



1818 H Street, NW, Mail Stop P5-500, Washington, DC 20433 USA
Tel: +1 (202) 473-4054 / Fax: +1 (202) 522-1691

Evaluation of Programmatic Approaches in the GEF

Approach Paper **March 2016**

Contact

Carlo Carugi, Senior Evaluation Officer
ccarugi@thegef.org

Contents

Contents	2
Acronyms	3
Background	4
History of Programmatic Approaches in the GEF.....	4
Available Evaluative Evidence	6
Programs evolution, typologies and definitions	9
Portfolio	10
Purpose, Objectives and Audience	12
Scope, Issues, and Questions	13
Questions	13
Evaluation design	14
Methods	14
Process	16
Quality assurance	16
Limitations.....	16
Expected Outputs and Dissemination	17
Resources	17
Timetable	17
Team and skills mix	18
References	19
Annex 1 – Evaluation Conceptual Framework and Evaluation Matrix	21
Annex 2 – Sequencing of major Council documents	28
Annex 3 – Portfolio	29

Acronyms

APR	Annual Performance Report
BD	Biodiversity
CC	Climate Change
GEF	Global Environment Facility
GIS	Geographic Information System
IAP	Integrated Approach Pilot
IEG	Independent Evaluation Group
IEO	Independent Evaluation Office
IFI	International Financial Institution
IW	International Waters
LD	Land Degradation
M&E	Monitoring and Evaluation
MBC	Mesoamerican Biological Corridor
MFA	Multi Focal Area
MTR	Mid-Term Review
OPS4	the fourth Overall Performance Study
OPS5	the fifth Overall Performance Study
P2I	Progress to Impact
PCA	Program Coordination Agency
PFD	Program Framework Document
PIF	Project Identification Form
PIR	Project Implementation Report
PMIS	Project Management Information System
POPs	Persistent Organic Pollutants
PPG	Project Preparation Grant
PRT	Program Review Template
QCA	Qualitative Comparative Analysis
QGA	Qualifying GEF Agency
RAF	Resource Allocation Framework
RIE	Rapid Impact Evaluation
SAER	Semi Annual Evaluation Report
SCS	South China Sea
SGP	Small Grants Programme
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
TE	Terminal Evaluation
UN	United Nations

Background

1. Program approaches have been employed by a number of bilateral and multilateral development organizations and international agencies. The Organization of Economic Co-operation and Development (OECD) defines program-based approaches as “a way of engaging in development cooperation based on the principle of coordinated support for a locally owned program of development.”¹ Programs represent an effort by the donor community to move beyond project-based aid disbursement modalities, aiming at integrated cumulative results and their sustainability, reflecting continuity and long-term vision. The aim is also to provide a more appropriate response to countries’ needs and to the need for increased efficiency of aid disbursements under a coherent objectives framework.
2. The concept of programmatic approach is particularly relevant to the Global Environment Facility (GEF), considering the long-term nature of the environmental problems it was designed to address. It is not surprising that a programmatic approach was already mentioned in 1996, during the GEF Pilot Phase. The *Secretariat Note on Operational Policy and Programmatic Analysis (GEF/C.7/4)* – presented at the 7th Council meeting in April 1996 – elaborated on the development of the first programmatic framework for the Central American forest area under the forest ecosystems operational program.²
3. In this evaluation, the Independent Evaluation Office (IEO) of the GEF will specifically focus on the results and performance of GEF programmatic approaches (hereafter referred to as programs). This evaluation will provide evidence on the past GEF experience in designing and implementing programs. It will contribute to the further development of GEF programs in the context of the GEF’s strategic move towards multi focal and integrated solutions to environmental problems proposed in the GEF 2020 Strategy.³

History of Programmatic Approaches in the GEF⁴

4. Although the idea of programmatic approaches has been part and parcel of GEF operations since its establishment, it was not until the 14th GEF Council meeting in December 1999 that the Council supported the evolution of GEF support to recipient countries through a more programmatic approach. The *Corporate Business Plan FY01-FY03 Working Document (GEF/C.14/9)* reported that the World Bank, the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and the European Bank for Reconstruction and Development (EBRD) were joining in a coordinated effort to demonstrate ways to reduce nutrient discharges in the Black Sea and Danube Basin region. This program intended to leverage co-financing, increase coordination, and reduce GEF transaction costs.⁵ The Danube/Black Sea Basin Strategic Partnership was launched in 2001. EBRD, the European Union and other partners provided important coordinated support to it.
5. Later on, *The GEF Programmatic Approach: Current Understandings (GEF/C.17.Inf.11)* – an Information Document submitted to Council in May 2001 – clarified that the overall aim of GEF programs

¹ OECD. *Reporting Directives for the Creditor Reporting System – Corrigendum on Programme-Based Approaches (DCD/DAC (2007)39/FINAL/CORR2)*, October 15, 2008. P. 2. <http://www.oecd.org/dac/stats/44479916.pdf>

² Global Environment Facility. *Secretariat Note on Operational Policy and Programmatic Analysis (GEF/C.7/4)*. March 14, 1996, paragraph 16. <https://www.thegef.org/gef/sites/thegef.org/files/documents/C.7.4.pdf>

³ Global Environment Facility. *GEF 2020 Strategy for the GEF*. May 2014, p. 21.

https://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-2020Strategies-March2015_CRA_WEB.pdf

⁴ A timeline diagram showing the sequencing of major Council documents related to GEF programs is provided in Annex 2.

⁵ Global Environment Facility. *Corporate Business Plan (GEF/C.14/9)*. November 5, 1999, p.19. https://www.thegef.org/gef/sites/thegef.org/files/documents/gef_c14_9.pdf

is “to secure larger and sustained impact on the global environment through integrating and mainstreaming global environmental objectives into a country’s national strategies and plans through partnership with the country.” This document pointed out that a medium to long-term programmatic approach is not a new paradigm for the GEF, and that it represents an evolution from a strategic partnership between the GEF and its Agencies to one between the country (and/or region) and the GEF.

6. The shift to a more strategic partnership between the countries (and/or regions) and the GEF was also being discussed during the third replenishment meetings of the GEF. In that context, replenishment parties proposed a country and performance-based resource allocation system. The Resource Allocation Framework (RAF) took over four years to develop and was finally agreed upon in 2005. Implementation of the RAF started in 2006, and was reviewed at mid-term by the IEO.⁶ Based on that review, in 2009 the RAF was redesigned and renamed as System for a Transparent Allocation of Resources (STAR).⁷ These major reforms influenced the way programs, particularly the regional and global ones, were to be financed (i.e. either from national RAF/STAR allocations, or from ad hoc set-asides funds, outside national allocations).

7. Building on the developments that took place from the GEF pilot phase to GEF-3, at its meeting in May 2008 Council endorsed the objectives and basic principles for programmatic approaches proposed in the Working Document *From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio (GEF/C.33/6)*. This marked a turning point in the history of program development in the GEF. For the first time, detailed operational guidelines and procedures for designing specific programs using a programmatic approach were approved. Among them, the introduction of the requirement on designing programs using a specific template called Program Framework Document (PFD). The approval of these procedures resulted in an increase in the submission of programmatic approaches to the Council.⁸ Importantly, this working document also strengthened the concept of country ownership for programmatic approaches, by indicating that programmatic approaches are “a more strategic level interaction with the GEF” for countries especially in the context of the RAF, and that “a clear commitment to allocate RAF and domestic financial resources” by countries to programs is needed.⁹

8. GEF/C.33/6 was followed two years later by two other reforms. First, the introduction of the Program Coordination Agency (PCA); and second, the streamlining of projects approval by delegating it to qualified GEF Agencies. These two reforms translated de facto in the emergence of two major program typologies: (i) programs led by a Qualifying GEF Agency (QGA), in which the QGA is the only GEF Agency for the program, and (ii) programs led by a PCA, in which one or more GEF Agencies can participate in the program.¹⁰ One of the main assumptions behind these major reforms was that by working through programs the GEF would be able to disburse large-scale GEF resources effectively and efficiently to countries and regions with enhanced accountability and oversight.¹¹

⁶ GEF Evaluation Office. *Mid-Term Review of the Resource Allocation Framework (Evaluation Report n. 47)*. May 2009. https://www.thegef.org/gef/sites/thegef.org/files/documents/RAF_MTR-Report_0.pdf

⁷ Global Environment Facility. *System for a Transparent Allocation of Resources (STAR): Options and Scenarios (GEF/C.36/6)*. November 2009. https://www.thegef.org/gef/sites/thegef.org/files/documents/C.36.6%20STAR.Final_.pdf

⁸ Global Environment Facility. *Management of the GEF Project Cycle Operation: A Review (GEF/C.34/Inf.4)*, October 14, 2008, p. 10. https://www.thegef.org/gef/sites/thegef.org/files/documents/C.34.Inf_.4%20GEF%20Project%20Cycle.pdf

⁹ Global Environment Facility. *From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio (GEF/C.33/6)*. March 21, 2008, p. 3, 5.

<https://www.thegef.org/gef/sites/thegef.org/files/documents/C.33.6%20Programmatic%20Approach%20Paper.pdf>

¹⁰ Global Environment Facility. *GEF Project and Programmatic Approach Cycles (GEF/C.39/Inf.03)*. October 28, 2010, p. 9.

https://www.thegef.org/gef/sites/thegef.org/files/documents/C.39.Inf_.3%20-%20GEF%20Project%20and%20Programmatic%20Approach%20Cycles.pdf

¹¹ Global Environment Facility. *Streamlining the Project Cycle & Refining the Programmatic Approach (GEF/C.38/05/Rev/1)*, July 1, 2010, p. 6.

9. Until GEF-5, Council discussions about programs centered more on operational, financial and administrative matters than on technical ones. The approved program modalities were based on their operational differences. However, at its meeting in October 2014, the GEF Council approved a revised programmatic approach modality¹² defined in terms of the program scope. The revised modality classifies programs in two main types:¹³

- (i) *Thematic*: the program addresses an emerging issue (e.g. a driver of environmental degradation) or grabs an opportunity that is globally significant to warrant the engagement of a wide range of stakeholders; and
- (ii) *Geographic*: the program starts with identifying an established need to secure large-scale and sustained impact for the environment and development in a particular geography (landscape, ecosystem, district, provinces, country, region, among others), and may focus on particular sectors in this broader context (e.g. energy, transport, agriculture, forestry).

10. The introduction of the above-mentioned program typologies was also an opportunity to remove the significant disincentives to undertaking programs under the previous modalities, including: (i) the reduced fee levels for those GEF Agencies with boards – basically all the International Financial Institutions (IFIs); (ii) the complexity of processing modalities – perceived by United Nations (UN) agencies, (iii) the reduction in set-aside funding for programs, and (iv) the structural differences between IFIs and UN agencies limiting joint programs.

11. In GEF-6 the GEF introduced the Integrated Approach Pilots (IAPs). These programs align with the GEF 2020 Strategy, which emphasizes the need to support transformational change and achieve impacts on a broader scale. The strategy calls for the GEF to focus on the drivers of environmental degradation, and it addresses the importance of supporting broad coalitions of committed stakeholders and innovative and scalable activities. The three introduced IAP programs focus on: (i) Sustainable Cities; (ii) Taking Deforestation out of the Global Commodity Supply Chains; and (iii) Sustainability and Resilience for Food Security in Sub-Saharan Africa.¹⁴

Available Evaluative Evidence

12. To date, no comprehensive evaluation has been conducted specifically focusing on GEF programs as a modality of GEF support. However, efforts have been made to evaluate the GEF experience in implementing programs. Although fragmented, the available evaluative evidence, and the main conclusions and recommendations found in other evaluations conducted by the GEF IEO and others can be useful in identifying issues to be covered by this evaluation.

13. A review of multi-country implementation mechanisms was conducted by the then-called GEF Monitoring and Evaluation Unit in 2000¹⁵, which focused on the international waters focal area.¹⁶ At that

https://www.thegef.org/gef/sites/thegef.org/files/documents/C.38.5.Rev._1%20Streamlining%20the%20Project%20Cycle%20and%20Revising%20the%20Programmatic%20Approach%2C%20revised%2C%20July%202001%2C%202010.pdf

¹² Global Environment Facility. *Improving the GEF Project Cycle (GEF/C.47/07)*, October 9, 2014, p. 9.

https://www.thegef.org/gef/sites/thegef.org/files/documents/19_EN_GEF.C.47.07_Improving_the_GEF_Project_Cycle.pdf

¹³ Ibid, p. 23.

