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GEF THIRD OVERALL PERFORMANCE STUDY (OPS3) INCEPTION REPORT

(Prepared by ICF Consulting/OPS3 Team)

Recommended Council Decision

The Council, having reviewed the *OPS3 Final Inception Report*, document GEF/ME/C.24/4 prepared by the OPS3 team, takes note of it. Suggestions and comments made during the meeting will be taken into account by ICF Consulting during the process of implementing OPS3.

**FINAL INCEPTION REPORT
FOR THE THIRD OVERALL PERFORMANCE STUDY
OF THE GLOBAL ENVIRONMENT FACILITY**

NOVEMBER 2004

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1 INTRODUCTION

1.1 Purpose of the OPS3 Study

The purpose of the OPS3 study, commissioned by the GEF Council, is *“to assess the extent to which GEF has achieved, or is on its way towards achieving its main objectives, as laid down in the GEF Instrument and subsequent decisions by the GEF Council and the Assembly, including key documents such as the Operational Strategy and the Policy Recommendations agreed as part of the Third Replenishment of the GEF Trust Fund.”*¹ The OPS3 study will follow on two previous studies that were similar in nature to that of OPS3; however, as the GEF and its portfolios have matured, so the purpose of an overall performance study must evolve. The OPS3 Team views itself as part of a larger, longitudinal study that will build on the concepts and recommendations of the previous studies, and look forward to improvements in GEF operations to set the stage for a future OPS4. Additionally, the OPS3 Team recognizes that this study is taking place at a critical time, and will provide input that is relevant to the Fourth Replenishment of the GEF Trust Fund, which will be taking place shortly after the publication of the OPS3 study. As such, a primary goal of the OPS3 Team is to provide relevant, timely, and actionable recommendations for each of the Terms of Reference areas.

1.2 Scope of the OPS3 Study

The scope of the study is defined by the Terms of Reference for the Third Overall Performance Study of the GEF, approved by the GEF Council on May 21, 2004. In particular, OPS3 will cover five main themes:

- Results of GEF activities;
- Sustainability of results at the country level;
- GEF as a catalytic institution;
- GEF policies, institutional structure, and partnerships; and
- GEF implementation processes.

Each of the Terms of Reference (TOR) questions is presented in Annex A of this report, together with the OPS3 Team's interpretation and broad approach to address each question. The OPS3 Team's evaluation framework to use in assessing each of the TOR questions, as well as data sources and limitations, are presented in Section 2 of this report, and more details on the overall methodology for the OPS3 study are contained in Section 3 of this report.

1.3 Previous Evaluations and Relevant Results

The Office of Monitoring and Evaluation (M&E) of the Global Environment Facility (GEF), previously the M&E Unit, has conducted two Overall Performance Studies (OPS) to evaluate the global impacts and policies which result from the GEF programs. OPS are conducted by external experts every 4 years and are used to generate a number of recommendations for the GEF. These recommendations are taken into consideration by the GEF Assembly and used for financial negotiations and decision-making.

¹ Terms of Reference for the Third Overall Performance Study of the GEF, May 21, 2004.

The OPS1, conducted in 1997, at the request of the GEF council, focused on the GEF's provision of resources as well as country and institutional issues. However, so few GEF projects had been completed by this time that the OPS1 could not evaluate program results. By the time the OPS2 was conducted in 2001, a subset of projects had been completed and their success documented, allowing reviewers to focus on whether the GEF objectives were being met. Despite the different focuses, the OPS1 and OPS2 ask many common questions and in many areas came to similar conclusions.

Both OPS1 and OPS2 discussed the need to involve those sectors and institutions which can help to bolster the GEF's limited resources. OPS1 and OPS2 cited leveraging as important to the GEF's success and an area which could be improved by refining its definition and more actively pursuing leveraging opportunities. Similarly, both OPS evaluations agreed that opportunities to engage the private sector and financial institutions had been largely unexploited, and OPS1 suggested reducing the risk for private investors without subsidizing private profit.

The first two OPS evaluations also focused largely on inter- and intra-agency relationships. One approach for evaluating these relationships was to look specifically at the Focal Point system. OPS1 noted that at the time of the study, the Focal Point system was not fully institutionalized in many countries, resulting in an inability of the Operational Focal Points to fulfill their coordinating role. OPS2 noted the need for improvement of the focal point system. Recommendations highlighted the need for better communication between country Operational Focal Points and Council Members, as well as increased involvement of Operational Focal Points in projects.

The OPS evaluations also looked specifically at implementing agency coordination and collaboration. OPS1 and OPS2 noted that there is good coordination and collaboration with Implementing Agencies and that the GEF is an encouraging example of interagency cooperation. OPS2 stressed the need to encourage active partnerships without diluting Implementing Agency responsibilities.

Finally, both OPS evaluations noted how intra-agency collaboration can affect the convention implementation. OPS1 and OPS2 agree that while GEF has adequately implemented the guidance of conventions, one barrier to improving implementation is that the conventions provide rather broad guidance, and so close consultations between GEF and the COPs are necessary to make sure convention priorities are correctly interpreted. OPS2 suggested that there should be more coordination between GEF focal points and convention focal points.

Education and involvement of stakeholders were also important facets of the OPS evaluations. Both OPS1 and OPS2 looked at general outreach and found that the GEF has very poor visibility outside of the individuals involved with its project. Both reports stressed the need for better public outreach of GEF to its various constituencies. The reports suggest that the availability of media products in local languages is very important, and that perhaps communication with stakeholders could be improved by clarifying project related definitions. Both studies addressed the need to clarify the definitions of "global benefits" and "incremental costs" to country and project stakeholders. Both reports agreed that stakeholder participation had been incorporated into GEF activities and projects well. However, both agreed that stakeholder participation needed to be addressed more systematically and that indicators should be developed.

Both OPS reported on and made recommendations related to institutional organization and management strategies. OPS1 noted that there was not enough mainstreaming by Implementing Agencies and provided recommendations to the World Bank, UNEP, and UNDP to more fully incorporate GEF activities into their portfolios. OPS2 noted that the IAs had made reasonable efforts, but many improvements needed to be made. OPS1 and OPS2 also highlighted the need to shorten the project approval cycle. OPS1 suggested that the cycle could be shortened by having Implementing Agencies submit a range of estimates, streamline incremental cost procedures, and submit a final estimate at the project concept stage. OPS2 recommended a general improvement of GEF's review and processing procedures and management of the project review process.

Finally, both OPS1 and OPS2 discussed STAP and provided some suggestions for improvement. OPS1 suggested a new, more focused mandate based on the evolution of GEF. OPS2 recommended improving the role of STAP,

suggesting that the roster of experts should be better managed and used, and that regular evaluations of STAP reviews be included as part of the evaluation of completed projects.

In addition to the OPS, every 4 years, coinciding with the GEF replenishment cycle, the GEF Office of M&E (GEFME) conducts a round of evaluations and studies on all GEF programs. These reviews are fundamental elements of the GEFME's work program and are major inputs to the OPSs, the GEF replenishment process and the GEF Assembly. In preparation for OPS3, the fourth major GEF -wide review, the following program studies (and other key non program area studies) were conducted:

- GEF Biodiversity Program Study 2004
- International Waters Program Study 2004
- Climate Change Program Study 2004
- Progress Report on Implementation of the GEF Operational Program on Sustainable Land Management
- Local Benefits Study

These studies are an essential contribution to OPS3 and their objectives, key findings, and recommendations are summarized below.

The purpose of the 2004 Climate Change Program Study was to provide an overall evaluation of the results and performance of the Global Environment Facility's (GEF's) Climate Change Program from its inception in 1991 through to mid-2004. The key focus areas of the study were the overall trends, findings and lessons of interest to GEF policy makers and stakeholders. The emerging lessons concern the indirect GEF impacts, including contributions to poverty alleviation; replication of project results; project risk management; transfer of technological know-how; long-term programmatic approaches and the potential for GEF projects to influence policy. Overall, the Climate Change Program Study emphasized that the GEF faced three key challenges: 1) ensuring programmatic and strategic coherence that reflects a clear GEF comparative advantage and makes the most of limited resources, 2) determining how to solve renewable energy problems through development of clearer objectives and project organization, and 3) determining how GEF can maximize the generation and use of ideas and knowledge.

The International Waters Program study set out to assess the impacts and results of the international waters focal area on the protection of transboundary water ecosystems and the approaches, strategies, and tools by which results were achieved. Furthermore, the study attempted to identify lessons learned and formulate recommendations to improve GEF IW operations. The Program Study reported that the IW Focal Area has been particularly successful in the development of new policy tools, including several treaties and conventions, such as the Caspian Sea Convention, the Dnipro Basin Agreement, and the Pacific Tuna Treaty. However, the Program Study made the following recommendations for improvement: 1) production and use of an accessible GEF IW Focal Area manual to improve project staff and stakeholder knowledge, 2) development of a comprehensive M&E system for IW projects 3) incorporation of a regional level coordination mechanism for IW projects, 4) redefinition of the GEF IW Task Force to optimize its role in guiding the IW Focal Area.

The Biodiversity Program Study assessed how the GEF Biodiversity Program is performing and made recommendations on how to continue its development. In addition, the study provided information on how the GEF implements its biodiversity focal area, discussed the difficulties in measuring achievements and impacts in this focal area, and presented ideas on the way forward. The study found that the biodiversity program has made notable contributions to conservation and sustainable use and enabled positive changes in the behavior or activities of people and their subsequent affects on biodiversity. In particular, the study concluded that the program has contributed extensively to financially supporting biodiversity conservation in areas of global significance, including the mega biodiversity countries. However, findings from the study indicate that the program has not been able to contribute measurably to improving the status of global biodiversity. This is thought to be the result of the slow pace of establishing the means to monitor progress from project to program levels and continued unrealistic and unspoken

expectations. Key recommendations for improving program results were 1) improving the delivery and measurement of outcomes and impacts and 2) addressing operational shortcomings toward improving the management and administration of the biodiversity program.

The Progress Report on Implementation of the GEF Operational Program on Sustainable Land Management focused on the priorities that are being addressed in the short term to enable countries to begin to fulfill their obligations under the Convention to Combat Desertification. Through the evaluation of the implementation of OP15, the following conclusions were reached: 1) The great response to project development under OP15 suggests the need to redirect resources for these new initiatives 2) efforts need to be made to improve the communications between stakeholders in the Country Pilot Projects (CPP) to successfully conclude partnership agreements 3) in order for sustainable land management efforts to succeed, the CPP must also encourage understanding between land and water resource users and consider the desires of the rural poor for a better life, 4) efforts should be made in the future to preserve the balanced geographical distribution of projects to encourage more country participation 5) World Bank program for sustainable land management in Africa represents an example for other GEF implementing agencies to include sustainable land management issues into their programs and 6) future activities under the sustainable land management OP should continue to be focused on country driven priorities and should emphasize the integration of global environmental concerns into activities focused on on-the-ground results, the strengthening of public policy, the creation of enabling environments, the engagement of stakeholders, and mobilization of resources.

The Local Benefits Study explored the inter-relationship between global environmental gains and local benefits in the GEF portfolio. The study aimed to assist in increasing the long-term sustainability of global benefits in sensitive areas by enhancing the level of direct and tangible gains accruing to local communities and actors in future GEF policies, strategies, and programs within the requirements of the GEF mandate. The study found that the projects lack a balance between development objectives that have social or participatory dimensions and environmental objectives that are technically or technologically driven; adequate social and livelihoods analysis at the project preparation stage, and that the GEF portfolio is "gender blind." The preliminary recommendations resulting from this study were 1) GEF needs to develop and institutionalize a conceptual framework that supports the linkages between local and environmental benefits, to enable "scaling up" towards global impacts, and 2) GEFSEC needs to incorporate social science expertise into project screening and assessment procedures.

1.4 Organization of the Report

The remainder of this report is organized as follows:

- Section 2 presents the evaluation framework that the OPS3 Team will employ in undertaking OPS3 and describes the data requirements and limitations for the OPS3 evaluation;
- Section 3 introduces the methodology that the OPS3 Team will implement, including the six analytical stages;
- Section 4 discusses the roles and responsibilities of the OPS3 Study Team, including local consultants, as well as those for the GEF Office of Monitoring and Evaluation, and the High Level Advisory Panel for OPS3; and
- Section 5 presents the OPS3 Work Plan and next steps for the OPS3 Team.

2 EVALUATION FRAMEWORK

2.1 Evaluation Matrix

The OPS3 Team proposes the following evaluation framework for assessing each key area of the Terms of Reference, presented in Exhibit 2-1. This framework represents a static snapshot of the evaluation matrix, which, by design, will evolve throughout the duration of the study.

When applying the evaluation matrix presented below, the OPS3 Team will consider the results in the context of the Operational Programs, as well as aggregated into and across focal areas. Furthermore, when evaluating projects, the OPS3 Team will focus on projects that have been completed since OPS2 or are currently ongoing. The overall methodology and approach that will be used to employ this evaluation matrix is addressed in Section 3.

2.2 Data Requirements and Limitations

The previous section presents an evaluation matrix, including data required for evaluating each of the Terms of Reference.

Many of the criteria listed above will require the use of data that have not yet been acquired by the OPS3 Team. In particular, some types of data are anticipated to be more challenging to obtain, including data on impacts, as these data have a longer time horizon and can be both unintended and/or indirect. The OPS3 Team will attempt to find the data sets required to evaluate these quantitative criteria through desk studies, field visits, and interviews with GEF staff members. To the extent that relatively complete data sets are available, the OPS3 Team will rely on these in the evaluation process. The OPS3 Team will not create any new data sets, but rather will use existing data collected by GEFME, such as in the recent program evaluations, or data collected by other GEF entities.

Because of the large amount of valuable evaluation activity that has already been developed by the GEF, especially the Office of M&E, the specific direction of the GEF to the OPS3 team to use these studies as much as possible as the primary source of input to the study, and the fixed timeframes of the OPS3 study, the major methodological component of OPS3 will be a meta-analysis of the vast amounts of secondary data provided by the GEF (the "desk study" component of the OPS3 methodology). The study component dealing with collection of primary data (the field visit component) will be used to enrich the OPS3 Team's interpretation and analysis of these secondary data, but the focus of the primary data collection will be on the present and future of the projects – rather than a verification of past results. The OPS3 team feels that this focus is necessary for the development of recommendations that provide the most benefit to the Council in determining directions for the GEF over the next five years.

