tracking Tools

68. GEF has developed tracking tools to monitor results and performance at the project portfolio level. The study on the tracking tools addresses the following questions:

- (a) To what extent have the focal area tracking tools, including those for multi-focal projects, been streamlined and the burden on reporting on results reduced for GEF-6?
- (b) What are the arrangements in place to gather, report and manage information through tracking tools?
- (c) To what extent are the datasets based on information gathered through tracking tools complete, accessible and in readily usable form?
- (d) How is the information gathered through the tracking tools being utilized?

69. The assessment of the extent to which tracking tools have been streamlined, and the extent to which the reporting burden has changed, is based on a desk review based a comparison of the design of the tracking tools for GEF-5 and GEF-6. When addressing Question 2, the study takes stock of the arrangements that are in place – at the project level, within the Partner Agencies, and at the GEF Secretariat level – to gather, manage and report information through tracking tools. The question is addressed based on the interviews with the Secretariat and Partner Agency staff, including project managers. Question 3 is answered through an analysis of the tracking tool availability related dataset prepared by the Secretariat and a desk review of the analysis on completeness of the METTs prepared as part of the IEO’s impact evaluation of “GEF Support to Protected Areas and Protected Areas System”. The study also determines the utility of the tracking tools through information gathered through interviews.

Management Action Record

70. At the request of the GEF Council, the 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 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 relevant and where the level of adoption is not yet sufficient to warrant graduation. Decisions are graduated from the MAR when at least a substantial or 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 the earlier decision. For decisions that continue to be tracked, a full record of prior GEF management action and ratings as well as 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.

71. The MAR was first presented in APR 2005 and, thereafter, it has been a regular feature of the APR. Based on its experience in implementing the MAR, the IEO has streamlined the process in FY2014-15 to make it less burdensome. From FY2014 onwards, at the start of the MAR process for a given year, the GEF IEO determines 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 lists 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.

72. 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 IEO provides its own assessment and ratings on adoption. The completed MAR is then published and reported in the APR.

Review of Findings

73. The draft version of this report has been shared with stakeholders to check for factual errors and errors of analysis. The draft report was discussed in an inter-agency meeting in Washington DC on May 5th 2016. The feedback from the stakeholders has been addressed in finalizing the report.

3. OUTCOMES AND SUSTAINABILITY OF OUTCOMES

74. This chapter presents verified ratings on Outcomes for completed GEF projects. Of the 159 newly reported projects in the APR 2015 cohort, outcome ratings are available for 157 projects, representing \$721.9 million in GEF funding. To date, the IEO has provided or adopted outcome ratings on 1,066 projects, which account for \$4,774 million in GEF funding. Also presented in this chapter are ratings on the Sustainability of outcomes.

3.1 Ratings Scale on Outcomes and Sustainability

75. 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.

76. For sustainability of project outcomes, an overall assessment on the likelihood of project benefits continuing after project closure is made. A four-point rating scale is used to assess the 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.

3.2 Outcomes

77.

78. Table 5 presents overall outcome ratings among rated projects in the APR 2015 cohort (n=157), and for all other completed projects (n=909). As shown, the percentage of projects and the percentage of funding in projects with outcome ratings in the satisfactory range¹⁰ in the APR 2015 cohort is 7 percent lower than all other projects. However, as has been noted in previous APR reports, the number of projects in a single year APR cohort are too small to indicate trends. When controlling for region, country characteristics, project size, and project focal area, the difference in number of projects rated in the satisfactory range in the APR 2015 cohort and all other projects is not statistically significant.

79. As reported in past APRs, implementation of projects in the Africa region have been found to be negatively correlated with outcomes. Fifty nine out of the 157 APR 2015 projects rated on outcomes, or 38 percent of this cohort, were implemented in the Africa region, while 24 percent (220 out of 909) of all other rated projects were implemented in the Africa Region. This explains some of the difference in ratings between the APR 2015 cohort and other projects, as the overall percentage of projects with satisfactory outcome ratings in the APR 2015 is 81 percent, when excluding the African States. That said, it is worth noting that the within the APR 2015 cohort, there is also a split on outcome ratings for projects in Africa by replenishment phase, and projects that were approved in the more recent replenishment period tend to have higher ratings. For projects in African States included in the APR 2015 cohort, 50 percent of the 32 projects in the GEF-2 & GEF-3 period have satisfactory outcome ratings, while 81 percent of the 27 projects rated in the GEF-4 phase have satisfactory outcome ratings. This difference is statistically significant at a 95% confidence level. Although the difference in rating may be linked with improved performance, there is a chance that it may be linked with difference in time taken to completion, i.e. projects that did not face implementation challenges getting completed in time where as those that face problems getting completed with a time lag.

80. When considering all completed and rated projects to date (n=1066), 80 percent of projects and 78 percent of GEF funding is in projects with overall outcome ratings in the satisfactory range – still 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.¹¹

¹⁰ 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.

¹¹ 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.

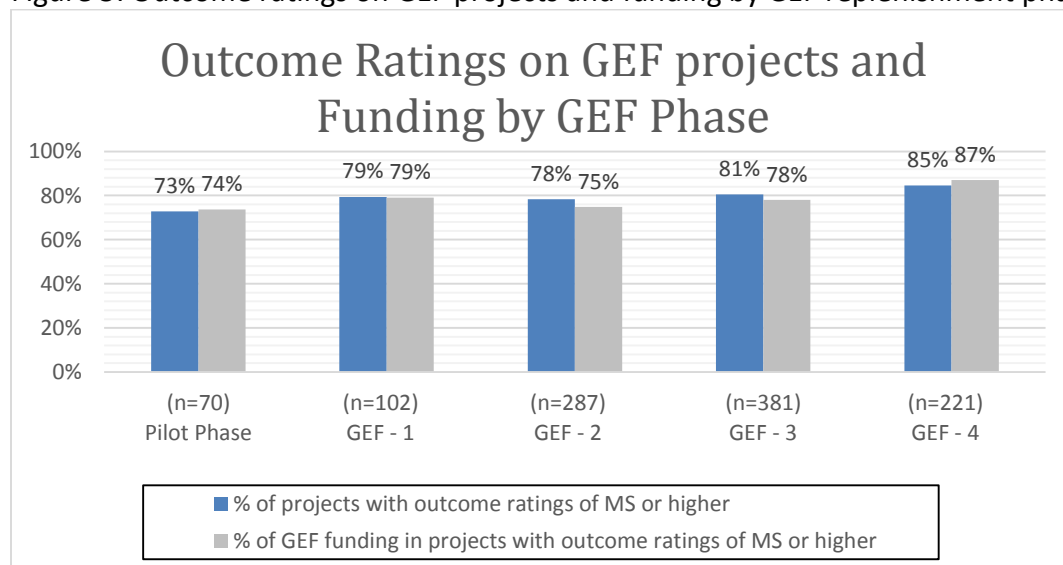
Table 5: Percentage of projects and percentage of GEF funding in projects with different overall Outcome ratings, for the APR 2015 cohort and all other completed projects.

Outcome Rating/Criteria	Projects		Funding	
	APR 2015 cohort	Cumulative Total Excluding APR 2015 cohort	APR 2015 cohort	Cumulative Total Excluding APR 2015 cohort
Highly Satisfactory	3%	4%	1%	3%
Satisfactory	31%	39%	32%	37%
Moderately Satisfactory	41%	37%	40%	38%
% of projects, or % of funding in projects, with Outcomes rated MS or higher	75%	81%	74%	79%
Moderately Unsatisfactory	19%	14%	20%	17%
Unsatisfactory	6%	5%	6%	4%
Highly Unsatisfactory	1%	<1%	1%	1%
# of rated projects or funding in rated projects	157	909	\$721.9M	\$4,052.1M

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

81. Figure 5 shows overall outcome ratings by GEF replenishment phase. APR 2014 undertook a retrospective increase in coverage of replenishment phases by reviewing a number of older projects, allowing for some comparison by phases. As has been observed in past APRs, there is a distinct increase in ratings from the pilot phase through GEF-4. Analysis of factors associated with outcome ratings, including quality of implementation, quality of M&E systems, and level of co-financing, will be discussed in chapter 4. Thus, the ratings for the APR2015 cohort is out of line with the relatively stable (or slightly upward moving) long term trend shown in Figure 5.

Figure 5: Outcome ratings on GEF projects and funding by GEF replenishment phase



82.

83. Table 6 shows outcome ratings on completed projects by Agency and GEF replenishment phase. Figures for APR 2015 are listed on the left alongside figures for all projects (including APR 2015.) As has been noted in past APRs, trends over time from the pilot phase to GEF-4 are most consistent for UNDP, for which outcome ratings have steadily risen. Trends for other Agencies are less consistent.

84. Past APRs have noted a decline in ratings in WB projects in GEF 3, which has become more pronounced with the more complete GEF-3 coverage in APR2015. Outcome ratings in World Bank projects rise in GEF-4, with 89 percent of the 35 projects reported on to date receiving outcome ratings of Moderately Satisfactory or above. The percentage of World Bank projects with satisfactory outcome ratings in APR 2015, 67 percent out of 60 projects, is lower than for all World Bank projects, which is 76 percent of 377 projects. When all completed projects are pooled, the percentage of projects receiving satisfactory outcome ratings for the World Bank is lower than for all other agencies.¹² This difference is significant at a 95 percent confidence level, when region, country characteristics, and focal area are controlled for. However, within the World Bank portfolio too there is a distinct pattern. Of the completed World Bank projects covered through APR so far, 80 percent of the stand-alone projects are rated in the satisfactory range whereas only 64 percent of the blended projects are rated in the satisfactory range. The reasons for this difference need further study to be understood better.

85. UNEP's ratings for projects in the APR 2015 cohort are in line with their overall average, with 87 percent of UNEP's projects rated in the Satisfactory range for the both this year's cohort and overall. UNEP's ratings are on average higher compared to 79 percent for all other agencies together (as well as jointly implemented projects.) This difference is significant when region, country characteristics, project size and focal area are controlled for.

¹² As noted in the methodology section the IEO reviews a sample of projects submitted by agencies every year to insure consistency in IEO ratings and Agency ratings. Of the 27 World Bank projects which have been sampled since World Bank ratings were first accepted in APR 2009, IEO reviews have been consistent in terms of rating projects in the Satisfactory range in all but two cases, in which an IEG review rated the project in the unsatisfactory range, while IEO review placed the project in the satisfactory range.

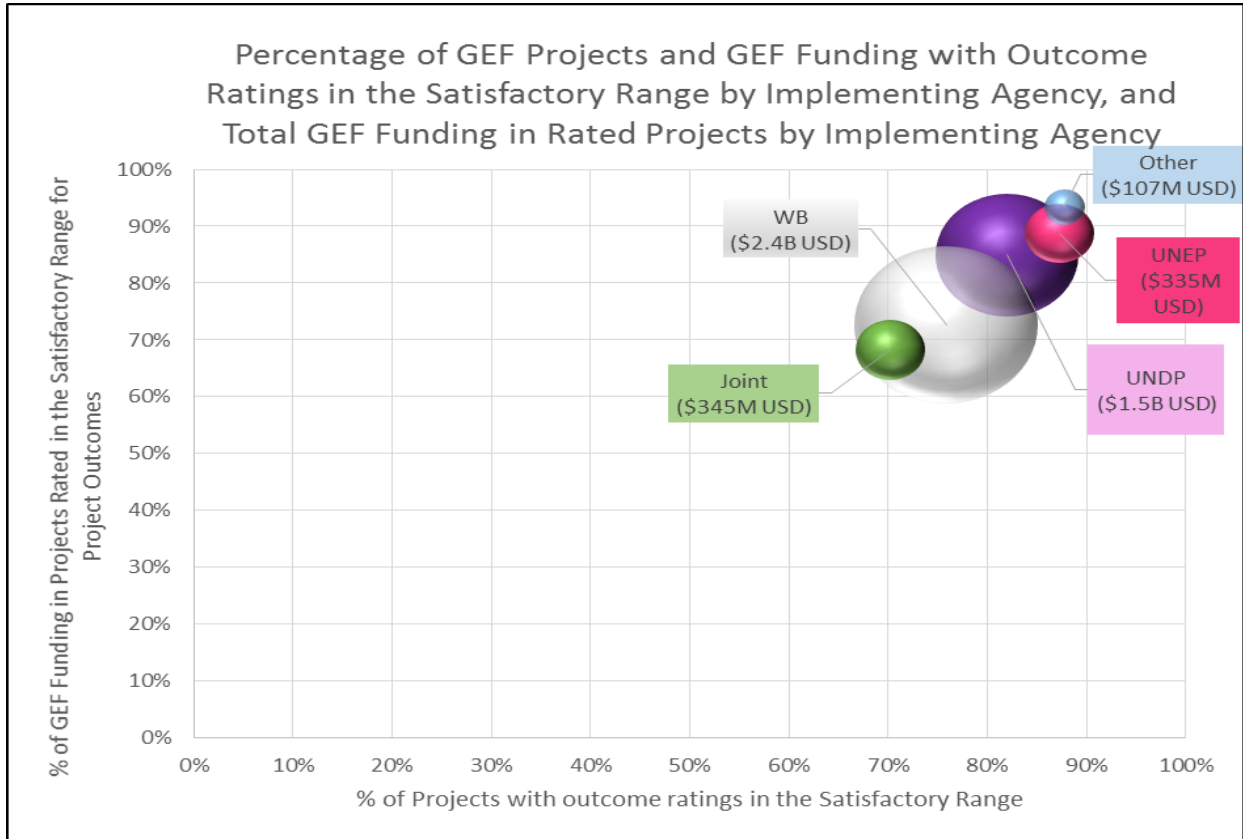
Table 6: Outcome ratings on GEF projects, by lead implementing agency and GEF replenishment phase (number of observations in parentheses).

Agency	Pilot Phase	Percentage of Projects with Satisfactory Outcomes				APR 2015 Cohort	Cumulative Total†
		GEF-1	GEF-2	GEF-3	GEF-4		
UNDP	64% (33)	76% (41)	82% (103)	85% (165)	84% (135)	78% (69)	82% (477)
UNEP	100% (2)	100% (6)	80% (40)	91% (57)	85% (26)	87% (15)	87% (134)
World Bank	80% (35)	81% (47)	78% (132)	67% (128)	89% (35)	67% (60)	76% (377)
Joint Implementation	-	75% (8)	40% (10)	87% (15)	75% (4)	100% (3)	70% (37)
Other Agencies	-	-	100% (2)	94% (16)	81% (21)	70% (10)	88% (41)
All projects	73% (70)	79% (102)	78% (287)	81% (381)	85% (221)	75% (157)	80% (1066)

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

86. Figure 3 displays the percentage of GEF Projects and GEF funding with outcomes ratings in the satisfactory range by implementing agency, for projects from all phases. The size of the bubble represents the total GEF funding in rated projects for each implementing agency. From this graph we can see that when all rated projects are included, agencies are relatively close in terms of the percentage of their projects which are rated as moderately satisfactory or higher. This being said, the figure also makes clear the fact that other Agencies, which so far represent a small portion of all completed projects in terms of total GEF funding in completed projects, are performing well, in comparison to the 3 initial partner Agencies—the World Bank, UNEP, and UNDP. The percentage of ratings in the satisfactory range for other Agencies in the APR 2015 cohort is 70 percent of 10 projects rated in the satisfactory range, but given the relatively small number of observations it is difficult to draw strong inferences for the group. Additionally the difference between ratings for other agencies in the APR2015 cohort and ratings for other agencies in all other cohorts is not statistically significant. Ratings for jointly implemented projects are still on average lower, at 70% (n=37) then the average for all others of 81% (n=1029), however this difference is not statistically significant. Additionally the three projects under joint implementation included in APR 2015 all were rated in the satisfactory range on project outcomes. Many different factors contribute to these differences in rating, including the types of projects and country characteristics within each Implementing Agency Cohort, and between joint and non-jointly implemented projects. Thus caution should be used in drawing conclusions from comparisons of ratings.

Figure 6: Percentage of GEF Projects and GEF Funding with Outcome Ratings in the Satisfactory Range by Implementing Agency, and Total GEF Funding in Rated Projects by Implementing Agency



87.

88. Table 7 presents overall outcome ratings on completed projects by various groupings. When examining all phases, the International Waters focal area has lower than average ratings when compared to other focal areas, however, this difference is not statistically significant when controlling for region, country characteristics, and project size. Conversely, Biodiversity has higher than average ratings. This difference is statistically significant at a 95% level when controlling for region, country characteristics, and project size.

Table 7: Overall outcome ratings by GEF Phase and Alternate Groupings

		Percentage of projects with outcomes rated \geq MS					
Criteria		Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases
Focal area	Biodiversity	75% (44)	82% (57)	81% (144)	84% (153)	91% (68)	83% (467)
	Chemicals	-	60% (5)	82% (11)	77% (13)	83% (23)	79% (53)
	Climate Change	61% (18)	76% (29)	77% (81)	83% (94)	83% (58)	79% (281)
	International Waters	88% (8)	80% (10)	72% (36)	68% (40)	80% (25)	74% (119)
	Land Degradation	-	-	-	78% (40)	75% (20)	77% (61)
	Multi Focal	-	100% (1)	73% (15)	78% (41)	85% (27)	80% (85)
	LCDF and SCCF projects	-	-	-	100% (6)	89% (18)	92% (24)
Region	Africa	75% (24)	79% (28)	70% (63)	70% (108)	80% (55)	73% (279)
	Asia	63% (19)	85% (27)	81% (70)	83% (81)	88% (57)	82% (254)
	Europe and Central Asia	75% (8)	72% (18)	77% (52)	84% (81)	92% (51)	83% (210)
	Latin America and the Caribbean	75% (16)	83% (18)	81% (80)	85% (73)	82% (33)	82% (220)
	Global	100% (3)	73% (11)	86% (22)	89% (38)	76% (25)	84% (103)
Country characteristics ^a	Fragile state	46% (13)	75% (20)	70% (30)	79% (48)	68% (22)	72% (134)
	SIDS	60% (10)	67% (6)	75% (20)	67% (30)	70% (20)	69% (86)
	LDC	56% (18)	85% (26)	70% (54)	71% (84)	81% (54)	74% (237)
	Landlocked	67% (15)	77% (22)	74% (53)	79% (96)	91% (56)	80% (242)
Size ^b	Full-sized project	73% (70)	79% (94)	76% (161)	79% (243)	84% (85)	78% (653)
	Medium-sized project	-	88% (8)	82% (126)	84% (138)	85% (136)	84% (413)
Scope	National	72% (58)	80% (74)	78% (218)	78% (269)	85% (163)	80% (783)

	Regional	67% (9)	82% (17)	74% (47)	84% (74)	85% (34)	81% (181)
	Global	100% (3)	73% (11)	86% (22)	89% (38)	79% (24)	85% (102)
Executing agency Type	Government or parastatal agency	73% (49)	81% (74)	79% (150)	77% (227)	86% (146)	80% (647)
	NGO or foundation	57% (7)	100% (4)	78% (74)	92% (62)	92% (26)	85% (175)
	Bilateral or multilateral agency	85% (13)	71% (24)	77% (53)	84% (82)	77% (35)	80% (208)
	Other, including private sector organizations	0% (1)	-	70% (10)	70% (10)	79% (14)	72% (36)
All projects		73% (70)	79% (102)	78% (287)	81% (381)	85% (221)	80% (1,066)

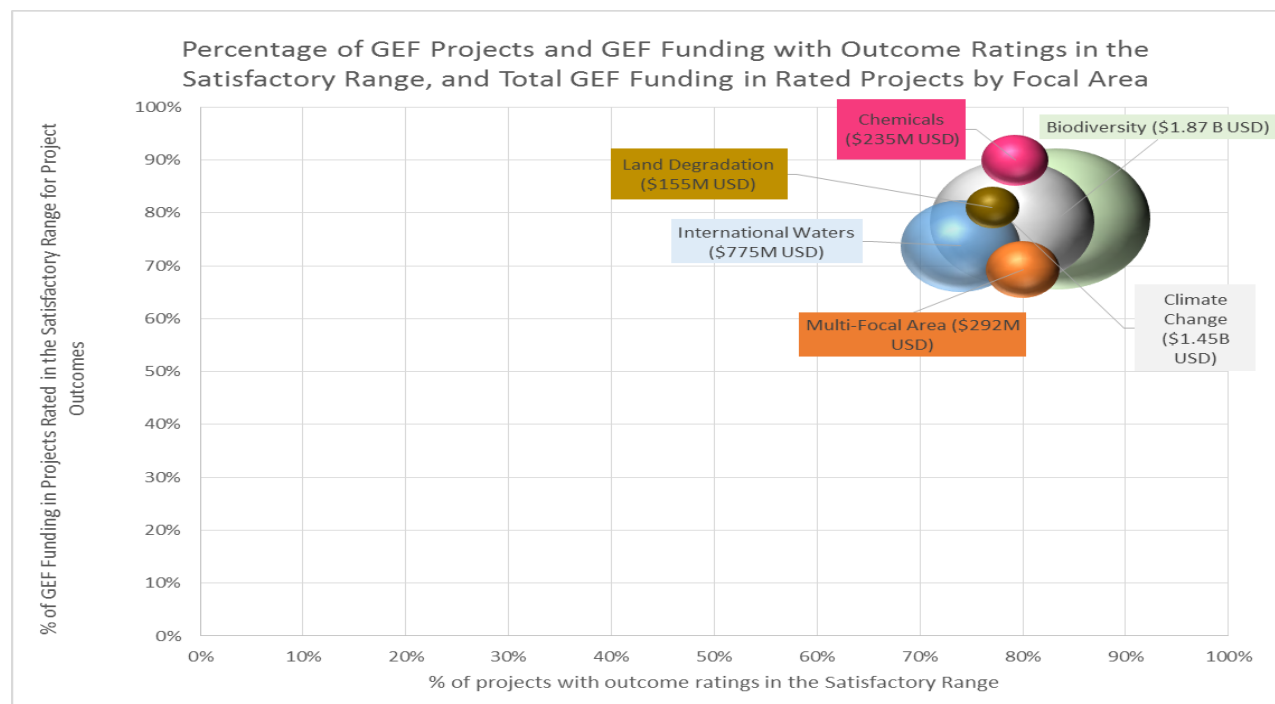
a For regional and global projects, country characteristic groupings include projects in which at least one participating country with on-the ground implementation activities is a member of the relevant grouping.

b The full-sized project class includes 5 Enabling Activities based on size of GEF grant.

