

The Journey to

RIO



+20:

Gathering Evidence
on Expectations
for the **GEF**

ANNEXES



GLOBAL ENVIRONMENT FACILITY
EVALUATION OFFICE

THE JOURNEY TO RIO

Gathering Evidence on Expectations for the GEF

ANNEXES

- A. Expectation Formulation
- B. Expectation Fulfillment

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FOREWORD

What would happen if we were to compare the expecta-



tions at the Earth Summit in Rio de Janeiro in 1992 to the achievements of the Global Environment Facility (GEF)? This is the question I discussed with the Chief Executive Officer of the GEF in 2011. We thought it would be a good idea to do this comparison, as the GEF played an important role in the Rio discussions, and in the years after Rio the GEF has gathered a lot of evaluative evidence on its achievements. Having said this, it is not easy to do such a comparison. After all, the expectations were a cloud of opinions, uttered in a great variety of circumstances, some with a high level of common understanding, but others highly contentious and politically sensitive.

The GEF Evaluation Office surely is not mandated to “evaluate” the Rio expectations. What were these expectations exactly? Are we putting words in the mouths of stakeholders that they will not recognize? And if we were to formulate them so that stakeholders would recognize them, who are we to judge them? Were they realistic and pragmatic, or were they serving political goals? And even if we can identify them, how could we judge the GEF on the extent to which it has met expectations that have no legal standing in the GEF?

These questions have not led us to give up on this review of expectations versus fulfillment. Rather they have led us to adopt a light-hearted approach with a serious undertone, but one that would leave the judgment to the reader. This review takes the reader on a journey through time and the world to visit places of interest where expectations were formulated and where evaluative evidence was presented. Like

any travel agency interested in client satisfaction, we leave the rating of this comparison to the traveler.

We make no judgment, as we are not mandated and ultimately not qualified to judge the achievements of the GEF on the basis of expectations whispered in the corridors of international negotiations, and sometimes forcefully pronounced in speeches and statements. For a change, the Evaluation Office has only suggestions to offer. And we hope our travelers enjoy the experience, and that the journey is interesting and entertaining for them. If on the way they gather some additional ideas and notions — and evaluative evidence — on some of the biggest issues of our time, so much the better.



Rob van den Berg
Director, Evaluation Office

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ANNEX A: EXPECTATION FORMULATION

This annex describes a meta-analysis that systematically isolates nine Rio Expectations from a wealth of literature and explores the formulation of those expectations (how and by whom they were expressed).

METHODOLOGY

The GEF started in 1991 as a pilot effort and expectations per se were never put to paper. The same flexibility that has allowed the GEF to learn and survive until today has made it a huge challenge to measure and evaluate. The GEF Evaluation Office organizes Overall Performance Studies (OPS) and commissions other comprehensive and methodological evaluations, precisely to overcome these challenges. Given that this review is inevitably qualitative, a systematic approach to compile and analyze evidence is crucial.

To identify the Rio Expectations for GEF, over 179 documents were identified and compiled through a systematic literature review.¹ Each of the documents was reviewed to confirm whether it met the preliminary conditions (appropriate focus on stakeholders and time period) for inclusion as a source to formulate Rio Expectations. Nearly 100 documents, including a minimum coverage for each stakeholder group) satisfied the preliminary conditions; the others were off-scope (i.e., UNCED documents with no mention of financing) or off-time (i.e., no mention of the UNCED period). Each of these was studied more carefully to identify and extract Rio Expectations. Sixty-five documents that provided expectations were entered into an Excel database. For each expectation therein, the exact text containing the expectation, explicit or implicit, was pasted, along with the document

¹ The 179 documents are in a bibliography archive with the GEF Evaluation Office and available upon request.

date, source and stakeholder group. A total of 542 entries was made in the database and carried into the meta-analysis.

SHORTLISTING THE RIO EXPECTATIONS

For the Inception Report, preliminary expectations were mapped based on a cursory review of official GEF documents (mainly historical accounts, the official Instrument and the OPS evaluation series). Subsequently, the meta-analysis (described above) produced a total of 29 different expectations that satisfied the inclusion criteria — the original 19 found in the preliminary analysis and 10 more. This difference resulted from a much wider selection of documents (a large series of official UNCED documents and a wealth of scholarly literature and historical accounts of the GEF from many different perspectives) as well as a much more thorough and in-depth review of each. A short list of nine of these has been selected for the present review.

The Rio Expectations are identified as those that demonstrate the greatest total and per stakeholder depth, breadth, and strength.²

- **Rio Expectations with total depth (D_t)** have been expressed explicitly or implicitly by at least 25 different sources; there is a total of six Rio Expectation demonstrating total depth.
- **Rio Expectations with stakeholder depth (D_{sg})** are the expectations with the greatest number of sources for each stakeholder group (including the “generic” stakeholder category); five Rio Expectation compose this group — only one of them is new (not included in D_t above).
- **Rio Expectations demonstrating the greatest breadth**

² The subscript letters and symbols used below represent the following: t = total, sg = stakeholder group, gen = generic, dev = developing country, CSO = civil society, IA = Implementing Agency, \$ = donor.

(B) are those expectations (with more than 22 total) that are held by at least three of the four stakeholder groups (and triangulated therein); six expectations and only one new expectation demonstrate breadth.

- **Rio Expectations demonstrating strength (S)** are those (with greater than 22 total) in which one stakeholder group (including generic) garnered a large proportion of the total for that expectation (exceeding 40 percent); many

expectations, of which one us new, demonstrate strength.

The resulting nine Rio Expectations are shown in table A.1 and described in the following text. Information is provided on expectation expression (who, written/spoken, where), expectation articulation (explicit/implicit, choice of words, tone, etc.), discerning details and Agenda 21 resolution.

THE EXPECTATIONS

1. **Provide additional funding (D_t , D_s , and B).**³ This expectation manifests simultaneously the greatest depth and the greatest breadth of any of the Rio Expectations. A total of 43 different sources and three

³ During Rio negotiations in 1992, “additional” seems to have meant that the GEF should not replace other funds; it should be additional to and complement multilateral and bilateral development assistance. According to Sojberg (1992), donor contributions had to be additional to existing aid flows, and to country-based environmental efforts.

stakeholder groups suggested that the provision of “additional” funding through GEF was a main expectation at Rio. It also has enhanced depth among donors.

- **Expression.** This expectation was expressed most often at the UNCED. Four public speeches and four of the five UNCED products (all but the Rio Declaration) explicitly refer to the need for “new and additional” funding. This resulted in a good number of generic documents providing examples. Developing countries expressed this expectation most frequently, but surprisingly, at least eight donors voiced similar expectations. The Prime Minister of Great Britain (John Major) made a public statement that “the British Government is ready to commit *new and additional* resources through the GEF.”^[1] The United States made a heavily qualified concession for *new and additional* resources at PrepCom-4.^[2]

TABLE A.1: RIO EXPECTATIONS

Category	Rio Expectation (in descending order of frequency of expression): That the GEF would...
Demonstrating total depth (D_t)	1. Provide additional funding (D_s and B)
	2. Address national priorities (D_{dev})
	3. Respond to and support conventions (D_{IA} and B)
	4. Enhance international cooperation (S_{gen})
	5. Mainstream sustainable development in a new green economic order (all 4 categories)
	6. Be given adequate funds to manage (B and S_{dev})
Demonstrating stakeholder depth (D_{sg})	7. Contribute to global environmental benefits (D_{gen} and S_{gen})
Demonstrating breadth (B)	8. Engage nongovernmental organizations
Demonstrating strength (S)	9. Foster innovation (S_{gen})

Note: See parentheses for other categories also satisfied.

- **Articulation.** “*New and additional*” surfaces as the mantra of UNCED. For a majority of expressions, this expectation was implied. Although the use of the term was precisely “*new and additional*,” there were still hopes that other funding mechanisms — instead of or beyond the GEF would be available — so all mention of funding was couched in generic terms, thereby only implying that it would be an expectation for the GEF. For many, and certainly the developing country stakeholders, the tone was stern and adamant. At the UNCED closing statements, the President of Brazil (and President of UNCED, Fernando Collor) declared that “we must be able to rely upon a system of financial mechanisms to channel *new and additional* resources... to respond to the needs of developing countries.”^[3]

- **Details.** The question raised by this expectation is, *additional* to what? At UNCED,

Agenda 21 (Chapter 33.18) estimated that, beyond national level and other investment, an *additional* \$125 billion would be needed by developing countries to implement Agenda 21 over three years.^[4] This sum was expected to be *additional* to multilateral and bilateral (ODA) official development assistance (including those funds targeted at environmental protection) and should not replace any other existing funding mechanisms. Developing countries, insisting on the “polluter pays” principle,⁴ and struggling with poverty alleviation, needed assurance that ODA budgets would not be used for funding of the GEF for Agenda 21. Also indirectly linked to this expectation was another that

⁴ The polluter pays principle also came to be known otherwise as countries taking “common but differentiated responsibility” for environmental degradation to date, wherein the donors were to accept greater responsibility, thus greater burden to repair and preserve.

was articulated later,⁵ that the GEF would leverage parallel or funding, beyond that contributed directly to the GEF to manage. Such cofinancing is a major contributor to the volume of funding GEF manages, but it has never qualified as “additional” as the term was used during the Earth Summit.

One of the *raison d’être* of the UNCED was precisely to “identify ways and means of providing *new and additional* financial resources, particularly to developing countries, for environmentally sound development programmes and projects in accordance with national development objectives.”^[5] As for UNCED’s most official product, Chapter 2.24 of Agenda 21 reads “in this context, *additional* financial resources in favor

⁵ Although not included in the present meta-analysis, the expectation for the GEF to leverage other funds had only seven formulations around the time of the UNCED. It appears to have grown in importance thereafter, perhaps as a way to make up for the lack of visible additional and adequate funds.

of developing countries and the efficient utilization of such resources are essential.” It continues in Chapter 33.1 (on Financial Resources and Mechanisms): “UNCED should... Identify ways and means of providing *new and additional* financial resources, particularly to developing countries, for environmentally sound development programmes and projects...” Finally, Chapter 33.14b specifically states that the GEF must be restructured to “Ensure *new and additional* financial resources on grant and concessional terms, in particular to developing countries.”^[4]

As enshrined in the Rio Declaration (Principle No. 7), the Rio Expectation for additional funding was based on the principle of “common but differentiated responsibility” for the already degrading global environment.^[6] In fact, Boutros Ghali opened UNCED saying “planetary development involves a third level of effort, inter alia, the polluter pays principle,” and the UK Government also paid official tribute to this differentiated responsibility.

