

Global Environment Facility Evaluation Office

Evaluation of the Catalytic Role of the GEF

DRAFT Approach Paper

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1. Background

The catalytic role of the Global Environmental Facility (GEF) is reflected in the GEF Operational Strategy (OS, 1994) as one of ten Operational Principles for the development and implementation of the GEF Work Program. Specifically, the Operational Principle 9 states:

“In seeking to maximize global environmental benefits, the GEF will emphasize its catalytic role and leverage additional financing from other sources”.

Several evaluations conducted by the GEF Evaluation Office have pointed to difficulties in implementing and assessing this principle. It is difficult for project proponents to understand, and does not have clear guidance from the GEF. Consequently, evaluations also found that there is limited systematic reporting in the GEF on catalytic effects. This evaluation was proposed as a means to explore in more depth various approaches to the GEF catalytic role and its implications.

The GEF Council approved this evaluation in June 2006 with a budget of \$135,000. It was then presented as a Thematic Evaluation on the Catalytic Effect of GEF Activities. In December 2006, the Council was informed that work had started on the Evaluation of the Catalytic Role of the GEF, focusing first on methodology aspects. A process evaluation looking at activities undertaken to support the catalytic role is more feasible than looking at impact of catalytic mechanisms triggered by GEF interventions.

2. Context

The catalytic role of the GEF has a number of dimensions. According to the GEF Operational Strategy, the GEF further seeks to “reduce the risk caused by uncertainty through a diverse portfolio” that will, among other things, finance actions that are cost-effective and catalyze complementary actions or have a multiplier effect, and involve a range of approaches which address the need for ongoing *innovation, experimentation, demonstration, and replicability* (OS, Chapter 1, Strategic Considerations). The *leveraging* aspect in the Operational Principle 9 has been considered financial: “The GEF will examine the role it might play in facilitating and promoting international cooperation, thereby leveraging GEF financing to address global environmental objectives in a multicountry and multiactor context”.

The GEF Operational Strategy also specified that the focal area Operational Programs would describe how the sustainability and replicability of the measures supported would be ensured. This was subsequently covered, to some extent but in various degrees, in the focal area strategies. For all the three main focal areas, namely biodiversity (BD), climate change (CC) and international waters (IW), demonstration was stressed as a key strategy. Furthermore, the climate change focal area emphasized market barrier removal, cost recovery, and new technologies; the IW focal area stressed learning processes for the implementation of a more comprehensive, ecosystem-based approach in managing international waters; and the BD focal area stressed demonstrating integrated approaches to conservation and sustainable use of biodiversity. See **Annex A** on excerpts from the Operational Strategy and GEF-4 programming framework.

The Terms of Reference (TOR) of the Third Overall Performance Study (OPS3, 2005) singled out four standard mechanisms for creating catalytic effects: (a) leveraging additional resources; (b) innovation, (c) demonstration, and (d) replication; In addition, the OPS3 observed that there are other mechanisms that can contribute to catalytic effects, including fostering international cooperation; mainstreaming; knowledge-sharing; partnerships; and institutional and individual capacity building.

The OPS3 analyzed the catalytic role of the GEF and recommended that the GEF Secretariat, in collaboration with Implementing Agencies (IAs) and Executing Agencies (ExAs), should:

- systematically track proxies for catalytic effects (i.e. through mechanisms).
- promote catalytic effects through systematizing innovation, demonstration, and replication.
- broaden its focus on non-financial mechanisms for catalysis, i.e. reduce the burden on cofinancing requirements and explore the extent to which different types of leveraging have produced catalytic effects, and how project requirements may best be modified to substitute cofinancing levels with other forms of catalytic mechanisms.
- conduct further analysis into catalytic mechanisms.

The key **audience** of the evaluation report is the GEF Council which may use it in its decision making process on policies and strategies related to the GEF catalytic role. It is also expected that the methodology and conceptual framework will be of interest to the larger evaluation and development community. Other audiences and partners will be the GEF Secretariat and Agencies for design of strategies and projects to promote greater results with less funds. Project proponents and governments will have an interest in the evaluation because of its potential to shed light on how impact and catalytic effects can be generated.

3. Goals and Scope of the Evaluation

From past reports, it is evident that the evaluation will face several challenges with regard to methodology that will influence the evaluation scope. The challenges include definitions and interpretation of numerous related concepts related to catalytic effects; a lack of existing logical framework for analysis and measurement, as well as a lack of goals or targets for catalytic effects; differing strategies and mechanisms among GEF partners and focal areas; and insufficient reporting and documentation on the subject. It is therefore proposed that the evaluation will be of an exploratory nature, with two main components: (a) methodological development, including an evaluability assessment; and (b) assessment of the GEF catalytic role. As such, the approach would be based on process evaluation, which helps understand a current program by measuring what is done, and for whom services are provided and how useful they are.

Goal

Responding to the need for learn more about the catalytic nature of GEF operations, the GEF Evaluation Office will undertake an evaluation of the catalytic role of the GEF. The proposed goal of the evaluation is to explore how the GEF conceptualizes and implements its catalytic role. The evaluation would identify main approaches, challenges and lessons learnt. It would also develop a conceptual framework for analysis of the catalytic role in future, based on reviews of the GEF legal framework and the experience of other organizations.

Key questions

The evaluation proposes to address the following questions¹, related to conceptual and operational levels. The questions may be consolidated in the Terms of Reference:

- a. How does the GEF **conceptualize** its catalytic role? This implies an assessment of the framework behind the GEF catalytic role, for example, how the catalytic role was conceived and designed at different geographic or organizational scales and in different focal areas.

¹ These questions are linked and may be subject to further revision.

- b. How can the catalytic role be **measured**? As part of the methodology component, this implies a review of the experience of other organizations in developing, assessing and measuring catalytic effects and related terms. It would provide information on the evaluability of different elements of the catalytic role.
- c. How does the GEF **operationalize** its catalytic role? What are the different mechanisms used for promoting catalytic effects? This implies an assessment of how the GEF and partners (Agencies, governments, others) have implemented the framework behind the GEF catalytic role, for example at different geographic or organizational scales or in different focal areas. The catalytic role may be addressed differently at the GEF institutional, program/strategy or project levels.
- d. What is the **effect** of different mechanisms or strategies used for promoting catalytic effects? What approaches have worked well (or less well) in what circumstances? What are unintended effects (if any)?
- e. To what **extent** is the GEF catalytic? The above questions could provide input to a preliminary assessment of the overall effectiveness of the GEF in its catalytic role. This may be assessed towards the expectations or goals of the GEF itself, and towards the experience of other organizations. The review of other organizations would also address whether it is possible to determine a comparable counterfactual or organizations with similar approaches and strategy.

