

A GEF  
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REPORT

# GEF Annual Performance Report 2014





GLOBAL ENVIRONMENT FACILITY  
INDEPENDENT EVALUATION OFFICE

# GEF Annual Performance Report 2014

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*Cover photo:* The people in the Woukpokpoe village have benefited greatly from Benin's national community-driven development project funded by the Global Environment Facility and implemented through the World Bank. They now have access to safe, clean water. Photo by Arne Hoel/World Bank.

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# Foreword

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The Independent Evaluation Office of the Global Environment Facility (GEF) is pleased to present its 11th annual performance report (APR). The report presents independent assessments of GEF activities on key performance parameters: project outcomes and sustainability, factors affecting attainment of project results, and quality of monitoring and evaluation arrangements.

In addition to the projects for which terminal evaluations became available during the past year, APR 2014 also covers projects that had been completed before 2005 but had so far not been covered by the APRs. Inclusion of these data has allowed the GEF Independent Evaluation Office to report on the results of the GEF project portfolio by replenishment period, which has provided interesting insights on performance trends. APR 2014 also gives special attention to synthesizing lessons presented in the terminal evaluations. A change in this year's reporting has been to streamline the management action record process to reduce the effort required in its preparation.

The preliminary findings of this report were shared with the GEF Secretariat and Agencies in an inter-Agency meeting held in Washington, D.C., in April 2015. Draft versions of this report were also shared with the Secretariat and the Agencies, and their comments have been addressed in this report.

The full report of APR 2014 was presented to the GEF Council during its June 2015 meeting as an information document. The report's findings and conclusions were also included in the Office's Semi-Annual Evaluation Report, which was presented as a working document to the GEF Council.

I would like to thank everyone who actively supported this evaluation. Final responsibility for this report remains firmly with the Office.



Juha Uitto  
Director, GEF Independent Evaluation Office

# Acknowledgments

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This report was prepared under the supervision of Neeraj Kumar Negi, Senior Evaluation Officer with the Global Environment Facility's (GEF's) Independent Evaluation Office. The report was prepared by Neeraj Negi and Joshua Schneck, Consultant.

The terminal evaluation review process was coordinated by Joshua Schneck. Terminal evaluation reviews were prepared by Shanna Edberg, Junior Professional Associate, and Daniel Robert Nogueira-Budny, Erika Hernandez, Ritu Kanotra,

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The GEF's annual performance reports include important contributions from the evaluation offices of GEF partner Agencies, in particular terminal evaluations and terminal evaluation reviews prepared by these offices. The GEF Independent Evaluation Office appreciates the time and input provided by the GEF Secretariat and partner Agencies during the preparation of this report.

# Abbreviations

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APR	annual performance report	MAR	management action record
CEO	Chief Executive Officer	MSP	medium-size project
FSP	full-size project	SCCF	Special Climate Change Fund
FY	fiscal year	SIDS	small island developing states
GEF	Global Environment Facility	STAR	System for Transparent Allocation of Resources
ICR	implementation completion report	UNDP	United Nations Development Programme
IEG	Independent Evaluation Group	UNEP	United Nations Environment Programme
LDCF	Least Developed Countries Fund		
M&E	monitoring and evaluation		



# 1. Background and Main Conclusions

## 1.1 Background

The Global Environment Facility (GEF) annual performance report (APR) provides a detailed overview of the performance of GEF activities and processes, key factors affecting that performance, and the quality of monitoring and evaluation (M&E) systems within the GEF partnership. The APR provides GEF Council members, the GEF Secretariat, countries, partner Agencies, and other stakeholders with information on the degree to which GEF activities, systems, and processes are meeting their objectives and identifies areas for further improvement.

APR 2014 covers a total of 918 projects, representing \$4.07 billion in GEF funding and \$19.13 billion in realized cofinancing.<sup>1</sup> This total includes 156 recently completed projects (the APR 2014 cohort) representing \$803.8 million in GEF funding and 111 projects completed prior to 2005 that are reported on for the first time. The majority of the APR 2014 cohort are projects for which terminal evaluation reports were submitted to the GEF Independent Evaluation Office between January 1, 2013, and December 31, 2014.

As in past years, the APR reports on project outcomes, sustainability of project outcomes, quality of project implementation and execution,

trends in cofinancing, quality of project M&E systems, and quality of terminal evaluation reports. APR 2014 also features a substudy examining lessons from terminal evaluations of 603 completed GEF projects.

The findings presented are based primarily on the evidence and ratings in the terminal evaluation reports prepared by the GEF partner Agencies at the time of project completion. Prior to reporting in APRs, all terminal evaluations and ratings are reviewed and validated by the GEF Independent Evaluation Office, the independent evaluation offices of the GEF partner Agencies, or both. Since 2009, the GEF Independent Evaluation Office has adopted the ratings from the evaluation offices of the World Bank, the United Nations Development Programme (UNDP), and the United Nations Environment Programme (UNEP) when available, as past reviews have shown them to be largely consistent with those provided by the GEF Independent Evaluation Office. In other instances, ratings provided by the GEF Independent Evaluation Office are reported.

This year's management action record (MAR) tracks 22 separate GEF Council decisions and reports on the level of adoption of 18 of these decisions. The tracked decisions include 20 that were part of MAR 2013 and 2 new decisions that emerged from the May 2014 GEF Council meeting. In addition to the GEF Council decisions, the Office has, since APR 2012, been tracking adoption of the decisions of the Least Developed Countries

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

Fund and Special Climate Change Fund (LDCF/SCCF) Council. One decision from that council is tracked in MAR 2014. MARs are published on the GEF Independent Evaluation Office [website](#).

The draft APR 2014 report was shared with GEF stakeholders to elicit their feedback on data, analysis, and conclusions. This final report takes into account this stakeholder feedback.

## 1.2 Findings and Conclusions

**CONCLUSION 1: Seventy-nine percent of the projects in the APR 2014 cohort, accounting for 81 percent of the funding, have outcome ratings in the satisfactory range. There has been a pronounced rise in ratings from the pilot phase to GEF-4.**

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

- Seventy-nine percent of the projects in the APR 2014 cohort, accounting for 81 percent of the funding, have outcome ratings in the satisfactory range; this is in line with the overall GEF-5 replenishment target of 80 percent of completed projects receiving satisfactory outcome ratings and exceeds the GEF-4 target of 75 percent of completed projects.
- When outcome ratings are assessed by GEF replenishment phase,<sup>2</sup> a pronounced rise in outcome ratings is seen from the pilot phase through GEF-4. Differences in outcome ratings

<sup>2</sup> The GEF replenishment phases are: pilot phase (1990–94), GEF-1 (1995–98), GEF-2 (1999–2002), GEF-3 (2003–06), GEF-4 (2006–10), GEF-5 (2010–14), and GEF-6 (2014–18). The GEF fiscal year runs from July 1 to June 30.

are most pronounced when comparing projects from the pilot phase with those of later GEF phases. Analysis of factors associated with outcome ratings—including quality of implementation, quality of M&E systems, and level of cofinancing—suggest that the improvements in overall outcome ratings may be linked to improvements and changes in all of these associated factors as well as to factors not fully captured by indicators tracked by the Independent Evaluation Office through its APRs.

- Among the GEF partner Agencies, a particularly notable increase in outcome ratings over time is seen for UNDP-implemented projects. The percentage of UNDP projects rated as satisfactory increased from 64 percent in the pilot phase ( $n = 33$ ) to 87 percent in GEF-4 ( $n = 86$ ). Reasons for this increase are not fully understood. Another notable finding among Agencies is a drop in the percentage of World Bank–implemented projects rated as satisfactory: 71 percent of GEF-3 World Bank projects ( $n = 94$ ) were rated in the satisfactory range compared with at least 79 percent of World Bank projects from the pilot phase through GEF-2 ( $n = 205$ ). As discussed in APR 2013, reasons for these lower ratings may be linked to an increase in the level of stringency with which the World Bank Independent Evaluation Group (IEG) applies its ratings criteria when reviewing terminal evaluations (GEF IEO 2014a).
- Across all GEF phases, just 68 percent of all completed jointly implemented projects ( $n = 34$ ) are rated as satisfactory, compared with 82 percent of single-Agency-implemented projects ( $n = 875$ ). This difference is significant at a 95 percent confidence level.
- Two other areas that continue to underperform relative to the larger portfolio are projects implemented in African states and in small island developing states (SIDS).

**CONCLUSION 2: Sixty-three percent of the projects in the APR 2014 cohort, accounting for 62 percent of the funding, have sustainability of outcome ratings of moderately likely or above. A pronounced rise in sustainability ratings can be seen since the pilot phase.**

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

- Sixty percent of all completed projects, accounting for 61 percent of funding, have sustainability ratings of moderately likely or above. Over a third of all completed projects have sustainability ratings of moderately unlikely or below.
- Significant shifts in sustainability ratings are found when projects are grouped by GEF replenishment phase, with ratings on pilot phase projects significantly lower than those of projects from other phases. Forty-five percent of rated projects from the pilot phase have sustainability ratings of moderately likely or above, compared with 61 percent of non-pilot phase projects. This difference is statistically significant at a 95 percent confidence level. Several reasons could account for this difference, including weakness in the design of pilot phase projects, changes in priorities addressed through projects, and changes in the operational context in which projects are implemented. This remains an area for further study.
- Among completed GEF projects, satisfactory sustainability ratings (moderately likely or above) are highly correlated with satisfactory outcome ratings.
- Among all completed projects, projects in the climate change and chemicals focal areas tend to have higher sustainability ratings than

projects in the biodiversity, land degradation, or multifocal areas.<sup>3</sup>

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

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

- Quality of implementation and quality of execution ratings are in the satisfactory range for 78 percent and 83 percent, respectively, of all completed projects.
- The percentage of completed projects with satisfactory quality of implementation ratings has risen over time, from 52 percent of pilot phase projects to 87 percent of GEF-4 projects. Similarly, the percentage of completed projects with satisfactory quality of execution ratings has risen from 72 percent of pilot phase projects to 86 percent of GEF-4 projects. Improvements in quality of execution ratings are notable in that they suggest that the performance of executing partners on the ground may be linked to other factors that have shown improvement over time, including quality of implementation and quality of M&E systems.
- There has been a substantial increase over time in the percentage of UNDP projects that received quality of implementation ratings in

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<sup>3</sup> The chemicals focal area consists of projects in the persistent organic pollutants focal area and the ozone layer depletion focal area; beginning in GEF-4, these have been grouped together in a single GEF focal area.

the satisfactory range. The improvement from the pilot phase (26 percent) to GEF-1 (73 percent) is particularly salient; after this, the ratings show marginal improvement. Trends for the other Agencies are not as clear.

- Among projects implemented in the Africa region, in SIDS, and under joint implementation arrangements—three areas of the GEF portfolio where overall outcome ratings have on average been lower—quality of execution ratings are markedly lower. This finding is statistically significant at a 95 percent confidence level when considering all projects completed over the past eight years.

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

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Data on realized cofinancing is available for 782 completed projects. Trends in cofinancing follow.

- The median ratio of promised cofinancing to GEF grant—what would be present in a typical project—has risen from around 30 cents of promised cofinancing to each dollar of GEF grant in the pilot phase, to just over 2 dollars of cofinancing for each dollar of GEF grant in GEF-4.
- Portfolio-level cofinancing ratios are driven by a small number of exceptional projects. Among all completed projects to date with data on realized cofinancing ( $n = 782$ ), the top 5 percent of projects with the highest cofinancing ratios ( $n = 39$ ) have generated some 66 percent of all realized cofinancing (\$12.57 billion of \$19.13 billion total realized cofinancing).
- The percentages of projects realizing at least 90 percent and 100 percent of promised cofinancing have risen over time, from

68 percent and 60 percent of pilot phase projects realizing at least 90 percent and 100 percent, respectively, of promised cofinancing; to 79 percent and 69 percent in GEF-4.

- By focal area, a smaller share of climate change projects have realized 90 percent or more of promised cofinancing compared to projects from other focal areas. Sixty-two percent of completed climate change projects ( $n = 192$ ) have realized at least 90 percent of promised cofinancing compared to 73 percent of non-climate change projects ( $n = 579$ ); this difference is statistically significant at a 95 percent confidence level. While the total amount of realized cofinancing among completed climate change projects exceeds the total promised (\$11.4 billion compared to \$9.6 billion), at the project level, a significant share of these projects fail to realize the expected levels of cofinancing.
- A smaller share of recent (GEF-3 and GEF-4) projects implemented in African countries realized 90 percent or more of promised cofinancing compared to projects implemented elsewhere: 64 percent compared to 75 percent of non-African projects. This difference is significant at a 95 percent confidence level.

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

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

- Ratings on quality of M&E design have risen substantially over time, from 34 percent of pilot phase projects rated in the satisfactory range to 72 percent of GEF-4 projects. Ratings on quality of M&E implementation have similarly



risen, with 42 percent of pilot phase projects and 70 percent of GEF-4 projects in the satisfactory range. The difference in the share of projects with satisfactory M&E design and M&E implementation ratings between the pilot phase and GEF-1 versus subsequent phase projects is statistically significant at a 95 percent confidence level.

- About 30 percent of completed GEF-4 projects are rated as having unsatisfactory quality of M&E design and implementation, revealing considerable scope for improvement.
- For pilot phase projects implemented by UNDP, M&E design at entry was weak, and M&E was weaker during project implementation. For the Agency's GEF-1 projects, despite low M&E design at entry ratings for a significant percentage of projects, the M&E weaknesses seem to have been rectified during implementation, as evidenced by an improved M&E implementation rating. A similar pattern of rectifying weaknesses in M&E design during implementation is seen in GEF-2 for UNEP-implemented projects.
- Ratings on quality of M&E implementation are, on average, lower among completed multifocal area projects than for all other focal areas and have declined over time: 56 percent of GEF-2 projects ( $n = 9$ ), 47 percent of GEF-3 projects ( $n = 34$ ), and 38 percent of GEF-4 projects ( $n = 16$ ) were rated in the satisfactory range. Reasons for the declining pattern in M&E implementation ratings among multifocal area projects are not yet understood.

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

Lessons from terminal evaluations of 603 completed GEF projects were assessed to identify those

meeting criteria for relevance and usefulness. In total, 594 lessons from 293 terminal evaluations met the criteria for inclusion; the lessons were then classified. Key findings of this study follow.

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

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

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

- Eighty-six percent of terminal evaluations received by the Independent Evaluation Office over the past eight years have satisfactory ratings for overall quality of reporting. A small (~5 percent) difference in the percentage of terminal evaluations with satisfactory overall quality ratings is observed when evaluations are sorted based on project size.
- Two areas where reporting has remained relatively weak are reporting on project financials and quality of M&E systems.
- To date, the GEF Agencies have been inconsistent in evaluating programmatic approaches. Agencies have submitted evaluations of child projects approved under a programmatic approach, but not of the overall programmatic approach itself; have evaluated the programmatic approach but not completed child projects under the programmatic approach; and have evaluated a subset of child projects approved under a programmatic approach. In addition, in one evaluation submitted covering 15 child MSPs, it was not possible to discern performance ratings for the individual projects using the information provided in the portfolio evaluation.

## MANAGEMENT ACTION RECORD FINDINGS

The MAR 2014 tracked 22 GEF Council decisions, of which 4 were prescreened for detailed assessment through evaluations that are included in the Independent Evaluation Office's four-year work program. Of the remaining 18, 6 have been graduated due to high or substantial progress. Eight have been retired because action on these is linked to the GEF replenishment cycles, e.g., decisions related to improvements in the GEF-6 focal area strategies and the National Portfolio Formulation Exercise for GEF-6. Four of the decisions continue to be relevant and will be reported on in future.

### 1.3 Issues for the Future

This APR covers 918 completed projects that account for \$4.07 billion in GEF grants. The inclusion of a substantial number of projects approved from the pilot phase to GEF-3 provides an opportunity to compare experiences across replenishment periods and assess trends whose tracking was made possible for the first time through this expanded project coverage. For the reported trends to be meaningful, however, the rating approaches within and across Agencies must be consistent over time. It is natural for Agencies to make adjustments to their approaches, particularly over a time span as long as 20 years. For example, the World Bank's IEG has been applying its performance ratings more stringently in recent years, even though its rating criteria have remained the same.

In this context, the challenge for the GEF Independent Evaluation Office is to ensure that its reporting on performance facilitates comparisons over time and across Agencies. The Office will keep track of Agency reporting so that its portfolio

performance assessments are realistic and meaningful. In addition, the Office will work on developing data sets that are not as sensitive to subtle changes in rating approaches and that will provide a firm basis for comparisons over time and across Agencies.

Although the GEF has experimented with programmatic approaches since its inception, these were first formally endorsed by the GEF Council in its April 2008 meeting. At that time, the Council endorsed the objectives and basic principles for programmatic approaches (GEF 2008). Several activities—i.e., child projects—undertaken as part of programmatic approaches are now complete. Considerable inconsistency exists across Agencies in reporting on these activities. Given that

programmatic approaches are becoming increasingly important within the GEF, attention should be focused on developing a consistent approach to their reporting.

The first terminal evaluation guidelines were issued by the GEF Independent Evaluation Office in 2008; these should now be updated. Development of terminal evaluation guidelines must take into account the minimum requirements specified by the GEF M&E Policy, which is itself slated for update for GEF-6. Thus, the Office will revise the terminal evaluation guidelines upon approval of the new M&E Policy. In addition, the Office will undertake a consultative exercise to identify ways in which the MAR process may be further streamlined to increase its utility to GEF stakeholders.

## 2. Scope and Methodology

### 2.1 Scope

APRs provide a detailed overview of the performance of GEF projects and funding, as well as an analysis of some of the key factors affecting performance. APR 2014 includes the following:

- **An overview of the extent to which GEF projects and funding are achieving desired outcomes (chapter 3).** The assessment covers 909 completed projects for which ratings on overall project outcomes are available. Also presented are ratings on the sustainability of project outcomes.
- **Analysis of factors affecting project outcomes (chapter 4).** Factors covered include quality of project implementation and execution, trends in cofinancing of GEF projects, and quality of M&E systems.
- **Analysis of lessons from terminal evaluations of completed GEF projects (chapter 5).** Lessons from 603 terminal evaluations—representing two-thirds of the portfolio of completed projects covered in APR 2014—were assessed to identify factors that affect project performance.
- **Assessment of the quality of terminal evaluation reports submitted by the GEF Agencies to the GEF Independent Evaluation Office (chapter 6).** Trends in the overall quality of reporting, as well as trends in reporting along individual performance dimensions,

are presented. Issues concerning reporting of projects implemented under programmatic approaches are also discussed.

- Presentation of the MAR (chapter 7). The MAR assesses the degree to which relevant GEF Council decisions based on GEF Independent Evaluation Office recommendations have been adopted by GEF management.

### PROJECTS COVERED FOR THE FIRST TIME

Two hundred and sixty-seven projects, representing \$1.36 billion in GEF funding, are reported on for the first time in APR 2014. Newly reported projects include 156 projects that were completed in 2005 or later, and 111 projects completed prior to 2005. The expansion in coverage of earlier year GEF projects is the product of ongoing GEF Independent Evaluation Office review work, undertaken at the request of GEF stakeholders, to facilitate reporting by GEF replenishment phases and support additional analytical work.

The majority of newly reported projects completed in recent years (2005 and onward) comprise the APR 2014 cohort and consist of projects for which terminal evaluation reports were submitted to the GEF Office between January 1, 2013, and December 31, 2014.<sup>1</sup> These terminal evaluation

<sup>1</sup> Twelve terminal evaluation reports for projects implemented by the International Finance Corpora-

reports have undergone a subsequent independent review, either by the GEF Office or by the independent evaluation offices of UNDP, UNEP, or the World Bank IEG.

Table 2.1 presents an overview of all the projects covered in APR 2014—the APR 2014 cohort, the new pre-2005 projects included, and previous APR cohorts—classifying them by focal area, region, implementing GEF Agency, and GEF phase in which they were approved.<sup>2</sup> See [annex A](#) for a summary description of the projects covered for the first time in this APR.

## COVERAGE OF GEF REPLENISHMENT PHASES

To date, coverage of GEF replenishment phases in GEF APRs—i.e., the percentage of approved projects covered by the APR from each GEF replenishment phase that have been reviewed and for which performance ratings have been provided—has been incomplete for all GEF phases for two principle reasons:

- For later phase projects (mainly GEF-3 and onwards), many projects are still under implementation or the project review process is not yet complete (see [section 2.2](#)).
- A number of projects from the pilot phase and GEF-1 were not included when the GEF Independent Evaluation Office first began publishing APRs in 2004, as evaluation requirements for completed projects and systems to track

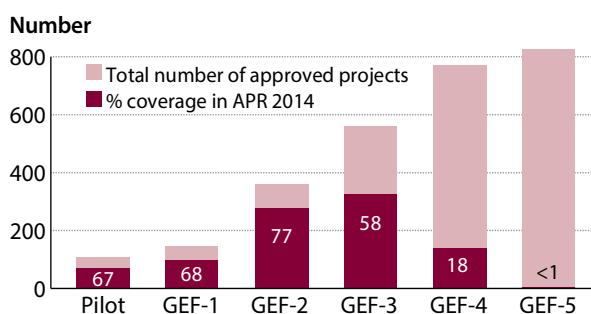
tion were also submitted to the GEF Office during this period, but these have not been reported on, as their quality was found to be poor. Discussion with the IFC revealed that the reporting deficiencies primarily result from IFC policies covering confidentiality of proprietary information. These terminal evaluations will be reported on in APR 2015.

<sup>2</sup>For a description of GEF regions used in this report, see [annex D](#).

submission of evaluations had not been established until after the pilot phase.<sup>3</sup>

Many of these early projects are included in APR 2014 for the first time. The remainder will be included in subsequent APRs to the extent that evaluations from these projects are available. Figure 2.1 shows the percentage coverage of GEF replenishment phases to date in APR 2014. As shown, coverage of GEF-2 is highest, at 77 percent, followed by around two-thirds of all pilot phase and GEF-1 projects, 58 percent of GEF-3 projects, and just 18 percent of GEF-4 projects. Only four projects from GEF-5 are covered in APR 2014.

**FIGURE 2.1 Coverage of Approved Projects by GEF Phase in APR Reporting to Date**



**NOTE:** Projects included in totals are those that meet the threshold for APR review. Totals exclude enabling activities with GEF funding of < \$0.5 million and Small Grants Programme activities.

<sup>3</sup>Requirements that GEF Implementing Agencies prepare a terminal evaluation upon project completion were not established until 1995 (GEF 1995); because this requirement did not apply to projects approved before that year, terminal evaluations were not prepared for some early pilot phase projects. In addition, in cases where terminal evaluations had been prepared, many were not submitted to the GEF Independent Evaluation Office, as systems were not yet in place to track these submissions. Consequently, gaps existed in the reporting coverage of projects from the pilot and GEF-1 phases. Since fiscal year 2014, the GEF Independent Evaluation Office has been working in collaboration with the GEF Agencies to identify and locate terminal evaluations of completed GEF projects not yet covered in the APRs; many of these are covered in this report.