^[7] Preston, the World Bank's highest-ranking official at UNCED, admitted in his official speech that "it is the industrial countries which have primary responsibility for addressing global environmental issues caused in large part by them."^[8] One author of the era described the GEF as "a process in which the present polluters, by agreeing to pay through global environmental conventions and the GEF, are able to engage the potential future polluters in a cooperative effort to promote the common interest in the global environment."^[9] Principle 7 of the Rio Declaration states that "the developed countries *acknowledge the responsibility* that they bear in the international pursuit to sustainable development in view of the pressures their societies place on the global environment and of the technologies and financial resources they command."^[6] Other official statements during UNCED by President of Cape Verde (Antonio M. Monteiro) and Prime Minister of the Cook Islands

(Geoffrey Arama Henry) insisted on the concept of Polluter Pays, as did Nepal's National Report to UNCED, and representatives of Myanmar and Guyana (during PrepComs).

2. Address national priorities

(D_t and D_{dev}). Urging the GEF to meet the needs, objectives and demands of developing countries — simultaneously with environmental protection — is the second most frequently voiced expectation, all sources combined, with 31 different expressions.

- **Expression.** This expectation is expressed most often outside UNCED, by historical accounts or stakeholder documents. It is expressed most frequently by developing countries, followed by Implementing Agencies, and least by NGOs.
- **Articulation.** This expectation was articulated with force by developing countries who argue that the GEF only finances projects that are

"primarily of concern of the North." They expected that results of the UNCED process should be wider in scope — "directed to the specific problems faced by developing countries."^[10] Beyond confronting daily problems of poverty and urbanization, developing countries felt that the choice of GEF's four focal areas was a luxury for rich countries that excluded the plight of the poor.

- **Details.** The main argument (expressed by GEF IAs) against addressing national priorities was that the innovative focus on global benefits was the main selling point of the GEF concept to donors. OECD donors were "worried about the increased demand for funds that would result if national and global components could not be financially distinguished."^[11]

In Chapter 33.1, Agenda 21 declares that the GEF — or more specifically any funding mechanism for sustainable

development should be "...in accordance with *national development objectives, priorities and plans*."^[4] This statement ties the concepts of sustainable development and national priorities closely together.

3. Respond and support conventions (D_t , D_{IA} , and B).

This expectation is the third most frequently expressed (N=30), all sources combined. It also has stakeholder depth and demonstrates breadth across three of the four stakeholder groups.

- **Expression.** Half of the entries for this expectation come from stakeholder-specific literature and less than one-quarter from UNCED documents. It is the expectation expressed most often by donors, while

⁶ Tenets necessary for balancing economic growth with environmental constraints were incorporated in international environmental agreements on biodiversity (the Convention on Biological Diversity — CBD) and climate change (the United Nations Framework Convention on Climate Change — UNFCCC) were both open for signature at UNCED.

developing countries seem entirely unconcerned. GEF donors have referred to linkages with the conventions as “the axis about which the restructuring of the GEF must turn.”^[12]

- **Articulation.** Despite its apparent popularity, this expectation met with plentiful opposition. During UNCED,^[13] India and China openly claimed that the GEF was an inappropriate mechanism for convention funding and it was in the face of conventions that developing countries were most vocal about needing a new “green fund.”^[14] UNEP, discontented with the GEF, also went on record calling it an infeasible alternative to support the conventions.^[11] In fact, everyone accepted the need for and wanted to be home to the funding mechanism for conventions, and GEF was the ultimate compromise.
- **Details.** When UNCED opened, GEF was already managing resources related

to the Montreal Protocol. Based on this precedent, the possibility of using the GEF as an “umbrella mechanism,” “plug-in” or “modular receptacle” for additional resources linked to specific conventions was already being considered before Rio 1992.^[15–17]

Although Agenda 21 does not refer directly to GEF’s role with conventions, both of the conventions signed at UNCED named GEF as their *interim* financial mechanism, pending appropriate restructuring (Article 30 of the Convention on Biological Diversity and Article 11 of the UNFCCC).^[18,19]

4. Enhance international cooperation (D_t and S_{gen}). This expectation was the fourth deepest (most frequently voiced, all sources combined) and gained strength from the number of expressions by the generic stakeholder group.

- **Expression.** Beyond the generic group, it was Implementing Agencies and donors

who appeared to hold highest this expectation of enhancing international cooperation. It was described most often in historical accounts of the UNCED process or the GEF. This expectation goes hand in hand with the expectation that the GEF would thrive within existing institutional arrangements⁷ with no need for a new institution and no fragmentation. It was also thought that proliferation should be replaced by mainstreaming⁸, expanding the influence of the environment *inside* each IA and partner, instead of expanding the number of entities.

⁷ The expectation that the GEF would be able to thrive as a new trio creating no new institution and preventing fragmentation was also considered in the meta-analysis but, although triangulated among donors and IAs, it only attracted 11 expressions.

⁸ The expectation that the GEF would contribute to mainstreaming the environment within the IAs gained only 17 expressions and was triangulated by all stakeholder groups except developing countries.

- **Articulation.** The Preamble of the Rio Declaration set the *cooperation* tone for UNCED “with the goal of establishing a new and equitable global partnership through the creation of new levels of cooperation among States, key sectors of societies and people, working towards international agreements which respect the interest of all and protect the integrity of the global environmental system.”^[6]
- **Details.** *Cooperation*, as disclosed by the meta-analysis, meant different things for each stakeholder. The majority of expectation holders felt strongly that the GEF was a pioneer effort that could exemplify an ideal marriage between Bretton Woods and the United Nations.^[9,20–23] The World Bank often flaunted this marriage, cleverly playing to their critics and those most likely to side with diplomatic UN circles.^[24,25] Somehow, in formal documents *cooperation* was translated

to represent an equal representation of the interests and activities between the North and the South in the realm of sustainable development (Rio Declaration, Agenda 21). The U.S. Congress proceedings repeatedly recorded references to the GEF as “the glue which cements the process of *international cooperation* on the environment.”^[26] A minority of other stakeholders, touted *cooperation* between bilateral assistance, intergovernmental efforts and the CSO communities.^[27,28]

Agenda 21 (in Chapter 33.7, on Financial Resources and Mechanisms) states that “*international cooperation* for sustainable development should be strengthened in order to support and complement the efforts of developing countries, particularly the least developed countries.” Any link to GEF would be implied, as the only functional and donor-approved funding mechanism proposed at UNCED.

5. Mainstream sustainable development in a new green economic order (D_t , D_{CSO} , B , and S_{CSO}). This Rio Expectation along with the next one, is the fifth most frequently expressed by all sources and stakeholders combined. Although perhaps the most politically charged of all the expectations, it is the only one that satisfies all four criteria for depth (total and stakeholder), breadth and strength, making it an inevitable contender.

- **Expression.** This expectation was evenly expressed within historical literature and stakeholder documents. It is the single most commonly voiced expectation by NGO stakeholders and was triangulated⁹ in every stakeholder group, except Implementing Agencies, given one of the IAs is the World Bank, an actor in the current economic order. Expressions from developing

⁹ Triangulated, here, indicates that at least three different sources (for each stakeholder group concerned) were found to have expressed the expectation.

country and donor stakeholders were of roughly the same frequency. Environmental principles put forth by G77 countries in China¹⁰ highlighted the need “to establish a new and equitable international economic order conducive to the sustained and sustainable development of all countries, thereby creating the conditions necessary for global cooperation to protect the environment.”^[29]

- **Articulation.** CSO stakeholders did not use words sparingly to describe this expectation. At the GEF consultation in Geneva (December 1991), NGOs articulated that the World Bank was the worst possible choice to house the GEF.^[28,30] They called for the greening or reform of destructive development policies linked not only to the World Bank, but to all

¹⁰ Ministerial Conference in Environment and Development convened by the government of China in June 1991 and attended by over 40 developing countries.

lending institutions as well as the WTO and GATT. The GEF was expected — not least by the United States — to be the environment’s “Trojan horse,” a surge from inside the World Bank.^[22,31] Others have described a parallel voice of IA partners: “UNDP criticized the World Bank for its domination...omissions and departures” and expected the GEF to act as “David against the ‘Goliath’ of the entire international economic system.”^[28]

- **Details.** Some authors reveal a paradox: “although [the GEF] is charged with resolving what is a capitalist-driven crisis of the commons, it nevertheless relies on and promotes that system as the silver bullet capable of turning the tide of ecological destruction globally.”^[27] Desombre sums up the dilemma as follows: “The major factor undermining such a [global environment institution] is political will. It is no accident that the global environment is governed by a set of small institutions,

overseen (to the extent that oversight exists) by a weak UN program, working at the margins to modestly improve environmental conditions without changing the fundamental economic structures that underpin global environmental problems. States have been unwilling to commit to anything further.”^[32] Hand in hand with this “new green order” comes the expectation (mainly by recipients) that the GEF would support sustainable development in a context in which donor countries would take similar action on their own greenhouse gas emissions and on protected areas, ozone depleting substances and chemicals. How can developing countries take proposed green changes seriously, if donor countries do not set serious — if not successful — examples back home?^[23,29]

With little surprise, Agenda 21’s five official products do not allude directly to this new green economic order. However, the

UNCED process was presented with repeated calls for an “overhaul of the trade and lending institutions.”^[33]

Intricately aligned to the Rio Expectation of a new green economic order, however, was the leitmotif of the Earth Summit: sustainable development. GEF was one of a number of imagined funding mechanisms to spur on sustainable development: “the Facility should not by any means be seen as the only or best institution for the promotion of sustainable development.”^[34] Already in 1991, developing countries became “more strident in demanding that at least some of the GEF’s pilot phase resources be spent on *sustainable development* problems or that the GEF be replaced by a new “green fund” that would address both global commons and *sustainable development* problems.”^[14] In its Chapter 33.10, we read that “the implementation of the huge sustainable development programs of Agenda 21 will require the provision to developing countries of

substantial new and additional financial resources.”^[5] The GEF captured the attention of most of the conference in this regard; it appears, in fact, that more attention was paid to the *mechanism* than to the *resources* required for sustainable development. Regardless, most formulators of this expectation conceded that a new green economic order and sustainable development were symbiotic.

6. Be given adequate funds to manage (D , B , and S_{dev}).

This expectation is deep but also gains importance due to its breadth and strength within the developing country stakeholder group.