If, after searching for such data, the OPS3 Team determines that the necessary data sets are not collected or are not adequate for the purposes of evaluating the TOR according to the listed criteria, qualitative analysis, supported by partial datasets, will be performed, and the lack of data availability noted in the final OPS3 report. There are limitations, however, to the type of evaluation that the OPS3 Team can provide if data are inadequate or unavailable. Therefore, it may be necessary for the evaluation framework to evolve as a more thorough understanding of the available data is gained over the course of the Study.

If, through the course of field visits, the OPS3 Team discovers that findings and recommendations from previous OPS evaluations, most recent M&E Program Evaluations, and other relevant documentation are no longer valid or conversely have not been addressed, the OPS3 Team will comment on this, as relevant, in the final OPS3 report. Moreover, to the extent to which findings or recommendations from OPS1 or OPS2 are within the scope of the TOR for OPS3, the OPS3 Team will examine whether those comments are still valid or applicable.

Exhibit 2-1. Evaluation Matrix

TOR Question	Methodology	Evaluation Criteria	Data Source
TOR Question 1: Operational and Program Results			
<p>TOR Question 1A. What have been the quantitative and qualitative results of GEF activities at the local, regional and global level in the areas of biodiversity, climate change, international waters and ozone depletion?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Survey the results of GEF activities at the local, regional and global level in the areas of biodiversity, climate change, international waters, and ozone depletion. • Consider results already identified through GEFME extensive program-level reviews, and will also seek to identify results of both a quantitative and qualitative nature through field investigation and stakeholder outreach. • Provide an update to the GEFME's ozone program study (2000) on performance and impact with regard to the phaseout of ozone depleting substances. • Develop a list of indicators based on the objectives of the conventions. 	<ul style="list-style-type: none"> • Are the results aligned with global environmental benefits? <ul style="list-style-type: none"> ◆ This evaluation will compare results of GEF activities with indicators based on the objectives of the conventions, and the achievement of global environmental benefits. • Has the GEF developed targets? <ul style="list-style-type: none"> ◆ The OPS3 Team will review past business plans and the GEF's progress in achieving results in accordance with indicators as outlined in GEF3 planning documents. 	<ul style="list-style-type: none"> • GEFME Program Evaluations • GEF business plans • GEF planning documents, such as Strategic Business Planning: Priorities and Targets (GEF/C.21/Inf.11) • GEF-3 Agreement • Field investigation and stakeholder outreach
<p>TOR Question 1B. If results are not quantifiable, what are the reasons?</p>	<p>Bearing in mind that certain results are inherently qualitative in nature, the OPS3 Team expects that evidence for why results are not quantifiable will fall under the categories listed in the column "Evaluation Criteria." (Note: the OPS3 Team expects to identify other reasons that results are not quantifiable while exploring project evaluations and other data collection activities.)</p>	<ul style="list-style-type: none"> • Evidence that the project is not structured to produce and/or capture quantifiable results in all areas (e.g., parts of the project may not capture evaluative data because it is too costly, too hard to obtain, is not required, or there is a lack of scientific means to quantify results). • Evidence that no consistent system is in place across the GEF (or across the GEF participants) for defining, capturing, and tracking consistent and well-defined results in this focal area (e.g., inadequate baseline data, no process in place to communicate results). 	<ul style="list-style-type: none"> • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 1C. Do projects developed under the new focal areas of land degradation and persistent organic pollutants reflect global priorities?</p>	<p>To assess whether projects under land degradation, and OP15, as well as under POPs, and OP14, reflect global priorities, the OPS3 Team will:</p> <ul style="list-style-type: none"> • Define land degradation and POPs global priorities <ul style="list-style-type: none"> ◆ Develop a list of priorities from convention language (and other instruction given the GEF). ◆ Compare convention priorities to GEF business plan strategic priorities and the OPs. 	<ul style="list-style-type: none"> • Qualitative assessment of alignment between project goals, objectives, projected outcomes, and the defined global priorities. Aggregation up to the portfolio level, if possible. • Qualitative assessment of alignment of GEF strategic priorities and focal area designations with the OPs. 	<ul style="list-style-type: none"> • Guidance from the Convention to Combat Desertification and from the Stockholm Convention • GEFME Program Evaluations • GEF business plans • Project documents • Field investigation and stakeholder outreach
<p>TOR Question 1D. What are the key factors that have contributed to the achievement of global environmental benefits?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Draft a working definition of global environmental benefits and develop an initial list of contributing factors (e.g., alignment of project goals with global priorities). • Investigate evidence that projects in each focal area are producing the benefits. • For those projects that are producing benefits, determine what factors are involved. • Look for similarities in contributing factors across focal areas by conducting a meta-analysis. 	<ul style="list-style-type: none"> • Evidence of potential common traits among successful projects: <ul style="list-style-type: none"> ◆ Process traits (implementation plans, project strategies) ◆ Capacity traits (institutional/political environment, staff strengths, etc.) ◆ Intentional and unintentional key contributing factors • Evidence of linkage between project goals and activities, and global environmental benefits: <ul style="list-style-type: none"> ◆ Alignment of project goals with global (convention) priorities ◆ Clarity of definition of global environmental benefits for each focal area ◆ Clarity of interaction or linkages between local and global benefits • Evidence of examples or projects that provide multiple benefits across more than one focal area: <ul style="list-style-type: none"> ◆ Intentional and unintentional factors 	<ul style="list-style-type: none"> • Convention guidance to the GEF • GEFME Program Evaluations • Project level documents • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 1E. Historically, how have GEF resources been allocated geographically and is this allocation consistent with strategic priorities?</p>	<p>The OPS3 Team will develop and analyze a resource allocation map for the past ten years of GEF activities. Additional analysis could focus on remaining GEF3 pipeline and its contribution.</p>	<ul style="list-style-type: none"> • Historical fund allocations by GEF Council—as proposed by GEF work programs presented by GEF Secretariat, the IAs and EAs—is consistent with Council programming. • GEF3 funds to date are being allocated consistently with strategic priorities in GEF3 business plan. • Appropriateness/adequacy of the historical geographical allocation of GEF resources for all regions. 	<ul style="list-style-type: none"> • GEF project database • GEF work programs • GEF business plans • GEFME Program Evaluations
<p>TOR Question 2: Sustainability of Results</p>			
<p>TOR Question 2A. To what extent have desired global environmental benefits continued following completion of GEF projects?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Use the definition of global environmental benefits developed for TOR Question 1D. • Determine data availability on continuing benefits: <ul style="list-style-type: none"> ♦ To the extent that information is available on continuing benefits, it will be considered in research agendas. ♦ Are benefits tracked after completion at some meta-level? Any system that exists to track beyond project completion? Has any meta-analysis been done on continued benefits (e.g., from OPS 1 and OPS 2). (Results from this can be fed into the project life cycle evaluation in TOR 5.) • Confirm trends through qualitative evidence gained in field study. • If the data do not exist to evaluate in accordance with the evaluation criteria, seek qualitative evidence in the field visits and attempt to develop other evaluation parameters. 	<ul style="list-style-type: none"> • In general, how many completed projects have sustained benefits? • What is the likelihood that a project will bring global environmental benefits that will continue after project completion? <ul style="list-style-type: none"> ♦ Tracking of environmental benefits? ♦ Known environmental benefits ♦ Projection for sustainability <ul style="list-style-type: none"> ✓ For how long have the benefits continued? ✓ What is the trend of the trajectory? 	<ul style="list-style-type: none"> • Case studies from GEF Local Benefits Study (LBS) • OPS1 and 2 • PPRs • GEF M&E Working Paper 1 • Project documents (esp. ICRs, SMPRs) • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 2B. What are the key factors that determine the sustainability of global environmental benefits?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Define “sustainability” for the purposes of Questions 2B and 2C. <ul style="list-style-type: none"> ♦ Economic/financial sustainability: to what extent are continued environmental benefits dependent on continued financial support? ♦ Institutional sustainability: to what extent are continued environmental benefits dependent on the continuation of institutional capacity? ♦ Social sustainability: to what extent are continued environmental benefits dependent on the social/cultural appropriateness of the project? • Develop a list of potential contributing factors (e.g., sound science/appropriate technology, strategic planning, project duration, local benefits, attention to underlying environmental problems, country ownership, stakeholder involvement, external factors). • Confirm factors through qualitative evidence gained in the field study. • If the data do not exist to evaluate in accordance with the evaluation criteria, determine if meta-analysis reveals any common barriers to sustainability and seek qualitative evidence in the field visits. <p>Data availability questions are the same as in TOR 2A, assuming that the unit of analysis is “completed projects” and that continued benefits are elements of sustainability.</p>	<ul style="list-style-type: none"> • In general, what evidence exists of the contributing factors? 	<ul style="list-style-type: none"> • Case studies from GEF LBS • Project level documents (esp. Project Concepts, MTRs, ICRs, and PADs) • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 2C. To what extent do country ownership, stakeholder involvement in project development and execution and the generation of local benefits improve the sustainability of results supported through the GEF?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Prepare a list of projects from TOR 2B that demonstrated country ownership, stakeholder involvement, and the generation of local benefits as key factors. • Select a representative sample from the subset of completed projects without sustained benefits, and determine any correlation with: <ul style="list-style-type: none"> ◆ Country ownership ◆ Stakeholder involvement ◆ Local benefits • Select a representative sample from the subset of completed projects with sustained benefits of (a) up to 2 years and (b) up to five years, and determine any correlation with: <ul style="list-style-type: none"> ◆ Country ownership ◆ Stakeholder involvement ◆ Local benefits 	<ul style="list-style-type: none"> • Do selected projects demonstrate a correlation with: <ul style="list-style-type: none"> ◆ Country ownership? ◆ Stakeholder involvement? ◆ Local benefits? 	<ul style="list-style-type: none"> • Case studies from GEF LBS • Project level documents (esp. Project Concepts, MTRs, ICRs, and PADs) • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
TOR Question 3: Effects of GEF Operations on Other Institutions and Related Issues			
TOR Question 3A. How successful has the GEF been in fulfilling its catalytic role by:			
(1) leveraging additional resources from public and private sectors	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> Consider leveraged resources as defined by the GEF Council in Working Paper GEF/C.20/6. Through an evaluation of available information and documentation, assess the extent to which the GEF has been able to involve the public and private sectors in direct participation in projects as well as via leveraged resources and co-financing. 	<ul style="list-style-type: none"> How many projects have successfully leveraged resources? What percent of projects in the GEF portfolio does this represent, both in terms of absolute number and budget? Is this significant? How many projects have successfully leveraged in-kind support? What percent of projects in the GEF portfolio does this represent, both in terms of absolute number and budget? Is this significant? How many projects have included co-financing? What percent of projects in the GEF portfolio does this represent, both in terms of absolute number and budget? Is this significant? How many GEF projects involved the private sector in projects? Public sector? <ul style="list-style-type: none"> Do some types of projects lend themselves more easily to private sector involvement, which limits the extent to which private sector involvement is possible? What are the major barriers to private sector involvement and leveraged resources? Could more be done to augment private sector involvement and to leverage resources? 	<ul style="list-style-type: none"> GEF Council Working Paper GEF/C.20/6 Project level documents, e.g., ICRs GEF documents on involvement of the private sector PPRs GEFME Program Evaluations