Scope

The subject of the evaluation is complex and concerns many inter-related terms. To maintain a manageable scope within the above overall goal, it is proposed that the evaluation will address the following scope:

- a. **Catalytic Role.** The focus of this evaluation will be on the catalytic *role* of the GEF. This would entail a process evaluation looking at activities undertaken to support the catalytic role. This implies an assessment of the actions and activities assigned to or required or expected of a person or group; of the function and capacity of promoting catalytic effects; and its purpose, usefulness, and *raison d'être*. It may also include consideration of the GEF as one actor among others in promoting catalytic effects, i.e. its customary activity or position in a particular setting as related to other stakeholders. The evaluation will also explore how successful (or not) the GEF has been in its catalytic role.
- b. **Catalytic Effect.** The evaluation will *not* address the extent of the GEF's catalytic impact. This would imply an impact evaluation of the GEF as a whole and is not considered realistic, given the relatively small portfolio of completed projects; the limited documentation available on catalytic effect, and the on-going efforts of the Evaluation Office to pilot assessment of impact. The evaluation should, however, identify examples of catalytic effects from projects where available, and generate lessons on the usefulness of different strategies for promoting catalytic effects.
- c. **Cofinancing and leveraging.** It is proposed that the evaluation scope be limited to the GEF catalytic nature, and *not* address cofinancing and leveraged resources. Cofinancing issues are covered in other evaluation reports (APR). Furthermore, co-financing and financial leveraging to the project in the design phase do not mean there will be a catalytic effect vis-à-vis end results or impact. At most, when the evaluation finds evidence of catalytic effects, it could consider to what extent co-funding to the project was a contributing factor.

- d. **Mechanisms and strategies** for promoting catalytic effects. The evaluation will focus on key strategies used by the GEF, namely (a) demonstration, including by pilot projects; (b) replication; and (c) scaling-up. In addition, other mechanisms may also be considered, including knowledge sharing; innovation; international cooperation; mainstreaming; partnerships; and institutional and individual capacity building. The documentation review is expected to yield more patterns of which strategies are used more frequently, and may lead to modification of focus. All concepts will need to be defined in the evaluation framework.
- e. The evaluation will consider both **intended** catalytic effects and **unintended** catalytic effects of GEF activities, where available. There is a range of projects that have specific objectives and strategies aimed at fostering dissemination and replication activities. In these projects as well as in other projects that do not comprise such objectives/strategies many types of unintended catalytic effects may occur. It may well be that some GEF projects that do not have ambitious objectives/strategies of demonstration, dissemination and replication have instigated/have served as an example to important changes at different levels (local populations, local, regional and national institutions).
- f. The evaluation will concentrate on the three main **focal areas** (BD, CC, IW) for which the catalytic role is most explicitly defined. This implies definition and study of how the catalytic role and mechanisms differ between focal areas, and whether there are common elements.
- g. The evaluation will focus on GEF **full-size projects**. While other GEF modalities may also generate catalytic effects, these are either covered by other evaluations such as the evaluations of the GEF Small Grants Program, and of capacity development (i.e. enabling activities); or more limited in scope (medium-size projects (MSPs) or short-term response measures). It may also consider various types of GEF assistance in promoting catalytic effects (investments/infrastructure, technical assistance, capacity building, and credit schemes). (If feasible, MSPs may be covered in field visits for FSPs).
- h. The evaluation will apply the OECD-DAC **evaluation criteria** in accordance with the GEF M&E Policy, although these will need some adaptation to the subject in the evaluation framework. In particular, the evaluation should be able to assess the relevance of the catalytic role to the GEF mandate and national priorities, circumstances and needs, as well as the importance of sustainability for catalytic effects. Given the lack of norms for the objectives of the GEF catalytic role, as well as challenges in aggregation/attribution, assessment of results and effectiveness of the catalytic role will be tentative only. For efficiency, it is expected that counterfactuals or comparable standards will be difficult to identify. The evaluation will therefore explore cost-effectiveness, as possible, among similar activities

Given the difficulties with understanding the subject, the first challenge will be to develop an evaluation methodology. The methodology will include a conceptual framework for analysis, possibly with an Evaluation Matrix.

Methodology Issues

Given the lack of clarity on what ‘catalytic role’ precisely entails, a number of ‘exploratory’ questions is the main focus of the evaluation. As a first step, the evaluation will develop a conceptual framework for analysis, addressing the following issues (discussed further under the Methodology section):

Whose role should be catalytic? The GEF is a complex partnership in which many entities may play a catalytic role. The evaluation will consider the GEF catalytic role at several levels:

- a. At institutional level: To what extent can the GEF be considered as a catalytic facility or organization? Is the catalytic role dependent on its nature as a global facility, and its structure as a partnership? Should the GEF be seen as catalytic because it is a facility (rather than a traditional fund)? What are the linkages with the Conventions (for example, the GEF work on invasive species now influences COPs)?
- b. At strategy level: To what extent are the Focal Areas, Operational Programs and related strategies and portfolios the GEF can be considered as a catalytic facility or organization? The enquiries should be focal area specific. For example, in international waters it is more important base analysis on a system boundary basis and not on a project basis.
- c. At project level: To what extent is the catalytic role operationalized through projects?

What are the underlying goals of a catalytic role? Who has defined the catalytic role of the GEF? How did the concept originate? There are no explicit goals or targets of the catalytic role of the GEF. Implicitly, the goals include better results, higher impact, and sustainability of results. However, the notion of cost-effectiveness is also important, i.e. to obtain more results with less investment from the GEF. In GEF documentation, terms such as ‘catalytic outcomes’, ‘catalytic impact’, and ‘catalytic effects’ are often used, without a clear definition of what differentiates these from, say, ‘non-catalytic’ results. What is an acceptable level of catalytic effect; replicated once or a large scale-up? In order to assess the catalytic effects of the GEF it is important to know what those intended effects are.

What are the various concepts in use, what do they mean and how are they related? There are a considerable number of terms and concepts used in relation to the catalytic role, most of which are not explicitly defined. A clear mapping of causal links in the evaluation conceptual framework is also needed to keep the scope of the evaluation at a manageable level. A part from the various terms for the catalytic nature, the main concepts are demonstration, pilots, innovation, replication, sustainability, and scaling-up. In many cases these are necessary, but not sufficient, conditions for catalytic effects. For example, a sustainable project is not necessarily replicable, but it is difficult to envisage replication of the project if it were unsustainable. What is innovative in one situation is not new in another, but it can still be scaled up, etc. See **Annex A** on some preliminary definitions.

The origin of the Catalytic Concept:

In chemistry and biology, **catalysis** is the **acceleration (increase in rate)** of a chemical reaction by means of a substance, called a **catalyst**, which is itself not consumed by the overall reaction.

Source: Wikipedia, 1 Feb 2007

The Joint Evaluation of the GEF Activity Cycle and Modalities found that of all the GEF Operational Principles, catalytic effect is arguably one with direct implications for long-term impact; yet the most nebulous and not clearly defined. Furthermore, it found that the traditional sustainability definition of ‘continued project benefits’ does not apply well to measure replication, and that there is no evident link between catalytic effect – towards project end or after – and cofinancing before or during the project. Other reports have also point to the vagueness in terms and that more needs to be done to clarify the boundaries.