- **Expression.** Half of the expressions are drawn from stakeholder literature. Implementing Agency stakeholders are surprisingly silent on the issue of fund *adequacy*. Donors have paid at least lip service to the need for *adequate* funds for sustainable development. To open UNCED, His Majesty King Carl

XVI Gustav of Sweden said in his speech, “The key word is integration of reflection and action. In the North, it means the intellectual courage of admitting the interests of the developing countries and the transfer of *adequate* new and additional financial resources.”^[1] In her official speech, the prime minister of Norway (Gro Harlem Brundtland) expressed that Norway was “disappointed by the lack of *adequate* financial commitments made to date at UNCED.”

- **Articulation.** Most references to the *adequacy* of funds are derived from more general discussions on funding for sustainable development — adequacy of funds for the GEF, hence, is only implied. Except for the NGO expressions, the tone of most articulations is matter of fact, as if everyone agreed what *adequate* even meant, or as if it had to be pronounced even if never believed. Developing countries were by far its

most staunch supporters. The following countries and (signature) groups went on record at or just prior to UNCED to articulate their expectation for “adequate” funding: G77, Beijing Ministerial Declaration, Kuala Lumpur Declaration, Colombia, Nepal, St. Kitts and Nevis, Barbados, Pakistan, PNG, Malaysia and Cape Verde. Few expressed this expectation as poignantly as the Prime Minister of Malaysia at UNCED (Dato Seri Dr. Mahathir bin Mohamad):

The poor are not asking for charity. When the rich chopped down their own forests, built their poison-belching factories and scoured the world for cheap resources, the poor said nothing. Indeed, they paid for the development of the rich. Now the rich claim a right to regulate the development of the poor countries. And yet, any suggestion that the rich compensate the poor *adequately* is regarded as outrageous.

- **Details.** The unresolved ominous question was what constitutes “adequate”? The UNCED process produced an estimate of an annual US\$ 125 billion to meet the objectives laid out in Agenda 21. The few documented CSO supporters expecting adequacy knew that raising such funds would not be simple. They claimed that “it is of crucial importance that any funding resulting from the UNCED process [be] substantial and sustainable. For that, it must be mandatory.”^[10] As quoted by Pearce, UNCED negotiators must have been concerned that “‘saving the world’ should not be too expensive a business.”^[35]

Agenda 21, in Chapter 33.10, states that “the progressive implementation of Agenda 21 should be matched by the provision of *such necessary* financial resources” and later in Chapter 33.11b that the objective is to provide “financial resources that are both *adequate* and *predictable*.” Both UNCBD and

UNFCCC call for “adequate” funding.

7. Contribute to achieving global environmental benefits (D_{gen} and S_{gen}).¹¹ This expectation at Rio is the most frequently expressed by “Generic”¹² stakeholders. It is likewise an expectation demonstrating strength (S), as generic formulations for it exceed more than 40 percent the total formulations of the expectation.

- **Expression.** Beyond the majority of “generic” formulations, the only stakeholder

¹¹ “Global environmental benefits” was also vague during Rio negotiations in 1992, and has evolved substantially. The May 1992 “Beyond the Pilot” document notes “there are many instances where it is difficult to distinguish global and national environmental benefits and therefore, some degree of flexibility in interpreting such benefits is required.”^[8]

¹² Generic is used to describe expectations that are either extracted from consensual — signed — documents produced at Rio/ UNCED or were repeated later without attribution to a particular stakeholder group.

group expressing the expectation of global environmental benefits was the Implementing Agencies. It could be argued that its complexity and wide scope precluded the other groups from paying it much heed. The GEF was “designed to explore ways of assisting developing countries to implement measures that specifically protect the global (as distinct from the ‘local’) environment.”^[36] It is primarily with its focus on global environmental benefits that the GEF was considered avant-garde — on the cutting edge of financing for the environment.

It is interesting to note that donors, who supposedly “bought” global environmental benefits as the clincher for the GEF, rarely express its importance (beyond their inclusion in the generic category). Historical accounts suggest, however, that the “focus on global problems and the strict attachment to global concerns made the

[GEF] proposal acceptable for both donors and recipients.”^[22] Others attribute the GEF design to serve “the interests of the world as a whole.”^[24] A GEF historian quotes T. Baudon as reporting that “the best case for concessional finance can be made for investments whose benefits accrue to more than one country, or for that matter, to all of humanity.”^[16]

- **Articulation.** Developing countries often expressed opposition to a focus on global concerns, referring to them as a luxury of the rich; their main concern is a corollary to this expectation — to address *national* priorities (Paragraph 8 above). At UNCED, the President of Tanzania, (Mr. Ali Hassan Mwinyi) eloquently stated that the unfortunate “distinction [between global and national benefits] is enshrined in the current operations of the GEF, whose mandated scope covers only the issues of global...one cannot tackle them effectively

without first tackling their root causes at the national and local levels.”^[1]

- **Details.** This expectation is fraught with the greatest challenges for gathering evidence. Even when global environmental indicators can be quantified, evidence can only speak to contribution and attribution of GEF’s influence on them is impossible. The independent evaluation of the GEF Pilot described the process of quantifying global benefits as imprecise, inflated, indirect and qualitative.^[31] The global environmental benefits expectation is intricately linked to another one calling for GEF to fund “incremental¹³” costs of activities. The increment being referred to is the portion of costs that turns

¹³ The expectation of GEF to fund “incremental costs” did not qualify as a Rio Expectation for the purposes of this analysis. Although a total of 21 formulations were tallied, it was not triangulated outside of the IA and generic categories.

a national effort into a global one.

Agenda 21 refers explicitly to global environmental benefits and the GEF’s role in these. Chapter 33.1. states that “UNCED should...identify ways and means of providing additional financial resources for measures directed towards solving major environmental problems of global concern” and later, in Chapter 33.14aⁱⁱⁱ, that “GEF is designed to achieve *global environmental benefits*.”^[4]

8. Engage nongovernmental organizations (B). Not among the most frequently voiced (*D*), this expectation gains its importance from being broadly (*B*) held by all stakeholder groups, except for the developing countries.

- **Expression.** Most of the expressions of this expectation are drawn from stakeholder and historical literature. The most frequent holders of this expectation are donor countries—even

more than those found among the CSO literature. Many donors, including the United States, chose to use the NGO environmentalist movement intermittently to influence the often-impenetrable Bretton Woods agencies. UNCED PrepCom 102 notes the United States statement of concern with NGO exclusion: an open and transparent appraisal process for the GEF “should involve scientific and technical authorities, and NGOs that have experience and expertise in certain fields.”^[17]

- **Articulation.** Prior to Rio, CSO actors often protested vehemently against their exclusion from the GEF.^[14] UNCED opened with official speeches such as that of the Minister of Netherlands (Ruud Lubbers), declaring that “In order to put these [Agenda 21] objectives in practice, it has been decided...to strengthen the existing UN agencies, namely UNDP, UNEP and the GEF as a major new

funding mechanism, calling for involvement of NGOs in the decision-making process.”^[1] Bowles reports, for fiscal year 1993, that the U.S. Congress stipulated that “procedures allowing public participation must exist before funds could be given to the GEF.”^[37]

- **Details.** Local NGOs were acknowledged to be as important if not more so than international NGOs. Involvement of local NGOs was considered to be “critical to a [GEF] project’s success because they are often able to serve as effective intermediaries between local communities and governments.”^[38] Due to their wealth of experience and grassroots knowledge, Implementing Agencies were encouraged to make it “standard practice for the GEF to seek the advice of local, national and international field-based NGOs in project design and implementation.”^[39] Given this, it was expected that NGOs would have a role to play in the post-UNCED GEF.^[14] It is also

probable that this expectation was closely linked to that of the GEF capturing and including local/indigenous voices.¹⁴

Section III, Chapter 27 of Agenda 21 is a full section dedicated to “Strengthening the role of non-governmental organizations: as partners for sustainable development.”^[4] Expectations were thus implied in that the central funding mechanism of Agenda 21, the GEF, should be aligned with this important partner, far beyond a joint exploration of “innovative fund-raising schemes” (see Chapter 33.16).

9. Foster innovation (S_{gen}). This expectation qualified for the short list due to a large proportion of expressions from the “generic” group (which generally represents all of the stakeholders but is unattributable to any one of them).

¹⁴ The expectation of capturing and including local/indigenous voices was also considered among the 29, but received no more than 13 formulations and was triangulated only by CSOs and donors.

- **Expression.** This expectation was captured above all from a range of stakeholder literature. Outside the generic group, the expectation for GEF to foster innovation is expressed most frequently by Implementing Agencies (IAs) and, to a lesser extent, by donors. One IA in particular (the World Bank), enjoyed the challenge of innovation as directly connected to private sector technology transfer.^[24,40] Developing countries were quick to insist on benefiting from technology that innovation had to offer: only weeks after UNCED, the Kuala Lumpur Declaration of G77 countries stated that “agreement on implementation of Agenda 21 programs will depend on ...the transfer of technology to developing countries...”^[11]
- **Articulation.** Nearly all of the expressions were articulated with explicit reference to GEF. Mittermeier called the pilot GEF “a loose aggregate of different activities, a set

of projects that are really a variety of experiments.”^[39] Other words used by stakeholders to imply innovation include “experimental,”^[28,39] “path-breaking” and “demonstrative,”^[29,39] “pilot,”^[41] and “risk-taking.”^[42] Innovation was used to refer to at least two discrete concepts: innovative *institutions* (organization, structure, actor) and innovative *investments* (approaches or activities). Although the latter is the most common, Silard reviewed the GEF from the point of view of international law and organization and there, alone, he identified three innovations in the GEF: “(1) novel institutional arrangements; (2) a novel machinery for the implementation of international agreements; and (3) a novel decision-making structure.”^[9]

- **Details.** Although all actors agreed that *innovation* was a core element of GEF’s pilot phase, it is less certain if innovation was expected to remain pivotal in its evolution

post-UNCED. As one of its earliest products, the STAP encouraged innovation in its “Criteria for Eligibility and Priorities”: “it makes sense that GEF funds should be used to support innovative projects and do something new.”^[31] Nowhere in GEF literature was a definition of “innovation” to be found and, as quoted from *GEFwatch* (GEF’s monthly newsletter of February 1992), “innovation boils down to semantics.”^[20]

Agenda 21, in its Chapter 33 on Financial Mechanisms, mentions innovation cryptically in relation to the GEF. Chapter 33.1 states that UNCED should “examine the possibility of a special international fund and other innovative approaches.”^[5] Given the central role of GEF in UNCED, this either implies that the GEF is expected to be innovative, or that knowing it may not be, other innovations are welcome (other innovative schemes were listed in 33.16, such as “debt-for nature” swaps, incentives, and NGO fund-raising, etc.).