¹⁴ Global Environment Facility Website. Integrated Programs (Integrated Approach Pilots) <https://www.thegef.org/gef/GEF-6-integrated-programs>

¹⁵ Ollila, Petri; Uitto, Juha I.; Crepin, Christophe and Duda, Alfred M. *Multi-country Project Arrangements: Report of a Thematic Review*, Monitoring and Evaluation Working Paper 3, September 2000, p. 1.

¹⁶ Eight projects from the biodiversity focal area were also included in the review, as they focused on biodiversity protection in the context of transboundary water bodies.

time, the GEF's history of multi-country programs was short and few projects were completed. Due to the complexity in multi-country programs and operations, the review suggested that the GEF could develop from passive consultations toward proactive regional implementation and leadership under a programmatic framework. According to the review, a programmatic approach could provide a framework to harness comparative advantages of different implementing agencies as well as promote interactions among projects.

14. Two additional studies conducted by the GEF Monitoring and Evaluation Unit are also worth mentioning. The GEF International Waters Program Study (2001) reviewed the experiences gained with the Geographically Based Approach, in which a set of relatively straightforward projects collectively cover complex situations and activities. This approach was being undertaken in the Danube River and Black Sea region, in the Mekong River-South China Sea region, and in the Paraná/Paraguay/Plata River basin systems and Patagonian Shelf Large Marine ecosystem. Broad consultation helped developing common understanding among the recipient countries and other organizations interested in the Danube River and Black Sea Region, facilitating joint action and collaboration while preventing duplication. The Program Study on International Waters (2005) found continued shortcomings in regional cooperation between projects, particularly between GEF Agencies and between focal areas. That study recommended the incorporation of a regional-level coordination mechanism for international waters projects.

15. A Joint Evaluation of the GEF Activity Cycle and Modalities was conducted in May 2007. This evaluation made an effort to map the number of emerging GEF modalities based on their definitions, key outputs, characteristics and issues they aimed to address. Among them, the evaluation identifies the programmatic approaches, the umbrella programs with their subprojects, and the country programs as often overlapping and causing a general misunderstanding among stakeholders. Furthermore, according to this evaluation, the GEF narrowly defines programmatic approaches as a financing modality, while other donors' consider programs as long-term development processes (§ 1). The evaluation also makes an important point that GEF projects under the programmatic approach were not always part of a broader national strategy, and makes a strong call for meeting the demand from countries for a long-term vision and programming that goes beyond approving individual projects.¹⁷

16. In 2010, the fourth Overall Performance Study of the GEF (OPS4) reviewed 34 programs based on their PFDs, in an effort to assess the program design.¹⁸ PFDs were reviewed in terms of value added, country ownership, governance and management arrangements, and monitoring and evaluation plans. The OPS4 review reported that almost all of the PFDs focused on enhancing coordination and fostering strategic levels of interactions among key stakeholders and institutions. However, the linkages between the parent program and the child projects were not always made clear. Furthermore, country ownership for regional and global programs was found to be relatively weak, and the discussion on governance and management arrangements limited. Additionally, the monitoring and evaluation plans and systems at the program level were not comprehensive, with only one-third of the PFDs including program-level indicators.

17. A review of the Mesoamerican Biological Corridor (MBC) program was conducted by the Independent Evaluation Group (IEG) of the World Bank in 2011. The MBC is a territorial planning system consisting of natural protected areas under a special regime whereby core, buffer, multiple use and corridor zones are organized and consolidated to provide an array of environmental goods and products to the Central American and the global society. The MBC program was implemented through a series of

¹⁷ GEF Evaluation Office. *Joint Evaluation of the GEF Activity Cycle and modalities (Evaluation Report No. 33)*. May 2007. p. 119-125. https://www.thegef.org/gef/sites/thegef.org/files/documents/Joint_Eval-GEF_Activity_Cycle_and_Modalities.pdf

¹⁸ GEF Evaluation Office. *OPS4 Progress toward Impact (full report)*, April 2010, p. 63.

https://www.thegef.org/gef/sites/thegef.org/files/documents/FULL%20REPORT OPS4%20Progress%20Toward%20Impact_0.pdf

full size GEF-funded national projects. The common objective of the national projects was to conserve the biological integrity of designated national biodiversity corridors to allow for regional ecological connectivity.¹⁹ The IEG review found that the World Bank implemented national projects performed satisfactorily against their objectives. However, they were pulled in different directions, and the projects as a whole failed to achieve efficient and sustained strategic alignment at the regional level. According to the IEG review, funding for national projects was stretched between improving national administration and supporting subproject sustainable livelihood schemes at the local level. The latter was not strategically designed to achieve regional corridor connectivity.²⁰ Another weakness identified by the IEG review concerned monitoring and evaluation. The review found that the MBC projects were not designed with indicators suited to monitor project implementation or assess impact. The review concluded that the “establishment of a coordinating body for regional environmental integration, separate from states’ interests, is vital for implementing a biological corridor system. It is equally important to give national staff the mandate and budget resources to internalize the priorities set at the regional level.”²¹

18. In 2012, an impact evaluation of the GEF in the South China Sea (SCS) pointed at the importance of having a programmatic framework that creates circumstances in which broader adoption and related progress to impact at higher than project scale can take place. Thirty four GEF projects and 150 small grants that are both relevant to international waters and incident on the SCS and the Gulf of Thailand were covered by this evaluation.²² The SCS evaluation pointed at a number of weaknesses. These include “the lack of an explicit indication of how different projects fit into a broader programmatic strategy, insufficient collaboration, and a failure to realize the full benefits of the complementarity intended among the various projects and distinctive competencies of the GEF Implementing Agencies.”²³

19. The first report of the fifth Overall Performance Study of the GEF (OPS5) in 2013 recommended that the formulation of the strategies for GEF – 6 should strengthen efforts toward broader adoption and focus on more programmatic multifocal area approaches, within the guidance of the conventions. In its management response, the GEF Secretariat agreed with “the conclusions and the overarching recommendation to strengthen efforts toward broader adoption and focus on more programmatic and integrated multifocal area approaches.”²⁴ Programmatic approaches were concisely mentioned in the OPS5 final report, which made a call for including programmatic approaches addressing regional and global environmental problems in the work program.²⁵

20. Finally, the 2014 GEF Annual Performance Report (APR) highlighted the weak and incomplete monitoring, evaluation and general reporting on projects implemented under a programmatic approach. GEF Agencies have been inconsistent in evaluating programmatic approaches and their child projects, leading to instances where:²⁶

¹⁹ The Independent Evaluation Group (2011). *Regional Program Review: The Mesoamerican Biological Corridor*. Regional Program Review Vol.5, Issue 2, p. xvi.

²⁰ Ibid, p. xviii.

²¹ Ibid, p. 32.

²² GEF Evaluation Office. *Impact Evaluation: The GEF in the South China Sea and Adjacent Areas. Volume 1: Evaluation Report (Evaluation Report No.75)*, October 2012, p. 15.

<https://www.thegef.org/gef/sites/thegef.org/files/documents/South-China-Sea-and-Adjacent-Areas-V1.pdf>

²³ Ibid, p. 15.

²⁴ GEF Evaluation Office. *Fifth Overall Performance Study of the GEF First Report: Cumulative Evidence on the Challenging Pathways to Impact (Evaluation Report No. 79)*, 2013, p. 41.

<https://www.thegef.org/gef/sites/thegef.org/files/EO/OPS5-First-Report-EN.pdf>

²⁵ GEF Independent Evaluation Office. *Fifth Overall Performance Study of the GEF Final Report: At Crossroads for Higher Impact (Evaluation Report No. 86)*, 2014, p. 12. <https://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>

²⁶ GEF Independent Evaluation Office. *GEF Annual Performance Report 2014 (Full Report Unedited)*, May 8, 2015, p. 56.

- (i) GEF Agencies have submitted evaluations of child projects approved under a programmatic approach, but not of the overall programmatic approach itself (GEF ID 2762);
- (ii) the World Bank submitted an evaluation of a programmatic approach (GEF ID 1685) but not of the completed child project under this programmatic approach (full-sized project, GEF ID 3022);
- (iii) UNDP submitted evaluations for 2 of 3 approved child projects, along with an evaluation of the programmatic approach (GEF ID 2439);
- (iv) UNEP submitted an evaluation covering 15 of 36 MSP child projects focused on implementation of National Biosafety Frameworks, under the GEF Biosafety Program (GEF ID 3654).

21. The APR 2014 also pointed at the absence of guidance in the GEF Monitoring & Evaluation Policy (2010) on the evaluative requirements of child projects implemented under the respective programs.

Programs evolution, typologies and definitions

22. Earlier programs (Pilot Phase, GEF-1 and GEF -2) were all phased/tranched ones, with one notable exception in the International Waters focal area, the Black Sea and Danube Basin initiative.²⁷ Phased/tranched programs continued in GEF-3, when a new generation of programs was introduced. These new programs were composed of a parent program and a variable number of child projects, designed to contribute to the overall program objective. Also, earlier programs with a country focus tended to be more frequent than programs with a regional/global focus. Similarly, single focal area programs were the norm up to GEF-3, when the first multifocal area program was introduced. Table 1 illustrates the situation prior to the introduction of the PFD requirement in 2008.

Table 1: Programs without PFD

Program Typology	Geographic	Focal Area	Pilot Phase	GEF-1	GEF-2	GEF-3	GEF-4	Total
Phased/Tranched Program	Global	BD			1	3		4
		BD		1	1			2
	Regional	IW			1			1
		LD				1		1
		POPs				1		1
	Country	BD	2	2	3	1	1	9
		CC			3			3
		LD				1		1
Sub-total			2	3	9	7	1	22
Parent Program with child projects	Global	CC				1		1
		LD				1		1
	Regional	CC				1		1
		IW			1	2		3
		LD				1	1	2
	Country	MFA				1		1
		LD				2		2
		MFA				1		1
Sub-total					1	10	1	12
Total			2	3	10	17	2	34

Notes: BD=Biodiversity, CC=Climate Change, LD=Land Degradation, IW=International Waters, POPs=Persistent Organic Pollutants, MFA=Multi Focal Area

https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20IEO%20-%20APR%202014%20Unedited%20Full%20Report_0.pdf

²⁷ As seen in paragraph 4, the Black Sea and Danube Basin initiative evolved from being a phased project to a program with parent and child projects.

23. In compliance with GEF/C.33/6, post-2008 programs were all designed under a PFD and composed of child projects, while approval of phased/tranched programs tended to diminish. In GEF-5 no new phased/tranched programs were approved. In fact, the new program structure allowed both for the time dimension – implementing programs through phases to achieve medium to long term objectives – and the increased complexity – implementing programs through a series of sub-projects not necessarily in sequence with one another, but under a coherent objectives framework that aims at securing larger-scale and sustained impact on the global environment (Table 2).

Table 2: Programs with PFD

Program Typology	Focal area coverage		GEF - 4	GEF - 5	GEF - 6	Total
Country	Single Focal Area	Biodiversity	2	1		3
		Climate Change	2			2
	Multi Focal Area		3	1		4
Sub-total			7	2		9
Global	Single Focal Area	Biodiversity	1			1
		Climate Change	2		1	3
		POPs	1			1
	Multi Focal Area			1	2	3
Sub-total			4	1	3	8
Regional	Single Focal Area	Biodiversity	1			1
		Climate Change	2	3		5
		International Waters	1	2		3
		POPs	1			1
	Multi Focal Area		4	6	1	11
Sub-total			9	11	1	21
Total			20	14	4	38

24. As highlighted by the Joint Evaluation of the GEF Activity Cycle and Modalities, the GEF used to classify programs mostly according to their operational and financial features. This happened each time a major reform was introduced.²⁸ The evolution of program definitions in the GEF had to accommodate for the diversity of: (i) programs' financial, administrative and operational categorizations; (ii) characteristics of GEF Agencies, with the main distinction between the IFIs and UN ones; and (iii) topics of interest. Much of this diversity comes from the very nature of the GEF, which is an international institution regrouping many different partners – each of them with their specificities – called to act together towards the common objective of achieving global environmental benefits.