TOR Question	Methodology	Evaluation Criteria	Data Source
(2) catalyzing results by innovation, demonstration and replication	The OPS3 Team will analyze GEF project data (looking particularly at demonstration projects and innovative approaches). The OPS3 Team will then try to determine which of these, if any, have been replicated.	<ul style="list-style-type: none"> • Of the projects reviewed, how many are known to have resulted in replication (in terms of number and percent)? • How many innovative approaches or demonstration projects have been implemented by the GEF? What percent of projects in the GEF portfolio does this represent, both in terms of absolute number and budget? Is this significant? 	<ul style="list-style-type: none"> • GEFME Program Evaluations • PPRs • Case studies from GEF Local Benefits Study • Project level documents, e.g., TERs, SMPRs • Field investigation and stakeholder outreach
(3) fostering international co-operation on environmental issues	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Identify a number of projects that involve(d) more than one country, especially any with stated aims to foster international cooperation on environmental issues. • Of those projects, try to assess, in general, the extent to which international cooperation on environmental issues has in fact been fostered. • Using this information, the OPS3 Team will answer the questions listed in the column "Evaluation Criteria." 	<ul style="list-style-type: none"> • For each of the projects reviewed, was international environmental cooperation in fact fostered? In particular: <ul style="list-style-type: none"> ◆ Was a committee or some type of international entity founded as a vehicle for cooperation? ◆ Was a cooperative treaty or agreement forged between affected nations? ◆ Were firm commitments made to provide ongoing funding/resources/support? ◆ Did nations or communities commit to firm targets or actions? 	<ul style="list-style-type: none"> • Project level documents, e.g., ICRs • GEF Reviews of Enabling Activities • GEF M&E Working Paper 3 • Case studies from GEF Local Benefits Study • GEFME Program Evaluations • Field investigation and stakeholder outreach
(4) mainstreaming environmental issues into partner institutions	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Assess the extent to which GEF is mainstreaming environmental issues into partner institutions. • Interview staff at partner organizations, including agencies of recipient countries, to get a sense of whether/how GEF projects have affected their work. 	<ul style="list-style-type: none"> • Since the partnership with GEF began, how many other (non-GEF) projects have been initiated by the organization that are related to the environmental focal area? How has this changed over time? • Since the partnership with GEF began, how has the staffing team devoted to the particular environmental focal area changed over time? (E.g., from one staff working on biodiversity issues to a team of 5 in the last 2 years.) • Since the partnership with GEF began, has there been any increase in cross-organizational/cross-agency consultation, e.g., formation of coordinating committees that contribute to planning, budgeting, or project approval processes? 	<ul style="list-style-type: none"> • Evaluations from partner institutions • OPS2 Annex 7 • Program evaluation of Country Dialogue Workshops • Documents related to National Dialogue Initiative • GEF Reviews of Enabling Activities • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 3B. What are the key factors that lead to catalytic impacts and what issues need to be addressed to improve catalytic impacts?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Using the data reviewed for TOR Question 3A, attempt to identify key factors that support the desired catalyzing impacts. • Consider the effectiveness of GEF strategies, outreach activities and dialogue with different stakeholders to build partnerships and catalytic action for global environmental benefits, and will consider gender issues in this context. 	<ul style="list-style-type: none"> • Of the four factors addressed in TOR Question 3A, where are GEF's strengths and weaknesses in terms of catalyzing impacts? • How can GEF's ability to catalyze impacts be improved? <ul style="list-style-type: none"> ◆ How can GEF enhance incentives for stakeholders (e.g., partner institutions, international governments, private sector actors, civil society, local communities, etc.) to augment its catalytic role? ◆ How can GEF enhance outreach and public relations to augment its catalytic role? 	<ul style="list-style-type: none"> • GEFME Program Evaluations • Field investigation and stakeholder outreach • Evaluations of other international programs for environment and development
<p>TOR Question 4: Effects of GEF's Institutional Structure and Procedures on Results</p>			
<p>TOR Question 4A. Are the GEF entities – the Implementing and Executing Agencies, the GEF Secretariat, the STAP and the Trustee - performing their respective functions in a satisfactory, cost-effective and responsive manner?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Determine the respective functions for each entity. • Develop measures of cost-effectiveness, satisfactory performance, and responsiveness. As a part of the evaluation of cost-effectiveness, OPS3 will briefly review and comment on the fee systems in place. <ul style="list-style-type: none"> ◆ Based on the functions and definitions, develop any evidence of performance by each entity from the desk study. 	<ul style="list-style-type: none"> • Processes, systems, people aligned to achieve objectives • Structure and management approach allows smooth coordination of GEF activities • Outcome-based strategic priorities, aligned with the mission, used in project selection and planning • Project planning approach compares the estimated value of each project versus its projected cost • Appropriate mix of process, achievement, and continuous improvement performance measures 	<ul style="list-style-type: none"> • GEF Instrument • TOR for each entity • GEFME Program Evaluations • OPS1 and 2 • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 4B. Are there conclusions that can be drawn with respect to cost-effectiveness and responsiveness of the GEF projects in comparison to similar international institutions?</p>	<p>Using the same operational definitions and indicators for cost-effectiveness and responsiveness as were developed for TOR Question 4a, the OPS3 Team will:</p> <ul style="list-style-type: none"> • Develop a list of similar institutions for which data on cost-effectiveness and responsiveness exists. • Apply the indicators where comparisons are possible. 	<ul style="list-style-type: none"> • GEF’s use of costeffectiveness thresholds compared to other comparable entities • Actual GEF project cost-effectiveness values compared with other comparable entities • GEF project life cycle times and costs compared with other comparable entities: <ul style="list-style-type: none"> ◆ project development pipeline time ◆ project development costs ◆ project implementation time ◆ project management costs/fees 	<ul style="list-style-type: none"> • Evaluations of similar institutions • OPS1 and 2 • GEFME Program Evaluations • Field investigation and stakeholder outreach
<p>TOR Question 4C. Are GEF’s policies and programs adequately responding to the objectives of the Conventions to which it serves as a financial mechanism?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • After developing a list of Convention priorities and guidance to the GEF from GEF program studies, undertake a desk study of each focal area portfolio, reviewing how the conventions are being supported by the portfolio and GEF programs and strategic priorities. • Visit Convention meetings and Secretariats to assess stakeholder opinions. • If possible, assess the number of specific guidance directives/agreements that have been developed by the conventions for the GEF, and the proportion of those that have been acted upon by the GEF. 	<ul style="list-style-type: none"> • Qualitative assessment of alignment between Conventions and GEF project goals and accomplishments? • Adequacy of interactions between the Conventions and the GEF • Are the stated results of specific GEF programs and projects <ul style="list-style-type: none"> ◆ responsive to objectives of the Conventions? ◆ responsive to guidance from the Conventions? • Are communications and information dissemination between GEF entities and the Conventions effective? 	<ul style="list-style-type: none"> • Guidance from the Conventions • GEFME Program Evaluations • GEF business plans • Data gathered through field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 4D. Is the GEF's composition, structure and division of roles and responsibilities effective in meeting its mandate and operations?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Develop a set of expectations for GEF effectiveness in terms of composition, structure, roles, responsibilities, and other aspects of organizational design (an institutional expectations model). • Review those portions of the institutional library that pertain to the effectiveness and responsiveness of the GEF. • Compare findings from the desk study to the institutional expectations model. • Assess the impact of the level of cooperation among GEF entities on the development of the GEF portfolio and its results. In particular, the OPS3 Team will review how cooperation at the country level impacts the development and implementation of country portfolios. • Assess the effectiveness of communication and information dissemination among entities and stakeholders, including the Conventions. • Supplement the desk study with visits to key stakeholders during the field study. 	<ul style="list-style-type: none"> • Cost-effectiveness criteria developed in TOR Question 4A • Defined roles and responsibilities • Common vision and effectiveness of working together • Functional knowledge base, effective professional development program, and competent staff • Effective rewards and performance measures • Ownership and accountability to mission among staff • Impact of level/quality of communication among GEF entities and stakeholders 	<ul style="list-style-type: none"> • GEF Instrument • GEF entity TOR • GEF institutional documentation • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 4E. Are the GEF Secretariat and its partner agencies effectively responding to national priorities of recipient countries?</p>	<p>The OPS Team will:</p> <ul style="list-style-type: none"> • Conduct a desk study. • Conduct a field study, which will include questions for country focal points about national priorities. • Determine how national priorities are articulated within the GEF project process. 	<ul style="list-style-type: none"> • Is there evidence of a process in place for responding/incorporating national priorities? <ul style="list-style-type: none"> ◆ Responsiveness of current projects to national priorities ◆ Differences in approach among IAs ◆ Country focal point engagement • Are countries approaching IAs with project ideas or vice versa, i.e., who is defining the priorities? <ul style="list-style-type: none"> ◆ When countries approach IAs with project ideas, to what extent are the original concepts/plans typically modified? ◆ Typically, how involved are country governments/local players once the project is approved? 	<ul style="list-style-type: none"> • OPS1 and 2 • GEFME Program Evaluations • Project level documents • Field investigation and stakeholder outreach
<p>TOR Question 4F. Is the GEF taking into account the varying capacities of countries including for example small island developing states (SIDS), least developed countries (LDCs), and CEITs?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • From the work done on mapping the projects in TOR Question 1E, develop a map of projects pertaining to SIDS, LDCs and CEITs. • Report quantitative information that can be tabulated (number of projects, total dollars, etc). 	<ul style="list-style-type: none"> • How are special needs countries specifically addressed in GEF project selection/approval? • Is more attention needed to ensure that the special needs of these countries are addressed through GEF projects? • What results have been achieved in these countries? • What are the lessons learned from these projects (e.g., do projects in these countries need to be approached with more sensitivity to integrated solutions)? 	<ul style="list-style-type: none"> • GEF project database • GEFME Program Evaluations • Project level documents • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 4G. How effective has the Monitoring and Evaluation (M&E) Unit been and how effective has the process of monitoring and evaluation been?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Develop a set of expectations for the M&E Office based on the GEF charter and other guidance and evaluation results. 	<ul style="list-style-type: none"> • Is the GEFME function performed in a sound and cost effective way? How effective has the process of monitoring and evaluation been? • How have the GEF's responses to the M&E reorganization been responsive to specific concerns or suggestions from its stakeholders? • What are the areas where the current M&E structure/functions/responsibilities are aligned or misaligned for best identifying and measuring appropriate indicators of performance of the GEF and its associated activities? • What is the extent to which cross-cutting GEF goals are specifically evaluated? For instance, once a project is complete, are follow-up evaluations conducted to determine if results are sustainable or have been replicated? 	<ul style="list-style-type: none"> • GEFME Revised TOR • GEFME Program Evaluations • Project level documents • Field investigation and stakeholder outreach
<p>TOR Question 5: Effects of GEF Implementation Processes</p>			
<p>TOR Question 5A. What are the factors that influence performance at all stages of the GEF project cycle?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Develop a set of expected factors for each stage in the project cycle, taking into account comparison with other projects from similar institutions (as a result of TOR Questions 4 B). • Review earlier studies to determine if previous findings are available for this question. 	<ul style="list-style-type: none"> • Degree to which the expected factors influencing performance are observed during project design and approval, implementation, and monitoring and evaluation. • Identify internal/structural/procedural elements of the GEF that allow it to succeed in carrying out those activities (and conversely, identify elements that are missing or that mitigate success). • Identify outside barriers/challenges to the GEF in carrying out activities within the project cycle. 	<ul style="list-style-type: none"> • GEF charter and guidance. • GEF life cycle guidance and developments • Project management literature • Evaluations of other institutions • OPS1 and 2 • GEFME Program Evaluations • Field investigation and stakeholder outreach

TOR Question	Methodology	Evaluation Criteria	Data Source
<p>TOR Question 5B. Have lessons learned and feedback been adequately integrated into project design and implementation?</p>	<p>The OPS3 Team will:</p> <ul style="list-style-type: none"> • Develop a set of expectations for lessons learned programs, based on: <ul style="list-style-type: none"> ◆ GEF guidance and documented processes. ◆ Recommendations and GEF reactions from OPS1 and OPS2. ◆ OPS3 Team experience with knowledge management and lessons learned programs. 	<ul style="list-style-type: none"> • Evidence (or lack thereof) of appropriate mechanisms for capturing and incorporating lessons learned and other feedback at the entity level. • Evidence (or lack thereof) of a store of lessons learned that is available to project personnel during the preparation stage of the life cycle. • Project-specific evidence of these procedures in practice. 	<ul style="list-style-type: none"> • GEF guidance and documented processes • Recommendations from OPS1 and OPS2 • GEFME Program Evaluations • GEFME lessons learned documents • Project level documents • Field investigation and stakeholder outreach
<p>TOR Question 5C. What progress has been made on the implementation of key policy recommendations from Council?</p>	<p>The OPS3 Team will identify all key policy recommendations from the Council, and compare them against implementation.</p>	<ul style="list-style-type: none"> • Specific evidence at the entity level that policy recommendations have been carried out with adequate attention and resources. 	<ul style="list-style-type: none"> • GEF Council policy recommendations • Entity level documents • GEFME Program Evaluations • Field investigation and stakeholder outreach

3 OPS3 METHODOLOGY

3.1 Overview of the Methodology

At the heart of the work program developed by the OPS3 Team for conducting this review is a rigorous program evaluation approach. This program evaluation methodology is based on best practices in program evaluation, taking into account recent developments in results-based management, environmental interventions, and international evaluation directions (see Exhibit 3-1). The method has been tested and refined through its use in numerous program evaluations conducted by team members over the past fifteen years.

Exhibit 3-1. The OPS3 Methodology Reflects International Evaluation Best Practices*

Evaluation Best Practice	OPS3 Methodology
<i>Getting the most from evaluations</i>	
Definition and Objectives	<p>The OPS3 methodology begins with the Agree step, which is directly focused on defining the scope of the OPS3 review and on articulating the expected value of the results of the study. In this case, the results of the OPS3 study will be used in discussions regarding the upcoming Replenishment decisions.</p> <p>The OPS3 study is part of the ongoing performance management framework established by the GEF for monitoring and evaluating its work.</p>
Identify Main Participants	<p>The OPS3 methodology clearly outlines the key participants in the study. In this case, the GEF itself has commissioned the OPS3 evaluation. Based on the proposal competition, the GEF has selected the ICF Consulting team to be the evaluators for the study. Users of the evaluation results will be the GEF Council, GEF program managers, the M&E organization, and other GEF entities.</p> <p>The stakeholders who have an interest in this evaluation include members of the GEF entities, members of the donor and recipient countries, GEF project personnel, and project beneficiaries in the countries in which the projects are located. These stakeholders are directly involved in the GEF evaluation directly through the country visit component and stakeholder outreach activities.</p>
Assess Benefits and Costs	<p>The GEF has made the determination of the expected benefits and costs associated with the OPS3 review. The results of this determination have entered into negotiations fixing the cost and the timing of the OPS3 review.</p>
<i>Organizing the evaluation function</i>	
Foster Evaluation Culture	<p>Support for the OPS3 study exists at every level within the GEF, including the GEF Council, the GEF CEO, the M&E Director, and division heads throughout the organization. In addition, the OPS3 methodology requires the OPS3 team to solicit the input of other GEF entities, ensuring dialogue that extends throughout the GEF culture.</p> <p>Importantly, the OPS3 review is the third in a series of reviews that reflects the overall concern of the GEF for effective program evaluation. The OPS3 review will build on the results of the GEF's ongoing evaluation of its work at the project, regional, and global levels.</p>
Manage Evaluation Activities Strategically	<p>The TOR for the OPS3 review has been organized to correspond to the needs and priorities of the GEF as determined by the GEF Council and other GEF stakeholders. This specific evaluation will build on the project and program specific evaluations that been conducted over the past ten years, paying specific attention to the progress that has been made since the last OPS was conducted.</p> <p>In developing this meta-analysis of GEF performance over the past few years, the OPS3 study will take advantage of the wide range of evaluation approaches and perspectives that have been employed in reviewing GEF performance.</p>

Enhance Credibility	<p>The OPS3 team was chosen by the GEF to conduct this evaluation based on the team's corporate experience in program evaluation, environmental management, and international development. The OPS3 team is working closely with the GEFME and is advised by a High Level Advisory Panel to ensure that the evaluation results in findings that are valid, reliable, and useful to the GEF Council and the GEF stakeholders.</p> <p>The methodology used to provide the structure for the GEF has been used in program evaluations conducted by the OPS3 team for over fifteen years. This inception report details the various elements of the methodology, particularly a) the evaluation framework that treats the key questions to be answered, the data sources associated with those questions, and the collection techniques to be used, b) the methods to be used in accessing, collecting, organizing, analyzing, and presenting the data, including a description of the desk study and the field study components of the method, and c) the evaluation work plan, with roles and responsibilities and a schedule for conducting the OPS3 review.</p>
<i>Building Effective Evaluations</i>	
Ensure Links with Decision-Making Processes	<p>The fact that the results of the OPS3 study will be used in discussions regarding the upcoming Replenishment discussion has affected the entire structure and timeframe for the study. In order to be effective, both from a cost and time standpoint, the OPS3 study will be built on the vast amount of evaluation activity that has already been conducted by the GEF and its entities, including reviews conducted by the GEFME and Implementing Agencies. In the methodological approach adopted for OPS3, primary data collection is specifically sought for a) validating the results of the meta-analysis of existing studies, b) adding dimension to the understanding of GEF accomplishments and to the delineation of areas for possible improvement, and c) identifying and emerging directions, issues, and concerns that may constrain or direct future GEF involvement.</p>
Choose the Right Evaluator	<p>For the OPS3 review, the GEF has selected a team of external evaluators to ensure impartial results that are of use to the GEF Council in its deliberations. To facilitate an effective review within the required time frames and to provide the OPS3 Team with as much assistance understanding the history, background, and culture of the GEF, the OPS3 team is working in partnership with GEFME, while at the same time maintaining independence.</p>
Involve Stakeholders and Communicate Findings Openly	<p>The OPS3 team has included an extensive stakeholder outreach component in the project work plan. This outreach takes place on a number of levels including the GEF Secretariat and its supporting entities, the secretariats for the multi-lateral conventions, the donor and recipient countries, and the projects themselves. The project work plan is structured so that as much stakeholder outreach as possible will be conducted within the project timeframe.</p> <p>Openness with regard to the findings of the review are critical and should lead to effective actions following from the OPS3 review. The workplan calls for findings to be presented to the High Level Advisory Panel (HLAP) and to key GEF stakeholders for their commentary before the findings are published for more general use. This review will ensure that findings are clear, concise, and justifiable and that the recommendations that flow from the findings are practical and capable of being put into action.</p>

*Best practices in this table are taken from the OECD/PUMA Policy Brief "Best Practice Guidelines for Evaluation," May 1998.

