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EVALUATION OF PROGRAMMATIC APPROACHES IN THE GEF

VOLUME I – ANNEXES

(Prepared by the Independent Evaluation Office of the GEF)

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Evaluation of Programmatic Approaches in the GEF

Approach Paper

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Acronyms

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

Background

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

History of Programmatic Approaches in the GEF⁴

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Available Evaluative Evidence

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

13. A review of multi-country implementation mechanisms was conducted by the then-called GEF Monitoring and Evaluation Unit in 2000¹⁵, which focused on the international waters focal area.¹⁶ At that time, the GEF's history of multi-country programs was short and few projects were completed. Due to the complexity in multi-country programs and operations, the review suggested that the GEF could

https://www.thegef.org/gef/sites/thegef.org/files/documents/C.38.5.Rev_.1%20Streamlining%20the%20Project%20Cycle%20and%20Revising%20the%20Programmatic%20Approach%2C%20revised%2C%20July%2001%2C%202010.pdf

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

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

¹³ Ibid, p. 23.

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

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

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

develop from passive consultations toward proactive regional implementation and leadership under a programmatic framework. According to the review, a programmatic approach could provide a framework to harness comparative advantages of different implementing agencies as well as promote interactions among projects.

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

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

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

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

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

¹⁸ GEF Evaluation Office. *OPS4 Progress toward Impact (full report)*, April 2010, p. 63. https://www.thegef.org/gef/sites/thegef.org/files/documents/FULL%20REPORT OPS4%20Progress%20Toward%20Impact_0.pdf

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

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

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

20. Finally, the 2014 GEF Annual Performance Report (APR) highlighted the weak and incomplete monitoring, evaluation and general reporting on projects implemented under a programmatic approach.

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

²⁰ Ibid, p. xviii.

²¹ Ibid, p. 32.

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

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

²³ Ibid, p. 15.

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

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

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

GEF Agencies have been inconsistent in evaluating programmatic approaches and their child projects, leading to instances where:²⁶

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

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

Programs evolution, typologies and definitions

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

Table 1: Programs without PFD

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

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

²⁶ GEF Independent Evaluation Office. *GEF Annual Performance Report 2014 (Full Report Unedited)*, May 8, 2015, p. 56. https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20IEO%20-%20APR%202014%20Unedited%20Full%20Report_0.pdf

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

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

Table 2: Programs with PFD

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

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

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

Portfolio

26. As seen, programs can be defined in any of the categories described above, i.e. phased/tranched, parent/child, national/regional/global or single/multifocal. This evaluation classifies GEF programs according to the geographical focus of the parent program and the single versus multi focal area nature of child projects (Figure 1).³⁰ This straightforward classification gives prominence to

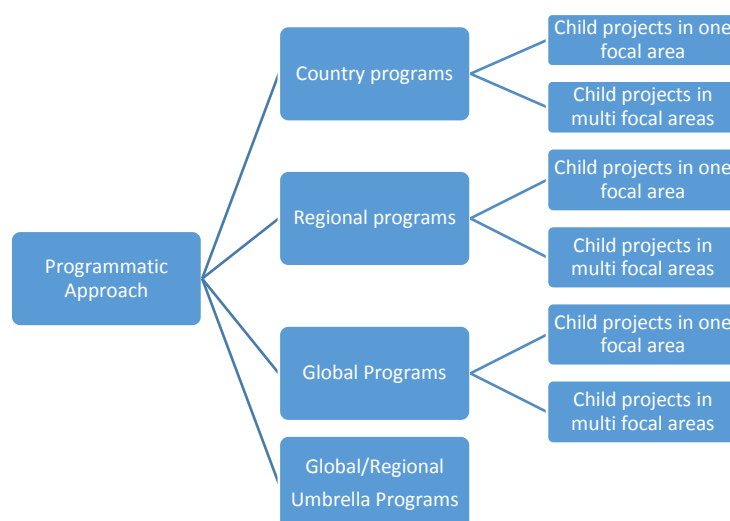
²⁸ The 2006 Council document *Rules, Procedures and Objective Criteria for Project Selection, Pipeline Management, Approval of Sub-Projects, and Cancellation Policy* (GEF/C.30/3), defines different types of GEF programs, including phased/tranched programs, Country Partnership Programs, Investment Funds,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

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

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

the technical rather than administrative nature of programs. It is also instrumental to understanding the evolution over time from country to multi-country, and from single to multi-focal programs in the GEF.

Figure 1: Program typologies



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

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

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

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

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

29. All of the post-PFD introduction multi focal area programs have biodiversity elements included in the respective PFD, and the large majority have climate change as well. International waters and land degradation elements are present roughly in half of them, while POPs is present only in one of them. The two most common focal area combinations are: (i) biodiversity, climate change (either mitigation, adaptation or both) and land degradation; and biodiversity, climate change (either mitigation,

adaptation or both), land degradation and sustainable forest management are in 4 out of 18 programs (Table 4).

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

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

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

Purpose, Objectives and Audience

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

31. The evaluation has the following three overarching objectives:

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

32. This evaluation will assess how well the GEF has supported countries in applying programs across all sectors. It will explicitly indicate the extent to which GEF programs were designed to address the drivers of environmental change, so as not to unfairly hold those activities to standards to which they were not designed to meet. It will serve accountability purposes while at the same time having a strong formative/learning approach through the provision of relevant evaluative evidence from the past to inform on implementation of the GEF 2020 Strategy, including the IAPs. It will aim at providing as

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

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

much as possible evaluative evidence on transformation of systems at scale through the program modality as compared to projects.

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

Scope, Issues, and Questions

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

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

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

Questions

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

Effectiveness and results

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

Relevance

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

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

Efficiency

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

Evaluation design

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

Methods

39. Methods and tools will include:

- (i) A documentation review of GEF policy and strategy documents, and program/child projects related documents, as well as additional literature on programs. These include: PFDs and related child Project Identification Forms (PIFs), Project Preparation Grants (PPGs) and/or other design documents; Project Implementation Reports (PIRs) and Mid-Term Reviews (MTRs); and Terminal Evaluations (TEs). The review will also draw on evaluation reports of other GEF Agencies on programs.
- (ii) A portfolio analysis of GEF programs and their related child projects. A database will be compiled including basic program information such as GEF activity cycle information, number and typology of child projects, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status. A *Program Review Template (PRT)* will be developed to assess the programs in a systematic manner for aggregation purposes, and ensure that key evaluation questions are addressed coherently.
- (iii) A meta-analysis of available evaluations of pre-PFD programs, aiming at providing an historical perspective on the development of the concept of programmatic approaches in the GEF starting from the initial analysis contained in this approach paper. The meta-analysis will also aggregate the evaluative evidence on broader scale and longer term results contained in evaluation reports on pre-PFD programs;
- (iv) A Broader Adoption / Progress to Impact (P2I) desk analysis based on the GEF Generic Theory of Change Framework³³ will be conducted using the available TEs, regrouped by program, to aggregate the available evidence on broader scale and longer term results;
- (v) A limited number of P2I Case Studies using Geographic Information Systems (GIS)/Remote Sensing (using a specific set of environmental indicators) and field verifications on a purposive

³³ Ibid, p. 47-50.

selection of geographic ecosystems in which programs are being and/or have been implemented. Some of these will be conducted in synergy with the Evaluation of Multiple Benefits in the GEF;

- (vi) A limited number of Rapid Impact Evaluation (RIE) case studies³⁴ on a selection of those mature programs (country and/or regional) on which GIS/Remote Sensing observations cannot be made and a clear counterfactual is not easily identifiable (i.e. energy efficiency in buildings and in the industrial sector);
- (vii) A quality-at-entry study with an objectives mapping exercise to assess the coherence between parent and child project objectives, taking the OPS4 Review of the post-PFD programs (§ 16) as the starting point;
- (viii) A crisp-set Qualitative Comparative Analysis (QCA) on countries participating in a selection of programs to assess ownership factors/conditions influencing the program relevance to national priorities and policies and the ultimate attainment of program results;
- (ix) A cost-effectiveness analysis of umbrella programs, comparing costs and time taken to design, approve and deliver such programs and related child projects with the second best available alternative, i.e. project-by-project;
- (x) A social network analysis on a purposive selection of programs to assess the soundness and functioning of program governance, institutional and management arrangements. The analysis will cross-check evidence from different sources, and use both qualitative and quantitative information.³⁵

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

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

Process

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

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

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

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

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

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

Quality assurance

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

Limitations

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

Expected Outputs and Dissemination

46. A concise progress report will be produced at the GEF Council meeting in October 2016.

47. Additional analyses will be identified and conducted to refine the findings and lead to the final report to Council in June 2017, which will include a concise set of conclusions and recommendations. These will be incorporated in the SAER of June 2017. The full report will be uploaded as a Council information document. It will be distributed to the Council members, GEF Secretariat, STAP, GEF country focal points and GEF Agency staff.