25. To note, an internal review – commissioned by the GEF Secretariat as an input to the formulation of the GEF programming and policy documents for GEF-6 – introduced a classification that categorizes GEF programs into country programs, regional programs, multi-country programs, portfolio programs, and public-private partnership programs.²⁹

Portfolio

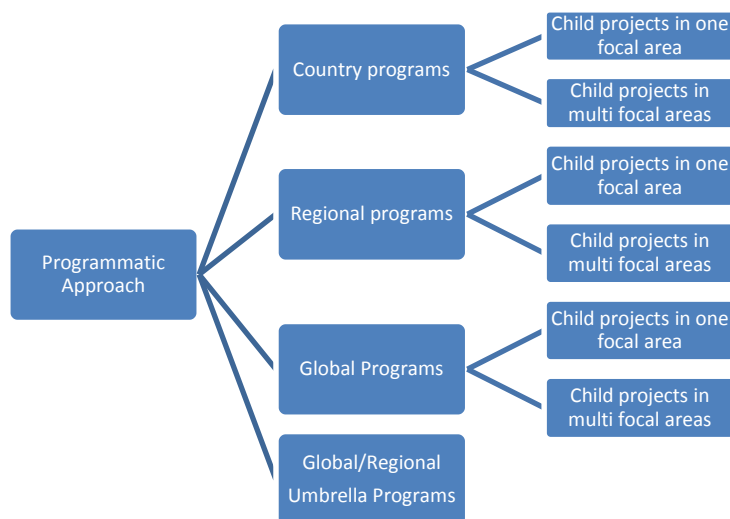
26. As seen, programs can be defined in any of the categories described above, i.e. phased/tranched, parent/child, national/regional/global or single/multifocal. This evaluation classifies GEF programs according to the geographical focus of the parent program and the single versus multi focal area nature

²⁸ The 2006 Council document *Rules, Procedures and Objective Criteria for Project Selection, Pipeline Management, Approval of Sub-Projects, and Cancellation Policy* (GEF/C.30/3), defines different types of GEF programs, including phased/tranched programs, Country Partnership Programs, Investment Funds, Strategic Investment Programs, Programs with set-asides and Programs without set-asides.

²⁹ Okapi (2013), *Review of GEF Programmatic Approaches (Part I – Lessons Learned), Draft 2 (Internal Document)*, p. 18.

of child projects (Figure 1).³⁰ This straightforward classification gives prominence to the technical rather than administrative nature of programs. It is also instrumental to understanding the evolution over time from country to multi-country, and from single to multi-focal programs in the GEF.

Figure 1: Program typologies



27. GEF support post-PFD introduction is presented in Table 3. This table does not include one global umbrella program, namely the ‘*GEF National Portfolio Formulation Document* (GEF ID 4402). This program is composed of child projects that share a common objective, but are managed independently in each country. This program has been designed as an administrative arrangement, with the distinctive purpose of generating cost efficiencies by saving on transaction costs. In such cases, the GEF Agency has the responsibility to disburse the same (or similar) financing for the same type of support to countries in a GEF geographic region.

Table 3: Post-PFD GEF support to programs by geographic level and focal area (\$M)

Program	Biodiversity		Climate Change		International Waters		POPs		Single Focal Area Total		Multi Focal Area		Grand Total	
	GEF Grant	Cofinance	GEF Grant	Cofinance	GEF Grant	Cofinance	GEF Grant	Cofinance	GEF Grant	Cofinance	GEF Grant	Cofinance	GEF Grant	Cofinance
Country	78.6	917.7	100.5	875.2	0.0	0.0	0.0	0.0	179.1	1,792.9	80.9	990.1	260.0	2,783.0
Regional	33.8	127.7	93.4	1,646.8	83.2	612.1	17.6	21.0	228.1	2,407.5	653.4	4,988.4	881.5	7,396.0
Global	41.1	48.2	90.7	556.4	0.0	0.0	4.4	5.1	136.2	609.7	188.3	937.4	324.5	1,547.1
Total	153.6	1,093.6	284.6	3,078.4	83.2	612.1	22.0	26.1	543.4	4,810.1	922.6	6,915.9	1,466.0	11,726.1

Note: GEF grant includes Project Preparation Grants (PPGs), project grants and GEF Agency fees.

28. The regional programs represent 60.1% of the total GEF finance, followed by global programs with 22.2%, country programs account for 17.7% of GEF finance. For each GEF dollar, country programs have \$10.7 dollars cofinancing, while regional and global programs have \$8.4 dollars and \$4.8 dollars, respectively. Multi focal area programs represent by far the largest share of the portfolio (62.9%), followed by the climate change ones (19.4%), the biodiversity ones (10.5%), the international waters ones (5.7%) and the POPs ones (1.5%).

29. All of the post-PFD introduction multi focal area programs have biodiversity elements included in the respective PFD, and the large majority have climate change as well. International waters and land

³⁰ Basic portfolio information for all the GEF programs from their introduction to date is provided in Annex 3.

degradation elements are present roughly in half of them, while POPs is present only in one of them. The two most common focal area combinations are: (i) biodiversity, climate change (either mitigation, adaptation or both) and land degradation; and biodiversity, climate change (either mitigation, adaptation or both), land degradation and sustainable forest management are in 4 out of 18 programs (Table 4).

Table 4: Focal areas considered in the post-PFD introduction multi focal area programs

GEF Program ID	Focal area						
	BD	CCM	CCA	LD	IW	SFM	POPs
2762	BD	CCM		LD			
3268	BD		CCA	LD			
3420	BD	CCM	CCA		IW		POPs
3423	BD	CCM	CCA	LD	IW		
3482	BD	CCM		LD			
3647	BD	CCM			IW		
3782	BD	CCM			IW		
4511	BD	CCM	CCA	LD		SFM	
4580	BD				IW		
4620	BD	CCM	CCA	LD			
4635	BD				IW		
4649	BD	CCM		LD		SFM	
4664	BD	CCM			IW		
4680	BD	CCM		LD	IW	SFM	
5395	BD	CCM	CCA	LD	IW	SFM	
9060	BD				IW		
9071	BD	CCM		LD		SFM	
9272	BD	CCM		LD		SFM	
Total	18	14	6	11	10	6	1

Notes: BD=Biodiversity, CCM=Climate Change Mitigation, CCA=Climate Change Adaptation, LD=Land Degradation, IW= International Waters, SFM=Sustainable Forest Management, POPs= Persistent Organic Pollutants.

Purpose, Objectives and Audience

30. The main purpose of the evaluation is to assess whether and how GEF support delivered under the programmatic approaches modality has delivered the expected results in terms of global environmental benefits while addressing the main drivers of global environmental change. This purpose derives from the IEO Work Programme for GEF-6 (GEF/ME/C.48/01), which in turn has been designed to provide evaluative evidence pertaining to the major strategies approved in the Sixth Replenishment of the GEF Trust Fund and reflected in the GEF-6 Programming Directions.³¹

31. The evaluation has the following three overarching objectives:

- (i) Evaluate the extent, mechanisms, and conditions by which GEF programs have delivered broader scale and longer term global environmental benefits;
- (ii) Evaluate the extent, mechanisms, and conditions by which GEF programs have addressed drivers of environmental degradation; and
- (iii) Assess the performance of the GEF in delivering programs (§ 36).

32. This evaluation will assess how well the GEF has supported countries in applying programs across all sectors. It will explicitly indicate the extent to which GEF programs were designed to address the drivers of environmental change, so as not to unfairly hold those activities to standards to which they were not designed to meet. It will serve accountability purposes while at the same time having a strong

³¹ Global Environment Facility. *GEF-6 Programming Directions*.

https://www.thegef.org/gef/sites/thegef.org/files/webpage_attached/GEF6_programming_directions_final_0.pdf

formative/learning approach through the provision of relevant evaluative evidence from the past to inform on implementation of the GEF 2020 Strategy, including the IAPs. It will aim at providing as much as possible evaluative evidence on transformation of systems at scale through the program modality as compared to projects.

33. The primary audience is the GEF Council, who will eventually be called upon to make decisions on the future of the programmatic approach modality in the context of GEF-6 and beyond. The evaluation will also be useful to the GEF Secretariat, to the broader constituency of GEF Agencies and to GEF member countries as well as non-governmental partners.

Scope, Issues, and Questions

34. The evaluation will cover all the programs designed and implemented since the official introduction of the requirement of having a PFD for each program, introduced by Council (GEF/C.33/6) in May 2008 to date. Available evaluations covering the pre-PFD programs will be reviewed through a meta-analysis approach aiming at summarizing the available evaluative evidence on broader scale and longer term results.

35. The evaluation will not cover the Small Grants Programme (SGP), which has just been evaluated (GEF IEO, 2015). Umbrella programs will only be covered for cost-effectiveness aspects, as this is the main reason for which they have been introduced.

36. The evaluation will assess issues related to GEF programs' effectiveness in achieving global environmental benefits. It will evaluate program results (outcomes and broad scale, long term impacts to the extent possible) in terms of their effectiveness in addressing drivers of environmental degradation. It will as well explore efficiency issues, including program design, governance and management arrangements, coordination and M&E. Cross-cutting issues such as gender and private sector involvement will be covered where opportunities for specific data gathering arise.

Questions

37. The evaluation will respond to a limited number of key questions derived from GEF-6 strategic directions, from the main issues identified by previous evaluations and from issues of concern for the GEF Council. The GEF Generic Theory of Change Framework will be used as the basic conceptual framework guiding the way key questions will be answered.³² Questions are divided in the three main evaluation criteria of effectiveness and results, relevance and efficiency.

Effectiveness and results

- a. To what extent have the different typologies of GEF programs delivered the intended results in terms of broader scale and longer term environmental outcomes and impacts compared to stand-alone projects?
- b. To what extent have GEF programs addressed the main drivers of environmental degradation?

³² GEF Independent Evaluation Office. *Fifth Overall Performance Study of the GEF, Final Report (Evaluation Report n. 86)*, 2014, p. 47-50.

Relevance

- a. What factors have influenced program ownership by participating countries and in turn the relevance of those programs to national environment and development needs and priorities?
- b. To what extent have child project level objectives been coherent with and integrated in the program level ones?

Efficiency

- a. To what extent have GEF programs been able to disburse large-scale GEF resources to countries and regions with enhanced accountability and oversight?
- b. To what extent have the governance, management arrangements and coordination influenced the performance of GEF programs?
- c. What role did M&E play in programs adaptive management for the attainment of expected outcomes and impacts?

Evaluation design

38. The evaluation questions will be answered through a mixed methods approach encompassing both quantitative and qualitative analytical methods and tools. A conceptual framework with a generic Theory of Change (ToC) for GEF programs and an evaluation matrix composed of the key questions, relevant indicators, sources of information and methods have been developed as a result of a detailed evaluability assessment and are presented in Annex 1. Synergies with other ongoing evaluations, particularly with the Evaluation of Multiple Benefits in the GEF, will be sought by coordinated data gathering, analysis, and cross-fertilization.