The methodology to be used in carrying out the OPS3 study is based around six stages of analysis that encompass planning through execution of the study. The six stages are: agree, survey, plan, implement, review, and evolve.² While in its ideal form this methodology involves a sequential series of analytical stages, due to the nature of the work required for OPS3 and the time frame presented by the TOR, these six stages will be performed iteratively over the course of the project as described below.

²This methodology is based on ICF Consulting's ASPIRE® method for program evaluation.

3.2 Agree Stage

The OPS3 Team's methodology begins with the Agree stage, in which ICF and the GEF worked to clarify any potential ambiguities in and questions about:

- the research questions
- the focus and intent of the study
- the OPS3 study team
- the OPS3 project stakeholders
- the value expected from the OPS3 review

The OPS3 Team's key operational contact for OPS3 is GEF Office of Monitoring and Evaluation (GEFME). In the several weeks following program inception, the study team project management personnel and GEFME representatives held a series of meetings to develop consensus on the interpretation of the research questions provided in the TOR. The intent of the discussion was to resolve any ambiguities that might have been contained in the questions as stated in the TOR. A list of the refined questions is provided in Annex A. In addition to meetings with GEFME, the OPS3 team has already contacted and met GEF Secretariat and IA representatives to develop a better understanding of stakeholder expectations and perspectives.

3.3 Survey Stage

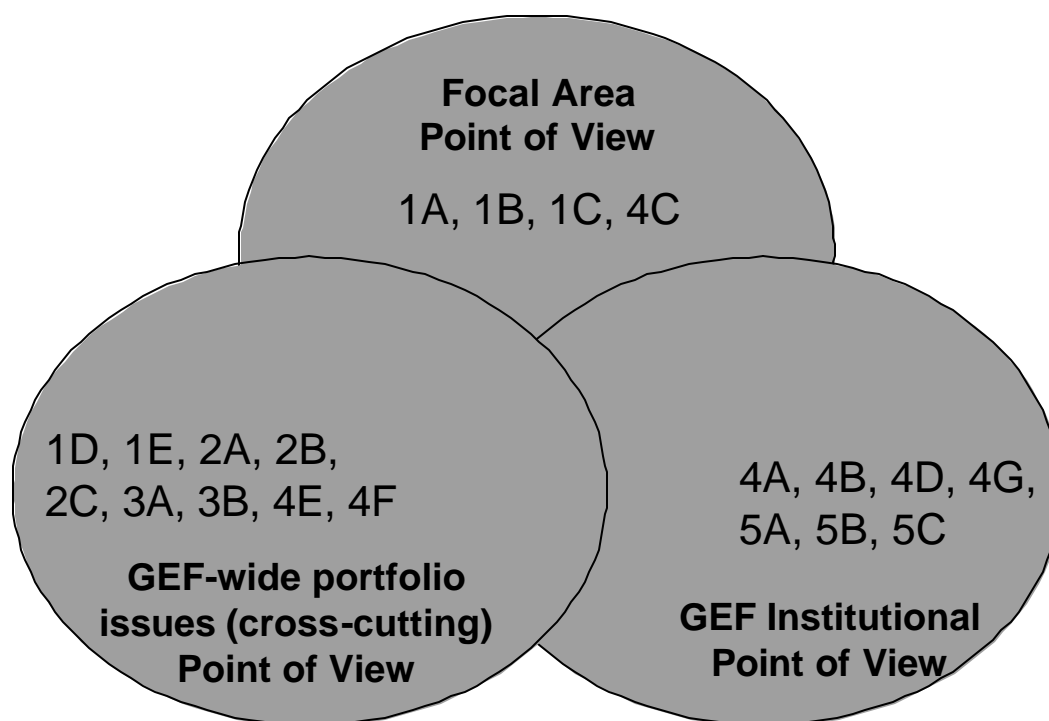
During the Survey stage, existing documentation, studies, and other analyses will be reviewed and analyzed as background to the development of specific Research Agendas (please see Section 3.4.2 for more detail), which will become key operational tools for conducting research to support the study.

3.3.1 Research Framework Development

To develop and support the implementation of the Research Agendas, the OPS3 study team has developed an overarching research framework. The framework is based around the five TOR study areas, but aggregates these areas and their constituent issues into three broad Points of View (POV) as the units of analysis to support the implementation of the study. These three POVs include:

- a) the focal area point of view, which includes each of the six GEF focal areas;
- b) the GEF enterprise-wide (or "cross-cutting") point of view, which includes questions concerning, *inter alia*, sustainability, contributions to global benefits, replicability, incremental cost, country-drivenness, the GEF's role as a catalytic institution, and similar issues that can be observed across the GEF's operations; and
- c) the GEF institutional point of view, which includes the effectiveness of the GEF's structure, roles, and responsibilities, and the core processes the GEF uses for conducting its work (e.g., project life cycles, lessons learned, M&E evaluation).

Within the OPS3 Team, principal Study Team members and supporting research staff are assigned to each of the six GEF focal areas, the crossing-cutting point of view, and the institutional point of view. Exhibit 3-2 shows the organization of the specific TOR questions by these POVs (note: TOR questions are represented in Exhibit 3-2 by the numbering scheme outlined in the TOR presented in the Purpose and Scope of Study section of this report).

Exhibit 3-2. Organization of TOR Questions by Points of View**3.3.2 Desk Study and Initial Contacts**

During the Survey task, the OPS3 Team received background presentations on the overall structure of the GEF and GEF activities (from various GEF entities), and on the context and findings from OPS 1 and OP2. The OPS3 Team received background presentations on GEF projects within the focal areas from members of the GEFME group and from members of the GEF Secretariat program staff. Additionally, the Team received and reviewed a large amount of documentation in the form of reports, analyses, datasets, and other information from the GEF and the IAs. Preliminary meetings were also conducted with the IAs. The Team collected information from scientists, researchers, and other sources for each of the five areas for study in order to help form a clear idea of the current state of the practice within the areas of study.

Each focal area lead, cross-cutting issues lead, and institutional issues lead has begun to assemble a library of materials for their specific point of view (POV). These libraries provide each of the three POVs with the necessary background on the work that has come before, particularly on the history of the GEF's performance and the overall evolution of learning within each point of view. These libraries of materials, which are being expanded as new critical documents are identified, will be itemized for each point of view in an Annex of the final report.

3.3.3 Evaluation Criteria Development

A preliminary list of indicators for use in the research process (see Section 2 in this report) was also developed. These indicators are key aspects of performance for each point of view that will be used by the OPS3 Team to evaluate GEF performance in the areas under analysis. The initial set of indicators listed in this Inception Report will

be refined through iterative review and on-the-ground experience in the coming weeks until the OPS3 Team is satisfied that the indicators succeed at the following: a) actually point to important aspects of GEF performance; and, b) point consistently to the same conclusions despite who is collecting the data and conducting the analysis.

3.3.4 Survey of Similar Institutions

As part of the Survey task, in preparation for answering TOR Question 4b, the OPS3 Team will conduct a review of evaluations of institutions similar to the GEF. The Team has selected the following three institutions from an initial list of 17 to conduct a comparison review:

- UNAID,
- IUCN (World Conservation Union), and
- The Global AIDS Fund.

As per clarification with the GEFME, due to the scope of the overall OPS3 study, and time and resources available, a key element of this comparison review will be the availability of appropriate information on the selected institutions that can be quickly gathered and processed (see Annex B for the complete methodology for selecting institutions). In addition to providing potential insights into how other organizations similar to the GEF consider cost-effectiveness and responsiveness (TOR question 4B), the lessons learned from this review may also be used to modify the list of indicators for the various points of view.

3.4 Planning Stage

At the same time the OPS3 Team is beginning to survey the existing background documentation, the **Plan** stage is also taking place. Planning for OPS3 is taking place on six levels (See Exhibit 3-3).

Exhibit 3-3. Planning for OPS3

INCEPTION REPORT DEVELOPMENT
RESEARCH AGENDA DEVELOPMENT
FIELD STUDY PROTOCOL DEVELOPMENT
COUNTRY VISIT SCHEDULING
GEF ENTITY VISIT SCHEDULING
OPS3 PLAN MAINTENACE

3.4.1 Inception Report Development

This Inception Report is the first level of planning. The Inception Report details the major areas of focus for OPS3, the basic methodological approach, and the initial work program for the Study. The Inception Report provides a foundation for agreement between the OPS3 Team and the GEF on the flow and schedule of events and analysis that will follow over the next six months.

3.4.2 Research Agenda Development

The second level of planning is the development of the specific "Research Agendas" for the three study points of view that will guide the field study portion of the data collection process. These Research Agendas are sets of issues, concerns, and questions that result from the preliminary review of materials in each area of concern (i.e., the focal area, cross-cutting, and institutional points of view). The OPS3 Team believes that although the objectives of the field visits are firmly established, the Research Agendas and the accompanying Field Study Protocol (discussed below) should be dynamic in nature and hence, allow the OPS3 Team to engage in continuous process improvement throughout the field study phase of the analysis. Therefore, the Inception Report provides a static snapshot of the guiding field visit documents, which, by design, will evolve throughout the duration of the study. The Research Agendas are provided in Annex C.

3.4.3 Field Study Protocol Development

Protocols for the field study aspect of the evaluation have also been developed. As required by the TOR, the OPS3 Team will be sending multidisciplinary teams into the field to visit with country, convention, program personnel, and other stakeholders. These protocols will provide consistency and reliability to the field study exercise. All OPS3 Field Team members will be rehearsed in the protocols and the Research Agendas prior to making their field visits. This will ensure that parallel information is solicited and that all relevant scope issues are covered.

For example, the protocols will instruct OPS3 Field Team members how and where to conduct field visits; guide members to adhere to the relevant Research Agenda, but to be flexible based on the stakeholders' roles and knowledge; discuss logistical coordination; and describe the roles of various OPS3 Team members. The Field Study Protocol is provided in Annex D.

3.4.4 Country Visit Scheduling

The fourth level of planning involves the scheduling of the field study trips. As input to this Inception Report, the OPS3 Team has selected a set of countries and projects to visit (see Annex E for the Country Selection Methodology). The scheduling of some of these visits is constrained by the global or regional meetings around which the visits are planned. Other visits are more flexible in terms of when the visit is made. A finalized calendar of country visits is included in Section 5.

3.4.5 GEF Entity Visit Scheduling

The fifth level of planning is the development of a schedule for any additional visits that may be required with GEF entities as part of the institutional point of view of the study. Some of these visits will occur as part of the scheduled country visits. However, the OPS3 Team assumes that additional visits will be required with the Implementing Agencies, the GEF Secretariat, the GEFME, the STAP, the NGO Network, Conventions, and perhaps others. Preliminary scoping meetings have already taken place between the OPS3 Team and the STAP and IAs.

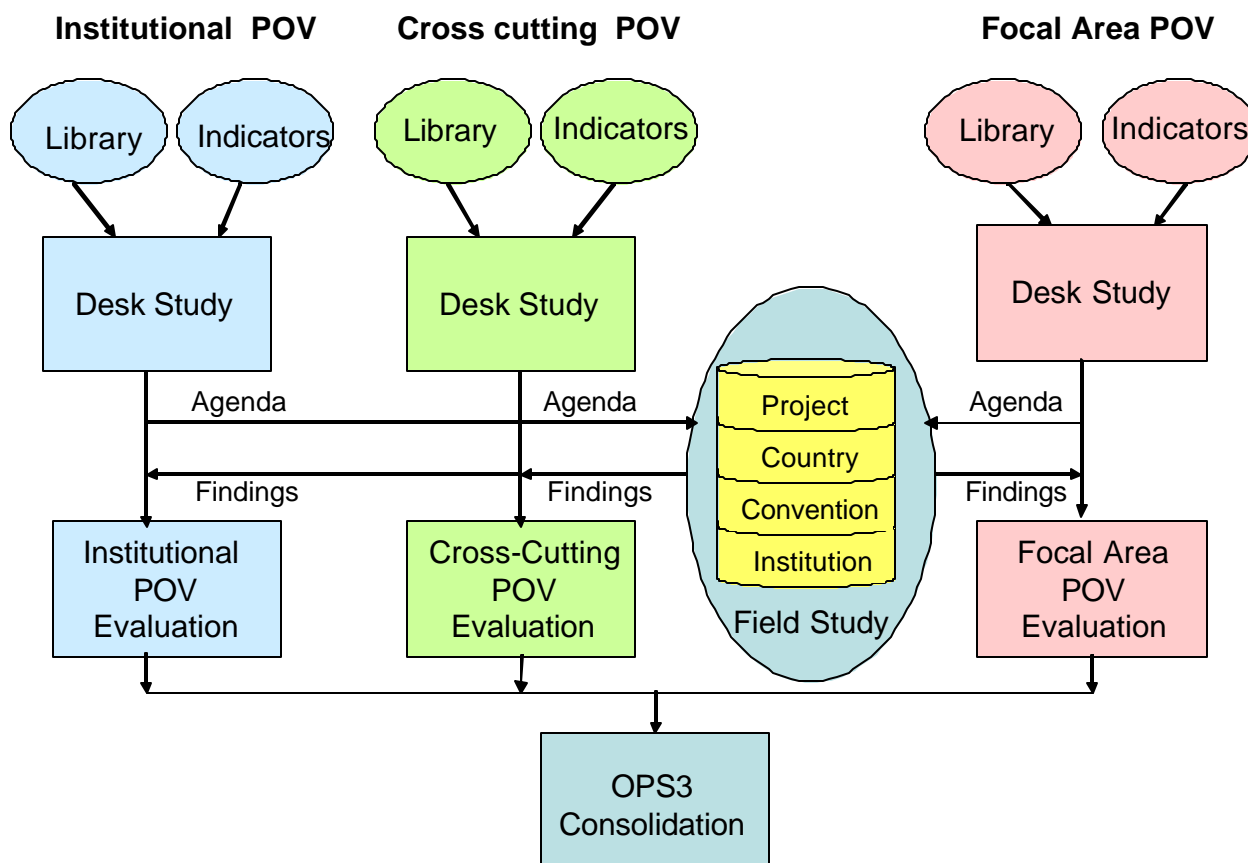
3.4.6 OPS3 Study Plan Maintenance

The final, ongoing level in the Plan task is the iterative maintenance of the overall project plan provided in the Inception Report. The OPS3 Team anticipates that because of the complexity of the logistical arrangements, the country visit schedule may be somewhat fluid. The iterative planning level will incorporate these changes and maintain an overall schedule (compared to the original baseline).