At what time does the GEF produce catalytic effects? Interventions take place in a set time span, usually short, but desired results only appear much later. When do catalytic effects start to materialize? The groundwork may be laid during the project implementation, though activities, mechanisms and strategies. Do catalytic effects depend on demonstrated successful results? If so, the catalytic role can best be observed after a project (ex-post) and considering aspects of sustainability and impact. It may also be possible that catalytic effects are continuous and not time bound in terms of an expected ‘end’, for example with institutional and policy change. This raises methodological challenges of attribution, and challenges in case study selection within the limited portfolio of closed GEF projects. The evaluation will consider the lessons learned from the on-going ex-post impact evaluation by the GEF Evaluation Office.

On what geographical scale does the GEF produce catalytic effects? Projects are usually designed and implemented at a more reduced scale than the scale they seek to affect. It is often unclear what the desired scale would be, and raises methodological challenges of assessing likelihood of GEF interventions leading to future benefits. The global nature of the GEF also influences assessment of its catalytic role. The catalytic effect of an intervention can be local (or sub-national); national at the country level; regional (two or more countries) and/or global. Intended effect may differ from actual effect. The problem of attribution, while always present in evaluation, is magnified in GEF projects because GEF affect processes that transcend the time or scale of the GEF intervention.

Who is involved in producing catalytic effects? Who does what in generating a catalytic effect? When considering the *project level*, the project (with its Implementing or Executing Agency) may be responsible for undertaking the activities that lay the groundwork for replication. However, to the extent catalytic effects materialize more fully *after* the project, and that replication implies that someone else copies the GEF initiative, other partners such as national governments are involved. As the GEF seeks work in partnership, other organizations are closely involved in the generation of catalytic effects. One potential solution is to focus on “contribution” rather than on “attribution”, although this also presents measurement limitations. In some cases, the catalytic effect can also be automatic and non-attributable, such as for market change and transformation. The corporate contribution of the GEF partnership to its catalytic role should also be considered.

What are the different means through which the GEF produces catalytic effects? And alternatively, why and when does this catalysis *not* happen (see **Box**). The question of **mechanisms or strategies** that stimulate catalytic effects is likely to provide the largest wealth of material for the evaluation. The evaluation will include commonly used strategies such as replication, demonstration, innovation and scaling-up. The GEF works at different levels in the policy chain, sometimes directly influencing the behavior of individuals, enterprises (etc.) that in turn impact the environment; sometimes influencing the institutions that develop policies that affect these actors. The evaluation will therefore consider types and levels of intervention, in terms of length and complexity, and corresponding types of mechanisms underlying catalytic effects. Some organizations differentiate between direct strategies (organization is directly responsible for effecting change in practice) and indirect strategies (works through others or tries to influence others to change and adopt new practices or policy), and direct and indirect effects.

Inhibition of Catalytic Effects:

A catalyst can be poisoned if another compound reacts with it and bonds chemically but does not release, or chemically alters the catalyst. This effectively destroys the usefulness of the catalyst, as it cannot participate in the reaction with which it was supposed to catalyze.

After being poisoned some catalysts can partially recover their activity if treated properly. This recovery depends on the nature of the catalyst and the poison.

Source: Wikipedia, 1 Feb 2007

The evaluation framework will have to pay specific attention to clarifying the concept of **replication**. A focus on replication mechanisms (for different types of GEF interventions) may seem logical due to the limited budget for the evaluation. However, the concept of “replication” has been used somewhat uncritically in development aid. Numerous reports have pointed to the difficulties in applying lessons learned across situations, challenging the idea that one approach, developed in one socio-economic, physical and cultural context, can be “replicated” readily and at relatively little cost in a different context. (One can cite the “integrated agricultural development projects” of the 1970s and early 80s in Asia that proved difficult to disseminate for African agriculture.) Thus, the evaluation should take into account that adaptation of new methodologies, approaches or technologies developed elsewhere is a complex, context-driven process, to develop a realistic framework for considering what kinds of catalytic effect might be taking place, or not, and why or why not. For example, activities to promote replication through knowledge transfer are numerous and include the dissemination of lessons, training workshops, information exchange, national and regional forums; expansion of demonstration projects; capacity

building and training of individuals and institutions to expand projects' achievements in the country or other regions; use of project-trained individuals, institutions, or companies to replicate projects' outcomes in other regions; dissemination of results, seminars, training workshops, field visits to project sites, study tours, etc.

4. Evaluation Design and Methodology

The methodology of this evaluation will include both qualitative and quantitative approaches. Given the fact that only a handful of evaluations have been done internationally on replication, mainstreaming and up-scaling, as well as leverage and co-funding, the evaluation will be conducted in a phased approach, first establishing a conceptual framework.

Phase 1: Conceptual development

[External review](#) [MORE](#)

This evaluation component will serve as a separate exercise to provide more clarity on various concepts and methods and their use, and relevance to the GEF. As a first step, the evaluation will research information from the larger development community on how a catalytic role (and/or related concepts) is defined and applied. Such concepts include [innovation; scaling-up \(and scaling-out\); horizontal and vertical scaling-up etc.](#) The review will address questions such as whose role is catalytic for other agencies; the underlying goals; and the various concepts used. A separate paper details proposals for this component ([add reference once ready](#)).

Secondly, research would be useful to explore possible approaches to *measurement* for this evaluation. Methodologies for assessing catalytic effect at a higher level ([policy or market](#)) may be useful to the GEF and others in future. It may, however, also guide the development of the framework for analysis of GEF interventions. Two subjects could be useful for research:

- a. **Methods for measurement of market transformation and change.** This would entail researching studies and approaches for how markets change and the factors that catalyze such change; it does not imply a market assessment of supply and demand and potential rate of return. It should however, be limited to related markets, such as energy products, services or technologies (for climate change) and eco-tourism (in biodiversity). The climate change program study (2004) identified a framework for analyzing market transformation, which include the factors of policy, business development, finance, awareness and information and technological innovation.
- b. **Methods for measurement of policy change.** This would entail researching studies and approaches for how policies change and the factors that catalyze such change. The evaluation will explore methods of measuring the drivers behind such policy changes, and for example, to what extent policy change takes place with or without being driven by science. Policy change is pursued in all GEF focal areas; through for example, capacity building, sector reform, support to national planning processes (POPs, NIPs, Biosafety, enabling activities). In climate change, the GEF has worked less in overarching policy frameworks than in standards and codes for technologies, and renewable energy policies; in biodiversity, legislation for protected areas. International waters projects target, in particular, international cross-boundary policy frameworks. (Alternatively, the scientific aspects of policy change may be better addressed under the evaluation of the role of science in the GEF).

[Internal documentation review](#)

A documentation review will identify the *legal framework* for the GEF catalytic role (from Council documentation, Convention guidance, strategy papers etc.). It should capture how the perception and application of the catalytic role has changed over time, from orientation towards pilot projects during the earlier GEF periods, to an understanding of linkages to partnerships, impact, knowledge management and policy dialogue. Some of this information is available from the Joint Evaluation of the GEF Activity Cycle and Modalities. The review will address questions such as whose role should be catalytic; the underlying goals; and the various concepts used, with special attention to possible logical frameworks for catalytic role. For the GEF, some potential *frameworks* for analysis exist (see **Annex C**) to be adapted to this evaluation.