STAKEHOLDER PERSPECTIVES

It is useful to summarize the Rio Expectations from the standpoint of each stakeholder group to understand the main differences voiced by GEF actors. The vantage points are summarized in table A.2 and for the four main stakeholder groups analyzed: developing countries, civil society (CSOs, reflecting local indigenous voices), the three original Implementing Agencies

(IAs) and donors. The lists of the top Rio Expectations are in order of most to least frequent.

Developing countries. Among the top five expectations formulated by developing countries through to the end of UNCED, four, unsurprisingly, concerned the nature of funding. The new and growing numbers of GEF Participants were interested in keeping conditionality as light as possible, in ensuring that new GEF funds did not replace others

under way provided under ODA or other development and environmental schemes (additional), and in keeping the funds free (grant or concessional—as conveyed by the “common but differentiated responsibilities” principle) and sufficient (adequate) to meet Agenda 21’s broad package of activities toward sustainable development. Their number one expectation, however, was that the GEF meet their *national* priorities — not only the global priorities of

TABLE A.2: MOST FREQUENTLY VOICED EXPECTATIONS, BY STAKEHOLDER GROUP

Developing countries	Civil society organizations	Implementing Agencies	Donors
<ul style="list-style-type: none"> • Address national priorities • <i>Refrain from conditionality</i> • Provide additional funding • <i>Provide concessional funding</i> • Be given adequate funds to manage 	<ul style="list-style-type: none"> • Mainstream sustainable development in a new green economic order • <i>Capture and include local/indigenous voices</i> • Respond to and support conventions • <i>Contribute to mainstreaming</i> • Engage nongovernmental organizations • <i>Facilitate universal participation</i> 	<ul style="list-style-type: none"> • Respond to and support conventions • Address national priorities • Provide additional funding • Enhance international cooperation • Foster innovation 	<ul style="list-style-type: none"> • Respond to and support conventions • Provide additional funding • Engage nongovernmental organizations • Enhance international cooperation

Note: The italicized expectations were not among the nine top Rio Expectations. They were retained in this analysis because they were very highly ranked in the given stakeholder group.

wealthy industrialized donor countries.

Civil society organizations.

NGOs had high expectations for the GEF. They aimed for GEF to catalyze a new “green” economic order that will restructure the world with the Earth’s wellbeing as the guiding principle, to capture and respect the voices of all populations affected by environmental change and destruction and, as a small final step toward protecting the environment, to hold countries to their commitments within the lofty Conventions (Biodiversity, Climate Change and others then imminent).

Implementing Agencies. As presented in the earlier section, the IAs prioritized their role with Conventions. The 2:1 ratio of UN

entities to Bretton Wood Institutions seems to have influenced the second most frequently expressed expectation: addressing national priorities. The third most frequent expectation was to assure that the funding is over and above ODA and other schemes, i.e., additional funding, and to promote global environmental cooperation. Finally, IAs expressed a desire to take advantage of the opportunity to experiment and blaze new trails, aiming for replication (innovation).

Donors. Donors’ expectations for the GEF resemble that of IAs; three of the four donor expectations are shared by the IAs. Donors expressed the desire to promote the inclusion of NGOs. At the end of UNCED, donors were unanimous that additional

funds were needed, but very ambivalent and noncommittal about where the funds would come from.

CONCLUSION

This expedition back to the Rio Earth Summit — setting out to qualitatively explore original hopes and assumptions — produced nine Rio Expectations and the following souvenirs:

- Each stakeholder group has a set of expectations that differs substantially from the others. Not a single expectation was shared across all four.
- Even when an expectation was shared, the application of it — and inevitably evidence for it — may have varied

widely both between and within stakeholder groups.

- Few of the compiled expectations appear to have been constrained to an exact phrasing/meaning, time period or place; the act of never putting them systematically to paper may be both a blessing and a curse.
- The GEF was expected to serve purposes that transcend incalculably the realm of fund management, and the realms of global environmental benefits and sustainable development. Responding to the urgency of the moment — with strong parallels to that felt today, many individuals and groups placed high hopes on the GEF, as problem solver and Earth saver.

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ANNEX B: EXPECTATION FULFILLMENT

This annex draws upon the nine expectations that surfaced from the meta-analysis described in annex A to assess to what extent and how each Rio Expectation has been fulfilled since the Earth Summit 20 years ago.

METHODOLOGY

Early evaluative work on GEF (Overall Performance Study series and numerous independent thematic evaluations) since its inception was organized by independent teams and since 2004, by the GEF Evaluation Office. The Office organizes evaluations around the four standard evaluation criteria: efficiency, effectiveness, relevance, and sustainability. Since 2009, the GEF Evaluation Office also aligns evaluative efforts to one of four main streams: Country Portfolio, Thematic Area, Performance and Impact. It was therefore useful to

start the review of fulfillment with an assessment of how the nine Rio Expectations relate to each of these elements.

Finally, the current GEF Mandate (goal and objectives) was dissected to enable the determination of which of the nine Rio Expectations was specifically enshrined in that mandate.^[1,2]

Another building block was important in the process of tracking expectation fulfillment. It became clear that many of the nine were conceptually linked to other expectations (those that are included and others that were set aside as less pressing during the meta-analysis) — a link that may illuminate the ways in which, and the extent to which, each GEF replenishment period recognized or addressed them. It was determined that the links entailed contributing to another expectation, depending on another expectation, or both.

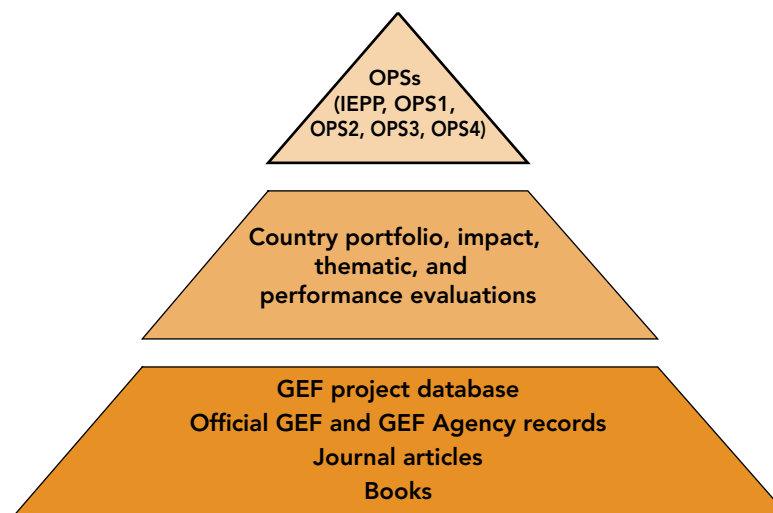
Evidence for Rio Expectation fulfillment was compiled from the series of independent

[Overall Performance Studies](#) of the GEF, including the independent evaluation of its pilot phase (the IEPP). The OPSs summarize available evidence across topics evaluated. They present synthesized and comparative evidence based on a larger body of detailed evidence below the meta-analysis level. When there are no visible linkages between hard evidence and fulfillment (because the OPS series was never tasked to track fulfillment of the Rio Expectations), what this review was able to glean is necessarily qualitative. That

which is out of reach to the present review, due to access and time, can be assumed to support the information visible and presented in the OPS series. It is this visible evidence that helps us understand Rio Expectation fulfillment ([figure B.1](#)).

The key terms of each expectation were run through Adobe search engines for the OPS series to explore the general volume of text focusing on each expectation. The resulting qualitative discourse examination (appearing in tables prepared

FIGURE B.1: EVIDENCE FOR RIO EXPECTATION FULFILLMENT



for each Rio Expectation), albeit limited, can shed some light on multiple hypotheses reflecting their fulfillment.

The fulfillment meta-analysis below was constructed with the above elements as foundation, when available. For each of the nine Rio Expectations, fulfillment, as portrayed mainly by the OPS series, is charted through GEF phases to show evolution of thought and effort since the Rio Earth Summit.

Based on the analysis of evaluation criteria, GEF streams, indicators, and official mandate, the following four fulfillment ratings are proposed and defined. They are later applied to each of the nine Rio Expectations.

- **Strong fulfillment.** The expectation has been comprehensively fulfilled as confirmed by ample and triangulated evaluative evidence.¹

¹ “Triangulated” refers to a minimum of three expressions of a given expectation found from

- **Fulfillment.** The expectation has been generally fulfilled as confirmed by at least one piece of evidence.
- **Partial fulfillment.** The expectation has been partially fulfilled, in a limited scope, as confirmed by evidence.
- **No fulfillment.** Evidence confirms that the expectation has not been fulfilled and/or no evidence was found to confirm any aspect of fulfillment.

FULFILLMENT: 1. PROVIDE ADDITIONAL FUNDING

The most frequently voiced Rio Expectation for the GEF was that the funding provided to developing countries would be *additional* to existing ongoing development assistance. The evolution of thought with regard to this expectation is shown in table B.1. The evaluators of

discrete sources within the given stakeholder group.

the GEF pilot phase² called any effort to measure this additionality “appropriate” but “exceedingly difficult.”^[3] The challenge endured through the GEF-4 programming period.

In the GEF’s first replenishment period, despite an attempt to track this form of *additionality*, OPS1 reported sternly, “the study team is simply unable to answer the question without clearer guidance...Indeed, without such guidance, the concept is doomed to remain one without practical meaning.”^[4] OPS1 warned donors, however, not to degrade the concept of

² The time spans of the GEF replenishment periods, as captured by the respective overall performance study, are as follows:

- GEF pilot phase: July 1, 1990–June 30, 1994 (IEPP)
- GEF-1: July 1, 1994–June 30, 1998 (OPS1)
- GEF-2: July 1, 1998–June 30, 2002 (OPS2)
- GEF-3: July 1, 2002–February 6, 2007 (OPS3)
- GEF-4: February 7, 2007–June 30, 2010 (OPS4)

additionality based on common but differentiated responsibilities, given “its importance to the underlying political support for the GEF.”