**TABLE 2.1** Composition of the Pre-2005 and 2014 APR Cohorts, and All Projects to Date

Item	Pre-2005 APR cohort			APR 2014 cohort			All projects		
	No. of projects	Funding (mil. \$)	Funding (% of total)	No. of projects	Funding (mil. \$)	Funding (% of total)	No. of projects	Funding (mil. \$)	Funding (% of total)
<b>Focal area</b>									
Biodiversity	70	315.5	57	58	269.3	34	427	1,709.8	42
Climate change	24	128.9	23	37	256.5	32	224	1,112.8	27
International waters	12	99.4	18	20	115.3	14	107	716.5	18
Land degradation	n.a.	n.a.	n.a.	12	50.3	6	46	115.8	3
Chemicals <sup>a</sup>	5	10.2	2	16	53.9	7	44	200.5	5
Multifocal	n.a.	n.a.	n.a.	15	58.4	7	70	211.6	5
<b>Region</b>									
Africa	31	146.5	26	50	279.7	35	222	1,034.4	25
Asia	23	195.4	35	35	240.6	30	213	1,103.6	27
Europe and Central Asia	15	69.7	13	31	94.7	12	193	684.7	17
Latin America & Caribbean	26	93.3	17	29	145.8	18	195	881.1	22
Global	13	49.0	9	14	42.9	5	95	363.2	9
<b>GEF Agency</b>									
UNDP	44	147.1	27	65	232.6	29	412	1,296.1	32
UNEP	15	26.1	5	12	21.7	3	120	318.7	8
World Bank	48	334.7	60	59	467.9	58	321	2,077.1	51
Other	n.a.	n.a.	n.a.	10	36.8	5	31	95.9	2
Joint	4	46.1	8	10	44.9	6	34	279.2	7
<b>GEF phase</b>									
Pilot	59	350.8	63	n.a.	n.a.	n.a.	72	451.7	11
GEF-1	25	177.2	32	8	70.4	9	100	803.4	20
GEF-2	27	26.0	5	24	195.8	24	278	1,292.3	32
GEF-3	n.a.	n.a.	n.a.	64	393.1	49	327	1,259.5	31
GEF-4	n.a.	n.a.	n.a.	58	142.6	18	137	256.5	6
GEF-5	n.a.	n.a.	n.a.	2	1.9	<1	4	3.6	<1
<b>Total</b>	<b>111</b>	<b>554.0</b>	<b>n.a.</b>	<b>156</b>	<b>803.8</b>	<b>n.a.</b>	<b>918</b>	<b>4,067.0</b>	<b>n.a.</b>

**NOTE:** n.a. = not applicable.

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

Incomplete coverage, particularly of the GEF-3 and GEF-4 phases, cautions against drawing any early conclusions based on performance data from these cohorts.

## 2.2 Methodology

Reporting on project outcomes and sustainability, factors affecting outcomes, and quality of terminal evaluations—covered in, respectively, chapters 3, 4, and 6—are based on analyses of ratings and information provided in terminal evaluation reports that were first reviewed by the GEF

Independent Evaluation Office and/or the evaluation offices of GEF partner Agencies. GEF activities under the Small Grants Programme, as well as enabling activities with GEF funding of less than \$0.5 million, are not required to submit terminal evaluations, and are not covered in this report. Among the 918 projects covered in APR 2014 are 4 enabling activities that have met the threshold for review. For analysis purposes, these have been grouped with FSPs based on the size of associated GEF funding.

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

## RATINGS APPROACH

The principle dimensions of project performance on which ratings are first provided in terminal

evaluations, and in subsequent GEF Independent Evaluation Office or GEF Agency evaluation office reviews of terminal evaluations, are described here in brief and in full in [annex B](#).

- **Project outcomes.** Projects are evaluated on the extent to which project objectives, as stated in the project's design documents approved by the GEF Council and/or the GEF Chief Executive Officer (CEO),<sup>4</sup> were 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.
- **Sustainability of project outcomes.** Projects are evaluated on the likelihood that project benefits will continue after implementation. To arrive at an overall sustainability rating, evaluators are asked to identify and assess key risks to sustainability of project benefits, including financial, sociopolitical, institutional/governance, and environmental risks. A four-point rating, from likely to be sustained to unlikely to be sustained, is assigned.
- **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 the Implementing Agency to the executing agency throughout project implementation. Quality of execution primarily covers the effectiveness of the executing agency in performing its roles and responsibilities. In both instances, the focus is on factors that are largely within the control of the respective agency. A

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<sup>4</sup> All GEF FSPs require approval by the GEF Council and endorsement by the GEF CEO prior to funding; MSPs require only the GEF CEO's approval to go forward.

six-point rating, from highly satisfactory to highly unsatisfactory, is assigned.

- **Quality of M&E systems.** M&E facilitates adaptive management during project implementation, and assessment of project outcomes and impacts after project completion. The quality of project M&E systems is evaluated in two ways: (1) an assessment of the project's M&E design, including whether indicators used are SMART,<sup>5</sup> whether relevant baselines are established, and whether M&E activities are properly budgeted for; and (2) the degree and quality of M&E during implementation. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned for quality of M&E design and quality of M&E implementation.
- **Quality of terminal evaluation reports.** Terminal evaluations—which are the primary source of information on which project performance is assessed—are assessed for quality, consistency, coverage, quality of lessons and recommendations, and the degree to which project ratings provided are properly substantiated. A six-point rating, from highly satisfactory to highly unsatisfactory, is assigned.

## REVIEW OF TERMINAL EVALUATIONS

The Office uses the following procedure in reviewing terminal evaluations prior to inclusion in the APR, as well as for oversight purposes.

Using a set of detailed guidelines to ensure that uniform criteria are applied (see [annex B](#) for these guidelines), Office reviewers assess the degree to which project ratings provided in terminal evaluations are properly substantiated, and address the

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<sup>5</sup> SMART indicators are specific; measurable; achievable and attributable; relevant and realistic; and time-bound, timely, trackable, and targeted. See GEF (2010b) for a complete description.

objectives and outcomes set forth in the project design documents approved by the GEF Council and/or the 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.

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

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 Office rates the project as unable to assess and excludes it from further analysis on the respective dimension.

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

## SOURCE OF RATINGS

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

The Office has been tracking the consistency between ratings provided by itself and the Agency evaluation offices; this is accomplished through random sampling and review of a portion of



terminal evaluations included in the APR for which ratings have been provided by the Agency evaluation offices. To date, ratings provided by those offices are largely consistent with those provided by the GEF Independent Evaluation Office. The Office will continue to track the consistency of ratings going forward.

For projects implemented by GEF Agencies other than UNDP, UNEP, and the World Bank, the GEF Independent Evaluation Office currently provides final project ratings. In addition, where ratings are not provided by the UNDP, UNEP, and World Bank evaluation offices, the GEF Office provides final ratings. Examples of these projects include all projects under joint implementation; MSPs implemented by the World Bank, which the IEG does not review; and projects where independent review of terminal evaluations is not prepared within two years of terminal evaluation completion.

Table 2.2 lists the source of terminal evaluation review ratings used for analysis and reporting

**TABLE 2.2 Source of Terminal Evaluation Review Ratings for APR 2014 Cohort**

Source of ratings	No. of projects
UNDP Independent Evaluation Office	54
UNEP Evaluation Office	11
World Bank IEG	49
GEF Independent Evaluation Office	42
ADB projects	1
FAO projects	2
IDB projects	1
IFAD projects	4
UNDP projects	14
UNEP projects	1
UNIDO projects	2
World Bank projects	10
Joint implementation projects	7
<b>Total</b>	<b>156</b>

**NOTE:** ADB = Asian Development Bank; FAO = Food and Agriculture Organization of the United Nations; IDB = Inter-American Development Bank; IFAD = International Fund for Agricultural Development; UNIDO = United Nations Industrial Development Organization.

of the APR 2014 cohort. To ensure consistency with the ratings approach of earlier projects, the GEF Independent Evaluation Office is the source of ratings for all projects in the pre-2005 APR cohort reported on for the first time in this APR.

## MATERIALIZATION OF COFINANCING

The reporting in section 4.3 on cofinancing and materialization of cofinancing is based on information in project design documents, as well as information provided by GEF Agencies on completed projects through terminal evaluation and other project reports. Information on actual (realized) cofinancing is available for 782 of the 918 completed project reported on in APR 2014.

## MANAGEMENT ACTION RECORD

At the request of the GEF Council, the GEF Independent Evaluation Office 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 Office recommendations. The MAR is updated annually and reported on in the APR. To compile the MAR, the Office produces a working document containing all the relevant GEF Council decisions being tracked for the current MAR. This includes all decisions from the prior year MAR that continue to be tracked because they continue to be relevant and their level of adoption is not yet sufficient to warrant graduation. Decisions are graduated from the MAR when a high level of adoption has been achieved, or the decision is no longer relevant, and/or subsequent Council decisions have made it difficult to adopt its earlier decision. For decisions that continue to be tracked, a full record of prior GEF management action and ratings as well as GEF Office 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.

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, the Office provides

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

## REVIEW OF FINDINGS

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

## 3. Outcomes and Sustainability of Outcomes

This chapter presents verified ratings on outcomes for completed GEF projects. Of the 156 projects in the APR 2014 cohort, outcome ratings are available for 154 projects, representing \$795.7 million in GEF funding. To date, the GEF Independent Evaluation Office has provided or adopted outcome ratings on 909 projects, which account for \$4.05 billion in GEF funding. Also presented in this chapter are ratings on sustainability of outcomes.

### 3.1 Rating Scales

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

- **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.** Unable to provide an overall outcome rating.

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 overall likelihood of sustainability, with the following categories:

- **Likely.** There are no risks to the sustainability of project outcomes.
- **Moderately likely.** There are moderate risks to the sustainability of project outcomes.
- **Moderately unlikely.** There are significant risks to the sustainability of project outcomes.
- **Unlikely.** There are severe risks to the sustainability of project outcomes.

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

revised results framework. In instances where the scope of project objectives, outcomes, and outputs were down-scaled, the original project outcomes and/or objectives are used to measure project performance.

## 3.2 Outcomes

Table 3.1 presents overall outcome ratings among rated projects in the APR 2014 cohort ( $n = 154$ ), and for all other completed projects ( $n = 755$ ). As shown, the percentage of projects, and the percentage of funding in projects, with outcome ratings in the satisfactory range is relatively unchanged at the portfolio level between projects in the most recent

APR year cohort and all other projects.<sup>1</sup> When considering all completed and rated projects to date ( $n = 909$ ), 81 percent of projects and 79 percent of GEF funding is in projects with overall outcome ratings in the satisfactory range (table 3.2). These percentages are 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

<sup>1</sup> In accordance with standard reporting practices of the international development community, projects with outcome ratings of moderately satisfactory or higher are here referred to as having satisfactory outcome ratings.

**TABLE 3.1** Percentage Distribution of GEF Projects and of GEF Funding in Projects by Outcome Rating, for the APR 2014 Cohort and All Other Completed Projects

Outcome rating	% of projects		% of funding	
	APR 2014 cohort	All other projects	APR 2014 cohort	All other projects
Highly satisfactory	2	4	2	4
Satisfactory	35	41	37	38
Moderately satisfactory	42	36	43	37
Moderately satisfactory or above	79	82	81	78
Moderately unsatisfactory	16	13	15	17
Unsatisfactory	4	5	3	5
Highly unsatisfactory	1	<1	1	1
Number/funding of rated projects	154	755	\$795.7 million	\$3.26 billion

NOTE: Details may not sum to 100 percent due to rounding.

**TABLE 3.2** GEF Funding in Completed Projects with Outcomes Rated Moderately Satisfactory or Above, by GEF Phase

Criterion	Pilot	GEF-1	GEF-2	GEF-3	GEF-4	All phases <sup>a</sup>
Number of rated projects	70	100	273	326	136	909
GEF funding in rated projects (million \$)	449.0	803.1	1,288.2	1,252.3	255.6	4,052.1
% of projects with outcome ratings of moderately satisfactory or above	73	80	79	84	85	81
% of GEF funding in projects with outcome ratings of moderately satisfactory or above	74	80	76	81	86	79

NOTE: Details may not sum to 100 percent due to rounding. Coverage of GEF phases to date is incomplete and is as follows: pilot phase, 67 percent; GEF-1, 68 percent; GEF-2, 77 percent; GEF-3, 58 percent; GEF-4, 18 percent.

a. Includes two projects from GEF-5.

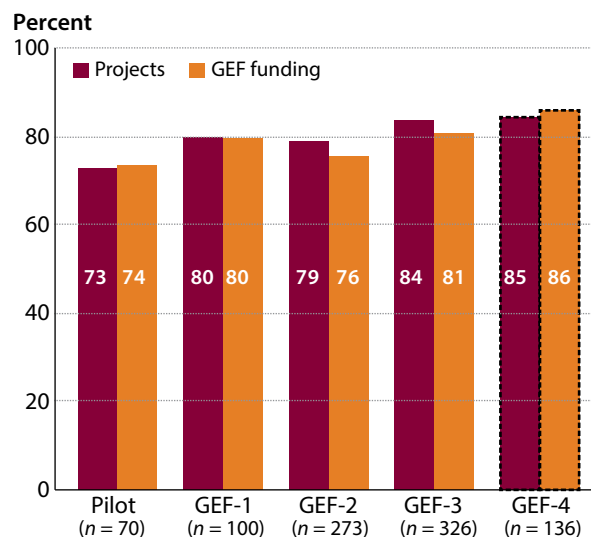
of completed projects (GEF 2006; GEF Secretariat 2010).

Figure 3.1 and table 3.2 show overall outcome ratings by GEF replenishment phase. While coverage of all GEF phases—particularly of GEF-4—is incomplete, results to date show a pronounced rise in outcome ratings at the portfolio level from the pilot phase through GEF-4. Differences in outcome ratings among completed projects from different GEF replenishment phases are most pronounced when comparing projects from the pilot phase with those of other GEF phases. Seventy-three percent of rated projects from the pilot phase ( $n = 70$ ) have satisfactory overall outcome ratings, compared with 82 percent of non-pilot phase projects ( $n = 839$ ). This difference is significant at a 90 percent confidence level. Analysis of factors associated with outcome ratings—including quality of implementation, quality of M&E systems, and level of cofinancing—suggests that improvements in overall outcome ratings from the pilot phase to the present may be linked to improvements and changes in these associated factors. However, they may also be linked to factors not fully captured in other performance ratings, such as changes in the quality of project design, shifts in priorities addressed, and changes in the project’s operational context.

To see how outcome ratings have shifted among projects implemented by the various GEF Agencies, table 3.3 shows outcome ratings on completed projects by Agency and GEF replenishment phase. Because the number of completed and rated projects is limited for some partner Agencies when sorting by phase, figure 3.2 compares ratings from the GEF-1 and GEF-2 phases with those from the GEF-3 and GEF-4 phases. UNDP demonstrated clear improvement in its project outcome ratings over time; trends for the other Agencies are not as easily discernible.

Outcome ratings on GEF projects implemented by the World Bank declined in GEF-3 compared with previous periods, from 80 percent of projects

**FIGURE 3.1** Percentage of GEF Projects and of GEF Funding in Projects with Outcome Ratings of Moderately Satisfactory or Above, by GEF Phase



**NOTE:** Dashed lines indicate low reporting coverage of the GEF-4 phase.

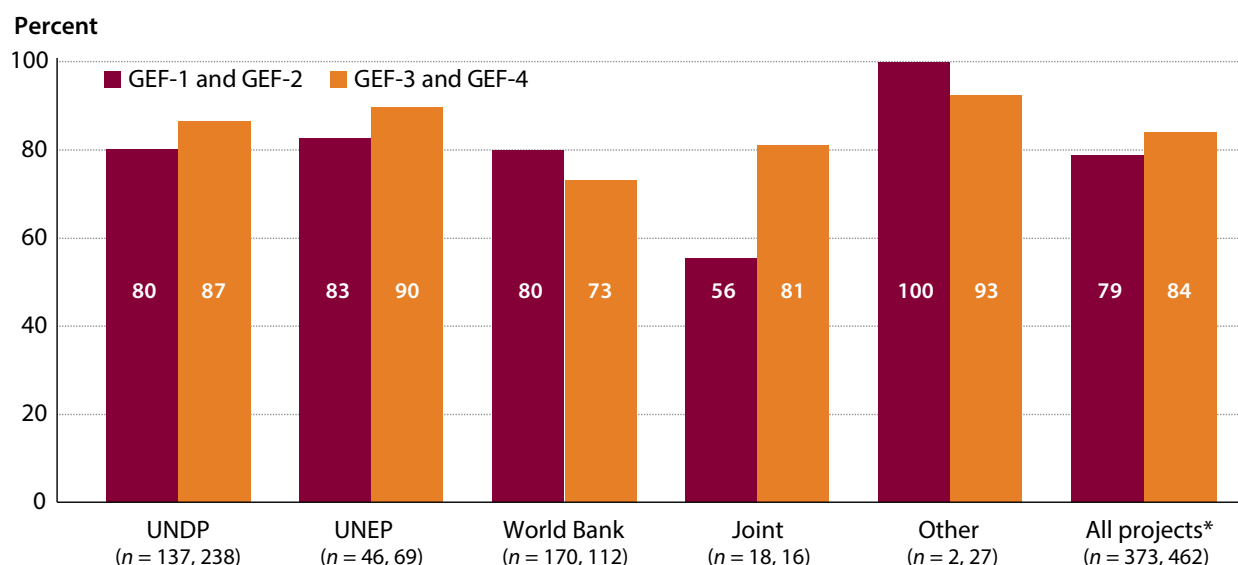
in the pilot through GEF-2 phases ( $n = 205$ ) rated in the satisfactory range to 71 percent of GEF-3 projects ( $n = 94$ ), with the difference significant at a 95 percent confidence level (table 3.3). Ratings on completed GEF-4 World Bank projects, of which there are only 18 to date, have increased from the GEF-3 period, with 83 percent of completed projects rated in the satisfactory range. The overall decline in outcome ratings of GEF-3 World Bank projects was highlighted in APR 2013, along with possible explanations. A recent IEG review that examined the World Bank Group’s partnership with the GEF identified a number of issues that could plausibly be linked to project performance, including fees for project administration that are “felt to be at unsustainably low levels by the World Bank and other Agencies,” and weak and inconsistent information systems across the partnership (World Bank 2015). However, as the evidence above indicates, the projects with on average lower ratings were approved in GEF-3. Therefore, reduction in Agency fee, as suggested in the IEG evaluation,

**TABLE 3.3** Completed GEF Projects with Outcomes Rated Moderately Satisfactory or Above, by GEF Agency and Phase

Agency	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
UNDP	64	33	75	40	82	97	86	152	87	86	83	408
UNEP	100	2	100	6	80	40	94	53	75	16	87	119
World Bank	80	35	83	46	79	124	71**	94	83	18	78**	317
Joint implementation	n.a.	n.a.	75	8	40	10	85	13	67	3	68**	34
Other	n.a.	n.a.	n.a.	n.a.	100	2	100	14	85	13	94	31
All projects	73	70	80	100	79	124	84	326	85	136	81	909

**NOTE:** n.a. = not applicable. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5. \*\* = the difference in the share of projects with satisfactory outcome ratings from within and outside of this grouping is statistically significant at a 95 percent confidence level (e.g., share of World Bank GEF-3 projects versus non-World Bank GEF-3 projects).

**FIGURE 3.2** Completed GEF Projects with Outcomes Rated Moderately Satisfactory or Above, by GEF Agency and by GEF Phase Groupings



**NOTE:** \* = the difference in the share of all projects with satisfactory outcome ratings between phase groupings is statistically significant at a 90 percent confidence level.

should not have been relevant, as the decline in fees began in GEF-4.<sup>2</sup> Moreover, while weak and inconsistent information systems across the partnership may be a reason for low performance, this does not explain a decline in ratings exclusive to

<sup>2</sup> See GEF IEO (2010a) on the GEF approach to Agency fees.

GEF projects implemented by the World Bank— unless a case is made that information systems have become both increasingly weaker and more inconsistent across the partnership.

Another possibility that continues to be examined by the GEF Independent Evaluation Office is whether a change in the application of ratings criteria by the IEG might be partially responsible for

the decline in ratings of World Bank GEF projects. A large gap is seen in the ratings from terminal evaluations—termed implementation completion reports (ICRs) by the World Bank—and the ratings from IEG review of ICRs that are used for reporting in APRs. In some review years, the difference in the percentage of projects rated in the satisfactory range is greater than 25 percent. The difference in ratings is particularly large for projects completed in more recent years, suggesting that some change in the stringency with which the IEG is applying ratings criteria to its review of ICR ratings may be contributing to the decline in overall outcome ratings on World Bank GEF projects.

In its communications with the GEF Independent Evaluation Office, the IEG has confirmed that it has indeed become more stringent in application of the outcome ratings criteria. However, the IEG notes that other, non-GEF, environmental-related projects—and indeed all World Bank projects approved during the same time period (except those approved in fiscal years [FYs] 2004–07)—in the World Bank portfolio have not experienced similar declines in rating, suggesting that other factors may also be at play. The Office will continue to monitor this issue going forward, and, if necessary, develop methodologies to ensure that ratings on GEF projects from different time periods and implemented by different Agencies are presented in a way that enables cross comparison.

Another finding that stands out when assessing outcome ratings by GEF Agency is the on average lower ratings among jointly implemented projects, with just 68 percent of all jointly completed projects ( $n = 34$ ) rated as satisfactory compared with 82 percent of single-Agency-implemented projects ( $n = 875$ ). This difference is significant at a 95 percent confidence level. While the reasons for lower on average performance of jointly implemented projects are not yet well understood, the study on lessons from terminal evaluations presented in [chapter 5](#) found that evaluations of jointly implemented projects were more likely than

those of nonjointly implemented projects to have lessons highlighting unclear roles among partners, poor project management, and overly ambitious objectives. This finding suggests that weaknesses in such performance factors may have played a role in the degree to which these projects were able to achieve their overall objectives. None of these differences were statistically significant at a 90 percent confidence level, however.

Table 3.4 presents overall outcome ratings on completed GEF-1 through GEF-4 projects, by various groupings. Two trends identified in earlier APRs—the tendency for projects implemented in African states as well as those implemented in SIDS to have lower outcome ratings compared to projects implemented in other states—continue to the present day.

### 3.3 Sustainability

The sustainability of project outcomes following project completion is an important element of project success for two main reasons:

- It provides an indication of the degree to which GEF project interventions have been successful in bringing about any lasting change to the systems, institutions, or networks upon which the project is focused.
- 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 (GEF IEO 2009b).