89. Differences in outcome ratings by focal area are highlighted in the bubble chart in

90. Figure 7. This figure also highlights the fact that although there are significant differences in ratings by focal area, focal area ratings are still in the same ball-park.

Figure 7: Percentage of GEF Projects and GEF Funding with Outcome Ratings in the Satisfactory Range by Implementing Agency, and Total GEF Funding in Rated Projects by Focal Area



Regionally, projects implemented in the African States also have lower ratings on average than other regions when all phases are considered, a difference which is statistically significant at a 95 percent level when project size, country characteristics, and focal area are controlled for. This finding is highlighted in the bubble chart in Figure 8. GEF IEO has completed country portfolio evaluations for seven African countries.¹³ These evaluations shed light on some of challenges faced in the region which affect project outcomes. Of the seven country portfolio evaluations conducted to date in African states, five noted institutional coordination as a challenge, or an area with room for improvement. In Tanzania, inadequate institutional coordination among stakeholders was noted as one underlying reason for adverse environmental trends.¹⁴ One of the conclusions of the evaluation was that mechanisms for networking among GEF IAs, national institutions, GEF projects and national institutions exist, but have not been fully effective in creating synergies in GEF project programming.¹⁵ In the case of Eritrea, although more synergies were visible at the regional level, the evaluation noted that “synergies and coordination in programming and implementation among GEF Agencies and Eritrean institutions, as well as among Eritrean institutions themselves are limited.”¹⁶ The Madagascar country portfolio evaluation noted that roles and responsibilities of stakeholders were not clear, and coordination was suboptimal. Additionally in Madagascar the operational focal point mechanism was not operational due to lack of resources.¹⁷ Similarly in Benin at the time of the Country Portfolio Evaluation, one of the evaluation’s recommendations was to reactivate and strengthen the coordinating mechanism of the focal point in Benin, as the position was vacant at the time.¹⁸ Finally in the case of the South Africa CPE it is also noted that the focal point mechanism is hampered in effectively providing strategic guidance and information due to an absence of a concrete national strategy for sustainable development.¹⁹ These challenges in institutional coordination would have an effect on project results and efficiency.

91. Fifty six percent of the completed GEF projects in Africa (155 of 282) include at least one Least Developed Country (LDC) thus these findings are useful to keep in mind when considering the region. All country portfolio evaluations note the continued relevance of GEF projects in the countries, underscoring the importance of work in the Africa region.²⁰

¹³ GEF IEO, 2008 CPE Benin; GEF IEO, 2009 CEP Cameroon; GEF IEO, 2015 CPE Eritrea; GEF IEO, 2015 CPE Madagascar; GEF IEO, 2015 CPE Sierra Leone; GEF IEO, 2015 CPE South Africa; and, GEF IEO, 2015 CPE Tanzania.

¹⁴ GEF IEO 2014 CPE Tanzania

¹⁵ CPE Tanzania

¹⁶ GEF IEO 2015 CPE Eritrea p.21

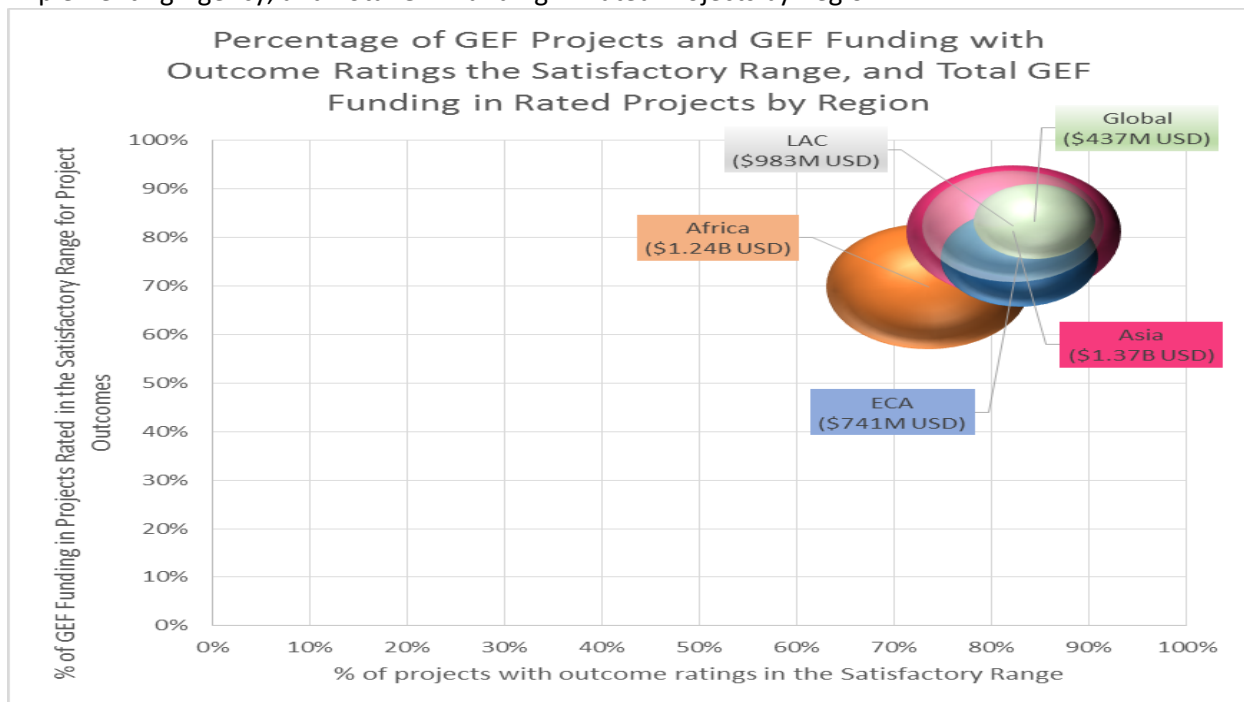
¹⁷ GEF IEO 2008 CPE Madagascar

¹⁸ GEF IEO, 2008 CEP Benin

¹⁹ GEF IEO, 2008 CPE South Africa

²⁰ GEF IEO, 2008 CPE Benin; GEF IEO, 2009 CEP Cameroon; GEF IEO, 2015 CPE Eritrea; GEF IEO, 2015 CPE Madagascar; GEF IEO, 2015 CPE Sierra Leone; GEF IEO, 2015 CPE South Africa; and, GEF IEO, 2015 CPE Tanzania.

Figure 8: Percentage of GEF Projects and GEF Funding with Outcome Ratings in the Satisfactory Range by Implementing Agency, and Total GEF Funding in Rated Projects by Region



92. In terms of country characteristics, projects implemented in Small Island Developing States have on average lower outcome ratings than other projects when all phases are considered, a difference which is statistically significant at a 95 percent level when controlling for project size, region, focal area and other country characteristics. The 2012 GEF Cluster Country Portfolio Evaluation of six GEF beneficiary country members of the Organization of Eastern Caribbean States (OECS) noted challenges in these countries in terms of limited capacity, resources, and personnel.²¹ Similarly, the 2015 evaluation of Vanuatu and SPREP noted that, while GEF projects have strengthened individual, institutional and system level capacities, sustaining this capacity has been a challenge, with an exception in the climate change focal area.²² These factors may explain some of the challenges in Small Island Developing States.

93. Medium sized projects have on average higher ratings than full size projects, and this difference is statistically significant at a 95 percent level when focal area, region, and country characteristics are controlled for. However, qualitative differences between medium and full size projects make comparisons in ratings between the two inappropriate. As noted in the 2001 GEF IEO Medium Sized Project evaluation, MSPs appear to have a comparative advantage in activities such as partnership building, awareness raising, public participation, capacity building and innovation, while full size projects are able to support national level actions.²³ Regional projects and global projects have slightly higher ratings than national projects, although these

²¹ GEF IEO 2012, CPE: OECS Vol 1

²² GEF IEO 2015, Country Portfolio Evaluation, Vanuatu and SPREP (1991-2012)

²³ GEF IEO 2001, Medium-Sized Projects Evaluation

differences are not statistically significant. Differences in outcome ratings by executing agency type are not significant.

Evaluations of Programs in APR 2015

94. This year, terminal evaluations for three parent programs were reviewed by the IEO, all of which were approved in GEF phase 3. These projects were not included in the APR 2015 cohort to avoid double counting of ratings, as some terminal evaluations for child projects of these programs have already been included in past APR cohorts.

95. The first of these programs, “LDC and SIDS Targeted Portfolio Approach for Capacity Development and Mainstreaming of Sustainable Land Management (GEF ID 2441)” was implemented from 2004 to 2012 by UNDP. The program was effective in developing of 46 out of 48 planned medium-sized projects for capacity development and mainstreaming of Sustainable Land Management at a national level, increasing institutional and individual capacity for SLM in the countries assessed, and mainstreaming of Sustainable Land Management into national planning processes, and for producing tools and guidelines for SLM mainstreaming. The terminal evaluation submitted for the program covers it at the portfolio level. It addresses “the Global Coordination Component” of the program, and focuses on the “globally harmonized support services provided by the GCU (Global Coordinating Unit)” in providing support for the development of MSPs at a national level.²⁴ The program’s terminal evaluation noted a lack of appreciation of the link between economic development and Sustainable Land Management. It, however, also noted that all participating countries had begun mainstreaming Sustainable Land Management into national planning processes; and, 58 percent of participating countries had elaborated National Action plans, with 42 percent of these endorsed at the country-level.²⁵ The program received an outcome rating of moderately satisfactory and a sustainability rating of moderately likely in IEO review. Five of the program’s child projects have been covered in past APRs. Of these five, one received both an outcome rating in the satisfactory range and a sustainability rating in satisfactory range, while the remaining four received both outcome and sustainability ratings which were not in the satisfactory range.²⁶ The TE states that as part of the portfolio level intervention the terminal evaluation reports of individual country-level MSPs were reviewed, however it does not provide information on how many were reviewed.

96. The second program, “Geothermal Energy Development Program, GeoFund” (GEF ID 1615) was implemented by the World Bank from 2006-2010. It was cancelled mid-way.²⁷ An evaluation of the work undertaken before completion, found that the program had made substantial progress towards its objective, “to promote the use of geothermal energy in the Europe and Central Asia region by removing barriers to the development of renewable

²⁴ GEF ID 2441, TE p.1

²⁵ GEF ID 2441, TE p.52-53

²⁶ Child projects covered in past APR were: GEF IDs 3262, 3306, 3316, 3360 & 3427.

²⁷ World Bank 2010. Notification of Cancellation of Project 1615

energy.”²⁸ Two child projects are listed in PMIS. The first, “GEOFUND 2: Armenia Geothermal Project” was included in APR 2013, and received an outcome rating of satisfactory and a sustainability rating of moderately likely. The second, “GEO: Turkey GEOFUND” will be completed in June 2016 according to its most recent Project Implementation Report.

97. The third program, “FC-1: Fuel Cells Financing Initiative for Distributed Generation Applications (Phase 1)” (GEF ID 1685) was implemented by the World Bank/IFC from 2005-2011. The program’s completion report found that the single project awarded during phase 1 had “uneven performance” based on “slower than expected fuel cell technology market acceptance...required supporting infrastructure, lack of logistics, and the need for additional operations and management” among other issues.²⁹ The completion report also noted, that the project led to estimated 96 metric tons of carbon dioxide emissions avoided, though this was far below target levels.³⁰ This program’s single child project is in South Africa, “FC-1: Sub-project 1st Group/Plug Power”, (GEF ID 3022) for which a terminal evaluation has not yet been received, although according to GEF Secretariat’s Project Management Information System (PMIS) implementation was completed in 2011.

3.3 Sustainability

98. The sustainability of project outcomes following project completion is important for two principal reasons: Sustainability assessments are based on the potential risks to sustainability of outcomes at the point of completion, as assessed by the evaluator. Thus they are not actual measurements of a project’s sustainability over time. However, as noted in the APR 2013, they do provide information on the degree to which GEF project interventions have been successful in bringing about any lasting change to the systems, institutions, or networks on 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.³¹

99.

²⁸ World Bank 2006. GEOFUND PAD p.5

²⁹ IFC 2011. Advisory Services Completion Report SEGEF FuelCell 1 p.7

³⁰ IFC 2011. Advisory Services Completion Report SEGEF FuelCell 1 p.8

³¹ GEF EO 2009. *The ROTI Handbook: Towards Enhancing the Impacts of Environmental Projects*. OPS4 Methodological Paper #2.

Table 8 presents sustainability ratings among projects in the APR 2015 cohort (n=144) for which ratings are available and for all other completed projects (n=877). As shown, the percentage of projects and the percentage of funding in projects with sustainability ratings of moderately likely or higher is higher among the APR 2015 cohort than all other projects, at 67 percent and 70 percent respectively. However, the difference in sustainability ratings between APR2015 cohort and all other projects is not statistically significant. The number of projects in a single year cohort is also too small to be indicative of a trend. When considering all completed and rated projects to date (n=1,021), 61 percent of projects and 62 percent of funding is in projects with sustainability ratings of moderately likely or higher.

Table 8: Percentage of projects and percentage of GEF funding in projects with different Sustainability ratings, for the APR 2015 cohort and all other completed projects.

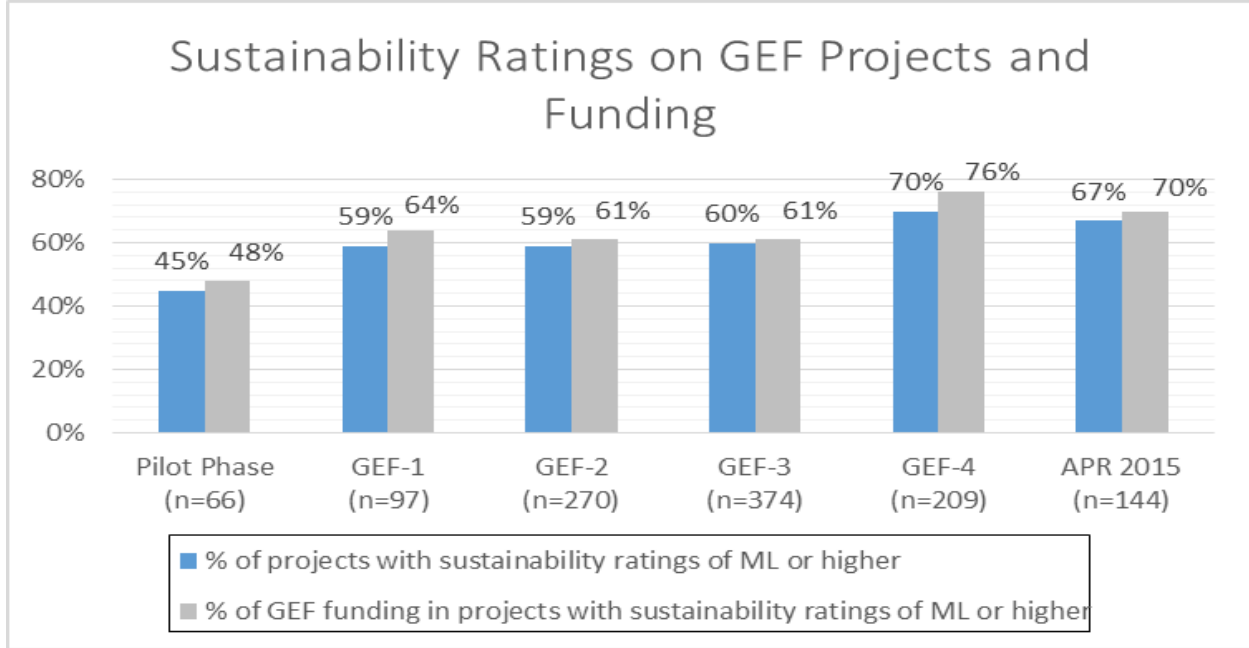
Outcome Rating/Criteria	Projects		Funding	
	APR 2015 cohort	Cumulative Total excluding APR 2015 cohort	APR 2015 cohort	Cumulative Total excluding APR 2015 cohort
Likely	21%	15%	18%	16%
Moderately Likely	44%	45%	51%	44%
% of projects, or % of funding in projects, with Sustainability rated ML or higher	67%	60%	70%	61%
Moderately Unlikely	28%	30%	26%	30%
Unlikely	7%	10%	5%	9%
# of rated projects or funding in rated projects	144	877	706.4	3,898.9

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

100. Underlying trends in sustainability ratings become more obvious when grouping projects by GEF replenishment phase, as shown in

101. Figure 9, which also includes APR 2015. Similar to the rise in overall outcome ratings, a rise in the percentage of projects with sustainability ratings of moderately likely or above is seen moving from the Pilot Phase to GEF-4, although much of the increase is from the Pilot Phase to GEF-1 period. There is a distinct rise in GEF-4, for which 70 percent of projects received sustainability ratings, compared to 59 percent of all other projects. This difference is statistically significant at a 95 percent confidence level, even when controlling for country characteristics, region, project size and focal area. As was noted in section 1, coverage of GEF-4 is comparatively low at 29 percent, thus it is too soon to draw conclusions on findings for this phase. However it can be seen from the pilot phase through GEF-3 that outcomes and sustainability ratings have increased over replenishment phases.

Figure 9: Percentage of projects and GEF funding in projects with sustainability ratings of moderately likely or above, by GEF replenishment phase



102.

103. Table 9 displays sustainability ratings on completed GEF projects by focal area and replenishment phase, and for APR 2015. When considering all projects rated on sustainability, trends found in APR 2014 are relatively unchanged. Climate change projects tend to have the highest sustainability ratings when all phases are taken together, with 69% of projects on average attaining sustainability ratings in the satisfactory range, compared to 58% of all other project types. This difference is statistically significant at a 95% level when region, country characteristics and project size are controlled for. Conversely, the difference in the number of projects in the biodiversity focal area which attain sustainability ratings in the satisfactory range and all other projects is also significant at a 95% level when controlling for region, country characteristics and project size and considering all phases. When examining differences within GEF phases, in GEF-3 biodiversity and climate change also have statistically significant differences in the number of projects attaining sustainability ratings in the satisfactory range, compared to all other focal areas. For all other phases, there are no statistically significant differences in the number of projects receiving satisfactory sustainability ratings by focal area.

Table 9: 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 Sustainability Ratings of Moderately Likely or Higher						
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 Cohort	All Phases ^{††}
Biodiversity	46% (41)	53% (53)	56% (134)	55% (149)	72% (65)	62% (39)	57% (443)
Chemicals [†]	-	80% (5)	64% (11)	38% (13)	77% (22)	56% (9)	63% (52)
Climate Change	41% (17)	68% (28)	64% (77)	72% (93)	78% (55)	77% (56)	69% (271)
International Waters	50% (8)	60% (10)	65% (34)	64% (39)	64% (25)	50% (12)	63% (116)
Land Degradation	-	-	-	58% (40)	50% (16)	67% (12)	56% (57)
Multi-Focal	-	100% (1)	50% (14)	60% (40)	58% (26)	63% (16)	57% (82)
All projects	45% (66)	59% (97)	59% (270)	60% (374)	70% (209)	57% (144)	61% (1021)

[†] 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.

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

3.4 Outcome and sustainability ratings of completed SCCF and LDCF projects

104. Since APR 2013, GEF Annual Performance Reports have covered the completed projects funded from the LDCF and SCCF trust funds. The IEO also provides more detailed coverage of the LDCF/SCCF portfolio in the LDCF/SCCF Annual Evaluation Report, first published in 2014.³²

105. For APR 2015, the IEO received terminal evaluations of five completed LDCF projects and six completed SCCF projects. Nine of the eleven projects were approved during GEF-4, and the remaining two were approved in GEF-3. These projects account for \$14.6 million in LDCF funding and \$38.4 million in SCCF funding. To date, the portfolio of completed projects covered in APR 2015 includes 24 completed LDCF and SCCF projects. Although this year represents the largest LDCF/SCCF cohort to date, the total number of completed projects remains small. Thus these projects are not representative of the full range of objectives and approaches of the two funds.

³² GEF IEO 2014. LDCF/SCCF Annual Evaluation Report 2013. GEF/LDCF.SCCF.16/ME/02.

106. Table 10 provides summary information and outcome and sustainability ratings for the eleven recently completed LDCF/SCCF projects contained in the APR 2015 cohort. All but one of the 11 projects had outcome ratings in the satisfactory range, with four projects rated satisfactory, six projects rated moderately satisfactory, and one project rated moderately unsatisfactory. Eight of the 11 projects received sustainability ratings of moderately likely or higher. In the case of two of the three projects in which sustainability was rated as moderately unlikely, financial risks were perceived as being the greatest threat to sustainability. In the case of the Sudan project “Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change” (GEF ID 3430) financial and environmental sustainability was rated likely, but overall sustainability was rated as moderately unlikely due to perceived threats from lack of political support and uncertain capacity at a local level.