OPS3, then, did not explore the expectation for “new and additional” funds. Using the strict definition of “beyond regular ODA,” OPS4 confirmed that between 4 and 23 percent of total GEF funds have been additional to ODA. However, both ODA funding of environmental issues and donor funding to GEF have essentially declined since the first phase of GEF (even if 45 percent of GEF funding is not considered to be ODA).^[5] From the donors’ perspective, as long as ODA increased each year, all real replenishments to the GEF are considered additional — even when they do not provide an increase over the previous replenishment period’s level. G77 countries and China take the opposite perspective; they would like to restrict additional funding to that above ODA.

The expectation of additionality can also be explored in light of the principle of “common but differentiated responsibility” to protect the environment and among donors, “burden sharing.” The GEF pilot suggested that use of the incremental cost principle may “weaken the sense of mutual responsibility for the protection of the global environment.”^[3] OPS1 agreed that donor commitment to contribute to the GEF was based on recognition of their “historic responsibility,”^[4] a principle also acknowledged in the Preamble of the 1992 Framework Convention on Climate Change, claiming “common but differentiated responsibilities” of developing and industrial countries, based on different histories of consumption of natural resources.^[6] OPS4 made a strong contribution to the principle. It explored the performance of burden sharing, which appears to relate more to the “burden” of being wealthy than to the burden for having destroyed the planet to become wealthy. A donor

TABLE B.1: EVOLUTION OF EXPECTATION 1 THAT THE GEF WOULD PROVIDE ADDITIONAL FUNDING

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “additional” (not “leveraging”) was used in OPS to refer to “beyond OECD/DAC funding”	19	36	7	1 (only in terms of reference)	21
Summary of evidence for fulfillment	Not attempted to explore; “exceedingly difficult”	Could not be determined (but claimed ODA reduction between 1992 and 96)	Leveraging is the new “additional”	OPS suggests exploration of catalytic qualities of “leveraging”	Between 4% and 23% of GEF funds may be additional to ODA

scorecard was created which details the extent to which GEF donors contribute more to GEF than to UN/IDA/ODA and are timely payers of their pledges. While Canada took the lead in their analysis, Belgium, Luxembourg and Switzerland followed closely behind. Although the first of these countries rank among the world’s top per-capita polluters, Switzerland is a relatively minor polluter (ranked 26). OPS4 ended by stating that

...if we aim for a healthy world without poverty, the true costs of sustaining vital ecosystem services for the planet will

need to be fully integrated and absorbed into national and global economies in accordance with common but differentiated responsibilities and respective capabilities.^[5]

Additional evidence on “common but differentiated” responsibility was compiled using a very simple analysis that compares top ranking emitters to top GEF donors. Among the world’s top 20 emitters,³ two donors have an excellent record of paying (for the GEF-4 programming

³ Greenhouse gas emissions including LULUCF, per capita, in 2009.

period) relatively more than their responsibility for emitting (Japan and UK); six countries were fair performers (close to their rank order as polluters: the United States, Austria, the Netherlands, Denmark, Canada, and Belgium) and another six were contributing finances far behind their relative contribution to emissions (Luxembourg, Ireland, Australia, New Zealand, Czech Republic, and Greece).

In conclusion, the expectation that the GEF would provide additional funding is partially fulfilled. It is a concept that is enshrined in the official GEF

mandate. Although not directly within the circle of influence of the mechanism, the GEF “has not been very effective in mobilizing resources” that could add to this additionality.^[5]

FULFILLMENT: 2. ADDRESS NATIONAL PRIORITIES

The second most frequently voiced Rio Expectation was that the GEF address national priorities. Although developing countries (the strongest advocate for this expectation) had in mind more general issues of greatest concern to them such as economic development and poverty

alleviation,^[7] text written in 1992 to reflect this expectation was to the effect of aligning GEF to national priorities “designed to support sustainable development.”^[8] This, then, assumed that such priorities already existed and/or benefited from such design — clearly not the case in the majority of countries in 1992, donor countries included.

Evidence from review of the evaluation series suggests that interest in meeting the expectation grew with each subsequent GEF replenishment, excepting a dip in the GEF-3 period (or at least in OPS3, see table B.2). Other terms used

to convey the expectation of meeting “national priorities” were “enabling,” “ownership” and “country-driven” but OPS1 correctly declared that they were not synonymous.^[4] Various GEF elements contributed to success, such as the Country Dialogue Workshops (CDWs) and the Small Grants Programme (SGP).^[9] OPS3 suggested that a return to aligning GEF with poverty alleviation was in order, declaring that “‘Win-win’ gains in both development and global environmental goods are rarely possible, and project design must recognize this and address

it accordingly.⁴^[10] Although it is often a national priority, poverty alleviation is also not the optimal reflection of this Rio Expectation.

OPS4 declared that the provision of seed money to develop or green national priorities as the GEF’s most important role.^[5] In fact, drawing on the GEF’s proportional combined investment in Enabling Activities and SGP, there was gradual improvement through each replenishment period (7 percent in pilot phase to 11 percent in GEF-3 period) with a slight reduction in GEF-4 programming (reportedly due to changes in convention requirements). As OPS3 clearly articulated: “GEF’s focus should be placed on countries where political will exists. In countries where it is not sufficient, efforts should be spent on building political will, not on actual projects.” Evidence suggests that building, or enabling, that “political will” should lead to greening national

TABLE B.2: EVOLUTION OF EXPECTATION 2 THAT THE GEF WOULD ADDRESS NATIONAL PRIORITIES

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times terms related to national priorities were used in OPS	7 “national priority” 21 “enabling” 8 “ownership” 0 “country-driven”	4 “national priority” 51 “enabling” 21 “ownership” 10 “country-driven”	11 “national priority” 102 “enabling” 33 “ownership” 16 “country-driven”	20 “national priority” 21 “enabling” 11 “ownership” 2 “country-driven”	44 “national priority” 99 “enabling” 55 “ownership” 1 “country-driven”
Summary of evidence for fulfillment	Little progress; deficient, inadequate	Enhanced, terms (above) not synonymous	Weak, but improving based on CDW and SGP	Inconsistent results; proposal to realign with poverty alleviation	Relevant, not yet standard practice

⁴ This declaration may explain the decrease of importance of the expectation in OPS3.

priorities and that the GEF has been catalytic in influencing national agendas, policies and implementation plans.^[3]

In conclusion, the GEF has fulfilled this expectation. Because the expectation is officially enshrined in the GEF mandate, a more careful exploration of fulfillment may nonetheless be useful to set the current small percentage of GEF projects investing in enabling activities and SGP against the backdrop of how many projects should.

FULFILLMENT: 3. RESPOND TO AND SUPPORT CONVENTIONS

The expectation that the GEF will respond to international conventions for environmental protection has become commonplace: that’s just what GEF does. The GEF is the only funding mechanism for at least three such conventions (biodiversity, desertification and POPs). Multiple competing mechanisms for the climate change convention

have complicated the arena but were not fully operational at the time of the evaluation of GEF-4.

Interest in GEF’s work with the conventions appears to have increased gradually with each new GEF cycle, except for an important dip in GEF-3, according to the number of times the term “convention” was used in the evaluations (table B.3). During the GEF-2 cycle, the GEF was called the “world’s only ‘multi convention’ funding mechanism” and in 1996, convention work became GEF’s number one Operational Principle (in 1996 document).^[9] In GEF-4 it became very clear that although the number of conventions for GEF to support had risen and the volume of guidance to apply

(a table charted the number of clauses included in each Guidance note) had risen, no comparable increase in funds⁵ had been given to GEF for this, its main task.^[5]

Each of the OPS, in turn, provided ample evidence from interviews, surveys and a thorough review of documents to support that the GEF was responsive to conventions despite all odds. They each also proposed recommendations to make it more so. In conclusion, assuming that as long as GEF’s services are retained — renewed by the CoPs, the GEF has achieved strong fulfillment of the

⁵ This concept links to [Rio Expectation 6](#).

Rio Expectation. Regardless of funding, the GEF’s responsiveness could be much stronger with precise guidance and clear priorities from the conventions.

FULFILLMENT: 4. ENHANCE INTERNATIONAL COOPERATION

The Terms of Reference for the Independent Evaluation of the Pilot Phase (IEPP) stipulated that the pilot GEF was understood to be established as a “mechanism of international cooperation.”^[3] The IEPP highlighted the importance of cooperation between poles: “if the GEF is to become a truly global facility, a genuine partnership between North and South...must be forged.” The

TABLE B.3: EVOLUTION OF EXPECTATION 3 THAT THE GEF WOULD RESPOND TO AND SUPPORT CONVENTIONS

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “convention” appears in OPS	44	126	235	78	282
Summary of evidence for fulfillment	Not explored due to time	Effective, given difficult conditions	Good response, given vague guidance	Responsive (now to 4 conventions)	Responsive; undisrupted response

need for cooperation was not contested given the breadth of global issues addressed by Agenda 21; “because these problems are global, international cooperation will be essential.”^[11] Indeed, the 1994 Instrument refers to a “mechanism to forge international cooperation.”^[12]

The Rio Expectation for GEF to enhance international cooperation was voiced only one less time than the expectation for GEF to respond to the Conventions. Surprisingly, though, this expectation was given very little importance throughout the GEF

phases, as seen from use of the terms in each of the evaluations. In fact, no evaluation was found to mention “international cooperation” more than 15⁶ times (in documents ranging from 100 to 258 pages) compared to a maximum of 282 uses of the term “convention” (table B.4).

A deep-seated Rio Expectation held the promise that the World Bank–United Nations alliance,

⁶ The vast majority of the 15 cites in OPS4, however, refer to “international cooperation” as synonymous with “development aid” — the regular transfer of funds from rich to poor countries since before 1980.^[5]

as well as an alignment of interests between northern and southern constituencies, would usher in a bright new future in international cooperation for the benefit of the environment. The formation of this unparalleled partnership was in itself an epic moment in institutional history, and much of the GEF’s success can be credited — at least in part — to the enduring strength of this union. The GEF has never been driven or charged to assess just how successful this mechanism of international cooperation was, nor to describe the factors of its success or failure. Nevertheless, formation

of this unparalleled partnership was in itself an epic moment in institutional history, and much of the GEF’s success can be credited — at least in part — to the enduring strength of this union. Going forward, new national and regional institutions will be accredited and eligible to implement GEF-financed environmental projects, marking a significant expansion of the GEF family.