Given the scale of global environmental challenges and the relative scarcity of GEF funding, designing and implementing projects such that project outcomes are sustainable is a primary goal for the GEF (GEF 2011).

Sustainability ratings are forward-looking, predictive assessments of the likelihood that project outcomes will be sustained, based on evaluators' assessment of risks to sustainability. As

**TABLE 3.4 Completed GEF Projects with Outcomes Rated Moderately Satisfactory or Above, by Project and GEF Phase Groupings**

Criterion	GEF-1 and GEF-2		GEF-3 and GEF-4		GEF-1 through GEF-4	
	No. of rated projects	% of projects with outcomes rated ≥ MS	No. of rated projects	% of projects with outcomes rated ≥ MS	No. of rated projects	% of projects with outcomes rated ≥ MS
<b>Focal area</b>						
Biodiversity	195	82	183	88	378	85
Climate change	101	78	101	86	202	82
International waters	45	76	54	74*	99	75*
Land degradation	n.a.	n.a.	46	78	46	78
Chemicals <sup>a</sup>	16	75	27	81	43	79
Multifocal	16	75	51	82	67	81
LCDF/SCCF	n.a.	n.a.	13	92	13	92
<b>Region</b>						
Africa	87	74	108	78**	195	76**
Asia	91	84	101	85	192	84
Europe and Central Asia	68	76	116	88	184	84
Latin America and the Caribbean	94	82	82	85	176	84
Global	33	82	55	84	88	83
<b>Country characteristics<sup>b</sup></b>						
Fragile state	50	72	58	79	108	76*
SIDS	26	73	34	65**	60	68**
Least developed country	77	77	99	81	176	79
Landlocked	72	76	126	87	198	83
<b>Size</b>						
FSP <sup>c</sup>	243	78	237	84	480	81
MSP	130	82	225	84	355	84
<b>Scope</b>						
National	278	79	321	83	599	81
Regional	62	77	86	87	148	83
Global	33	82	55	84	88	83
<b>Executing agency</b>						
Government or parastatal agency	214	82	268	82	482	82
NGO or foundation	76	79	86	92	162	86
Bilateral or multilateral agency	74	74	98	84	172	80
Other, inc. private sector organization	9	67	10	80	19	74
All projects	373	79	462	84	835	82

**NOTE:** n.a. = not applicable; MS = moderately satisfactory; \* = difference in the share of projects with outcome ratings of moderately satisfactory or above from within and outside of this grouping is statistically significant at a 90 percent confidence level; \*\* = difference in the share of projects with outcome ratings of moderately satisfactory or above from within and outside of this grouping is statistically significant at a 95 percent confidence level.

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

b. 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.

c. Includes four enabling activities based on size of GEF grant.

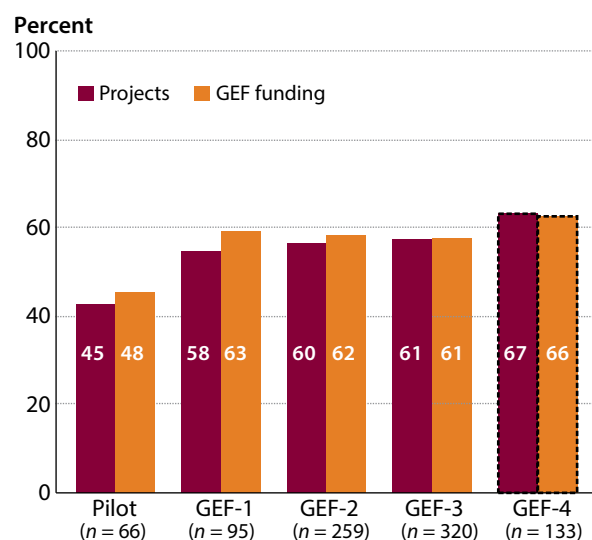


these assessments are made at the point of project completion, they should not be mistaken for measurements of sustainability itself.

Table 3.5 presents sustainability ratings for rated projects in the APR 2014 cohort ( $n = 146$ ) and for all other completed projects ( $n = 731$ ). The percentage of projects and the percentage of funding in projects with sustainability ratings of moderately likely or higher are relatively unchanged at the portfolio level between the APR 2014 cohort and all other projects. When considering all completed and rated projects to date ( $n = 877$ ), 60 percent of projects, accounting for 61 percent of GEF funding, have sustainability ratings of moderately likely or higher. Conversely, over a third of all completed GEF projects have sustainability ratings of moderately unlikely or below.

Substantial shifts in sustainability ratings are found when grouping projects by GEF replenishment phase (figure 3.3). As with overall outcome ratings, a pronounced rise in the percentage of projects with sustainability ratings of moderately likely or above is seen from the pilot phase to GEF-4, with pilot phase ratings significantly lower than those for other phases. Forty-five percent of rated projects from the pilot phase ( $n = 66$ ) have sustainability ratings of moderately likely or above, compared with 61 percent of non-pilot phase projects ( $n = 877$ ). This difference is statistically significant at a 95 percent confidence level, and

**FIGURE 3.3** Percentage of GEF Projects and GEF Funding in Projects with Sustainability Ratings of Moderately Likely or Above, by GEF Phase



**NOTE:** Dashed lines indicate low reporting coverage of the GEF-4 phase.

suggests that pilot phase projects did not include provisions supporting sustainability of outcomes to the degree found in subsequent GEF phase projects. This is an area for further study, as there may be other factors distinguishing pilot and non-pilot phase projects linked to sustainability, including the type of environmental concerns addressed and the operating context.

**TABLE 3.5** Percentage Distribution of GEF Projects and GEF Funding in Projects by Sustainability Rating, for the APR 2014 Cohort and All Other Completed Projects

Outcome rating	% of projects		% of funding	
	APR 2014 cohort	All other projects	APR 2014 cohort	All other projects
Likely	15	15	15	17
Moderately likely	48	44	46	44
Moderately likely or above	63	60	62	60
Moderately unlikely	31	30	34	30
Unlikely	6	10	4	10
Number/funding of rated projects	146	731	\$769.7 million	\$3.13 billion

**NOTE:** Details may not sum to 100 percent due to rounding.

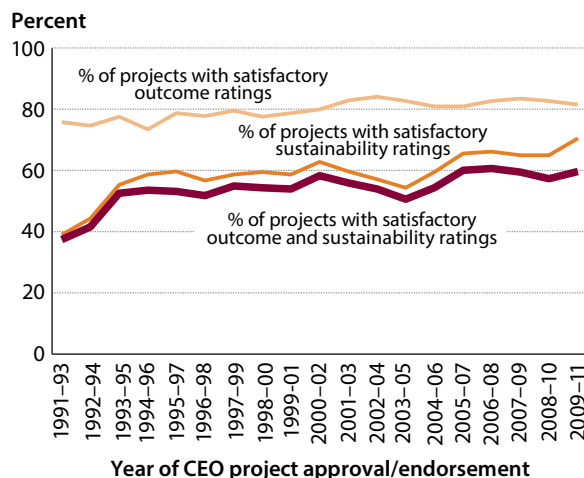
Among completed GEF projects, satisfactory sustainability ratings (moderately likely or above) are highly correlated with satisfactory outcome ratings—i.e., projects with satisfactory sustainability ratings are more likely than not to have satisfactory outcome ratings as well.<sup>3</sup> This correlation is illustrated in figure 3.4, which shows a three-year moving average of project outcome and sustainability ratings, by year of GEF CEO project approval or endorsement. When sustainability ratings are combined with outcomes, the resulting trend line is only slightly below the sustainability trend line—which would not be the case if outcome and sustainability ratings were largely uncorrelated.

Differences in sustainability ratings are also apparent when projects are grouped according to GEF focal area. As shown in table 3.6, among all completed projects, climate change and chemicals focal area projects tend to have higher sustainability ratings than biodiversity, land degradation, and multifocal projects. Differences are statistically significant when comparing climate change with non-climate change projects, and biodiversity with nonbiodiversity projects, as indicated. Other differences in sustainability ratings between focal area groupings are not statistically significant.

While the number of completed projects limits the degree to which sustainability can be assessed by focal area strategy, among completed climate change projects, those focused on energy efficiency have, on average, higher sustainability ratings than those focused on renewable energy. Among all completed projects, 68 percent ( $n = 66$ ) of projects focused on energy efficiency have sustainability ratings of moderately likely or above, compared to 59 percent ( $n = 82$ ) of projects focused on renewable energy; these differences are not statistically significant. This finding may reflect the varying levels of technological maturity, market size, and

<sup>3</sup> Chi square ( $\chi^2$ ) statistic = 100.5, Pr = 0.000.

**FIGURE 3.4 Outcome and Sustainability Ratings and Their Correlation, as a Three-Year Moving Average**



**NOTE:** Sustainability and outcome ratings are available for 877 completed projects.

economic viability associated with renewable and energy efficiency approaches supported by GEF funding.

### 3.4 Outcome and Sustainability Ratings of Completed SCCF and LDCF Projects

Since APR 2013, GEF APRs have included coverage of completed projects funded from the LDCF and SCCF trust funds. The GEF Independent Evaluation Office provides detailed coverage of the LDCF/SCCF portfolio in the LDCF/SCCF Annual Evaluation Report, first published in 2014 (GEF IEO 2014b).

For APR 2014, the Office received terminal evaluations for five completed LDCF projects and three completed SCCF projects. These projects account for about \$13.3 million in LDCF funding and about \$6.8 million in SCCF funding. To date, the LDCF/SCCF portfolio comprises 13 completed projects. Given their small number, these projects are not representative of the full range of project objectives and approaches of the two funds.

**TABLE 3.6 Completed GEF Projects with Sustainability Rated Moderately Likely or Above, by GEF Focal Area and Phase**

Agency	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
Biodiversity	46	41	53	53	56	131	57	132	70	46	56**	404
Climate change	41	17	65	26	67	70	68	73	75	28	67**	215
International waters	50	8	60	10	64	33	69	32	67	21	64	104
Land degradation	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	55	38	43	7	53	45
Chemicals <sup>a</sup>	n.a.	n.a.	80	5	64	11	45	11	80	15	65	43
Multifocal	n.a.	n.a.	0	1	50	14	65	34	44	16	56	66
All projects	45	66	58	95	60	259	61	320	67	133	60	877

**NOTE:** n.a. = not applicable. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5. \*\* = the difference in the share of projects with sustainability ratings of moderately likely or above from within and outside of this grouping is statistically significant at a 95 percent confidence level (e.g., share of all completed climate change projects versus all completed non-climate change projects).

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

Table 3.7 provides summary information and outcome and sustainability ratings for the eight recently completed LDCE/SCCF projects contained in the APR 2014 cohort. Four national projects focused on freshwater availability and management linked to agriculture and/or food security. Three national projects focused on the adaptive capacity of vulnerable communities targeting the agro-pastoral sector, the agro-forest-pastoral sector, and coastal communities. Another project also targeted coastal communities, focusing on the provision of climate risk and early warning information in the agriculture and health sectors. One theme common to all projects is a focus on climate information, knowledge, and awareness, either through capacity development activities, demonstration or pilot sites, small grants for demonstration activities, and/or strengthening of systems involved in climate information provision.

All eight completed projects had outcome ratings in the satisfactory range, with four rated moderately satisfactory and four satisfactory. In terms of sustainability of project outcomes, seven of the eight completed projects received ratings

in the likely range—six moderately likely and one likely. Risks to project sustainability are diverse, but are often linked to concerns about financial and environmental sustainability. **Financial sustainability** at times depends on external market factors that are beyond a project’s scope and sphere of influence, affecting the operation, maintenance, and reproducibility of (demonstration) activities. **Environmental sustainability** is a concern given that the adaptive capacity of stakeholders and systems remains low, despite the intervention. The sustainability of one project—Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso (GEF ID 3684)—was rated as moderately unlikely, in the face of concerns over financial support for continuation of project achievements.

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

**TABLE 3.7 Outcome and Sustainability Ratings of Recently Completed SCCF and LDCF Projects**

GEF ID	Project	Country	Agency	Fund	GEF funding (mil. \$)	Outcome rating	Sustainability rating
3155	Coping with Drought and Climate Change	Mozambique	UNDP	SCCF	1.0	MS	ML
3265	Mainstreaming Adaptation to Climate Change into Water Resources Management and Rural Development	China	World Bank	SCCF	5.0	S	L
3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	Thailand	UNDP	SCCF	0.9	MS	ML
3319	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	Niger	UNDP	LDCF	3.5	S	ML
3358	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa (ICCRAHS) Project	Samoa	UNDP	LDCF	2.0	MS	ML
3404	Promoting Climate Resilient Water Management and Agriculture Practice in Rural Cambodia	Cambodia	UNDP	LDCF	1.8	S	ML
3581	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cabo Verde	Cabo Verde	UNDP	LDCF	3.0	MS	ML
3684	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	Burkina Faso	UNDP	LDCF	2.9	S	MU

**NOTE:** Outcome ratings: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory; sustainability ratings: L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely.

## 4. Factors Affecting Achievement of Project Results

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

This chapter reports on four factors that may be expected to be linked with project outcomes: **quality of project implementation, quality of project execution, extent and realization of promised cofinancing, and quality of project M&E systems**. While other factors can, and likely do, affect attainment of project results—e.g., a project’s operational context or strategic approach—these are not covered in the performance ratings presented in the APRs.

### 4.1 Quality of Implementation

As noted in chapter 2, quality of implementation covers the quality of project design, as well as the quality of supervision and assistance provided by the GEF Agency to the executing agency throughout project implementation. To date, 726 completed projects have been rated on quality of implementation. The numbers of projects so rated for the pilot ( $n = 54$ ) and GEF-1 phases ( $n = 46$ ) are relatively low, but, as with the outcome and sustainability ratings discussed in chapter 3, quality of implementation ratings have also risen over time (table 4.1). Reasons for improvement in quality of implementation ratings are not well understood at this time.

Table 4.2 shows quality of implementation ratings by GEF Agency and replenishment phase. The implementation ratings for UNDP show a dramatic improvement between the pilot phase and GEF-1, and a steady improvement thereafter. The World Bank ratings do not show similarly

**TABLE 4.1** Completed GEF Projects with Quality of Implementation Ratings of Moderately Satisfactory or Above, by GEF Phase

Criterion	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	All phases
Number of rated projects	54	46	177	314	131	726
% of projects with quality of implementation ratings of moderately satisfactory or above	52	74	76	80	87	78

**NOTE:** Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

**TABLE 4.2 Completed GEF Projects with Implementation Rated as Satisfactory, by GEF Agency and Phase**

Agency	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
UNDP	26	23	73	15	77	65	84	146	87	83	79	332
UNEP	100	2	100	2	84	19	82	50	100	15	87	90
World Bank	69	29	77	22	79	81	71**	92	83	18	75	242
All projects	52	54	74	46	76	177	80	314	87	131	78	726

**NOTE:** Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5. \*\* = the difference in the share of projects with satisfactory quality of implementation ratings from within and outside of this grouping is statistically significant at a 95 percent confidence level (e.g., share of World Bank GEF-3 projects versus non-World Bank GEF-3 projects).

dramatic shifts, but there are variations from one replenishment period to the other. Between GEF-2 and GEF-3, the ratings decrease, and then improve again for the projects approved during GEF-4, although the coverage and observations for this latter period are limited at this point. For UNEP, a substantial number of observations are available for GEF-2 through GEF-4. These data show that the quality of implementation for more than 80 percent UNEP-implemented projects was in the satisfactory range.

## 4.2 Quality of Project Execution

As noted in chapter 2, quality of execution covers the effectiveness of the executing agency in performing its roles and responsibilities, focusing on factors that are largely within its control. To date, 734 completed projects have been rated on quality of execution. Ratings on projects for the pilot ( $n = 57$ ) and GEF-1 ( $n = 51$ ) phases are limited in quantity, but execution ratings have risen over

time (table 4.3), as has been noted for outcome, sustainability, and implementation ratings. Again, however, as shown in table 4.3, the same general trend of higher outcome and sustainability ratings found in later GEF phases is present in quality of execution ratings. From an institutional perspective, the increase in quality of execution over time mirroring that of other GEF performance ratings is notable in that it suggests that the performance of executing partners on the ground is linked to other factors that have shown improvement over time, including quality of implementation and quality of M&E systems.

Because the performance of executing partners may have more to do with external factors than any changes pertaining to the GEF replenishment cycle, quality of execution ratings were also assessed by calendar year of project completion (table 4.4). Among the projects implemented in Africa, in SIDS, and under joint implementation arrangement—three areas of the GEF portfolio where overall outcome ratings have on average

**TABLE 4.3 Completed GEF Projects with Quality of Execution Ratings of Moderately Satisfactory or Above, by GEF Phase**

Criterion	Pilot phase	GEF-1	GEF-2	GEF-3	GEF-4	All phases
Number of rated projects	57	51	181	310	131	734
% of projects with quality of execution ratings of moderately satisfactory or above	72	76	82	85	86	83

**NOTE:** Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

**TABLE 4.4 Completed GEF Projects with Execution Rated as Satisfactory, by Various Project Characteristics and Calendar Year of Completion**

Project characteristic	2007–10		2011–14		2007–14	
	%	No.	%	No.	%	No.
Implemented in Africa	79	66	77**	75	78**	144
Implemented in non-African state	83	232	88	209	85	441
Implemented in SIDS	62**	13	77	22	71**	35
Implemented in non-SIDS	83	285	85	262	84	547
Jointly implemented	43**	14	78	9	57**	23
Nonjointly implemented	84	284	85	275	85)	559
All projects	82	298	85	284	84)	582

**NOTE:** \*\* = the difference in share of projects with satisfactory quality of execution ratings from within and outside of this grouping is statistically significant at a 95 percent confidence level.

been lower—quality of execution ratings are also markedly lower. This finding is statistically significant at a 95 percent confidence level when considering all projects completed over the past eight years. The study presented in chapter 5 examining lessons from terminal evaluations found that evaluations of projects implemented in SIDS or under joint implementation were more likely than those of other project evaluations to contain lessons highlighting weaknesses in project management or oversight.

### 4.3 Cofinancing of GEF Projects

This section presents information on promised and realized cofinancing for completed GEF projects covered by this APR, by GEF replenishment period and various project groupings. To date, information on promised cofinancing is available for the 918 projects covered in APR 2014; information on realized cofinancing is available for 782 projects.

The Fifth Overall Performance Study of the GEF (OPS5) reported a general consensus among key stakeholders in the GEF partnership on the utility of cofinancing, which is seen as helping bring additional resources to GEF projects, increase country ownership, and increase the likelihood support for follow-up activities following

project closure (GEF IEO 2013). Similar sentiments were expressed by participants in the Sixth Replenishment of the GEF, who “affirmed that the GEF should continue to seek high levels of cofinancing as a means to achieve greater environmental impact and to encourage country ownership” (GEF Secretariat 2014).

The GEF’s definition of cofinancing has changed over time. The current definition, approved by the GEF Council at its 46th meeting in May 2014, is “resources that are additional to the GEF grant and that are provided by the GEF partner Agency itself and/or by other non-GEF sources that support the implementation of the GEF-financed project and the achievement of its objectives” (GEF Secretariat 2014). A 2003 policy had described cofinancing resources as being “essential for meeting the GEF project objectives,” which had proved difficult to determine in practice (GEF 2003).

Along with the level of promised cofinancing, the GEF Independent Evaluation Office tracks the level of materialization of cofinancing, which provides information on the extent to which partner organizations meet their commitments. Nonmaterialization of cofinancing may hamper implementation of project activities and, depending on the extent of nonmaterialization, could compromise achievement of project results.

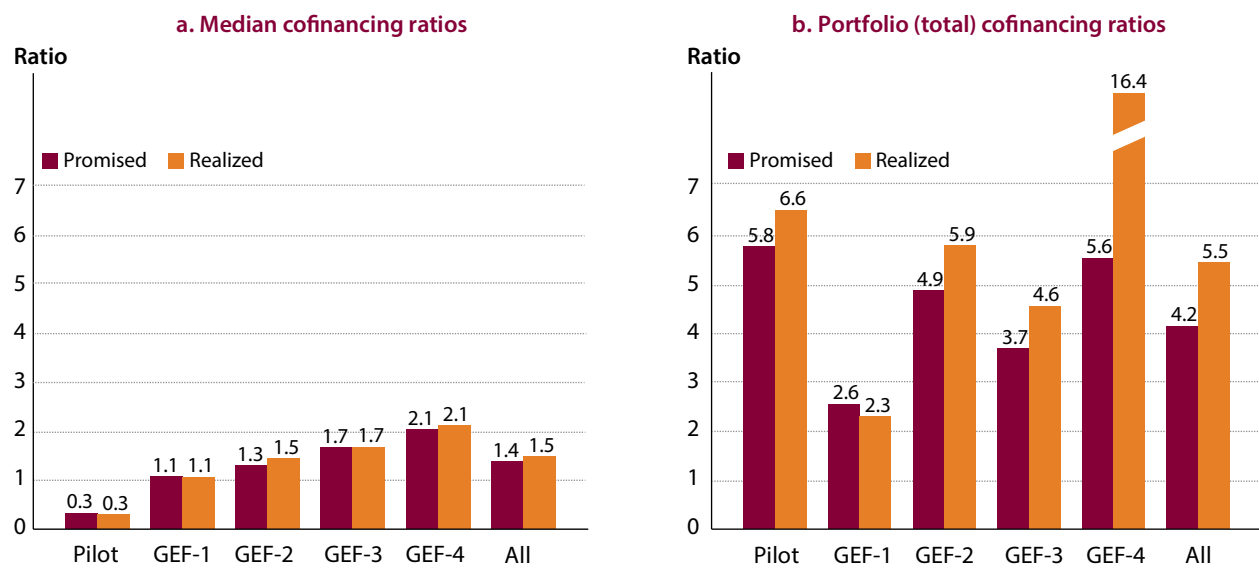
Figure 4.1 presents the median and total promised and realized cofinancing ratios (i.e., amount of cofinancing to amount of GEF grant) for completed projects by GEF phase. As has been noted in other GEF publications (e.g., GEF 2003), there has been a steady rise in the median ratio of promised cofinancing—the cofinancing promised a typical project—over the replenishment phases. Specifically, promised cofinancing has increased from around 30 cents for each dollar of GEF grant in the pilot phase to just over \$2 in GEF-4. Equally significant, the median ratio of realized cofinancing across all projects for which data are available ( $n = 782$ ) is equal to or slightly higher than the ratio of promised cofinancing to GEF grant when projects are grouped by GEF phase.