The documentation review will also cover related issues raised in past *evaluations* and monitoring reports, to identify strategies and mechanisms for promoting catalytic effects, results and challenges and issues. This should cover GEF corporate evaluations and evaluations by the Agencies; Council reports, and project evaluations (primarily the 116 available terminal evaluation reviews). Literature review(s) of GEF development strategies and programs, Convention guidance and experiences as provided in evaluations and reports. These reviews would provide important internal and external contexts on which to base and compare field data.

Thirdly, the review will explore *indicators* for measuring catalytic effects used in the GEF. For example, the Evaluation Office supported the GEF Secretariat, the International Waters Focal Task Force and the World Bank in the development of [programme] indicators to measure environmental catalytic impacts of nutrient for projects in the Black Sea Nutrient Reduction Partnership. Scientists of Iowa State University are in the process of developing the indicator framework and defining scientifically valid proxies that can be used to measure environmental results and approaches to extrapolate catalytic results” (C.28).

Fourthly, a desk review will be undertaken of GEF project documentation to map strategies, approaches and instruments used in design for catalytic role (see project sampling below). Initially, it will focus on exploring and broadly mapping strategies use by projects in the three main focal areas. After a mapping classification is agreed in the conceptual framework, in-depth analysis would be undertaken for a grouping of potentially relevant project clusters. The above reviews will feed in to the development of a conceptual framework.

[Development of a conceptual framework](#)

The framework should include an assessment of the institutional understanding and practice of catalytic role. The evaluation will explore the definition and process of catalytic effects and proposes a common language of terms. It would be based on the Phase 1 review of published information from a wide range of institutions, consultation with partners, and review of GEF legal framework above. The framework should contain definitions; a Logframe (focal-area specific if needed); and an evaluation matrix. It would address the evaluability of the various key questions above. What is observable should be the focus.

Additional methodology would need to be developed for considering *attribution*. One option may be bridging the gap between overall market or policy change (top-down analysis), and catalytic effects of a GEF project (bottom-up analysis). The conceptual framework would be developed towards the end of Phase 1 and discussed in a stakeholder workshop.

Phase 2: Data collection and analysis

Project sampling

The evaluation will conduct select project case studies (tentative in three countries) through field visits, based on the mapping of key strategies identified in the evaluation framework (e.g. replication, demonstration etc.) and the documentation review. In each country, several projects may be visited.

As per January 2006, there were 456 approved GEF full-size projects, in addition to 210 that had closed (Source: Joint Evaluation). From past evaluation and monitoring reports, at least 128 GEF projects (88 FSP, 40 MSP) have been identified as having catalytic effects or lessons learned on replication (of which 46 are in biodiversity, 45 in climate change, and 23 in international waters). The majority are in Asia (33) or Latin-America (30). In addition, a preliminary portfolio review by the evaluation identified 38 'pilot projects' and 44 projects aimed at 'demonstration'. Three projects (CRESP in China) are aimed at scaling-up (of renewable energy).

This universe, using the database from the Joint Evaluation, should be used to determine selection of sample projects for desk study and/or field visit, based on preliminary criteria:

- Proportionate representation of focal areas (the three main ones: BD, CC, IW)
- Representation of regions, as broad as possible (given the evaluation budget, visits to a maximum of three countries are likely).
- Nature of the project catalytic strategies (replication, innovation, pilot, demonstration, etc.).
- Clusters of projects with high potential for intended catalytic effect (ref. market transformation or policy change above, and the preliminary project documentation review). To maximize relevance of lessons learned, the evaluation should focus on parts of the portfolio with broad application. For example, in climate change, renewable energy (PV), OP7-new technologies and OP11-transport are less likely to yield lessons learned on catalytic effects; while there are more examples with various strategies in energy efficiency, biomass and select renewable energy policy projects.
- Practical considerations; coordination with related evaluations and initiatives for field visits. Presence of more than one project with presumed catalytic effects in a country will be taken into account.
- Initially, the above 169 pre-identified projects as having catalytic effects will be used as basis for purposive sampling. In addition, a random project sample of other projects that may (or may not) have catalytic effects will be selected for comparison.

Data collection and case studies

The evaluation methodology will include both qualitative and quantitative approaches. Quantitative approaches will be developed depending on the desk reviews and conceptual framework. The evaluation will review project and program documents for the study countries, including such project documents as supervision, implementation completion / terminal evaluation reports (including IEG and GEF EO evaluation reviews); institutional and individual in-country records.

The field studies will include review of projects in the three focal areas of biodiversity, climate change and international waters in the selected countries. Local consultants may be considered to carry out the data collection. Group and individual interviews will be used during field case studies to solicit information from in-country stakeholders (e.g., Government staff, policy-makers) and from beneficiaries (Government staff, groups of individuals). The project visits would address who is involved in producing catalytic effects; the geographical scale; timing, and mechanisms for promoting catalytic effects.

Analysis

The above would lead to an assessment of the key questions, and the methodology issues, including:

- The suitability of the instruments available to the GEF to fulfil its catalytic role; how these instruments presently operate to identify where they might be strengthened.
- How the nature of GEF as a partnership, and its structure, facilitate its catalytic role (internal organisational structures and processes; policy, portfolio design and implementation arrangement. Overall strategies, focal areas, operational programs etc.). Is the current organizational and institutional set up of the GEF the best to foster its catalytic role? What are institutional factors such as risk taking?
- Effectiveness of approaches at project level in generating catalytic effects and the chain of effects.
- Relationship between catalysis, innovation and risk taking.
- Establish key issues and the hierarchy of causal relationships among them.

Continuous activities

Interviews and Consultations

High collaboration potential is expected with other institutions within and outside the GEF since this is a topic of interest for many aid donors and recipient countries. The methodological Phase 1 will be done together with other evaluation offices in agencies that also perceive their own role as catalytic or innovative, such as the International Development Research Center in Canada (IDRC), IFAD and UNDP. Furthermore, collaboration with STAP will be actively promoted (December 2006 progress report to Council).

Consultations should take place in several steps (a) preliminary consultations on partner interpretation and strategies related to the catalytic role and possible approaches; (b) once methodology has been proposed, consultations on the application of the catalytic role. Focus group discussions and expert interviews will focus on views on the GEF catalytic role, understanding and practice of the catalytic role, partner's perspective on the constraints and strength and weakness of various instruments and the organization in this respect. Semi-structured interviews with GEF Secretariat, Implementing Agency, Executing Agency and in-country stakeholders and beneficiaries may be important in providing overview of catalytic strategies and mechanisms, and also on specific case studies.