Table 10: Outcome and Sustainability ratings of recently completed SCCF and LDCF projects.

GEF ID	Fund	Agency	Project Title	Country	GEF Funding (M\$)	Outcome rating [†]	Sustainability rating ^{††}
2553	SCCF	UNDP	Piloting Climate Change Adaptation to Protect Human Health	Barbados, Bhutan, China, Fiji, Jordan, Kenya, Uzbekistan	4.5	MS	MU
2902	SCCF	World Bank	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	Bolivia, Ecuador, Peru	7.5	MS	ML
2931	SCCF	UNDP	Adaptation to Climate Change through Effective Water Governance	Ecuador	3	MS	L
3101	SCCF	UNDP	Pacific Adaptation to Climate Change Project (PACC)	Cook Islands, Fiji, Micronesia, Marshall Islands, Nauru, Niue, Papua New Guinea, Palau, Solomon Islands, Tonga, Tuvalu, Vanuatu, Samoa	13.1	MS	ML
3227	SCCF	World Bank	Conservancy Adaptation Project	Guyana	3.8	MS	ML
3249	SCCF	World Bank/ UNDP	Adaptation to Climate Change in Arid Lands (KACCAL)	Kenya	6.5	MS	L
3430	LDCF	UNDP	Implementing NAPA Priority Interventions	Sudan	3.3	MU	MU
3689	LDCF	UNDP	Adaptation to the effects of drought and climate change	Zambia	3.8	S	MU
3718	LDCF	UNDP	Building the Capacity of the Agriculture Sector in DR Congo	Congo DR	3.0	S	ML
3728	LDCF	UNEP	Strengthening of The Gambia’s Climate Change Early Warning Systems	Gambia	1.0	S	ML
3838	LDCF	UNEP	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems	Rwanda	3.49	S	L

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

†† 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

107. Achievement of project results is affected by a variety factors, including project design, quality of project implementation and execution, and the operational context in which projects take place. Additionally, exogenous factors beyond the control of project management may also affect attainment of results. Ratings of implementation and execution quality, and project M&E quality shed light on these factors, as do information on promised and achieved co-financing. This chapter reports on these four factors. Of these factors, regression analysis shows that project outcomes are most strongly correlated with the quality of implementation ratings. While other factors can, and likely do, affect achievement of project results, such as projects' operational context or strategic approach, these are not addressed in the performance ratings presented in the APR.

4.1 Quality of Implementation

108. 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.

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

Agency	Pilot Phase	Percentage of Projects with Satisfactory Implementation					
		GEF-1	GEF-2	GEF-3	GEF-4	APR 2015	All Phases†
UNDP	26% (23)	75% (16)	76% (70)	83% (157)	87% (132)	83% (66)	79% (398)
UNEP	100% (2)	100% (2)	84% (19)	82% (55)	100% (25)	94% (16)	88% (106)
World Bank	69% (29)	74% (23)	77% (88)	66% (122)	86% (28)	58% (48)	72% (290)
Joint	-	57% (7)	20% (10)	79% (14)	100% (4)	67% (3)	60% (35)
Other	-	-	100% (2)	81% (16)	75% (20)	70% (10)	80% (40)
All projects	52% (54)	73% (48)	75% (189)	77% (364)	88% (209)	75% (143)	77% (869)

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

109. In APR 2015, 143 projects were rated on quality of implementation, while to date, 869 completed projects have been rated on the Quality of Implementation. Table 11 show ratings for projects by GEF replenishment period and by Agency. Overall there is a trend in the percentage of projects with satisfactory ratings from GEF-1 to GEF-4. The implementation ratings for UNDP show a dramatic improvement from Pilot Phase to GEF-1, after which the

ratings show a steady improvement. As with outcome and sustainability ratings, the World Bank ratings dipped in the GEF 3 period and have shown an improvement in the GEF-4 period. For UNEP, ratings have remained high throughout all phases, with 88% of all projects receiving implementation ratings in the satisfactory range. APR 2015 cohort ratings are in line with the long term average.

4.2 Quality of Project Execution

110. 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, 878 completed projects have ratings on Quality of Execution, including 144 of the 159 projects in the APR 2015 cohort. In the APR 2015 cohort, 72 percent of all projects were rated in the satisfactory range on quality of execution. Quality of execution ratings in the APR 2015 cohort are lower than the average for all projects of 81 percent (878.)

Table 12: Quality of Execution ratings on GEF projects, by GEF replenishment phase. (Number of observations in parenthesis)

Criteria		Percentage of Projects with Satisfactory Execution					APR 2015 Cohort	All Phases*
		Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4		
Region	Africa	62% (n=21)	60% (n=15)	74% (n=43)	73% (n=101)	76% (n=51)	60% (55)	72% (n=232)
	Asia	60% (n=15)	87% (n=15)	73% (n=41)	92% (n=79)	87% (n=54)	87% (39)	84% (n=204)
	Europe & Central Asia	86% (n=7)	75% (n=8)	82% (n=39)	84% (n=75)	82% (n=49)	69% (16)	83% (n=178)
	Latin America and Caribbean	91% (n=11)	67% (n=9)	88% (n=56)	82% (n=72)	84% (n=32)	77% (26)	84% (n=180)
	Global	100% (n=3)	100% (n=6)	86% (n=14)	85% (n=34)	87% (n=23)	63% (8)	88% (n=84)
Country Characteristics	Fragile States	60% (n=10)	67% (n=12)	63% (n=16)	82% (n=44)	63% (n=19)	40% (10)	72% (n=102)
	SIDS	70% (n=10)	67% (n=6)	75% (n=8)	73% (n=30)	70% (n=20)	65% (17)	72% (n=74)
	LDC	60% (n=15)	64% (n=14)	69% (n=36)	73% (n=79)	74% (n=50)	55% (40)	71% (n=195)
	Landlocked	77% (n=13)	70% (n=10)	79% (n=39)	81% (n=90)	80% (n=54)	70% (27)	80% (n=206)
All Projects		72% (n=57)	75% (n=53)	80% (n=193)	83% (n=361)	83% (n=209)	72% (144)	81% (n=878)

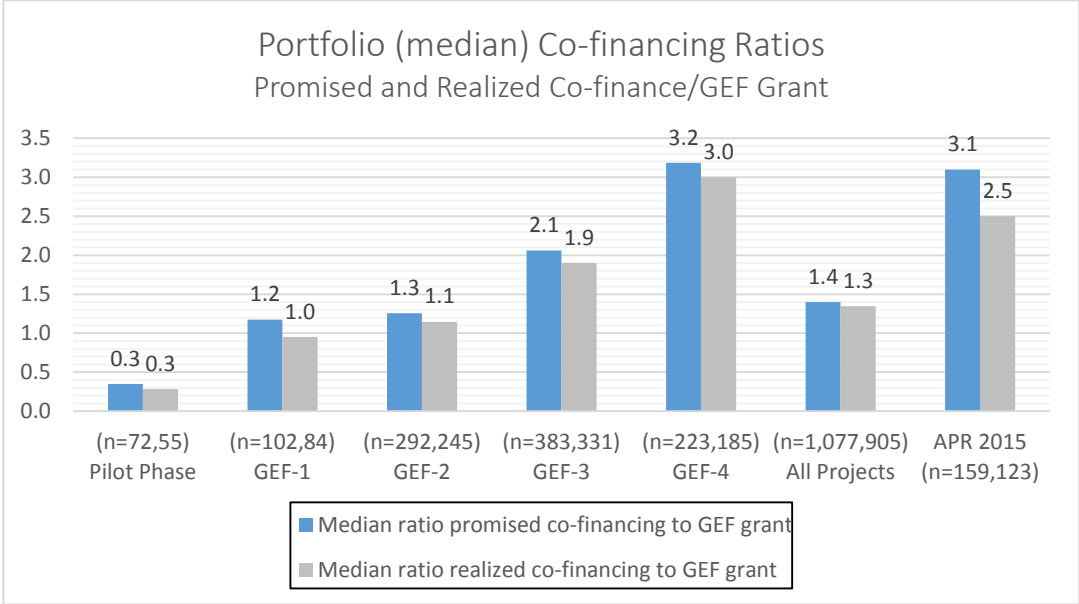
*Note – numbers may not sum to 100% due to rounding. All phases includes 5 projects from the GEF-5 phase.

111. As shown in Table 12, among projects implemented in the Africa region, and in SIDS– areas of the GEF portfolio where overall outcome ratings have on average been lower – Quality of Execution ratings are also lower. However, there has been some improvement in the ratings for the Africa region, especially following the GEF-1 phase.

4.3 Co-financing

112. This section presents information on promised and realized co-financing for completed GEF projects³³, by GEF replenishment period and by various project groupings. Both promised and realized co-financing figures are important in assessing GEF partner performance. Promised co-financing provides a measure of GEF partner’s ability to mobilize resources in support of GEF projects, while realized co-financing provides a measure of their ability to meet these commitments. For the APR-2015 cohort of 159 projects, information on promised co-financing is available for all 159 projects, while data on realized co-financing is available for 123 projects. The total ratio of realized co-financing to GEF Grant for the APR 2015 cohort (excluding projects with no co-financing information available) is 6.4 dollars of co-financing realized for every GEF dollar, meeting the GEF-6 target for portfolio ratios of 6:1.³⁴ To date, information on promised co-financing is available for all 1,077 projects covered in APR 2015, while information on realized co-financing is available for 905 projects.

Figure 10: Promised co-financing of completed GEF projects, by GEF phase.



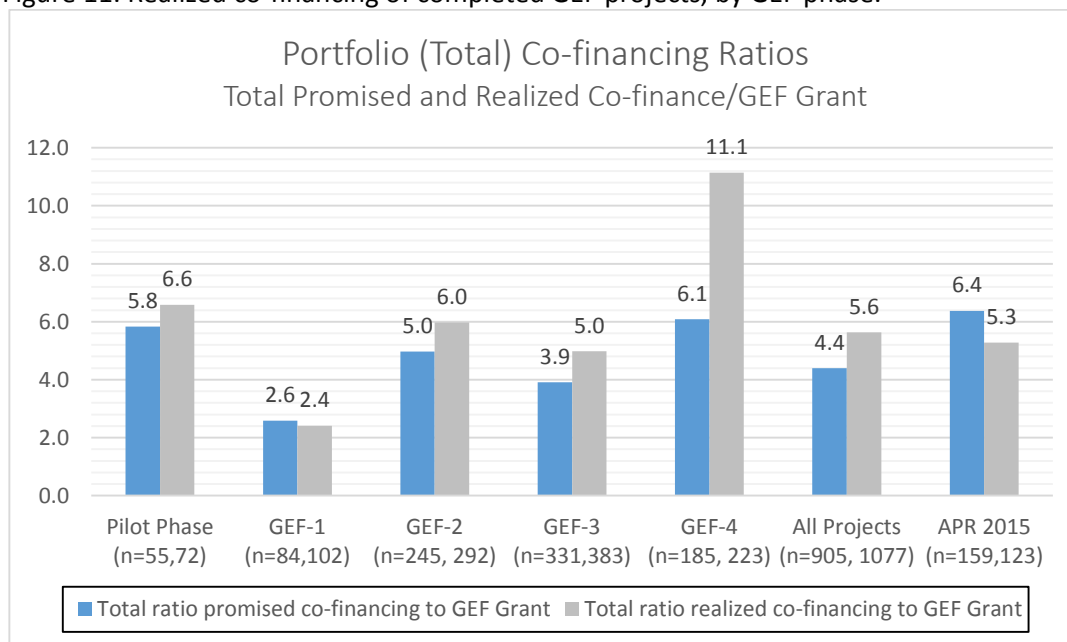
³³ Excluding SGP programme and Enabling Activity projects not covered in APR.

³⁴ GEF Secretariat, 2014, Co-Financing Policy: FI/PL/01,

113. Figure 10 presents median promised and realized co-financing ratios for projects grouped at the level of GEF Phases. The figure presents ratios of the median level of all co-financing committed at appraisal, or materialized by project completion, to the median GEF grant. This figure demonstrates the increase over time in the median ratios of promised and realized co-financing to GEF grants, as well as the fact that, where information on realized co-financing is available, ratios of median realized co-financing to GEF grants are similar to ratios of median promised co-financing to GEF grants.

114. Figure 12 displays the total co-financing ratios for the portfolio or the total amount of co-financing to the total amount of GEF funding in a replenishment phase grouping, as well as for APR 2015. When considering all completed projects to date for which data on realized co-financing is available (n=905), GEF partners have realized 5.6 dollars of co-financing for each dollar of GEF grant. A single project introduced in the APR 2014 cohort with a reported \$1.8 billion in co-financing continues to drive the total ratio of realized co-financing to GEF grant GEF-4 phase, at 11.1 dollars of realized co-financing to dollar of GEF grant.³⁵ When this project is omitted, the total ratio of realized co-financing to GEF Grant in GEF-4 is 6.9 dollars of realized co-financing to a dollar of GEF grant.

Figure 11: Realized co-financing of completed GEF projects, by GEF phase.



115. Table 13 shows the distribution of average and median project-level co-financing ratios (promised co-financing to GEF grant), by GEF focal area and GEF Phases. As shown, co-financing ratios have increased across all focal areas³⁶, but there is considerable variability when comparing average ratios, which are more sensitive to outliers, to median ratios, as well as between and within focal areas. Average ratios of co-financing at appraisal to GEF Grant for the APR 2015 cohort were high, at 4.6 (n=159), compared to 3.2 for all projects (n=1077). This is

³⁵ This project is “Sustainable Public Transport and Sport: A 2010 Opportunity,” GEF ID 2604, UNDP ID 3276.

³⁶ Projects directly addressing land degradation concerns emerged a separate GEF strategy in GEF-3.

also true of average ratios of realized co-financing to GEF grants, which were 5.6 for the APR 2015 cohort (n=123) compared to 4.5 for all projects (n=905).

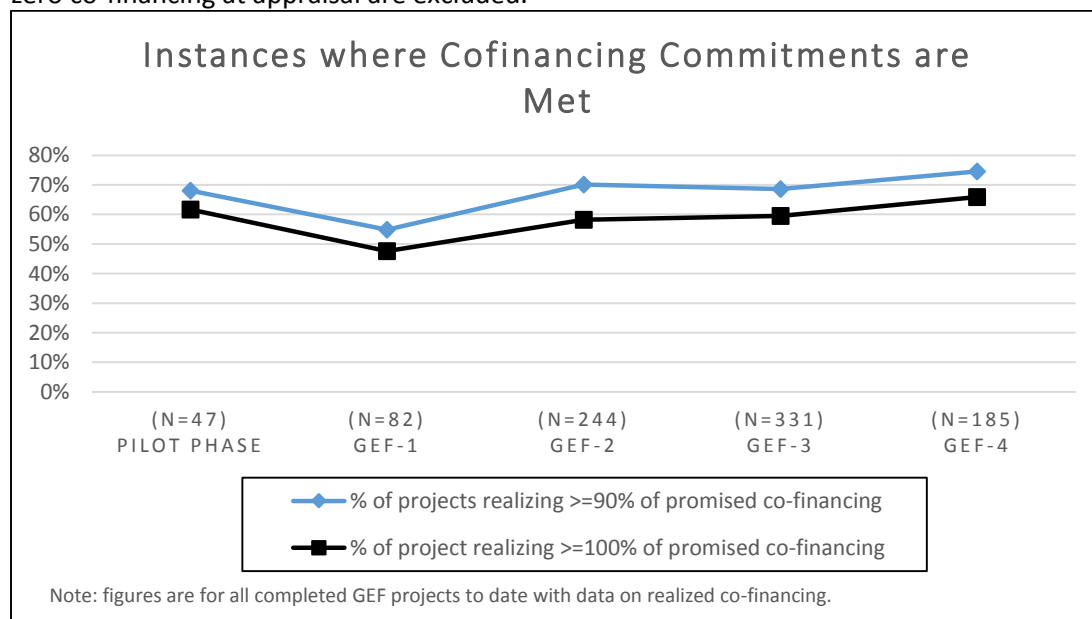
116. In general, average ratios of GEF grants at appraisal have risen steadily since GEF Phase-1, with an average ratio of 2.0 (n=102) to an average of 3.7 in GEF-4 (n=223). Both promised and realized median co-financing ratios have continued to rise over the GEF replenishment period as well. Although actual co-financing information is not available for all projects, the median project ratio of promised co-financing to GEF grant and median ratio of realized co-financing to GEF grant are both 1.6. The Climate Change focal area has both the highest median and average ratios in GEF-4, as well as overall.

Table 13: Ratio of Promised Co-financing to GEF Grant, by GEF focal area and phase (number of observations in parenthesis)

GEF Focal Area		Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	All Phases††
Biodiversity	Average Ratio of Promised Co-financing to GEF Grant	0.4 (n=45)	1.8 (n=57)	2.0 (n=145)	2.9 (n=154)	3.0 (n=69)	2.3 (n=471)
	Median Ratio of Promised Co-financing to GEF Grant	0.3 (n=45)	1.1 (n=57)	1.3 (n=145)	1.7 (n=154)	2.1 (n=69)	1.4 (n=471)
Chemicals	Average Ratio of Promised Co-financing to GEF Grant	-	0.5 (n=5)	0.6 (n=11)	1.0 (n=13)	1.9 (n=23)	1.3 (n=53)
	Median Ratio of Promised Co-financing to GEF Grant	-	0.4 (n=5)	0.2 (n=11)	1.0 (n=13)	1.9 (n=23)	1.2 (n=53)
Climate Change	Average Ratio of Promised Co-financing to GEF Grant	9.0 (n=19)	2.9 (n=29)	6.3 (n=83)	4.4 (n=94)	4.9 (n=58)	5.2 (n=284)
	Median Ratio of Promised Co-financing to GEF Grant	1.0 (n=19)	1.8 (n=29)	2.4 (n=83)	2.1 (n=94)	3.3 (n=58)	2.3 (n=284)
International Waters	Average Ratio of Promised Co-financing to GEF Grant	0.6 (n=8)	1.8 (n=10)	1.6 (n=36)	4.3 (n=41)	4.6 (n=26)	3.1 (n=121)
	Median Ratio of Promised Co-financing to GEF Grant	0.1 (n=8)	1.0 (n=10)	1.1 (n=36)	1.5 (n=41)	3.0 (n=26)	1.6 (n=121)
Land Degradation	Average Ratio of Promised Co-financing to GEF Grant	-	-	-	3.7 (n=40)	4.3 (n=20)	3.9 (n=61)
	Median Ratio of Promised Co-financing to GEF Grant	-	-	-	1.6 (n=40)	2.2 (n=20)	1.8 (n=61)
Multi-Focal	Average Ratio of Promised Co-financing to GEF Grant	-	1.1 (n=1)	2.9 (n=17)	3.2 (n=41)	2.9 (n=27)	3.0 (n=87)
	Median Ratio of Promised Co-financing to GEF Grant	-	1.1 (n=1)	1.1 (n=17)	2.1 (n=41)	1.1 (n=27)	1.5 (n=87)
All projects	Average Ratio of Promised Co-financing to GEF Grant	2.7 (n=72)	2.04 (n=102)	3.2 (n=292)	3.5 (n=383)	3.7 (n=223)	3.2 (n=1,077)
	Median Ratio of Promised Co-financing to GEF Grant	0.3 (n=72)	1.1 (n=102)	1.4 (n=292)	1.8 (n=383)	2.3 (n=223)	1.6 (n=1,077)

117. Figure 12 shows the percentage of completed projects that have realized at least 90 percent and at least 100 percent of promised co-financing, for those projects for which data on promised co-financing is available. As shown, an increasing percentage of projects have fulfilled or exceeded their original co-financing commitments, rising from 62 percent of Pilot phase projects realizing 100 percent or more of promised co-financing, to 65 percent of completed GEF-4 projects. For the FY2015 cohort promised co-financing materialized fully for 54 percent, compared to 59 percent for all projects (n=894).

Figure 12: Percentage of promised co-financing realized among completed GEF projects Phase 1-4 with data on realized co-financing (n=889) at the project level and portfolio level, by GEF phase. Projects with zero co-financing at appraisal are excluded.



118. Table 14 shows the percentage of total promised co-financing realized by GEF Partner Agency and by GEF phase, as well as for the APR 2015 cohort. As shown, at the portfolio-level, partner agencies have been very consistent in helping to meet or exceed co-financing commitments. In the APR 2015 cohort total materialization at the portfolio level was at 136 percent. Thus while the percent of projects for which at least 100 percent of co-financing materialized is slightly lower in the APR 2015 cohort than for all projects, total materialization at the portfolio level is higher than the average for all projects (122 percent). As APR cohorts fluctuate this does not necessarily indicate a trend. In terms of trends by GEF Phase, as noted previously, coverage of GEF phases varies, and is low in particular for GEF-4 phase, thus caution should be used in interpreting emerging trends.

Table 14: 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	GEF-1	GEF-2	GEF-3	GEF-4	APR 2015 Cohort	All phases†
	% Realized	% Realized	% Realized	% Realized	% Realized	% Realized	% Realized
UNDP	122% (16)	80% (30)	203% (86)	140% (143)	293% (116)	154% (58)	204% (391)
UNEP	-	121% (3)	100% (30)	92% (56)	112% (24)	88% (16)	96% (116)
World Bank	95% (31)	88% (42)	98% (116)	126% (107)	96% (22)	136% (38)	104% (318)
Joint	-	75% (7)	107% (10)	60% (13)	108% (3)	7% (2)	73% (33)
Other	-	-	104% (2)	69% (12)	117% (20)	126% (9)	99% (36)
All projects	96% (47)	86% (82)	110% (244)	122% (331)	229% (185)	136% (123)	122% (894)

†All phases includes 5 completed projects from GEF-5. Figures exclude projects with no co-financing promised at appraisal (n=11).