Methods

39. Methods and tools will include:

- (i) A documentation review of GEF policy and strategy documents, and program/child projects related documents, as well as additional literature on programs. These include: PFDs and related child Project Identification Forms (PIFs), Project Preparation Grants (PPGs) and/or other design documents; Project Implementation Reports (PIRs) and Mid-Term Reviews (MTRs); and Terminal Evaluations (TEs). The review will also draw on evaluation reports of other GEF Agencies on programs.
- (ii) A portfolio analysis of GEF programs and their related child projects. A database will be compiled including basic program information such as GEF activity cycle information, number and typology of child projects, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status. A *Program Review Template (PRT)* will be developed to assess the programs in a systematic manner for aggregation purposes, and ensure that key evaluation questions are addressed coherently.
- (iii) A meta-analysis of available evaluations of pre-PFD programs, aiming at providing an historical perspective on the development of the concept of programmatic approaches in the GEF starting from the initial analysis contained in this approach paper. The meta-analysis will also aggregate

the evaluative evidence on broader scale and longer term results contained in evaluation reports on pre-PFD programs;

- (iv) A Broader Adoption / Progress to Impact (P2I) desk analysis based on the GEF Generic Theory of Change Framework³³ will be conducted using the available TEs, regrouped by program, to aggregate the available evidence on broader scale and longer term results;
- (v) A limited number of P2I Case Studies using Geographic Information Systems (GIS)/Remote Sensing (using a specific set of environmental indicators) and field verifications on a purposive selection of geographic ecosystems in which programs are being and/or have been implemented. Some of these will be conducted in synergy with the Evaluation of Multiple Benefits in the GEF;
- (vi) A limited number of Rapid Impact Evaluation (RIE) case studies³⁴ on a selection of those mature programs (country and/or regional) on which GIS/Remote Sensing observations cannot be made and a clear counterfactual is not easily identifiable (i.e. energy efficiency in buildings and in the industrial sector);
- (vii) A quality-at-entry study with an objectives mapping exercise to assess the coherence between parent and child project objectives, taking the OPS4 Review of the post-PFD programs (§ 16) as the starting point;
- (viii) A crisp-set Qualitative Comparative Analysis (QCA) on countries participating in a selection of programs to assess ownership factors/conditions influencing the program relevance to national priorities and policies and the ultimate attainment of program results;
- (ix) A cost-effectiveness analysis of umbrella programs, comparing costs and time taken to design, approve and deliver such programs and related child projects with the second best available alternative, i.e. project-by-project;
- (x) A social network analysis on a purposive selection of programs to assess the soundness and functioning of program governance, institutional and management arrangements. The analysis will cross-check evidence from different sources, and use both qualitative and quantitative information.³⁵

40. Interviews, field verifications and/or online surveys will be mainly –but not exclusively– conducted as part of one or more of the above-mentioned methods/tools on a number of the topics identified in the key questions, including institutional/management arrangements, ownership, program parent/child coherence, and M&E, among others.³⁶

41. Triangulation of the information and qualitative as well as quantitative data collected will be conducted at completion of the data analysis and gathering phase to determine trends and identify the main findings, lessons and conclusions. Different stakeholders will be consulted during the process to test preliminary findings.

³³ Ibid, p. 47-50.

³⁴ Rowe, A. *Introducing Rapid Impact Evaluation (RIE) and Associated Concepts. The Scenario-Based Counterfactual and Simplified Measurement of Effects - Expert Lecture*. 35th Evaluation Conference, Canadian Evaluation Society, June 2014. http://evaluationcanada.ca/distribution/20130618_rowe_andy.pdf

³⁵ This might include using social network analysis-visualization software such as Ucinet for Windows: Software for Social Network Analysis. Harvard, MA: Analytic Technologies (Borgatti, S.P., Everett, M.G. and Freeman, L.C. 2002).

³⁶ The team is considering designing an online survey to consult the partners on incentives and/or disincentives to design and implement programs, depending on the availability of a complete list of relevant stakeholders.

Process

42. The Evaluation of Programmatic Approaches in the GEF is being conducted between October 2015 and June 2017.³⁷ Preliminary findings on the results and performance of GEF programs since their introduction to date, with a strong focus on the post-PFD ones, will be presented to Council in October 2016. The full report will be presented to Council in June 2017. This evaluation will inform the planned IAPs' Mid-term Review, a formative real-time evaluation that will build on the evaluative learning generated during this evaluation and focus on process and design aspects as they relate to the IAPs.

43. Regular stakeholder interaction will be sought to enhance the evaluation process. This will include consultation and outreach while the evaluation is under way, and dissemination and outreach once the study is complete. During evaluation preparation, the team will solicit feedback and comments from stakeholders to improve the evaluation's accuracy and relevance. An added benefit is stimulating interest in the evaluation results. The principles of transparency and participation will guide this process. Such stakeholder interaction will contribute important information and qualitative data to supplement data, interviews, case studies, and other research.

Quality assurance

44. In line with GEF IEO's quality assurance practice, two quality assurance measures will be set up for this evaluation. The first is a Reference Group, composed of representatives from the GEF Secretariat, GEF Agencies, and STAP. The Reference Group will: (i) provide feedback and comments on the approach paper, the preliminary findings and the evaluation report; (ii) help ensuring evaluation relevance to ongoing as well as future operations; 3) help identifying and establishing contact with the appropriate individuals for interviews/focus groups; and 4) facilitate access to information. The second is a Peer Review Panel, consisting of a limited number of evaluators, either from GEF Agency Evaluation Offices or from other recognized evaluation institutions, with experience in program evaluation. Their role is to advise throughout the evaluation process on: (i) the soundness of evaluation design, scope, questions, methods and process described in the approach paper; and (ii) implementation of the methodology and implications of methodological limitations in the formulation of the conclusions and recommendations in the draft and final reports.

Limitations

45. A number of limitations can be identified at this stage. These include: (i) paucity and inconsistency of program as well as project level evaluative information; (ii) unreliability of PMIS data on programs as it is not regularly updated, especially on status; and (iii) limited number of field visits that will be possible to conduct in the timeframe allowed for this evaluation. The first limitation will be addressed through the original evaluative data gathering efforts planned in the P2I analyses. The second by cross-checking PMIS portfolio information with the management information systems of GEF Agencies as first priority before undertaking any analysis. The third limitation will be mitigated by conducting field missions to countries jointly with those foreseen in with other IEO's ongoing evaluations (particularly the Evaluation of Multiple Benefits in the GEF) to increase field coverage. The team will report on how these

³⁷ A substantial amount of work has already taken place in terms of background information and portfolio data gathering, as well as for scoping of issues/questions (see Table 5).

as well as other emerging limitations will be dealt with during the evaluation data gathering and analysis phase.

Expected Outputs and Dissemination

46. A concise progress report will be produced at the GEF Council meeting in October 2016.
47. Additional analyses will be identified and conducted to refine the findings and lead to the final report to Council in June 2017, which will include a concise set of conclusions and recommendations. These will be incorporated in the SAER of June 2017. The full report will be uploaded as a Council information document. It will be distributed to the Council members, GEF Secretariat, STAP, GEF country focal points and GEF Agency staff.
48. A graphically edited version will be published as open access on the Office's website and distributed through email. A 20 page infographic summary and a two page signpost will also be produced. A detailed dissemination plan will be prepared and implemented, which will include distribution of the above mentioned outputs in the main evaluation networks through existing IEO mailing lists as well as mailing lists of audience and stakeholders that will be developed during the conduct of the evaluation. The plan will also consider concrete opportunities to present the evaluation through webinars as well as at evaluation conferences and workshops.

Resources

Timetable

49. The evaluation is being conducted between October 2015 and June 2017. The initial work plan is visible in Table 5, and will be further revised and detailed as part of further preparations.

Table 5: Timetable

Task	Year Month	2015			2016								2017								
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
Approach Paper																					
Background information & portfolio data gathering		x	x																		
Scoping (issues/questions, time/scale, portfolio)			x	x																	
Approach Paper				x	x	x															
Evaluability assessment and evaluation matrix						x															
Data gathering and analysis																					
Documentation review			x	x	x	x	x														
Portfolio analysis (PRT design and filling)						x	x	x	x												
Quality at entry study							x	x													
Meta-evaluation										x											
Broader adoption/P2I desk analysis									x												
P2I case studies (Rapid Impact Evaluation)								x	x	x	x										
P2I case studies (GIS/Remote Sensing)									x	x	x	x									
Cost effectiveness analysis									x	x	x										
Qualitative Comparative Analysis										x	x	x	x								
Social network analysis											x	x	x	x							
Additional analyses (gaps filling, refining key findings)															x	x		x	x		
Triangulation of the evidence collected and identification of preliminary findings																					
Triangulation brainstorming															x						
Gap filling																x	x				
Report writing																					
Progress report to Council															x						
Technical documents																x		x			
Draft report																	x	x	x		
Due diligence (gathering feedback and comments)																		x	x		
Final report																				x	x
Presentation to Council in the SAER																					x
Edited report																					->
Dissemination and outreach																					->

Team and skills mix

50. The evaluation will be conducted by a team led by a Senior Evaluation Officer from the IEO with oversight from the Chief Evaluation Officer and Director of the IEO. The team will include IEO's staff and short term consultants, comprising research assistants, senior evaluators, and GEF focal area and methodology experts.

51. The skills mix required to complete this evaluation includes evaluation experience and knowledge of IEO's methods and practices; familiarity with the policies, procedures and operations of GEF and its Agencies; knowledge of the GEF and external information sources; and practical, policy, and/or academic expertise in key GEF focal areas of the programs under analysis (i.e. BD, CC, LD, IW).

52. In addition, specific inputs will be sourced from experts in selected relevant areas, i.e. RIE, GIS/Remote Sensing, and QCA, among others. Use of local consultants will be sought wherever possible for the conduct of field level data gathering in the context of the P2I case studies.

References

- Bewers, J. Michael; Uitto, Juha I. 2001. *International Waters Program Study*. Global Environment Facility Evaluation Report; no. GEF 1-01. Washington, D.C.: The World Bank.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.C.6.3.pdf>
- Global Environment Facility. *Secretariat Note on Operational Policy and Programmatic Analysis (GEF/C.7/4)*. March 14, 1996. Paragraph 16.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/C.7.4.pdf>
- Global Environment Facility. *Project Document: Developing the Danube River Basin Pollution Reduction Programme (GEF ID 342)*. 1997, p. 11.
- Global Environment Facility. *Corporate Business Plan (GEF/C.14/9)*. November 5, 1999, p. 19.
https://www.thegef.org/gef/sites/thegef.org/files/documents/gef_c14_9.pdf
- Global Environment Facility. *The GEF Programmatic Approach: Current Understandings (GEF/C.17.Inf.11)*. April 12, 2001. https://www.thegef.org/gef/sites/thegef.org/files/documents/C.17.Inf_.11.pdf
- Global Environment Facility. *Rules, Procedures and Objective Criteria for Project Selection, Pipeline Management, Approval of Sub-Projects, and Cancellation Policy (GEF/C.30/3)*. December 2006.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/C.30.3%20Executive%20Summary.pdf>
- Global Environment Facility. *From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio (GEF/C.33/6)*. March 21, 2008.
- Global Environment Facility. *Management of the GEF Project Cycle Operation: A Review (GEF/C.34/Inf.4)*. October 14, 2008, p. 10.
https://www.thegef.org/gef/sites/thegef.org/files/documents/C.34.Inf_.4%20GEF%20Project%20Cycle.pdf
- GEF Evaluation Office. *Mid-Term Review of the Resource Allocation Framework (Evaluation Report n. 47)*. May 2009. https://www.thegef.org/gef/sites/thegef.org/files/documents/RAF_MTR-Report_0.pdf
- Global Environment Facility. *System for a Transparent Allocation of Resources (STAR): Options and Scenarios (GEF/C.36/6)*. November 2009.
https://www.thegef.org/gef/sites/thegef.org/files/documents/C.36.6%20STAR.Final_.pdf
- Global Environment Facility. *Streamlining the Project Cycle & Refining the Programmatic Approach (GEF/C.38/05/Rev/1)*. July 1, 2010, p. 6.
https://www.thegef.org/gef/sites/thegef.org/files/documents/C.38.5.Rev_.1%20Streamlining%20the%20Project%20Cycle%20and%20Revising%20the%20Programmatic%20Approach%2C%20revised%2C%20July%2001%2C%202010.pdf
- Global Environment Facility. *GEF Project and Programmatic Approach Cycles (GEF/C.39/Inf.03)*. October 28, 2010, p. 9. https://www.thegef.org/gef/sites/thegef.org/files/documents/C.39.Inf_.3%20-%20GEF%20Project%20and%20Programmatic%20Approach%20Cycles.pdf
- Global Environment Facility. *Improving the GEF Project Cycle (GEF/C.47/07)*. October 9, 2014, p. 9.
https://www.thegef.org/gef/sites/thegef.org/files/documents/19_EN_GEF.C.47.07_Improving_the_GEF_Project_Cycle.pdf
- Global Environment Facility Website. *Integrated Programs (Integrated Approach Pilots)*
<https://www.thegef.org/gef/GEF-6-integrated-programs>
- Global Environment Facility. *GEF-6 Programming Directions*.
https://www.thegef.org/gef/sites/thegef.org/files/webpage_attached/GEF6_programming_directions_final_0.pdf