Potential partners to be consulted include (not exhaustive):

- Implementing and Executing Agencies – on their Agency interpretation/strategy of catalytic role
- The GEF Secretariat – on each focal area interpretation/strategy of catalytic role
- STAP – on science-based interpretation/strategy of catalytic role and measurement
- IFC- on its mandate and role “...to act as a catalyst and a testing ground for the market uptake of frontier global environmental initiatives In implementing GEF initiatives (rather than supporting proven technologies in established markets)...” (Evaluation of IFC-GEF portfolio, 2005).
- IFAD - on its mandate in poverty alleviation through the catalytic, innovative and replicable nature of its functions.
- UNDP – on its policy advisory services and role, including a number of initiatives related to Catalytic Approaches (TCDC, the Catalytic Fund for human development, the NHDR, UNDP Poverty Strategies Initiative; gender support; the Democratic governance trust fund etc.
- World Bank – on its sectoral approaches to scaling-up.
- International Food Policy Research Institute (IFPRI), has conducted two case studies on micro-finance and CDD scaling-up experiences and lessons, with factors influencing success

- International Development Research Centre (IDRC), Fred Carden, Ottawa, Canada, has evaluated IDRC / CIDA support for small and medium sized enterprise policy development, with overview of lessons, impacts and replication effects in Egypt; as well as publication on adoption of information and telecommunication technologies:
- The National Center for Science and Technology Evaluation (NCSTE) in China has conducted a joint Evaluation of Dutch ORET/MILIEV Program in China, with a focus on replication, and has provided lessons learnt to this evaluation.
- The GEF Evaluation Office is also cooperating with a PHD study on “Sustaining Global Environmental Benefits through Changes in Farmers’ Behavior: A Review of GEF-Funded Activities”. It contains an exercise on mapping mechanisms/processes of replication for a selected portfolio of PES (payments for environmental services) projects, focusing on innovation, replication, upscaling. The study has reviewed 332 projects (all FSPs and MSPs approved between Jan 2000 and June 2005 from three portfolio’s: biodiversity, land degradation and multi-focal areas) for codification. 3 projects in Latin-America will be visited.
- CENTRIM, University of Brighton, UK and the Institute of Development Studies (IDS), University of Sussex. Institute of Development Studies Sussex, have supported IFAD in their evaluation on innovation
- The evaluation community and the evaluation departments of the GEF partnership.
- Partnership with private sector or management consultancy companies, that are interested in catalytic effects, could also be explored.

[Linkages with other evaluations](#)

The aspect of catalytic effect is linked to almost all GEF activities in some way. The evaluation will coordinate with the following evaluations and make use of their data and findings:

- Evaluation of the **role of science** in the GEF. “This subject was proposed given the fact that new scientific insights in environmental issues are emerging regularly, and the *catalytic role* of the GEF calls for an early adoption of new insights, methods and technologies” (C.28). Schedule: An issues and options paper will feed into the four year rolling work plan of the Evaluation Office, which will be proposed to Council in June 2007.
- The pilot **impact evaluation** which will use a theory based approach, which would work through logic models and results chains to focus on the intervention mechanisms that are driving the final impact, within biodiversity. The evaluation could provide information on the linkages between that catalytic role and impact. Schedule: June 2007 Council.
- Evaluation of GEF **Capacity Development** Activities could be linked to policy-driven catalytic change. It proposes to evaluate the results of all GEF capacity development support, from Enabling Activities and Small Grant program support, through to the national results of regional projects, in two (or more) neighboring countries, which share one or more common environmental challenges of global importance. The capacity development evaluation will examine in each country the nature and results of the national and regional interventions and relate these to policy, institutional and individually-focused capacity development targets. The evaluation could provide information on the linkages between capacity and a catalytic effect. Schedule: December 2007 Council.
- Evaluation of the **GEF Small Grants Program** (SGP) will address effectiveness (To what extent has the SGP contributed to the generation of global environmental benefits?) under the analysis of the overall country contributions of the SGP to the protection of the global environment. (“To what extent and under what conditions does scaling up and replication take place?”, key question 2c). The SGP evaluation will provide information on the linkages between micro-grants and the catalytic role. Schedule: December 2007 Council.

6. Process and Management

The evaluation commenced in December 2006 and will be completed for GEF Council in November 2008. The evaluation will be carried out by the GEF Evaluation Office in cooperation with international independent consultants, and with partners for the methodology phase. The possible products of the Evaluation include:

- A conceptual framework for catalytic role with definitions
- Typology of strategies and mechanisms for catalytic effect, with project examples
- Lessons learned on what works and not to generate catalytic effect (and replication)
- Approaches to measurement of catalytic effect (and replication) for markets and policies
- Overall analysis of the catalytic role of the GEF as an institution.

The overall timeline (see below) will be refined during and after Phase 1. Milestones and next steps include:

- End December 2006: agreement GEF EO on Issues Paper
- January 2007: **Approach Paper** distributed for comments, paper on external review finalized
- February 2007: Launch of **Phase 1** on conceptual development, recruitment of consultants, consultations
- February 2007 to mid 2007: external review, consultations, documentation review, project selection, development of methodology **conceptual framework**.
- June 2007: progress report to Council
- Mid 2007: **workshop** on conceptual framework and TORs with stakeholders and external partners
- Fall 2007: Launch of **Phase 2** on data collection and analysis
- Mid 2007 to spring 2008: Data collection, project reviews
- Around mid FY08: Final report draft for comments.
- November 2008: Presentation of final report to the GEF Council.

Annex A: Definitions

The concept of catalytic effect has no clear definitions in the literature reviewed. Related terms used in GEF evaluations and documents, but not yet defined, include: catalytic outcomes, catalytic impact, catalytic effects, catalytic assessments, catalysis, catalyst, catalytic approaches, catalytic role.

Term	Definition
Catalytic	- adj: of; involving or acting as a catalyst (dictionary)
Catalyst	<ul style="list-style-type: none"> • -n: One that precipitates a process or event, especially without being involved in or changed by the consequences (dictionary) • catalysts (or Triggers, 'sparks') for scaling up – the motivating or driving forces e.g. a successful pilot project, a charismatic individual leader or a change in the local or global context. There may be a combination of factors/events coming together. Such triggers/catalysts may come unexpectedly or they may be deliberately planned, emerging from the felt need among certain stakeholders to show large-scale impact.
Catalytic role	GEF will focus more attentively on its catalytic role, through “demonstration effects” and “replication” (From OPS2 follow-up)
Mechanisms of catalytic effects	Cofinancing, leveraged resources, replication, mainstreaming (OPS3).
Replication in the GEF	<ul style="list-style-type: none"> • Lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects: <ol style="list-style-type: none"> a. replication proper, when lessons and experiences are replicated in different geographic areas; b. scaling up, when lessons and experiences are replicated within the same geographic area but funded by other sources. (OPS3, OME (2005), PPR 2003) • Repeatability of the project under quite similar contexts based on lessons and experience gained (2005 APR).
Replication – other sources	<ul style="list-style-type: none"> • "Initiation or copying" (Websters dictionary) • "A copy, or reproduction. Also the act of copying or reproduction" (Oxford dictionary) <p>UNCDF makes a distinction between:</p> <ol style="list-style-type: none"> a. country level replication by Expanding a program through co-financing; Upscaling a program sequentially; Ad-hoc influence and inspiration; Private sector replication (e.g., micro-finance) b. replication in the wider development community (Joint actions of donors; Research, training and advocacy programs; Networks of practitioners) c. Linkages between replication and policy impact (Government actions; Chain reactions)
Mechanisms of replication	knowledge transfer, including the dissemination of lessons through project result documents, training workshops, information exchange, national and regional forums, etc.; expansion of demonstration projects; capacity building and training of individuals and institutions to expand projects' achievements in the country or other regions; and/or the use of project-trained individuals, institutions, or companies to replicate projects' outcomes in other regions (GEF, 2005a). Actions to foster replication include dissemination of results, seminars, training workshops, field visits to project sites, etc. (GEF Project Cycle, GEF/C.16/Inf.7, October 5, 2000.)
Replicable innovation	an innovation that has been tested and evaluated, prior to being promoted, in order to establish whether it truly meets the criteria for replication (IFAD)
Innovation capability	'effectively and frequently exploiting the value inherent in ideas for the benefit of one or more of the organisation's stakeholder groups'. (IFAD)
Invention	The initial demonstration of the basic promise and feasibility of a new artefact or solution. (IFAD)
Innovation	<ul style="list-style-type: none"> • Innovation is the introduction of new ideas, goods, services, and practices which are intended to be useful ... (wikipedia) • The process that follows after invention, which test feasibility, impact and marketability. The result of this process then becomes the “innovation.” The simplest model of the innovation process is: invention, innovation, diffusion. (IFAD)