4.4 Quality of M&E Design and Implementation

119. Monitoring and evaluation (M&E) systems are vital project components, as they provide real-time information to managers on project progress towards intended results, thus allowing for course correction through adaptive management. Effective M&E systems have benefits beyond the project cycle as they provide a record of project impacts and an evaluation of project sustainability which can benefit future work. Through tracking tools they also provide valuable information at the portfolio level. They are therefore among the key project performance indicators tracked and reported on by the IEO in the APR.

120. The section presents ratings on the quality of design and implementation of M&E systems in completed GEF projects. Out of the 159 projects in the APR 2015 cohort, 157 have been rated on M&E Design and 145 have been rated on M&E Execution. To date, 1,004 completed projects have been rated on the Quality of M&E Design, and 908 completed projects have been rated on the Quality of M&E Implementation.

Ratings scale

121. APR 2014 described changes in GEF policies regarding Results Based Monitoring Systems since establishment in 1991.³⁷ To summarize this discussion, the GEF first introduced an M&E framework in 1997, which was subsequently replaced by the 2006 Monitoring and Evaluation Policy developed by the GEF Evaluation Office. This policy has been updated once in 2010, and

³⁷ GEF IEO, 2015, GEF Annual Performance Report 2014

remains in effect. Currently, the GEF Secretariat is developing revisions to the GEF Results Based Management System. These changes over time in M&E policy create a challenge in interpreting trends in ratings on M&E design and implementation quality over time, as the yardstick for measurement has changed with the introduction of new policies.

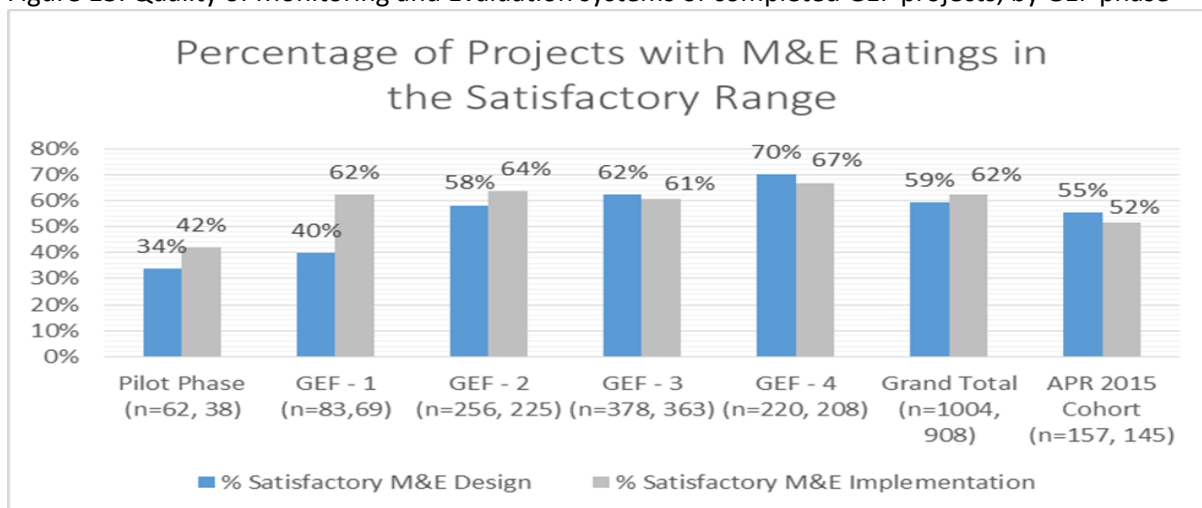
122. For reporting in APRs, a six-point rating scale is used to assess M&E Design and M&E Implementation, with the following categories:

- (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.
- (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.

Findings

123. Figure 13 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 70 percent of GEF-4 projects (n=220). Ratings on M&E Implementation also rise considerably from the Pilot phase, although improvements in ratings from GEF-1 onwards are incremental. 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 13: Quality of Monitoring and Evaluation systems of completed GEF projects, by GEF phase



124. Table 15 presents M&E Design ratings by GEF Partner Agency and replenishment phase, as well as for the APR 2015 cohort. Though the GEF-4 coverage has increased to 29 percent, coverage is still relatively low to make conclusions about trends for this period. That said, emerging results from this period show a significant increase in ratings for both the World Bank and UNEP, and a slight decline in ratings for UNDP. Comparatively little information is available for projects under joint implementation and from other agencies, however other agencies have relatively strong ratings for M&E design, while ratings for joint projects are improving. Fifty-five percent of projects in the APR 2015 cohort, and fifty-nine percent of all projects for which ratings are available are rated in the satisfactory range for M&E Design.

Table 15: 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						APR 2015 Cohort	All Phases†
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4			
UNDP	33% (30)	35% (31)	66% (88)	72% (162)	67% (134)	68% (69)	64% (445)	
UNEP	50% (2)	50% (6)	45% (31)	64% (58)	72% (25)	53% (15)	61% (125)	
World Bank	33% (30)	47% (38)	60% (125)	46% (127)	67% (36)	35% (60)	52% (356)	
Joint	-	13% (8)	0% (10)	80% (15)	100% (4)	67% (3)	46% (37)	
Other	-	-	100% (2)	75% (16)	86% (21)	90% (10)	80% (41)	
All projects	34% (62)	40% (83)	58% (256)	62% (378)	70% (220)	55% (157)	59% (1,004)	

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

125. Table 16 presents M&E Implementation ratings by GEF Partner Agency and replenishment phase. Fifty-two percent of projects in the APR 2015 cohort, and sixty-two percent of all projects for which ratings are available are rated in the satisfactory range for M&E Implementation. Here trends are steadier from GEF 3 to GEF 4, with UNDP's rating remaining stable, and UNEP and World Bank's ratings improving slightly.

Table 16: 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						APR 2015 Cohort	All Phases†
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4			
UNDP	23% (22)	57% (23)	62% (79)	72% (161)	72% (132)		70% (66)	67% (417)
UNEP	100% (1)	100% (4)	67% (30)	65% (57)	69% (26)		56% (16)	69% (121)
World Bank	67% (15)	71% (34)	67% (106)	44% (117)	50% (26)		28% (50)	57% (298)
Joint	-	25% (8)	13% (8)	67% (15)	100% (4)		67% (3)	49% (35)
Other	-	-	100% (2)	46% (13)	45% (20)		40% (10)	51% (37)
All projects	42% (38)	62% (69)	64% (225)	61% (363)	67% (208)		52% (145)	62% (908)

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

126. Table 17 presents the trends in rating on M&E design by GEF focal area, as well as for APR 2015 cohort. It shows that there is a general increasing trend in ratings across focal areas, although the extent of improvement and periods of dramatic improvements have differed.

Table 17: 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						APR 2015 Cohort	All Phases††
	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4			
Biodiversity	34% (41)	41% (44)	63% (129)	65% (153)	74% (68)		63% (43)	61% (436)
Chemicals †	-	0% (4)	18% (11)	46% (13)	78% (23)		67% (9)	50% (52)
Climate Change	31% (13)	46% (24)	62% (76)	68% (92)	63% (57)		52% (60)	62% (263)
International Waters	38% (8)	40% (10)	43% (28)	49% (41)	85% (26)		36% (14)	54% (113)
Land Degradation	-	-	-	62% (39)	63% (19)		71% (14)	63% (59)
Multi-Focal	-	0% (1)	58% (12)	55% (40)	59% (27)		47% (17)	57% (81)
All projects	34% (62)	40% (83)	58% (256)	62% (378)	70% (220)		55% (157)	59% (1,004)

† 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.

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

127. Table 18 presents the trends in rating on M&E implementation by focal area and GEF phase, and for the APR 2015 cohort. Somewhat different trends across focal areas are evident. A higher percentage of completed GEF-4 projects from the Chemicals and Waste, International Waters, and Biodiversity focal areas show M&E implementation performance in the satisfactory range compared to those from GEF-3 period. During the same period, in contrast, land degradation projects show a drop in ratings. When considering all phases, M&E implementation ratings of the multi-focal area projects tend to be lower than single focal area projects, a finding that is significant at a 95% confidence level. The reason for this difference is not well understood, and would require further examination by the IEO office.

Table 18: 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	APR 2015 Cohort	All Phases††
Biodiversity	35% (26)	65% (40)	65% (116)	65% (143)	77% (64)	55% (40)	65% (390)
Chemicals †	-	33% (3)	67% (9)	31% (13)	77% (22)	78% (9)	60% (48)
Climate Change	57% (7)	75% (16)	66% (67)	63% (90)	64% (53)	51% (55)	65% (234)
International Waters	60% (5)	44% (9)	54% (24)	50% (38)	72% (25)	42% (12)	56% (101)
Land Degradation	-	-	-	77% (39)	53% (19)	50% (14)	69% (59)
Multi-Focal	-	0% (1)	56% (9)	43% (40)	44% (25)	40% (15)	45% (76)
All projects	42% (38)	62% (69)	64% (225)	61% (363)	67% (208)	52% (145)	62% (908)

† 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.

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

4.5 M&E Plans for Programmatic Approaches

128. 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 the IEO Annual Performance Reports. The current 2010 GEF M&E Policy³⁸ 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. As has been noted in APR 2014, GEF Agencies have to date been inconsistent in evaluating programmatic approaches.

129. This year in an effort to understand issues concerning reporting on projects implemented under GEF Programmatic Approaches and reporting on Programs, the IEO has conducted a survey of 38 programs, and a sample of their 300 corresponding child projects, in order to assess the arrangements made at entry for M&E, and specifically for terminal evaluations both at the project and program level.³⁹ For each program, at least one in five of their child projects was reviewed, and for programs with multiple agencies leading child projects, at least one project from each agency was reviewed, bringing the sample to 92 projects. A few more recent programs have not yet had any child projects endorsed or approved, thus a sample for these programs could not be included. The 38 programs surveyed represent the portfolio of programs approved since the publication of the 2008 council document “From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio.”⁴⁰ This council document approved the procedure for developing programs using the Program Framework Document (PFD) template and introduced guidelines on how future programmatic approaches should be implemented.

130. Treatment of M&E at the program level varies widely between programs. Of the 38 programs, 92 percent (35 out of 38) provide at least some information on M&E at the program level, while only 7 percent (3 out of 38) do not address M&E at the program level. However, of those that do discuss M&E at the program level, relatively few provide key information, such as an overall program budget for M&E (31 percent, n=35), or program level indicators (26 percent, n=35). Thirty seven percent (13 out of 35) state that a mid-term evaluation of the program would or may be conducted.

³⁸ GEF EO 2010. The GEF Monitoring and Evaluation Policy 2010. Evaluation Document No. 4.

³⁹ The survey of M&E arrangements for programmatic approaches adopts the list of programs identified by the evaluation team for the upcoming evaluation of programmatic approaches. Some projects listed as “parent” programs in PMIS were omitted from the survey based on feedback from the GEF Secretariat as well as other relevant criteria.

⁴⁰ GEF/C.33/6

131. Twenty eight percent of the programs which provide information for M&E at the program level- or 10 out of 35- provide information on conduct of the terminal evaluation in the program. Of these 10, only two provide information on when the terminal evaluation will be conducted.

132. Nine of the 38 programs include plans in their Program Framework Documents to cover M&E at the program level through child projects. These child projects either focus entirely on M&E, or serve the purpose of cross cutting program coordination, and contain program level M&E as one project component. Terminal Evaluations for two examples of such M&E projects were received this year and are included in the APR 2015 cohort: “SLEM/PPP: Institutional Coordination, Policy Outreach and M&E Project” (GEF ID 3468) under the Sustainable Land and Ecosystem Management Partnership Program (GEF ID 3268), and “Cross Cutting M&E Functions and Knowledge Management for INRM within the MENARID Program Framework” (GEF ID 3628) under the Program “MENARID Integrated Nature Resources Management in the Middle East and North Africa Region” (GEF ID 3423).

133. On the other hand, treatment of M&E at the project level appears more uniform in making provisions for reporting. All child project documents reviewed include information about project level M&E, and all provide information on project level indicators as well. Seventy three percent (67 of 92) provide a dedicated budget for M&E in the project document, while another 16 percent (15 of 92) provide a partial M&E budget, or include M&E in project management budget without specifying the portion dedicated to M&E. Ninety one percent (84 of 92) state in the child project document plans to conduct a midterm evaluation, and 86 percent (79 of 92) state plans to conduct a terminal evaluation. Of the 20 completed projects which state a plan to conduct a midterm evaluation in project documents, 12 -60 percent- have been received by the IEO, while for another four there is documentation that a midterm evaluation has been completed, however it has not yet been received by the IEO. A terminal evaluation has been completed and received by the IEO for all eight projects in the sample which have been complete for at least two years, and for 16 of all 25 completed projects, or 64 percent.

5. REVIEW OF GEF TRACKING TOOLS

5.1 Introduction

134. Tracking tools have a key role within the GEF Results Based Management (RBM) framework. The tools are aimed at rolling up indicators on results and performance from the project level to the overall portfolio at agency, focal area, and corporate levels. Tracking tools were first implemented in the GEF-3 period in the Biodiversity focal area. Thereafter, these tools have been developed for other focal areas. GEF Partner Agencies are expected to provide data through the tracking tools at CEO Endorsement /Approval, at mid-term and at project completion.

135. The Fifth Overall Performance Study (OPS-5) conducted by the GEF IEO assessed the Results Based Management (RBM) system of the GEF. The OPS-5 found that the GEF was

tracking too many indicators and was not tracking them well. It called for simplification of the GEF tracking tools so that they are less onerous and more user friendly.

136. The IEO undertook a review of the GEF approach to tracking tools to determine the progress made in the implementation of the OPS-5 recommendations on tracking tools and to identify areas where further improvements are needed. The purpose of this review is to provide evidence on the system and its use that would be useful for the development of GEF's approach to tracking tools in GEF-7.

5.2 Key Questions

The key questions of the review:

- (a) To what extent have the tracking tools been streamlined and the burden on reporting on results reduced for GEF-6?
- (b) What are the arrangements in place to gather, report and manage information through tracking tools?
- (c) To what extent are the datasets based on information gathered through tracking tools complete, accessible and in readily usable form?
- (d) How is the information gathered through the tracking tools being utilized?

5.3 Methodological Approach

137. The information analyzed for the review was gathered from several sources. This includes: a survey of the GEF publications including Council documents, GEF IEO evaluations and related intermediary products and datasets; a desk review of the GEF-5 and GEF-6 focal area tracking tools and focal area results frameworks; and, interviews with the GEF focal area coordinators and program managers, GEF Secretariat's RBM team, and GEF Agency staff and consultants. A list of the people interviewed and their affiliations is provided in Annex E.

138. There are separate tracking tools for Biodiversity (BD), Climate Change Mitigation (CCM), Chemical and Waste Management (CW), International Waters (IW), Land Degradation (LD), Sustainable Forest Management (SFM) and Climate Change Adaptation (CC-A). The assessment of the extent to which tracking tools have been streamlined, and the extent to which the reporting burden has changed, is based on a comparison of the focal area tracking tools for GEF-6 with those for GEF-5. Information on the extent to which tracking tools have been streamlined is primarily based on the desk review of the focal area tracking tools and the results frameworks.

139. Since very few GEF-6 project proposals have reached the CEO Endorsement / Approval stage, the evidence on the actual burden on Agencies for preparing GEF-6 tracking tools is sparse. Therefore, much of the analysis presented on reporting burden is based on the aggregate number of indicators specified in the focal area results frameworks, data fields

specified in tracking tools, and an estimate of the level of effort required in furnishing data on a specified data field.

140. Within a tracking tool each data field was classified either as requiring “high effort” or as requiring “low effort”. The data fields for which the requested information is difficult to obtain and/or where field measurements need to be undertaken, and/or those that required complex computations, were classified as “high effort” data fields. The remainder were classified as “low effort.” In addition to the change in the aggregate number of indicators and data fields, the change in the mix of “high effort” and “low effort” data fields, provided another means to assess the change in reporting burden. This assessment is also supplemented by information gathered through interviews with consultants involved in preparation of proposals for GEF-6. Annex F provides types of data fields that were classified as “high effort” along with comments that indicate the reasons for doing so. Classification as “high effort” or “low effort” is strictly in terms of the level of burden on the Partner Agencies to provide information on the given data field. It does not suggest that one set of data fields should be preferred over the other. Effort required to provide data for the “high effort” data fields may be justified by their utility whereas a “low effort” data field may yield information that is not useful.

141. The analysis on compliance with tracking tools submission requirements and level of completeness of submitted tracking tools, is based on the dataset prepared by the GEF Secretariat RBM team to track submission of tracking tools, and the METT submission and completeness related dataset prepared by the IEO for the Impact Evaluation of the GEF Support to the Protected Areas. The UNDP dataset on tracking tool submission was also accessed to validate the data available at the PMIS.

5.4 Findings

Design

142. At the corporate level, the corporate results framework of the GEF provides a list of key indicators and targets that form the basis for results reporting. The ‘GEF-6 Programming Directions’ document specifies 10 corporate results indicators and targets for the GEF-6 period.⁴¹ In comparison the GEF-5 Programming Document⁴² lists 41 corporate results indicators and targets. Thus, the indicators and targets listed in the corporate results framework for GEF-6 have decreased substantially. For GEF-6 a major measure adopted to facilitate aggregation of project level targets on corporate results indicators is inclusion of reporting on these indicators in the Table F of the Project Information Form (PIF) template and in the Table E of the CEO Endorsement/ Approval Request templates for GEF-6.

143. The corporate results indicators and targets for a replenishment period presented in programming documents are selected from the more detailed focal area results frameworks

⁴¹ GEF 2014, Report on the Sixth Replenishment of the GEF Trust Fund (GEF/A.5/07/Rev.01, 2014)

⁴² The document is included as an annex in the ‘Summary of Negotiations – Fifth Replenishment of the GEF Trust Fund’ (GEF/A.4/7, 2010).

presented within the same document. The focal area strategy documents, which are finalized after the programming documents have been endorsed by the Council, provide further details on the activities supported through the resources allocated to the focal area and the expected outcomes and indicators to track results of supported activities.

144. Table 19 presents a comparison of the number of focal area objectives, programs and outcome indicators specified for the GEF-5 and GEF-6 periods. While the GEF-6 focal area strategies organize the supported activities in the form of programs, they were not organized as such in the GEF-5 period. Organization of activities into programs has some implications for results framework as some of the focal areas have specified additional results indicators to track the programs. The comparison presented in Table 19 shows that from GEF-5 to GEF-6 at an aggregate level there has been a drop in the number of focal area objectives and indicators. The indicators that were less relevant or useful were dropped.

Table 19: Comparison of focal area result frameworks-number of objectives and indicators

Focal Area	Objectives		Programs		Indicators and Targets in Result Framework	
	GEF-5	GEF-6	GEF-5	GEF-6	GEF-5	GEF-6
Biodiversity	5	4	-	10	8	14
Climate Change Mitigation	6	3	-	5	17	7
Chemicals and Waste	3	2	-	6	11	15
International Waters	4	3	-	7	15	20
Land Degradation	4	4	-	5	10	11
Sustainable Forest Management	2	4	-	10	6	6
CCA	3	3	-	-	47	14
Total	27	23	-	43	114	84

145. The number of objectives have either reduced or have remained the same for most of the focal areas. Despite an increase in the number of indicators and targets for Biodiversity, Chemicals and Waste, and International Waters focal areas, the aggregate number of indicators for GEF have decreased. The decrease is mainly driven by the drop in indicators and targets for the Climate Change Adaptation and Mitigation focal areas. The sharp decline in Climate Change Adaptation indicators from GEF-5 to GEF-6 was due to elimination of “output” indicators. Other focal areas had not included such indicators in their GEF-5 results frameworks. Therefore, much

of the decrease was a result of the Adaptation focal area becoming consistent with the already existing practice of the other focal areas. A major reason for increase in the number of indicators and targets for some of the focal areas, such as Biodiversity, is that the GEF-6 focal area activities have been organized into programs. The focal areas had to specify additional results indicators to track achievements of each individual program.

146. Analysis of the linkages between the focal area tracking tools and the respective Result Framework Indicators shows that not only are the tracking tools for GEF-6 leaner than those for GEF-5, they also tend to be better aligned with the focal area results framework indicators and underlying activities supported by the focal area (Annex 3).

147. Although all focal area tracking tools aim at rolling up indicators on results and performance from the project to portfolio level, the level of complexity involved in the tools may differ based on the nature of the underlying activities whose results are being measured, varied preference of the focal area teams for detail, and for the level of assurance that the information on key indicators is scientifically robust and reliable. The number of data fields, the basic unit of a tracking tool, included in a tracking tool provides a measure of its complexity. Agencies provide information on project results and other related indicators by entering this information in the corresponding data field.

148. In revising the tool for GEF-6 period, the language used to explain the data fields of the tracking tools has been made more concise and lucid. The instructions are easier to understand than those for the tools for the GEF-5 period.