Explorations of international cooperation can also assess its opposite, *fragmentation* or *joint* efforts, or projects. Both of these concepts, however, lead to multiple interpretations, as fragmentation can arise from specialization (and not the lack of cooperation) and joint efforts may be dictated or required. Much rhetoric at Rio concentrated on insisting that new entities for the environment not proliferate — an argument donors held in favor of the GEF. A simple count of new funds or funding mechanisms for the environment, appearing on the scene both inside GEF and externally (bilateral and multilateral) shows a frightening escalating

TABLE B.4: EVOLUTION OF EXPECTATION 4 THAT THE GEF WOULD ENHANCE INTERNATIONAL COOPERATION

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “international cooperation” appears in OPS	3	6	3	9	15
Summary of evidence for fulfillment	Fledgling partnership among IAs and need for North-South partnership	IA roles blurred; competition for resources	GEF as an encouraging example of constructive interagency cooperation	GEF helping to foster international cooperation as key factor toward global environmental benefits	International waters, as a good example of international cooperation

trend. Although the first phases were able to hold off proliferation, more than 20 new entities appear to have emerged during the GEF-4 period alone. During GEF-3, the GEF family was expanded to include seven new Executing Agencies, a proliferation evidence suggests became challenging, as it may also have heightened the competition for limited resources.^[10]

Another exploration into “international cooperation” may lie in the OPS text dedicated to describing the ups and downs of the trio of Implementing Agencies (IAs: UNEP, UNDP and World Bank) and how they exert influence and contribute to the achievement of GEF goals, while capitalizing on their “comparative advantages.” Another may be the tracking of mainstreaming within each IA, although this impacts vertically when *cooperation* reaches out horizontally. Each of these notions are captured more regularly in a good

number of evaluations,⁷ but fall short of providing vivid evidence for fulfillment of *cooperation*. OPS3 heightened the concept of “cooperation” to a critical rank — one of three “catalytic factors” that could lead GEF to achieving global environmental benefits (the other two were leveraging and innovation).^[10] Given ever-restrained resources to manage, the evaluators stressed that these three factors held the key to a successful future for the GEF.

In conclusion, based primarily on the continued partnership between the World Bank and the United Nations, the GEF has partially fulfilled the Rio Expectation to enhance international cooperation.

⁷ Both of the notions, a thriving institutional set-up and mainstreaming were considered in the meta-analysis as expectations. The fact that neither reached the required total of a minimum of 20 formulations to be included in the short list of Rio Expectation does not discount their contribution to other expectations, and especially that of international cooperation.

FULFILLMENT: 5. MAINSTREAM SUSTAINABLE DEVELOPMENT IN A NEW GREEN ECONOMIC ORDER

At the time of the Earth Summit, many — especially, but not exclusively, civil society stakeholders who had an unprecedented presence in Rio — held the expectation that the GEF would mainstream sustainable development in a new green economic order. It is impossible to determine to what extent this was a serious expectation or a strong idealistic desire. Either way, no evaluation has attempted to examine this issue in any detail (table B.5).

During the GEF pilot phase, the image of a Trojan horse^[14–16] (that would green both the World Bank and the United Nations) was still lingering in the air, but no fulfillment of this was reported in the IEPP.^[3] In OPS1 considerable time was invested in exploring the challenges created when building GEF projects

alongside or near World Bank investments that were clearly environmentally destructive or focused on nonrenewable elements. OPS1 partially excused GEF’s powerlessness by conceding that it “does not have the ability to leverage fundamental policy changes on issues in which the economic stakes are high.”^[14] The same document reported that, despite new environmental policies inside the World Bank, this IA could still support projects that would result in the conversion or degradation of natural habitats if there were “no feasible alternatives” and would “explicitly rule out rejecting a loan on the basis of its impact on the global environment.” The main problem was reported to be that the fledgling World Bank Environment Department and its featured Overlays Program did not benefit from “an adequate budget.”

OPS2 invested heavily in the exploration of mainstreaming, calling it one of three pillars that would guide GEF to “catalyze global environmental

TABLE B.5: EVOLUTION OF EXPECTATION 5 THAT THE GEF WOULD MAINSTREAM SUSTAINABLE DEVELOPMENT IN A NEW GREEN ECONOMIC ORDER

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times "green" and "reform" appear in OPS	3 "green" 6 "reform"	0 "green" 10 "reform"	0 "green" 2 "reform"	0 "green" 6 "reform"	6 "green" 30 "reform"
Summary of evidence for fulfillment	No fulfillment explored	Fallen well short of its potential	No fulfillment explored; Reasonable mainstreaming in IAs	No statement on fulfillment (but advice given on greening recipient governments)	No hard evidence for global greening by GEF projects, as supported by IAs

benefits." Expanding the term "mainstreaming" to also target recipient (but not donor) governments, evaluators determined progress to be "reasonable but inadequate."^[9] OPS3 chose not to investigate the issue almost entirely, except to mention exemplary green reform in the domain of international waters and an eloquent discussion of "the will and the way" which adroitly advised on how to forge the political will of recipient (but not donor) countries.^[10] Therein, a discussion on the greening of any economic institutions was entirely lacking.

OPS4 downscaled investigations into the concept of greening the world (via a new economic order) and greening the IAs and/or recipient countries (via mainstreaming). Instead, it calls for scientific evidence beyond "anecdotal greening of projects" to support the link between scaling up interventions and global environmental benefits.^[5] During the GEF-4 replenishment period, the Secretariat commissioned a report on mainstreaming in which GEF compiled accounts from nine agencies on how they saw the history, status and future for mainstreaming within their organization. The cover note did not define the term, nor did the

report make comparisons, conclusions and suggestions across the set.^[17] Although this report is not evaluative evidence, it adds color to the body of effort and thought occurring in that period.

With a new green economic order still imperceptible, OPS4 explained that failure has

stalled efforts to reevaluate and redirect global policies, while perpetuating the now-obvious regulatory gaps and increasing incoherence of international efforts to reverse these disturbing trends... Although the pressing case for urgent action is clear, the current international situation

is not conducive to such reforms.^[5]

Using the G8 (and since 2008, G20) Summits as the epitome of the current economic order, the main document⁸ from each summit (usually called the Declaration, Chair's Summary or Communiqué) since GEF's inception was examined for use of the terms "environment," "climate" and "sustainable development." The trend from GEF-1 to present is grave; except a slight renaissance in during the GEF-4 period that echoes the trend in OPS text, the average use of these terms suffers a steady decline.

Perhaps a more discernable body of evidence for the new green order relates to the concept of sustainable development, most commonly defined as "meeting the needs of the present without compromising the ability of future generations

⁸ For G8, <http://www.g8.utoronto.ca/summit/index.htm> was used and for G20, <http://www.g20.org/en/leaders-summit/previous-leaders-summits>.

to meet their own needs.”⁹ The concept was embodied by the Rio Earth Summit. UNCED set sustainable development on its feet, and its first steps were to be taken under the watchful eye of the restructured GEF.

For the first few GEF phases, the concept of *sustainable development* remained an unmeasured mantra. IEPP declared that “human and institutional capacities are the most frequent and severely limiting factors of *sustainable development* in most of the developing countries.”^[3] OPS1 took a step closer to compile evidence for fulfillment when it stated that “the success of the GEF ultimately hinges, of course, on political support in donor and recipient countries for mainstreaming

⁹ Sustainable development is typically upheld with three distinct pillars: socio-political, economic and environmental; weakness in any of the three will cripple or obstruct progress. Furthermore, a sustainable development priority inherently includes a focus on each of the pillars to the extent needed to support a stable foundation.

global environmental concerns into development.”^[4] During the GEF-1 period, the World Bank’s Environment Department produced the Global Overlays Program, launched in 1996 to “explicitly identify ‘win-win’ opportunities for protecting the global environment, while advancing national development strategies.” In the GEF-2 period, sustainable development, until then too theoretical, appears to have been delegated to convention work and IA efforts (via mainstreaming and the focus on national policies and priorities).^[9]

OPS4 reports that the larger GEF recipients were nearing graduation — as signaled when “the concern for global environmental issues has been fully incorporated and mainstreamed in the national sustainable development agenda,”^[5] as evidenced by national policy reform. One of the main conclusions of OPS4 was that “GEF support is *relevant* to national environmental and *sustainable development* priorities” — certainly one step

in the direction of a new green economic order.

In conclusion, the expectation that the GEF mainstream sustainable development in a new green economic order has been partially fulfilled. The GEF regards sustainable development as part of its mandate and has made reasonable contributions to this expectation. However, quite visibly beyond the command of any single entity, the concept of a new green economic order — considered too ambitious, too complex, or politically charged by many — is simply not recognized as a GEF responsibility that can be held up for official or independent scrutiny. So in 2012, while the world has not transferred to a global green economic order, GEF projects attest that this greening shift does occur at the local and regional levels and can grow to affect global economies. Twenty years of GEF projects demonstrate how the mechanism has financed solutions to global environmental problems through tangible, local efforts.

FULFILLMENT: 6. BE GIVEN ADEQUATE FUNDS TO MANAGE

The expectation for GEF to be given adequate funds to manage, although not the most frequently voiced Rio Expectation, is a *sina qua non*. Without adequate funds, obviously, the GEF cannot function or even attempt to achieve its many lofty goals nor fulfill so many expectations. Rather than deliberate over the meaning of “adequate” (or its synonym “sufficient” or its antonym “under-funding”), we retain the UNCED-announced figure of \$125 billion per year as the donor country contribution to implement Agenda 21. This figure,¹⁰ served as the denominator to estimate GEF replenishments (as reported in OPS4). Presented as a percentage of estimated “adequate funds” needed, table B.6 details the sad trend — that each subsequent

¹⁰ The figure is pro-rated for the number of months in each GEF cycle but does not adjust for annual inflation, etc. to calculate its real-time value.

TABLE B.6: EVOLUTION OF EXPECTATION 6 THAT THE GEF WOULD BE GIVEN ADEQUATE FUNDS TO MANAGE

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times "adequate" or "sufficient"/: "underfunding" appear in OPS	0/1	2/0	2/0	0/0	13/11
Summary of evidence for fulfillment	Not explored	Inadequate; a "big step away from Rio Expectations"	Funding inadequate, but can be catalytic	Not explored (except to keep GEF Secretariat alive)	No increase in real funding since GEF-1, despite increased responsibilities

replenishment period of GEF barely received half of one percent¹¹ of what Rio deemed an "adequate" envelope from donors to developing countries to implement Agenda 21.