- Global Environment Facility. *GEF 2020 Strategy for the GEF*. May 2014, p. 21.
https://www.thegef.org/gef/sites/thegef.org/files/publication/GEF-2020Strategies-March2015_CRA_WEB.pdf
- GEF Evaluation Office. *Joint Evaluation of the GEF Activity Cycle and modalities (Evaluation Report No. 33)*. May 2007, p. 119-125.
https://www.thegef.org/gef/sites/thegef.org/files/documents/Joint_Eval-GEF_Activity_Cycle_and Modalities.pdf
- GEF Evaluation Office. *OPS4 Progress toward Impact (full report)*. April 2010, p. 63.
https://www.thegef.org/gef/sites/thegef.org/files/documents/FULL%20REPORT OPS4%20Progress%20Toward%20Impact_0.pdf
- GEF Evaluation Office. *Impact Evaluation: The GEF in the South China Sea and Adjacent Areas. Volume 1: Evaluation Report (Evaluation Report No.75)*. October 2012, p. 15.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/South-China-Sea-and-Adjacent-Areas-V1.pdf>
- GEF Evaluation Office. *Fifth Overall Performance Study of the GEF First Report: Cumulative Evidence on the Challenging Pathways to Impact (Evaluation Report No. 79)*. 2013, p. 41.
<https://www.thegef.org/gef/sites/thegef.org/files/EO/OPS5-First-Report-EN.pdf>
- GEF Independent Evaluation Office. *Fifth Overall Performance Study of the GEF Final Report: At Crossroads for Higher Impact (Evaluation Report No. 86)*. 2014, p. 12. 47-50.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>
- GEF Independent Evaluation Office. *Four-Year Work Program and Budget of the GEF Independent Evaluation Office*. May 8, 2015.
https://www.thegef.org/gef/sites/thegef.org/files/documents/EN_GEF.ME_.C.48.01_Four_Year_Work_Program_2015.pdf
- GEF Independent Evaluation Office. *GEF Annual Performance Report 2014 (Full Report Unedited)*. May 8, 2015, p. 56. https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20IEO%20-%20APR%202014%20Unedited%20Full%20Report_0.pdf
- GEF Monitoring & Evaluation Unit. *Program Study on International Waters (2005)*. October 2004.
http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2009/12/08/000333037_20091208001803/Rendered/PDF/520340WP02004110Box345548B01PUBLIC1.pdf
- Independent Evaluation Group. *Regional Program Review: The Mesoamerican Biological Corridor*. Regional Program Review Vol.5, Issue 2, May 24, 2011. P. xvi.
- OECD. *Reporting Directives for the Creditor Reporting System – Corrigendum on Programme-Based Approaches (DCD/DAC (2007)39/FINAL/CORR2)*, October 15, 2008. P. 2.
<http://www.oecd.org/dac/stats/44479916.pdf>
- Okapi, *Review of GEF Programmatic Approaches (Part I – Lessons Learned), Draft 2 (Internal Document)*, September 18, 2013. p. 18.
- Ollila, Petri; Uitto, Juha I.; Crepin, Christophe and Duda, Alfred M. *Multicountry Project Arrangements: Report of a Thematic Review*. Monitoring and Evaluation Working Paper 3. September 2000, p. 1.
- Rowe, A. Introducing Rapid Impact Evaluation (RIE) and Associated Concepts. *The Scenario-Based Counterfactual and Simplified Measurement of Effects - Expert Lecture*. 35th Evaluation Conference, Canadian Evaluation Society, June 2014.
http://evaluationcanada.ca/distribution/20130618_rove_andy.pdf

Annex 1 – Evaluation Conceptual Framework and Evaluation Matrix

1. The evaluation conceptual framework has been mapped out of the concepts and rationale for programmatic approaches described in the background section of the Approach Paper. Figure 1 illustrates how GEF programs aim to achieve impact in ways that are different from individual projects. The conditions that need to be present for impact to be achieved are expressed with text in italics.

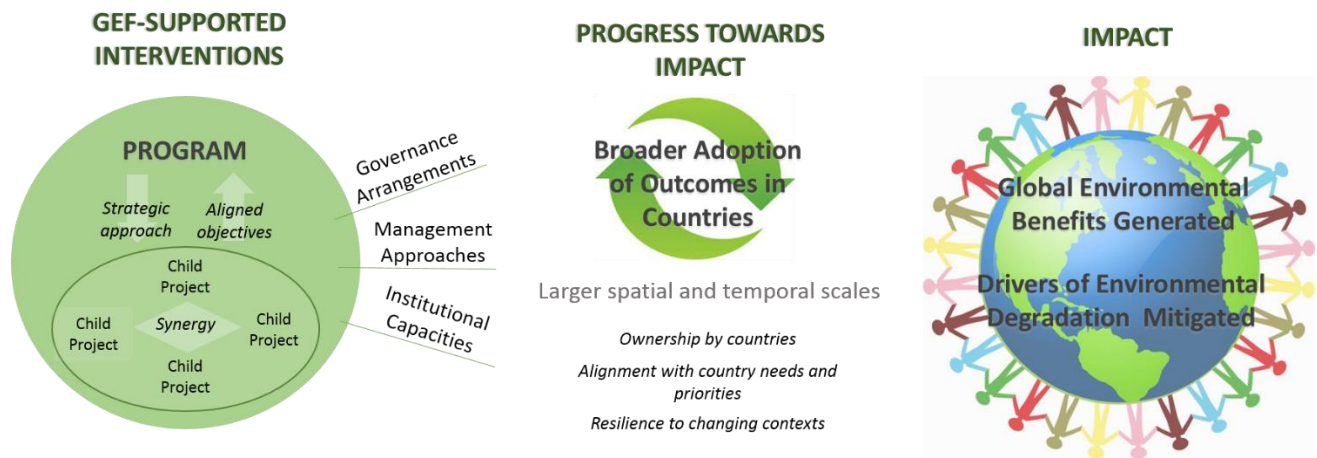


Figure 1: Generic Theory of Change for GEF Programs

2. A program is expected to provide a strategic approach that outlines how the different child projects together will address a specific environmental concern and lead to the desired large-scale outcome. At the same time, each child project must have objectives aligned with the program’s strategic approach. Ideally, the child projects are designed or linked in a way that synergies and/or complementarities are created in terms of environmental, governance, management, and institutional capacity outcomes, for example through knowledge exchange.

3. GEF-supported interventions typically consist of improvements to governance arrangements, management approaches, and the institutional capacities necessary to implement these arrangements and approaches. The outcomes of these interventions would then be broadly adopted – replicated, scaled up and mainstreamed – at the scale of the country. Broader adoption is assessed as an indicator of progress towards impact. However, it is assumed that broader adoption within countries will only take place if doing so aligns with the country’s needs and development priorities, and if the national government and other stakeholders have a sense of ownership over these outcomes. The circular arrow indicates that the process of broader adoption is an iterative and non-linear one, with self-reinforcing positive feedback loops ideally leading to outcomes being adopted, and impacts manifesting over increasing spatial and temporal scales. Programs differ from individual projects in that they are able to cover a larger geographical area (such as the country at a minimum), and can be implemented over longer time periods beyond a single project’s lifetime. As some components of the targeted social-ecological system may take longer to respond to interventions, programs allow for longer-term impacts to emerge at these larger scales. However, benefits from outcomes need to be resilient to changing contexts if these are to lead to long-term, large-scale impact.

4. Impact in the GEF context is defined as the improvement of environmental status derived from the generation of global environmental benefits, or reduction of environmental stress through the mitigation of the drivers of environmental degradation. The GEF2020 Strategy specifically focuses on addressing drivers of environmental degradation, although addressing drivers is not new in the GEF.

Drivers refer to processes that indirectly affect the use of natural resources at a large scale, and are often social, economic or political in nature. Examples are industries related to food supply and demand, transportation, energy and infrastructure. Due to its larger-scale and longer term objectives when compared with individual projects, programs have the potential to address drivers more effectively.

5. Programs are also different from projects in that they are intended to increase cost-effectiveness in terms of project approval times, design and implementation costs, coordination among individual projects within a given thematic sector or geographical area, and leveraging of co-financing. In fact, other donors are more likely to provide co-financing towards larger, coherent and more visible programs rather than to individual projects. Due to their size, programs may be more difficult to manage than projects. However, the larger financing and the expected cost-effectiveness are assumed to provide an incentive to GEF Agencies and countries to implement programs rather than individual projects where appropriate.

6. Cost-effectiveness is the extent to which a program has achieved or is expected to achieve its results at a lower cost compared with alternatives.³⁸ In case program-level results simply represent the sum of project-level results, if the costs of a program are less than the “business as usual” alternative (stand-alone project/cluster of projects, or project-by-project approach), then the program is still more cost-effective. Figure 2 illustrates advantages (rounded rectangles) and limitations (dashed rectangles) in the GEF Activity Cycle, influencing program cost-effectiveness.³⁹

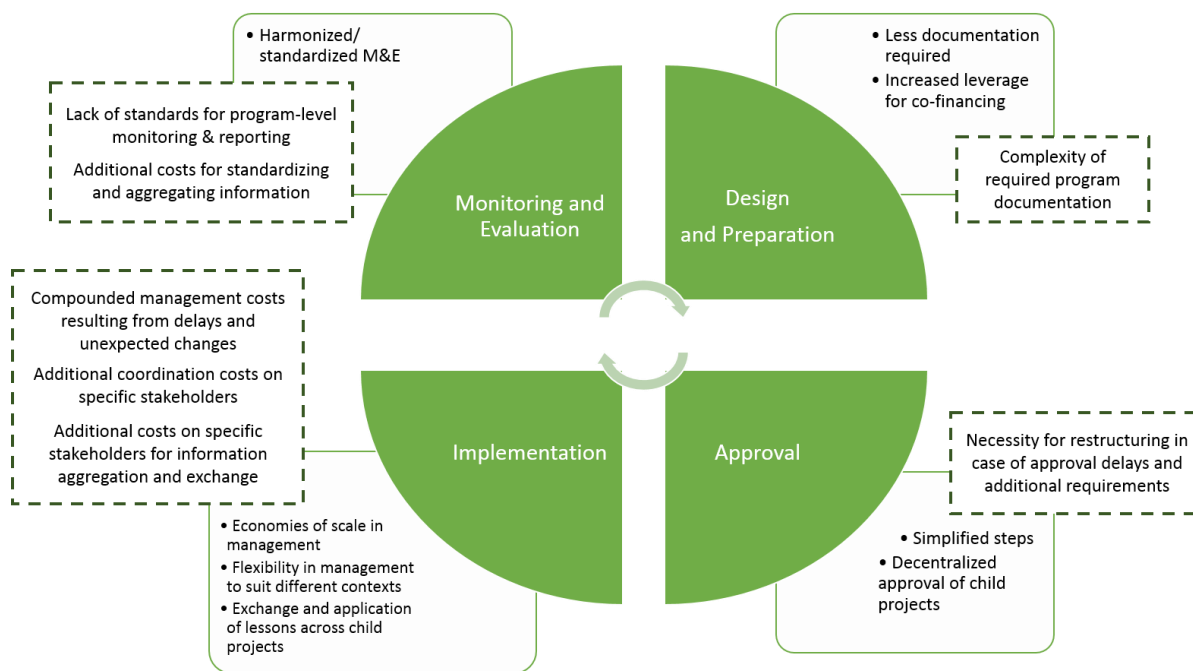


Figure 2: Advantages and limitations of GEF Programs at different stages of the GEF Activity Cycle

³⁸ Independent Evaluation Group, World Bank. *IEG Guidelines for Global and Regional Program Reviews (GRPRs)*, January 2007, p.8. <http://siteresources.worldbank.org/EXTGLOREGPARPROG/Resources/GRPPguidelines.pdf>

³⁹ Factors have been drawn from two GEF reports: (i) GEF Project Performance Report 2002 (GEF Monitoring and Evaluation Unit, 2002) <https://www.thegef.org/gef/sites/thegef.org/files/documents/Project%20Performance%20Report%202002.pdf>; and (ii) Joint Evaluation of the GEF Activity Cycle and Modalities (GEF Evaluation Office, 2007) https://www.thegef.org/gef/sites/thegef.org/files/documents/Joint_Eval-GEF_Activity_Cycle_and_Modalities.pdf

7. The evaluation matrix in the following page translates in indicators the main elements described in the evaluation conceptual framework, and relates them to the respective sources of information and evaluation methods/tools. It also indicates the team responsibilities.