Term	Definition
	<ul style="list-style-type: none"> A process that endows resources in a particular context with a new and better capacity to alleviate rural poverty and promote sustainability. (IFAD)
R&D	Research and Development, a tool for innovation and invention.
Innovation process: Steps	<ol style="list-style-type: none"> Recognition of an unmet need requiring innovation Identification / analysis of an opportunity for innovation and selection of an innovation from among a series of alternatives Testing of the innovation (technical, economic, socio-cultural, political). Adaptation and upscaling of the innovation Replication of the innovation in new settings Innovation related knowledge generation and dissemination (IFAD)
Scaling-up	<ul style="list-style-type: none"> The term scaling-up (or any of several alternatives) is used with reference to the replication, spread, or adaptation of techniques, ideas, approaches, and concepts (i.e., to means), as well as to increased scale of impact (i.e., to ends). (WB) To efficiently increase the socioeconomic impact from a small to a large scale of coverage. (WB) "adapting and expanding positive development experiences in space and time" (WB) "Bringing more quality benefits to more people over a wider geographical area, more equitably, quickly and more lastingly" (IFPRI) "Scaling-up Community-driven Development implies the co-production of investments, outputs and services by many different stakeholders at many different levels" (WB)
Mechanisms of Scaling-up	<p>scaling-up can be achieved in either of two basic ways (with some overlap):</p> <ul style="list-style-type: none"> Expansion of experience, i.e., scaling-up impact within an area or country on the basis of one or more existing useful, preferably successful, initiatives; or Transfer of experience, i.e., scaling-up impact in new and unassociated areas on the basis of one or more useful, preferably successful, initiatives.
Cofinancing	"the project resources that are committed by the GEF agency itself or by other non-GEF sources and which are essential for meeting the GEF project objectives." <i>Co-financing Policy for GEF Projects</i> (GEF, 2004d).
Leverage	retained as a term to denote additional financial resources, as concluded by the Secretariat. (From OPS2 follow-up)
Leveraged resources	"additional resources—beyond those committed to the project itself—that are mobilized later as a direct result of the project, e.g., for further replication or through programmatic influence." <i>Co-financing Policy for GEF Projects</i> (GEF, 2004d).

Annex B: Focal Area Policy guidance on replication and catalytic role

[may omit in final version]

The GEF Operational Strategy provides some guidance on catalytic and replication aspects for the Focal Areas and Operational Programs (OP):

Climate Change: “The GEF will make grants for agreed incremental costs. In the long run, the GEF could play an even larger **catalytic** role through other forms of financial assistance, particularly in relation to operational programs that accelerate implementation of commercial technologies and measures (for example, renewable rural electrification) [...]. It would, of course, be necessary for the GEF to show in some detail that such assistance is complementary to that from other channels, such as multilateral banks, and that it is indeed **catalytic**.”

- **OP7:** Reducing the long-term costs of low-GHG technologies. Justify the choice of the technology as a potential mitigation measure based on scientific and technical considerations, the resource base in recipient countries, and prospects for sustainability and replicability.
- **Removing implementation barriers for technologies.** The GEF, in association with the development banks and other development institutions, will contribute to the cultural, institutional, administrative, technical, policy-related, and financial learning processes necessary to remove barriers and promote broad dissemination of commercially available, climate-friendly technologies and measures throughout a country or region. Operationally, “removing a barrier” must promote **sustainability**; it does not mean merely subsidizing a few projects so that they can surmount a barrier while leaving it in place. GEF activities will therefore mainly involve building endogenous capacity, improving public awareness, and **demonstrating** and disseminating technologies and measures. The costs of removing barriers, such as learning costs, are incremental costs.
- **OP5:** Energy Efficiency. The purposes of this operational program are: To help ensure the sustainability of the resulting “win-win” projects by **demonstrating** cost recovery and facilitating **mainstream** financial support, including from the multilateral development banks. Demonstrate the sustainability of the “win-win” projects after GEF support has ended, including **demonstrations** of appropriate cost recovery.
- **OP6:** Renewable Energy. Within this operational program, it will be necessary to: **Demonstrate** appropriate cost recovery, and, hence, the sustainability of **similar** renewable energy projects after GEF support for removing barriers and reducing implementation costs has ended. It will be necessary to identify all barriers to the use of renewable energy -- including any energy pricing distortions; to propose specific measures to remove the barriers; and to estimate the costs of barrier removal. In addition to removing barriers, it may also be necessary to reduce implementation costs through selected **demonstration** of the technologies and of cost recovery principles. GEF grants also may be needed to meet the incremental cost of purchased units in order to stimulate demand and thereby achieve **economies of scale**. Demand must be high enough for local dealer support and marketing infrastructure to expand to the point where unit implementation costs are reduced.

International Waters:

- The GEF's objective in the international waters focal area is to contribute primarily as a **catalyst** to the implementation of a more comprehensive, ecosystem-based approach in managing international waters and their drainage basins as a means to achieve global environmental benefits. The GEF will act as a **catalyst** to ensure that countries better understand the functioning of their international waters systems, gain an appreciation of how their sectoral activities influence the water environment, and find means for collaborating with neighboring countries to collectively pursue effective solutions. As such, the GEF will primarily fund the transactions costs of these **learning** processes so that countries may make changes in the ways that human activities are conducted in different sectors and make

priority environmental interventions. The aim is to overcome barriers to action so that the capacity of any particular waterbody to sustainably support human activities is not exceeded.