Figure 4.1b shows portfolio-level cofinancing ratios—i.e., the total amount of cofinancing to the total amount of GEF funding in a replenishment phase. A high degree of volatility is seen among total cofinancing ratios by replenishment phase, particularly when compared to median cofinancing

ratios. This volatility is due to several projects with very levels of cofinancing, primarily from World Bank loans, which increase the portfolio cofinancing ratio significantly.<sup>1</sup> Significantly, the portfolio-level ratio of realized cofinancing to GEF grant is substantially higher than the portfolio-level ratio of promised cofinancing for all GEF phases except GEF-2. When considering all completed projects to date for which data on realized cofinancing are available ( $n = 782$ ), GEF partners have realized \$5.50 in cofinancing for each dollar of GEF grant. The extremely high ratio of realized cofinancing to GEF funding among completed projects in the GEF-4 phase—\$16.40 per dollar of GEF grant—is due largely to a single project implemented in

<sup>1</sup> The promised cofinancing ratio rises more consistently by phase when all approved FSPs and MSPs are considered, rather than only completed projects: from 2.5 in GEF-1 to 6.3 in GEF-4. The ratio of promised cofinancing to GEF grant for all approved pilot phase projects is 4.1, again due to several projects with very large amounts of cofinancing.

**FIGURE 4.1** Median and Total Promised and Realized Cofinancing for Completed GEF Projects, by GEF Phase



**NOTE:** Pilot phase:  $n = 72$  (promised), 55 (realized); GEF-1:  $n = 100, 83$ ; GEF-2:  $n = 278, 235$ ; GEF-3:  $n = 327, 286$ ; GEF-4:  $n = 137, 119$ ; all phases:  $n = 918, 782$ .



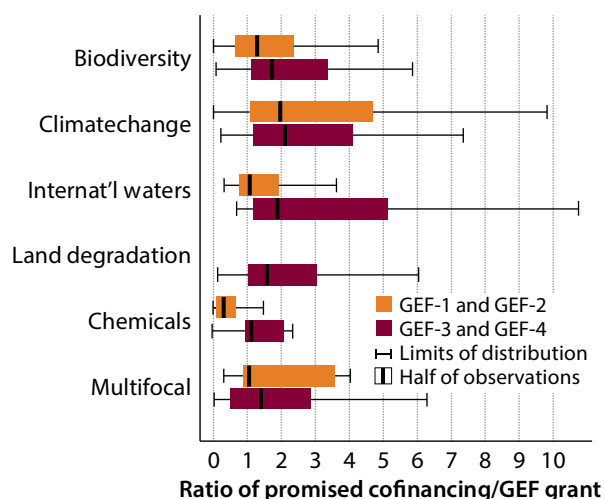
South Africa by UNDP (Sustainable Public Transport and Sport: A 2010 Opportunity, GEF ID 2604), which is reported to have realized some \$1.8 billion in cofinancing.

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

Focusing on completed GEF-1 through GEF-4 projects, figure 4.2 shows the distribution of project-level cofinancing ratios by GEF focal area. As shown, cofinancing ratios have increased across all focal areas, but with considerable variability both between and within areas. Climate change projects tend to have the highest cofinancing ratios, and—according to data from the GEF Project Management Information System—have accounted for

some 50 percent of total promised cofinancing to date. The large degree of cofinancing ratio variability in climate change and international waters projects reflects the diversity of approaches, partners, and operational contexts found in projects developed under these two focal areas. Among completed GEF-3 and GEF-4 international waters projects, the promised cofinancing ratio ranges from some 70 cents per dollar of GEF grant for the Development and Implementation of Mechanisms to Disseminate Lessons Learned and Best Practices in Integrated Transboundary Water Resources Management in Latin America and the Caribbean project (GEF ID 1426) to over \$42 in cofinancing per dollar of GEF grant for the Guangdong—Pearl River Delta Urban Environment (GEF ID 2135) project implemented in China. Cofinancing ratios tend to be lowest among chemicals focal area projects—a consequence of the relative scarcity of additional funding sources for this work, and because a significant proportion of the completed projects have tended to focus on national-level planning and facilitating an enabling environment.

**FIGURE 4.2** Distribution of Project-Level Cofinancing Ratios for Completed GEF Projects, by Focal Area and GEF Phase Groupings

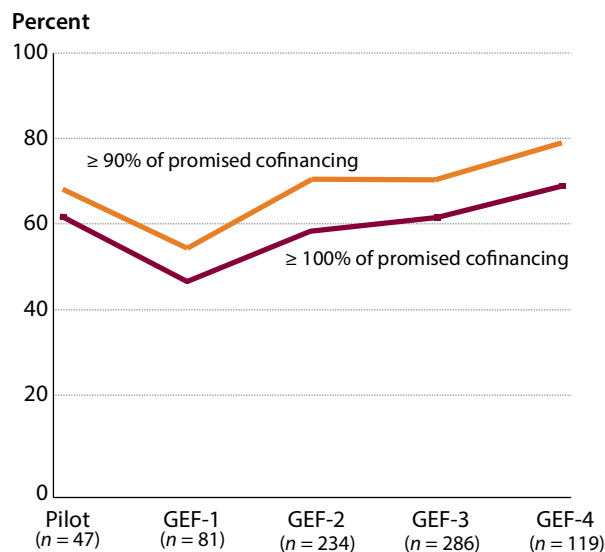


**NOTE:** Figures exclude outside values (those  $\geq 1.5 \times$  interquartile range above the upper quartile). A separate GEF strategy was developed for land degradation in GEF-3, after which projects directly addressing this focal area emerged.

Figure 4.3 shows the percentage of completed projects that have realized at least 90 percent and at least 100 percent of promised cofinancing. An increasing percentage of projects have fulfilled or exceeded their original cofinancing commitments over time, from 60 percent of pilot phase projects realizing 100 percent or more of promised cofinancing, to 69 percent of completed GEF-4 projects. Similarly, 79 percent of completed GEF-4 projects realized 90 percent or more of promised cofinancing compared with 68 percent of pilot phase projects.

Some variability is seen among focal areas and regions in terms of the percentage of promised cofinancing realized at the project level (tables 4.5 and 4.6). By focal area, a smaller share of climate change projects have realized at least 90 percent of promised cofinancing compared to other focal area projects. Sixty-two percent of completed climate change projects ( $n = 192$ ) have realized at

**FIGURE 4.3** Percentage of Completed GEF Projects Realizing High Levels of Promised Cofinancing, by GEF Phase



**NOTE:** Covers all completed GEF projects to date with data on realized cofinancing ( $n = 771$ ).

least 90 percent of promised cofinancing compared to 73 percent of non-climate change projects ( $n = 579$ ), with this difference statistically significant at a 95 percent confidence level. While the total amount of realized cofinancing among completed projects exceeds the total amount promised (\$11.4 billion versus \$9.6 billion), at the project level, a significant share of climate change projects fail to realize expected levels of cofinancing.

Among regions, global projects have on average realized a higher percentage of promised cofinancing than other projects, with 79 percent of completed global projects ( $n = 77$ ) realizing 90 percent or more of promised cofinancing compared to 69 percent of nonglobal projects ( $n = 694$ ). This difference is significant at a 90 percent confidence level. Also of note, among more recent GEF-3 and GEF-4 projects, a smaller share of projects implemented in African states have realized 90 percent or more of promised cofinancing compared to projects implemented in non-African

states. Sixty-four percent of completed GEF-3 and GEF-4 projects implemented in Africa have realized 90 percent or more of expected cofinancing, compared to 75 percent of non-African projects, with the difference significant at a 95 percent confidence level.

Table 4.7 shows the percentage of total promised cofinancing realized by GEF partner Agency by GEF phase. At the portfolio level, the GEF Agencies have been very consistent in helping meet or exceed cofinancing commitments. The percentage of total promised cofinancing realized has risen from 83 percent in GEF-1 to 288 percent in GEF-4. As noted previously, these figures are likely to change as coverage of phases increases over time. Especially for GEF-4, the figures for percentage materialization are likely to regress toward those for other replenishment periods.

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

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

This section presents ratings on the quality of M&E system design and implementation in completed GEF projects. To date, 847 completed projects have been rated on quality of M&E design, and 763 completed projects have been rated on quality of M&E implementation.

Policies guiding the results-based monitoring systems of the GEF—of which project-level M&E systems are one component—have changed since the GEF was established in 1991. While the GEF's

**TABLE 4.5 Percentage of Completed GEF Projects Reporting High Levels of Realization of Cofinancing, by Focal Area and GEF Phase**

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

**NOTE:** n.a. = not applicable. All phases includes four projects from GEF-5. Figures in parentheses are numbers of projects. Data exclude projects approved without any cofinancing. \* = the difference in the share of climate change and non-climate change projects realizing ≥100 percent of promised cofinancing is statistically significant at a 90 percent confidence level. \*\* = the difference in the share of climate change and non-climate change projects realizing ≥90 percent of promised cofinancing is statistically significant at a 95 percent confidence level.

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

**TABLE 4.6 Percentage of Completed GEF Projects Reporting High Levels of Realization of Cofinancing, by Region and GEF Phase**

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

**NOTE:** n.a. = not applicable. All phases includes four projects from GEF-5. Figures in parentheses are numbers of projects. Data exclude projects approved without any cofinancing. \* = the difference in the share of climate change and non-climate change projects realizing ≥100 percent of promised cofinancing is statistically significant at a 90 percent confidence level. \*\* = the difference in the share of projects from within and outside this grouping realizing ≥90 percent of promised cofinancing is statistically significant at a 90 percent confidence level (e.g., the difference in share of African and non-African GEF-3 projects).

**TABLE 4.7 Percentage of Total Promised Cofinancing Realized by GEF Agency and Phase**

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

**NOTE:** n.a. = not applicable. Figures in parentheses are numbers of projects. All phases includes four projects from GEF-5. Data are for all projects completed to date with data on realized cofinancing and exclude projects approved without any cofinancing.

three founding Implementing Agencies—the World Bank, UNDP, and UNEP—have M&E policies governing project-level activities that predate their partnership with the GEF, it was not until May 1997 that the GEF Council approved its own framework for M&E (GEF 1996). A stated principle of this M&E framework is that it was designed to “build on the existing systems of the Implementing Agencies,” while facilitating harmonization of M&E practices across the partnership sufficient to track, analyze, and assess GEF-wide objectives and performance in a fair and consistent manner (GEF 1996). Among other principles, the framework document establishes that all GEF projects would utilize a logical framework in project planning that identifies links between goals, objectives, outputs, and inputs, along with the use of verifiable indicators. Minimum standards would also include establishment of a baseline and a dedicated budget for M&E funded by project resources.

Building on these principles, the GEF Evaluation Office developed an M&E Policy in 2006. This policy lays out the minimum requirements for project-level monitoring and reporting, including the use of SMART indicators,<sup>2</sup> the establishment of a baseline against which to measure and report progress, the establishment of roles and responsibilities, the inclusion of a budget for M&E

<sup>2</sup>SMART indicators are specific; measurable; achievable and attributable; relevant and realistic; and time-bound, timely, trackable, and targeted.

activities, the kinds of evaluations required for projects with differing amounts of GEF funding, and the application of M&E plans. The 2006 policy was updated in 2010 to—among other items—include reference to the GEF’s new results-based management and other policies introduced in GEF-5, and provide a stronger role for GEF operational focal points in M&E (GEF IEO 2010b). The 2010 policy remains in effect, and a revision to the GEF results-based management system, in support of GEF-6 operations, is currently being developed by the GEF Secretariat.

Changes in the guidance and requirements governing the design and use of M&E systems in GEF projects present some challenges in assessing and interpreting ratings of these systems over time. While ratings reported in APRs are assessed principally on the evidence presented in the terminal evaluations of completed projects, assessments and ratings of M&E design and implementation were often missing from earlier-year terminal evaluations. Where ratings are missing and where possible, the GEF Independent Evaluation Office has assessed quality of M&E design and implementation based on evidence provided in the approved project document(s), project monitoring reports, and terminal evaluations.

Because expectations and requirements for project-level M&E systems in GEF projects have changed over time, the possibility exists that assessments of the quality of project-level M&E systems made today would differ had those reviews been based on identical evidence but performed in

the past. APR 2014 includes M&E ratings of several pilot and GEF-1 phase projects that were assessed by the GEF Independent Evaluation Office in FY 2014. It is important to note that the large majority of ratings on M&E presented in the APR are those that were assessed contemporaneously with project completion and review.

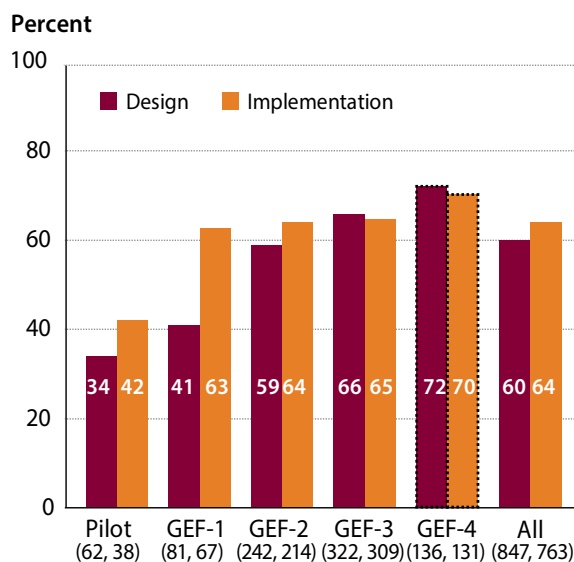
For reporting in APRs, a six-point rating scale is used to assess M&E design and M&E implementation, with the following categories:

- **Highly satisfactory.** The project had no shortcomings in M&E design/implementation.
- **Satisfactory.** The project had minor shortcomings in M&E design/implementation.
- **Moderately satisfactory.** The project had moderate shortcomings in M&E design/implementation.
- **Moderately unsatisfactory.** The project had significant shortcomings in M&E design/implementation.
- **Unsatisfactory.** The project had major shortcomings in M&E design/implementation.
- **Highly unsatisfactory.** There was no project M&E design/implementation.

Figure 4.4 presents ratings on M&E design and implementation for completed projects by GEF replenishment phase. A very pronounced rise in the percentage of projects rated as having a satisfactory quality of M&E design is discernible over time: from 34 percent of pilot phase projects with satisfactory M&E design ratings ( $n = 62$ ) to 72 percent of GEF-4 projects ( $n = 136$ ). The difference in the share of projects with satisfactory M&E design ratings between pilot and GEF-1 projects and subsequent phase projects is statistically significant at a 95 percent confidence level.

Ratings on quality of M&E implementation also rise considerably from the pilot phase, although improvements in ratings from GEF-1

**FIGURE 4.4** Percentage of Completed GEF Projects with M&E System Design/Implementation Rated Moderately Satisfactory or Above, by GEF Phase



**NOTE:** Dashed lines indicate low reporting coverage of GEF-4 phase. Figures in parentheses are numbers of projects.

onwards are more incremental compared with those of M&E design. As with M&E design ratings, the difference in the share of projects with satisfactory M&E implementation ratings between pilot and GEF-1 projects and subsequent phase projects is statistically significant at a 95 percent confidence level.

While improvements in M&E ratings are positive, the finding that some 30 percent of completed GEF-4 projects have unsatisfactory M&E design and implementation ratings indicates that a sizable gap still exists between the stated M&E goals of the GEF partnership and actual practice.

Tables 4.8 and 4.9 present M&E design and implementation ratings by GEF partner Agency and replenishment phase. The tables show a substantial increase in the M&E design ratings for UNDP-implemented projects from GEF-2 onwards. World Bank ratings for M&E design also show a similar increasing trend up to GEF-2. For GEF-3,

the World Bank ratings show a dip. Although the rating improves for GEF-4, the observations and coverage of this phase are not yet sufficient to draw a clearer picture. No meaningful inferences can be drawn for UNEP in the pilot and GEF-1 phases given the small number of observations available. However, UNEP too shows significant improvements from GEF-2 to GEF-3. Large, statistically significant, improvements in M&E design ratings are seen in the ratings of projects from these groupings implemented by UNDP and UNEP.

Improvements in M&E design were also confirmed on a smaller set of projects through three quality of entry reviews done in FY 2005, 2008, and 2011. Improvements in M&E design identified in these studies include more widespread use of SMART indicators, a larger share of projects

specifying targets for objectives and outcomes, and allocation of a dedicated budget for M&E activities (GEF IEO 2012).

It appears that for pilot phase projects implemented by UNDP, not only was M&E design at entry weak but also implementation of M&E (tables 4.8 and 4.9). The implementation approach shows improvement for the GEF-1 period, where the weaknesses in M&E design seem to have been rectified during implementation for a substantial percentage of projects, leading to an improved M&E implementation rating. A similar pattern is seen in the GEF-2 period for UNEP-implemented projects.

Table 4.10 presents trends in ratings on quality of M&E design by GEF focal area. There is general increasing trend in satisfactory ratings across

**TABLE 4.8 Completed GEF Projects with Satisfactory M&E Design Ratings, by GEF Agency and Replenishment Phase**

Agency	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
UNDP	33	30	37	30	66	82	72	149	66	85	63	376
UNEP	50	2	50	2	45	31	64	53	88	16	62	110
World Bank	33	30	49	37	62	117	53**	93	79	19	55	296
All projects	34	62	41	81	59	242	66	322	72	136	60	847

**NOTE:** Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5. \*\* = the difference in the share of World Bank and non-World Bank GEF-3 projects with satisfactory quality of M&E design ratings is statistically significant at a 95 percent confidence level.

**TABLE 4.9 Completed GEF Projects with Satisfactory M&E Implementation Ratings, by GEF Agency and Replenishment Phase**

Agency	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
UNDP	23	22	59	22	61	74	73	148	72	85	66	351
UNEP	100	1	100	4	67	30	65	52	81	16	70	105
World Bank	67	15	70	33	69	100	52**	85	60	15	63	248
All projects	42	38	63	67	64	214	65	309	70	131	64	763

**NOTE:** Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5. \*\* = the difference in the share of World Bank and non-World Bank GEF-3 projects with satisfactory quality of M&E implementation ratings is statistically significant at a 95 percent confidence level.

all focal areas, although the extent of improvement and periods of dramatic improvement differ. Table 4.11 presents trends in ratings on quality of M&E implementation. Although the overall

trend indicates improvement, the most dramatic improvement is seen from the pilot phase to GEF-1. Satisfactory M&E implementation ratings do not exhibit a consistent trend by focal area.

**TABLE 4.10 Completed GEF Projects with Satisfactory M&E Design Ratings, by Focal Area and Replenishment Phase**

Focal area	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
Biodiversity	34	41	41	44	62	123	68	136	73	48	60	393
Climate change	31	13	50	22	65	69	72	71	70	27	65	203
International waters	38	8	40	10	44	27	58	33	86	21	57	99
Land degradation	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	59	37	63	8	60	45
Chemicals <sup>a</sup>	n.a.	n.a.	0	4	18	11	55	11	75	16	47	43
Multifocal	n.a.	n.a.	0	1	58	12	62	34	56	16	59	64
All projects	34	62	41	81	59	242	66	322	72	136	60	847

**NOTE:** n.a. = not applicable. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

**TABLE 4.11 Completed GEF Projects with Satisfactory M&E Implementation Ratings, by Focal Area and Replenishment Phase**

Focal area	Pilot phase		GEF-1		GEF-2		GEF-3		GEF-4		All phases	
	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.
Biodiversity	35	26	65	40	64	113	68	126	84	44	66	350
Climate change	57	7	79	14	68	60	70	70	67	27	69	179
International waters	60	5	44	9	57	23	55	31	71	21	58	89
Land degradation	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	76	37	75	8	76	45
Chemicals <sup>a</sup>	n.a.	n.a.	33	3	67	9	36	11	67	15	56	39
Multifocal	n.a.	n.a.	0	1	56	9	47	34	38	16	46	61
All projects	42	38	63	67	64	214	65	309	70	131	64	763

**NOTE:** n.a. = not applicable. Details may not sum to 100 percent due to rounding. All phases includes four projects from GEF-5.

a. Projects included in the chemicals focal area include both those in the persistent organic pollutants focal area to support implementation of the Stockholm Convention and those 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 in a single GEF focal area.

# 5. Lessons from Terminal Evaluations of Completed GEF Projects

Lessons from 603 terminal evaluations—representing about two-thirds of the portfolio of completed projects covered in APR 2014—were assessed. To the extent that the lessons were found to meet criteria for relevance and usefulness, they were classified into different groupings. In all, 594 lessons from 293 terminal evaluations met the criteria for inclusion. These lessons were classified into 4 broad categories and 47 subcategories, using an iterative approach that relied principally on the lessons and narrative of the terminal evaluations to identify and guide the formulation of the classification groupings (see [section 5.2](#)). Lessons from terminal evaluations highlight weaknesses in project design, the most commonly cited of which were weaknesses in M&E design, overly ambitious project objectives, and weaknesses in intervention strategies.

## 5.1 Background

In undertaking an evaluation of GEF-funded work, evaluators are requested to include a synthesis of key lessons and recommendations based on project experiences. These lessons are intended to provide further documentation of project experiences, as well as help inform the design and operation of ongoing and subsequent projects and programs. The GEF Independent Evaluation Office has in the past undertaken targeted analyses based on the lessons and other narrative evidence presented in

terminal evaluation reports. APR 2008 included a substudy examining lessons from underperforming projects, and APR 2012 expanded on this approach to identify factors attributed to high and low project performance (GEF IEO 2009a, 2013). Many of the findings presented in this study—in particular, the finding that perceived weaknesses in project design are the most frequently cited shortcoming in terminal evaluation lessons—were noted in these earlier studies as well, although further detail is provided here on the kinds of design weaknesses highlighted.

The present study benefits from a larger pool of terminal evaluations from which to draw upon, including expanded coverage of early-phase GEF projects. It is informed by a similar undertaking conducted by UNEP’s Evaluation and Oversight Unit in 2007 (Spilsbury et al. 2007).

## 5.2 Methodology

A stratified random sample of terminal evaluations of completed GEF projects was performed, ensuring that evaluations from multifocal projects, projects implemented in SIDS, and jointly implemented projects—three groupings identified in portfolio-wide analysis as being of interest because of lower performance along one or more dimensions—were proportionally represented among assessed evaluations. Drawing from the pool of randomly selected evaluations, lessons from 603 terminal evaluations



were assessed to determine if they met three broad criteria for inclusion in the study:<sup>1</sup>

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

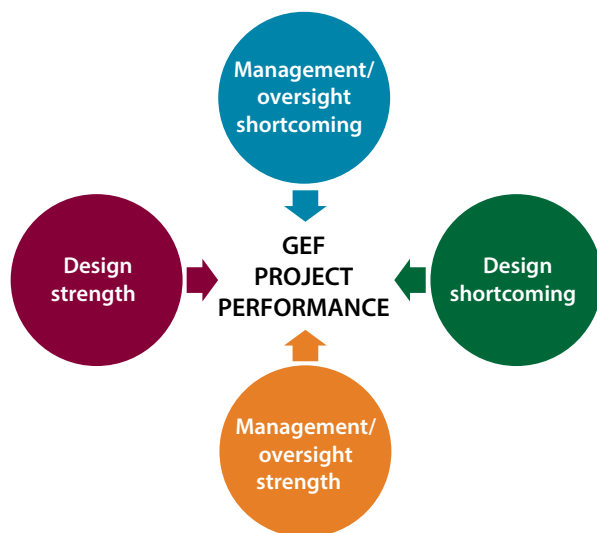
Lessons meeting the above criteria were then classified using an approach similar to that employed by Spilsbury et al. (2007). The first 50 lessons were surveyed to identify and condense each key point expressed in a lesson into a single sentence. Lessons were then organized into related, non-overlapping clusters through group discussion leading to consensus. Clusters were structured into hierarchies moving from four broad classes of lessons to more specific subgroupings. After the initial exercise, which established the broad architecture used to classify and group lessons, the process was streamlined and performed independently by three members of the study team. Further subclasses were added as needed to capture lessons meeting the initial criteria for inclusion, but which were found to represent new, non-overlapping subgroupings. All classified lessons were recorded on templates that identified the terminal evaluation generating the lesson.