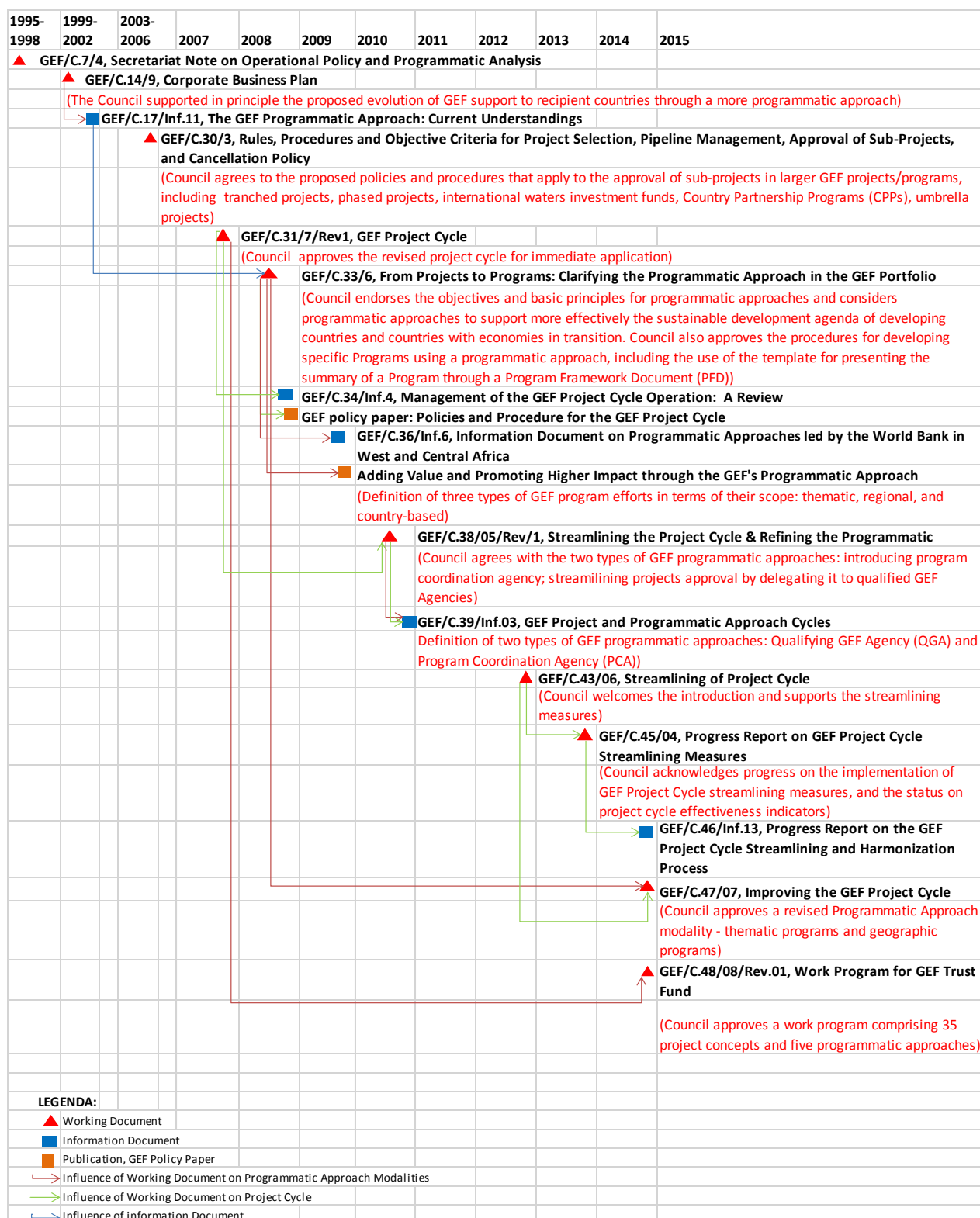
Key Questions	Indicators/basic data/what to look for	Sources of information	Methodology	Responsibility
Effectiveness and Results				
a) To what extent have the different typologies of GEF programs delivered the intended results in terms of broader scale and longer term environmental outcomes and impacts as compared to stand-alone projects?	Aggregated program and child project effectiveness and sustainability ratings, by program typology (single vs. multifocal area, country vs. regional, etc.), compared with “business as usual”	M&E reports (PIRs, MTRs, TEs, TE reviews) 30+ available post-2008 child project TEs	Documentation review Portfolio analysis Broader Adoption/P2I desk analysis	GEF IEO Research assistants
	Evidence/examples of broader adoption – sustaining, replication, scaling-up, mainstreaming and market change mechanisms in place – in single as well as multi focal area programs, compared with “business as usual” Observed resilience to changing contexts in terms of benefits from program outcomes	Available pre-2008 program evaluations by GEF IEO and other GEF Agencies’ evaluation units	Meta-analysis	
		Country stakeholders Available country data Geocoded child projects Field observations	Two P2I case studies (RIE) on energy efficiency in buildings Four purposively selected P2I case studies (GIS/ Remote Sensing)	Senior Consultant, RIE Expert/Firm TTL Senior Consultant Case Study Consultants GEF IEO’s GIS Expert and Evaluator
	Existence and trends in the flow of knowledge exchange between child projects, including lessons and good practices	Country stakeholders Central level stakeholders (GEF Secretariat and Agencies) GEF IEO’s “Meta-analysis of evaluative evidence contained in CPEs, on GEF support to knowledge management”, other evidence KM from other IEO evaluations Online platforms (i.e. IW-LEARN)	Interviews Field visits and other country-level data collection during the P2I case studies missions Documentation review Web search	Senior Consultant RIE Expert/Firm Case Study Consultants
	Existence of a coordinated and adequately budgeted program-level knowledge management function under one strategic framework	PFDs M&E reports (PIRs, MTRs, TEs, TE reviews) Online platforms (i.e. IW-LEARN)	Documentation review Web search	GEF IEO’s Research Assistants
	Comparison of results : program vs. comparable single project/cluster of projects (i.e. “business as usual”)	Country stakeholders Available country data Geocoded child projects Field data on remote sensing indicators (for validation, calibration and model building)	Two P2I case studies (RIE) on energy efficiency in buildings programs	Senior Consultant RIE Expert/Firm TTL
			Four purposively selected P2I case studies (GIS/ Remote Sensing) <i>Three case studies will be conducted in synergy with Multiple Benefits Evaluation case studies</i>	Senior Consultant Case Study Consultants TTL GEF IEO’s GIS Expert and Evaluator

	Land use/Land cover changes Vegetation productivity Landscape fragmentation <i>Moderate resolution for long term analysis (20 yrs)</i> <i>High resolution satellite products for changes (15yrs)</i>	GIS/Remote Sensing databases; all ongoing and completed child projects in “mature programs” that can be geocoded (n = 281)	Quasi experimental design Time series analysis Change analysis <i>Geocoding and analysis of environmental parameters to be done in conjunction with the Multiple Benefits Evaluation</i>	GEF IEO’s GIS Expert and Evaluator Geocoding firm/institution
b) To what extent have GEF programs addressed the main drivers of environmental degradation?	<i>Indicators will be built retrospectively. They will be very broad (like a checklist) at the portfolio level, then specific to environmental issues at the case study level. Using FAO and WRI sources, the GEF2020 Strategy indicates four major socio-economic drivers of environmental degradation, divided in demand (indirect drivers) and supply (direct drivers) for the food production, buildings, transportation, and energy sectors: https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.C.46.10.Rev_.01_GEF2020_-_Strategy_for_the_GEF.pdf</i>	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants
		Country stakeholders Available country data Central level stakeholders (GEF Secretariat and Agencies)	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant RIE Expert/Firm Case Study Consultants
		PFDs M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants
Relevance				
a) What factors have influenced program ownership by participating countries and in turn the relevance of those programs to national environment and development needs and priorities?	Existence of national operational strategies related to the GEF Focal Areas to which GEF program support belongs Predictability of GEF support allocated to countries through RAF and STAR Alignment of GEF program support with other donor programs support as well as with national priorities and national budgets in the framework of the Paris Declaration Degree of integration of GEF program support within country systems Extent of national non-state actors participation in GEF programs/child projects <i>Plus any other ownership factors emerging from the QCA analysis</i>	PMIS PFDs and child project PIFs/PPGs M&E reports (PIRs, MTRs, TEs, TE reviews) Country stakeholders Available country data	Portfolio analysis Documentation review Qualitative Comparative Analysis (QCA) data gathering during P2I case studies missions in-country	GEF IEO’s QCA specialist and Evaluator TTL Senior Consultant Case Study Consultants External QCA Consultant
	Perceptions on stakeholder incentives and/or disincentives to embark in GEF programs and their change over time, i.e. access to GEF funding (from STAR or from set-asides), leverage potential for attracting other donors’ funding, long term perspective, synergies, management arrangements, transaction costs, among others	Country stakeholders Available country data Central level stakeholders (GEF Secretariat and Agencies)	Interviews Field visits and other country-level data collection during the P2I case studies missions Online survey	Senior Consultant, Case Study Consultants TTL GEF IEO’s Research Assistants
	Extent to which programs improved GEF Agency and donor coordination and harmonization of donor procedures (e.g., in program M&E reporting and co-financing)	Country level government and GEF Agency stakeholders Available country data	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study Consultants

	Similarities and differences (in terms of objectives, processes, institutional arrangements, etc.) between GEF programs and more “traditional” donor-based programs as defined by OECD	Available literature on programs from OECD and other donors (including WB trust funds, etc.).	Literature review	External Consultant	
b) To what extent have child project level objectives been coherent with and integrated in the program level ones?	Existence of a program strategic approach detailing how the program-level outcome is expected to be achieved through child level outcomes Alignment of the child projects’ objectives with the program objective and strategic approach	Program PFDs and related child projects PIFs/PPGs Entire portfolio of child projects, approx. n = 300 and 38 programs OPS4 Review of 34 Post-2008 PFDs	Quality at Entry Study (checklist, outcome mapping)	GEF IEO’s Research Assistants	
	Observed synergy/complementarity/integration between program and related child projects’ outcomes Observed synergy/complementarity/integration between child projects outcomes	M&E reports (PIRs, MTRs, TEs, TE reviews) Country stakeholders Available country data	Documentation review Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study Consultants	
	Efficiency				
a) To what extent have GEF programs been able to disburse large-scale GEF resources to countries and regions with enhanced accountability and oversight?	Program approval steps compared with the “business as usual” alternative (i.e. comparable stand-alone projects) Comparison of number and complexity of documentation required at planning and approval between programs and “business as usual” alternative (i.e. comparable stand-alone projects) Comparison of management costs and savings during implementation between programs and the “business as usual” alternative (i.e. comparable stand-alone projects)	Programs data and documentation from PMIS (updated by GEF Agencies) Central level stakeholders (GEF Secretariat and Agencies)	Cost-effectiveness analysis Portfolio analysis Interviews	GEF IEO’s Research Assistants Senior Consultant	
	Process indicators: processing timing (according to the GEF Activity cycle steps), preparation and implementation cost by type of modalities, etc. Programs and child project dropouts and cancellations	Umbrella programs data and documentation from PMIS (updated by GEF Agencies) Central level stakeholders (GEF Secretariat and Agencies)	Desk review Portfolio analysis Timelines Interviews	Senior Consultant GEF IEO’s Research Assistants	
	Levels and timings of GEF funding Nature of the types of finance leveraged under programmatic approaches, and related sources, compared with “business as usual” (i.e. comparable stand-alone projects)	Program data and documentation from PMIS (updated by GEF Agencies) Central level stakeholders (GEF Secretariat and Agencies)	Documentation review Portfolio analysis Interviews	Senior Consultant GEF IEO’s Research Assistants	
	Existence of an RBM strategy showing how each child contributes to the parent objectives, with baselines, monitoring activities and adequate budget	PFDs and child project PIFs/PPGs of post 2010 programs. M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants	
	b) To what extent have the governance, management arrangements and coordination influenced the	Centrality and network density, to be compared for different programs and “correlated” with their outcomes Comparing time, costs and functioning patterns of coordination mechanisms of different ongoing programs by typology (single vs multifocal area, regional vs country, etc.)	PFDs GEF Agencies and national stakeholders M&E reports (PIRs, MTRs, TEs, TE reviews) Regional stakeholders (i.e. UNDP Regional Technical Advisers), program meeting minutes, etc.	Social network analysis Interviews Documentation review Social network analysis Interviews	GEFF IEO’s QCA Expert and Evaluator GEF IEO’s Research Assistants Senior Consultant