149. Table 20 compares total number of data fields in the focal area tracking tools for the GEF-5 and GEF-6 periods. It shows that at the aggregate level number of data fields in the tracking tools are lower in GEF-6 by 33 percent. The number of data fields in tracking tools was slashed by more than half by the Climate Change Mitigation, Climate Change Adaptation, Land degradation, and Sustainable Forest Management focal areas. Overall much of the decrease in the total number of the data fields was because of the drop in the data fields that were assessed to require “low effort”. Although the overall aggregate number of data fields that require “high effort” have remained somewhat similar, individual focal areas show divergent trends. Numbers dropped drastically for climate change mitigation but showed substantial increase for the biodiversity focal area. As noted in the section on methodology, increase in number “high effort” data fields may not necessarily be an undesirable change. In case of biodiversity focal area, information gathered through interviews of the focal area and Partner Agency staff shows that added “high effort” data fields made the GEF-6 tracking tools more robust and technically sound.

Table 20: Comparison of Focal Area Tracking Tools-number of data fields

Level of Effort	“Low Effort”		“High Effort”		Total	
	GEF-5	GEF-6	GEF-5	GEF-6	GEF-5	GEF-6
Biodiversity	557	471	71	126	628	597
Climate Change Mitigation	70	31	41	6	111	37
Chemicals and Waste	199	115	17	17	216	132
International Waters	46	46	15	15	61	61
Land Degradation	214	43	25	20	239	64
Sustainable Forest Management	73	20	4	2	77	22
Climate Change Adaptation	170	96	2	0	172	96
Aggregate for All Focal Areas	1329	822	175	186	1504	1009

150. Even though the aggregate number of data fields, and a break-up of the fields in terms of the level of expected effort for providing information, gives some indication of the extent the focal area tracking tools have been streamlined, the observed change in the number of data fields may be due to the changes in the underlying focal area programs and activities whose results the tracking tools are expected to track. To have a more calibrated assessment of the extent of streamlining, the review compared the activities supported by the focal areas during GEF-5 and GEF-6. The activities that had been supported in both GEF-5 and GEF-6 period were identified and then the corresponding data fields that track the results of the common activities were identified.

151. Table 21 presents a comparison of the number of data fields in the GEF-5 and GEF-6 tracking tools, tracking only the results of the activities common to the two replenishment periods. It shows that when the number of data fields that track results of activities common to GEF-5 and GEF-6 are compared, the number for GEF-6 is lower by 44 percent (i.e. 785 in GEF-6 compared to 1399 in GEF-5). During GEF-6 the number of programs and activities supported by the GEF (on net) increased. As a result, indicators and data fields were added to track results of these new activities. Therefore, the overall drop in data fields by 33 percent (i.e. from 1504 to 1009) was less pronounced than it would have been had the activities supported in GEF-6 remained the same.

152. The biodiversity focal area, which still accounts for the most number of data fields, substantially streamlined the Management Effectiveness Tracking Tool (METT), which is embedded in its focal area tracking tool, and data fields that track invasive alien species and national bio-safety (Table 22). However, it did not streamline the financial sustainability related data fields that account for about half of the data fields in the GEF-6 biodiversity tracking tool. Furthermore, Agencies are expected to prepare a METT for each of the protected areas covered by a given project focused on protected areas. Given that biodiversity focal area projects focused on protected areas generally cover several protected areas, the level of burden on this account is likely to be manifold. For example, for the UNDP-GEF projects that focused on protected areas and were completed from 2011-15, on average 8 METTs per project per reporting milestone were filled. UNDP staff involved in the implementation of tracking tools

noted that although the overall burden involved in preparation of the GEF-6 Biodiversity tracking tools for protected areas has more or less remained the same, due to specification of better indicators and greater clarity on the information requested, the tracking tools for GEF-6 are more useful than those for GEF-5.

Table 21: Number of "data fields" in the GEF-5 and GEF-6 Tracking Tools for common activities

Focal Area	Overlapping Sections	GEF 5	GEF 6
BD	Project Identification	15	12
	Management Effectiveness Tracking Tool (METT)	240	147
	Financial Sustainability	257	257
	Production Landscapes	66	74
	Invasive Alien Species	25	7
	National Bio Safety	25	9
	Total	628	506
CCM	Project Identification	9	9
	Context	3	1
	Energy	21	3
	GHG	20	3
	Policy	26	9
	Beneficiaries	16	1
	Total	95	26
CW	Project Identification	4	4
	POPs	217	68
	Total	221	72
LD	Project Identification	6	6
	Context	140	33
	GEB43 & Development	16	8
	Agriculture and Rangelands	12	3
	Forest Management	18	4
	Integrated Land Management	10	3
	Knowledge Management	37	4
	Total	239	61
SFM	Project Identification	13	9
	Context, GEB & Development	49	3
	SFM Land Area	3	9
	Policies	3	4
	Total	68	25
CCA	Project Identification	11	9
	Beneficiaries	24	14
	Policy	28	15
	Adaptive measures & Technology	45	18
	Awareness, Capacity & Monitoring	40	24
	Total	148	95
Grand total for common activities		1399	785

⁴³ Global Environment Benefits

153. The level of reporting burden for biodiversity projects focused on protected areas remains a concern. The analysis also shows that the increase in number of activities (through new programs) supported by the Biodiversity focal area limited the overall extent to which the number of data fields could have been reduced and even after streamlining the financial sustainability tool, the number of data fields are likely to remain very high. Although the level of burden for other programs of the focal area has reduced substantially, overall the number of indicators being tracked at the GEF portfolio level remains high.

Tracking Tool Layout

154. In addition to the number of data fields that need to be responded to, clarity in the language used to request information, availability and accessibility of guidance; and the layout of the tracking tool may also affect the level of effort required in filling up information in a tracking tool. The review compared the tracking tools for the two periods and found improvements in several aspects.

155. Focal area tracking tool templates are in the form of a MS Excel file. Tracking tools for all focal areas, except Biodiversity, use a single excel file. The tracking tools for the Biodiversity focal area for GEF-6 are split into two files. One of these covers Program 1 and 2, the other one covers Program 3 through 10. The tracking tools for focal area, including those for biodiversity, have one or more work sheets where data fields are listed. In general the number of work sheets in tracking tools have either been reduced or have remained the same.

156. Although there is diversity in focal area approaches, most tracking tools now distinguish clearly between targets and achievements, and they also tend to make it easier for the project managers to keep track of the information provided during the earlier submissions of the tracking tools. The guidance provided to explain the tracking tools is readily accessible. Annex H provides further details on the changes in the layout of the tracking tools.

Multi-Focal Projects and Integrated Approach Pilots

157. The Agencies are required to prepare tracking tools for all the focal areas that support the given multi-focal area project. During GEF-5 multi-focal area projects accounted for 29 percent of the project funding and 19 percent of projects supported by the GEF Trust Fund. Given that the preparation of multiple focal area tracking tools for a project requires considerable effort from the Agencies, the IEO's Annual Country Portfolio Evaluation Report 2012 recommended that the "monitoring requirements of multifocal area projects should be reduced to a level comparable to that of single focal area projects."⁴⁴ The Council accepted the recommendation and asked the Secretariat to reduce the burden. The Fifth Overall Performance Study of GEF (2014) also reiterated the need for a reduction in reporting burden for the multi-focal area projects (Recommendation 2.2).⁴⁵ As the analysis presented in the

⁴⁴ GEF IEO 2012. Annual Country Portfolio Evaluation Report

⁴⁵ GEF IEO 2014. Fifth Overall Performance Study of GEF

earlier sections shows, focal area tracking tools have been streamlined. As a result of this, indirectly, the reporting burden for the multi-focal area should be somewhat reduced. However, given that the Agencies are still required to prepare the tracking tools separately for all the focal areas covered by a project the reduction in the reporting burden is likely to be limited. The Secretariat acknowledges this as an area where only a modest progress has been made⁴⁶.

158. The GEF2020 strategy is aimed at supporting transformational change at a larger scale. Through the three Integrated Approach Pilot (IAPs) programs on Food Security, Sustainable Cities, and Commodities Supplies Chain, GEF is testing delivery mechanisms to support such changes. The GEF Secretariat allows the use of customized tracking tools to track results of these IAPs. Based on the environmental objectives of a given IAP, relevant indicators have been picked from the relevant focal area tracking tools. The selected indicators were then included in a customized tracking tool that was incorporated in the IAP's M&E design. While this process does not necessarily reduce the number of tracking tool data fields that the IAPs would report on, it is likely to make it easier for the Agencies to use these tools and report on them. However, aggregation of data from these customized tools may present a challenge later on.

Implementation Process

159. The Agencies are expected to submit the tracking tools along with project documents for CEO Endorsement / Approval, at mid-term, and at project completion. The tracking tools submitted at CEO Endorsement/Approval are reviewed by the respective program managers at the GEF Secretariat, who may request revisions based on the completeness and quality of information provided in the tool. Within the agencies these tools are generally filled up by a consultant during the project preparation process. The baseline information provided through the tracking tools may be gathered through secondary sources or through surveys that gather primary information.

160. The tracking tools prepared at mid-term provide an assessment of the results achieved by that point. Similarly, the tracking tools prepared at project completion provide information on the extent to which the results were achieved by that point. The Agencies are expected to submit the tracking tools at mid-term and project completion to the Results Based Management team at the GEF Secretariat. The RBM team then makes these tools available to the focal area teams at the Secretariat. The focal area teams aggregate the information received through the tracking tools for analysis and consolidated reporting.

161. During the mid-term, and at project completion, the tracking tools are generally prepared by a project manager and/or a consultant. Practices vary greatly in terms of level of consultations with the key stakeholders undertaken to prepare the tracking tools. Generally the

⁴⁶ The Secretariat's response on progress on adoption of the Council decision on the Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03) in MAR2015 notes that progress on streamlining reporting for multi-focal area projects has been limited to the streamlining of individual focal area tools.

project managers and/or the consultants that prepare tracking tools at mid-term and/or at project completion are different from those that prepared the tools for CEO Endorsement / approval. This creates challenges related to the lack of continuity and deficiencies in institutional memory.

Compliance and Information Management

162. The compliance with the tracking tool submission requirement at the mid-term and at project completion is important to ensure that the GEF Secretariat receives information on actual results achieved by those mile stones of project implementation. Similarly, retrieval of the tracking tools submitted by the Partner Agencies, its proper storage, and easy availability for use are equally important.

163. The Annual Monitoring Report II 2014 (GEF/C.48/03, 2015) attributed low availability of the tracking tools to poor compliance with the submission requirements. The report notes gaps in tracking tool submission as a concern. The data shows that preparation and submission of tracking tools at mid-term and project completion receives lower attention than submission of the tools at the CEO Endorsement /Approval stage. The report shows relatively higher submission compliance rates for the International Waters focal area as compared with the other areas. This is, as per the focal area coordinator for International Water, both a result of the focal area team following up with the respective agencies on submission of the tracking tool, and also the relatively smaller number of projects in the focal area (compared to Biodiversity and Climate Change Mitigation) which makes tracking manageable. The information available from the Partner Agencies shows that part of the gap in availability of tracking tools may be due to poor retrieval and uploading of the submitted tracking tools.

164. More generally, low compliance with submission requirements at the mid-term and project completion is also a function of the low level of attention given by the Secretariat to ensuring their submission, retrieval and storage in PMIS. The RBM and focal area teams seem to have worked on an assumption that the Agencies would comply with the submission requirements and had devoted little resources to ensuring that this indeed is the case. Consequently, there was no process in place to track the actual submission, identify submission gaps and follow up with the respective Agency. Some of the project managers, interviewed for this review, easily recalled having prepared a tracking tool for CEO Endorsement but admitted to not having prepared one at the mid-term and project completion stage because no one asked them to.

165. The analysis undertaken for this study indeed confirms that gaps in availability of tracking tools is in part because of the weak retrieval and storage practices. For example, of the completed UNDP projects that were covered in AMR II 2013 and AMR II 2014, tracking tools were expected for 22 projects. Of these 22 projects, the tracking tools at completion were available in the PMIS for 11 (50 percent). However, when the list was cross tallied with the databased maintained by UNDP it was found that the tracking tools for at least five additional

projects had been submitted to the GEF, increasing the submission compliance rate to at least 73 percent. This clearly indicates a gap in the retrieval, storage and management of the collected information.

166. The RBM team is now putting in place a system to track submission of tracking tools. A key feature of this system will be a PMIS based dash board that will provide an easy way to compare the actual status of tracking tool submission with the expected status; issue reminders and alerts; and, request follow up in case potential cases of non-compliance are detected.

167. At another level, in addition to submitting the tracking tools, what is equally important is that the submitted tracking tools are complete. No separate analysis was undertaken as part of this review to assess the extent to which submitted tracking tools were complete. However, an analysis of the METTs for the GEF supported protected areas projects, conducted as part of the GEF IEO's impact evaluation of "GEF Support to Protected Areas and Protected Areas System" (2015) sheds some light on this dimension. For the 2440 METTs covered as part of the analysis, of the 30 questions, 28 questions were uniform across the tracking tools. The analysis showed that at the aggregate level, 50 percent of the questions had not been responded to in at least 20 percent of instances. Further, for approximately 20 percent of the reviews, only half or less than half of the questions had been answered.⁴⁷ The analysis noted that the questions listed towards the end of the METT were less likely to be responded to than those towards the earlier sections, indicating that the assessors in some cases may not have finished the METT properly.

168. The quality of information provided through tracking tools is another important concern. Several of the GEF Secretariat and Agency staff interviewed for this review noted that tracking tools often include errors such as the use of incorrect units, data entry errors, inconsistency in application of terms and underlying methodology used for providing information, and inconsistency with information provided in the project documents. To ensure quality of the information, efforts are required both at the GEF Secretariat and at the Agency level.

Utilization

Reporting

169. The information provided by the tracking tools is used at different levels and for varied purposes. The information is used to provide the GEF Council updates on the results of the GEF activities. The first report of Annual Monitoring Review (AMR I), usually presented at the Autumn Council meeting, aggregates the expected corporate results (targets) listed in the tracking tools submitted at the point of CEO endorsement and compares it with the results promised in the replenishment document along with the level of utilization of funding. The

⁴⁷ GEF IEO, 2015. GEF Support to Protected Areas and Protected Areas System

second report of the Annual Monitoring Review (AMR II) presents the progress in terms of reported actual results. Part of the reporting in AMR II is based on the aggregation of the information from the tracking tools received at mid-term or completion during the fiscal year covered in the report. Usage of tracking tools varies across focal areas. Focal areas such as Biodiversity and International Waters have tended to use it more. The Climate Change focal area relies more on the information presented in terminal evaluations and mid-terms reviews for its reporting on actual results. For other focal areas, the submitted tracking tools are yet to provide the amount of information that would lend itself to aggregation and analysis.

170. Aside from the uses listed above, Information from tracking tools is also used for reporting to the Conventions, and to respond to donor country requests for information. They were also a valuable source of information for reporting on progress on expected results for GEF-5 period to the Replenishment Group for GEF-6. Despite these various uses, a relatively small proportion of information gathered through the tracking tools seems to be used in reporting.

171. Among the focal areas there is varied level of usage of tracking tools data for analysis beyond the above discussed uses. The International Waters team, for example, prepares a portfolio review for the focal area on an annual basis. The report is shared with the International Waters Focal Area task force and Agencies for learning purposes, but is not publically circulated. The Chemicals and Waste focal area also finds utility in being able to track how the cost of interventions change over time, so that they may improve the design of their future interventions, especially in green field areas where cost benchmarks are not readily available.

172. While the review did not study the usage of tracking tool data across all the GEF Agencies, it did address the practice in UNDP, which accounts for the largest number of projects in the GEF portfolio. In UNDP the process of tracking and utilizing information from the tracking tools is centrally managed. They use the information from the tracking tools in preparation of their annual performance reports and for knowledge sharing. Similarly, the GEF IEO has used the information from the tracking tools (METTs) in its impact evaluation of GEF Support to Protected Areas and Protected Area Systems (2015).

Decision making

173. Information from tracking tools is increasingly being used for reporting to the key stakeholders of the GEF. However, the extent to which it is being used in decision making is not clear. As noted earlier, the Chemicals and Waste focal area did see utility of the tracking tools in tracking costs for designing the cost structures of its future interventions better. The Biodiversity focal area too noted utility of the information provided by the tracking tools in shaping future focal area strategies. However, at the GEF portfolio level, based on the information provided by the tracking tools, it is difficult to get an overview of timely program performance. Some of this has to do with the long time lags that are involved before the information on project results become available. For example, it generally takes about two replenishment periods before information on actual results becomes available. By that time the

GEF Secretariat's and Council's interest in the results of activities of the earlier period may wane. In comparison, business processes and input indicators, such as resource utilization, time taken from Council Approval to CEO Endorsement, from CEO Endorsement to project start / first disbursement, project cancellation, etc., on which information is gathered from sources other than the tracking tools continue to stay relevant and command relatively greater attention on a day to day basis.

174. In addition to the Council meetings where important policy decision are taken, the replenishment process also provides another avenue for decision making. Although information from tracking tools is used by the Secretariat to develop its GEF-6 programming proposals for some of the focal areas, the extent to which it has been used is not clear.

175. At the project level, some of the project managers reported using tracking tools for further development of the project M&E arrangements. Other than the METT and the Financial Capacity Scorecard, which are specifically targeted at aiding project management, other tracking tools are not designed for this purpose. Therefore, in most cases these are seen as a reporting requirement and of little utility at the project level.

Discussion

176. Compared to the tracking tools for the GEF-5 period, the tools for the GEF-6 period have been streamlined substantially. Thus, significant progress has been made in implementing the OPS-5 recommendation that the tracking tools be simplified and the reporting burden on the Agencies be reduced. However, despite reduction in the number of indicators and data fields being tracked, GEF is still tracking a high number of indicators for its core RBM function.

177. OPS-5 and the impact evaluation of GEF Support to Protected Areas and Protected Area Systems (GEF/ME/C.49/Inf.02, 2015) acknowledge the importance of METTs in providing information that is important for the global databases on protected area management. The evaluations, especially OPS-5, recommended that these be implemented and funded separately so that they don't impose unreasonable burden on the Agencies. Although the Biodiversity focal area has streamlined its tracking tools, given the large number of data fields that are still included – and also because METTs are filled per protected area and a protected area focused project may be required to prepare several of these – the level of effort that is still required from the Agencies is considerable. Among the other tools used in the focal area, the financial sustainability score card provides most opportunity for further streamlining. However, even if the tool was streamlined the number of indicators that would need to be tracked would remain high. Approach for GEF-7 needs to be developed considering several tradeoffs in the collection versus use of information, and also other alternatives that may be feasible.

178. Streamlining the tracking tools for multi-focal area projects also remains another area where more needs to be done. During GEF-6 the gains made in lowering the reporting burden for multi focal area projects were minor primarily because the focal area tools had been streamlined. Given the increasing role and share of multi-focal programs and projects in GEF

portfolio, reducing the reporting burden for these to make it comparable with that for a single focal area is a challenge that needs to be addressed in GEF-7.

179. The review indicates that there has been low compliance with the submission requirement at the mid-term and at project completion. Further, there are also concerns related to completeness of the submitted tracking tools. It also shows that part of the problem is also linked with poor retrieval and storage of the submitted tracking tools. A major reason for this has to do with lack of adequate attention on the part of the GEF Secretariat in tracking submission (at the mid-term and project completion). The Secretariat does not have a system in place to track submission, identify potential delinquencies, and follow up with Agencies to ensure greater compliance with submission and completeness related requirements. Recent measures by the RBM team, such as taking stock of the delinquencies, and development of a dash board to facilitate tracking of project implementation progress and submission of tracking tools, are important steps to address these issues.

6. QUALITY OF TERMINAL EVALUATION REPORTS

180. This chapter summarizes findings on the quality of terminal evaluations of completed GEF projects received by the IEO from GEF agencies. Terminal evaluation reports play a pivotal role in learning and adaptation. They provide project stakeholders with insight into the performance of completed projects and record lessons learned for future work. For these reasons it is important to monitor the integrity and quality of terminal evaluations, in order to assess the validity of analysis based on their findings.

181. An explanation of the criteria for rating terminal evaluations can be found in Annex B.

6.1 Findings

182. As shown in Table 22, the overall quality of terminal evaluations received by the IEO from the three original GEF Agencies, as well as from other GEF partners, remains high. Of the 1,067 terminal evaluations rated to date, 82 percent have satisfactory ratings for overall quality. There is a 5 percent difference in the percentage of terminal evaluations with satisfactory overall quality ratings is seen when evaluations are classified based on project size, with a smaller share of medium-sized project evaluations rated satisfactorily compared to full-sized projects. At the same time, 79 percent of medium-sized project evaluations have received satisfactory overall quality ratings.