The classification system that emerged is illustrated in figures 5.1–5.5. In all, out of 603 randomly selected terminal evaluations, 594 lessons from 293 terminal evaluations met criteria for inclusion and were classified.

The process of grouping similar but distinct narratives into categories and subclasses involves

<sup>1</sup> Terminal evaluations are frequently inconsistent in differentiating between lessons and recommendations. For this study, both lessons and recommendations were assessed to see if they met criteria for inclusion. The large majority of lessons presented in this study were also classified as lessons in their respective terminal evaluation.

**FIGURE 5.1 Broad Categories of Terminal Evaluation Lessons**



choices that limit and exclude information. In this study, evaluators sought to define categories that were non-overlapping and clearly defined, while small enough in number to facilitate analysis of overall trends. At the same time, a fair amount of subjectivity in the design and use of the classification system employed is acknowledged.

### 5.3 Findings

Around half (51 percent) of all assessed evaluations failed to generate lessons satisfying the above criteria for inclusion in this study. This finding, while noteworthy and similar to results from Spilsbury et al. (2007), should not be interpreted as signifying that half of all terminal evaluations fail to generate useful lessons. Many lessons, such as those addressing experiences with a specific technology or issues specific to a subclass of projects, are potentially of interest to stakeholders focusing on those respective areas. Their exclusion from this substudy is a reflection of the overall aims of this exercise, which seeks to provide an exposition of lessons seen as having a *broader* application throughout the GEF portfolio of work. At the same time, the GEF may wish to include further

FIGURE 5.2 Design Strength Classification Tree

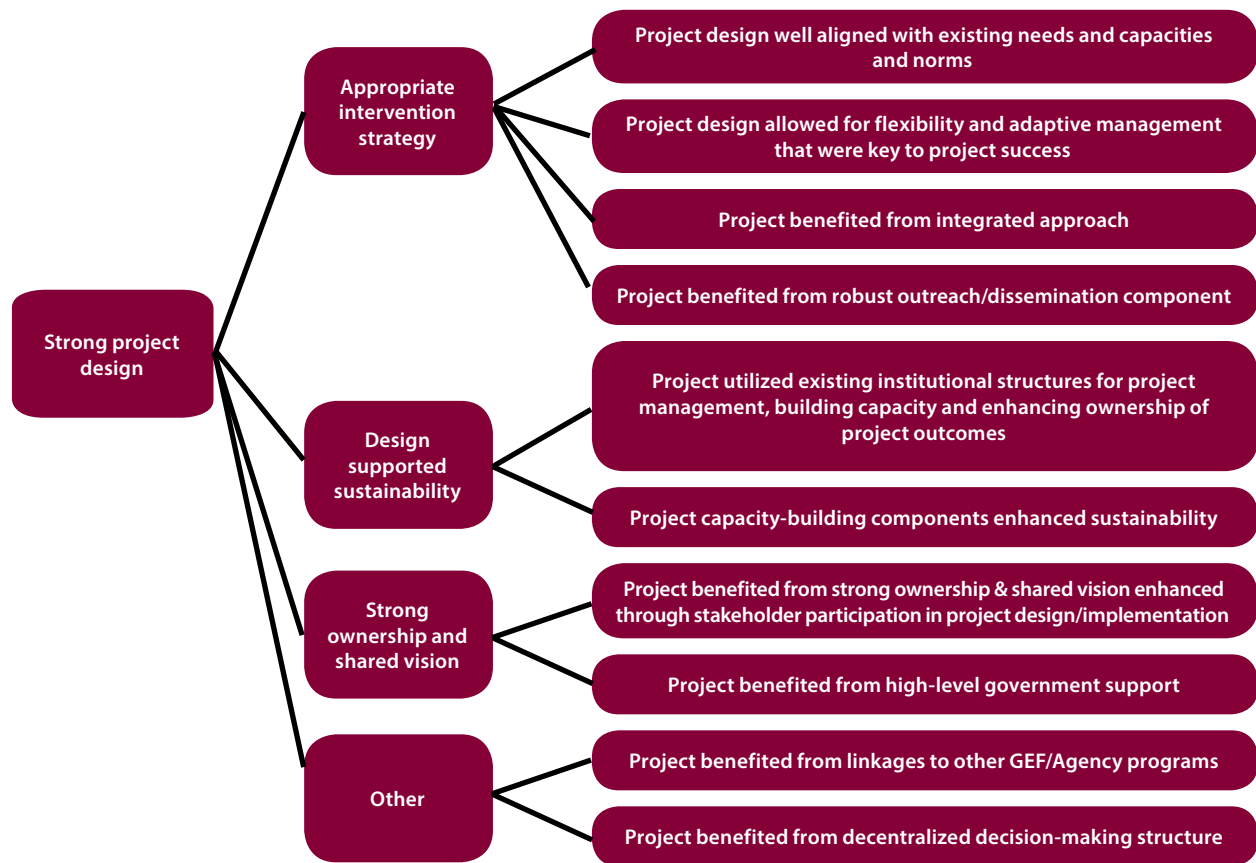


FIGURE 5.3 Management/Oversight Shortcoming Classification Tree

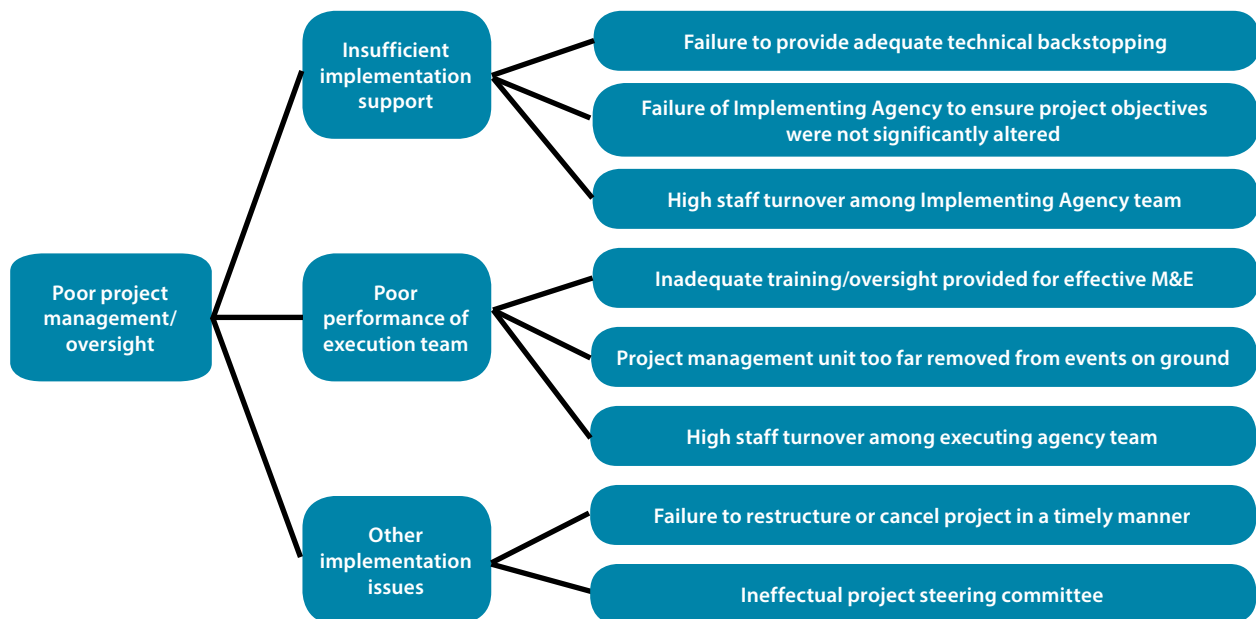


FIGURE 5.4 Design Shortcoming Classification Tree

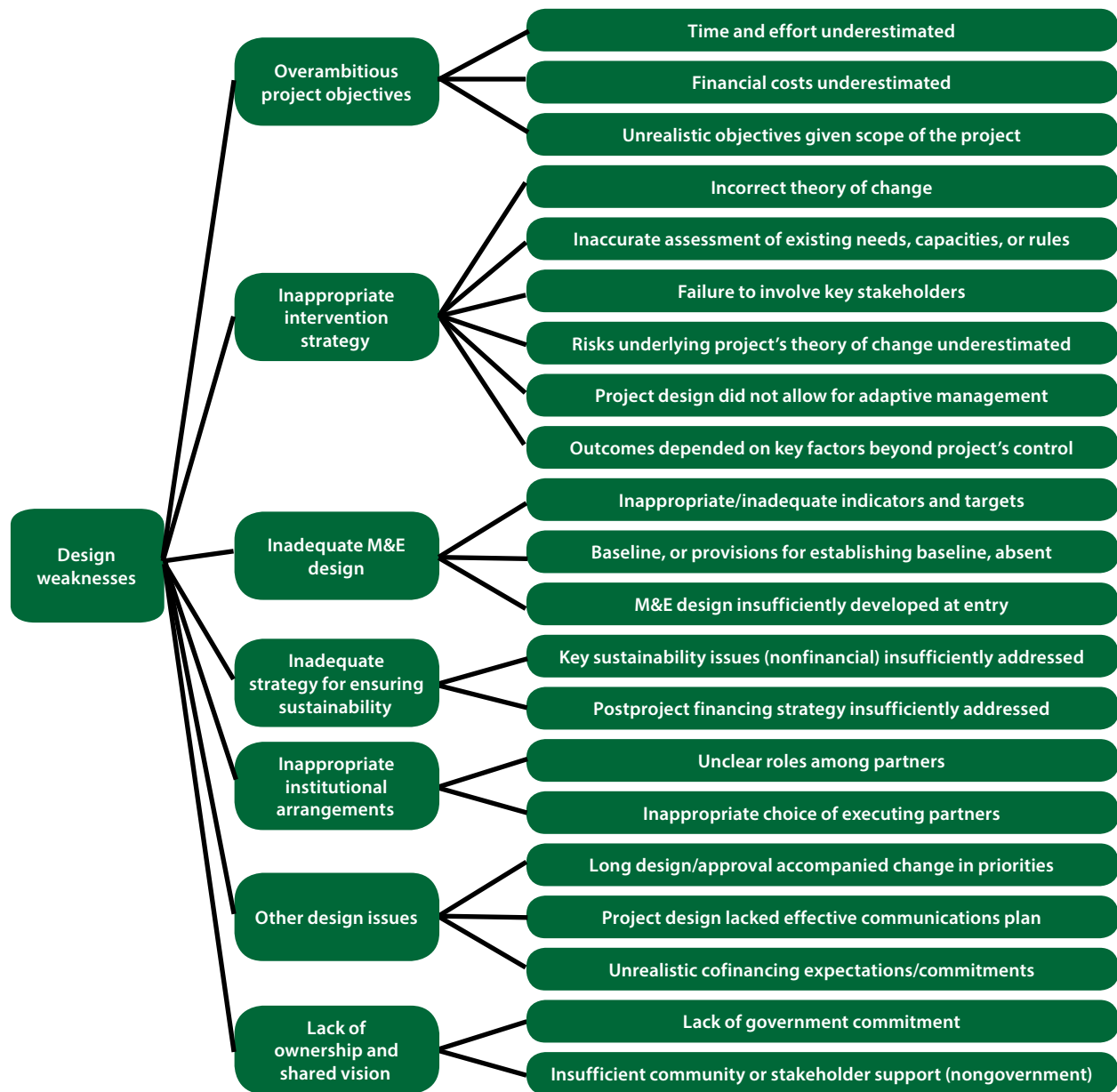
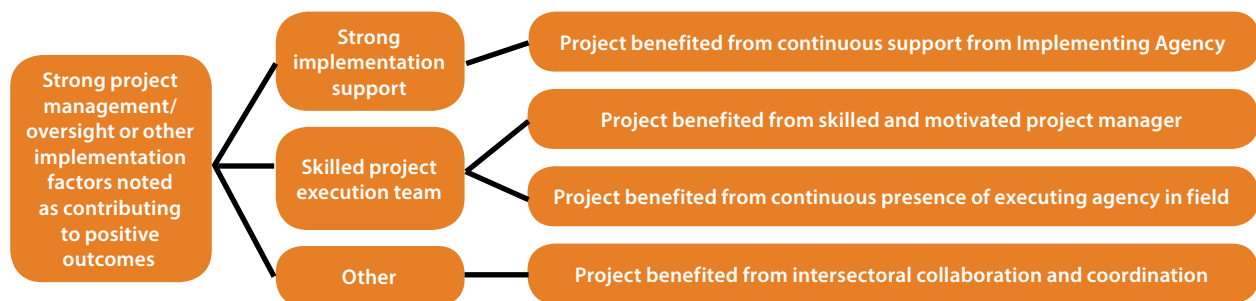


FIGURE 5.5 Management/Oversight Strength Classification Tree

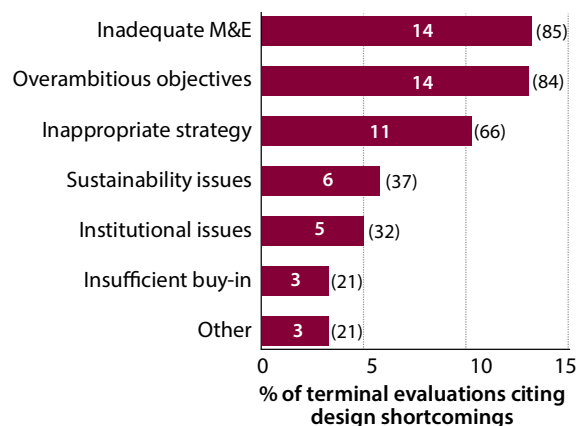


guidance on the development of lessons in the next update to the GEF M&E Policy, so as to ensure that a greater number of evaluations capture these kinds of lessons. Of note, no significant difference in the percentage of evaluations generating lessons that meet the above criteria is found when sorting evaluations by GEF replenishment phase.

Among the lessons satisfying the criteria for inclusion in this study (table 5.1), those highlighting project design shortcomings were by far the most common (65 percent), followed by those highlighting project design strengths (17 percent), poor project management or oversight (13 percent), and those highlighting positive project management or oversight factors (5 percent). While a number of terminal evaluations ( $n = 93$ ) have lessons in more than one category, it is worth noting that outcome ratings among projects with lessons highlighting weaknesses in project design and implementation are on average lower than those with lessons highlighting strengths in project design and oversight (71 percent and 59 percent of terminal evaluations with outcome ratings of moderately satisfactory or above, respectively, compared with 89 percent and 93 percent, respectively). This finding suggests a link between overall project performance and the factors highlighted in this study's lessons.

Figure 5.6 shows the percentage of assessed terminal evaluations with one or more lessons citing weaknesses in project design, by the subclass (or type) of design shortcoming. The two most frequently cited design weaknesses were those

**FIGURE 5.6** Percentage of Assessed Terminal Evaluations with Lessons Citing Various Design Shortcomings



**NOTE:** Bars show the percentage of assessed terminal evaluations ( $n = 603$ ) with lesson(s) citing type of design weakness.

pertaining to shortcomings in the design of project M&E systems, and overly ambitious project objectives—each present in some 14 percent of assessed evaluations—followed by lessons highlighting weaknesses in the project's intervention strategy (11 percent of assessed evaluations).

The relatively large number of evaluations citing M&E weaknesses is in line with overall performance ratings on M&E design, which find that among all completed and rated projects ( $n = 847$ ), 40 percent of projects have unsatisfactory M&E design ratings (see section 4.4). The large majority of lessons citing weaknesses in M&E design focused on perceived shortcomings in the choice

**TABLE 5.1** Classification of Lessons Meeting Study Criteria

Category	Number of lessons	% of total	Number of evaluations containing lesson type
Project design shortcoming	386	65	219
Project design strength	99	17	73
Project management/oversight shortcoming	80	13	67
Project management/oversight strength	29	5	27
Total	594	100	293

**NOTE:** Ninety-three terminal evaluations in the study had lessons in more than one category; thus total evaluations are less than sum.

or absence of indicators and targets (63 percent), followed by those that found the design of project M&E systems to be insufficiently developed at entry (21 percent).

Other trends emerge when lessons are sorted by GEF focal area. Among assessed evaluations, multifocal projects were more than twice as likely to have lessons citing weaknesses in M&E design compared with projects from other focal areas. Chemicals focal area projects—of which there are fewer—were more than three times as likely to have lessons citing weaknesses in M&E design compared with projects from other focal areas. Differences in the shares of multifocal and single-focal area projects, as well as differences in the shares of chemicals and nonchemicals focal area projects, with evaluative lessons citing weaknesses in M&E design are statistically significant at a 95 percent confidence level.

Overly ambitious objectives—the second most frequently cited type of design weakness in terminal evaluation lessons—were, in order of frequency, underestimation of time and effort required (56 percent), unrealistic objectives given the scope of the project (31 percent), and underestimation of financial costs (14 percent).<sup>2</sup> Notably, no appreciable difference is found in the percentage of terminal evaluations citing this issue for FSPs versus MSPs, or when projects are sorted by region or GEF Agency. Projects in the biodiversity focal area were slightly more likely to have terminal evaluation lessons noting overambitious objectives compared to those in other focal areas (17 percent versus 11 percent); this difference is statistically significant at a 95 percent confidence level. A relatively high percentage of terminal evaluations for projects in the international waters focal area also cite this issue (18 percent); this finding is not

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<sup>2</sup> Percentages reflect total number of lessons in the study citing overly ambitious objectives of any kind ( $n = 95$ ).

statistically significant, reflecting the lower number of observations.

Shortcomings in a project's intervention strategy encompasses a wide range of issues. The three issues most commonly cited, in order of frequency, are an inaccurate assessment of existing needs, capacities, or rules and procedures (45 percent); underestimation of risks to the project's theory of change, or inadequate provisions to address risks (18 percent); and failure to involve key stakeholders in project design and implementation.<sup>3</sup> No significant differences were found in the percentage of evaluations with lessons citing shortcomings in intervention strategies when evaluations were grouped by replenishment phase, GEF Agency, focal area, or region.

Among evaluations with lessons highlighting perceived strengths in project design ( $n = 73$ ), a third highlighted the key role played by stakeholder participation in project design and/or implementation in fostering ownership and a shared vision among project stakeholders.<sup>4</sup> The next most frequently cited strength (14 percent of evaluations) described, in one way or another, how the project benefited from a flexible design that facilitated adaptive management during project implementation.

A relatively smaller number of terminal evaluations had lessons citing weaknesses in project management or oversight ( $n = 67$ , or 11 percent of all assessed evaluations). The three most commonly cited management or oversight shortcomings were inadequate training or oversight provided for effective M&E (24 percent), failure to restructure or cancel the project in a timely manner (20 percent), and failure to provide adequate technical backstopping

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<sup>3</sup> Percentages reflect total number of lessons in the study citing shortcomings of any kind in intervention approach ( $n = 73$ ).

<sup>4</sup> Percentages reflect total number of lessons in the study citing strengths of any kind in project design ( $n = 99$ ).

(18 percent).<sup>5</sup> Of note, the percentage of evaluations with lessons citing project management or oversight shortcomings from projects implemented in SIDS and projects under joint evaluation was higher than for projects outside these groupings. Twenty percent of assessed evaluations (14 of 70) from projects implemented in SIDS had lessons citing weaknesses in project management or oversight, compared with 10 percent of non-SIDS evaluations (53 out of 533 terminal evaluations); this difference is statistically significant at a 95 percent confidence level. Similarly,

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<sup>5</sup> Percentages reflect total number of lessons in the study citing shortcomings of any kind in project management or oversight ( $n = 80$ ).

18 percent of evaluations of jointly implemented projects had lessons citing shortcomings in project management or oversight compared with 11 percent of nonjoint project evaluations; this difference is not statistically significant, however.

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

## 6. Quality of Terminal Evaluation Reports

This chapter presents an assessment of the quality of terminal evaluations of completed GEF projects that have been submitted to the GEF Independent Evaluation Office by the GEF Agencies. It also highlights issues regarding the evaluation of projects approved under GEF programmatic approaches.

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

As noted in [chapter 2](#) and described in full in [annex B](#), terminal evaluation reports are assessed and rated by the GEF Independent Evaluation Office on the basis of the following criteria:

- Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators, if applicable?
- Was the report consistent, the evidence complete and convincing, and the ratings substantiated?
- Did the report present a sound assessment of sustainability of outcomes?

- Were the lessons and recommendations supported by the evidence presented?
- Did the report include the actual project costs (total and per activity) and actual cofinancing used?
- Did the report include an assessment of the quality of the project M&E system and its use in project management?

Performance on each of these criteria is rated on a six-point scale from highly satisfactory to highly unsatisfactory. The overall rating for the terminal evaluation is a weighted average of the six subratings, with the first two subratings receiving more weight than the other four (see [annex B](#)). The evaluation offices of GEF partner Agencies generally use an identical or comparable approach to the rating of terminal evaluation quality.

### 6.1 Findings

As shown in [table 6.1](#), the overall quality of terminal evaluations received over the past eight years by the GEF Independent Evaluation Office from the three original GEF Agencies, as well as from other GEF partners, is high. Of the 626 terminal evaluations produced in calendar years 2007–14, 86 percent have received satisfactory ratings for overall quality. A small (~5 percent) difference in the percentage of terminal evaluations with satisfactory overall quality ratings is seen when evaluations are sorted based on project size, with

**TABLE 6.1** Quality of Terminal Evaluations Prepared by the GEF Agencies in Calendar Years 2007–14

Agency	2007–10 evaluations		2011–14 evaluations		2007–14 evaluations	
	No. rated	% rated moderately satisfactory or above	No. rated	% rated moderately satisfactory or above	No. rated	% rated moderately satisfactory or above
UNDP	110	87	205	81	315	83
UNEP	42	90	39	97	81	94
World Bank	110	86	90	88	200	87
Other	7	71	23	83	30	80
All Agencies	269	87	357	85	626	86

a smaller share of MSP evaluations rated satisfactorily compared to FSPs. Over the 2007–14 time period, more than 80 percent of MSP evaluations have received satisfactory overall quality ratings.