48. A graphically edited version will be published as open access on the Office's website and distributed through email. A 20-page infographic summary and a two-page signpost will also be produced. A detailed dissemination plan will be prepared and implemented, which will include distribution of the above mentioned outputs in the main evaluation networks through existing IEO mailing lists as well as mailing lists of audience and stakeholders that will be developed during the

conduct of the evaluation. The plan will also consider concrete opportunities to present the evaluation through webinars as well as at evaluation conferences and workshops.

Resources

Timetable

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

Table 5: Timetable

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

Team and skills mix

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

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

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

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Appendix 1 – Evaluation Conceptual Framework and Evaluation Matrix

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

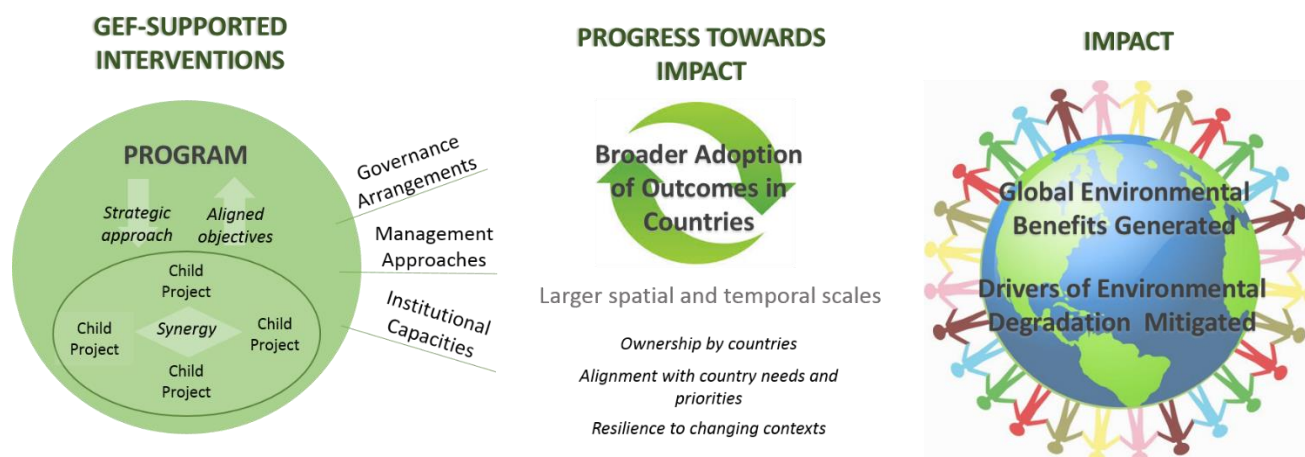


Figure 1: Generic Theory of Change for GEF Programs

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

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

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

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

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

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

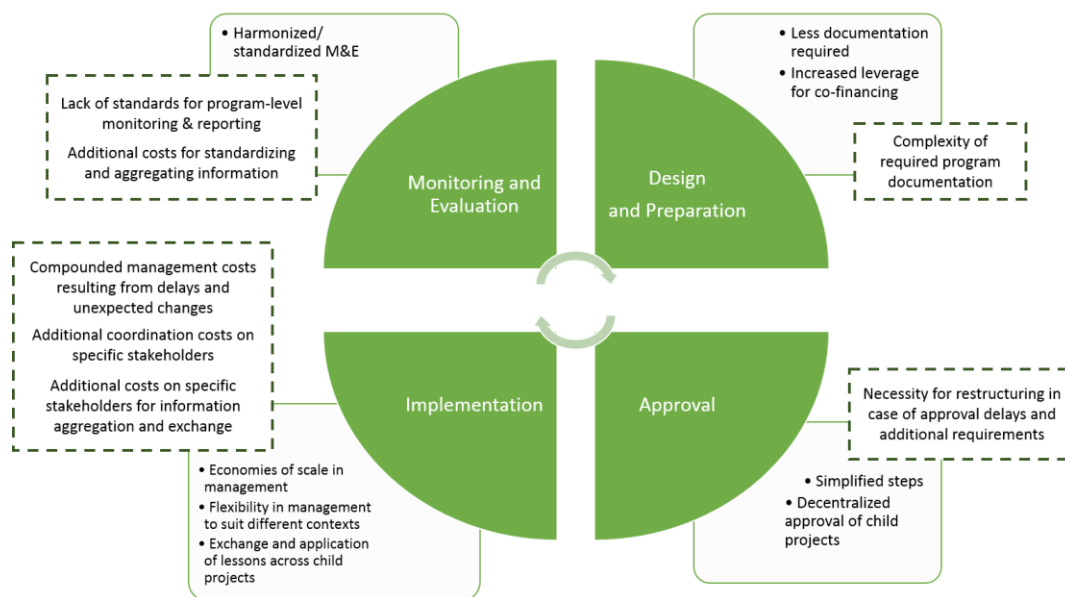


Figure 2: Advantages and limitations of GEF Programs at different stages of the GEF Activity Cycle

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

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

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

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

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

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

	baselines, monitoring activities and adequate budget	M&E reports (PIRs, MTRs, TEs, TE reviews)		
b) To what extent have the governance, management arrangements and coordination influenced the performance of GEF programs?	Centrality and network density, to be compared for different programs and “correlated” with their outcomes	PFDs GEF Agencies and national stakeholders	Social network analysis Interviews	GEFF IEO’s QCA Expert and Evaluator
	Comparing time, costs and functioning patterns of coordination mechanisms of different ongoing programs by typology (single vs multifocal area, regional vs country, etc.)	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants
		Regional stakeholders (i.e. UNDP Regional Technical Advisers), program meeting minutes, etc.	Social network analysis Interviews	Senior Consultant
		Country stakeholders Available program coordination meeting minutes	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study Consultants
	Availability and level of funding for coordination support at parent level	PFDs and child project PIFs/PPGs M&E reports (PIRs, MTRs, TEs, TE reviews) Central and country level stakeholders	Documentation review Interviews	GEF IEO’s Research Assistants Senior Consultant
	Level and type of participation/engagement in program coordination in different ongoing programs by typology (single vs multifocal area, regional vs country, etc.)	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants
		Country stakeholders Available program coordination meeting minutes	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant Case Study Consultants
	Cross-referencing in program and child project reports of results of coordination	M&E reports (PIRs, MTRs, TEs, TE reviews)	Documentation review	GEF IEO’s Research Assistants
	Frequency and quality of communication and technical support between program and child project teams	Program stakeholders, meeting minutes, etc.	Documentation review Interviews	Senior Consultant
c) What role did M&E play in programs adaptive management for the attainment of expected outcomes and impacts?	Existence and quality of elements of guidance on program level M&E	Council documents GEF IEO M&E Policy PFDs Available program level TEs	Documentation review	GEF IEO’s Research Assistants
	Design and implementation of roles and responsibilities for gathering/reporting/sharing monitoring information	PFDs and child project PIFs/PPGs		GEF IEO’s Research Assistants
		Central, regional and country level stakeholders	Interviews Field visits and other country-level data collection during the P2I case studies missions	Senior Consultant, Case Study consultants
	Existence of a harmonized and adequately budgeted program-level M&E framework design and coherence with child projects M&E design	PFDs and child project PIFs/PPGs	Documentation review	GEF IEO’s Research Assistants

	Number, type and quality of post-2008 program and child project M&E reporting	APR 2015 desk-based survey, M&E reports (PIRs, MTRs, TEs, TE reviews)		
	Evidence of adaptive management (i.e. changes at mid-term)	Available MTRs		
	Appropriateness of indicators (e.g. SMART)	M&E reports (PIRs, MTRs, TEs, TE reviews)		
	Types of M&E information used/acknowledgement of usefulness	Global, regional and country level stakeholders	Interviews Online survey	Senior Consultant TTL GEF IEO's Research Assistants