3.5 Implementation Stage

The **Implement** stage of OPS3 consists of a two-level data collection and analysis approach—a desk study and a field study which contribute to the evaluation of results from each point of view and finally to the overall OPS3 consolidation (See Exhibit 3-4). Through the desk study existing materials will be reviewed, and key information pertaining to the TOR will be identified as will the sources of these data. Input will be solicited from key stakeholders through direct consultation, country visits, and regional and international meetings during the stakeholder outreach process. Results from both the desk studies and the field studies will support the evaluation process for each point of view. The evaluation process will be organized around each of the TOR questions. This evaluation step will result in a draft of the OPS3 Team’s responses to each of the five broad TOR questions.

Exhibit 3-4. Two-level Data Collection and Analysis



3.5.1 Desk Study

For each point of view, the following structured approach to conducting the desk study will continue to be followed:

- (1) Focal area and POV teams review the Research Agendas for each POV.
- (2) Focal area leads identify a working list of potentially useful and relevant GEF (and other related) program evaluations and other documentation (the focal area 'library'). This will allow multiple reviewers to work from the same set of documents.
- (3) Each focal area and POV team conducts a careful reading and evaluation of the material to identify and code important study characteristics. (Coding is done according to the items on the Research Agenda.)
- (4) Teams develop a consolidated statement of findings from the literature reviewed for each focal area and POV.
- (5) Findings from each focal area and POV are reviewed with other teams to ascertain cross-cutting commonalities.
- (6) Teams review desk study findings based on field study results. (This step occurs after field study visits are complete.)
- (7) Teams report on findings and conclusions.

In conducting this desk study, the OPS3 Team will continue to work with the GEF focal area leads, the Office of Monitoring and Evaluation, the Implementing Agencies, and other key institutional stakeholders to identify and review key information relevant to addressing the TOR. It is envisioned that these sources will contribute to allowing the OPS3 Team to:

- Develop an initial understanding of GEF results across the focal areas;
- Develop additional background for supporting the Research Agendas;
- Develop a set of specific follow-up questions for use during interaction with key stakeholders; and
- Develop an increased understanding of the set of historical and/or existing issues facing the GEF and its performance over time.

The OPS3 Team will also continue to work with key institutional stakeholders to identify the most appropriate sources of available data and other information. These may include:

- Program review documents;
- Earlier OPS studies;
- GEF Council documents;
- Project documents;
- STAP documents;
- Implementing agency project- and program-level summary reports;
- Guidance and communications with the conventions; and

Other sources of information to be identified during the stakeholder outreach process.

3.5.2 Field Study

Since OPS3 intends to focus on the structure and performance of the GEF as a “results-producing” organization, now and especially in the future, the field study dimension of the Implement stage will be focused on clarifying any ambiguities and questions about performance-to-date and on discovering aspects of performance that could lead to new lessons learned or evolving directions for GEF involvement. The field visits may confirm previous studies as one by-product, but the present and future of the projects – rather than confirmation of the past – will be their primary focus. As previously mentioned, ICF does not intend to collect primary data in the field. Field study results will be reviewed by the OPS3 Team leads from the perspective of the three points of view (POV). The leads will work with each field study team to ensure consistency of the interpretation of the results from one field study and POV to the next.

On a parallel track to the ongoing desk study, the OPS3 Team will conduct a thorough process of stakeholder outreach, both as a continuing process of discovery, and to confirm or reinforce findings developed during the desk study.

3.5.3 Stakeholder Involvement

Comprehensive stakeholder consultation and involvement is a key component of OPS3. Through regional travel and directed meetings with key stakeholders, the OPS3 Team expects to have solicited input directly from a wide range of stakeholders critical to the GEF process. The Research Agendas (presented in Annex C) will guide these interviews by providing topic areas related to the OPS3 TOR to focus these important discussions. The range of stakeholders that the OPS3 Team plans to consult is presented in Exhibit 3-5.

To access and involve these stakeholders during the consultation process, the OPS3 Team will:

- Engage in direct consultation with certain stakeholders;
- Undertake country visits to meet with key local stakeholders; and
- Attend regional and international meetings to access a range of GEF participants.

These strategies are described in more detail below.

Direct Consultation

The OPS3 Team will make particular efforts to meet with several critical constituencies, including Implementing and Executing Agencies, GEF Secretariat, GEF Council, the GEF Office of Monitoring and Evaluation, STAP, Conventions, and the NGO Network. Of these stakeholders, some will be directly consulted on a periodic basis, as deemed necessary.

Country Visits

As outlined in the proposed country visit strategy (see Annex E: Country Selection and Methodology), the OPS3 Team plans to visit 12 countries to meet with key GEF constituencies participating in country-level GEF processes. These visits will complement the three Points of View (focal area, cross-cutting, and institutional) by providing a country-level perspective. These visits will include further direct consultations with:

- Political focal points;
- Operational focal points; and

- Project participants.

The OPS3 Team also plans to meet with local stakeholders such as indigenous peoples and micro-enterprises; however, such meetings will be to obtain narrative accounts of local perspectives, and are not intended to collect primary data from these local stakeholders.

Exhibit 3-5. Stakeholder Consultation Targets

<i>GEF</i>	
➤ GEF Secretariat	➤ STAP
➤ GEF Secretariat Focal Area leads	➤ Constituencies (recipient and donor countries)
➤ GEF Office of M&E	➤ GEF Council
<i>Conventions</i>	
➤ Stockholm Convention on Persistent Organic Pollutants	➤ Ozone Secretariat (Montreal Protocol and Vienna Convention)
➤ Convention on Climate Change	➤ UN Commission on Sustainable Development
➤ Convention to Combat Desertification	➤ Convention on Biological Diversity
<i>Implementing Agencies</i>	
➤ UNEP	➤ World Bank
➤ UNDP	
<i>Executing Agencies</i>	
➤ The Asian Development Bank	➤ FAO
➤ The Inter-American Development Bank	➤ UNIDO
➤ The European Bank for Reconstruction and Development	➤ The International Fund for Agricultural Development
➤ The African Development Bank	
<i>Bilateral Development Agencies</i>	
➤ Sweden	➤ Austria
➤ Switzerland	➤ France
➤ Germany	➤ Australia
➤ United States	➤ Others
<i>Private Sector</i>	
➤ IFC	➤ Others
➤ World Business Council	
<i>NGOs</i>	
➤ International NGOs	➤ Foundations
➤ Regional focal points	➤ Village organizations and other community-based groups
➤ Academic institutions	
<i>Country Level</i>	
➤ Political focal points	➤ Project participants
➤ Operational focal points	➤ Local stakeholders

International Meetings and Regional Workshops

The OPS3 Team plans to participate in a number of international meetings associated with the individual conventions, in addition to other meetings of key importance to the study. During these meetings, the Team will be able to access a range of key stakeholders targeted as part of the outreach strategy. The Team will have separate Research Agendas for the range of different stakeholders present at such meetings.

Additionally, the OPS3 Team will work with the GEF Office of Monitoring and Evaluation to convene and lead a series of Regional Workshops to gain access to key GEF national and local representatives. In order to deliver a comprehensive study that represents the views of key stakeholders in all regions, the OPS3 team plans to hold Regional Workshops in all eight World Bank regions, which it considers to be the best objective model for including all regional interests. These regional meetings will, whenever possible, be linked to other international meetings likely to include appropriate stakeholders, to facilitate greater participation.

Exhibit 3-6 presents the international and regional meetings in which the OPS3 Team currently anticipates participating.

Exhibit 3-6. List of International Meetings and Regional Workshops that the OPS3 Team Plans to Attend

<i>International Meetings and Regional Workshops</i>	<i>Location</i>	<i>Date</i>
International Waters Conference	Romania	9-15 November 2004
3 rd IUCN World Conservation Congress	Thailand	17-25 November 2004
East Asia and Pacific Regional Workshop	Thailand	November 2004
16 th Meeting of the Parties to the Montreal Protocol	Czech Republic	22-26 November 2004
Eastern Europe Regional Workshop	Czech Republic	25-26 November 2004
10 th Conference of the Parties to the UN Framework Convention on Climate Change	Argentina	6-17 December 2004
South America Regional Workshop	Argentina	December 2004
International Meeting for the ten-year review of the Barbados Programme of Action for the sustainable development of SIDS	Mauritius	10-14 January 2005
Anglophone Africa Regional Workshop	South Africa	January 2005
Middle East Regional Workshop	Egypt	January 2005
Central America and Caribbean Regional Workshop	Costa Rica	January 2005
Francophone Africa Regional Workshop	Burkina Faso	February 2005
Former Soviet Union Regional Workshop	Kazakhstan	February 2005
South Asia Regional Workshop	India	February 2005

3.5.4 Analysis of Findings

The analysis of study findings will consist of two principal steps:

Evaluation and Consolidation of Findings

Results from both the desk studies and the field studies will support the evaluation process for each point of view. The evaluation process will be organized around each of the TOR questions. This evaluation step will result in a draft of the OPS3 Team's responses to each of the five broad TOR questions. In particular, the OPS3 Team will analyze, aggregate, and synthesize secondary data across focal areas to provide a comprehensive assessment of the GEF.

These responses will then be fed into the OPS3 consolidation step. The consolidation step is more than simple assembly of the draft of the final document. Each of the three points of view (focal area specific, cross-cutting, and institutional) will provide insights into the present and future of the GEF. The consolidation step will begin with a review of the preliminary findings from each of the three points of view. From there, discussion will proceed to ways in which the three points of view can illuminate and strengthen each other.

Development of Findings and Recommendations

Once any changes from this consolidated review have been made in the individual TOR responses, the OPS3 study team will develop a consolidated set of observations and recommendations both for immediate and longer-term consideration by the GEF. Based on the review undertaken for each area of the TOR, the study team will develop several key assessment outputs:

- Key findings (i.e., observations linked to specific TOR questions, and presentation of key data points from the research);
- Strengths and weaknesses relating to the specific issue covered, including an evaluative statement of overall performance (specific evaluative metrics to be developed, where feasible, during the course of the study); and
- Specific, actionable recommendations for the GEF concerning the issue covered.

3.6 Review Stage

During the **Review** stage, the draft of the OPS3 document will be presented to the GEF and the High Level Review Panel. Upon receiving comments, the OPS3 Team will make changes as the Team deems appropriate. The executive summary for the document will be prepared and the final document will be presented to the GEF Council.

3.7 Evolve Stage

The final task in the OPS3 Team's evaluation methodology, **Evolve** is critical to the ongoing viability of the GEF as an effective mechanism for implementing the conventions. Institutional evolution – or actions taken in response to OPS3 recommendations – is necessarily the responsibility of the GEF and its supporting entities. This includes engaging with the series of steps and processes that the GEF must take in order to respond to findings and recommendations provided in the OPS3 study.

However, in addition to providing actionable recommendations for improvements to the GEF and its associated entities and processes, the OPS3 final report will provide a brief discussion of suggested steps for evaluating progress on OPS3 recommendations in the context of OPS4. These suggested inputs into the OPS4 planning process may be effective in setting the stage for the next step in the longitudinal study of the GEF as envisioned by the OPS3 Team.

4 ROLES AND RESPONSIBILITIES

4.1 Study Team: Roles and Responsibilities

The OPS3 Team brings together a group of seasoned professionals that contribute fresh perspective and strong experience in each of the six GEF focal areas plus capability in assessing the cross-cutting and institutional issues that will be required for the successful performance review of a multilateral funding mechanism. ICF's staffing

framework ensures that experienced technical experts in each of the GEF's focal areas are able to work alongside performance evaluation specialists to design and implement the study, and are supported by staff with cross-cutting expertise. The OPS3 Team leads, presented in Exhibit 4-1, are each supported by a team of mid-level and core staff, plus a network of regional experts that together will provide cost-effective, world-wide coverage for the Study. The roles of each Team Lead are described in more detail below.

Exhibit 4-1. Study Team Principal Members

<i>Name</i>	<i>Position</i>
Mark Wagner	<ul style="list-style-type: none"> ➤ Study Team Leader ➤ Ozone Team Lead ➤ Persistent Organic Pollutants Team Lead
Christopher Durney	<ul style="list-style-type: none"> ➤ Performance Evaluation Team Lead
Polly Quick	<ul style="list-style-type: none"> ➤ Cross-Cutting Team Lead
Walter Palmer	<ul style="list-style-type: none"> ➤ Land Degradation Team Lead
Will Gibson	<ul style="list-style-type: none"> ➤ International Waters Team Lead
Olga Varlamova	<ul style="list-style-type: none"> ➤ Biodiversity Team Lead
Abyd Karmali	<ul style="list-style-type: none"> ➤ Climate Change Team Lead

- Focal Area Teams

Each Focal Area Lead is supported by small teams of experts, organized into Focal Area Teams. These senior experts have substantial experience in their designated GEF focal areas, and will be available to assist in implementing the assessment effectively and expeditiously. In addition to examining issues at the operational program and focal area levels, these Focal Area Teams will also be called upon to gather and synthesize information from the cross-cutting and institutional Points of View (POVs).

- Cross-Cutting and Institutional Teams

Like the Focal Area Leads, the Cross-Cutting Lead and the Performance Evaluation Lead (responsible for the Institutional Team) are supported by small teams of experts in cross-cutting and institutional issues. These two Team Leads are responsible for coordinating the collection and processing of information for cross-cutting and institutional POVs, drawing not only on the Cross-Cutting and Institutional Teams, but on the Focal Area Teams as well.

The OPS3 Team also includes several staff with extensive expertise in assessing financial and economic issues associated with global environmental issues, to assist the Team in developing an assessment strategy, and evaluating assessment results. In addition, the OPS3 Team includes a statistical analysis specialist to assist in the development of a data collection strategy, and associated protocols, tools, and methodologies.

- Regional Support

Regional and in-country experts are critical to the success of the OPS3 Study. These experts will provide valuable local perspective and knowledge, in addition to contributing to the efficiency of the implementation process. The regional experts will be called on to prepare background materials for the Team Leads prior to country and project visits, as well as to participate in the visits and facilitate follow-up and additional on-site data collection. The regional staff may also be asked to survey local media to elucidate public opinion of GEF-funded activities and to review project-level participation.