Two areas where reporting has remained relatively weak are financial reporting and quality of M&E systems (table 6.2). Among terminal evaluation reports produced over the past eight years, 72 percent have satisfactory ratings for financial reporting and 65 percent have satisfactory ratings for M&E reporting, compared with 86 percent overall satisfactory ratings for the same period.

APR 2014 includes the results of a study examining findings from lessons contained in terminal evaluations of GEF projects (chapter 5). One finding of this study was that around half of all terminal evaluations assessed ( $n = 603$ ) did not contain lessons seen as having broad applicability across the GEF partners. As noted in chapter 5, the GEF may wish to include further guidance on developing lessons in the next update of the GEF

M&E Policy so as to ensure that a greater number of evaluations capture lessons seen as having value for a wide cross-section of the GEF.

## 6.2 Issues Concerning Reporting on Projects implemented under a Programmatic Approach

At its December 1999 meeting, the GEF Council endorsed the provision of GEF support to countries through a programmatic approach. This modality poses particular reporting challenges. Specifically, the current GEF M&E Policy stipulates that all FSPs and all programs be evaluated at the end of their implementation (GEF IEO 2010b). However, guidance is lacking on the evaluative requirements of child projects implemented under programmatic approaches. That is, the M&E Policy does not specify whether project evaluations are to be undertaken and submitted for these child projects in addition to an overall programmatic evaluation,

**TABLE 6.2** Percentage of Terminal Evaluations Rated Moderately Satisfactory or Above for Quality of Reporting on Selected Performance Dimensions

Reporting metric	2007–10 evaluations	2011–14 evaluations	2007–14 evaluations
Financial reporting	70	73	72
Quality of M&E systems	65	66	65
Overall quality of terminal evaluation	89	84	86
Number of rated evaluations <sup>a</sup>	247	297	544

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



or whether the requirements and expectations of child project evaluations are the same as for stand-alone projects of similar funding size.

To date, the GEF Agencies have been inconsistent in evaluating projects developed under programmatic approaches. Examples of these differing reporting tacks for completed and ongoing programmatic approaches follow.

- Agencies have submitted evaluations of child projects approved under a programmatic approach, but not of the overall programmatic approach itself; an example is the Vietnam Country Program Framework for Sustainable Forest Land Management (GEF ID 2762) undertaken as part of the GEF's Sustainable Forest Management Program.
- The World Bank submitted an evaluation of a programmatic approach (FC-1: Fuel Cells Financing Initiative for Distributed Generation Applications (Phase 1), GEF ID 1685), but not of

the completed child FSP under this programmatic approach (South Africa subproject, GEF ID 3022).

- UNDP submitted evaluations for two of three approved child projects, along with an evaluation of the programmatic approach (CPP Namibia: Country Pilot Partnership for Integrated Sustainable Land Management, Phase 1, GEF ID 2439).
- UNEP submitted an evaluation covering 15 MSPs focused on implementation of National Biosafety Frameworks, under the GEF Biosafety Program. It is not possible to discern individual project performance ratings for the MSPs using the information provided in the UNEP portfolio evaluation, and the portfolio evaluation received does not cover the entire GEF Biosafety Program.

The GEF Independent Evaluation Office will aim to address programmatic approaches in future APRs.

## 7. Management Action Record

The GEF 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 made on the basis of GEF Independent Evaluation Office recommendations. The MAR serves two purposes:

(1) to provide Council with a record of its decision on the follow-up of evaluation reports, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF management regarding Council decisions on monitoring and evaluation issues. (GEF IEO 2005)

The MAR was first presented in APR 2005 and has since been presented annually to the Council through the APR. In the past 10 years, the GEF Independent Evaluation Office has gained experience in tracking actions on Council decisions and has been exploring ways to streamline the process. Feedback from the GEF Secretariat and the GEF Agencies has further indicated that the process is burdensome and needs to be simplified. Beginning this year, the Office has streamlined its approach to the MAR. Two key changes have been made.

- **Not all of the Council decisions tracked through MAR will be reported on an annual basis.** While progress on the adoption of some Council decisions may be tracked through the Office's regular work, tracking progress on other decisions requires a thorough assessment to determine their adoption. For example,

decisions on mainstreaming of gender concerns, building the capacity of civil society organizations, and improving supervision are directional in nature and require thorough analysis to assess progress. Also, recommendations related to improvement of strategies and policies are better tracked at the time when these strategies and policies are being designed. Similarly, changes in focal area strategies and tracking tools are linked to the GEF replenishment cycle. Coverage of these issues is more feasible and appropriate through detailed assessments or through comprehensive evaluation of the GEF.

- **Where appropriate, decisions may be graduated from the MAR if a rating of substantial adoption or higher has been achieved.** Previously, decisions were graduated only if a rating of high adoption had been achieved. This approach works well in most situations, but not where assessment yardsticks are affected by escalating expectations. For example, a decision may seek improvements in information systems, but by the time specific actions are taken, expectations for such systems may have escalated—thus leading to a situation where a decision might never be graduated, as its adoption is never likely to be rated high.

These two changes mean that each year, at the start of the MAR process, the GEF Independent Evaluation Office will determine 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 GEF Independent Evaluation Office would list these decisions as those for which reporting has been deferred along with information on when and how the adoption of the decision will be assessed in future. The decisions that where deferment is not necessary will be reported on annually.

MAR 2014 tracks 22 separate GEF Council decisions: 20 that were part of MAR 2013, and 2 new decisions that emerged from the May 2014 GEF Council meeting. Of these 22, MAR 2014 reports on the level of adoption of 18 decisions. In addition to GEF Council decisions, since APR 2012, the Office has also tracked adoption of the decisions of the LDCF/SCCF Council. One decision from the LDCF/SCCF Council is tracked in MAR 2014.

## 7.1 Rating Approach

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

- **High**—fully adopted and fully incorporated into policy, strategy, or operations
- **Substantial**—largely adopted but not fully incorporated into policy, strategy, or operations as yet
- **Medium**—adopted in some operational and policy work, but not to a significant degree in key areas
- **Negligible**—no evidence or plan for adoption, or plan and actions for adoption are in a very preliminary stage
- **Not rated or not possible to verify yet**—ratings or verification will have to wait until more data are available or proposals have been further developed
- **N.A.**—not applicable or no rating provided (see commentary)
  - Council decisions may be dropped from the MAR for the following reasons:
    - **Graduation** due to high—or, where appropriate, substantial—level of adoption of the Council decision
    - **Retirement** as the Council decision has become less relevant, or subsequent Council decisions have made a high level of adoption of the decision difficult, or because further progress on adoption of the decision is likely to be slow and drawn out. An automatic reason for retirement would be if a decision has been reported on in the MAR for five years.

The GEF Independent Evaluation Office keeps track of the reasons for removing a decision from the MAR.

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

- “Annual Performance Report 2009” (GEF/ME/C.38/4, June 2010)
- “Evaluation of the GEF Strategic Priority for Adaptation” (GEF/ME/C.39/4, October 2010)
- “Annual Thematic Evaluations Report 2011” (GEF/ME/C.41/02, October 2011)
- “Evaluation of the Special Climate Change Fund” (GEF/LDCF.SCCF.11/ME/02, October 2011)
- “Annual Country Portfolio Evaluation Report 2012” (GEF/ME/C.42/03, May 2012)

- “Annual Thematic Evaluations Report 2012” (GEF/ME/C.43/02, October 2012)
- “GEF Annual Impact Report 2012” (GEF/ME/C.43/04, October 2012)
- “GEF Annual Impact Report 2013” (GEF/ME/C.45/2, October 2013)
- “Mid-Term Evaluation of the System for Transparent Allocation of Resources (STAR)” (GEF/ME/C.45/04, October 2013)
- “Mid-Term Evaluation of the National Portfolio Formulation Exercise (NPFE)” (GEF/ME/C.45/06, October 2013)
- “Annual Country Portfolio Evaluation Report 2014” (GEF/ME/C.46/04, May 2014)

Of the 22 GEF Council decisions tracked in MAR 2014, 4 were judged as requiring detailed assessments to ascertain progress in their adoption (table 7.1). The GEF Independent Evaluation Office will report on progress on these decisions when the required assessments have been undertaken.

## 7.2 Findings

Table 7.2 provides a comparison of the ratings given by GEF management and the GEF Independent Evaluation Office for the 18 decisions assessed for MAR 2014. Management and Office ratings were more likely to be the same where assessed level of adoption was rated medium or negligible. Assessments were more likely to differ where adoption was rated high or substantial by management. As has been the case in past years, Office ratings on adoption tend to be more conservative than those of management.

### GEF COUNCIL DECISIONS WITH ADOPTION RATED AT A HIGH OR SUBSTANTIAL LEVEL

The GEF Independent Evaluation Office assessed adoption of four decisions to be high. One called for incorporation of the lessons from implementation of national capacity self-assessment strategies during GEF-5 for application in GEF-6; the Office found that such incorporation had indeed occurred. A related decision called for the GEF

**TABLE 7.1 Council Decisions for Which GEF Independent Evaluation Office Reporting Is Deferred**

Decision	Evaluation	Future proposed Office assessment
To enable South-South cooperation activities as components of national, regional, and/or global projects	Annual Country Portfolio Evaluation Report 2012	Comprehensive evaluation of the GEF
Take 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	Annual Impact Report 2012	Evaluation of programmatic approaches
Council requests the Secretariat to include this emphasis [on broader adoption] and where necessary further strengthen it in the proposals for GEF-6	Annual Impact Report 2013	Comprehensive evaluation of the GEF
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	Annual Country Portfolio Evaluation Report 2014	Comprehensive evaluation of the GEF

**TABLE 7.2** GEF Management and GEF Independent Evaluation Office Ratings of Adoption of Council Decisions Tracked in MAR 2013

Management rating	GEF Independent Evaluation Office rating						Sum of management ratings
	High	Substantial	Medium	Negligible	Not rated/ not possible to verify yet	Not applicable	
High	4	3	1	0	0	0	8
Substantial	0	1	2	0	0	0	3
Medium	0	0	5	0	1	0	6
Negligible	0	0	0	1	0	0	1
Not rated/not possible to verify yet	0	0	0	0	0	0	0
Not applicable	0	0	0	0	0	0	0
<b>Sum of Office ratings</b>	<b>4</b>	<b>4</b>	<b>8</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>18</b>

**NOTE:** Highlighted cells show agreement between GEF management and GEF Independent Evaluation Office ratings; cells to the right of the highlighted diagonal represent higher ratings by management than by the Office (except in the case of not rated/not possible to verify yet).

Secretariat to make relevant national capacity self-assessment knowledge products available to GEF stakeholders, including GEF Agencies and GEF focal points. The Office concurred with management's response that this was being done through Extended Constituency Workshops.

Another decision asked GEF management to revisit the GEF's overall approach to capacity development in response to concerns voiced by the conventions when formulating the GEF-6 strategies. The Office determined that the conventions' concerns have been adequately addressed in the programming documents of the GEF-6 replenishment approved by the Council and communicated to the GEF Assembly.

The final decision rated as having been adopted at a high level entailed Council's request that, when preparing the GEF-6 System for Transparent Allocation of Resources (STAR) for Council consideration, limits for flexible use of focal area allocations for activities be increased for countries with marginal flexibility. Management's proposals for STAR for GEF-6 indeed increased the level of flexibility to \$2.0 million for all recipient countries with marginal flexibility.

The adoption of four decisions was assessed to be substantial. Two were related to the STAR, asking GEF management (1) to improve STAR indexes and (2) to ensure sufficient quality control in calculating STAR indexes. Substantial progress was made on both these decisions, although some aspects were not fully addressed.

One decision sought improvement of and consistency in greenhouse gas estimation methodologies in GEF projects. In response to this decision, the Secretariat convened three working groups and engaged a consulting firm to undertake the necessary groundwork. Substantial progress has been made so far, and this work is nearing completion.

The fourth decision rated as having been substantially adopted asked GEF management to consider using established Small Grants Programme country programs as service providers to implement community-level activities for FSPs and MSPs. This decision has been incorporated into the Small Grants Programme programming document for GEF-6. However, discussion on its operationalization is ongoing.

## GRADUATED AND RETIRED DECISIONS

Fourteen of the 18 decisions reported on in MAR 2014 have been either graduated or retired. Six were graduated due to high or substantial adoption; the remaining eight were retired either because they were no longer relevant or were linked to tasks that have now been completed. Several decisions—such as those related to improvements in the STAR, the National Portfolio Formulation Exercise, or the GEF strategies—are linked to the GEF replenishment cycle. Once the work on policy reforms and strategy formulation for a replenishment period is complete, that issue becomes dormant until preparation begins for the next replenishment period.

The Office will continue to track the four decisions that have been reported on in MAR 2014 but that have neither been graduated nor retired. Similarly, when appropriate, the four decisions that were screened out of the assessment process will be revisited and reported on.

## TRACKED DECISION OF THE LDCF/SCCF COUNCIL

In addition to the 18 GEF Council decisions, MAR 2014 also tracked and assessed adoption of 1 LDCF/SCCF Council decision. This decision was based on “Evaluation of the Special Climate Change Fund” (GEF/LDCF.SCCF.11/ME/02) and contained three subcomponents, requesting the Secretariat (1) prepare proposals to ensure transparency of the project preselection process, (2) disseminate good practices through existing channels, and (3) enhance visibility of the fund by requiring projects to identify their funding source. The GEF Independent Evaluation Office assessed adoption of the first two subcomponents as high in MAR 2013. The Office assessment for MAR 2014 noted the continued work of the Secretariat with the Agencies to highlight and promote the identity of LDCF/SCCF projects and programs, and rated the level of adoption on this aspect as substantial. This decision has been graduated from the MAR.

A complete version of MAR 2014 is available at the GEF Independent Evaluation Office [website](#).

**TABLE 7.3 Reason for Council Decision Graduation or Retirement, and Final GEF Independent Evaluation Office Rating, by MAR Year**

MAR	Adopted			No longer relevant			Total
	High	Substantial	Medium	Negligible	Not rated/not possible to verify yet	Not applicable	
2005	5	15	7	3	0	0	30
2006	5	1	0	0	0	0	6
2007	7	8	0	0	2	0	17
2008	5	0	0	0	0	0	5
2009	5	0	0	0	0	0	5
2010	9	3	4	3	0	2	21
2011	2	0	0	0	0	0	2
2012	0	0	0	0	0	0	0
2013	5	1	1	1	2	0	10
2014	4	2	6	1	1	0	14
Total	47	30	18	8	5	2	110

# Annex A: Projects Included in APR 2014

**TABLE A.1** Projects Included in the APR 2014 Cohort

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustain-ability	Source
15	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Tajikistan	0.900	Chem	GET	GEF-2	MS	MU	GEFIO
29	Palawan New and Renewable Energy and Livelihood Support Project	UNDP	Philippines	0.750	CC	GET	GEF-2	S	ML	GEFIO
260	Southern Africa Biodiversity Support Programme	UNDP	Regional	4.480	BD	GET	GEF-1	MS	MU	GEFIO
343	Phaseout of Ozone Depleting Substances	UNDP-UNEP	Latvia	1.320	Chem	GET	GEF-1	MU	ML	GEFIO
344	Lithuania Phase out of Ozone Depleting Substances	UNDP-UNEP	Lithuania	4.420	Chem	GET	GEF-1	S	L	GEFIO
446	Renewable Energy Development	WB	China	35.000	CC	GET	GEF-1	S	L	IAEO
456	Participatory Management of Plant Genetic Resources in Oases of the Maghreb	UNDP	Regional	2.780	BD	GET	GEF-1	S	L	GEFIO
463	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Azerbaijan	6.930	Chem	GET	GEF-1	U	U	GEFIO
500	In-Situ Conservation of Native Cultivars and Their Wild Relatives	UNDP	Peru	5.050	BD	GET	GEF-2	MU	MU	GEFIO
532	Strengthening Capacity for Global Knowledge-Sharing in International Waters	UNDP-WB	Global	3.130	IW	GET	GEF-2	U	MU	GEFIO
593	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Turkmenistan	0.400	Chem	GET	GEF-2	MU	U	GEFIO
594	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Uzbekistan	3.200	Chem	GET	GEF-2	S	ML	GEFIO
632	Renewable Energy Hybrid Power Systems	UNDP	Fiji	0.740	CC	GET	GEF-2	MS	NR	GEFIO
634	Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve's Coastal Biodiversity	UNDP	India	7.650	BD	GET	GEF-2	MS	ML	IAEO
647	Integrated Solar Combined Cycle Power Plant	WB	Morocco	43.200	CC	GET	GEF-2	S	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
658	Removing Barriers to the Increased Use of Biomass as an Energy Source	UNDP	Slovenia	4.300	CC	GET	GEF-2	S	NR	GEFIO
762	Maloti-Drakensberg Conservation and Development Project	WB	Regional	15.250	BD	GET	GEF-2	MU	ML	GEFIO
786	Krakov Energy Efficiency Project	WB	Poland	11.000	CC	GET	GEF-2	MU	ML	IAEO
817	Biodiversity Conservation of Lake Bosomtwe Basin	UNDP	Ghana	0.520	BD	GET	GEF-2	S	MU	GEFIO
921	Electricity Services for Rural Areas Project	WB	Senegal	5.000	CC	GET	GEF-2	MU	MU	IAEO
943	Renewable Energy Scale Up Program (CRESP), Phase 1	WB	China	40.220	CC	GET	GEF-2	MS	MU	IAEO
946	Rural Electrification and Transmission	WB	Cambodia	5.750	CC	GET	GEF-2	MS	MU	IAEO
970	Groundwater and Drought Management in SADC	WB	Regional	7.000	IW	GET	GEF-3	MS	ML	IAEO
1017	Partnership Interventions for the Implementation of the Strategic Action Programme (SAP) for Lake Tanganyika	UNDP	Regional	13.500	IW	GET	GEF-3	MS	ML	IAEO
1021	Conservation and Sustainable Use of Chiloé Globally Significant Biodiversity	UNDP	Chile	1.000	BD	GET	GEF-2	MS	NR	GEFIO
1035	Integrated Ecosystem Management in the Cotahuasi Basin	UNDP	Peru	0.870	MF	GET	GEF-3	MS	ML	IAEO
1047	Promoting Integrated Ecosystem and Natural Resource Management	UNDP	Honduras	4.207	MF	GET	GEF-3	MS	ML	IAEO
1056	Conservation and Sustainable Use of Biodiversity on the South African Wild Coast	UNDP	South Africa	6.500	BD	GET	GEF-3	MS	MU	IAEO
1063	Forest and Environment Development Policy Grant	WB	Cameroon	10.000	BD	GET	GEF-3	U	U	GEFIO
1091	Building the Inter-American Biodiversity Information Network (IABIN)	WB	Regional	6.000	BD	GET	GEF-3	MS	MU	IAEO
1101	Participatory Management of Protected Areas	WB	Peru	14.830	BD	GET	GEF-3	MS	ML	IAEO
1126	Sanjiang Plain Wetlands Protection Project	ADB	China	12.140	BD	GET	GEF-3	MS	ML	GEFIO
1152	Biodiversity Conservation and Participatory Sustainable Management of Natural Resources in the Inner Niger Delta and its Transition Areas, Mopti Region	IFAD	Mali	6.000	BD	GET	GEF-3	S	NR	GEFIO
1158	Energy Reform and Access Project	WB	Mozambique	3.090	CC	GET	GEF-2	MS	MU	GEFIO
1174	Gulf of Gabes Marine and Coastal Resources Protection	WB	Tunisia	6.310	BD	GET	GEF-3	MS	MU	IAEO



GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
1197	Enhancing the Effectiveness and Catalyzing the Sustainability of the W-Arly-Pendjari (WAP) Protected Area System	UNDP	Regional	5.155	BD	GET	GEF-3	S	MU	IAEO
1204	OECS Protected Areas and Associated Sustainable Livelihoods	WB	Regional	3.700	BD	GET	GEF-3	MS	MU	IAEO
1207	Regional System of Protected Areas for Sustainable Conservation and Use of Valdivian Temperate Rainforest	UNDP	Chile	4.707	BD	GET	GEF-3	MU	MU	IAEO
1209	Rural Electrification and Renewable Energy Development	WB	Bangladesh	8.200	CC	GET	GEF-2	HS	ML	IAEO
1214	Integrated Ecosystem and Natural Resource Management in the Jordan Rift Valley	WB	Jordan	6.150	BD	GET	GEF-3	MS	MU	IAEO
1217	Conservation and Sustainable Use of Wetlands	UNDP	Nepal	1.965	BD	GET	GEF-3	S	ML	IAEO
1223	Removal of Barriers to the Introduction of Cleaner Artisanal Gold Mining and Extraction Technologies	UNDP	Global	6.800	IW	GET	GEF-2	MS	MU	GEFIO
1253	Gourma Biodiversity Conservation Project	WB	Mali	5.500	BD	GET	GEF-2	MU	U	IAEO
1274	Household Energy and Universal Rural Access Project	WB	Mali	3.500	CC	GET	GEF-3	MS	MU	IAEO
1275	Community-based Integrated Ecosystem Management Program under the Community Action Program	WB	Niger	4.000	MF	GET	GEF-2	MS	MU	IAEO
1299	Integrated Management of Aquatic Resources in the Amazon (AquaBio)	WB	Brazil	7.180	BD	GET	GEF-3	NR	NR	IAEO
1319	Conservation and Sustainable Utilization of Wild Relatives of Crops	UNDP	China	7.850	BD	GET	GEF-3	S	ML	IAEO
1375	Reducing Transboundary Degradation in the Kura-Aras Basin	UNDP	Regional	2.900	IW	GET	GEF-4	MS	MU	IAEO
1462	Programme for the Agulhas and Somali Current Large Marine Ecosystems: Agulhas and Somali Current Large Marine Ecosystems Project	UNDP	Regional	12.200	IW	GET	GEF-3	S	ML	IAEO
1537	Integrated Ecosystem Management in the Prespa Lakes Basin of Albania, FYR-Macedonia and Greece	UNDP	Regional	4.135	MF	GET	GEF-3	MS	ML	IAEO
1538	Integrated Natural Resources and Biodiversity Management	WB	Uruguay	7.000	BD	GET	GEF-3	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
1542	DBSB Environmental Infrastructure Project— under Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River Basin and the Black Sea	WB	Moldova	4.562	IW	GET	GEF-3	HU	NR	IAEO
1544	Rio de Janeiro Integrated Ecosystem Management in Production Landscapes of the North-Northwestern Fluminense	WB	Brazil	6.750	MF	GET	GEF-3	MU	ML	IAEO
1545	Renewable Energy for Rural Economic Development	WB	Sri Lanka	8.000	CC	GET	GEF-2	S	L	IAEO
1829	Coral Reef Rehabilitation and Management Project Phase II	WB	Indonesia	7.500	BD	GET	GEF-1	MS	MU	IAEO
1830	Protected Areas Management and Sustainable Use	WB	Uganda	8.000	BD	GET	GEF-1	MS	ML	IAEO
1831	Energy for Rural Transformation Project	WB	Uganda	12.100	CC	GET	GEF-2	MU	MU	IAEO
1837	Extending Wetland protected Areas through Community Based Conservation Initiatives	UNDP	Uganda	0.800	BD	GET	GEF-4	S	ML	IAEO
1848	Mount Kenya East Pilot Project for Natural Resource Management	IFAD	Kenya	4.700	MF	GET	GEF-3	MS	ML	GEFIEO
1872	Community Agriculture and Watershed Management	WB	Tajikistan	4.500	MF	GET	GEF-3	MS	ML	IAEO
1894	Renewable Energy Market Transformation (REMT)	WB	South Africa	6.000	CC	GET	GEF-3	MS	ML	IAEO
1895	Improved Certification Schemes for Sustainable Tropical Forest Management	UNEP	Global	0.987	BD	GET	GEF-3	S	L	GEFIEO
1905	Development of an Energy Efficiency Program for the Industrial Sector for Tunisia	WB	Tunisia	8.500	CC	GET	GEF-3	MS	MU	IAEO
2019	Integrated National Adaptation Plan: High Mountain Ecosystems, Colombia's Caribbean Insular Areas and Human Health	WB	Colombia	5.400	CC	GET	GEF-3	MS	ML	IAEO
2045	GEF National Consultative Dialogue Initiative	UNDP- WB, UNEP, GEFSEC	Global	5.775	MF	GET	GEF-3	S	NR	GEFIEO
2052	Sustainable Management of Inland Wetlands in Southern Africa: A Livelihoods and Ecosystem Approach	UNEP	Regional	0.975	LD	GET	GEF-3	MS	MU	IAEO
2099	Corazon Transboundary Biosphere Reserve	WB	Regional	12.000	BD	GET	GEF-3	MS	MU	IAEO
2120	Biodiversity Conservation in the Productive Landscape of the Venezuelan Andes	UNDP	Venezuela	7.352	BD	GET	GEF-3	S	MU	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
2127	CBPF: Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems (GIAHS)	FAO	Global	1.000	BD	GET	GEF-4	MU	ML	GEFIEO
2133	Lake Skader-Shkoder Integrated Ecosystem Management	WB	Regional	4.550	IW	GET	GEF-4	MS	U	IAEO
2135	Guangdong—Pearl River Delta Urban Environment	WB	China	10.000	IW	GET	GEF-3	MU	MU	IAEO
2141	DBSB Reduction of Enterprise Nutrient Discharges Project—RENDER—under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	WB	Serbia	9.020	IW	GET	GEF-3	MU	MU	IAEO
2152	Butrint National Park: Biodiversity and Global Heritage Conservation	WB	Albania	0.950	BD	GET	GEF-4	NR	NR	GEFIEO
2268	SIP: Integrated Ecosystem Management in Four Representative Landscapes of Senegal, Phase 2	UNDP	Senegal	3.640	LD	GET	GEF-4	S	NR	GEFIEO
2275	The Middle Atlas Forest Restoration project	UNDP	Morocco	0.965	MF	GET	GEF-3	S	ML	IAEO
2357	Agricultural Rehabilitation and Sustainable Land Management Project	WB	Burundi	5.000	LD	GET	GEF-3	MS	ML	IAEO
2358	Sustainable Land Management	WB	Bhutan	7.664	LD	GET	GEF-3	S	MU	IAEO
2359	Demonstration of Alternatives to Chlordane and Mirex in Termite Control	WB	China	14.357	Chem	GET	GEF-3	MS	L	IAEO
2371	Biodiversity Conservation in Coffee: Transforming Productive Practices in the Coffee Sector by Increasing Market Demand for Certified Sustainable Coffee	UNDP	Regional	12.000	BD	GET	GEF-3	S	ML	IAEO
2372	Forest and Mountain Protected Areas Project	WB	Bosnia-Herzegovina	3.400	BD	GET	GEF-3	MS	ML	IAEO
2373	Sustainable Land Management in the Semi-Arid Sertao	IFAD	Brazil	5.943	LD	GET	GEF-3	S	ML	GEFIEO
2377	Sustainable Land Management in the High Pamir and Pamir-Alai Mountains—and Integrated and Transboundary Initiative in Central Asia Phase I	UNEP	Regional	3.000	LD	GET	GEF-3	S	ML	IAEO
2380	Sustainable Co-Management of the Natural Resources of the Air-Tenere Complex	UNDP	Niger	4.000	LD	GET	GEF-3	MS	MU	IAEO
2443	Environmental Services Project	WB	Mexico	15.000	BD	GET	GEF-3	S	L	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
2459	Community-Based Watershed Management Project	WB	Mauritania	6.000	LD	GET	GEF-3	MU	MU	IAEO
2511	Groundnut Basin Soil Management and Regeneration	UNDP	Senegal	3.656	LD	GET	GEF-3	S	ML	IAEO
2517	Sustainable Environmental Management for Sixaola River Basin	IDB	Regional	3.500	MF	GET	GEF-3	S	ML	GEFIEO
2531	Sustainable Energy Program	WB	Macedonia	5.500	CC	GET	GEF-3	MS	ML	IAEO
2545	Catalyzing the Implementation of Uruguay's National Protected Area System	UNDP	Uruguay	2.500	BD	GET	GEF-3	MS	MU	IAEO
2586	PAS: Implementing Sustainable Integrated Water Resource and Wastewater Management in the Pacific Island Countries—under the GEF Pacific Alliance for Sustainability	UNDP-UNEP	Regional	9.026	IW	GET	GEF-4	S	ML	IAEO
2604	Sustainable Public Transport and Sport: A 2010 Opportunity	UNDP	South Africa	10.973	CC	GET	GEF-4	MS	MU	IAEO
2615	National Grasslands Biodiversity Program	UNDP	South Africa	8.300	BD	GET	GEF-4	S	ML	IAEO
2629	Improvement of DDT-Based Production of Dicofol and Introduction of Alternative Technologies Including IPM for Leaf Mites Control in China	UNDP	China	6.000	Chem	GET	GEF-4	S	L	IAEO
2634	Guangxi Integrated Forestry Development and Biodiversity Conservation	WB	China	5.250	BD	GET	GEF-3	HS	ML	GEFIEO
2635	Protected Areas Consolidation and Administration	WB	El Salvador	5.000	BD	GET	GEF-3	MU	MU	IAEO
2669	Natural Resources Development Project	WB	Albania	5.000	MF	GET	GEF-3	MS	MU	IAEO
2689	Latin America: Multi-Country Capacity-Building for Compliance with the Cartagena Protocol on Biosafety	WB	Regional	4.000	BD	GET	GEF-3	MS	ML	IAEO
2701	Development and Adoption of a Strategic Action Program for Balancing Water Uses and Sustainable Natural Resource Management in the Orange-Senqu River Transboundary Basin	UNDP	Regional	6.300	IW	GET	GEF-4	MS	ML	IAEO
2746	Promoting Replication of Good Practices for Nutrient Reduction and Joint Collaboration in Central and Eastern Europe	UNDP	Regional	0.975	IW	GET	GEF-4	S	L	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
2750	WB-GEF POL Ningbo Water and Environment Project—under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	WB	China	5.000	IW	GET	GEF-3	MU	MU	IAEO
2767	LAC Regional Sustainable Transport and Air Quality Project	WB	Regional	2.900	CC	GET	GEF-3	MS	MU	IAEO
2812	Teacher's Solar Lighting Project	WB	Papua New Guinea	0.992	CC	GET	GEF-3	HU	U	GEFIO
2865	Promotion of Strategies to Reduce Unintentional Production of POPs in the PERSGA Coastal Zone	UNIDO	Global	0.950	Chem	GET	GEF-4	S	L	GEFIO
2896	Sacred Orchids of Chiapas: Cultural and Religious Values in Conservation	WB	Mexico	0.838	BD	GET	GEF-4	HS	L	GEFIO
2899	Country Support Program for GEF Focal Points	UNDP-UNEP	Global	11.900	MF	GET	GEF-3	S	ML	GEFIO
2932	Alternatives to DDT Usage for the Production of Anti-fouling Paint	UNDP	China	10.365	Chem	GET	GEF-3	S	L	IAEO
2954	Bus Rapid Transit and Pedestrian Improvements in Jakarta	UNEP	Indonesia	5.812	CC	GET	GEF-3	MS	ML	IAEO
3010	LGGE: Energy Efficiency in New Construction in the Residential and Commercial Buildings Sector in Mongolia	UNDP	Mongolia	0.975	CC	GET	GEF-4	S	ML	IAEO
3074	Capacity Development for Improved National and International Environmental Management in Seychelles	UNDP	Seychelles	0.400	MF	GET	GEF-4	U	ML	IAEO
3082	Safe Management and Disposal of PCBs, Pillar I	UNDP	Morocco	2.198	Chem	GET	GEF-4	S	ML	IAEO
3120	Development of the National Capacities for the Environmental Sound Management of PCBs in Uruguay	UNDP	Uruguay	0.955	Chem	GET	GEF-4	MS	L	IAEO
3138	Applying an Ecosystem-based Approach to Fisheries Management: Focus on Seamounts in the Southern Indian Ocean	UNDP	Global	0.950	IW	GET	GEF-4	MU	U	IAEO
3148	DBSB Agricultural Pollution Control Project—under the Strategic Partnership Investment Fund for Nutrient Reduction in the Danube River and Black Sea	WB	Croatia	5.000	IW	GET	GEF-3	MU	ML	IAEO
3155	Coping with Drought and Climate Change	UNDP	Mozambique	0.960	CC	SCCF	GEF-3	MS	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
3183	Mitigating the Threats of Invasive Alien Species in the Insular Caribbean	UNEP	Regional	3.034	BD	GET	GEF-4	S	L	IAEO
3224	Establishing Sustainable Liquid Biofuels Production Worldwide (A Targeted Research Project)	UNEP	Global	0.970	CC	GET	GEF-4	MU	L	IAEO
3239	CACILM: Capacity Building and on-the-Ground Investments for Integrated and Sustainable Land Management—under CACILM Partnership Framework, Phase 1	UNDP	Turkmenistan	0.975	LD	GET	GEF-3	MU	U	GEFIO
3265	Mainstreaming Adaptation to Climate Change Into Water Resources Management and Rural Development	WB	China	5.000	CC	SCCF	GEF-4	S	L	IAEO
3293	Steppe Conservation and Management	UNDP	Kazakhstan	2.215	BD	GET	GEF-4	S	ML	IAEO
3296	Geothermal Power Generation Development Program	WB	Indonesia	4.000	CC	GET	GEF-4	U	U	IAEO
3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	UNDP	Thailand	0.869	CC	SCCF	GEF-4	MS	ML	IAEO
3305	Implementation of the Benguela Current LME Action Program for Restoring Depleted Fisheries and Reducing Coastal Resources Degradation	UNDP	Regional	5.138	IW	GET	GEF-4	MS	MU	IAEO
3319	Implementing NAPA Priority Interventions to Build Resilience and Adaptive Capacity of the Agriculture Sector to Climate Change	UNDP	Niger	3.500	CC	LDCF	GEF-4	S	ML	IAEO
3346	DSSA Malaria Decision Analysis Support Tool (MDAST): Evaluating Health Social and Environmental Impacts and Policy Tradeoffs	UNEP	Regional	0.999	Chem	GET	GEF-4	MU	L	IAEO
3358	Integrating Climate Change Risks into the Agriculture and Health Sectors in Samoa	UNDP	Samoa	2.000	CC	LDCF	GEF-4	MS	ML	IAEO
3382	SIP: Community Driven SLM for Environmental and Food Security	WB	Niger	4.670	LD	GET	GEF-4	MS	MU	IAEO
3385	SIP: Sustainable Land Management in Senegal	WB	Senegal	4.800	LD	GET	GEF-4	S	MU	IAEO
3404	Promoting Climate-Resilient Water Management and Agricultural Practices	UNDP	Cambodia	1.850	CC	LDCF	GEF-4	S	ML	IAEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
3410	Piloting of an Ecosystem-based Approach to Uruguayan Coastal Fisheries	FAO	Uruguay	0.950	BD	GET	GEF-4	MS	NR	GEFIO
3418	Mainstreaming Biodiversity Management into Medicinal and Aromatic Plants Production Processes	UNDP	Lebanon	0.980	BD	GET	GEF-4	MS	L	IAEO
3419	Strategic Partnerships to Improve the Financial and Operational Sustainability of Protected Areas	UNDP	Botswana	0.953	BD	GET	GEF-4	S	ML	IAEO
3425	Improving Energy Efficiency in Buildings	UNDP	Kyrgyzstan	0.900	CC	GET	GEF-4	S	ML	IAEO
3428	SFM Extending the Coastal Forests Protected Area Subsystem	UNDP	Tanzania	3.550	BD	GET	GEF-4	MS	ML	IAEO
3433	Sustainable Mobility in the City of Bratislava	UNDP	Slovak Republic	0.930	CC	GET	GEF-4	MS	ML	IAEO
3465	CBPF: Conservation and Sustainable Use of Biodiversity in the Headwaters of the Huaihe River Basin	UNDP	China	2.730	BD	GET	GEF-4	MS	ML	IAEO
3522	CTI Arafura and Timor Seas Ecosystem Action Programme (ATSEA)—under the Coral Triangle Initiative	UNDP	Regional	2.500	IW	GET	GEF-4	S	ML	IAEO
3572	Regional Plan for Introduction of BAT/BEP Strategies to Industrial Source Categories of Stockholm Convention Annex C of Article 5 in ESEA Region	UNIDO	Regional	0.950	Chem	GET	GEF-4	S	MU	GEFIO
3581	Building Adaptive Capacity and Resilience to Climate Change in the Water Sector in Cape Verde	UNDP	Cabo Verde	3.000	CC	LDCF	GEF-4	MS	ML	IAEO
3627	SFM: Promotion of Sustainable Forest and Land Management in the Vietnam Uplands	IFAD	Vietnam	0.650	MF	GET	GEF-4	MS	ML	GEFIO
3629	BS Implementation of the National Biosafety Framework	UNEP	Costa Rica	0.719	BD	GET	GEF-4	MS	ML	IAEO
3639	CTI GEF IW: LEARN: Portfolio Learning in International Waters with a Focus on Oceans, Coasts, and Islands and Regional Asia/Pacific and Coral Triangle Learning Processes—under the Coral Triangle Initiative	UNDP-ADB	Global	2.700	IW	GET	GEF-4	MU	ML	IAEO
3676	Grasslands and Savannas of the Southern Cone of South America: Initiatives for their Conservation in Argentina	WB	Argentina	0.900	BD	GET	GEF-4	S	MU	GEFIO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
3684	Strengthening Adaptation Capacities and Reducing the Vulnerability to Climate Change in Burkina Faso	UNDP	Burkina Faso	2.900	CC	LDCF	GEF-4	S	MU	IAEO
3698	Strengthening the Turkmenistan Protected Areas System	UNDP	Turkmenistan	0.950	BD	GET	GEF-4	MU	ML	IAEO
3762	Developing the Protected Area System	UNDP	Armenia	0.950	BD	GET	GEF-4	MS	L	IAEO
3790	Communities of Conservation: Safeguarding the World's Most Threatened Species	UNEP	Global	1.775	BD	GET	GEF-4	S	ML	IAEO
3793	Namibia Energy Efficiency Programme (NEEP) In Buildings	UNDP	Namibia	0.859	CC	GET	GEF-4	MU	ML	IAEO
3816	Mainstreaming the Conservation of Ecosystem Services and Biodiversity at the Micro-watershed Scale in Chiapas	UNEP	Mexico	1.484	BD	GET	GEF-4	S	L	IAEO
3817	SPWA-BD: Guinea Bissau Biodiversity Conservation Trust Fund Project	WB	Guinea-Bissau	0.950	BD	GET	GEF-4	MS	ML	GEFIEO
3849	Improving the Financial Sustainability of the Carpathian System of Protected Areas	UNDP	Romania	0.950	BD	GET	GEF-4	MS	MU	IAEO
3864	CBPF: Strengthening Globally Important Biodiversity Conservation Through Protected Area Strengthening in Gansu Province	UNDP	China	1.738	BD	GET	GEF-4	S	ML	IAEO
3900	MENARID: GEF IW LEARN: Strengthening IW Portfolio Delivery and Impact	UNDP-UNEP	Global	4.095	IW	GET	GEF-4	MS	ML	IAEO
3961	SPWA-BD: The Gambia Biodiversity Management and Institutional Strengthening Project	WB	Gambia	0.950	BD	GET	GEF-4	S	ML	GEFIEO
4030	Greening 2014 Sochi Olympics: A Strategy and Action Plan for the Greening Legacy	UNDP	Russian Federation	0.900	CC	GET	GEF-4	U	MU	IAEO
4527	Partnering for Natural Resource Management—Conservation Council of Nations	UNEP	Global	0.909	BD	GET	GEF-5	S	L	IAEO
4543	The GLOBE Legislator Forest Initiative	UNEP	Global	1.000	MF	GET	GEF-5	S	L	IAEO

**NOTE:** Agencies: ADB = Asian Development Bank, FAO = Food and Agriculture Organization of the United Nations, IDB = Inter-American Development Bank, IFAD = International Fund for Agricultural Development, UNIDO = United Nations Industrial Development Organization, WB = World Bank. Focal areas: BD = biodiversity, Chem = chemicals, CC = climate change, IW = international waters, LD = land degradation, MF = multifocal. Fund: GET = GEF Trust Fund. Outcome ratings: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory, NR = not rated. Sustainability ratings: L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely, NR = not rated. Rating sources: GEFIEO = GEF Independent Evaluation Office, IAEO = Implementing Agency evaluation office. *n* = 156.