Appendix 2 – Sequencing of major Council documents

1995-1998	1999-2002	2003-2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
▲ GEF/C.7/4, Secretariat Note on Operational Policy and Programmatic Analysis											
▲ GEF/C.14/9, Corporate Business Plan (The Council supported in principle the proposed evolution of GEF support to recipient countries through a more programmatic approach)											
■ GEF/C.17/Inf.11, The GEF Programmatic Approach: Current Understandings											
▲ GEF/C.30/3, Rules, Procedures and Objective Criteria for Project Selection, Pipeline Management, Approval of Sub-Projects, and Cancellation Policy (Council agrees to the proposed policies and procedures that apply to the approval of sub-projects in larger GEF projects/programs, including tranching projects, phased projects, international waters investment funds, Country Partnership Programs (CPPs), umbrella projects)											
▲ GEF/C.31/7/Rev1, GEF Project Cycle (Council approves the revised project cycle for immediate application)											
▲ GEF/C.33/6, From Projects to Programs: Clarifying the Programmatic Approach in the GEF Portfolio (Council endorses the objectives and basic principles for programmatic approaches and considers programmatic approaches to support more effectively the sustainable development agenda of developing countries and countries with economies in transition. Council also approves the procedures for developing specific Programs using a programmatic approach, including the use of the template for presenting the summary of a Program through a Program Framework Document (PFD))											
■ GEF/C.34/Inf.4, Management of the GEF Project Cycle Operation: A Review											
■ GEF policy paper: Policies and Procedure for the GEF Project Cycle											
■ GEF/C.36/Inf.6, Information Document on Programmatic Approaches led by the World Bank in West and Central Africa											
■ Adding Value and Promoting Higher Impact through the GEF's Programmatic Approach (Definition of three types of GEF program efforts in terms of their scope: thematic, regional, and country-based)											
▲ GEF/C.38/05/Rev/1, Streamlining the Project Cycle & Refining the Programmatic (Council agrees with the two types of GEF programmatic approaches: introducing program coordination agency; streamlining projects approval by delegating it to qualified GEF Agencies)											
■ GEF/C.39/Inf.03, GEF Project and Programmatic Approach Cycles Definition of two types of GEF programmatic approaches: Qualifying GEF Agency (QGA) and Program Coordination Agency (PCA))											
▲ GEF/C.43/06, Streamlining of Project Cycle (Council welcomes the introduction and supports the streamlining measures)											
▲ GEF/C.45/04, Progress Report on GEF Project Cycle Streamlining Measures (Council acknowledges progress on the implementation of GEF Project Cycle streamlining measures, and the status on project cycle effectiveness indicators)											
■ GEF/C.46/Inf.13, Progress Report on the GEF Project Cycle Streamlining and Harmonization Process											
▲ GEF/C.47/07, Improving the GEF Project Cycle (Council approves a revised Programmatic Approach modality - thematic programs and geographic programs)											
▲ GEF/C.48/08/Rev.01, Work Program for GEF Trust Fund (Council approves a work program comprising 35 project concepts and five programmatic approaches)											

LEGENDA:

- ▲ Working Document
- Information Document
- Publication, GEF Policy Paper
- Influence of Working Document on Programmatic Approach Modalities
- Influence of Working Document on Project Cycle
- Influence of information Document

Appendix 3 – Portfolio

Phased/Tranched Programs

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

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

Source: PMIS

Programs without PFD

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

Source: PMIS

Programs with PFD

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

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

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

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

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

Annex 2

Methods and Tools

Introduction

1. The evaluation was undertaken applying a mixed-methods approach, encompassing a number of quantitative as well as qualitative methods and tools. The broad range of methods applied allowed to systematically assess issues related to GEF programs' effectiveness in achieving global environmental benefits (i.e. outcomes and broad scale, long term impacts to the extent possible) as well as addressing drivers of environmental degradation. In addition to those core questions, program efficiency issues such as program design, governance and management arrangements, coordination and M&E were also explored.

Methods

2. Data were collected through several complimentary methods and tools. These included:
- (i) A documentation review of GEF policy and strategy documents, and program/child projects related documents, as well as additional literature on programs. These included: Program Framework Documents (PFDs) and related child Project Identification Forms (PIFs), Project Preparation Grants (PPGs) and/or other design documents; Project Implementation Reports (PIRs); Mid-Term Reviews (MTRs); and Terminal Evaluations (TEs). The review also drew on evaluation reports of other GEF Agencies on programs;
 - (ii) A portfolio analysis of GEF programs and their related child projects. A database including basic program information such as GEF activity cycle information, number and typology of child projects, financing (including co-financing), implementing institutions involved, themes, countries, main objectives, key partners, and implementation status was developed to assess programs in a systematic manner for aggregation purposes, and ensure that key evaluation questions are addressed coherently;
 - (iii) A meta-analysis of available evaluations of pre-PFD programs provided a historical perspective on the development of the concept of programmatic approaches in the GEF (Appendix 1). The meta-analysis aggregated the evaluative evidence on broader scale and longer term results contained in evaluation reports on pre-PFD programs;
 - (iv) A Broader Adoption / Progress to Impact (P2I) desk analysis based on the GEF Generic Theory of Change Framework⁴⁰ was conducted on child projects belonging to post-2008 programs using the available TEs to provide evidence on broader scale and longer term results;
 - (v) Three in-depth program Progress to Impact (P2I) Case Studies that involved visits to China, India, Jordan, Tunisia and Morocco (Appendix 2). Case study data were collected through interviews, focus group meetings, documentation review and direct field observations during visits to project sites. Geospatial data and coordinates were collected in project offices where available as well as while traveling to project sites (through GPS tracking). These were used for geospatial impact analysis using a specific set of environmental indicators. The country visit in China was conducted in synergy with the Evaluation of Multiple Benefits in the GEF;

⁴⁰ GEF Independent Evaluation Office. *Fifth Overall Performance Study of the GEF, Final Report*, 2014, p. 47-50.

- (vi) A Rapid Impact Evaluation (RIE) case study⁴¹, conducted on the Reducing Industry's Carbon Footprint in South East Asia program (Appendix 3). This case study involved a visit to the program lead Agency (UNIDO) at its headquarters in Vienna, and country visits to Vietnam and Indonesia. This case study had the same purpose of the other three, namely to assess the program results in terms of achieved GEBs. The impossibility to gather data on environmental change for geospatial impact analysis was the reason for choosing the RIE methodology;
- (vii) A geospatial impact analysis examined the impact of programs along indicators to capture fluctuations in natural capital: (i) forest cover change and (ii) vegetative productivity (Appendix 4). This analysis, conducted in collaboration with AidData, assessed how GEF projects delivered under the program modality have compared to stand-alone modalities;
- (viii) A quality-at-entry study assessed the coherence between parent and child project objectives;
- (ix) A cost-effectiveness analysis of programs, comparing administrative requirements, costs and time taken to design, approve and deliver such programs and related child projects with the stand-alone projects;
- (x) Central level interviews were conducted with a limited number of key partners in the GEF Secretariat and GEF Agencies involved. Interviews covered in-depth several topics, gathering key stakeholder perceptions on broader and longer term results, drivers of environmental change, institutional/management arrangements, ownership, program parent/child coherence, and M&E, among others;
- (xi) A stakeholder online survey, administered to country-level program and child project stakeholders, i.e. those who have either been or still are involved in those programs and child projects in the countries. An initial list was provided by the GEF Agencies involved in the 38 programs. The list was complemented with stakeholders identified through field visits for the four program case studies;

3. Triangulation of the information and qualitative as well as quantitative data collected was conducted at completion of the data analysis and gathering phase, determining trends and identifying main findings as well as any eventual data inconsistencies that needed to be addressed. More details on some of the methods and analyses conducted are reported in appendix.

⁴¹ Rowe, A. *Introducing Rapid Impact Evaluation (RIE) and Associated Concepts. The Scenario-Based Counterfactual and Simplified Measurement of Effects - Expert Lecture*. 35th Evaluation Conference, Canadian Evaluation Society, June 2014. http://evaluationcanada.ca/distribution/20130618_rowe_andy.pdf