The OPS3 Team's Regional Team includes:

- ◆ The Centre for Environment Education (CEE), a national institute involved in developing programmes and materials to heighten public awareness and understanding of environmental issues, headquartered in Ahmedabad, India;
- ◆ AFRICON, an international consultancy providing multi-disciplinary, professional services in engineering, infrastructure-related development and management, headquartered in South Africa, with additional offices in Angola, Bahrain, Botswana, Ethiopia, Lesotho, Malaysia, Mozambique, Namibia, Swaziland and Uganda; and
- ◆ The Mexican Institute of Water Technology (IMTA), an organization with extensive experience with numerous research, education, and training projects addressing sustainable water use and management.

In addition to these regional team members, the OPS3 Team will draw on ICF Consulting's international offices and full-time staff in Brazil, China, Russia, and the United Kingdom.

The regional support specialists in the OPS3 Team have experience working with ICF Consulting on previous assignments, which will help them to work effectively as part of the OPS3 Team. The Team reflects wide regional coverage gained through ICF Consulting's own international offices and international partners.

- Support and Research Staff

Recognizing the considerable demands of conducting such a large and complex study within a limited timeframe, the OPS3 Team also includes the participation of several research and support staff (also known as "core staff"). The core staff included in the OPS3 Team has firsthand experience conducting similar evaluations of multilateral development institutions, and is available to contribute to the Study in such activities as locating key documentation, coordinating field research, and conducting ad hoc research as required. Each of these staff also has a background in one or more of the GEF's focal areas.

4.2 Roles for the GEF Office of Monitoring and Evaluation to Support OPS3

Based on mutual agreement at the outset of the study, the role of the GEF Office of Monitoring and Evaluation (GEFME) will include the following:

- Facilitate the study as proposed in paragraph 18 of TORs of OPS3;
- Serve as the main contact between ICF and GEF family. GEFME should be informed about contacts between ICF and any member of the GEF family (in particular through monthly reports). This is strictly for informational purposes; the GEFME will only participate in meetings that ICF and GEFME deem necessary. Although the Director of the GEFME, Mr. Rob van den Berg, as well as the rest of the staff, will fully participate in OPS3 three staff members will be responsible for the day-to-day technical and administrative backstopping: Claudio Volonte, Josh Brann, and Juan Jose Portillo;
- Disseminate letters of introduction to GEF focal points in each country, to facilitate ICF contacts;
- Review firm's monthly progress reports and provide feedback. The GEFME will prepare progress reports to Council;
- Comment on all factual matters for OPS3 deliverables;
- Approve payments against deliverables;

- Coordinate logistics for regional workshops (the OPS3 Team will chair the meetings, prepare agenda, and identify participants and questions). GEFME will cover the travel and living expenses for the participants (not those coming on behalf of the OPS3 Team);
- Organize the initial briefing/introductory workshop in consultation with the OPS3 Team;
- Assist with the participation of the OPS3 Team at specific regional and global meetings: arrange for participating credentials, announce meetings, coordinate logistics;
- Assist the OPS3 Team with coordinating and planning field visits together with IAs. GEFME will make the initial contact with the government and identify IA representatives and projects in the country to be visited, but ICF will be responsible for selecting countries and projects and for developing research agendas. When absolutely necessary, GEFME will assist the OPS3 Team with obtaining visas;
- Provide project level information, particularly for on-going and completed projects, although the IAs will also have this responsibility;
- Create and manage an OPS3 website within the GEFME website presenting relevant OPS3 documents. A password protected FTP site will be created and managed by GEFME to facilitate exchange of documents between ICF and GEF family; and
- Develop TOR and solicit participation in the High Level Advisory Panel to support OPS3.

4.3 High Level Advisory Panel

A High Level Advisory Panel has been appointed to provide guidance to the OPS3 Team (the panel's Terms of Reference are presented in Annex G). Such a panel existed for OPS2 and such panels are the widely accepted practice internationally for this type of evaluation. The panel members should be highly qualified and recognized independent experts on evaluation practices and methodologies. These experts will advise the OPS3 Team in implementing an ambitious and wide-ranging evaluation in a relatively short time span.

To maintain its independence, the OPS3 Team will solicit input from the panel, but the final list of evaluation criteria, country visits, conclusions and recommendations will be determined based on the OPS3 Team's judgment. In brief, the panel's advice will be incorporated without interfering with the independence of the OPS3 Team.

5 WORK PLAN AND NEXT STEPS

As noted in Exhibit 5-1, the OPS3 Team delivered a draft Inception Report to the GEF Council on 15 October 2004, and, based on comments received, submitted the revised final Inception Report to the Council on 10 November 2004. Additionally, the OPS3 Team will give a presentation on the Inception Report to the GEF Council at its November meeting.

An Interim Report will be delivered to the Council on 31 January 2005, followed by the first draft of the OPS3 Report on 15 April 2005. After receiving comments on the draft report from the Council, the OPS3 Team will prepare and submit a revised Final Draft OPS3 Report to the Council by 20 May 2005. The OPS3 Team will present the OPS3 Report to the Council in early June, and based on comments received thereafter, will deliver a Final OPS3 Report on 30 June 2005.

Additionally, each month, the OPS3 Team will deliver a progress report to the GEFME describing the activities conducted by the Team in that month.

Exhibit 5-1 presents the comprehensive study implementation schedule for the OPS3 Team.

Exhibit 5-1. OPS3 Work Plan

<i>Activity</i>	<i>Date</i>
Conduct Desk Study	September 2004 - March 2005
Deliver Draft Inception Report	15 October 2004
Conduct Field Visits	October 2004 - March 2005
Deliver Final Inception Report	10 November 2004
OPS3 Presentation to NGO Consultations	16 November 2004
Inception Report Presentation to GEF Council	17 November 2004
Deliver Interim Report	31 January 2005
Synthesis of Findings	February – April 2005
Deliver First Draft of OPS3 Report	15 April 2005
Deliver Final Draft of OPS3 Report	20 May 2005
OPS3 Presentation to GEF Council	8-10 June 2005
Deliver Final OPS3 Report	30 June 2005

As indicated in the OPS3 Work Plan, the OPS3 Team plans to undertake the 13 trips between October 2004 and March 2005, which are presented in Annex E.

ANNEX A: CLARIFICATION OF OPS3 TERMS OF REFERENCE

The OPS3 Team has reviewed each of the TOR questions, and has interpreted many of them for clarification purposes. These interpreted TOR questions will serve as the OPS3 Team's working definitions of the TOR. The revised TOR language is provided in Section 3 of the Inception Report, together with indicators for each TOR question. The original TORs and the interpreted language are provided as follows:

TOR Question 1: Operational and Program Results

TOR Question 1A. What have been the quantitative and qualitative impacts and results of GEF activities at the local, regional and global level in the areas of biodiversity, climate change, international waters and ozone depletion?

- The OPS3 Team interprets the words "impacts and results" to "results" in order for results to be consistent with the definition of results provide in the original TOR.³ This change has been made because results are defined as outputs, outcomes, and impacts in the original TOR.

TOR Question 1B. If impacts and other results are not quantifiable, what are the reasons?

- The OPS3 Team interprets the words "impacts and results" to "results" in order for results to be consistent with the definition of results in the original TOR (see discussion for TOR Question 1A above).

TOR Question 1C. Do projects developed under the new focal areas of land degradation and persistent organic pollutants reflect global priorities?

- No interpretation required.

TOR Question 1D. What are the key factors that have contributed to the achievement of global environmental benefits?

- No interpretation required.

TOR Question 1E. Historically, how have GEF resources been allocated geographically and is this allocation consistent with strategic priorities?

- No interpretation required.

TOR Question 2: Sustainability of Results

TOR Question 2A. To what extent have desired global environmental benefits continued following completion of GEF projects?

- No interpretation required.

TOR Question 2B. What are the key factors that determine the sustainability of GEF projects?

³ Results are defined as the outputs, outcomes and impacts achieved by the implementation of projects and programs. These should include the assessment of both positive and negative outputs, outcomes and impacts that are both intended and unintended. (Transcribed from Footnote 2 of OPS3 TOR.)

- The OPS3 Team interprets this question to be asking about the sustainability of global environmental benefits, rather than sustainability of GEF projects.

TOR Question 2C. To what extent do country ownership, stakeholder involvement in project development and execution and the generation of local benefits improve the sustainability of activities supported through the GEF?

- The OPS3 Team interprets this question to be focused on sustainability of results, rather than on sustainability of activities.

TOR Question 3: Effects of GEF Operations on other institutions and related issues

TOR Question 3A. How successful has the GEF been in fulfilling its catalytic role by leveraging additional resources, catalyzing results by innovation, demonstration and replication, fostering international co-operation on environmental issues, mainstreaming environmental issues into partner institutions, and involving the private sector in both projects and co-financing?

- The OPS3 Team interprets this question to be focused on four distinct areas, including (1) leveraging additional resources from public and private sectors; (2) catalyzing results by innovation, demonstration and replication; (3) fostering international co-operation on environmental issues; (4) mainstreaming environmental issues into partner institutions. Based on additional discussion of scope in the Terms of Reference, the first and the last portions of this question were combined into item (1).

TOR Question 3B. What are the key areas that lead to catalytic impacts and what issues need to be addressed to improve catalytic impacts?

- The OPS3 Team interprets this question to be asking about key factors, rather than key areas.

TOR Question 4: Effects of GEF's Institutional Structure and Procedures on Results

TOR Question 4A. Are the GEF entities – the Implementing and Executing Agencies, the GEF Secretariat, the STAP and the Trustee - performing their respective functions in a satisfactory, cost-effective and responsive manner?

- No interpretation required.

TOR Question 4B. Are there conclusions that can be drawn with respect to cost-effectiveness and responsiveness of the GEF projects in comparison to similar international institutions?

- No interpretation required.

TOR Question 4C. Are GEF's policies and programs adequately responding to the objectives of the Conventions to which it serves as a financial mechanism?

- No interpretation required.

TOR Question 4D. Is the GEF's composition, structure and division of roles and responsibilities effective in meeting its mandate and operations?

- No interpretation required.

TOR Question 4E. Are the GEF Secretariat and its partner agencies effectively responding to national priorities?

- The OPS3 Team interprets this question to focus on the national priorities of recipient countries.

TOR Question 4F. Is the GEF taking into account the varying capacities of countries including for example small island developing states (SIDS), least developed countries (LDCs), emerging economies?

- The OPS3 Team interprets “emerging economies” to mean CEITs.

TOR Question 4G. How effective has the Monitoring and Evaluation (M&E) Unit been and how effective has the process of monitoring and evaluation been?

- No interpretation required.

TOR Question 5: Effects of GEF Implementation Processes

TOR Question 5A. What are the factors that influence performance at all stages of the GEF project cycle?

- No interpretation required.

TOR Question 5B. Have lessons learned and feedback been adequately integrated into project design and implementation?

- No interpretation required.

TOR Question 5C. What progress has been made on the implementation of key policy recommendations from Council?

- No interpretation required.

ANNEX B: METHODOLOGY FOR SELECTING INSTITUTIONS FOR COMPARISON TO THE GEF UNDER TOR 4B

TOR 4b asks the OPS3 team to determine whether conclusions can be drawn with respect to cost-effectiveness and responsiveness of the GEF projects from a comparison to similar international institutions. To determine which institutions should be selected for such a comparison, the OPS3 team considered the following factors:

- **Goals** of the institution. The institution should have a similar goal to at least one of the goals of the GEF.
- **Structure** of the institution. The institution should have a similar structure to that of the GEF.
- **Operations** of the institution. The institution should perform fund disbursement and activity management.
- **Maturity** of portfolios. The portfolio of the institution should be equal to or greater than 3 years.
- **Size** of institution. The institution should have a significant number of employees, stakeholders, and donor recipients.
- **Availability of recent evaluations.** The OPS3 is not expected to conduct original research on the other institutions under this TOR. Therefore, the institutions selected must have been through a significant evaluation since January 1, 2000.

The OPS3 team did not consider GEF Executing Agencies or other large international NGOs that hold a significant GEF portfolio.

Based on these factors, the OPS3 team developed a preliminary list of seventeen comparable institutions that were candidates for comparison to the GEF under TOR 4b. Table B-1 provides the full set of institutions considered.

Table B-1: Institutions Considered for Comparison under TOR 4b

➤ Global AID Fund	➤ European Union	➤ Moore Foundation
➤ Canadian International Development Agency	➤ FFEM (French GEF)	➤ Ford Foundation
➤ World Conservation Union	➤ Nature Conservancy	➤ Turner Foundation
➤ World Wide Fund for Nature	➤ Pew Charitable Trust	➤ Rockefeller Foundation
➤ UNAID	➤ MacArthur Foundation	➤ Swiss Bilateral
➤ GTZ (German Bilateral)	➤ Packard Foundation	

Only six of the seventeen institutions met the key criteria of having undergone a recent evaluation. These institutions included: The Global AIDS fund, Canadian International Development Agency, UNAID, World Conservation Union, and the World Wide Fund for Nature (previously known as the World Wildlife Fund).

In order to further refine the list of comparable institutions, the OPS3 team analyzed the scope of the recent evaluation(s) conducted for the institutions under consideration. OPS3 research found that the performance evaluations of three of the institutions were more comprehensive in scope than the other three evaluations, and included information required by the TOR on cost effectiveness and responsiveness.

The final three institutions selected for comparison were UNAID, IUCN (World Conservation Union), and Global AIDS Fund.

ANNEX C: RESEARCH AGENDAS

The Research Agendas are organized into the three Points of View: Focal Area, Cross-Cutting, and Institutional.

Focal Area Research Agenda

TOR 1a: What have been the quantitative and qualitative results of GEF activities at the local, regional and global level in the areas of biodiversity, climate change, international waters and ozone depletion?

- Projects completed since OPS2 or currently ongoing
- Outputs, outcomes and impacts achieved through implementation
- Positive and negative results
- Intended and unintended results

TOR 1b: If results are not quantifiable, what are the reasons?

- Potential key reasons for results from GEF activities/projects not identified or reported:
 - Too costly to track
 - Data too hard to obtain
 - Lack of understanding of the qualitative results
 - Inadequate project design
 - Inadequate baseline data
 - No channels/process in place to communicate the results
 - GEF not adequately structured to capture the quantitative or qualitative results in all areas
 - No consistent system in place for defining, capturing, and tracking consistent and well-defined results
- Main types of qualitative results typically achieved through GEF activities:
 - Development of legislation/regulatory framework
 - Undertaking public awareness campaigns and information dissemination
 - Etc.