- The GEF will play a **catalytic** role in assisting countries seeking to **leverage** cofinancing in association with national funding, development financing, agency funding, and private sector action for different elements of a comprehensive approach for sustainably managing international waters. The "precautionary principle," the "polluter pays principle," and policy reforms are most always included as integral elements of international waters projects and programs to foster **incentives** to use resource-efficient and clean production methods that will help reduce discharges of toxic substances and sustain global environmental benefits.
- The emphasis will be on facilitating regional and international cooperation; pilot initiatives with **demonstration** value; a comprehensive approach that integrates the management of land and surface/groundwater systems; and coordinated land use planning and management, relying on technology-based information systems, information networking, stakeholder involvement, extension services, regulatory frameworks, and incentive systems.
- **OP10: Contaminant-Based Operational Program.** This program will include activities that help to **demonstrate** ways of overcoming barriers to the adoption of best practices to limit contamination of international waters. Some projects may include **demonstrations** and **pilot** tests of measures to address pollution discharges from land-based sources of marine pollution (particularly persistent organic pollutants); the incremental costs of these measures can also be included in technical assistance or investment projects as part of the waterbody-based operational program. Targeted technical **demonstration** and capacity-building projects can help build awareness in recipient countries of international waters concerns as well as best-practice measures, tools for finding solutions, and policies for innovative institutional approaches. For example, priority is placed on **demonstrations** of economic policy incentives in projects addressing land-based sources of pollution and in transboundary basins (see the appendix).
- In order to ensure that a diverse portfolio of different types of projects is developed and that the imminent threats to international waters are addressed, the following **criteria** will be applied:
 - The transboundary concern involves one or more of the imminent threats to international **Leveraging** of development assistance, international agency cofunding, or private sector or other country commitments to provide associated financing for priority solutions in the baseline as well as for transboundary concerns.
 - Degree to which the problems are common to other geographic regions and interventions are **replicable**.

Biodiversity:

- *Biodiversity conservation activities.* Activities within the framework of operational programs to secure long-term biodiversity protection will include: Developing **demonstration** projects linked to alternative livelihoods for local and indigenous communities
- **OP1: Arid and Semi-Arid Ecosystems.** Activities in this operational program will focus on the conservation and sustainable use of endemic biodiversity in the dryland ecosystems including grasslands, primarily in Africa, and in mediterranean-type ecosystems, where biodiversity is threatened by increased pressure from more intensified land use, drought, and desertification, often leading to land degradation. Activities will **demonstrate** integrated approaches to the conservation of representative natural habitats and ecosystems through effective systems of conservation areas, including protected areas, introduction of sustainable land use systems, and strategic interventions to rehabilitate degraded areas. Special attention will be given to the **demonstration** and application of techniques, tools, and methods to conserve traditional crops and animal species in their original habitats.

- **OP3: Forest Ecosystems.** Activities in this operational program will involve the establishment and strengthening of systems of conservation areas, including protected areas, and **demonstration** and development of sustainable use methods in forestry as part of integrated land management in agricultural and forest landscapes, focusing primarily on tropical and temperate forest ecosystems areas at risk. Particular attention will be given to **demonstration** and application of techniques to conserve wild relatives of domesticated plants and animals for the sustainable use of biodiversity, conservation of areas of importance for migratory species, strengthening of conservation area networks, and development of sustainable use methods in forestry. GEF funds will complement ongoing efforts, as appropriate, and help to scale up and **replicate** successful initiatives focusing on global objectives, promote best practices, and help design and implement cohesive programmatic approaches.

Ozone: no references

Since then, as reflected in the GEF-4 programming document, the concept of the catalytic role has evolved. Within Climate Change, it now involves a focus on market change with the portfolio objective to develop, expand, and transform the markets for energy and mobility in developing countries, and avoided emissions from cumulative GEF-facilitated investments that include some replication but not large market scale-up. In biodiversity, the focus is on catalyzing sustainability of protected areas, while the objective in International waters has remained the same, with emphasis on catalyzing implementation of agreed reforms and stress reduction investments on-the-ground to address transboundary water concerns. Within the newer focal areas, the Land Degradation Portfolio Objective is to demonstrate and up-scale successful sustainable land management practices for the control and prevention of desertification and deforestation, similar to the POPs strategic outcome that lessons learnt and best practices are taken-up regarding obligations under the Stockholm Convention. The **GEF-4 Replenishment programming** document provides the following guidance:

Lesson Learning and Dissemination: GEF's ability to generate global environmental benefits depends on the **replication** of project successes and the avoidance of repeat failures, which in turn depend on the effective **use of lessons learned**. Therefore, the Secretariat and GEF agencies should ensure that lessons learned are incorporated in projects during their development phase and that projects under implementation have adequate provision for lesson learning and dissemination, including indicators for these activities, which can be assessed through monitoring and evaluation.

Climate Change Portfolio Objectives: Develop, expand, and transform the markets for energy and mobility in developing countries. Lifetime avoided emissions from cumulative GEF-facilitated investments include some **replication** but not large market **scale-up**.

Biodiversity Portfolio Objectives: The conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources

- **Catalyzing** sustainability of protected areas (**Primary Outcome:** Biodiversity conserved and sustainably used through the expansion, consolidation, and rationalization of national PA systems.)
- Mainstreaming biodiversity conservation in production systems
- Capacity building for the Cartagena Protocol on biosafety

International Waters Portfolio Objectives: Contribute, primarily as a **catalyst**, to the implementation of a more comprehensive, ecosystem-based approach in managing international waters.

- **Catalyzing** implementation of agreed reforms and stress reduction investments on-the-ground to address transboundary water concerns (Targets & Indicators :

- By 2010, GEF will have successfully completed 2 Strategic Partnerships reducing pollution of East Asia Large Marine Ecosystems (LMEs) and catalyzing sustainable marine fisheries in Africa LMEs and begun a third one for the Mediterranean Sea LME.)
- By 2010, GEF will have increased by 40% over GEF-3 the number of representative transboundary water bodies for which it catalyzed implementation of on-the-ground stress reduction measures and reforms in agreed management programs.
- Expanding foundational capacity building to a limited number of new transboundary systems through integrated approaches and targeted learning for the IW portfolio (Targets & Indicators).
- Ministerial agreed strategic action programs for improved management of transboundary systems; functioning inter-ministry committees; replication of good practices results from targeted learning).
- The focal area will concentrate on catalyzing on-the-ground implementation of agreed management programs, regional/national reforms, and stress reduction measures for transboundary water systems.

LD Portfolio Objectives: Demonstration and up-scaling successful SLM practices for the control and prevention of desertification and deforestation (Outcome: Successful and sustainable community-based agriculture, grazing and/or forestry in demonstration landscapes with mechanisms for up-scaling of best practices.)

POPs Portfolio Objectives:

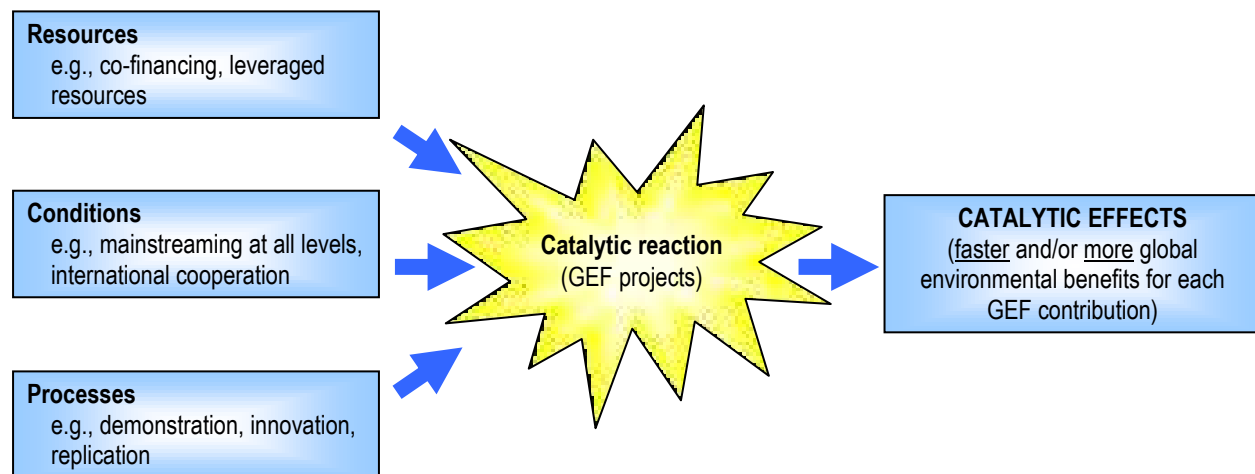
NIP Program and dissemination of best practices (**Strategic Objective Outcome:** Eligible countries are meeting their reporting obligations under the Stockholm Convention, and lessons learnt and best practices are taken-up)