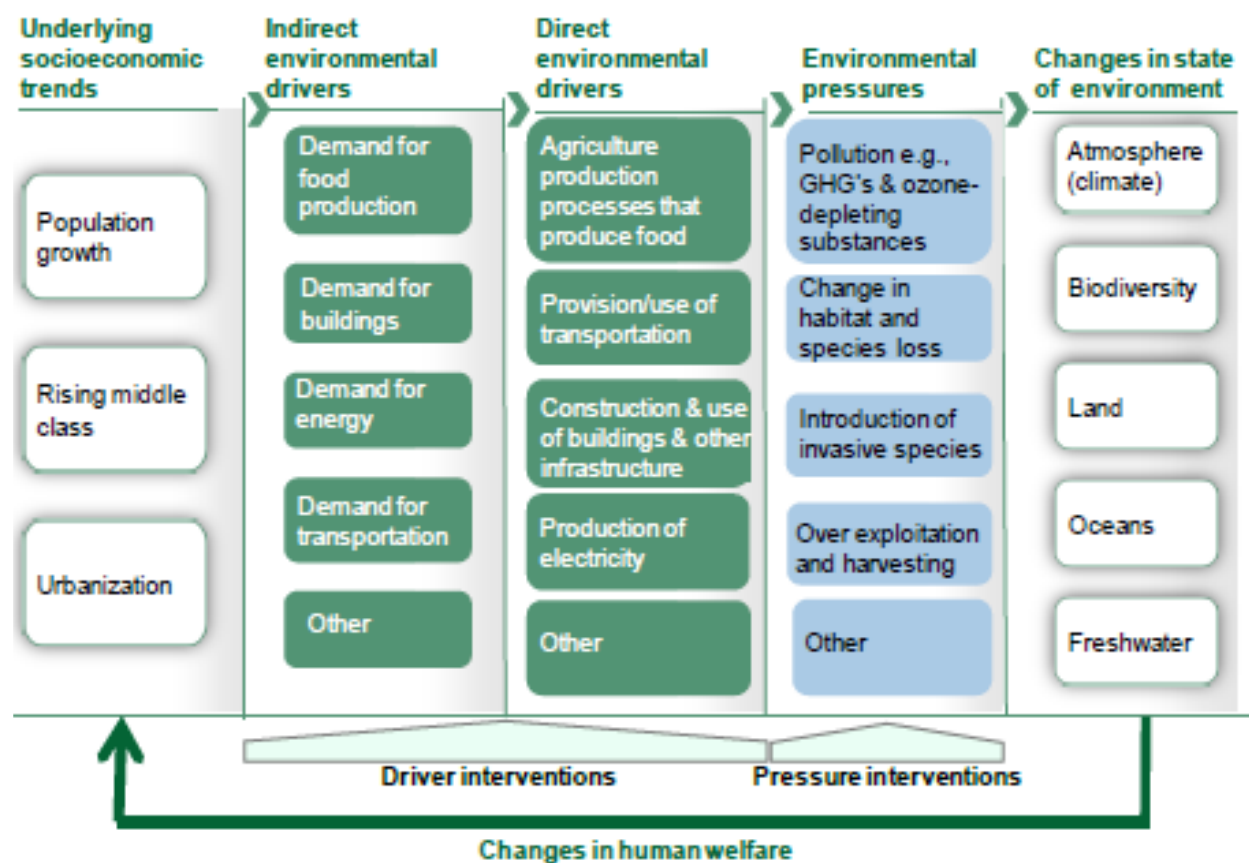
Appendix 1 – Meta-analysis

Background

1. The meta-analysis covered all available evaluation reports of GEF pre-PFD programs.⁴² The meta-analysis aimed at: (i) Providing an historical perspective on the development of the concept of programmatic approaches in the GEF, and (ii) Identifying common trends and aggregating the available evaluative evidence on broader scale and longer term results contained in evaluation reports on GEF pre-PFD programs.

2. The meta-analysis also looked retrospectively at any available evidence on drivers of environmental degradation, as they have been defined in the GEF2020 Strategy. Although addressing drivers is not new in the GEF, drivers had to be looked at retrospectively, as the concept has been introduced in GEF-6. The GEF2020 Strategy indicates four major socio-economic drivers of environmental degradation, divided in demand (indirect drivers) and supply (direct drivers) for the food production, buildings, transportation, and energy sectors.⁴³

The causal chain of environmental change



⁴² These were most of the times identified as projects in PMIS, as before May 2008 the program modality was not official. Many were phased/trenched ones. As such they were subject of Terminal Evaluations.

⁴³ https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.C.46.10.Rev_.01_GEF2020_-_Strategy_for_the_GEF.pdf

Meta-analysis Template

Evaluation type (<i>Project, Program, Thematic, Corporate, other</i>):	
Title:	Date:
Period covered:	PA-dedicated amount (\$000): ⁴⁴
Country(ies)/Region(s)/Ecosystems covered:	

A1. Effectiveness/Results: *To what extent have the different typologies of GEF pre-PFD programs delivered the intended results in terms of broader scale and longer term environmental outcomes and impacts?*

Indicator	Yes/No	Evidence/Examples
Evidence/examples of broader adoption in terms of sustaining mechanisms in place		
Evidence/examples of broader adoption in terms of replication mechanisms in place		
Evidence/examples of broader adoption in terms of scaling-up mechanisms in place		
Evidence/examples of broader adoption in terms of mainstreaming mechanisms in place		
Evidence/examples of broader adoption in terms of market change mechanisms in place		
Evidence/examples of observed resilience to changing contexts in terms of benefits from program outcomes		

A2. Effectiveness/Factors (contributing): *What are the key contributing factors affecting BA and P2I results?*

Factor (project-related)	Yes/No
Highly relevant technology/approach (e.g. micro-credit facilities for local beneficiaries)	
Broader adoption processes initiated using project resources (e.g. conferences held on project lessons, establishing sustainable revolving funds)	
Good engagement of key stakeholders (e.g. involve communities or local governments in decision making)	
Good coordination with/ continuity of previous/ current initiatives (e.g. lessons learned used)	
Good project design	
Adaptation of project to changing contexts	
Extended implementation period (e.g. mid-term evaluation led to project extension)	
Previous GEF support [add GEF ID]	
Follow-up initiatives using GEF resources (e.g. enabling activity led to full size project)	
Other (specify)	

Factor (context-related)	Yes/No
Previous/current related initiatives (by government, global events, etc.)	
"Champions" (e.g. officials of local government providing extra support to help the project)	
Country support (e.g. alignment with country's objectives leads to extra cofinancing)	
Other stakeholder support (e.g. donors, private sector)	
Other favorable political conditions/events	
Favorable economic conditions/drivers/ events	
Favorable social conditions/drivers/events	
Favorable environmental conditions/drivers/ events	
Other (specify)	

⁴⁴ If available.

A3. Effectiveness/Factors (hindering): *What are the key hindering factors affecting results?*

Factor (project-related)	Yes/No
Inappropriate technology/approach (e.g. local users could not use the new equipment)	
No activities to sustain momentum (e.g. No follow-on funding from government)	
Poor project design (other than factors above)	
Poor project management (e.g. inadequate project manager, dysfunctional steering committee)	
Inability to adapt project to changing context	
Insufficient time for implementation (e.g. project had unrealistic objectives for timeframe)	
Other (specify)	

Factor (context-related)	Yes/No
Lack of country support (e.g. project was driven by GEF Agency, no buy-in from relevant agency)	
Lack of other stakeholder support (e.g. donors, private sector)	
Other unfavorable political conditions/events	
Unfavorable economic conditions/drivers/ events	
Unfavorable social conditions/drivers/events	
Unfavorable environmental conditions/drivers/ events	
Other (specify)	

B1. Effectiveness/Drivers: *To what extent have GEF pre-PFD programs addressed the main drivers of environmental degradation?*

Indicator	Evidence/Examples ⁴⁵
FOOD PRODUCTION: Evidence/examples of specific program results addressing/mitigating the negative effects of food production activities on:	
Biodiversity loss, from:	
Habitat change	
Overexploitation or unsustainable use of natural resources	
Invasive alien species (particularly in island ecosystems)	
Pollution from pesticides/fertilizers/weed control chemicals	
Other (specify)	
Land degradation, from:	
Unsustainable land use practices	
Inadequate or ineffective land use policies	
Other (specify)	
Deforestation or forest degradation, from:	
Agriculture production	
Expansion of infrastructure	
Mining	
Illegal logging	
Over-harvest of fuelwood and non-timber forest products	
Overgrazing	
Human-induced fires	
Poor management of shifting cultivation	
Other (specify)	
Degradation of freshwater and marine resources, from:	
Unsustainable fishing practices	
Market distortions	
Other (specify)	
TRANSPORTATION: Evidence/examples of specific results addressing/mitigating the negative effects of transportation (essentially by providing/promoting the use of environment-friendly transportation) on:	
Climate Change, from:	
GHG and ODS emissions	

⁴⁵ Narrative of the examples must be summarized and referenced to the page in the document where they come from. Examples of results can be more than one in each driver.

Overexploitation or unsustainable use of fossil fuels	
Other (specify)	
BUILDINGS: Evidence/examples of specific results addressing/mitigating the negative effects of using polluting construction materials in buildings and other infrastructure on:	
Climate Change, from:	
GHG and ODS emissions resulting from construction activities	
Over-exploitation/unsustainable use of wood, minerals, cement	
Other (specify)	
Land degradation, from:	
Inadequate or ineffective urban land use policies	
Other (specify)	
Deforestation or forest degradation, from:	
Expansion of buildings/infrastructure in forest land	
Mining for building materials extraction (e.g. cement, sand, ...)	
Illegal logging for timber production	
Other (specify)	
ENERGY: Evidence/examples of specific results addressing/mitigating the negative effects of energy/electricity production activities on:	
Climate Change, from:	
GHG/ODS emissions resulting from energy production activities	
Over-exploitation/unsustainable use of fossil fuels, fuelwood, ...	
Other (specify)	
Deforestation or forest degradation, from:	
Expansion of infrastructure in forest land	
Mining in forest land	
Illegal fuelwood harvesting for household energy consumption	
Other (specify)	

Information Sources

3. The documentation analyzed included all available evaluations of the pre- 2008 portfolio, regardless the evaluation typology (project, program, thematic, impact, other). Thirty-three pre- 2008 programs were reviewed for this exercise: twenty-one phased/tranched programs, five Strategic Partnership Programs, three Country Partnership Programs and one Strategic Investment Program. The pre-2008 programs also included three programmatic approaches without set-asides. These three programs do not have a PFD. The evaluation looked at project documents, Projects Implementation Reports (PIRs) and Mid-term Reviews (MTRs) of 175 projects and Terminal Evaluations (TEs) of 88 closed projects. The following high level program evaluations and studies were included in the analysis:

- (i) Bewers, J. Michael; Uitto, Juha I. 2001. *International Waters Program Study*. Global Environment Facility Evaluation Report; no. GEF 1-01. Washington, D.C.: The World Bank.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.C.6.3.pdf>
- (ii) GEF Evaluation Office. *Mid-Term Review of the Resource Allocation Framework (Evaluation Report n. 47)*. May 2009.
https://www.thegef.org/gef/sites/thegef.org/files/documents/RAF_MTR-Report_0.pdf
- (iii) GEF Evaluation Office. *Joint Evaluation of the GEF Activity Cycle and modalities (Evaluation Report No. 33)*. May 2007.
https://www.thegef.org/gef/sites/thegef.org/files/documents/Joint_Eval-GEF_Activity_Cycle_and_Modalities.pdf

- (iv) GEF Evaluation Office. *OPS4 Progress toward Impact (full report)*. April 2010.
https://www.thegef.org/gef/sites/thegef.org/files/documents/FULL%20REPORT_OPS4%20Progress%20Toward%20Impact_0.pdf
- (v) GEF Evaluation Office. *Impact Evaluation: The GEF in the South China Sea and Adjacent Areas. Volume 1: Evaluation Report (Evaluation Report No. 75)*. October 2012.
<https://www.thegef.org/gef/sites/thegef.org/files/documents/South-China-Sea-and-Adjacent-Areas-V1.pdf>
- (vi) GEF Evaluation Office. *Fifth Overall Performance Study of the GEF First Report: Cumulative Evidence on the Challenging Pathways to Impact (Evaluation Report No. 79)*. 2013.
<https://www.thegef.org/gef/sites/thegef.org/files/EO/OPS5-First-Report-EN.pdf>
- (vii) GEF Independent Evaluation Office. *Fifth Overall Performance Study of the GEF Final Report: At Crossroads for Higher Impact (Evaluation Report No. 86)*. 2014.
- (viii) GEF Independent Evaluation Office. *GEF Annual Performance Report 2014 (Full Report Unedited)*. May 8, 2015.
https://www.thegef.org/gef/sites/thegef.org/files/documents/GEF%20IEO%20-%20APR%202014%20Unedited%20Full%20Report_0.pdf
- (ix) GEF Monitoring & Evaluation Unit. *Program Study on International Waters (2005)*. October 2004. http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2009/12/08/000333037_20091208001803/Rendered/PDF/520340WP02004110Box345548B01PUBLIC1.pdf
- (x) Independent Evaluation Group. *Regional Program Review: The Mesoamerican Biological Corridor*. Regional Program Review Vol.5, Issue 2, May 24, 2011.
- (xi) Okapi, *Review of GEF Programmatic Approaches (Part I – Lessons Learned), Draft 2 (Internal Document)*, September 18, 2013.
- (xii) Ollila, Petri; Uitto, Juha I.; Crepin, Christophe and Duda, Alfred M. *Multi-country Project Arrangements: Report of a Thematic Review*. Monitoring and Evaluation Working Paper 3. September 2000.

Appendix 2 – Selection of Programs for P2I Case Studies

Introduction

1. The selection of candidate programs for P2I program case studies was made based on program maturity in terms of implementation status of the respective child projects. This allowed the evaluation to look at programs that have managed to produce an environmental change that can be observable, in terms of results or at least progress toward results. Mature programs are those that have either more than 60% of their child projects under implementation for more than 2 years (i.e. having been under implementation before April 1st, 2014), or are completed, or both.
2. The application of the maturity criterion left the sample with 23 out of the 38 post- 2008 programs. From these, four global programs (GEF IDs 3648, 3654, 3787 and 4031) were excluded as they were more likely to be administrative arrangements designed with the main purpose to achieve cost-efficiencies rather than broader scale and longer term results.
3. Programs with child projects that were either pending or in the pipeline (GEF IDs 3782, 3789, 3926, 4511, 4635 and 4646) were excluded. Finally, one program in Russia (GEF ID 3653) was excluded due to the current situation of stand-by.⁴⁶ The application of the above-mentioned criteria narrowed down the selection to 12 programs, presented in Table 1 below.

Table 1

No.	GEF ID	Single Agency	Multi Agency	Single Country	Multi Country	Single Focal Area	Multi Focal Area
1	3268		x	x			X
2	3420		x		x		X
3	3423		x		x		X
4	3482		x	x			X
5	3538		x	x		CC	
6	3647		x		x		x
7	3661	x		x		BD	
8	3756	x			x	CC	
9	3785		x		x	BD	
10	3977		x		x	IW	
11	3994		x		x	POPs	
12	4620	x			x		x

4. These programs represent all combinations of single versus multi agency, single versus multi country and single versus multi focal area programs, except for one. As can be seen in Table 2, in the case of four combinations there is only one program (GEF IDs, 3661, 3756, 4620 and 3538).

Table 2

Combination	GEF ID
Single agency, single country, single focal	3661
Single agency, single country, multifocal	
Single agency, multi country, single focal	3756
Single agency, multi country, multifocal	4620
Multi agency, single country, single focal	3538
Multi agency, single country, multifocal	3268; 3482
Multi agency, multi country, single focal	3785; 3977; 3994
Multi agency, multi country, multifocal	3420; 3423; 3647

⁴⁶ GEF operations are currently stopped due to the international situation.

5. The 12 pre-selected programs were subdivided based on their coherence, following the hypothesis that coherent programs have a low or absent child projects cancellation/dropout rate. Here, coherence is meant to identify the programs implemented as per program design. The splitting of the 12 programs between fully coherent and partially coherent ones is presented in Table 3 below.

Table 3

TABLE 3

1) FULLY COHERENT: no child project has been cancelled/dropped, while the ongoing projects are either under implementation or completed											
No.	GEF ID	Cancelled/ Dropped/ Rejected		Under Implementation				Completion		Total	Start year of the child projects that are under implementation (those that started after April 1, 2014 are in red)
				Total ongoing projects		Projects started before April 1, 2014					
		No	%	No	% of total	No	% of total	No	% of total		
1	3420			12	80%	12	80%	3	20%	15	1 in 2010, 4 in 2011, 3 in 2012, 4 in 2013
2	3423			8	67%	7	58%	4	33%	12	1 in 2009, 4 in 2010, 1 in 2012, 1 in 2013, 1 in June 2014
3	3538			4	80%	4	80%	1	20%	5	1 in 2010, 3 in 2011
4	3647			5	56%	5	56%	4	44%	9	1 in 2010, 1 in 2011, 2 in 2013, 1 in Feb 2014
5	3661			2	100%	2	100%			2	All in 2011
6	3756			4	80%	4	80%	1	20%	5	All in 2011
7	3994			3	100%	3	100%			3	All in 2011
Total				38	75%	37	73%	13	25%	51	

2) PARTIALLY COHERENT: some child project has been cancelled/dropped, while the ongoing projects are either under implementation or completed											
No.	GEF ID	Cancelled/ Dropped/ Rejected		Under Implementation				Completion		Total	Start year of the child projects that are under implementation (those that started after April 1, 2014 are in red)
				Total ongoing projects		Projects started before April 1, 2014					
		No	%	No	% of total	No	% of total	No	% of total		
1	3268	2	25%	2	25%	2	25%	4	50%	8	1 in 2009, 1 in 2010
2	3482	1	14%	2	29%	2	29%	4	57%	7	2 in 2011
3	3785	2	10%	13	65%	13	65%	5	25%	20	5 in 2010, 5 in 2011, 1 in 2012, 2 in 2013
4	3977	2	25%	4	50%	4	50%	2	25%	8	1 in 2011, 2 in 2012, 1 in 2013
5	4620	1	25%	3	75%	3	75%			4	All in 2013
Total		8	17%	24	51%	24	51%	15	32%	47	

6. Additional criteria were used to further narrow down the selection to a manageable number of programs, which reflect key aspects of the range of diversity in the portfolio. First, programs working on focal areas and intervention typologies already covered by recent IEO evaluations (i.e., terrestrial biodiversity, covered by the recent Joint GEF/UNDP Evaluation of the Protected Areas) were excluded. Secondly, programs working in geographic regions already covered by recent IEO evaluations (i.e., SIDS, covered by several country-level evaluations) were also excluded. Three more programs dropped out as a result of these two exclusions (GEF IDs 3420, 3687 and 3785), as Table 4 shows:

Table 4

Combination	GEF ID
Single agency, single country, single focal	3661
Single agency, single country, multifocal	
Single agency, multi country, single focal	3756
Single agency, multi country, multifocal	4620
Multiagency, single country, single focal	3538
Multiagency, single country, multifocal	3268; 3482
Multiagency, multi country, single focal	3977; 3994
Multiagency, multi country, multifocal	3423

7. In the multi- agency, single country and multifocal case, GEF ID 3268, working in India, was excluded because two of the programs selected in the previous step, namely GEF IDs 3661 and 3538, also work in India. In the multiagency, multi country and single focal case, GEF ID 3994 was excluded as, although not a global program, it was designed as an administrative arrangement to providing the same

type of enabling support in POPs to countries belonging to three economic sub-regions in Sub Saharan Africa (COMESA, SADC and ECOWAS).