Although the pilot phase, or the IEPP, did not concern itself with examining the adequacy of funds, IEPP evaluators also reminded us "GEF was never *intended* to cover all

¹¹ Even if an estimated 12 percent multilateral cofinancing (out of the full cofinancing from Pilot to OPS4 of \$37.6 billion) is added to the sum for the life of GEF, the global average given to GEF to manage is 0.53 percent.

the international financing needs of global environmental programs but rather to work in various ways as a catalyst." OPS1 made it very clear that the replenished funds for GEF were "inadequate" and "a big step away from expectations" at Rio.^[4] OPS2 clarified that "halting or reversing the conditions responsible for the severe deterioration in global environmental conditions will involve far more resources than the GEF has" and that "while resources alone are inadequate, they can serve as catalytic stimuli for both public and private sector actors to enter this arena."^[9] OPS3,

avoids the expectation (except for a concern for the survival of the GEF Secretariat given fund inadequacy).^[10]

Finally, OPS4 invested substantially greater time in discussing the fulfillment of adequate funding. OPS4 declared that since "the costs of solving global environmental issues are increasing dramatically...GEF funding, together with realized cofunding, is by far insufficient to *breach the gap*." More importantly, OPS4 confirmed with supporting evidence that "the GEF has received no increase of new and additional funding in

its replenishments since GEF-1, with a very visible decline in purchasing power," especially given a measurable increase in focal areas, conventions to manage and number of recipient countries.^[5] Furthermore, many studies have determined that funds for the environment, and to the global environment in particular, have decreased steadily since 1996.^[5]

OPS4 compiled ample evidence to conclude that the "GEF has been underfunded since GEF-2."^[5] The evaluation identified four dimensions of *underfunding*: increasing costs of solving global environmental issues, increased requests from conventions for GEF support, increased need to move into demonstration and scaling up of GEF effort and increased delays in project approvals.

In conclusion, this Rio Expectation has not been fulfilled; donors have never given "adequate" funds to GEF or to any other mechanism. Most evaluations prior to OPS4 skirted

the expectation as if *inadequate funds* were GEF's inalterable destiny. Not officially recognized as part of the GEF mandate, a thematic evaluation has never proposed a way to more systematically compile evidence. Although each replenishment process certainly entails lobbying for what is then deemed *adequate* resources, it is unclear how much power GEF has to influence this downward trend. Unless GEF can more successfully lobby with the donors for more adequate funding, the only other thing to do under the circumstances, perhaps, is to labor within its means: to relax its ambitions to align with the existing level of funding.

FULLFILLMENT: 7. CONTRIBUTE TO ACHIEVING GLOBAL ENVIRONMENTAL BENEFITS

The expectation that the GEF could contribute to achieving global environmental benefits was the embodiment — the

ultimate *raison d'être* — of the funding mechanism since its conception. The key word to exploring this expectation is the word "contribute"; GEF, alone, is clearly not expected to achieve global environmental benefits but contribute to their achievement. Except for a dip in GEF-3, each subsequent phase invested more and more time in attempting to define, measure, and monitor global environmental benefits (as portrayed in the use of the terms, table B.7). The title of OPS3 was "Progressing towards environmental results" and OPS4 was named "Progress towards impact"; the move from results to impact reassures that the GEF is reaching maturity as a unique funding mechanism. The global environmental benefits expectation is intricately linked to another one calling for GEF to fund "incremental"¹² costs of

¹² The expectation of GEF to fund incremental costs did not qualify as a Rio Expectation for the purposes of this analysis. Although a total of 21 formulations were tallied, it was not triangulated outside of the IA and generic categories.

activities; the increment being referred to is the portion of costs that turns a national effort into a *global* one.

The independent evaluation of the GEF Pilot (IEPP) recognized that this expectation could only be achieved through partnership "...one between the North and the South, and based on the conviction that the curtailment of global environmental degradation depends on joint and concerted action."^[3] The IEPP described the process of quantifying global benefits as "lacking," "imprecise," "inflated," "indirect" and "qualitative."^[3] The pilot phase warned that balancing GEF funds evenly across the globe, a project-by-project approach combined with donor pressure for quick results, all risked compromising the fulfillment of this expectation. Although they also argued that "any national environmental benefit is also a global environmental benefit," later, a 1996 GEF Policy paper claimed there was a clear distinction between the two.

GEF-1 was a cycle consumed by institutional reform and the leveraging of additional funds; nearly all discussions of global environmental benefits were related to how leveraging (cofinancing) resources and improving coordination mechanisms would eventually contribute to achieving global environmental benefits.^[4] GEF-2 continued to pave the way for global environmental benefits; OPS2 insisted that, in view of constantly worsening environmental conditions, "it is not realistic to expect that the GEF can, by itself, turn around global environmental trends." It called for a "clear operational definition of global environmental benefits" and approved the contributions of the OP12, Integrated Ecosystem Management as a solid step toward global environmental benefits.^[9] OPS3, highlighting the huge and ongoing challenges to produce baselines and indicators that measure global impact, felt compelled to admit that no GEF focal area, except perhaps ozone depleting

TABLE B.7: EVOLUTION OF EXPECTATION 7 THAT THE GEF WOULD CONTRIBUTE TO ACHIEVING GLOBAL ENVIRONMENTAL BENEFITS

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “global environmental benefit” (or “global environmental else”) appears in OPS	2 (26)	28 (119)	62 (90)	44 (14)	140 (64)
Summary of evidence for fulfillment	Warnings, but no verdict	Little to no exploration of global environmental benefits	Significant contribution to meaningful reductions relating to the Montreal Protocol; and to engaging private sector	No empirical data gathering possible on environmental results; improvement only for ozone	Climate change funding has solid level of achievement toward intended global environmental benefits; GEF outcomes show high level of progress toward global environmental benefits

substances, could boast any level of global improvement.^[10]

As in previous phases, OPS4 reiterated that “on its own, [the GEF could not] bring about solutions to the major global environmental problems of our time” and that “global environmental trends continue to spiral downwards.”^[5] The evaluation developed a method to assess

impact achievement, project by project, for each of the focal areas. Evaluative evidence shows that most of the GEF’s finished projects demonstrate strong progress toward their planned global environmental benefits.

In conclusion, the GEF is partially fulfilling the expectation that it would contribute to global environmental benefits, even

if global environmental benefits, themselves, are far from fulfillment. Evidence attests to strong environmental benefits generated by GEF projects across the globe. The challenge is now to upscale those benefits to the global level. The system proposed to compile evidence for this expectation — as a major GEF mandate and goal — is the

most advanced of any proposed for a Rio Expectation.

FULFILLMENT: 8. ENGAGE NONGOVERNMENTAL ORGANIZATIONS

The expectation that the GEF would actively engage NGOs¹³ was linked to their unprecedented presence at the Rio Earth Summit (UNCED) as well as to the power northern civil society was able to wield, through their respective governments in Europe and North America. Interestingly, starting with a bang under the pilot phase (see table B.8 for number of times NGO or CSO were cited in each evaluation), the importance of NGOs seemed to continuously decrease with each subsequent GEF replenishment period. Or, perhaps, NGO contributions were increasingly internalized

¹³ This document refers to Non Governmental Organizations (NGOs) because that was the most common formulation during the Earth Summit.

and considered part and parcel of a mechanism with less and less need to articulate their engagement. Although opinions are never unanimous, evaluative evidence leans to the latter.

As one of six priorities for GEF reform proposed at the end of the pilot phase, the IEPP reiterated that the GEF would actively engage NGOs — this, because evaluators witnessed little meaningful or effective engagement of local communities.^[3] Based on this, GEF-1 programming seems to have proceeded to enact an about-face. Guided by a cornucopia of studies, “the issuance of guidelines on stakeholder participation in GEF-financed projects” was determined by OPS1 to be “one of the most significant accomplishments... providing the basis for one of the most extensive and far-reaching policies on public involvement in projects anywhere.”^[4]

In GEF-2, NGOs played a valuable role in the functioning of the GEF, ranging from policy analysis and project planning at

TABLE B.8: EVOLUTION OF EXPECTATION 8 THAT THE GEF WOULD ENGAGE NONGOVERNMENTAL ORGANIZATIONS

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “NGO” and “CSO” appear in OPS	138 “NGO” 0 “CSO”	123 “NGO” 5 “CSO”	104 “NGO” 0 “CSO”	26 “NGO” 1 “CSO”	18 “NGO” 19 “CSO”
Summary of evidence for fulfillment	Little progress in involving local communities and NGOs	Public participation generally improved; NGOs continue to feel excluded	NGOs Invited to Council meetings, NGO Consultations, GEF-NGO network created; many opportunities for improvement	NGOs actively contributing to GEF programs at many levels; SGP accessing small national NGOs	No exploration; advises continued partnership; NGOs as donors

the international level to project implementation and monitoring at the local level.¹⁴ According to OPS2:

over 700 NGOs participated actively — that is, receiving funding from GEF projects — in GEF activities as co-executing agents or service contractors. Of these, more

¹⁴ NGOs are invited to Council meetings for a full-day consultation meeting prior to each Council meeting. The GEF-NGO Network was created during GEF-2 to serve as a consultative body as well as a channel of information to national civil society groups on policies and programs.

than three-fourths are reportedly based in developing countries. International NGOs (INGOs) have been particularly effective when they have functioned in strong partnership with national and local NGOs and CBOs. INGOs have brought technical strengths to bear on projects, have assisted in securing cofinancing, have supported capacity building for national NGOs, and been responsible for the establishment of medium-sized projects that provide a window of opportunity for NGOs to take the lead in implementing GEF programs.^[9]

During GEF-3, the contributions of NGOs were documented to involve “nonfinancial support, including technical expertise, management capacity, equipment and technology, and other in-kind contributions.” The maturation of the Small Grants Programme also was seen to have increased the access of smaller, national NGOs to GEF activities.^[10] The following evaluation, OPS4, simply states that the GEF should continue to serve as a catalytic agent, leveraging funds in “parallel and in partnership” with civil society. In particular, the evaluation reiterates that the

Small Grants Programme helped place the environment and the GEF “on the map with regard to local authorities and NGOs” and explored NGOs as donors to the GEF.^[5]

More recently, and as part of the GEF’s mandate to accredit new institutions to serve as GEF project implementing partners, the governing Council of the GEF has launched an accreditation process for new national, regional, and civil society agencies. Upon completion of the process, these agencies will be eligible to implement GEF-financed environmental projects, marking a significant expansion of the GEF’s family of partner organizations. For the first time in its 21-year history, the GEF will be able to work directly with national, regional, and civil society partners on environmental projects.