183. Figure 14 displays the percentage of terminal evaluation reports receiving ratings of Moderately Satisfactory or above by year from 2010-2015. A drop is seen from 2014 to 2015. The main reason for this drop is a sizable presence of terminal evaluations for MSPs from the World Bank that have received a rating in the unsatisfactory range for the quality of reports. As of 2014, project terminal evaluation ratings remained relatively stable at 85 percent (

184. Table 22: Quality of terminal evaluations prepared by GEF Agencies, by Project Size (number of Observations in Parenthesis)

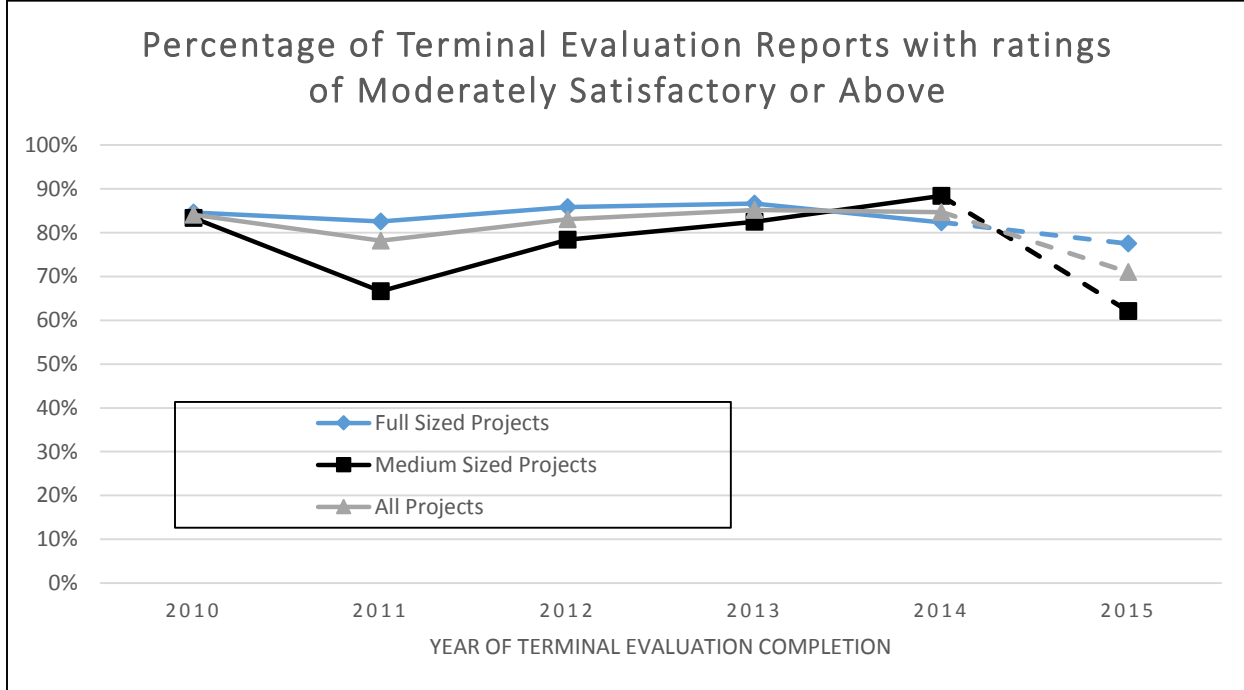
GEF Agency	APR 2015 Cohort			APR 2004-2014 Cohorts			All Rated Projects		
	FSPs	MSPs	All Projects	FPS	MSPs	All Projects	FSPs	MSPs	All Projects
UNDP	69% (42)	89% (27)	77% (69)	83% (235)	79% (176)	81% (411)	81% (277)	80% (203)	80% (480)
UNEP	100% (5)	100% (10)	100% (15)	86% (50)	86% (63)	86% (113)	87% (55)	88% (73)	88% (128)
WB	80% (49)	8% (12)	66% (61)	89% (218)	79% (102)	86% (320)	88% (267)	72% (114)	83% (381)
Other	50% (6)	50% (4)	50% (10)	65% (17)	64% (14)	65% (31)	74% (23)	67% (18)	71% (41)
Joint	50% (2)	100% (1)	67% (3)	90% (30)	100% (4)	91% (34)	88% (32)	100% (5)	89% (37)
All Agencies	74% (104)	70% (54)	73% (158)	86% (550)	80% (359)	84% (909)	84% (654)	79% (413)	82% (1,067)

185. Figure 14).

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GEF Agency	APR 2015 Cohort			APR 2004-2014 Cohorts			All Rated Projects		
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Figure 14: Percentage of Terminal Evaluation Reports with ratings of Moderately Satisfactory or above



186. Table 23 and Table 24 below focus on two areas-financial reporting and quality of project M&E systems- which are on average lower than other performance dimensions. It can be seen that in these two areas full size projects perform better than medium sized projects. For the projects with terminal evaluations completed in 2010-2015, the percentage of the evaluations for which quality was rated in the satisfactory range for financial reporting is 74 percent for full sized projects, and 63 percent for medium sized projects. Likewise, for the terminal evaluations from these cohorts the percentage of projects with satisfactory ratings for M&E reporting is 70 percent for full sized projects, compared to 55% for medium sized projects.

Table 23: Percentage of TEs with Satisfactory Financial Reporting Ratings

Project Size	Percentage of TEs with Satisfactory Financial Reporting Ratings by Year of TE Completion						All 2010-2015
	2010	2011	2012	2013	2014	2015	
Full Size Projects	75% (28)	64% (39)	76% (33)	83% (47)	73% (45)	68% (31)	74% (223)
Medium Size Projects	77% (35)	44% (18)	47% (36)	70% (40)	71% (41)	50% (22)	63% (192)
All Projects	76% (63)	58% (57)	61% (69)	77% (87)	72% (86)	60% (53)	68% (415)

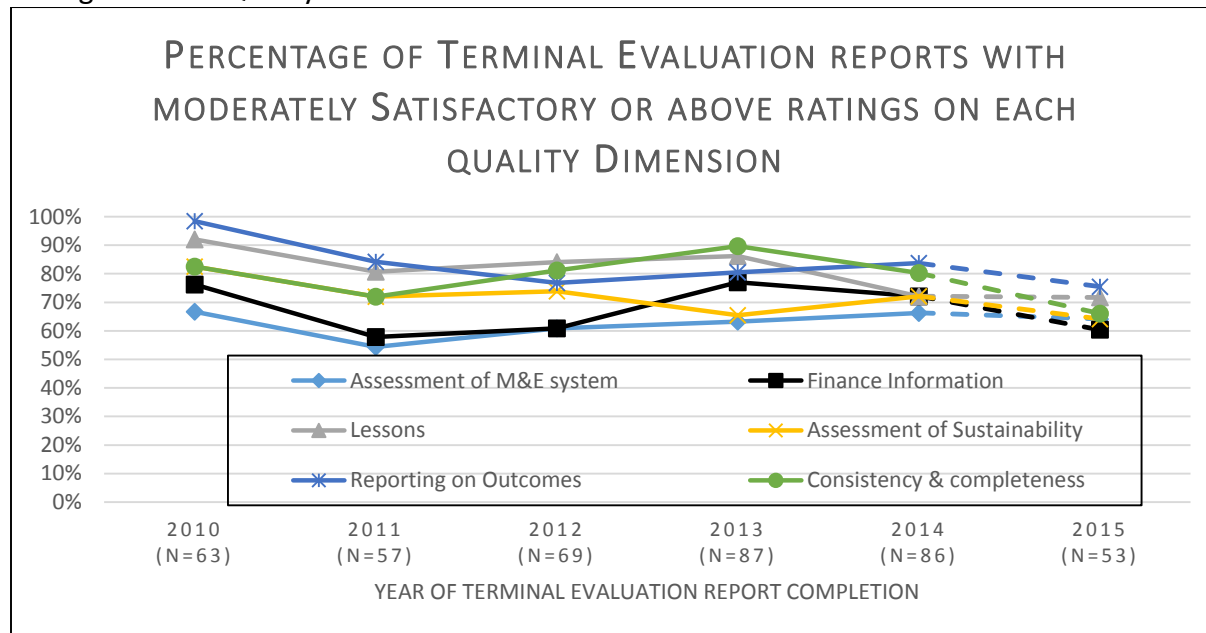
Table 24: Percentage of TEs with Satisfactory M&E Reporting Ratings

Project Size	Percentage of TEs with Satisfactory M&E Reporting Ratings By Year of TE Completion
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	2010	2011	2012	2013	2014	2015	All 2010-2015
Full Size Projects	79% (28)	62% (39)	73% (33)	68% (47)	64% (45)	77% (31)	70% (223)
Medium Size Projects	57% (35)	39% (18)	50% (36)	58% (40)	68% (41)	45% (22)	55% (192)
All Projects	67% (63)	54% (57)	61% (69)	63% (87)	66% (86)	64% (53)	63% (415)

187. Trends in quality of terminal evaluation report is not dependent on replenishment period, but more closely related to conditions at time of terminal evaluation report completion. For this reason, Figure 15 displays the percentage of terminal evaluation reports with ratings of moderately satisfactory or above on each quality dimension of the TE report, by year of terminal evaluation report completion. Once again, a slight drop in year 2015 is visible, however, as stated above it can be expected that the coverage for 2015 will increase, which could change this trend.

Figure 15: Percentage of Terminal Evaluations Reports with Moderately Satisfactory or Above Ratings on Each Quality Dimension



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

7. MANAGEMENT ACTION RECORD 2015

188. 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 Independent Evaluation Office (GEF IEO) recommendations. The MAR serves two purposes: “(1) to provide Council a record of its decision based on the evaluation reports presented by the GEF IEO, 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.”⁴⁸

189. The MAR was first presented in APR 2005 and, thereafter, it has been a regular feature of the APR. Based on its experience of implementing MAR and feedback from the key stakeholders, beginning FY2014-15 (MAR 2014) the IEO streamlined the MAR process. There were two key changes in the approach:

- (a) Instead of reporting on all the tracked Council decisions annually, from APR2014 onwards the reporting on tracked decisions is based on whether or not sufficient time has elapsed for the management to adopt the decision and for IEO to assess progress. The revised approach is also suited for instances where it is difficult to

⁴⁸ GEF Council, “Procedures and Format of the GEF Management Action Record.” GEF/ME/C.27/3., GEF Council November, 2005.

gauge compliance without a thorough assessment and/or where compliance may be ascertained only a certain point in the replenishment cycle.

- (b) Where appropriate, the decisions tracked may be graduated from the MAR if a 'substantial' rating or higher has been achieved. These changes in approach mean that at the start of the MAR process for a given year, the IEO determines whether a decision needs to be reported on in the MAR in that year. If a decision does not need to be reported that year, then the IEO lists 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.

190. The IEO will track 11 GEF Council decisions through MAR2015. Of these, it will report on level of adoption of seven GEF Council decisions. Three new decisions, two from the June 2015 GEF Council meeting, and one from the October 2015 GEF Council meeting, have been added to the MAR for tracking. Since MAR2012 the IEO has also been tracking adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. None of the decisions from the LDCF/SCCF Council will be tracked and reported on in MAR2015 because the one decision that was tracked in MAR2014 was graduated from the MAR due to significant adoption, and no new decision from the LDCF/SCCF Council was eligible for inclusion. Nonetheless, tracking and reporting will resume when a decision of the LDCF/SCCF Council meets the criteria for tracking and reporting through MAR.

7.1 Rating Approach

191. 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:** 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).

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.

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

7.2 Decisions Tracked for MAR 2015

192. MAR 2015 tracks management actions on GEF Council and LDCF/SCCF Council decisions based on 6 GEF Evaluation Office documents:

- (a) Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03)
- (b) GEF Annual Impact Report 2012 (GEF/ME/C.43/04)
- (c) GEF Annual Impact Report 2013 (GEF/ME/C.45/1)
- (d) GEF IEO Annual Country Portfolio Evaluation Report 2014 (GEF/ME/C.46/04)
- (e) Semi-Annual Evaluation Report June 2015, section on the Joint GEF-UNDP Small Grants Programme Evaluation
- (f) Semi-Annual Evaluation Report October 2015, section on Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes

193. Four decisions from MAR 2014 were deferred, as they require detailed assessments to ascertain progress in their adoption, and the IEO will report on the progress of these decisions when the required assessments are undertaken in future. The decisions for which reporting has been deferred are listed in Table 25:

Table 25: Council Decisions on which reporting on adoption has been deferred

GEF IEO Evaluation	Relevant Council Decision	How would the deferred decisions 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.....	Deferred. The Council decision is a directional decision. Adoption of this decision will be assessed as part of the work undertaken for next comprehensive evaluation of the GEF.
Annual Impact Report 2012Take into account the findings and recommendations of this evaluation when screening future proposals submitted for GEF funding in the South China Sea and adjacent areas,	Deferred. The IEO will carry out this assessment as part of the planned evaluation on programmatic approaches. This evaluation will assess the extent to which recommendations remained relevant and the progress made towards the recommendations.
Annual Impact Report 2013The Council requests the Secretariat to include this emphasis	Deferred. Reporting on this decision will be deferred. Its adoption will be

	(i.e. emphasis on broader adoption) and where necessary further strengthen it in the proposals for GEF-6.	assessed as part of the work undertaken for next comprehensive evaluation of the GEF (OPS-6).
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.	Deferred. The decision is directional in orientation. The GEF IEO will track this when it assess the KM activities for the next comprehensive evaluation of the GEF (OPS-6).

Findings

194. Of the 11 Council decisions that are being tracked, seven were rated for the level of adoption of the decision. Table 26 provides a comparison of the ratings provided by the management and the IEO for these seven decisions. For six of these, the ratings provided by the management and the GEF IEO matched. Overall, this is indicative of a convergence in the ratings.

Table 26: GEF Management and GEF IEO ratings of adoption of Council decisions assessed for MAR 2015.

		High	Substantial	Medium	Negligible	Number of Management ratings
Management ratings	High	1	—	—	—	1
	Substantial	—	449	1	—	5
	Medium	—	—	1	—	1
	Negligible	—	—	—	—	0
Sum of GEF IEO ratings		1	4	2	0	7

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

⁴⁹ This includes the Council decision on Annual Impact Report 2015 recommendations based on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes were presented. The Council decision asked the Secretariat to implement the recommendations of the evaluation. Progress made on each of these recommendations has been tracked. The overall rating has been generated using the median rating for the progress on five recommendations.

195. Of the seven decisions tracked, for five the level of adoption was rated to be substantial or higher. These five decisions pertain to five different evaluations⁵⁰ submitted to the GEF Council. Of the five decisions, adoption of the decision on the GEF Semi Annual Evaluation Report June 2014 (GEF/ME/C.48/02), which was based on the Joint GEF UNDP Small Grant Programme Evaluation, was rated high by both the Management and the IEO. The decision had asked the Management to revitalize the global SGP Steering Committee. The Management reported that the Committee is now fully active and meets on a semi-annual basis, and is providing overall strategic guidance to the SGP. The IEO in its assessment acknowledged that the Committee had been completely revitalized and is indeed providing strategic guidance to the SGP on a regular basis.

196. There were four other decisions where the level of adoption was rated substantial. The decision on the GEF Annual Impact Report 2012 (GEF/ME/C.43/04) had asked the Secretariat to adopt a more robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas. The IEO noted implementation of a GEF supported medium size project on Applying Knowledge Management to Scale up Partnership Investments for Sustainable Development of the Large Marine Ecosystems (LMEs), which aims at enhancing the capacity of the projects in the region to effectively capture and disseminate lessons learned. However, it assessed that such projects are not adequate substitutes for a mechanism to track Agency accountability for collaboration and cooperation in the region. Nonetheless, the IEO assessed that the recent restructuring of the Secretariat for region based program development is likely to facilitate robust tracking and Agency accountability.

197. The Council decision based on the GEF Annual Impact Report 2013 (GEF/ME/C.45/1) requested the Secretariat to continue its work on the improvement of the methodology for the GHG emission accounting in GEF projects, in collaboration with the STAP and relevant entities. Management rated the level of adoption of this decision to be 'substantial'. The IEO finds that the Management's assessment of progress is consistent with the actual progress made. The Secretariat coordinated a consultative process involving STAP, the GEF Agencies, IEO, and consultants, to devise an approach to improve GHG emissions accounting in GEF projects in the given context of evolving methodologies and lack of uniformity in evaluation methodologies used by the GEF Agencies. The working groups established for this work were able to come up with a consistent approach in terms of the process to be followed to identify the appropriate methodologies for GHG Accounting for a given GEF project.

198. The Council decision on the IEO Annual Country Portfolio Evaluation Report 2014 (GEF/ME/C.46/04) requested the Secretariat to explore and pursue opportunities for use of SGP country programs as service providers to implement community-level activities for FSPs and MSPs. In its self-assessment, Management reported that in the ongoing SGP consultations,

⁵⁰ GEF Annual Impact Report 2012 (GEF/ME/C.43/04); GEF Annual Impact Report 2013 (GEF/ME/C.45/1); GEF Annual Country Portfolio Evaluation 2014 (GEF/ME/C.46/04); Semi Annual Report of the GEF IEO June 2015 (GEF/ME/C.48/02); Semi Annual Report of the GEF IEO October 2015 (GEF/ME/C.49/02).

proposals for SGP to serve as a delivery mechanism were under development in Mauritius, Ukraine and in the Caribbean islands. The IEO assessed this to be a substantial level of adoption of the Council decision.

199. The Council decision on Semi-Annual Evaluation Report October 2015 (GEF/ME/C.49/02) endorsed the report's recommendations, which were based on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes, and it asked the Secretariat to implement these recommendations. The report had five recommendations and progress on each of these recommendations was assessed. The IEO provided an overall adoption rating of substantial, taking the progress on the five recommendations into account. In terms of progress on individual recommendations, progress was rated to be substantial on: Ensuring that GEF support targets areas rich in global biodiversity (Recommendation 1); Addressing the socioeconomic conditions that will ensure local community commitment to biodiversity protection (Recommendation 2); Investing in broader governance issues to address large-scale drivers (Recommendation 3); and, Investing in understanding what works and why (Recommendation 5). On the recommendation on 'Developing a more reliable and practical monitoring system to track and assess results at the project and portfolio levels' the level of adoption was rated to be medium.

Decisions with Medium level of Adoption

200. Of the seven decisions for which level of adoption was rated, two were rated 'medium'. The first decision was based on the Annual Country Portfolio Evaluation Report 2012 (GEF/ME/C.42/03) and it requested the Secretariat to reduce the burden of reporting requirements of multi-focal area projects to a level comparable to that of single focal area projects. The IEO notes that compared to GEF-5 there has been a reduction in the indicators used in the GEF-6 tracking tools for most of the focal areas. By extension this reduction is likely to reduce the reporting burden for multi-focal area projects. However, the reporting burden is still significantly more than for single focal area projects. Therefore, the IEO assessed that only a medium level of adoption has taken place for this decision.

201. The second decision, for which the IEO has rated the adoption to be 'medium', was based on the recommendations of the Semi-Annual Evaluation Report June 2015 (GEF/ME/C.48/02) that were based on the Joint GEF-UNDP Small Grants Programme Evaluation. The decision asked the Secretariat and UNDP to continue upgrading the SGP Country Program, building on strengths and addressing weaknesses, and to revisit the criteria for selection of countries for upgradation. Management reported that it has identified six new countries for upgradation in GEF-6, where SGP would now be funded through FSPs. The IEO acknowledged this progress but assessed that further progress needs to be made in building on the strengths and addressing the weaknesses identified in the evaluation.

Graduated Decisions

202. Of the five decisions that received a rating of substantial or high adoption, three will be graduated from MAR. This includes one decision that received a 'high' rating and two others

that received ‘substantial’ ratings for adoption. The graduated decisions addressed issues such as revitalization of the SGP Steering Committee, improvement in GHG accounting methodologies used in GEF projects, and adoption of a robust tracking and reporting approach to ensure Agency accountability for collaboration and cooperation in the South China Sea and the East Asian Seas area. Table 27 provides summary statistics on the decisions that have been graduated or retired from MAR, and their rating at exit.

203. Two decisions that achieved a substantial rating for adoption but would not be graduated from MAR include the decisions that addressed use of SGP Country Programs as service providers for FSPs and MSPs, and implementation of the recommendations based on the Joint Impact Evaluation of GEF Support to Protected Areas and Surrounding Landscapes. Among these two decisions, the IEO intends to continue to track progress on use of SGP of Country Programs so that the gains made so far are not lost. For the latter, although there has been substantial progress in adoption of some recommendations, on others the progress has been medium. Therefore, there is still a need to track adoption.

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
2015	1	2	0	0	0	0	3
Total	48	32	18	8	5	2	113

204. A complete version of MAR 2015 will soon be made available at the GEF Independent Evaluation Office website (www.gefiefio.org).

8. PERFORMANCE MATRIX

205. The performance matrix presents a summary of the performance of GEF Agencies and the GEF as a whole, across a range of parameters including results, processes affecting results, and M&E. Some of the parameters included in the performance matrix, such as outcome ratings and co-financing, are also covered in the preceding chapters, while others are only

reported here. Values presented are in term of moving average for the last four APR cohorts for all parameters but parameter 6, quality of terminal evaluations, for which values are a four year average for Terminal Evaluations completed in years 2012-2015.

8.1 Performance Indicators

206. The six performance indicators and associated methodology used to arrive at the reported values are as follows:

207. Overall Outcome ratings, co-financing, figures on project extensions, quality of M&E Implementation and quality of terminal evaluations are four-year averages for cohorts reported for the first time in APR2012 to APR2015. For averages on Outcome ratings, project extensions, and Quality of M&E Implementation, each project is given equal weight. Co-financing figures are reported in two ways: parameters 3a and 3c show the total materialized co-financing to the total GEF grant in for APR2012-2015 cohorts and percentage of total promised co-financing for the projects from same cohorts that materialized, respectively. Parameter 3b is the median amount of co-financing to GEF grant for projects in APR2012-2015 cohorts. Percentages and values on individual GEF Partner Agencies exclude projects under joint implementation.

Parameter 4 shows the percentage of completed projects in APR2012 to APR2015 cohorts that received project extensions of greater than two years. The figures include all projects with and without project extensions for which data on project extensions is available. Values on individual GEF Partner Agencies exclude projects under joint implementation.

8.2 Findings

Seventy nine percent of completed projects covered in the last four years -APR 2012-2015- have outcomes in the satisfactory range, with most implementing agencies in line with that figure, although the figures for World Bank are lower. This compares to 85 percent of projects in the four year average of projects presented in the first time in APR 2008-2011. Seventy eight percent of projects in the last four years received quality of implementation ratings in the satisfactory range, compared to 81 percent of projects in APR 2008-2011.