performance of GEF programs?		Country stakeholders Available program coordination meeting minutes	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study Consultants
	Availability and level of funding for coordination support at parent level	PFDs and child project PIFs/PPGs M&E reports (PIRs, MTRs, TEs, TE reviews) Central and country level stakeholders	Documentation review Interviews	GEF IEO's Research Assistants Senior Consultant
	Level and type of participation/engagement in program coordination in different ongoing programs by typology (single vs multifocal area, regional vs country, etc.)	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO's Research Assistants
		Country stakeholders Available program coordination meeting minutes	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant Case Study Consultants
	Cross-referencing in program and child project reports of results of coordination	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO's Research Assistants
	Frequency and quality of communication and technical support between program and child project teams	Program stakeholders, meeting minutes, etc.	Documentation review Interviews	Senior Consultant
c) What role did M&E play in programs adaptive management for the attainment of expected outcomes and impacts?	Existence and quality of elements of guidance on program level M&E	Council documents GEF IEO M&E Policy PFDs Available program level TEs	Documentation review	GEF IEO's Research Assistants
	Design and implementation of roles and responsibilities for gathering/reporting/sharing monitoring information	PFDs and child project PIFs/PPGs		GEF IEO's Research Assistants
		Central, regional and country level stakeholders	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study consultants
	Existence of a harmonized and adequately budgeted program-level M&E framework design and coherence with child projects M&E design	PFDs and child project PIFs/PPGs	Documentation review	GEF IEO's Research Assistants
	Number, type and quality of post-2008 program and child project M&E reporting	APR 2015 desk-based survey, M&E reports (PIRs, MTRs, TEs, TE reviews)		
	Evidence of adaptive management (i.e. changes at mid-term)	Available MTRs		
	Appropriateness of indicators (e.g. SMART)	M&E reports (PIRs, MTRs, TEs, TE reviews)		
Types of M&E information used/acknowledgement of usefulness	Global, regional and country level stakeholders	Interviews Online survey	Senior Consultant TTL GEF IEO's Research Assistants	

Annex 2 – Sequencing of major Council documents



Annex 3 – Portfolio

Phased/Tranched Programs

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF phase	Type	Status	Approved PPG(s) (USD \$)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval date
62	WB	Country	BD	Protected Areas Program	Pilot	FSP	Closed	0	25,000,000		17,200,000	1-May-91
877	WB	Country	BD	Consolidation of the Protected Areas Program (SINAP II)	GEF2	FSP	Completed	350,000	16,100,000	1,229,000	60,300,000	1-Nov-00
2078	WB	Country	BD	Consolidation of the Protected Area System (SINAP II) - Second Tranche	GEF3	FSP	Completed	0	2,210,000		15,230,000	2-May-03
2654	WB	Country	BD	Consolidation of the Protected Area System (SINAP II) - Third Tranche	GEF4	FSP	Completed	0	7,350,000	0	7,350,000	8-Jun-07
2655	WB	Country	BD	Consolidation of the Protected Area System (SINAP II) - Fourth Tranche	GEF4	FSP	CEO Endorsed	0	5,440,000	0	5,440,000	30-Sep-08
117	WB	Regional	BD	Atlantic Biological Corridor	GEF1	FSP	Closed	330,000	7,100,000		43,600,000	1-Oct-96
121	UNDP/ WB	Regional	BD	Honduras Biodiversity Project	GEF1	FSP	Closed	300,000	7,000,000		41,700,000	1-Jan-97
133	WB	Regional	BD	Atlantic Mesoamerican Biological Corridor Project	GEF1	FSP	Closed	285,000	8,300,000		30,900,000	1-May-97
671	WB	Regional	BD	Ecomarkets	GEF2	FSP	Closed	330,000	8,000,000	878,000	51,900,000	1-Dec-99
779	WB	Regional	BD	Mesoamerican Biological Corridor	GEF2	FSP	Completed	360,000	14,840,000	1,261,000	78,110,000	1-May-00
125	UNDP/ WB	Country	BD	Environment Program Support Project	GEF1	FSP	Closed	500,000	20,800,000		135,200,000	1-Aug-96
1884	WB/ UNDP	Country	BD	Third Environment Programme	GEF3	FSP	Completed	0	13,500,000	1,224,000	135,350,000	21-Nov-03
134	WB	Country	BD	Cape Peninsula Biodiversity Conservation Project	GEF1	FSP	Closed	85,000	12,300,000		80,800,000	1-Nov-97
1516	WB	Country	BD	C.A.P.E. Biodiversity Conservation and Sustainable Development Project	GEF3	FSP	Completed	320,000	11,000,000	1,291,000	44,450,000	16-May-03
771	WB	Country	BD	Amazon Region Protected Areas Program (ARPA)	GEF2	FSP	Closed	350,000	30,000,000	1,550,000	59,000,000	1-May-00
4085	WB	Country	BD	Amazon Region Protected Areas Program Phase 2	GEF4	FSP	Ongoing	0	15,890,000	1,589,000	70,000,000	17-Mar-10
935	UNDP	Country	CC	Barrier Removal to Namibian Renewable Energy Programme, Phase I	GEF2	FSP	Ongoing	103,000	2,600,000	242,000	4,730,000	11-May-01
2256	UNDP	Country	CC	Barrier Removal to Namibian Renewable Energy Programme (NAMREP), Phase II	GEF3	FSP	Completed	0	2,600,000	234,000	7,636,000	1-Aug-06
941	UNDP	Country	CC	Demonstration of Fuel Cell Bus Commercialization in China (Phase II-Part I)	GEF2	FSP	Completed	0	5,815,000	336,000	10,115,000	11-May-01
2257	UNDP	Country	CC	Demonstration of Fuel Cell Bus Commercialization in China, Phase 2	GEF3	FSP	Completed	0	5,767,000	519,030	12,858,000	10-Nov-05
943	WB	Country	CC	Renewable Energy Scale Up Program (CRESP), Phase 1	GEF2	FSP	Completed	1,350,000	40,220,000	2,823,000	129,580,000	11-May-01
4493	WB	Country	CC	China Renewable Energy Scaling-Up Program (CRESP) Phase II	GEF5	FSP	IA Approved	0	27,280,000	2,720,000	444,100,000	26-May-11
1089	WB/IFC	Country	BD	Asian Conservation Company (ACC)	GEF2	FSP	Completed	0	1,600,000	186,000	14,800,000	17-May-02
1094	WB/ UNDP	Regional	IW	Nile Transboundary Environmental Action Project, Tranche 1	GEF2	FSP	Completed	350,000	16,800,000	1,315,414	90,760,000	7-Dec-01

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF phase	Type	Status	Approved PPG(s) (USD \$)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval date
2584	UNDP	Regional	IW	Nile Transboundary Environmental Action Project (NTEAP), Phase II	GEF4	FSP	Completed	0	6,700,000	670,000	71,990,000	5-Sep-07
1170	WB/UNDP	Country	BD	Conservation and Management of the Eastern Arc Mountain Forests	GEF2	FSP	Completed	373,000	12,000,000	1,310,391	38,450,000	7-Dec-01
1224	UNEP	Global	BD	Conservation and Sustainable Management of Below Ground Biodiversity, Phase I	GEF2	FSP	Closed	273,000	5,022,646	240,000	3,576,739	7-Dec-01
2342	UNEP	Global	BD	Conservation and Sustainable Management of Below Ground Biodiversity, Tranche 2	GEF2	FSP	Completed	0	4,007,124	360,641	7,438,678	7-Dec-01
1239	UNDP	Country	BD	Sustainable Development of the Protected Area System	GEF3	FSP	Ongoing	317,821	9,000,000	838,604	22,429,500	1-Aug-06
1348	WB/FAO	Regional	POPs	Africa Stockpiles Program, P1	GEF3	FSP	Completed	700,000	25,000,000	2,523,000	35,000,000	15-Oct-02
2152	WB	Country	BD	Butrint National Park: Biodiversity and Global Heritage Conservation	GEF4	MSP	Completed	25,000	950,000	87,750	1,208,160	29-Jun-07
2344	UNEP	Regional	BD	Desert Margins Programme (DMP) Tranche 2	GEF2	FSP	Closed	0	5,617,044	148,550	12,250,182	7-Dec-01
2377	UNEP	Regional	LD	Sustainable Land Management in the High Pamir and Pamir-Alai Mountains - and Integrated and Transboundary Initiative in Central Asia Phase I	GEF3	FSP	Ongoing	650,000	3,000,000	328,500	6,000,000	1-Aug-06
2509	UNDP	Country	LD	Sustainable Land Management for Combating Desertification (Phase I)	GEF3	FSP	Completed	340,000	2,000,000	210,600	2,600,000	9-Jun-06
2591	WB	Country	BD	Creation of Nature Protection Area	Pilot	FSP	Council Approved	0				1-Dec-93
2618	WB/IFC	Global	BD	Biodiversity and Agricultural Commodities Program (BACP), Phase 1	GEF3	FSP	Completed	435,750	7,000,000	669,218	11,674,000	1-Aug-06
2714	UNDP	Global	BD	National Reporting to the CBD: Supporting Countries to Prepare the Third National Report on Biodiversity, Phase I	GEF3	MSP	Ongoing	0	1,000,000	146,000		17-Mar-05
2880	UNDP	Global	BD	National Reporting to the CBD: Supporting Countries to Prepare the Third National Report on Biodiversity (Phase II)	GEF3	MSP	IA Approved	0	1,000,000	90,000		8-Sep-05
3037	UNEP	Global	BD	Conservation and Use of Crop Genetic Diversity to Control Pests and Diseases in Support of Sustainable Agriculture (Phase 1)	GEF3	FSP	Completed	350,000	3,411,148	338,503	4,274,344	1-Aug-06
Total								8,477,571	393,219,962	25,359,201	1,808,000,603	