This strong record, however, is contested. As only one example, the Midterm Evaluation of the Resource Allocation Framework (RAF) in 2009 underscored

general discontent of NGOs with a new and complicated process with which they were neither consulted nor optimistic (regarding opportunities). While greater weight is accorded to countries in the RAF, participation by civil society appears to have, in fact, decreased.^[18]

In conclusion, the GEF has partially fulfilled this expectation. Although it is not an official component of the GEF mandate, documented evidence points to strong and often unprecedented inclusion of NGOs at multiple levels of GEF processes. Evidence is less forthcoming, however, to attest the field realities of civil society, as members of the GEF family.

FULFILLMENT: 9. FOSTER INNOVATION

The expectation that the GEF foster innovation is tightly aligned to expectations that the GEF would employ science, aim for replication of appropriate innovations and facilitate

the transfer of technology to developing countries. In fact, as per an analysis of the use of terms in evaluation documents (see table B.9), innovation and replication seem to be inversely related. Through the GEF phases, as innovation wanes, replication expands. This describes a logical relationship that characterizes the evolution of new ideas; in GEF the early focus on innovation was gradually replaced by a heightened interest in replicating those innovations.

The IEPP invested substantial time on an exploration of the definition of “innovation.”^[3] It suggested that innovation was “liberally interpreted to include any technology that had not been used” in various contexts. At this early stage, the STAP encouraged innovation as the “menu of technologies” that needed to be expanded in pursuit of least-cost solution. In fact, the IEPP argued that innovation was needed “for [the] GEF to carve its own niche,” but also to satisfy donors “that the limited

amount of the GEF money be used to stimulate new types of activities.” OPS1 suggested a study be conducted on the replicability of GEF projects and noted the lack of guidelines for innovation and the need for GEF to identify the “most promising laboratory for technology innovation.”^[4]

OPS2 was cautious in its assessment of replication, noting that it “is difficult to ascertain the extent of replication since it is not being systematically monitored in the GEF.” Yet OPS2 found some encouraging evidence from completed and ongoing projects. For example, in the biodiversity focal area, a number of GEF projects attracted the positive attention of governments, conservationists, and local populations, which led to some replication of project activities elsewhere. OPS2 also highlighted a “strong continuing commitment” for innovation with clear indication of progress, with special promise shown by the Small Grants Programme and climate change (but lacking for

land degradation) and suggested that the GEF speed up recognition of success (and therefore readiness to replicate) and more systematically encourage innovation during project design.^[9]

OPS3 gave equal and pronounced attention to both innovation and replication, stressing that together they formed a single catalyst for achieving GEF results. However, OPS3 noted that because GEF project selection and knowledge sharing was ad hoc, it did not facilitate innovation or replication with existing tools such as the RAF.

OPS4 introduced a different perspective; it analyzed the catalytic role of the GEF, which included innovation as “demonstration of new approaches” and replication as “investment” meant to upgrade and upscale approaches that had been proven to work. It categorized all projects into three groups: foundation, demonstration, and investment.^[5] Using this categorization, demonstration projects dominate, averaging 62 percent

TABLE B.9: EVOLUTION OF EXPECTATION 9 THAT THE GEF WOULD FOSTER INNOVATION

OPS	Pilot	GEF-1	GEF-2	GEF-3	GEF-4
Number of times “innovation” and “replication” appear in OPS	65 “innovation” 10 “replication”	11 “innovation” 16 “replication”	6 “innovation” 50 “replication”	28 “innovation” 30 “replication”	28 “innovation” 35 “replication”
Summary of evidence for fulfillment	Weak (especially in biodiversity)	No statement on fulfillment (but noticed lack of guidelines for innovation)	Strong commitment, clear indicators of innovation; GEF slow to recognize success and replicate	Ad hoc attention to both; conflict between high-risk innovation and risk-free mainstreaming	Strong fulfillment with majority of projects demonstrating innovation; need toolbox

of the total GEF portfolio and receiving slightly more emphasis in recent replenishment periods. The GEF continues to explore its role in innovation and OPS5 is expected to contribute further evidence for innovation and replication.

In conclusion, the GEF achieved strong fulfillment of this Rio Expectation. Not only is fostering innovation within reasonable control of GEF, but evidence has been compiled that hint at its importance and growth through GEF phases. Although it is not regarded as part of the official

GEF mandate, it is given plentiful attention as an enabling tool.

CONCLUSIONS REGARDING FULFILLMENT

Based on the compilation of evidence from the OPS evaluation series and other reviewed sources, fulfillment of the nine Rio Expectations has been assessed and ranked (see [table 2](#) in the main report). Evidence highlights two expectations as achieving strong fulfillment: that the GEF would support the conventions and that the GEF would foster innovation. One

other Rio Expectation achieved fulfillment: that the GEF would address national priorities. Five more achieved partial fulfillment, and one registered no visible achievement: that the GEF would be given adequate funds.

GEF MANDATE, EVIDENCE, AND INFLUENCE

To further illuminate these assessments, three other perspectives on Rio Expectations highlight whether or not they were enshrined in the official GEF mandate, how much evidence of their fulfillment

has been compiled, and what level of influence or control the GEF wields over their fulfillment. Table B.10 portrays a comparison of Rio Expectations across these realms as compared to the ranking of fulfillment. Already ordered by frequency of formulation, these are rank ordered relatively, where 1 signifies highest. This purely qualitative ranking serves to provide a rough indication of relativity to catalyze debate and to help explain current fulfillment while paving the way for a realistic reformulation after Rio+20.

Mandate. Derived from an analysis (of official documents such as the GEF Instrument and Operational Principles), the goal of the GEF was determined to be: to serve as a “mechanism for international collaboration to secure global environmental benefits.”^[2] The GEF objectives^[1] are thereby summarized as:

- to be accountable to the Conferences of the Parties (COPs) of all related conventions;

- to provide new and additional grant and concessional funding to meet incremental costs; to ensure the cost-effectiveness of its activities;
- to fund projects that are country driven and based on national priorities designed to support sustainable development;
- to maintain sufficient flexibility to respond to changing circumstances; to provide for full disclosure of all nonconfidential information;
- to provide for participation of beneficiaries and affected groups and people; to respect the eligibility requirements set forth in the Instrument.

The majority of Rio Expectations were, in fact, enshrined in the current GEF mandate. Four, however, were not: mainstream sustainable development in a new green economic order, provide adequate funds, engage NGOs and foster innovation. A key reflection that surfaces from

this analysis is that there may be three categories of Rio Expectations.

- **Mandated.** Five Rio Expectations were absorbed into the GEF Mandate with a very specific reference appearing in the goal (purpose/mission) or objectives (principles).
- **Enabling.** two Rio Expectations were not strictly mandated but were nonetheless largely and repeatedly referred to by public GEF documents as tools or strategies avidly applied to achieve objectives: engage NGOs (as per Decision DP 1994/9) and foster innovation (Operational Strategy, Paragraph 1.12).
- **Not mandated.** two Rio Expectations were definitely neither mandated nor referred to in any identified official document: catalyze new green economic order and be given adequate funds.

Evidence. The scope of this review did not permit a

dive below the OPS level to discover the greater evidence of fulfillment that may well exist in the body of the specific evaluations. It is also challenging to register fulfillment completely when deliberate OPS investment was not made — because the expectation was not absorbed into the mandate, was outside the OPS scope, or constrained budgets and resources mitigated against compiling hard evidence for a specific Rio Expectation. Nevertheless, the visibility of harder evidence through the OPS meta-analysis lens satisfactorily explains the levels of fulfillment across the expectations (table B.10).

Influence. Clearer than any other issue is that the GEF’s influence over so many expectations is limited. It cannot be everything to everybody. All stakeholders and critics may need to temper their expectations with, above all, the (in)adequacy of funds GEF has been given to manage. The influence GEF wields on donors — for adequate and additional funding as well as a new green

economic order (three of the nine Rio Expectations) may remain weak until a deliberate move is made to “educate the donors” on the urgency of the issues at hand.

A quick glance at table B.10 will confirm that there is no clear cut-correlation between any of the concepts, mandate, evidence or influence. A few examples might be useful:

- There is high fulfillment both in cases of mandated expectations and nonmandated: tools: responding to conventions is mandated, but innovation and NGO engagement are tools. Three expectations with partial fulfillment are also mandated. There may be a relationship between lack of mandate and lack of fulfillment (see green economic order and adequate funds).
- Expectations that have benefited from visible GEF investment in compiling evidence

TABLE B.10: RIO EXPECTATION FULFILLMENT, MANDATE, EVIDENCE, AND INFLUENCE

Expectation	Fulfillment	Enshrined in GEF mandate	Evidence in OPSs	Influence
Provide additional funding	3	Yes	3	7
Address national priorities	2	Yes	5	4
Respond to and support conventions	1	Yes	4	1
Enhance international cooperation	3	Yes	Not visible	5
Mainstream sustainable development in a new green economic order	No	No	Not visible	9
Be given adequate funds to manage	No	No	Not visible	8
Contribute to achieving global environmental benefits	3	Yes	1	6
Engage nongovernmental organizations	3	Tool	Not visible	2
Foster innovation	1	Tool	2	3

Note: Expectations are listed in decreasing order of greatest frequency of expression; fulfillment is rank ordered 1–3, with 1 = strong fulfillment, 2 = fulfillment, and 3 = partial fulfillment; evidence in OPSs (evidence of GEF investment in bringing fulfillment to the surface) rank ordered 1–5 or as not visible, with 1 = high; influence (level of control by the GEF) is rank ordered for each expectation, with 1 = high.

are among the highest and lowest of those fulfilled.

- The top Rio Expectations that are within relatively easy grasp of GEF’s influence are among the mandated, tools and non-mandated, with and without compiled evidence.

CONCLUSIONS

The GEF was founded 20 years ago on a ground-breaking idea

to preserve and protect the environment with the planet’s very first pure focus on the global environment, and a promise, by historical polluters, to keep developing countries’ priorities in clear view and to change from within, without proliferation. At this moment 20 years later, can the GEF identify and seize on contemporary opportunities at Rio+20 to revisit some of these expectations?

Despite all odds, the GEF has made progress toward achieving the expectations on which it was founded. Going forward, it must be recognized that in order to meet existing and emerging expectations, the GEF has to be adequately funded. Stakeholders must earnestly join together to map a more carefully charted journey to preserve and protect the environment.

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