In the four year average of projects introduced in APR 2012-2015, overall total realized co-financing to total GEF funding is high at 7.6 dollars of co-financing realized for every GEF dollar. Median project levels, which are more representative of a typical project, are quite different from total levels, at 2.1 dollars of co-financing to dollars of GEF funding as the median project ratio for the four year cohort. In terms of total co-financing realized to total co-financing expected, 128 percent of promised co-financing was realized. It is interesting to note the differences among and within agencies on co-financing indicators. For all agencies reported materialization of total co-financing to GEF funding is higher than the median project value of co-financing to GEF funding, however the difference between the two indicators varies by

Agency. UNDP, World Bank and UNIDO show a substantial difference between total realized cofinancing to total GEF funding and median project values of co-financing to GEF funding, while in the case of UNEP, IFAD and others the difference is relatively small.

Thirteen percent of projects in this year's four year moving average required extensions of more than two years. UNDP, UNEP and World Bank are fairly in line on this metric, while UNIDO and IFAD, both with relatively small numbers of observations, have not had any projects requiring extensions of more than two years in the four year average. Other Agencies, still representing a fairly small number of observations with 31 projects, had 26 percent of projects requiring extensions of more than two years.

Sixty one percent of projects in this year's four year average were rated in the satisfactory range in terms of M&E implementation, compared to 67 percent of projects in the four year average of APR 2008-2011. There is a fair amount of variation between agencies on this indicator. 82 percent of project terminal evaluations were rated in the satisfactory range for TEs completed between years 2012 and 2015, compared to 84 percent of project terminal evaluations completed between years 2008-2011.

Table 28: Performance Matrix

Parameter	UNDP	UNEP	World Bank	UNIDO	IFAD	Other [†]	Overall GEF Performance
Results							
1. Percentage of projects with overall Outcome ratings of moderately satisfactory or higher APR 2012-2015	84% (258)	87% (63)	68% (170)	85% (13)	80% (10)	80% (35)	79% (549)
Factors affecting results							
2. Quality of Implementation: percentage of projects rated moderately satisfactory or higher APR 2012-2015	83% (245)	90% (63)	65% (159)	75% (12)	80% (10)	74% (34)	78% (523)
Reported co-financing ^{††}							
3a. Reported materialization of	8.4 (215)	2.5 (61)	9.0 (134)	7.9 (12)	3.0 (8)	2.3 (30)	7.6 (460)

Parameter	UNDP	UNEP	World Bank	UNIDO	IFAD	Other [†]	Overall GEF Performance
total co-financing to total GEF funding APR 2012-2015							
3b. Reported materialization of co-financing to GEF funding – median project value APR 2012-2015	2.2 (215)	1.2 (61)	2.7 (134)	2.1 (12)	2.8 (8)	1.4 (30)	2.1 (460)
3c. Reported materialization of co-financing as a percentage of total promised co-financing APR 2012-2015	215% (215)	84% (61)	110% (134)	113% (12)	107% (8)	71% (30)	128% (460)
Efficiency							
4. Percentage of completed projects that require extensions of more than 2 years APR 2012-2015 ^{†††}	13% (258)	13% (63)	14% (169)	0% (11)	0% (10)	26% (31)	13% (542)
Quality of M&E							
5. Percentage of projects with M&E Implementation ratings of moderately satisfactory or above APR 2012-2015	69% (251)	70% (64)	43% (151)	62% (13)	40% (10)	60% (30)	61% (519)
6. Percentage of terminal evaluations rated moderately satisfactory or above (TE Completion years 2012-2015)	80% (219)	100% (49)	81% (122)	67% (12)	70% (10)	84% (19)	82% (431)

[†] Other in includes ADB, FAO, IDB & Joint Projects.

^{††} Ratios include only projects for which data on realized co-financing is available.

^{†††} including projects only for which actual and expected project completion dates are available

Annex A

Table A1, list of projects included in APR 2014 cohort (n=159)

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
8	Rural Energy	World Bank	Guinea	2.0	CC	GET	GEF - 2	MS	MU	IAEO
31	Introduction of Viable Electric and Hybrid-Electric Bus Technology	UNDP	Egypt	0.7	CC	GET	GEF - 2	MU	MU	GEFIEO

⁵¹ GEF focal area abbreviations shown are: BD = Biodiversity; Chem = Chemicals; CC = Climate Change; IW = International Waters; LD = Land Degradation; MF = Multi-Focal.

⁵² Outcome ratings abbreviations are: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU).

⁵³ Sustainability ratings abbreviations are: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).

⁵⁴ GEFIEO = Independent Evaluation Office of the GEF; IAEO = Evaluation Office of GEF Partner Agency.

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
124	Renewable Energy in Rural Markets Project	World Bank	Argentina	10.0	CC	GET	GEF - 1	MU	ML	IAEO
261	Capacity Building for the Rapid Commercialization of Renewable Energy	UNDP	China	8.802	CC	GET	GEF - 1	S	L	GEFIEO
765	West Java/Jakarta Environmental Management Project	World Bank	Indonesia	3.110	CC	GET	GEF - 2	MS	U	IAEO
787	Rural Energy for Development	World Bank	Uganda	8.9	CC	GET	GEF - 2	MU	MU	IAEO
795	Biodiversity Conservation and Sustainable Natural Resource Management	UNDP	Algeria	0.7	BD	GET	GEF - 2	MS	UA	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
965	Systems Efficiency Improvement, Equitization and Renewables (SEER) Project - Renewables Components	World Bank	Vietnam	4.500	CC	GET	GEF - 2	MU	MU	IAEO
967	Private Sector Led Development of On-Grid Wind Power in Tunisia	UNDP	Tunisia	2.0	CC	GET	GEF - 3	MS	L	GEFIO
1053	Sustainable Management of Globally Significant Endemic Ruminant Livestock of West Africa	UNDP	Regional	10.0	BD	GET	GEF - 3	MS	ML	GEFIO
1064	Strengthening Capacity for Managing National Parks and Biodiversity	World Bank	Gabon	10.000	BD	GET	GEF - 3	MU	MU	IAEO
1074	DBSB: Anatolia Watershed Rehabilitation Project - under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	World Bank	Turkey	7.0	IW	GET	GEF - 2	MU	ML	IAEO
1082	Southwest Indian Ocean Fisheries Project - SWIOFP	World Bank	Regional	12.0	MF	GET	GEF - 3	MS	MU	IAEO
1089	Asian Conservation Company (ACC)	World Bank/IFC	Philippines	4.500	BD	GET	GEF - 2	S	NR	GEFIO
1095	Conservation of Transboundary Biodiversity in the Minkebe-Odzala-Dja Interzone in Gabon, Congo, and Cameroon	UNDP	Regional	10.1	BD	GET	GEF - 3	MS	ML	GEFIO
1135	Renewable Energy for Electricity Generation—Renewable Electrification of the Galapagos Islands	UNDP	Ecuador	3.2	CC	GET	GEF - 2	MS	L	GEFIO

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
1144	Komodo National Park Collaborative Management Initiative	World Bank/IFC	Indonesia	5.000	BD	GET	GEF - 2	MS	NR	GEFIEO
1169	Biodiversity Conservation and Protected Area Management	UNDP	Syria	3.3	BD	GET	GEF - 3	MS	ML	GEFIEO
1189	Integrated Marine and Coastal Resource Management	World Bank	Senegal	5.0	BD	GET	GEF - 3	U	U	IAEO
1234	Community-based Coastal and Marine Biodiversity Management Project	World Bank	Benin	4.300	BD	GET	GEF - 3	U	MU	IAEO
1245	Renewable Energy-based Rural Electrification	UNDP	Lesotho	2.5	CC	GET	GEF - 3	MU	MU	GEFIEO
1257	Protection and Management of Pakistan Wetlands	UNDP	Pakistan	3.0	BD	GET	GEF - 3	MS	U	GEFIEO
1270	Marine Electronic Highway Demonstration	World Bank	Regional	8.300	IW	GET	GEF - 3	MU	MU	IAEO
1273	Coastal Marine and Biodiversity Management	World Bank	Guinea	5.0	BD	GET	GEF - 3	U	MU	IAEO
1300	Ecosystem Management of the Salar del Huasco for Biodiversity Conservation and Sustainable Use Outside Protected Areas	UNDP	Chile	0.8	BD	GET	GEF - 2	S	ML	GEFIEO
1358	Renewable Energy-based Electricity Generation for Isolated Mini-grids	UNEP	Zambia	2.950	CC	GET	GEF - 3	MU	ML	IAEO
1361	Generation and Delivery of Renewable Energy Based Modern Energy Services in Cuba; the case of Isla de la Juventud	UNEP	Cuba	5.3	CC	GET	GEF - 3	MU	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
1400	Capacity Building for the Implementation of the Cartagena Protocol on Biosafety	UNDP	Mexico	1.5	BD	GET	GEF - 2	S	ML	GEFIO
1476	Caatinga Conservation and Sustainable Management Project	World Bank	Brazil	10.000	MF	GET	GEF - 3	U	MU	IAEO
1490	Mekong River Basin Wetland Biodiversity Conservation and Sustainable Use Program	UNDP	Regional	4.1	BD	GET	GEF - 2	MU	MU	GEFIO
1532	Electric Cooperative System Loss Reduction Project	World Bank	Philippines	12.0	CC	GET	GEF - 3	MU	ML	IAEO
1614	Demonstrating the Development and Implementation of a Sustainable Island Resource Management Mechanism in a Small Island Developing State	UNDP	Antigua And Barbuda	2.996	MF	GET	GEF - 3	S	L	GEFIO
1686	Renewable Energy Project	World Bank	Ethiopia	4.930	CC	GET	GEF - 3	U	MU	IAEO
1732	In-Situ Conservation of Andean Crops and their Wild Relatives in the Humahuaca Valley, the Southernmost Extension of the Central Andes	UNDP	Argentina	0.9	BD	GET	GEF - 3	S	L	GEFIO
1889	Hazard Risk Mitigation and Emergency Preparedness Project	World Bank	Romania	7.0	IW	GET	GEF - 3	MS	MU	IAEO
1892	Heat Reform and Building Energy Efficiency Project	World Bank	China	18.000	CC	GET	GEF - 3	MS	ML	IAEO
2003	Transfrontier Conservation Areas and Sustainable Tourism Development Project	World Bank	Mozambique	10.0	BD	GET	GEF - 3	S	MU	IAEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
2014	Incorporating Non-Motorized (NMT) Transport Facilities in the City of Gaborone	UNDP	Botswana	0.9	CC	GET	GEF - 3	MU	ML	GEFIO
2035	SFM Strengthening Protected Area System of the Komi Republic to Conserve Virgin Forest Biodiversity in the Pechora River Headwaters Region	UNDP	Russian Federation	4.500	BD	GET	GEF - 4	S	L	GEFIO
2098	Western Indian Ocean Marine Highway Development and Coastal and Marine Contamination Prevention Project	World Bank	Regional	11.0	IW	GET	GEF - 3	MU	U	IAEO
2101	Marine and Coastal Environment Management Project (MACEMP)	World Bank	Tanzania	10.0	MF	GET	GEF - 3	MU	MU	IAEO
2111	Russian Sustainable Energy Finance Program	World Bank/IFC	Russian Federation	7.000	CC	GET	GEF - 3	S	ML	GEFIO
2129	Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land-sourced Impacts Resulting from Coastal Tourism	UNEP	Regional	5.4	IW	GET	GEF - 3	NR	ML	IAEO
2174	Commercializing Energy Efficiency Finance (CEEF) - Tranche II	World Bank/IFC	Regional	6.8	CC	GET	GEF - 2	S	L	GEFIO
2241	Removal of Barriers to Energy Efficiency and Energy Conservation in Buildings	UNDP	Mauritius	0.910	CC	GET	GEF - 4	S	L	GEFIO
2251	Mainstreaming Marine Biodiversity Conservation into Coastal Management in the Aqaba Special Economic Zone	UNDP	Jordan	1.0	BD	GET	GEF - 4	MS	ML	GEFIO

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
2360	PCB Management and Disposal Demonstration	World Bank	China	18.3	Chem	GET	GEF - 3	MS	MU	IAEO
2366	Southern Provinces Rural Electrification II Program	World Bank	Lao PDR	3.750	CC	GET	GEF - 3	MS	ML	IAEO
2374	Rural Energy II	World Bank	Vietnam	5.3	CC	GET	GEF - 3	S	ML	IAEO
2387	National Communications Programme for Climate Change	UNDP/UNEP	Global	58.6	CC	GET	GEF - 3	S	ML	GEFIEO
2391	Facilitation of Financing for Biodiversity-based Businesses and Support of Market Development Activities in the Andean Region	UNEP	Regional	6.414	BD	GET	GEF - 4	S	L	IAEO
2551	Colombian National Protected Areas Conservation Trust Fund	World Bank	Colombia	15.0	BD	GET	GEF - 3	MS	ML	IAEO
2553	Piloting Climate Change Adaptation to Protect Human Health	UNDP	Global	4.500	CC	SCCF	GEF - 4	MS	MU	GEFIEO
2554	Energy Efficiency Codes in Residential Buildings and Energy Efficiency Improvement in Commercial and Hospital Buildings in Morocco	UNDP	Morocco	3.0	CC	GET	GEF - 3	MS	L	GEFIEO
2567	Sustainable Economic Development through Renewable Energy Applications (SEDREA)	UNDP	Palau	1.0	CC	GET	GEF - 4	MU	MU	GEFIEO
2605	Transitional Agriculture Reform	World Bank	Serbia	4.500	BD	GET	GEF - 3	MU	ML	IAEO
2609	GEF-World Bank-China Urban Transport Partnership Program (CUTPP)	World Bank	China	21.0	CC	GET	GEF - 4	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
2614	Adaptation to Climate Change - Responding to Shoreline Change and its human dimensions in West Africa through integrated coastal area management.	UNDP	Regional	3.3	CC	GET	GEF - 3	MS	MU	GEFIO
2618	Biodiversity and Agricultural Commodities Program (BACP), Phase 1	World Bank/IFC	Global	7.000	BD	GET	GEF - 3	S	L	GEFIO
2624	China Utility-Based Energy Efficiency Finance Program (CHUEE)	World Bank/IFC	China	16.5	CC	GET	GEF - 3	MS	L	GEFIO
2648	Capacity Building for the Implementation of the National Biosafety Framework	UNEP	Tunisia	0.9	BD	GET	GEF - 3	MS	MU	IAEO
2720	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention	UNIDO	Regional	2.000	Chem	GET	GEF - 3	U	MU	GEFIO
2751	SFM Rehabilitation and Sustainable Use of Peatland Forests in South-East Asia	IFAD	Regional	4.3	MF	GET	GEF - 4	HS	ML	GEFIO
2758	WB/GEF POL: Coastal Cities Environment and Sanitation Project - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	World Bank	Vietnam	5.0	IW	GET	GEF - 3	MS	ML	IAEO
2761	National Program Support for Environment and Natural Resources Management Project (NPS-ENRMP)	World Bank	Philippines	7.0	MF	GET	GEF - 3	MU	ML	IAEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
2775	Development and Implementation of a Standards and Labeling Programme in Kenya with Replication in East Africa	UNDP	Kenya	2.0	CC	GET	GEF - 3	MU	UA	GEFIO
2777	Barrier Removal to the Cost-Effective Development and Implementation of Energy Standards and Labeling Project (BRESL)	UNDP	Regional	7.800	CC	GET	GEF - 4	S	L	GEFIO
2785	Capacity Building for PCB Elimination	UNDP	Ghana	2.9	Chem	GET	GEF - 4	S	ML	GEFIO
2794	SIP: Country Program for Sustainable Land Management (ECPSLM)	World Bank	Ethiopia	9.0	LD	GET	GEF - 4	MS	ML	IAEO
2806	Promoting Payments for Environmental Services (PES) and Related Sustainable Financing Schemes in the Danube Basin	UNEP	Regional	0.960	BD	GET	GEF - 4	HS	L	IAEO
2816	Design and Execution of a Comprehensive PCB Management Plan for Kazakhstan	UNDP	Kazakhstan	3.3	Chem	GET	GEF - 4	MS	MU	GEFIO
2822	Support the Implementation of the National Biosafety Framework	UNEP	Mauritius	0.4	BD	GET	GEF - 3	MS	MU	IAEO
2828	Rural Electrification and Renewable Energy Development	World Bank	Nigeria	1.000	CC	GET	GEF - 3	MS	MU	IAEO
2876	SPWA-CC: Ouagadougou Transport Modal Shift	World Bank	Burkina Faso	0.9	CC	GET	GEF - 4	MS	UA	GEFIO
2884	Mainstreaming Market-based Instruments for Environmental Management Project	World Bank	Costa Rica	10.0	BD	GET	GEF - 3	MS	MU	IAEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
2889	Zambezi Valley Market Led Smallholder Development	World Bank	Mozambique	6.200	MF	GET	GEF - 3	MS	MU	IAEO
2902	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	World Bank	Regional	7.5	CC	SCCF	GEF - 4	MS	ML	IAEO
2911	West African Regional Biosafety Program	World Bank	Regional	5.4	BD	GET	GEF - 3	MU	MU	IAEO
2931	Adaptation to Climate Change through Effective Water Governance	UNDP	Ecuador	3.000	CC	SCCF	GEF - 4	MS	L	GEFIEO
2935	Micro-turbine Cogeneration Technology Application Project (MCTAP)	UNDP	Indonesia	2.6	CC	GET	GEF - 4	MU	U	GEFIEO
2947	Renewable Energy and Rural Electricity Access (RERA)	World Bank	Mongolia	3.5	CC	GET	GEF - 3	MS	ML	IAEO
2952	Thermal Power Efficiency	World Bank	China	19.700	CC	GET	GEF - 4	S	ML	IAEO
2979	WB/GEF POL: Second Shandong Environment - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	World Bank	China	5.0	IW	GET	GEF - 3	MS	L	IAEO
2996	Portfolio Approach to Distributed Generation Opportunity (PADGO) (Phase 1)	World Bank/IFC	Sri Lanka	3.6	CC	GET	GEF - 3	MU	ML	GEFIEO
3028	SFM Safeguarding and Restoring Lebanon's Woodland Resources	UNDP	Lebanon	0.980	LD	GET	GEF - 4	MS	MU	GEFIEO
3032	Environmental Remediation of Dioxin Contaminated Hotspots in Vietnam	UNDP	Vietnam	5.0	Chem	GET	GEF - 4	S	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (\$M)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3101	Pacific Adaptation to Climate Change Project (PACC)	UNDP	Regional	13.1	CC	SCCF	GEF - 4	MS	ML	GEFIEO
3129	Sustaining Agricultural Biodiversity in the Face of Climate Change	UNDP	Tajikistan	1.900	MF	GET	GEF - 4	S	ML	GEFIEO
3134	Implementing Pilot Climate Change Adaptation Measures in Coastal Areas of Uruguay	UNDP	Uruguay	1.0	CC	GET	GEF - 4	S	L	GEFIEO
3144	PROBIO - Electricity Production from Biomass in Uruguay	UNDP	Uruguay	1.0	CC	GET	GEF - 4	MS	ML	GEFIEO
3166	Mainstreaming Global Environmental Aspects in the planning and monitoring processes of the National Human Development Initiative (NHDI) in Morocco	UNDP	Morocco	0.460	MF	GET	GEF - 4	S	ML	GEFIEO
3205	Sustainable management of POPs in Mauritius	UNDP	Mauritius	0.9	Chem	GET	GEF - 4	S	ML	GEFIEO
3215	Energy Efficiency Standards and Labeling of Building Appliances	UNDP	Jordan	1.0	CC	GET	GEF - 4	MS	ML	GEFIEO
3227	Conservancy Adaptation Project	World Bank	Guyana	3.800	CC	SCCF	GEF - 3	MS	ML	IAEO
3249	Adaptation to Climate Change in Arid Lands (KACCAL)	World Bank/UNDP	Kenya	6.5	CC	SCCF	GEF - 3	MS	L	GEFIEO
3254	Mainstreaming Prevention and Control Measures for Invasive Alien Species into Trade, Transport and Travel Across the Production Landscape	UNDP	Seychelles	2.0	BD	GET	GEF - 4	MS	ML	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3257	Biomass Energy for Employment and Energy Security Project	UNDP	Bosnia-Herzegovina	0.970	CC	GET	GEF - 4	MS	ML	GEFIEO
3271	SP-SFIF Regional Activities of the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub Saharan Africa - Tranche 1	World Bank	Regional	1.0	IW	GET	GEF - 3	MS	UA	GEFIEO
3314	SP-SFIF: Sustainable Management of Fish Resources - under the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa	World Bank	Senegal	6.0	IW	GET	GEF - 3	HU	U	IAEO
3343	Enhancing the Use of Science in International Waters Projects to Improve Project Results	UNEP	Global	1.000	IW	GET	GEF - 4	MS	U	IAEO
3363	SIP: Integrated Ecological Planning and Sustainable Land Management in Coastal Ecosystems in the Comoros in the Three Island of (Grand Comore, Anjouan, and Moheli)	IFAD	Comoros	1.0	MF	GET	GEF - 4	U	U	GEFIEO
3372	SIP: Capacity Building and Knowledge Management for Sustainable Land Management	UNDP	Lesotho	1.7	LD	GET	GEF - 4	MU	ML	GEFIEO
3374	SIP: Stabilizing Rural Populations through Improved Systems for SLM and Local Governance of Lands in Southern Madagascar	UNDP	Madagascar	0.910	LD	GET	GEF - 4	MU	UA	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3379	SIP: Participatory Environmental Protection and Poverty Reduction in the Oases of Mauritania	IFAD	Mauritania	4.2	LD	GET	GEF - 4	MS	ML	GEFIO
3384	SIP: Scaling up SLM Practice, Knowledge, and Coordination in Key Nigerian States	World Bank	Nigeria	6.8	LD	GET	GEF - 4	U	MU	IAEO
3386	SIP: Innovations in Micro Irrigation for Dryland Farmers	UNDP	Senegal	0.910	LD	GET	GEF - 4	S		GEFIO
3390	SIP: Lower Usuthu Smallholder Irrigation Project (LUSIP)	IFAD	Swaziland	2.0	MF	GET	GEF - 4	MS	L	GEFIO
3391	SIP: Reducing Land Degradation on the Highlands of Kilimanjaro	UNDP	Tanzania	2.6	LD	GET	GEF - 4	S	L	GEFIO
3430	Implementing NAPA Priority Interventions to Build Resilience in the Agriculture and Water Sectors to the Adverse Impacts of Climate Change	UNDP	Sudan	3.300	CC	LDCF	GEF - 4	MU	MU	GEFIO
3443	SFM Strengthening Community Based Forest and Watershed Management (SCBFWM)	UNDP	Indonesia	7.0	MF	GET	GEF - 4	MS	ML	GEFIO
3468	SLEM/CPP: Institutional Coordination, Policy Outreach and M & E Project under Sustainable Land and Ecosystem Management Partnership Program	World Bank	India	1.0	LD	GET	GEF - 4	S	UA	GEFIO
3470	SLEM/CPP: Sustainable Rural Livelihood Security through Innovations in Land and Ecosystem Management	World Bank	India	7.340	MF	GET	GEF - 4	S	L	IAEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3471	SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector	World Bank	India	7.5	MF	GET	GEF - 4	S	ML	IAEO
3479	CO-EFFICIENCY: Improving Energy Efficiency in Buildings in Colombia through Synergies between Environmental Conventions	UNDP	Colombia	1.0	CC	GET	GEF - 4	MS	MU	GEFIEO
3484	PRC-GEF Partnership: Capacity and Management Support for Combating Land Degradation in Dryland Ecosystems	ADB	China	2.727	LD	GET	GEF - 4	S	ML	GEFIEO
3518	Strengthening the Marine and Coastal Protected Areas of Russia	UNDP	Russian Federation	4.0	BD	GET	GEF - 4	MS	L	GEFIEO
3519	Reducing and Preventing Land-based Pollution in the Rio de la Plata/Maritime Front through Implementation of the FrePlata Strategic Action Programme	UNDP	Regional	2.9	IW	GET	GEF - 4	MU	MU	GEFIEO
3524	CTI Sulu-Celebes Sea Sustainable Fisheries Management Project (SCS)	UNDP	Regional	2.890	IW	GET	GEF - 4	MS	ML	GEFIEO
3528	Management and Disposal of PCBs in Kyrgyzstan	UNDP	Kyrgyz Republic	1.0	Chem	GET	GEF - 4	U	U	GEFIEO
3529	SIP: Harmonizing support: a national program integrating water harvesting schemes and sustainable land management	UNDP	Djibouti	1.0	LD	GET	GEF - 4	MS	MU	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3550	Strengthening Protected Area Network of Turkey - Catalyzing Sustainability of Marine and Coastal Protected Areas	UNDP	Turkey	2.200	BD	GET	GEF - 4	MS	ML	GEFIEO
3562	Latin-America: Communication and Public Awareness Capacity-Building for Compliance with the Cartagena Protocol on Biosafety	World Bank	Regional	0.9	BD	GET	GEF - 4	S	UA	GEFIEO
3567	CPP: Burkina Faso - Sub-programme of the Northern Region-under Partnership Programme for Sustainable Land Management	IFAD	Burkina Faso	2.0	LD	GET	GEF - 3	S	ML	GEFIEO
3578	CPP Cuba: Capacity Building for Planning, Decision Making and Regulatory Systems & Awareness Building/Sustainable Land Management in Severely Degraded Ecosystems	UNDP	Cuba	3.500	LD	GET	GEF - 3	S	L	GEFIEO
3590	Mainstreaming Biodiversity in the Coffee Sector in Colombia	UNDP	Colombia	2.0	BD	GET	GEF - 4	S	ML	GEFIEO
3609	Strengthening the Financial Sustainability and Operational Effectiveness of the Venezuelan National Parks System	UNDP	Venezuela	7.2	BD	GET	GEF - 4	MU	ML	GEFIEO
3624	Promoting Energy Efficiency in Public Buildings	UNDP	Uzbekistan	2.914	CC	GET	GEF - 4	S	ML	GEFIEO
3628	MENARID: Cross Cutting M & E Functions and Knowledge Management for INRM within the MENARID Programme Framework	IFAD	Regional	0.7	LD	GET	GEF - 4	MU	U	GEFIEO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3630	BS Development of Biosafety Mechanisms to Strengthen the Implementation of the Cartagena Protocol in Guatemala	UNEP	Guatemala	0.6	BD	GET	GEF - 4	MS	ML	IAEO
3642	BS Support the Implementation of the National Biosafety Framework of LAO PDR	UNEP	Lao PDR	0.995	BD	GET	GEF - 4	MS	ML	IAEO
3645	MENARID: Reducing Risks to the Sustainable Management of the North West Sahara Aquifer System (NWSAS)	UNEP	Regional	1.0	IW	GET	GEF - 4	HS	L	IAEO
3668	Extension of Kasanka Management System to Lavushi Manda National Park	World Bank	Zambia	0.8	BD	GET	GEF - 4	S	MU	GEFIO
3672	Phasing-out Incandescent Lamps & Energy Saving Lamps Promotion (PIESLAMP)	UNDP	China	14.000	CC	GET	GEF - 4	S	L	GEFIO
3688	Strengthening the Sustainability of the Protected Areas System of the Republic of Montenegro	UNDP	Montenegro	1.0	BD	GET	GEF - 4	MS	MU	GEFIO
3689	Adaptation to the effects of drought and climate change in Agro-ecological Zone 1 and 2 in Zambia	UNDP	Zambia	3.8	CC	LDCF	GEF - 4	S	MU	GEFIO
3692	Effective Management of Nkhotakota Wildlife Reserve (PDMNWR)	World Bank	Malawi	0.910	BD	GET	GEF - 4	MS	UA	GEFIO
3718	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security	UNDP	Congo DR	3.0	CC	LDCF	GEF - 4	S	ML	GEFIO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3728	Strengthening of The Gambia's Climate Change Early Warning Systems	UNEP	Gambia	1.0	CC	LDCF	GEF - 4	S	ML	GEFIO
3759	Support to Sustainable Transportation System in the City of Belgrade	UNDP	Serbia	0.950	CC	GET	GEF - 4	MU	ML	GEFIO
3818	SFM Capacity Development for Climate Change Mitigation through Sustainable Forest Management in non-Annex I Countries	World Bank	Global	1.0	MF	GET	GEF - 4	S	UA	GEFIO
3820	Strengthening of the Protected Area Networking System in Mongolia (SPAN)	UNDP	Mongolia	1.4	BD	GET	GEF - 4	S	ML	GEFIO
3838	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas	UNEP	Rwanda	3.486	CC	LDCF	GEF - 4	S	L	GEFIO
3882	SLEM/CPP: Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas in Southern India: A Hydrological Unit Pilot Project Approach (under India: SLEM)	FAO	Global	0.9	CC	GET	GEF - 4	HS	L	GEFIO
3886	Colombian National Protected Areas Conservation Trust Fund – Additional Financing for the Sustainability of the Macizo Regional Protected Area System (SIRAPM)	World Bank	Colombia	4.0	BD	GET	GEF - 4	MS	ML	IAEO
3901	LGGE: Energy Efficiency in Public Buildings (EPPB)	UNDP	El Salvador	0.980	CC	GET	GEF - 4	S	L	GEFIO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
3910	Inter-jurisdictional System of Coastal-Marine Protected Areas (ISCOMPA)	UNDP	Argentina	2.2	BD	GET	GEF - 4	MU	MU	GEFIO
3947	Catalyzing Financial Sustainability of the PA System	UNDP	Montenegro	1.0	BD	GET	GEF - 4	MS	MU	GEFIO
3960	CBSP-Capacity Building for Regional Coordination of Sustainable Forest Management in the Congo Basin under the GEF Program for the Congo Basin	World Bank	Regional	0.850	MF	GET	GEF - 4	S	ML	GEFIO
4010	BS: Capacity Building for Biosafety Implementation	UNEP	Mongolia	0.4	BD	GET	GEF - 4	S	ML	IAEO
4012	Disposal of POPs Pesticides and Initial Steps for Containment of Dumped POPs Pesticides	UNDP	Georgia	1.0	Chem	GET	GEF - 4	S	L	GEFIO
4027	Global Partnership with Fisheries Industry for the Sustainability of Living Aquatic Resources	World Bank	Global	1.000	IW	GET	GEF - 4	NR	UA	GEFIO
4124	Implementation of Phase I of a Comprehensive PCB Management System	UNDP	Jordan	1.0	Chem	GET	GEF - 4	S	ML	GEFIO
4169	SPWA-BD: Scaling up the impacts of goods practices in linking poverty alleviation and biodiversity conservation	World Bank	Regional	1.0	BD	GET	GEF - 4	S	L	GEFIO
4210	Sustainable Urban Transport in Chiang Mai	World Bank	Thailand	0.730	CC	GET	GEF - 4	MS	UA	GEFIO
4219	Emergency program for solar power generation and lighting for Haiti, as a	World Bank/IADB	Haiti	1.0	CC	GET	GEF - 4	HS	ML	GEFIO