8. Excluding all the programs described above, the sample was reduced to seven programs. Based on their maturity in terms of implementation status of their child projects, representation of various combination of single vs. multi- agency, single vs. multi- country and single vs. multifocal programs; and coherence of their design in terms of absence of child project cancellations and/or dropouts, among other criteria, four programs were selected for case studies.⁴⁷ The selected programs are presented here below:

Table 5: Final Selection of Case Studies

#	Combination	GEF ID	GEF Agency	Country/ Region	Type of intervention		Coherence
1	Single agency Single Country Single focal area	3661	UNDP	India	BD-2	- Marine Protected Area	Full
2	Single agency Multi country Single focal area	3756	UNIDO	South East Asia	CC-1 CC-2	- Energy Efficiency in Buildings and in the Industrial Sector	Full
3	Single agency Multi country Multifocal area	4620	WB	Middle East and North Africa (MENA)	LD-1 SLM BD-2 CCA-1	- Land Degradation (LD)/ Sustainable Land Management (SLM) - Marine Protected Area - Adaptation	Partial
4	Multi Agency Single Country Multifocal area	3482	ADB IFAD WB	China	LD-1 LD-2 LD-3 CC-6	- LD/SLM - Land use, land-use change and forestry (LULUCF)	Partial

Country visits approach

9. The design of the country case study visits ensured the use of the same data gathering approach by the different teams, to enable comparability across all countries and programs (with their respective child projects) visited. Case studies and related country visits/data gathering covered all but one key evaluation question (efficiency question a. in the approach paper).

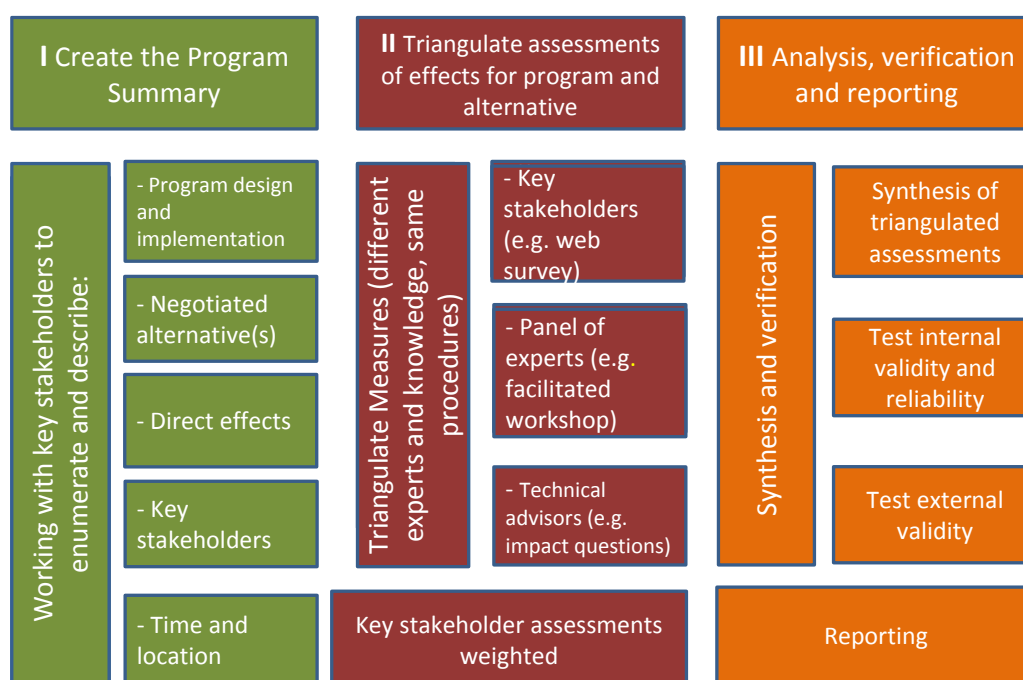
10. Country visits followed these indicative steps: (i) background reading prior to the country visits; (ii) information/data collection and interviews at the central level in the capital; (iii) child project site visits; (iv) analysis; and (v) report writing. Interviews in the country visits were held with the Government (GEF Operational Focal Point, other officers involved with the program and/or child project), GEF Agency/ies, executing agencies, and beneficiaries, most of whom were sufficiently familiar with the child project in order to be able to reply to the questions in an informed manner.

⁴⁷ Note on the selection of programs for Progress toward Impact (P2I) Case Studies (IEO internal document).

Appendix 3 – Technical note on Rapid Impact Evaluation (RIE)

Introduction

1. RIE has three main phases, all undertaken with the direct involvement of the decision-makers and key interests who are the likely users of the evaluation results:
 - a) Develop a summary of the evaluand (termed the intervention summary), that includes the mechanisms of change, anticipated direct effects, parties involved in the intervention either as part of the intervention or directly affected by it, temporal and spatial frames for the intervention and direct effects, and the scenario that the parties agree would likely have occurred with a different but highly likely alternative to the actual intervention.
 - b) Obtaining judgments from the three distinct groups of experts with good but different knowledge of the decision and intervention and using the same evaluation metric but different judgment processes.
 - c) Synthesis of judgments from the three expert groups and QA on the quality of the evaluation evidence.



Phase I: Summary of the Intervention

2. This first phase can be thought of as an expedited evaluation design, where we a) obtain information to populate our evaluation framework and b) engage key decision makers and stakeholders in the evaluation. The information is progressively captured in a concise intervention summary starting with information from intervention and public domain documents. It is then enriched through discussions with the convening parties and finally used as the focal point for discussions with core and other parties. The intent is to reach agreement with all parties that the summary and individual elements contained in it are reasonable representations of the intervention. Phase I uses up to three-quarters of the budget. A theory of change is also drafted during this first phase.

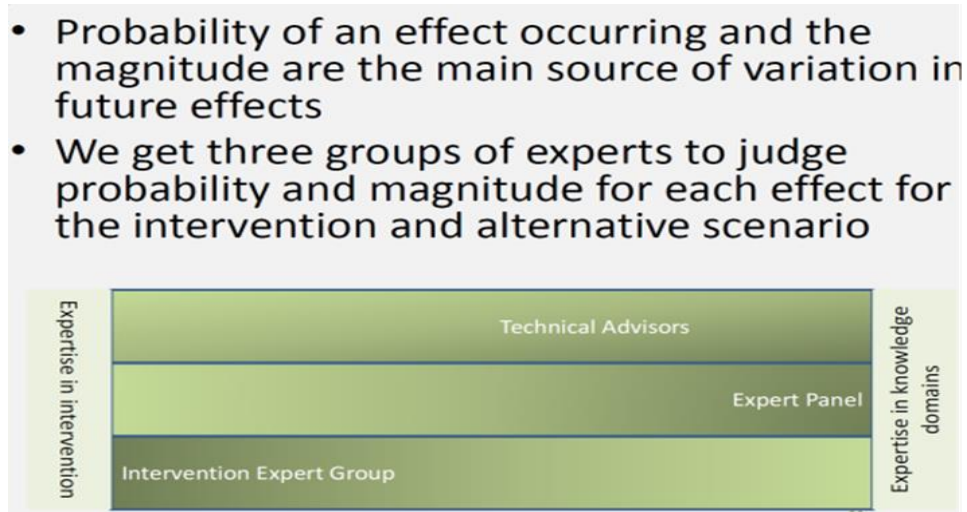
3. The completed intervention summary provides the information needed for Phase II and would be required for a typical evaluation plan. This includes a short description of the intervention including time, location and scale and the mechanisms of change, and, if appropriate, a map of the intervention site and affected areas. It also includes lists of the anticipated direct effects and intended impacts including temporal and spatial frames; and of the parties and interests participating in the intervention including those who can affect success and those who are directly affected by the intervention. Finally, and importantly, it includes one or more scenarios for alternative interventions.

4. To date we have usually used individual in-person or telephone interviews to review and develop the intervention summary with parties. Interviews are scheduled for fifteen minutes and cover all of the elements; we ask if the summary is a reasonable representation of the elements, and for each element we ask if they think it should be modified. Where modifications are suggested, including unintended effects, we incorporate them into a revised summary that is recirculated and discussed when necessary. In principle this cycle would continue until there is comfort with the summary across parties. In practice we usually only require one cycle; in a few cases two have been required. We want to end up with parties agreeing on the elements in the case summary, especially the statement of alternative scenario(s).