Source: PMIS

Programs without PFD

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF phase	Type	Status	Approved PPG(s) (USD \$)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval date
1014	WB	Regional	IW	Danube/Black Sea Basin Strategic Partnership on Nutrient Reduction, Tranche I	GEF2	FSP	Council Approved	0	79,000,000	7,935,000	308,577,000	11-May-01
1615	WB	Regional	CC	Geothermal Energy Development Program , GeoFund	GEF3	FSP	Cancelled	700,000	25,000,000	2,500,000	175,000,000	16-May-03
1685	WB/IFC	Global	CC	FC-1: Fuel Cells Financing Initiative for Distributed Generation Applications (Phase 1)	GEF3	FSP	Ongoing	25,000	9,825,000	922,000	9,000,000	21-Nov-03
2093	WB	Regional	IW	SP-SFIF: Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa (Tranche 1, Installment 1)	GEF3	FSP	Council Approved	670,000	28,600,000	2,790,300	160,640,000	15-Nov-05
2437	UNDP/ UNEP/ FAO	Country	LD	CPP Cuba: Supporting Implementation of the Cuban National Programme to Combat Desertification and Drought (NPCDD)	GEF3	FSP	PPG Approved	403,000	9,652,500	900,000	79,437,500	10-Nov-05
2439	UNDP/ WB	Country	MFA	CPP Namibia: Country Pilot Partnership for Integrated Sustainable Land Management, Phase 1	GEF3	FSP	Council Approved	250,000	10,000,000	922,500	51,988,600	10-Nov-05
2441	UNDP	Global	LD	LDC and SIDS Targeted Portfolio Approach For Capacity Development and Mainstreaming of Sustainable Land Management	GEF3	FSP	Project Completion	0	29,000,000	3,770,000	30,950,000	21-May-04
2454	WB	Regional	IW	World Bank/GEF Partnership Investment Fund for Pollution Reduction in the Large Marine Ecosystems of East Asia (Tranche 1 of 3 tranches)	GEF3	FSP	Council Approved	700,000	35,000,000	3,213,000	701,570,000	10-Nov-05
2504	ADB	Regional	LD	CACILM: Central Asian Countries Initiative for Land Management Multi-country Partnership Framework Phase 1	GEF3	FSP	Completed	700,000	20,000,000	1,863,000	134,823,000	28-Aug-06
2601	WB	Regional	MFA	World Bank-GEF Investment Fund for the Mediterranean Sea Large Marine Ecosystem Partnership, Tranche 1, 1st Allocation	GEF3	FSP	Council Approved	0	27,000,000	2,250,000	135,000,000	28-Aug-06
2710	UNDP	Country	LD	CPP: Partnership Programme for Sustainable Land Management, Phase 1	GEF3	FSP	Council Approved	350,000	9,650,000	900,000	60,707,000	28-Aug-06
2757	WB/UNDP /UNEP/ AfDB/IFAD /FAO	Regional	LD	SIP PROGRAM: Strategic Investment Program for SLM in Sub-Saharan Africa (SIP)	GEF4	FSP	Council Approved	700,000	137,298,000	12,702,000	986,215,000	14-Jun-07
Total								4,498,000	420,025,500	40,667,800	2,833,908,100	

Source: PMIS

Programs with PFD

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF Phase	Type	Status	Approved PPG(s)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval Date
2762	World Bank/IFAD, UNDP	Country	MFA	SFM VIETNAM Country Program Framework for Sustainable Forest Land Management (COUNTRY PROGRAM)	GEF4	FP	Council Approved	100,000	654,545	75,455	4,989,500	24-Apr-08
3268	World Bank	Country	MFA	SLEM/CPP - Sustainable Land and Ecosystem Management Partnership PROGRAM	GEF4	FP	Council Approved	340,000	26,083,502	2,642,350	302,798,636	16-Nov-07
3420	World Bank	Regional	MFA	PAS GEF Pacific Alliance for Sustainability	GEF4	FP	Council Approved	375,000	59,645,965	6,081,822	220,488,729	24-Apr-08
3423	IFAD	Regional	MFA	MENARID Integrated Nature Resources Management in the Middle East and North Africa Region (PROGRAM)	GEF4	FP	Council Approved	1,975,000	53,518,406	5,000,340	217,332,910	24-Apr-08
3482	ADB/IFAD, World Bank	Country	MFA	PRC-GEF Partnership on Land Degradation in Dryland Ecosystems Program (PROGRAM)	GEF4	FP	Council Approved	1,145,000	19,633,001	2,042,799	371,986,700	24-Apr-08
3538	World Bank/UNDP, UNIDO	Country	CC	IND Programmatic Framework Project for Energy Efficiency in India (PROGRAM)	GEF4	FP	Council Approved	290,000	35,172,097	3,536,300	208,376,483	25-Apr-08
3647	ADB/UNDP/FAO/ World Bank	Regional	MFA	CTI The Coral Triangle Initiative (PROGRAM)	GEF4	FP	Council Approved	1,624,200	30,233,182	3,127,818	217,500,139	24-Apr-08
3648	UNEP	Global	POPs	DSSA Demonstrating and Scaling-up of Sustainable Alternatives to DDT in Vector Management (PROGRAM)	GEF4	FP	Council Approved	194,975	3,810,400	400,537	5,132,028	24-Apr-08
3653	EBRD/UNDP, UNIDO	Country	CC	RUS: Energy Efficiency in the Russian Federation (UMBRELLA PROGRAM)	GEF4	FP	Council Approved	1,035,000	54,934,075	5,536,407	666,780,231	24-Apr-08
3654	UNEP	Global	BD	BS GEF Biosafety Program	GEF4	FP	Council Approved	521,353	36,895,961	3,701,828	48,176,549	24-Apr-08
3661	UNDP	Country	BD	IND-BD: GEF Coastal and Marine Program (IGCMP)	GEF4	FP	Council Approved	100,000	9,461,930	946,193	30,000,000	24-Jun-09
3756	UNIDO	Regional	CC	CF: Reducing Industry's Carbon Footprint In South East Asia Through Compliance With a Management System for Energy (ISO 50,000) (PROGRAM)	GEF4	FP	Council Approved	390,650	14,025,536	1,429,118	76,170,000	13-Nov-08
3782	World Bank	Regional	MFA	CBSP: Strategic Program for Sustainable Forest Management in the Congo Basin	GEF4	FP	Council Approved	1,590,700	46,300,888	4,630,089	222,910,111	13-Nov-08

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF Phase	Type	Status	Approved PPG(s)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval Date
3785	World Bank/UNDP, UNEP,FAO	Regional	BD	SPWA-BD: GEF Program in West Africa: Sub-component on Biodiversity	GEF4	FP	Council Approved	900,687	29,948,745	2,999,874	127,662,649	13-Nov-08
3787	UNDP/UNEP	Global	CC	LGGE Framework for Promoting Low Greenhouse Gas Emission Buildings	GEF4	FP	Council Approved	708,450	29,237,393	2,926,239	286,098,886	13-Nov-08
3789	UNIDO	Regional	CC	SPWA-CC: GEF Strategic Program for West Africa: Energy Component (PROGRAM)	GEF4	FP	Council Approved	840,000	34,939,564	3,493,953	467,441,631	13-Nov-08
3926	UNDP	Country	BD	CBPF China Biodiversity Partnership and Framework for Action	GEF4	FP	Council Approved	2,212,000	36,296,587	3,820,338	745,124,752	16-Nov-07
3977	World Bank	Regional	IW	MED Mediterranean Environmental Sustainable Development Program "Sustainable MED"	GEF4	FP	Council Approved	456,000	30,835,090	3,083,310	133,166,400	24-Jun-09
3994	UNEP/UNIDO	Regional	POPs	AFLDC Program: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) and Small Islands Developing States (SIDS)	GEF4	FP	Council Approved	0	16,000,000	1,600,000	20,971,768	24-Jun-09
4031	GEFSEC	Global	CC	TT-Pilot (GEF-4)	GEF4	FP	Council Approved	885,000	41,197,273	4,119,727	214,551,384	13-Nov-08
4487	World Bank	Regional	IW	LME-AF Strategic Partnership for Sustainable Fisheries Management in the Large Marine Ecosystems in Africa (PROGRAM)	GEF5	FP	Council Approved	0	25,000,000	2,000,000	135,000,000	9-Nov-11
4511	World Bank	Regional	MFA	GGW Sahel and West Africa Program in Support of the Great Green Wall Initiative	GEF5	FP	Council Approved	0	100,759,260	8,060,741	1,810,000,000	26-May-11
4580	FAO/UNEP, World Bank	Global	MFA	ABNJ Global Sustainable Fisheries Management and Biodiversity Conservation in the Areas Beyond National Jurisdiction (PROGRAM)	GEF5	FP	Council Approved	1,044,000	45,412,844	4,087,156	222,741,000	9-Nov-11
4620	World Bank	Regional	MFA	MENA - Desert Ecosystems and Livelihoods Program MENA-DELP)	GEF5	FP	Council Approved	0	21,200,928	1,696,072	226,200,000	9-Nov-11
4635	World Bank	Regional	MFA	LME-EA Scaling Up Partnership Investments for Sustainable Development of the Large Marine Ecosystems of East Asia and their Coasts (PROGRAM)	GEF5	FP	Council Approved	387,000	43,500,000	3,480,000	753,500,000	9-Nov-11

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF Phase	Type	Status	Approved PPG(s)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval Date
4638	ADB	Regional	CC	ASTUD Asian Sustainable Transport and Urban Development Program (PROGRAM)	GEF5	FP	Council Approved	0	13,611,000	1,089,000	988,000,000	9-Nov-11
4646	UNDP/FAO	Country	BD	CBPF-MSL Main Streams of Life – Wetland PA System Strengthening for Biodiversity Conservation (PROGRAM)	GEF5	FP	Council Approved	710,633	23,010,915	2,070,983	142,600,000	9-Nov-11
4649	ADB/ World Bank	Regional	MFA	GMS-FBP Greater Mekong Sub-region Forests and Biodiversity Program (PROGRAM)	GEF5	FP	Council Approved	150,000	20,152,339	1,787,661	131,896,100	9-Nov-11
4664	UNEP/EBRD, UNDP, World Bank	Country	MFA	ARCTIC GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)	GEF5	FP	Council Approved	500,000	25,379,346	2,284,144	310,300,000	9-Nov-11
4680	AfDB	Regional	MFA	LCB-NREE Lake Chad Basin Regional Program for the Conservation and Sustainable Use of Natural Resources and Energy Efficiency (PROGRAM)	GEF5	FP	Council Approved	415,200	20,313,084	1,625,049	172,563,158	10-Nov-11
4936	UNDP	Regional	IW	EAS Reducing Pollution and Rebuilding Degraded Marine Resources in the East Asian Seas through Implementation of Intergovernmental Agreements and Catalyzed Investments (PROGRAM)	GEF5	FP	Council Approved	60,000	20,000,000	1,800,000	343,905,766	15-Nov-12
5037	ADB	Regional	CC	Climate Proofing Development in the Pacific	GEF5	FP	Council Approved	0	13,900,000	1,112,000	51,220,000	28-Mar-14
5228	AfDB	Regional	CC	RLACC - Rural Livelihoods's Adaptation to Climate Change in the Horn of Africa (PROGRAM)	GEF5	FP	Council Approved	300,000	7,655,556	612,444	64,000,000	20-Jun-13
5395	UNDP/UNE, FAO	Regional	MFA	R2R- Pacific Islands Ridge-to-Reef National Priorities – Integrated Water, Land, Forest and Coastal Management to Preserve Biodiversity, Ecosystem Services, Store Carbon, Improve Climate Resilience and Sustain Livelihoods	GEF5	FP	Council Approved	1,335,100	82,925,296	7,463,277	333,046,794	20-Jun-13
9060	FAO/ WWF-US, UNDP, World Bank, CI, UNEP	Global	MFA	CFI: Coastal Fisheries Initiative (PROGRAM)	GEF5	FP	Council Approved	975,230	33,731,193	3,035,807	201,500,000	4-Jun-15

GEF ID	Agency	Geogr. level	Focal Area	Title	GEF Phase	Type	Status	Approved PPG(s)	GEF Grant (USD \$)	Agency Fee (USD \$)	Cofinancing (USD \$)	Approval Date
9071	World Bank/ UNDP, UNEP, IUCN, WWF-US, ADB	Global	MFA	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)	GEF5	FP	Council Approved	1,525,486	90,377,470	8,133,974	513,137,060	4-Jun-15
9083	UNEP/UNDP	Global	CC	Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment) (PROGRAM)	GEF5	FP	Council Approved	290,000	10,370,000	933,300	55,781,000	21-Oct-15
9272	World Bank/ WWF-US, UNDP	Regional	MFA	Amazon Sustainable Landscapes Program	GEF5	FP	Council Approved	137,615	113,684,455	10,231,601	682,980,000	21-Oct-15
Total								23,514,279	1,319,807,826	122,697,706	11,726,030,364	

Source: PMIS. GEF-4 programs financial figures are the sum of their respective child projects.