TOR 1c. Do projects developed under the new focal areas of land degradation and persistent organic pollutants reflect global priorities?

- Implications for focal area designations versus OPs (OP15: "Operational Program on Sustainable Land Management," and OP14: "Draft Elements of an Operational Program for Reducing and Eliminating Releases of Persistent Organic Pollutants")
- Alignment of project goals, objectives, and projected outcomes with global priorities
- Alignment of GEF strategic priorities with the OPs

TOR 4c. Are GEF's policies and programs adequately responding to the objectives of the Conventions to which it serves as a financial mechanism?

NOTE: Will be answered largely by a desk study, but stakeholder perspective can enhance our analysis.

- Adequacy of interactions between the Conventions and the GEF
- Responsiveness of GEF to objectives of the Conventions
- Responsiveness of GEF to guidance from the Conventions
- Effectiveness of communications and information dissemination between GEF entities and the Conventions

Cross-Cutting Research Agenda

TOR 1d: What are the key factors that have contributed to the achievement of global environmental benefits?

- Potential common traits among successful projects:
 - Process traits (implementation plans, project strategies)
 - Capacity traits (institutional/political environment, staff strengths, etc.)
 - Intentional and unintentional key contributing factors
- Linkage between project goals and activities, and global environmental benefits:
 - Alignment of project goals with global (convention) priorities
 - Clarity of definition of global environmental benefits for each focal area
 - Clarity of interaction or linkages between local and global benefits
- Examples or projects that provide multiple benefits across more than one focal area:
 - Intentional and unintentional factors

TOR 1e. Historically, how have GEF resources been allocated geographically and is this allocation consistent with strategic priorities?

NOTE: Will be answered largely by a desk study, but stakeholder perspective on the allocation can enhance our quantitative analysis.

- Appropriateness/adequacy of the historical geographical allocation of GEF resources for all regions
- Distribution of resources across regions
- Consistency of historical allocation of GEF resources with strategic priorities since 2003
- Distribution of resources among priorities

TOR2a: To what extent have desired global environmental benefits continued following completion of GEF projects?

- Likelihood that project will bring global environmental benefits that will continue after project completion:
 - Tracking of environmental benefits

- Known environmental benefits
- Projection for sustainability

TOR2b: What are the key factors that determine the sustainability of GEF benefits?

- Factors that may be responsible for the continued realization of environmental benefits after completion of projects:
 - Projects address underlying causes of local environmental problems
 - Socio-cultural appropriateness
 - Market research/planning for promoted activities
 - Provision for post-project funding
 - Appropriate project timeframe
 - External factors (other projects, regional economy, institutions, laws)

TOR2c: To what extent do country ownership, stakeholder involvement in project development and execution and the generation of local benefits improve the sustainability of results supported through the GEF?

- Influences of country ownership, stakeholder involvement, and local benefits on the success or failure to attain sustainable global environmental benefits:
 - Country is driving the project
 - National legal and policy frameworks align with goals
 - Stakeholder acceptance/ownership
 - Improved livelihood opportunities
 - Incentives for local stakeholders

TOR 3a: How successful has the GEF been in fulfilling its catalytic role by (1) leveraging additional resources from public and private sectors; (2) catalyzing results by innovation, demonstration and replication; (3) fostering international co-operation on environmental issues; and (4) mainstreaming environmental issues into partner institutions.

- See topic areas under TOR 3b.

TOR 3b: What are the key factors that lead to catalytic impacts and what issues need to be addressed to improve catalytic impacts?

- Success of the GEF in the following areas, and contributing factors:
 - Replication
 - Fostering international cooperation on environmental issues
 - Leveraging resources from public and private sectors
 - Involvement of the private sector in projects and co-financing
 - Mainstreaming environmental issues into partner institutions
 - Gender issues
- For projects:
 - Occurrence or likelihood of replication

- Process for encouraging replicability? (Examples)
- Helpful or hindering factors
- Mechanisms for increasing replication
- Fostering of international environmental cooperation by projects
 - Process for encouraging international environmental cooperation? (Examples of cross-boundary communication/cooperation)
 - Helpful or hindering factors
 - Mechanisms for increasing international environmental cooperation
- Amount of leveraged resources project has or will bring in
 - Source of resources
 - Mechanisms for increasing leveraged resources
- For partner institutions:
 - Environmental priorities introduced by GEF projects. In particular:
 - Now involved in more projects that address environmental issues
 - Increased staffing devoted to environmental focal areas
 - Increased spending on environmental focal areas

TOR 4e: Are the GEF Secretariat and its partner agencies effectively responding to national priorities of recipient countries?

- Effective integration of national priorities into GEF activities:
 - Responsiveness of current projects to national priorities
 - Clarity of mechanisms/processes to solicit and incorporate priorities
 - Differences in approach among IAs
 - Importance of country focal point engagement

TOR 4f: Is the GEF taking into account the various capacities of countries including for example small island developing states (SIDS), least developed countries (LDCs), and CEITs?

NOTE: Will be answered largely by a desk study, but stakeholder perspective can enhance our analysis.

- Adequacy of attention to special needs of these countries in GEF:
 - Project selection
 - Approval
 - Implementation
- Lessons learned

Institutional Research Agenda

TOR 4a. Are the GEF entities – the Implementing and Executing Agencies, the GEF Secretariat, the STAP and the Trustee - performing their respective functions in a satisfactory, cost-effective and responsive manner?

- Processes, systems, people aligned to achieve objectives

- Structure and management approach allows smooth coordination of GEF activities
- Outcome-based strategic priorities, aligned with the mission, used in project selection and planning
- Project planning approach compares the estimated value of each project versus its projected cost
- Appropriate mix of process, achievement, and continuous improvement performance measures

TOR 4b. Are there conclusions that can be drawn with respect to cost-effectiveness and responsiveness of the GEF projects in comparison to similar international institutions?

NOTE: Will be answered largely by a desk study, but stakeholder perspective can enhance our analysis.

- Comparison of GEF projects to other international institutions:
 - Cost effectiveness
 - Responsiveness

TOR 4d. Is the GEF's composition, structure and division of roles and responsibilities effective in meeting its mandate and operations?

- Defined roles and responsibilities
- Common vision and effectiveness of working together
- Functional knowledge base, effective professional development program, and competent staff
- Effective rewards and performance measures
- Ownership and accountability to mission among staff
- Impact of level/quality of communication among GEF entities and stakeholders

TOR 4g. How effective has the Monitoring and Evaluation (M&E) Unit been and how effective has the process of monitoring and evaluation been?

NOTE: Will be answered largely by a desk study, but stakeholder perspective can enhance our analysis.

- Effectiveness of process of M&E
- Responsiveness of the GEF to specific concerns or suggestions from its stakeholders with regard to M&E (e.g., reorganization)
- Areas where the current M&E structure/functions/responsibilities are aligned or misaligned for best identifying and measuring appropriate indicators of performance of the GEF and its associated activities
- Specific evaluation of cross-cutting GEF goals (e.g., sustainability, replicability, leveraged resources)

TOR 5a: What are the factors that influence performance at all stages of the GEF project cycle?

- Factors that influence performance (both positives and barriers) during:
 - Project design and approval
 - Project implementation
 - Project monitoring and evaluation

TOR 5b: Have lessons learned and feedback been adequately integrated into project design and implementation?

- Evidence or examples of learning from one project or area that helped to improve another project's design or implementation
- Integration of feedback into project design or implementation processes

TOR 5c. What progress has been made on the implementation of key policy recommendations from Council?

NOTE: Will be answered largely by a desk study, but stakeholder perspective can enhance our analysis.

- Specific evidence at the entity level that policy recommendations have been carried out with:
 - Adequate attention
 - Resources

ANNEX D: OPS3 FIELD STUDY PROTOCOL

Purpose

This protocol provides guidance on conducting field visits. These field visits are a critical source of information for the OPS3 report.

Basic Structure

- There will be an M&E counterpart for each field study.
- Field study teams will generally consist of three members from the OPS3 Team: a focal area lead, a second mid-level member of the core team, and a member from a regional subcontractor.
- Each field study is under the guidance of the senior lead.
- Research Agendas (see Annex C) will be used to collect the required information.

Initial Schedule Development

- To initiate the process, the study team contacts the focal area leads and the M&E leads for the mission and begins the process of identifying the itinerary for the country visit.
- The country visit team leader contacts the appropriate GEF M&E counterpart to begin the development of logistics for the visit.
- Subjects of the field study will generally fall into one of five categories: institutional (GEF entity); convention related; country-level; program/project level; and independents (NGOs, academics, etc). Depending on the audience, slight adaptation of the research agenda questions may be required.
- Ensure that the M&E counterpart sends out the standard introductory information.

Pre-visit Briefing

- The pre-visit briefing takes place with the field study team and as many members of the core team as possible.
- The briefing takes place in the two weeks prior to the visit, either in person or by telephone.
- Specific information on persons to meet with and applicable aspects of the research agenda to be investigated are discussed. Discussion on differences in attendance and focus at convention meetings, regional workshops, country level meetings, program office meetings
- Logistical details are reviewed.
- The Research Agenda from each POV is reviewed with each POV lead in order to focus the Research Agenda for this specific visit.

For Each Discussion

- The introduction may be made by a number of people depending on the structure of the specific visit. However, once the introduction is made, OPS3 will lead the discussion, emphasizing independence.

- During each interview, two members of the OPS3 team should be present whenever possible. One person is primarily responsible for conducting the interview, the other takes notes.
- Describe to attendees the role of OPS3, providing context at appropriate level of understanding, and describe the essential steps of the OPS3 process.
- Discuss with the subject(s) how the information they provide will be used—stress confidentiality.
- During the discussion, stay flexible. React according to stakeholder role and knowledge. Use appropriate agenda and cover all areas.
- Ask for any existing data that can confirm insights.
- Plan for follow-up, should it be necessary.

Post-trip Reporting

- A post-trip report will be prepared by the Field Study team. Each report should be concise and cover salient points briefly.
- Use the post-trip report template.

ANNEX E: COUNTRY SELECTION AND METHODOLOGY

The OPS3 Team will undertake country visits to inform the evaluation process and assess the success of GEF projects at local and regional levels. The country visits will allow the OPS3 Team to collect information on issues that are difficult to measure quantitatively, such as indirect or collateral impacts inherent in biodiversity projects.

The remainder of this section details the method for country selection as follows:

- Section E.1 describes the development of the comprehensive list of potential countries;
- Section E.2 explains the criteria for country selection;
- Section E.3 addresses the development of a country selection matrix; and
- Section E.4 presents the process for developing proposed trip scenarios.

E.1 Development of the Comprehensive List of Potential Countries

The initial step in the country selection process was to develop a comprehensive list of all contenders for visitation. Countries were considered for inclusion based on recommendations from representatives from the GEF family or recommendation by members of the OPS3 Team, as well as a host of quantitative factors. The OPS3 Team based their recommendations on expert knowledge of focal areas, information gained from GEF documents, analysis of the GEF project database, and logistical assessment of proximity to key international meetings that will be attended as a part of OPS3. Exhibit E-1 provides the comprehensive list of countries that were considered for visitation as a part of OPS3.

Countries in the preliminary list of representative projects/programs were then ranked according to a methodology that focused on 11 criteria, organized into three general categories (Representative, Cross-Cutting, and Logistical), as described in further detail in the next section.

Exhibit E-1. Comprehensive List of Countries Considered for Visitation during OPS3

<i>Eastern Europe</i>			
➤ Croatia	➤ Czech Republic	➤ Georgia	➤ Kazakhstan
➤ Kyrgyzstan	➤ Macedonia	➤ Romania	➤ Russia
➤ Tajikistan	➤ Ukraine		
<i>Latin America and Caribbean</i>			
➤ Argentina	➤ Belize	➤ Bolivia	➤ Brazil
➤ Colombia	➤ Costa Rica	➤ Cuba	➤ Ecuador
➤ Mexico	➤ Paraguay	➤ Peru	➤ Uruguay
<i>Sub Saharan Africa</i>			
➤ Burundi	➤ Central African Republic	➤ Congo	➤ Cote d'Ivoire
➤ Ethiopia	➤ Kenya	➤ Madagascar	➤ Mauritius
➤ Nigeria	➤ Senegal	➤ South Africa	➤ Tanzania
➤ Uganda	➤ Burkina Faso		
<i>East Asia and Pacific</i>			
➤ China	➤ Indonesia	➤ Malaysia	➤ Mongolia
➤ Papua New Guinea	➤ Philippines	➤ Thailand	
<i>South Asia</i>			
➤ Bangladesh	➤ Bhutan	➤ India	➤ Pakistan
➤ Sri Lanka			
<i>Middle East and North Africa</i>			
➤ Tunisia	➤ Egypt	➤ Iraq	➤ Jordan
➤ Saudi Arabia	➤ Yemen		

E.2 Criteria for OPS3 Country Selection

In order to winnow the initial 53 countries down to 12 locations for visitation, such that the final countries are representative of the GEF portfolio, logistically effective and particularly significant, the following criteria were developed.

Representative Selection Criteria

- Focal area diversity in country portfolio. The objective of this criterion is to ensure that the selected countries will allow for learning in each of the focal areas.
- Number of projects in country portfolio. The objective of this criterion is to ensure that the selected countries have relatively significant GEF portfolios in terms of project number.
- Monetary significance of the country portfolio. The objective of this criterion is to ensure that the selected countries have relatively significant GEF portfolios in terms of project dollars.
- Maturity of a county portfolio. The objective of this criterion is to select a set of countries that represent the range of project maturity.
- Project scale. The objective of this criterion is to ensure that the set of countries selected allows for on the ground study of projects that are local, regional and global in scope.
- Global balance. This criterion categorizes each country into regions, as defined by the World Bank. The objective is to ensure that a balanced selection of countries is made from across all regions.

Cross-Cutting Criteria

- Notable Attributes. This criterion provides a means to consider unique attributes (such as a unique portfolio, exemplary leveraging of stakeholders, replication, capacity building, private sector participation, innovative approaches, and particularly successful or challenged projects) in the country selection process. Some of this information was determined by running queries on the GEF portfolio dataset; other information was gained from text sources and conversations with stakeholders.
- Recommendation for selection. This criterion captures recommendations for country selection by an OPS3 Team lead, or a representative of the GEF, an IA, or another stakeholder group. The objective is to give due merit to the fact/knowledge based recommendations of the parties to OPS3.
- Global priority. This criterion accounts for the potential disparity between countries in terms of the global significance of their GEF portfolio. The objective is to capture the extent to which global issues are intrinsic to a country and, therefore, its GEF portfolio.