5. We have usually used individual interviews for this consultation because our evaluations have been of high stakes natural resource decisions where we were concerned that assembling the parties could reopen discussion of issues that have been previously settled. Often, too, it is logistically impossible to assemble a group of senior and geographically dispersed parties. It is far more likely that a lead corporate attorney will agree to a fifteen-minute telephone call than to spend a day in travel and meetings. However, RIE is now being applied to sustainable development interventions where it is logistically and politically possible to gather parties in one place and so we are able to consider group processes as an alternative to individual interviews.

Phase II: Obtaining Expert Judgments

6. Obtaining judgments from the three groups of experts is the main undertaking in the second phase of RIE. In this second phase we also estimate impacts by combining and weighting the direct effects using the theory of change and information from the expert groups and external sources.



7. The three groups of experts provide their judgments on direct outcomes using the same questions -- administered with a web survey for intervention experts and technical advisors, and with a

facilitated workshop for the expert panel. In the preceding section we described our approach to simplify judging direct effects, briefly there two considerations that cause variation in the merit of outcomes, the probability of the outcome occurring and magnitude. All of the experts in each of the three expert groups provide their judgments on probability and magnitude for each direct effect under the actual intervention and under the counterfactual scenario. We also ask respondents to assess the importance of each direct effect to the impacts of interest (e.g. importance of salmon habitat to salmon populations).

8. A high response rate is essential for the survey of decision-makers. Responses must also represent all interests to balance the biases of individual interests. For example, response rates were 76% of parties and 100% of interests for Marmot Dam. We follow Dillman's approaches to consistently achieve good response rates (Dillman, Smyth et al. 2008). A facilitated workshop is used for the expert panel because its members, unlike decision-makers and the technical advisors (with their extensive access to case information) have relatively limited knowledge of the intervention, but of course great depth of domain knowledge. This raises the risk that they will make different assumptions about the intervention creating threats to reliability. In the expert panel workshop, for each case being evaluated, we first facilitate a general discussion about the case and theory of change. Then next to their initials on flip charts each panel member provides their judgment on the probability and magnitude of each outcome for the intervention and alternative. Where there is a noticeable (2 or more points) difference in the scoring by panel members we facilitate a discussion of their assumptions and rationale for the score. We are not seeking agreement, only to ensure that they are making the same assumptions about the intervention. Panel members can and do change their scores during or after the discussions. We have found that an expert panel can complete their judgments on three to four similar cases in a day.

9. The result is an assessment by each member of the three expert groups of the change in each direct effect, expressed as an index, under the intervention and counterfactual scenario. These are combined in Phase III to generate estimates of impacts

Phase III: Verification

10. The final RIE phase is relatively short involving estimating impacts and testing the quality of the evaluation judgments.

11. Direct effects are very influential in shaping impacts, but it is the larger outcomes or impacts that we are interested in. Direct effects are a stepping stone to these. The direct effects enumerated in Phase I and assessed in Phase II are those that the literature, decision makers and stakeholders suggest are the most influential on the impacts of the intervention. The technical advisors confirm or adapt the list of direct effects and this is included in the discussions with parties in Phase I. The technical advisors also search for sources with which we can weigh the direct effects when combining them to estimate impacts in Phase III. Weighting is informed by several sources: the research literature including simulation and other models, from the ranking of importance by parties and the theory of change, and from technical studies prepared to brief those designing the intervention. The technical advisors who represent the main disciplines applicable to the intervention play an important role in identifying and extracting the necessary information, and in reducing the ambiguity associated with this. Using this knowledge, we combine the direct effects to estimate impacts.

Appendix 4 – Selection of programs and child projects for geospatial impact analysis

Introduction

1. The selection of programs for geospatial impact analysis at the global portfolio level was based on maturity, in terms of implementation status of child projects. The evaluation adopted the same procedure used for the selection of programs for P2I case studies, i.e. to consider mature those programs that have either more than 60% of their child projects under implementation for more than 2 years (i.e. having been under implementation before April 1st, 2014), or are completed, or both. Mature programs were assumed to more likely to have produced results that can be observed in terms of environmental change measured through NDVI (to measure vegetative productivity) and forest cover changes over time.
2. The application of the maturity criterion left the evaluation team with 23 out of the 38 post PFD introduction programs. From these, four global programs were excluded as these are administrative arrangements designed with the main purpose to achieve cost-efficiencies rather than larger scale and longer term results. Climate Change, Persistent Organic Pollutants (POPs), and International Waters programs, were also excluded as their results cannot be observed through GIS/remote sensing than Biodiversity, Land Degradation and Sustainable Forest Management programs.⁴⁸
3. The application of the above-mentioned criteria narrowed down the selection to 13 programs with 108 child projects. Table 1 shows the selected programs stratified by single vs. multi- agency, single vs. multi- country and single vs. multifocal programs (Table 1).

Table 1: List of Selected Programs

No.	Program GEF_ID	Single Agency	Multi Agency	Single Country	Multi Country	Single Focal Area	Multi Focal Areas
1	3268		X	X			X
2	3420		X		X		X
3	3423		X		X		X
4	3482		X	X			X
5	3647		X		X		X
6	3661	X		X		BD	
7	3782		X		X		X
8	3785		X		X	BD	
9	3926		X	X		BD	
10	4511	X			X		X
11	4620	X			X		X
12	4635	X			X		X
13	4646		X	X		BD	

4. This analysis addressed the following key question: *“To what extent have the different typologies of GEF programs delivered the intended results in terms of broader scale and longer term environmental outcomes and impacts as compared to stand-alone projects?”*. The analysis assessed change over time, with a view of checking the extent to which a project under a program makes a difference in terms of unit of Global Environmental Benefit (GEB) produced as compared to stand-alone projects. Measured environmental change included the reduction in forest loss and forest degradation, and vegetation productivity. Table 2 presents the main features of the 13 programs covered in this analysis.

⁴⁸ Climate change, POPs and international waters child projects included in the 108 programs have also been excluded.

Table 2: Main features of programs selected for geospatial impact analysis

#	GEF ID	Geog.	Agency	Country	Budget	Focal Area	Title	Intervention Typologies
1	3268	Country	World Bank, UNDP, FAO	India	\$28m GEF grant, \$302m co-finance	MFA	SLEM/CPP - Sustainable Land and Ecosystem Management Partnership Program	LD-1: Sustainable agriculture and rangeland; LD-2: Sustainable forest management LD-3: innovative approaches in SLM, BD-4: mainstreaming biodiversity, BD-5: Fostering markets for BD goods and services. CC-SPA: strategic Pilot on adaptation
2	3420	Regional	World Bank, UNDP, UNEP, FAO, ADB	Cook Islands, Fiji, Micronesia, Kiribati, Marshall Islands, Nauru, Niue, Papua New Guinea, Palau, Solomon Islands, Tonga, Timor Leste, Tuvalu, Vanuatu, Samoa	\$60m GEF grant, \$138m co-finance	MFA	PAS GEF Pacific Alliance for Sustainability	Child projects cover: BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-3: strengthening terrestrial PA networks BD-4: mainstream BD; BD-5: fostering market for BD goods and services; BD-7: biosafety; CC-1, CC-2: energy efficiency; CC-3: renewable energy; CC-4: biomass; IW-1: coastal and marine fish stocks and associated biological diversity; IW-2: reducing land-based pollution IW-3: reducing conflicting use of water; IW-4: reducing persistent toxic substance and testing adaptive management of waters with melting ice. POPs-1, POPs-2: NIP development and implementation POPs-3: POPs reduction
3	3423	Regional	IFAD, UNIDO, UNDP, UNEP, World Bank	Algeria, Egypt, Iran, Jordan, Morocco, Tunisia, Yemen	\$53m GEF grant, \$186m co-finance	MFA	MENARID Integrated Nature Resources Management in the Middle East and North Africa Region (PROGRAM)	LD-1: sustainable agriculture and rangeland; IW-3: reducing conflicting use of water resources BD-3: strengthening terrestrial PA networks BD-4: mainstreaming BD BD-5: Fostering markets for BD goods and services CC-6: LULUCF to protect carbon stocks and reduce GHG emissions CC-SO8: climate change adaptation projects
4	3482	Country	ADB, IFAD, World Bank	China	\$27m GEF grant, \$386 co-finance	MFA	PRC-GEF Partnership on Land Degradation in Dryland Ecosystems Program	LD-1: sustainable agriculture and rangeland mgmt. LD-2: sustainable forest mgmt. in production landscapes LD-3: Investing in innovative approaches in SLM BD-3: strengthening terrestrial PA networks BD-4: mainstreaming BD; BD-5: fostering markets for BD goods and services BD-8: access and benefit sharing CC-6: LULUCF to protect carbon stocks and reduce GHG emissions