GEF ID	Name	Agency	Country	GEF Funding (SM)	Focal Area ⁵¹	Fund	GEF Phase	Outcome Rating ⁵²	Sustainability Rating ⁵³	Source of Rating ⁵⁴
	consequence of the Earthquake in Port au Prince.									
4229	Fifth National Communication to the UNFCCC	UNDP	Mexico	2.7	CC	GET	GEF - 4	MS	ML	GEFIO
4256	Making Ocean Life Count	UNEP	Global	0.650	MF	GET	GEF - 4	MS	MU	IAEO
4285	Promoting Energy Efficiency Technologies in Beer Brewing Sector in Burkina Faso	UNIDO	Burkina Faso	0.4	CC	GET	GEF - 4	MS	UA	GEFIO
4806	A Global Initiative on Landscapes for People, Food and Nature	UNEP	Global	1.0	LD	GET	GEF - 5	MS	ML	IAEO

ANNEX B. TERMINAL EVALUATION REPORT REVIEW GUIDELINES

1. 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 reviewer'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

2. 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 achieved⁵⁵, 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:⁵⁶

- (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?

3. 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.

4. 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

⁵⁵ *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).

⁵⁶ *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.

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.

5. 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:

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

6. 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

7. 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

8. 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.

9. 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.

10. 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.

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

11. 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.

- (a) **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)?
- (b) **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?

12. 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

13. 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.

14. 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.

15. 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

16. 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: 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	

ANNEX D: BREAKDOWN OF PROJECT IMPLEMENTATION RATINGS BY AGENCY

Quality of Implementation ratings on GEF projects, by lead Agency and GEF replenishment phase, All Agencies (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)	75% (16)	76% (70)	83% (157)	87% (132)	79% (398)
UNEP	100% (2)	100% (2)	84% (19)	82% (55)	100% (25)	88% (106)
World Bank	69% (29)	74% (23)	77% (88)	66% (122)	86% (28)	72% (290)
Joint	-	57% (7)	20% (10)	79% (14)	100% (4)	60% (35)
ADB	-	-	100% (2)	83% (6)	100% (1)	89% (9)
FAO	-	-	-	75% (4)	-	75% (4)
IDB	-	-	-	75% (4)	-	75% (4)
IFAD	-	-	-	100% (4)	67% (6)	80% (10)
UNIDO	-	-	-	50% (2)	78% (9)	77% (13)
All projects	52% (54)	73% (48)	75% (189)	77% (364)	88% (209)	77% (869)

ANNEX E: LIST OF PEOPLE MET FOR TRACKING TOOL REVIEW

Number	Name	Affiliation	Method	Date
	Mr. Debla Bersisa	Project Manager UNDP	Interview	22nd September 2015
	Jessie Mee	Results, KM Specialist, UNDP	Interview	22nd September 2015
	Ludwig Siege Girma Workie	Project Manager, GEF UNDP project (GIZ) M&E Specialist GEF in a GEF-UNDP Project	Interview	22nd September 2015
	Julius Ningu	GEF Operational Focal Point for Tanzania	Interview	28nd September 2015
	Fortunate Muyambi	M&E Specialist GEF in a GEF-UNDP Project	Telephone Interview	28nd September 2015
	Jossy Thomas	Project Manager, UNIDO	Telephone Interview	5th of October 2015
	Joana Talafre	Consultant, UNEP, UNIDO, IFAD	Telephone Interview	6th of October 2015
	Mark Zimsky	Biodiversity Coordinator, GEF Secretariat	Interview	1st of February 2016
	Ulrich Apel	Land Degradation Coordinator, GEF Secretariat	Interview	4th February 2016
	David Rodgers Milena Vasquez	CCM Coordinator Junior Professional Associate, GEF Secretariat	Interview	5th of February 2016
	Christian Severin Steffen Hansen	IW Coordinator Environmental Specialist GEF Secretariat	Interview	10th of February 2016
	Christine Roehrer Omid Parzikar	RBM Lead, GEF Secretariat Operations Officer, RBM, GEF Secretariat	Interview	2nd of March 2016
	Caroline Peterson (with Jessie Mee)	M&E Biodiversity, UNDP	Telephone Interview	8th of March 2016
	Nancy Bennett	RBM Lead, UNDP	Interview	9th of April 2016

	Mohamed Bakkar	IAP Lead, GEF Secretariat	Interview	15th of March 2016
	Anil Sookdev	Coordinator Chemicals and Waste, GEF Secretariat	Interview	24th of March 2016
	Knut Roland Sundstrom	Program Manager Adaptation, GEF Secretariat	Interview	24th of March 2016
	Sonja Teelucksingh (with Omid Parhizkar)	Environmental Specialist, RBM GEF Secretariat	Interview	24th of March 2016

ANNEX F: TYPES OF DATA FIELDS AND NUMBER (#) THAT WERE ASSESSED TO REQUIRE “MORE EFFORT” IN PROVIDING REQUESTED INFORMATION FOR TRACKING TOOL REVIEW.

	“High Effort ” Data Fields tracked	Comments
BD		
GEF-5	Financial Sustainability Analysis for management or protected area systems (68)	Hard to obtain financing data,
	Landscapes and seascapes certified by environmental standards (3)	Complex market estimates.
GEF-6	Financial Sustainability Analysis for management of protected area systems (68)	See above.
	Protected area management effectiveness score (16)	Field measurements included
	Biodiversity values and ecosystem service values in planning and decision (18)	Complex subject, little guidance
	Rates of poaching incidents and arrests and convictions (6)	Field measurements
	Sustainable populations of critically threatened species (12)	Field measurements
	Diversity Status of target species (Agric. plant and animal resources) (6)	Field measurements
CCM		
GEF-5	Tons of CO2 equivalent avoided (16)	Complex estimates
	Lifetime energy saved (1)	Complex estimates
	Installed capacity per technology product (10)	Complex estimates
	Lifetime energy product per technology (10)	Complex estimates
GEF-6	Tons GHG reduced or avoided (2)	Complex estimates
	Lifetime Energy Saved (1)	Complex estimates
	Installation Capacity per RE technology resulting from project (1)	Complex estimates

	Lifetime energy RE production per technology (1)	Complex estimates
	Time saved in adoption of low GHG technology (%) (1)	Complex estimates
CW		
GEF-5	POPs not produced or used as result of alternatives; in tons per year (4)	Complex estimates
	Un-intentionally produced POPs releases avoided or reduced in grams TEQ (6)	Complex estimates
	PCBs and PCB-related wastes disposed of, or decontaminated; in tons (5)	Complex estimates
	Obsolete pesticides, including POPs disposed of in tons (2)	Complex estimates
GEF-6	Quantifiable and verifiable tons of POPs eliminated or reduced (10)	Complex estimates
	Tonnes of ODS phased out (1)	Complex estimates
	Tonnes of CO2 equivalent phased out (1)	Complex estimates
	Amount of Mercury reduced (5)	Complex estimates
IW		
GEF-5	Stress Reduction Amount/ Value (15)	Complex estimates
GEF-6	Stress Reduction Amount/ Value (15)	Complex estimates
LD		
GEF 5	Project Context (10)	Complex estimates on extent and nature of degradation.
	Global Environment Benefit & Development (Targeted) (14)	Field measurements and estimates on: Vegetation productivity, Carbon, Biodiversity, Water, Livestock and income

	Land area in production systems with improved vegetative cover (1)	Field measurements on 'increased" vegetation cover.
GEF 6	Project Context (12)	Complex estimates on income; extent and nature of degradation
	Global Environment Benefit & Development (Actual) (7)	Field measurements on vegetation and estimates on carbon, and income .
	Land area in production systems with improved vegetative cover (1)	Poor guidance on how to measure "Improved" vegetative cover.
SMF		
GEF-5	Enhanced carbon sinks from reduced forest degradation	Complex estimates.
GEF-6	Lifetime GHG avoided (direct and indirect)	Complex estimates.
CC-A		
GEF-5	% increase per capita income of farm household (1)	Complex estimates
	% increase per capita income of household outside of CC vulnerable sectors	Complex estimates.
GEF-6	No "elaborate" items identified.	

ANNEX G: RESULT FRAMEWORK INDICATORS UNADDRESSED IN FOCAL AREA TTs BY REPLENISHMENT PERIOD GEF5 AND GEF 6.

Focal Area	GEF 5	GEF 6
BD	National ABS Framework operational Score. Percentage of development and sectoral frameworks that integrate measurable biodiversity conservation and sustainable use.	Number of threatened species protected.

CCM	Volume of investment mobilized by Objectives.	All tracked
CW	All ODS related indicators. All Mercury related indicators	All tracked
IW	All tracked	All tracked
LD	All tracked	All tracked
SFM	Maintained frontiers between agricultural and forest land (GIS Map)	All tracked
CC-A	All tracked	All tracked

ANNEX H: COMPARISON OF THE LAYOUT OF TRACKING TOOLS – BY FOCAL AREA

Focal Area	GEF 5	GEF 6
BD		
Lay Out Excel file	One Excel File, 5 worksheets, 3 covering Objective 1, 1 for Objective 2 and 1 for Objective 3. Reference to Guidance Word Document.	Two Excel Files, First of 3 worksheets covering Objective 1 (2 Programs) the second of 8 worksheets covering Objective 2, 3, and 4 (8 Programs)
Targets & Achievements	No clear distinction	Yes
Reporting Continuity	Room for only one reporting milestone	Three reporting milestones aligned in worksheet
Guidance	Guidance Word document of 30 pages.	TT is self-explanatory.
CCM		
Lay Out Excel file	One Excel file, 3 worksheets, each covering 6 Objectives, 3 reporting milestones.	One Excel file, 3 worksheets, each covering the Program, 3 reporting milestones.
Targets & Achievements	Yes	Yes
Reporting Continuity	Each of worksheets covers one reporting.	Each of worksheets covers one reporting
Guidance	TT is self explanatory.	TT-is self explanatory.
CW		
Lay Out Excel file	One Excel file, 9 worksheets. 1 is Introduction, 8 worksheets relate each to certain type of POPs. Objective 1 is addressed, out of 3.	One Excel file, 5 worksheets. 1 is Introduction, 4 on clusters of chemicals (POPs, ODS, Mercury, Other), covering 2 Objectives.

Targets & Achievements	Yes	Yes
Reporting Continuity	Room for one reporting time.	Room for one reporting time.
Guidance	TT-is self explanatory.	TT-is self explanatory.
IW		
Lay out Excel File	One Excel file, 2 worksheets. The first covers the Program, the second an annex	
Targets & Achievements	Yes, Targets missing	
Reporting Continuity	Room for one reporting time	
Guidance	Guidelines PDF Document	
LD		
Lay out Excel File	One Excel file, 4 worksheets: Project Identification, Context and Targeted Impact, Outcome & Learning (covering the 4 Objectives) and a Score guide.	One Excel file, 4 worksheets: Project Identification, Context, Global Environment Benefits & Development and Outcomes (covering 4 Objectives)
Targets & Achievements	Yes, baselines missing	Yes, targets missing.
Reporting Continuity	Room for one reporting.	Room for one reporting.
Guidance	Guideline Word Document, 10 pages.	Guideline Word Document , 8 pages.
SFM		
Lay out Excel File	One Excel file, 3 worksheets, each covering 2 Objectives, 3 reporting milestones.	One Excel file, 1 work sheet, covering the 4 Objectives.
Targets & Achievements	Yes	Yes

Reporting Continuity	Each work sheets covers one reporting milestone	Room for one reporting milestone.
Guidance	Guideline PDF Document, 6 pages.	TT- Self explanatory
CCA		
Lay out Excel File	One Excel file,4 worksheets, 1 General Project Information, 3 reporting milestones	One Excel file, 2 worksheets. One covering 3 Objectives, one Guidelines.
Targets & Achievements	Yes	Yes
Reporting Continuity	Three worksheets for reporting times	Thee reporting milestones in worksheets
Guidance	TT-Self explanatory.	TT contains Guideline worksheet.

ANNEX I: WORKS CITED

All of the GEF publications and GEF Council documents cited here are available on the GEF web site, 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, under the Evaluations & Studies tab.

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