GEF's involvement in tackling the threats posed by POPs dates back to 1995, with the introduction of the International Waters Operational Strategy and its contaminant-based component. In this framework, in the late 1990s, GEF began to develop a portfolio of strategically-designed projects including regional assessments and pilot demonstrations that addressed a number of pressing POPs-related issues. These initial activities allowed the GEF to respond promptly to requests for support from the negotiators of the Stockholm Convention for implementing the Convention. This in turn led to the adoption of the Guidelines by the GEF Council for POPs-enabling activities in May 2001, the same month that the Convention was adopted.

Goal: To the extent that the capacity building needs of countries in their efforts to reduce/eliminate POPs will often address more general chemicals management issues, the GEF, in supporting the POPs Convention, will strengthen the above-mentioned processes related to chemical safety. The GEF would thus catalyze a collective and coordinated response from countries to these global and regional agreements.

Annex C: Possible frameworks for assessing the GEF catalytic role

Framework A, from OPS3. GEF Mechanisms for Producing Catalytic Effects



Framework B, from 2006 Terminal evaluation guidelines: Levels of catalytic results

“Catalysis and replication. The TERs will seek to identify four different “levels” of catalytic results.

These results need not be linear or cumulative. Thus it is possible that one is present while others might not be present. The recorded levels of catalytic results will be:

- Production of a public good. This would be the lowest level of catalytic result. It might include the production of knowledge, a new technology or a new approach. At the lowest level of catalysis, the catalytic effect as such is left to “the market”. No actions are undertaken by the project to propagate or promote the public good that has been created.
- Demonstration. Under this category the project that produces a public good takes steps to promote propagation. This could be by setting up a demonstration site, efforts put into getting the message out and providing assistance to others interested in repeating the experience.
- Replication. Experience is repeated either inside the project or outside the project, in other GEF projects or by other agencies or actors within the country or internationally.
- Scaling up. The project activities led to changes at the level of the system. New or proposed approaches become widely accepted or they become the law of the land. This normally would involve some kind of policy decision.”

Framework C, from WB - CDD

Relate to sequencing and timing – the temporal dimension - Binswanger and Aiyar (2003) refer to three sequential **stages** of moving towards large-scale CDD:

- *Initiation* – may include enhancing participation, engaging in dialogue on decentralization, and/or piloting CDD
- *Scaling up* – after a successful pilot. Requires planning for training and logistics, development and field-testing of manuals etc.
- *Consolidation* -- may include going for national coverage, moving from participation to full empowerment, capacity development, expanding and deepening CDD functionally to address issues that may not have been first priorities e.g. chronic malnutrition or HIV/AIDS, and/or forming networks or federations of stakeholders.

Framework D

To help structure analysis of the case studies, and other experiences, a scaling up taxonomy adapted from that used by Uvin and Miller (1994) and Korten (1980) contains four different types of scaling up processes. At any time during scaling up, one or more of these processes may be underway:

- *Quantitative* where a program expands in size, geographical base or budget (also referred to as 'scaling out');
- *Functional*, involving increases in the types of activities and integration with other programs;
- *Political*, involving increases in political power and engagement with wider political processes; and
- *Organizational*, involving increases in organizational strength.

Framework E

There are several other classifications of scaling up processes. Hancock (2003) for example makes the differentiation between organizational growth and institutional and policy change -- both of which encompass direct and indirect routes. Organizational growth could be direct through replication or spread, or indirect through the formation of partnerships and integration. Institutional and policy change could be direct, via capacity development and mainstreaming, or indirect through advocacy and lobbying.

- organizational growth (or "horizontal") approaches (i.e., expanding successful systems and/or implementing them relatively unchanged). For the GEF, this may relate to scaling-up, replication and market development.
- institutional and policy change (or "vertical") approaches (i.e., using successful experiences as the basis for policy and/or institutional changes). For the GEF, this may relate to how it promotes policy changes.

Framework F

Another system is employed in the Kecamatan (KDP) program in Indonesia which differentiates three main types of scaling up process: physical, social and conceptual:

- *Physical* scale-up depends on simple systems -- systems for disbursement, for decision-making, and for implementation, monitoring and evaluation, which are fully described in manuals.
- *Social* scale-up arises from the experience of success by stages, and is manifested in the development of community capacity to work synergistically towards common goals in relation with local government.
- *Conceptual* scale-up implies that the meaning and dimensions of CDD will continue to evolve, that CDD principles will be progressively incorporated into policy goals, institutions and new poverty programs, and that there will be an increasing understanding of the larger issues that affect community well-being.

Framework G

Myers (1984) refers to scaling up through three different approaches – expansion, explosion and association. Another classification, used in the past by IIRR (2001), suggests that scaling up needs to be viewed from the following perspectives:

- *Institutional*: the need to look at the processes and mechanisms involved in the scaling up process; that scaling up involves wider stakeholder participation, involving as many development actors as possible and that it has to promote participation.
- *Geographical/spatial*: that scaling project/activities involves expanding coverage to other communities/ municipalities.
- *Technological*: that scaling up may also mean broadening or implementing appropriate technologies or implementing complementary or additional activities/technologies to increase productivity or to better manage ecosystems more sustainably.

- *Temporal*: the timing and duration of scaling up.
- □ *Economic*: cost of scaling up, economic viability.

It is useful to keep the polar opposite universalist and contextualist positions in mind too. Universalists view scaling up essentially as expansion of a pre-designed project, while contextualists see the environment as all-determining.

Framework H

The two general approaches developed by Hancock (et al.) regarding horizontal and vertical changes closely resemble Douthwaite’s framework (Douthwaite et al., 2003) of scaling-out and scaling-up. Scaling-out refers to the diffusion of project outputs beyond the initial target population. Scaling-up refers to vertical institutional expansion to higher institutional levels resulting in a better enabling environment that facilitates scaling-out processes. A further differentiation is made by identifying two intermediate levels of replication. For example, there are different processes of replication at institutional level that are of a more horizontal nature: scaling-up through site-specific replication of project ideas and outputs within the region or country by other institutions (or the same institutions under non-GEF financing regimes); scaling-up through site-specific replication within the region, country or in other countries within the framework of (a) GEF project(s) (cross fertilization).

Framework I, from CCPS2

Figure 1.1: Evaluation framework