Logistical Criteria

- Extent to which the country has been previously studied. Candidate countries are checked against the list the M&E Unit has provided to the OPS3 Team of countries that have been extensively studied. The objective is to ensure that countries which have been the subject of frequent or recent study will not be selected for visits during OPS3.
- Schedule effectiveness. This criterion provides information on the extent to which a given country is proximal to other locations that must be visited as a part of OPS3. The objective is to have a judicious inclusion of efficiency and cost effectiveness factors in the country selection process.

E.3 Country Selection Matrix

To facilitate country selection using the criteria described above, a matrix was developed that presented quantitative and qualitative information for each criterion and country. Countries were organized by region, and the selection process was conducted within each region, to take into account the global balance criterion.

The information on each country was then analyzed on several different levels to determine whether or not it was a priority country for OPS3. Countries with the following attributes were given extra weight:

- Countries exhibiting ecological importance and regional influence) and comparatively substantive GEF portfolios (in monetary terms as well as the number of projects);
- Countries with broad representation of the different focal areas;
- Countries with either notably mature or notably new portfolios;
- Countries participating in a relatively large number of regional and global projects; and
- Countries that had been recommended for consideration most often.

Additionally, countries that had been involved in recent and/or significant numbers of evaluations by GEFME were attributed lower priority. Finally, to help select among otherwise comparable countries in a region, the following two factors were considered:

- Notable attributes of certain countries; and
- The extent to which the visitation of a country was reasonably efficient within the context of the global meetings to be attended as a part of OPS3.

This process led to a priority list of 28 countries, which are listed in Exhibit E-2.

Exhibit E-2. List of Priority Countries for OPS3

<i>Eastern Europe</i>	
➤ Czech Republic	➤ Ukraine
➤ Russia	➤ Kazakhstan
<i>Sub-Saharan Africa</i>	
➤ Mauritius	➤ Ethiopia
➤ Uganda	➤ Kenya
➤ Burkina Faso	➤ Madagascar
➤ Tanzania	➤ South Africa
➤ Senegal	
<i>Middle East and North Africa</i>	
➤ Tunisia	➤ Egypt
➤ Yemen	
<i>South Asia</i>	
➤ India	➤ Sri Lanka
<i>East Asia and the Pacific</i>	
➤ China	➤ Indonesia
➤ Malaysia	➤ Thailand
➤ Philippines	
<i>Latin America and the Caribbean</i>	
➤ Argentina	➤ Costa Rica
➤ Cuba	➤ Brazil
➤ Peru	

E.4 Development of Trips

Given the number of countries the selection process determined to be priority for OPS3, the need to have regional consultation workshops, and the constrained time frame for this study, the OPS3 Team determined that trip scenarios must be planned based on schedule effectiveness and feasibility.

The priority countries identified in Exhibit E-2 were cross-walked with the following factors:

- Locations for international meetings identified in Exhibit 3-6 (e.g., the 10th UNFCCC COP in Argentina); and
- Possible locations for regional workshops identified in Exhibit 3-6 (e.g., the South America Regional Workshop will take place in a South American country, such as Argentina, Brazil, or Peru).

Using this matrix procedure, a preliminary set of 13 trips was identified that maximized schedule effectiveness and feasibility, as well as covered the requirements for country visits, regional consultation workshops, and attendance at key meetings. For example, a visit to Argentina is proposed because the South America Regional Workshop can be coordinated with the 10th COP to maximize the effectiveness of the trip.

In order to maximize the effectiveness of each trip, and to cover each of the three Points of View (focal area, cross-cutting, and institutional), the OPS3 Team members proposed that each trip cover a range of focal areas, as well as the other two POVs. It is important to keep in mind that OPS3 Team members that have a focal area specialty are

also responsible for gathering and reporting information on cross-cutting and institutional POVs. In particular, the Field Study Protocols and Research Agendas will guide OPS3 Team members during their field visits.

Exhibit E-3 details these 13 trips proposed by the OPS3 Team.

Exhibit E-3. Proposed OPS3 Travel Scenarios

<i>Trip #</i>	<i>Country</i>	<i>Date</i>	<i>Purpose (e.g., country visit, international meeting, regional workshop)</i>	<i>Attending OPS3 Team Members</i>
1	Nairobi	October 25-29	<ul style="list-style-type: none"> • UNEP/GEF Review Meeting • Global Projects overview • Country visit 	<ul style="list-style-type: none"> • Walt Palmer, Land Degradation Team Lead • David Hathaway, Ozone and Performance Evaluation Teams
	Tanzania	November 1-5	<ul style="list-style-type: none"> • Country visit 	
2	Romania	November 9 -15	<ul style="list-style-type: none"> • International Waters Conference 	<ul style="list-style-type: none"> • Will Gibson, International Waters Team Lead
	Thailand	November 17 - 23	<ul style="list-style-type: none"> • 3rd IUCN World Conservation Congress • East and Southeast Asia and Pacific Regional Workshop • Country visit 	<ul style="list-style-type: none"> • Johanna Kollar, International Waters, Land Degradation, and Biodiversity Teams
	Philippines	November 23 - 26	<ul style="list-style-type: none"> • Pemsea project office • Country visit 	
3	Czech Republic	November 21 -30	<ul style="list-style-type: none"> • 16th MOP • Eastern Europe Regional Workshop • Country visit 	<ul style="list-style-type: none"> • Mark Wagner, Study Team Lead, and Ozone and POPs Lead • Jessica Warren, Core Staff
4	Argentina	December 6-17	<ul style="list-style-type: none"> • 10th COP • South America Regional Workshop • Country visit 	<ul style="list-style-type: none"> • Abyd Karmali, Climate Change Team Lead • Marian Martin Van Pelt, Climate Change Team
5	China	December 6-10	<ul style="list-style-type: none"> • Country Visit 	<ul style="list-style-type: none"> • David Hathaway, Ozone and Performance Evaluation Teams
6	Mauritius	January 10 - 14	<ul style="list-style-type: none"> • International Meeting for the 10-year review of the Barbados Programme of Action for the sustainable development of SIDS • Country Visit 	<ul style="list-style-type: none"> • OPS3 Team Lead, TBD • OPS3 Team from AFRICON
	South Africa	January 14 - 18	<ul style="list-style-type: none"> • Anglophone Africa Regional Workshop • Country visit 	
7	Cuba	January 11-21	<ul style="list-style-type: none"> • Country visit 	<ul style="list-style-type: none"> • OPS3 Team Lead, TBD
	Costa Rica		<ul style="list-style-type: none"> • Central America and Caribbean Regional Workshop • Country visit 	<ul style="list-style-type: none"> • OPS3 Team from IMTA
8	Brazil	January 2005	<ul style="list-style-type: none"> • Country visit 	<ul style="list-style-type: none"> • Polly Quick, Sustainability Team Lead • ICF Brazil Office, TBD • OPS3 Team from IMTA
9	Egypt	January 2005	<ul style="list-style-type: none"> • Middle East Regional Workshop • Country visit 	<ul style="list-style-type: none"> • Abyd Karmali, Climate Change Team Lead • OPS3 Team from CEE
10	Russia	February 2005	<ul style="list-style-type: none"> • Country visit 	<ul style="list-style-type: none"> • Olga Varlamova, Biodiversity Team Lead • Polly Quick, Sustainability Team Lead
11	India	February 2005	<ul style="list-style-type: none"> • South Asia Regional Workshop • Country Visit 	<ul style="list-style-type: none"> • OPS3 Team Lead, TBD • OPS3 Team from CEE
12	Burkina Faso	February 2005	<ul style="list-style-type: none"> • Francophone Africa Regional Workshop • Country visit 	<ul style="list-style-type: none"> • OPS3 Team Lead, TBD • OPS3 Team from AFRICON
13	Kazakhstan	February 2005	<ul style="list-style-type: none"> • Former Soviet Union Regional Workshop • Country Visit 	<ul style="list-style-type: none"> • OPS3 Team Lead, TBD • OPS3 Team member

The countries that were included on the priority list (Exhibit E-2), but were not listed as countries that will be visited, will be given priority at the regional consultation workshops to which all relevant country representatives (GEF focal points, IA focal points, Council members, government officials) will be invited.

ANNEX F: PROPOSED ORGANIZATION OF THE OPS3 REPORT

ICF proposes the following preliminary organizational framework for the final OPS3 Report.

Executive Summary

- I. Introduction: Background (with Analysis of Context)**
 - a. Purpose and scope of the report
 - b. Conventions and the GEF Mandate
 - c. Historical context for OPS3
 - i. History of evaluations
 - ii. Longitudinal development of science and management
 - d. Roadmap to the Study
- II. Methodology**
 - a. Overview
 - b. Approach
- III. GEF Portfolio Overall**
 - a. Historically, how have GEF resources been allocated geographically?
 - b. Is this allocation consistent with strategic priorities? (1e)
- IV. Focal Area Portfolio Analysis**
 - a. Quantitative and qualitative results: (1a)
 - i. Biodiversity
 - ii. Climate change
 - iii. International waters
 - iv. Ozone depletion
 - b. If results are not quantitative, what are the reasons? (1b)
 - c. Do projects under the new focal areas of land degradation and POPs reflect global priorities? (1c)
 - d. What are the key factors that have contributed to the achievement of global environmental benefits? (1d)
 - e. Adequately responding to the objectives of the Conventions to which it serves as a financial mechanism? (4c).
- V. Sustainability**
 - a. To what extent have desired global environmental benefits continued following completion of GEF projects? (2a)
 - b. What are the key factors that determine the sustainability of GEF benefits? (2b)
 - c. To what extent do country ownership, stakeholder involvement in project development and execution, and the generation of local benefits improve the sustainability of results supported through the GEF? (2c)
- VI. Cross-cutting Factors Contributing to Global Environmental Benefits [entire GEF portfolio]**
 - a. How successful has the GEF been in fulfilling its catalytic role by: (3a)
 - i. Leveraging additional resources
 - ii. Catalyzing results by innovation, demonstration, and replication?
 - iii. Fostering international cooperation on environmental issues?

- iv. Mainstreaming environmental issues into partner institutions?
- v. Involving the private sector in both projects and co-financing?
- b. What are the key areas that lead to catalytic impacts and what issues need to be addressed to improve catalytic impacts? (3b)
- c. Historically, how have GEF resources been allocated geographically, and is this allocation consistent with strategic priorities? (3c)

VII. Effects of GEF's Institutional Structure and Procedures on Results

- a. Are the GEF entities – the Implementing and Executing Agencies, the GEF Secretariat, the STAP and the Trustee - performing their respective functions in a satisfactory, cost-effective and responsive manner? (4a)
- b. Are there conclusions that can be drawn with respect to cost-effectiveness and responsiveness of the GEF projects in comparison to similar international institutions? (4b)
- c. Is the GEF's composition, structure and division of roles and responsibilities effective in meeting its mandate and operations? (4d)
- d. Are the GEF Secretariat and its partner agencies effectively responding to national priorities of recipient countries? (4e)
- e. Is the GEF taking into account the varying capacities of countries including for example small island developing states (SIDS), least developed countries (LDCs), and countries with emerging economies? (4f)
- f. How effective has the Monitoring and Evaluation (OME) Unit been and how effective has the process of monitoring and evaluation been? (4g)

VIII. GEF procedures

- a. What are the factors that influence performance at all stages of the GEF project cycle? (5a)
- b. Have lessons learned and feedback been adequately integrated into project design and implementation? (5b)
- c. What progress has been made on the implementation of key policy recommendations from Council? (5c)

IX. Key Policy Issues

X. Lessons Learned

XI. Main Findings and Recommendations

Annex A: Clarification of OPS3 Terms of Reference

Annex B: Detailed methodology (including the country selection methodology as well as more detail on the overall method)

Annex C: High-Level Advisory Panel

Annex D: List of Interviews and Country Trips

Annex E: OPS1 and OPS2 Recommendations

Annex F: Lexicon

ANNEX G: TERMS OF REFERENCE FOR THE HIGH LEVEL ADVISORY PANEL

For the purpose of providing advice, comments and suggestions on OPS3, an external and independent high level advisory panel is established. The Panel (HLP) will base its advice on its own knowledge and expertise as well as on the terms of reference for OPS3 as agreed upon by the Council in its meeting of May 2004. Furthermore, given the independent status of the OPS3 team, the panel's advice may be accepted or rejected (in whole or in part) by the OPS3 team.

Panel members will not represent positions of their own institutions and will be excused if a conflict of interest appears.

The Panel will be administratively supported by the GEF Office of Monitoring and Evaluation and will report directly to this group, which is now managing the OPS3 process. This will further ensure the independence of the OPS3 team.

Comments and suggestions of the panel to the GEFME Office and ICF Consulting will be provided as a panel and not from each individual member, although a panel member may take a minority viewpoint if he or she deems that necessary. The GEFME Office will provide Panel's comments to Council in a summary fashion, together with summaries of all stakeholder comments.

The Panel will receive an honorarium for their work and will be reimbursed for travel expenses as necessary. During the first teleconference the Panel will discuss and agree on its TORs and work program as well as on the way the Panel will function. Council will also be consulted on the TORs before they are finalized.

The Panel will have to fulfill the following tasks.

1. Become familiar with GEF major documents and OPS3 Terms of Reference
2. Provide comments and suggestions to the OPS3 team and GEFME Office on the following products:
 - draft inception report
 - interim report
 - final draft report
 - methodological papers or other products of the review that the OPS3 team would like to submit to the advisory panel.

Work Program

October 8	Public Announcement of HLP
October 13 or 14	Teleconference: intro to GEF, OPS3, HLP TORs, work program
October 15	Inception Report due to GEF Council
October 22	Teleconference: discussion on inception report
October 29	comments on inception report to OPS3 and GEFME
November 10	Inception Report due to GEF Council

December 17	Teleconference to receive an update and progress by OPS3 and GEFME and discuss how the plan will provide comments on the interim report and first draft
January 20	Draft Interim Report to HLP
January 20-21	Meeting in DC, West Sussex (UK) or Gland (Switzerland): comments on interim report (comments due to OPS3 and GEFME by January 28)
January 31	Interim Report due to GEF Council
Week of March 21	Teleconference: update and progress by OPS3 and GEFME
April 15	First Draft Report due to GEF Council
May 9	Draft Final Draft Report to HLP
Week of May 9	Meeting in DC, West Sussex (UK) or Gland (Switzerland): comments on first draft report (comments due to OPS3 and GEFME by May 13)
May 20	Final OPS3 Draft Report to GEF Council