**TABLE A.2 Newly Reviewed Projects Completed prior to 2005 Covered in APR 2014**

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustain-ability	Source
16	Management and Protection of Laguna del Tigre National Park and Biotope	WB	Guatemala	0.723	BD	GET	GEF-2	S	ML	GEFIO
19	Concentrating Solar Power for Africa (CSP-Africa)	WB	South Africa	0.230	CC	GET	GEF-2	S	NR	GEFIO
23	Promoting Best Practices for Conservation and Sustainable Use of Biodiversity of Global Significance in Arid and Semi-arid Zones	UNEP	Global	0.750	BD	GET	GEF-2	MS	MU	GEFIO
25	Conservation of Arid and Semi-arid Ecosystems in the Caucasus	UNDP	Georgia	0.725	BD	GET	GEF-2	S	ML	GEFIO
27	Creation and Strengthening of the Capacity for Sustainable Renewable Energy (RE) Development in Central America (FOCER)	UNDP	Regional	0.725	CC	GET	GEF-2	MS	ML	GEFIO
28	Renewable Energy-Based Small Enterprise Development in the Quiche Region	UNDP	Guatemala	0.383	CC	GET	GEF-2	NR	NR	GEFIO
32	Mini-Hydropower Project	WB	Macedonia	0.750	CC	GET	GEF-2	S	ML	GEFIO
33	An Indicator Model for Dryland Ecosystems in Latin America	UNEP	Regional	0.725	BD	GET	GEF-2	MS	L	GEFIO
48	Wildlands Protection and Management	WB	Congo	10.097	BD	GET	Pilot	MS	U	GEFIO
49	Coastal Wetlands Management	WB	Ghana	7.200	BD	GET	Pilot	MS	ML	GEFIO
50	Conservation of the Tana River Primate National Reserve	WB	Kenya	6.200	BD	GET	Pilot	MU	U	GEFIO
51	Lake Malawi/Nyasa Biodiversity Conservation	WB	Malawi	5.000	BD	GET	Pilot	MS	ML	GEFIO
52	Household Energy Project	WB	Mali	2.500	CC	GET	Pilot	S	ML	GEFIO
53	Mozambique Transfrontier Conservation Areas Pilot and Institutional Strengthening Project P001759	WB	Mozambique	5.000	BD	GET	Pilot	MS	MU	GEFIO
59	OECS Ship-Generated Waste Management	WB	Regional	12.500	IW	GET	Pilot	MS	ML	GEFIO
62	Protected Areas Program	WB	Mexico	25.000	BD	GET	Pilot	S	L	GEFIO
64	Demand Side Management Demonstration	WB	Jamaica	3.800	CC	GET	Pilot	MU	MU	GEFIO
66	Red Sea Coastal and Marine Resource Management Project	WB	Egypt	4.750	BD	GET	Pilot	S	ML	GEFIO
68	Oil Pollution Management Project for the Southwest Mediterranean Sea	WB	Regional	18.100	IW	GET	Pilot	S	ML	GEFIO
69	Danube Delta Biodiversity	WB	Romania	4.500	BD	GET	Pilot	MS	ML	GEFIO
70	Greenhouse Gas Reduction	WB	Russian Federation	3.200	CC	GET	Pilot	MU	L	GEFIO
72	Gulf of Aqaba Environmental Action Plan	WB	Jordan	2.700	IW	GET	GEF-1	S	L	GEFIO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
73	Water and Environmental Management Project (WEMP) in the Aral Sea Basin	WB	Regional	12.000	IW	GET	GEF-1	MU	ML	GEFIO
75	China Sichuan Gas Transmission and Distribution Rehabilitation	WB-UNDP	China	10.000	CC	GET	Pilot	S	L	GEFIO
77	Biodiversity Collections Project	WB-UNDP	Indonesia	7.200	BD	GET	Pilot	MS	ML	GEFIO
78	Forest Management and Conservation	WB	Lao PDR	5.000	BD	GET	Pilot	MU	U	GEFIO
79	Conservation of Priority Protected Areas	WB	Philippines	20.000	BD	GET	Pilot	MU	MU	GEFIO
80	Leyte-Luzon Geothermal	WB	Philippines	31.200	CC	GET	Pilot	MS	MU	GEFIO
81	Promotion of Electricity Energy Efficiency	WB-UNDP	Thailand	9.500	CC	GET	Pilot	S	ML	GEFIO
83	Nature Reserves Management	WB-UNDP	China	17.900	BD	GET	GEF-1	MS	ML	GEFIO
85	Biodiversity Conservation and Management	WB	Cameroon	5.960	BD	GET	Pilot	MS	ML	GEFIO
90	Russia Biodiversity Conservation Project	WB	Russian Federation	20.100	BD	GET	GEF-1	S	ML	GEFIO
99	Kerinci Seblat—Integrated Conservation and Development Project	WB	Indonesia	15.020	BD	GET	GEF-1	U	MU	GEFIO
100	Danube Delta Biodiversity	WB	Ukraine	1.500	BD	GET	Pilot	S	U	GEFIO
102	Biodiversity Restoration Project	WB	Mauritius	1.200	BD	GET	GEF-1	S	L	GEFIO
106	Klaipeda Geothermal Demonstration Project	WB	Lithuania	6.900	CC	GET	GEF-1	MS	ML	GEFIO
119	Solar Home Systems	WB	Indonesia	24.300	CC	GET	GEF-1	U	ML	GEFIO
125	The Environment Program Phase II Project	UNDP-WB	Madagascar	20.800	BD	GET	GEF-1	S	MU	GEFIO
142	People, Land Management, and Environmental Change (PLEC)	UNEP	Global	6.176	BD	GET	GEF-1	S	L	GEFIO
145	Biodiversity Data Management Capacitation in Developing Countries and Networking Biodiversity Information	UNEP	Global	4.000	BD	GET	Pilot	MS	ML	GEFIO
173	Global Biodiversity Assessment	UNEP	Global	3.300	BD	GET	Pilot	S	NR	GEFIO
192	Bhutan Integrated Management of Jigme Dorji National Park	UNDP	Bhutan	1.492	BD	GET	GEF-1	MS	ML	GEFIO
195	Biodiversity Conservation and Management in the Coastal Zone of the Dominican Republic	UNDP	Dominican Republic	3.000	BD	GET	Pilot	U	NR	GEFIO
206	Consolidation of the Bañados del Este Biosphere Reserve	UNDP	Uruguay	2.500	BD	GET	GEF-1	S	ML	GEFIO
220	Comoros—Conservation of Biodiversity and Sustainable Development	UNDP	Comoros	2.350	BD	GET	GEF-1	MU	MU	GEFIO
263	Energy Conservation and Pollution Control in Township and Village Enterprise Industries	UNDP	China	1.000	CC	GET	GEF-1	S	L	GEFIO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
302	Energy Efficiency Strategy to Mitigate GHG Emissions Energy Efficiency Zone in the City of Gabrovo	UNDP	Bulgaria	2.575	CC	GET	GEF-1	S	ML	GEFIEO
333	Renewable Energy-Based Electricity for Rural, Social and Economic Development	UNDP	Ghana	2.472	CC	GET	GEF-1	MS	MU	GEFIEO
338	Biomass Power Generation: Sugar Cane Bagasse and Trash	UNDP	Brazil	3.700	CC	GET	GEF-1	S	ML	GEFIEO
340	Implementation of the Strategic Action Programme (SAP) for the Red Sea and Gulf of Aden	UNDP-UNEP-WB	Global	19.000	IW	GET	GEF-1	MS	U	GEFIEO
347	Biodiversity Conservation and Resource Management	UNDP	Papua New Guinea	5.000	BD	GET	Pilot	U	U	GEFIEO
348	Biodiversity Conservation in the Darien Region	UNDP	Panama	2.000	BD	GET	Pilot	MU	U	GEFIEO
349	Conservation of Biodiversity through Effective Management of Wildlife Trade	UNDP	Gabon	1.000	BD	GET	Pilot	NR	U	GEFIEO
350	Biodiversity Conservation in Nepal	UNDP	Nepal	3.800	BD	GET	Pilot	MU	MU	GEFIEO
351	A Dynamic Farmer-Based Approach to the Conservation of Plant Genetic Resources	UNDP	Ethiopia	2.456	BD	GET	Pilot	S	L	GEFIEO
352	Development of Wildlife Conservation and Protected Areas Management	UNDP	Sri Lanka	4.100	BD	GET	Pilot	MS	MU	GEFIEO
354	Patagonian Coastal Zone Management Plan	UNDP	Argentina	2.800	BD	GET	Pilot	MS	MU	GEFIEO
355	Conservation of the Dana and Azraq Protected Areas	UNDP	Jordan	6.300	BD	GET	Pilot	MS	MU	GEFIEO
356	Restoration of Highly Degraded and Threatened Native Forests in Mauritius	UNDP	Mauritius	0.200	BD	GET	Pilot	MS	NR	GEFIEO
357	Institutional Support for the Protection of East African Biodiversity	UNDP	Regional	10.000	BD	GET	Pilot	MS	MU	GEFIEO
358	Sustainable Development and Management of Biologically Diverse Coastal Resources	UNDP	Belize	3.000	BD	GET	Pilot	MS	MU	GEFIEO
363	Protecting Biodiversity and Establishing Sustainable Development of the in Sabana-Camaguey Region	UNDP	Cuba	2.000	BD	GET	Pilot	S	NR	GEFIEO
365	Strengthening Conservation Capacity and Development and Institution of a National Biodiversity Conservation Plan (Implementation Phase I)	UNDP	Mongolia	1.000	BD	GET	Pilot	MS	ML	GEFIEO
366	Conservation of Biodiversity in the Choco Biogeographic Region	UNDP	Colombia	6.000	BD	GET	Pilot	MS	L	GEFIEO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
367	Conservation of Biodiversity in the Eastern Wetlands	UNDP	Uruguay	3.000	BD	GET	Pilot	U	ML	GEFIO
368	Programme for Sustainable Forestry	UNDP	Guyana	3.000	BD	GET	Pilot	S	ML	GEFIO
371	Decentralized Wind Electric Power for Social and Economic Development (Alizes Electriques)	UNDP	Mauritania	2.100	CC	GET	Pilot	MU	U	GEFIO
374	Photovoltaics for Household and Community Use	UNDP	Zimbabwe	7.000	CC	GET	Pilot	MU	U	GEFIO
376	Regional (Cote d'Ivoire & Senegal)—Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	UNDP	Regional	3.500	CC	GET	Pilot	U	U	GEFIO
377	Community Based Rangeland Rehabilitation for Carbon Sequestration and Biodiversity	UNDP	Sudan	1.500	CC	GET	Pilot	MS	U	GEFIO
381	Biomass Integrated Gasification/ Gas Turbine Project	UNDP	Brazil	8.115	CC	GET	Pilot	S	ML	GEFIO
392	Support for Regional Oceans Training Programmes	UNDP	Global	2.583	IW	GET	Pilot	MS	ML	GEFIO
393	Water Pollution Control and Biodiversity Conservation in the Gulf of Guinea Large Marine Ecosystem	UNDP	Regional	6.000	IW	GET	Pilot	MS	MU	GEFIO
394	Protection of Marine Ecosystems of the Red Sea Coast	UNDP	Yemen	2.800	IW	GET	Pilot	U	MU	GEFIO
396	Prevention and Management of Marine Pollution in the East Asian Seas	UNDP	Regional	8.000	IW	GET	Pilot	MS	MU	GEFIO
398	Pollution Control and Other Measures to Protect Biodiversity in Lake Tanganyika	UNDP	Regional	10.000	IW	GET	Pilot	S	MU	GEFIO
402	Pilot Biosafety Enabling Activity	UNEP	Global	2.744	BD	GET	GEF-1	S	MU	GEFIO
403	South Pacific Biodiversity Conservation Programme	UNDP	Regional	6.400	BD	GET	Pilot	MU	MU	GEFIO
406	African NGO-Government Partnership for Sustainable Biodiversity Action	UNDP	Regional	4.330	BD	GET	GEF-1	S	ML	GEFIO
413	Global Biodiversity Forum Phase II	UNEP	Global	0.745	BD	GET	GEF-1	MS	U	GEFIO
462	Preparation of A Strategic Action Program (SAP) and Transboundary Diagnostic Analysis (TDA) for the Tumen River Area, Its Coastal Regions and Related Northeast Asian Environs	UNDP	Global	4.957	IW	GET	GEF-1	MU	MU	GEFIO
465	Development of Best Practices and Dissemination of Lessons Learned for Dealing with the Global Problem of Alien Invasive Species (AIS) That Threaten Biological Diversity	UNEP	Global	0.750	BD	GET	GEF-1	S	ML	GEFIO
483	Management of Avian Ecosystems	WB	Seychelles	0.740	BD	GET	GEF-1	S	L	GEFIO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
490	Kibale Forest Wild Coffee Project	WB	Uganda	0.750	BD	GET	GEF-2	U	U	GEFIO
495	Republic of Croatia Kopacki rit Wetland Management Project	WB	Croatia	0.750	BD	GET	GEF-2	MS	L	GEFIO
496	Northern Belize Biological Corridors Project	WB	Belize	0.724	BD	GET	GEF-2	MS	ML	GEFIO
499	Creating a Co-Managed Protected Areas (PA) System	UNDP	Belize	0.750	BD	GET	GEF-2	U	U	GEFIO
535	Biodiversity Conservation and Marine Pollution Abatement	WB	Seychelles	1.800	BD	GET	Pilot	S	MU	GEFIO
536	Conservation Priority-Setting for the Upper Guinea (UG) Forest Ecosystems, West Africa	UNDP	Regional	0.742	BD	GET	GEF-1	MS	ML	GEFIO
537	Biodiversity Protection	WB	Belarus	1.000	BD	GET	Pilot	MS	MU	GEFIO
538	National Trust Fund for Protected Areas	WB	Peru	5.000	BD	GET	Pilot	S	ML	GEFIO
539	Forest Biodiversity Protection	WB	Poland	4.500	BD	GET	Pilot	S	ML	GEFIO
542	Trust Fund for Environmental Conservation	WB	Bhutan	10.000	BD	GET	Pilot	S	L	GEFIO
566	Biodiversity Protection	WB	Czech Republic	2.000	BD	GET	Pilot	MS	ML	GEFIO
567	Biodiversity Protection	WB	Slovak Republic	2.300	BD	GET	Pilot	MS	MU	GEFIO
569	Efficient Streetlighting Program	WB	Argentina	0.736	CC	GET	GEF-2	MU	MU	GEFIO
572	Teheran Transport Emissions Reduction	WB	Iran	2.000	CC	GET	Pilot	S	MU	GEFIO
600	Lop Nur Nature Sanctuary Biodiversity Conservation Project	UNEP	China	0.725	BD	GET	GEF-2	MS	MU	GEFIO
601	Monitoring the Galápagos Islands	WB	Ecuador	0.941	BD	GET	GEF-2	S	ML	GEFIO
611	Redirecting Commercial Investment Decisions to Cleaner Technology—A Technology Transfer Clearing House	UNEP	Global	0.750	CC	GET	GEF-2	S	MU	GEFIO
628	Wetland Priorities for Conservation Action	WB	Ecuador	0.718	BD	GET	GEF-2	S	ML	GEFIO
644	El Triunfo Biosphere Reserve: Habitat Enhancement in Productive Landscapes	WB	Mexico	0.725	BD	GET	GEF-2	S	ML	GEFIO
672	Conservation of Biodiversity in the Talamanca Caribe Biological Corridor	UNDP	Costa Rica	0.750	BD	GET	GEF-2	U	U	GEFIO
768	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Estonia	0.850	Chem	GET	GEF-2	S	ML	GEFIO
769	Programme for Phasing Out Ozone Depleting Substances	UNDP-UNEP	Kazakhstan	5.430	Chem	GET	GEF-2	MU	MU	GEFIO
772	Community Based Conservation in the Bamenda Highlands	UNDP	Cameroon	1.000	BD	GET	GEF-2	MS	MU	GEFIO
796	Lake Baringo Community-based Integrated Land and Water Management Project	UNEP	Kenya	0.750	BD	GET	GEF-2	MU	MU	GEFIO

GEF ID	Name	Agency	Country	GEF funding (million \$)	Focal area	Fund	Phase	Rating		
								Outcome	Sustainability	Source
849	Regional Development and Protection of the Coastal and Marine Environment in Sub-Saharan Africa	UNEP	Regional	0.750	IW	GET	GEF-2	S	ML	GEFIO
1305	Initiating Early Phaseout of Methyl Bromide (MB) in Countries with Economies in Transition through Awareness-Raising, Policy Development and Demonstration and Training Activities	UNEP	Regional	0.663	Chem	GET	GEF-2	MS	ML	GEFIO
1430	Support to the Implementation of the Stockholm Convention on Persistent Organic Pollutants	UNEP	Global	0.580	Chem	GET	GEF-2	S	ML	GEFIO

**NOTE:** Agencies: WB = World Bank. Focal areas: BD = biodiversity, Chem = chemicals, CC = climate change, IW = international waters, LD = land degradation, MF = multifocal. Fund: GET = GEF Trust Fund. Outcome ratings: HS = highly satisfactory, S = satisfactory, MS = moderately satisfactory, MU = moderately unsatisfactory, U = unsatisfactory, HU = highly unsatisfactory, NR = not rated. Sustainability ratings: L = likely, ML = moderately likely, MU = moderately unlikely, U = unlikely, NR = not rated. Rating sources: GEFIO = GEF Independent Evaluation Office. *n* = 111.

# Annex B:

## Terminal Evaluation Report Review Guidelines

The assessments in the terminal evaluation reviews are 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 M&E 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 the report. If the review’s preparer possesses other first-hand information—such as, for example, from a field visit to the project—and this information is relevant to the terminal evaluation reviews, then it should be included in the reviews only under the heading “Additional independent information available to the reviewer.” The preparer of the terminal evaluation review takes into account all the independent relevant information when verifying ratings.

### B.1 Criteria for Outcome Ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review will make an assessment of the extent to which the project’s major relevant objectives were achieved or are expected to be achieved,<sup>1</sup> relevance of the

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<sup>1</sup> *Objectives* are the intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002).

project results, and the project’s cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:<sup>2</sup>

- **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities? Explain.
- **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)?
- **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following questions: Was the project cost-effective? How does the project’s cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

An overall rating will be provided according to the achievement and shortcomings in the three

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<sup>2</sup> *Outcomes* are the likely or achieved short-term and medium-term effects of an intervention’s outputs. *Outputs* are the products, capital goods, and services that result from a development intervention; these may also include changes resulting from the intervention that are relevant to the achievement of outcomes (OECD DAC 2002). For the GEF, environmental outcomes are the main focus.

criteria ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, highly unsatisfactory, and unable to assess.

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

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

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

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

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

## B.2 Impacts

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts are 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 review template in the subsection on "Issues that require follow-up." Although project impacts will be described, they will not be rated.

## B.3 Criteria for Sustainability Ratings

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



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

**a. 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)?

**b. 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 it as 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?

**c. 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.

**d. 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 a dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

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

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.
- **Unable to assess.** Unable to assess risks on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

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

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

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

GEF projects are required to develop M&E plans by the time of work program inclusion to appropriately budget M&E plans and to fully carry out the M&E plans 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.** Projects 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. The 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. The questions 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.** These include questions on funding and whether the M&E system was a good practice.
- Was sufficient funding provided for M&E in the budget included in the project document?
  - Was sufficient and timely funding provided for M&E during project implementation?
  - Can the project M&E system be considered a good practice?

A number rating of 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  
M&E System = b**

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

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

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

A number rating of 1–6 will be provided for each criterion according to the achievement and shortcomings, with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. Each criterion to assess the quality of the terminal evaluation will be rated as follows:

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

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

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

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

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

This section of the terminal evaluation review will summarize the factors or processes related to implementation delays and cofinancing 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:

**a. Cofinancing and project outcomes and sustainability.** If there was a difference in the level of expected cofinancing and actual cofinancing, what were the reasons for it? To what extent did materialization of cofinancing affect project outcomes and/or sustainability? What were the causal linkages of these effects?

**b. 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?

**c. Country ownership and sustainability.** Assess the extent to which country ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability highlighting the causal links.

# Annex C: Analysis of Recent Ratings Decline in World Bank GEF Projects

This analysis updates that presented in APR 2013, and includes all World Bank GEF projects covered in this APR.

Section 3.2 reports that overall outcome ratings on World Bank GEF projects, along with ratings on most other performance indicators, have declined substantially in recent years. Only 71 percent of completed GEF-3 projects ( $n = 94$ ) were rated in the satisfactory range, compared to 80 percent of projects from the pilot phase through GEF-2 ( $n = 205$ ). The difference is significant at a 90 percent confidence level. This decline in ratings is also noted in a recent World Bank IEG review examining the World Bank Group's partnership with the GEF (IEG 2013).

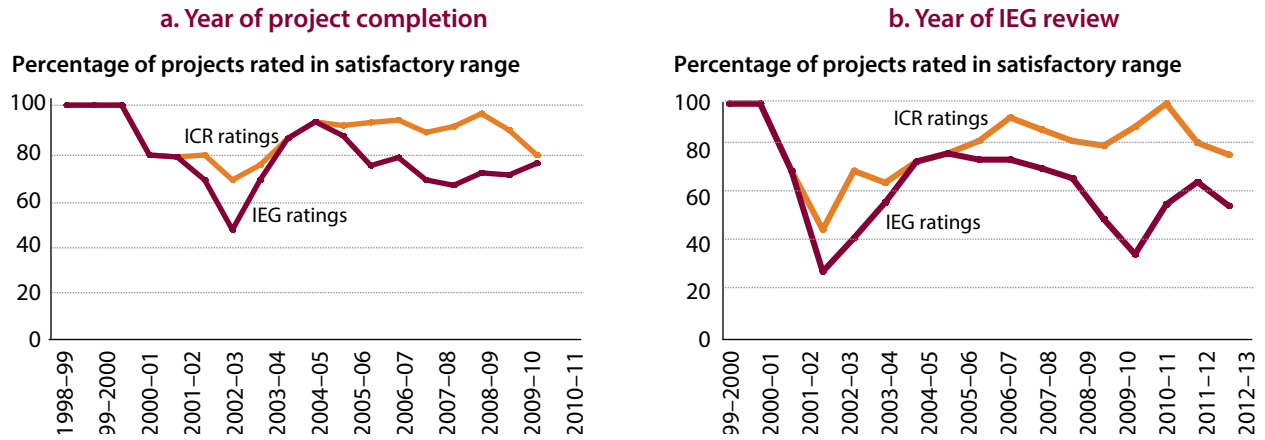
The GEF Independent Evaluation Office has sought to better understand what may be behind the recent decline in performance ratings of World Bank GEF projects. One possibility suggested by the ratings data is that the IEG review of ICRs has changed over time, becoming more stringent in its application of ratings criteria. As shown in figure C.1, for most years, ICR ratings and IEG ICR review ratings are more or less in line with one another, particularly when projects are grouped by year of project completion. However, the gap between ICR ratings and IEG ICR review ratings has grown much larger in recent years. The gap is

apparent when aggregating ratings based on year of project completion or year of IEG review.

Because the ICR and ICR review process—and indeed all project reviews—entails a fair amount of subjectivity and can be influenced by such events as changes in personnel or management, the possibility that changes in ratings are not reflective of true changes in project performance cannot be fully discounted. Given the very large gap in ratings between ICRs and IEG ICR reviews, it seems likely that some changes in the application of ratings criteria by the IEG to ICR reviews may have played a role. At the same time, as noted in the 2013 IEG review, the fact that the decline in ratings for World Bank GEF projects is not found in the Bank's portfolio of non-GEF environment-related projects, except those approved during the then most recent four-year period (FY 2004–07), suggests that some of the decline in ratings is in fact due to real changes in project performance.

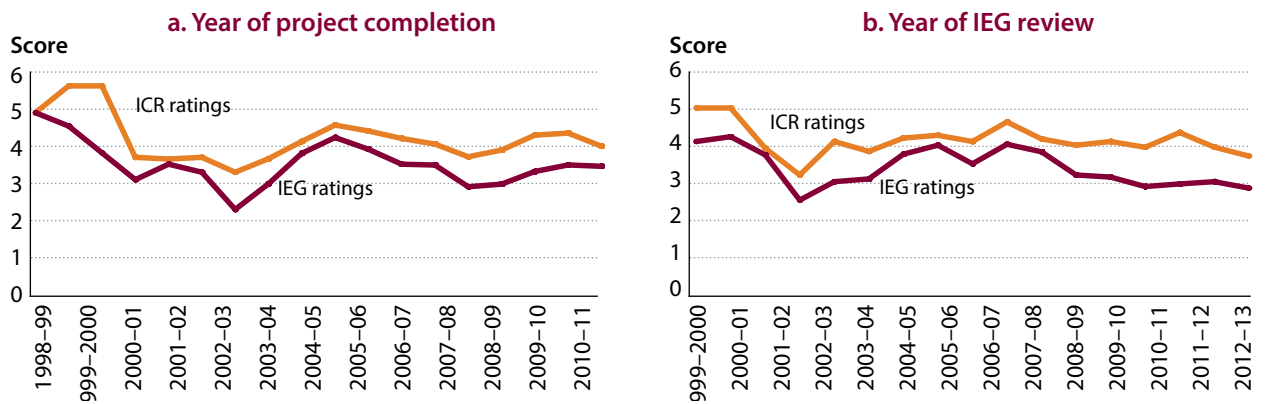
One factor to consider is whether the large spread in outcome ratings between ICR and IEG ICR reviews evident in later years is heightened by the threshold effect of sorting those ratings as being in either the satisfactory range or the unsatisfactory range. When outcome ratings from ICR and IEG ICR reviews are plotted using a six-point rating scale, the gap is not as extreme (figure C.2).

**FIGURE C.1** Comparison of Outcome Ratings from World Bank GEF ICRs and IEG ICR Reviews, Two-Year Moving Average



NOTE:  $n = 205$ .

**FIGURE C.2** Comparison of Outcome Ratings on a Six-Point Scale from World Bank GEF ICRs and IEG ICR Reviews, Two-Year Moving Average



NOTE:  $n = 205$ .

# Annex D: GEF Regions

The analysis presented in chapters 2 and 3 includes ratings on the basis of the region in which GEF project activities take place. Four regions are defined; following are the countries included in each region.

- **Africa.** Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cameroon, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Republic of Congo, Côte d'Ivoire, Djibouti, Arab Republic of Egypt, Eritrea, Ethiopia, Gabon, The Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Mayotte, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, São Tomé and Príncipe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, Sudan, Swaziland, Tanzania, Togo, Tunisia, Uganda, Zambia, Zimbabwe
- **Asia.** Afghanistan, American Samoa, Bangladesh, Bhutan, Cambodia, China, Fiji, India, Indonesia, Kiribati, Democratic People's Republic of Korea, Republic of Korea, Lao People's Democratic Republic, Malaysia, Maldives,

Marshall Islands, Federated States of Micronesia, Mongolia, Myanmar, Nepal, Palau, Pakistan, Papua New Guinea, the Philippines, Samoa, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Tuvalu, Tonga, Vanuatu, Vietnam, Republic of Yemen

- **Europe and Central Asia.** Albania, Armenia, Azerbaijan, Belarus, Bosnia and Herzegovina, Bulgaria, Georgia, Hungary, Iran, Iraq, Jordan, Kazakhstan, Kosovo, Kyrgyz Republic, Latvia, Lebanon, Lithuania, former Yugoslav Republic of Macedonia, Moldova, Montenegro, Romania, Russian Federation, Serbia, Syrian Arab Republic, Tajikistan, Turkey, Turkmenistan, Ukraine, Uzbekistan, West Bank and Gaza
- **Latin America and the Caribbean.** Antigua and Barbuda, Argentina, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, St. Lucia, St. Vincent and the Grenadines, Suriname, Uruguay, República Bolivariana de Venezuela

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