5	3647	Regional	ADB, UNDP, FAO, World Bank	Fiji, Micronesia, Indonesia, Malaysia, Papua New Guinea, Philippines, Palau, Solomon Islands, Timor Leste, Vanuatu	\$38m GEF grant, \$264m co-finance	MFA	CTI The Coral Triangle Initiative (PROGRAM)	BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-4: mainstreaming BD BD-8: access and benefit sharing IW-1: coastal and marine fish stocks and associated biological diversity; IW-2: reducing land-based pollution IW-3: reducing conflicting use of water
6	3661	Country	UNDP	India	\$9m GEF grant, \$28 co-finance	BD	IND-BD: GEF Coastal and Marine Program	BD-2: Protected area (marine)
7	3782	Regional	World Bank, UNDP, FAO, UNEP	Central African Republic, Congo, Cameroon, Gabon, Equatorial Guinea, Congo DR	\$46m GEF grant, \$223m co-finance	MFA	World Bank, UNDP, FAO, UNEP	BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-3: strengthening terrestrial PA networks BD-4: mainstreaming BD; BD-5: fostering markets for BD goods and services CC-6: LULUCF to protect carbon stocks and reduce
8	3785	Regional	World Bank, UNDP, UNEP, FAO	Burkina Faso, Benin, Cote d'Ivoire, Cabo Verde, Ghana, Gambia, Guinea, Guinea-Bissau, Liberia, Mali, Mauritania, Niger, Nigeria, Sierra Leone, Senegal, Chad, Togo	\$30m GEF grant, \$98m co-finance	BD	SPWA-BD: GEF Program in West Africa: Sub-component on Biodiversity	BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-3: strengthening terrestrial PA networks BD-4: mainstream BD; CC-4: biomass
9	3926	Country	UNDP, FAO, ADB	China	\$36m GEF grant, \$745m co-finance	BD	CBPF China Biodiversity Partnership and Framework for Action	BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-3: strengthening terrestrial PA networks BD-4: mainstreaming BD; BD-7: biosafety; SGP-1: Small Grant Program
10	4511	Regional	World Bank	Burkina Faso, Benin, Ethiopia, Ghana, Mali, Mauritania, Niger, Nigeria, Sudan,	\$100m GEF grant, \$1.8b co-finance	MFA	GGW Sahel and West Africa Program in Support of the Great Green Wall Initiative	BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation LD-1: Sustainable agriculture and rangeland; LD-2: Sustainable forest management

				Senegal, Chad, Togo				LD-3: Enhanced cross-sector enabling environment for integrated landscape management CCA-1: Reduced vulnerability to climate change in development sectors CCA-2: Strengthening adaptive capacity to reduce risks to climate-induced economic losses CCM-3: Investment in renewable energy technologies increased CCM-5: Restoration and enhancement of carbon stocks in forests and non-forest lands, including peatland (hectares) SFM/REDD+: Good management practices applied in existing forests
11	4620	Regional	World Bank	Algeria, Egypt, Jordan, Morocco, Tunisia	\$21m GEF grant, \$226m co-finance	MFA	MENA - Desert Ecosystems and Livelihoods Program (MENA-DELP)	LD-1: Improved agricultural management; Sustained flow of services in agro-ecosystems; Increased investments in SLM; BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation; CCM-3: Promote investment in renewable energy technologies; CCA-1: Reduced vulnerability to climate change in development sectors;
12	4635	Regional	World Bank	China, Indonesia, Philippines, Vietnam	\$43.5m GEF grant, \$753.5m co-finance	MFA	LME-EA Scaling Up Partnership Investments for Sustainable Development of the Large Marine Ecosystems of East Asia and their Coasts (PROGRAM)	BD-1: Improved management effectiveness of existing and new protected areas BD-2: Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation BD-5: Development and sectoral planning frameworks at country level integrate measurable biodiversity conservation and sustainable use targets IW-2: reducing land-based pollution; Catalyze multi-state cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change IW-3: reducing conflicting use of water; Support foundational capacity building, portfolio learning, and targeted research needs for joint, ecosystem-based management of trans-boundary water systems
13	4646	Country	UNDP, FAO	China	\$23m GEF grant, \$142.6m co-finance	BD	CBPF-MSL Main Streams of Life – Wetland PA System Strengthening for Biodiversity Conservation (PROGRAM)	BD-1: Improved management effectiveness of existing and new protected areas.

Annex 3

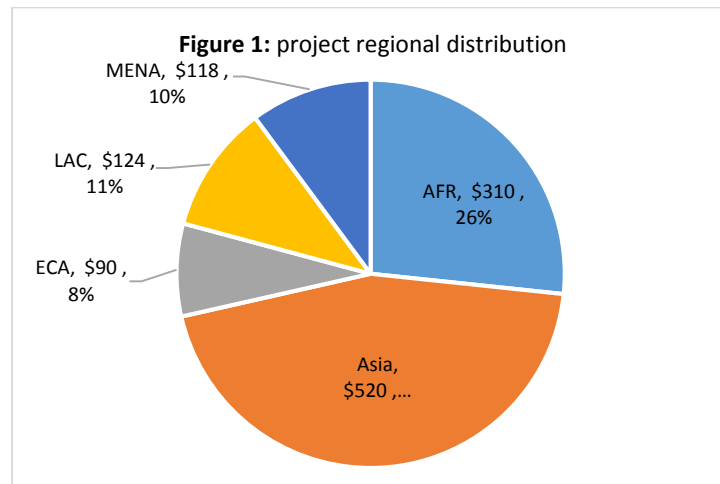
Portfolio

1. The post-2008 portfolio covered by this evaluation is diverse in type, scope, focal area, and implementation arrangements. It includes 38 programs and their 301 respective child projects. Two out of the 38 programs have been closed (that is all their child projects completed), both belonging to GEF-4. The remaining 36 programs are at different levels of maturity with 67 child projects (22%) currently pending, 171 child projects (57 percent) are under implementation, 63 (21%) child projects have been completed (belonging to 16 programs).
2. Nine country programs, of which seven in Asia and two in Eastern Europe and Central Asia, account for \$269 million of GEF grant financing (18% of the total program financing). Twenty-one regional programs, of which eight in Africa, nine in Asia, one in Latin American and the Caribbean, and two in Middle East and North Africa, account for \$892 million (60% of the total program financing). Eight global programs account for \$325 million (22% of the total program financing).

Table 1: Post-2008 Programs by Geographic Scope and GEF Phase

	GEF - 4			GEF - 5			GEF - 6		
	#	GEF Grant (\$ Million)	Co-finance (\$ Million)	#	GEF Grant (\$ Million)	Co-finance (\$ Million)	#	GEF Grant (\$ Million)	Co-finance (\$ Million)
Country	7	215	2,337	2	54	453	-	-	-
Asia	6	153	1,671	1	26	143	-	-	-
ECA	1	62	667	1	28	310	-	-	-
Global	4	125	554	1	51	223	3	149	770
Regional	9	366	1,760	11	402	5,009	1	124	683
AFR	4	143	839	4	167	2,182	-	-	-
Asia	3	128	570	6	213	2,602	-	-	-
LAC	-	-	-	-	-	-	1	124	683
MENA	2	95	350	1	23	226	-	-	-
Total	20	705	4,651	14	507	5,685	4	273	1,453

3. Most child projects are implemented in a single country, i.e. 230 projects, accounting for \$856 million (71 percent of the total child project financing). The remaining 71 (\$347 million, 29 percent) are regional or global projects. As for the regional distribution, Asia is predominant, with 127 projects (\$520 million, 35 percent), followed by Africa with 111 projects (\$310 million, 21 percent).



4. Eighteen of the 38 programs are multifocal, and are composed of 138 (46%) child projects. The majority of child projects are multifocal, biodiversity and climate change (Table 2).

Table 2: Post-2008 Programs and Projects by Focal Area

Program Focal Area	Project Focal Area	#	GEF Grant (\$)	Co-finance (\$)
Biodiversity n = 5, 13%	Biodiversity	73	153,598,027	1,093,563,950
Climate Change n = 10, 26%	Climate Change	71	284,570,082	3,078,419,615
International Waters n = 3, 8%	International Waters	13	83,234,400	612,072,166
POPs n = 2, 5%	POPs	6	22,005,912	26,103,796
Multifocal n = 18, 47%	Biodiversity	23	89,846,463	317,306,072
	Climate Change	9	36,774,559	251,077,236
	International Waters	17	57,858,197	457,495,991
	Land Degradation	5	7,153,749	14,232,211
	POPs	2	4,396,200	6,586,290
	Multifocal	82	494,545,371	4,233,707,965
		301	1,233,982,960⁴⁹	10,090,565,292

5. Twenty-four out of 38 are multi- agency programs, accounting for \$1,079 million (73% of the total program financing) (Table 3). However, the projects themselves tend to be implemented by a single agency (Figure 4): 191 projects under multi- agency programs (61% of the total program financing) are implemented by a single agency. Overall, the majority of child projects is implemented by the World Bank (\$384 million, 32%), followed by UNDP (\$325 million, 27%) and UNEP (\$119 million, 10%).⁵⁰ Together, these three agencies comprise 69 percent of the total project financing.

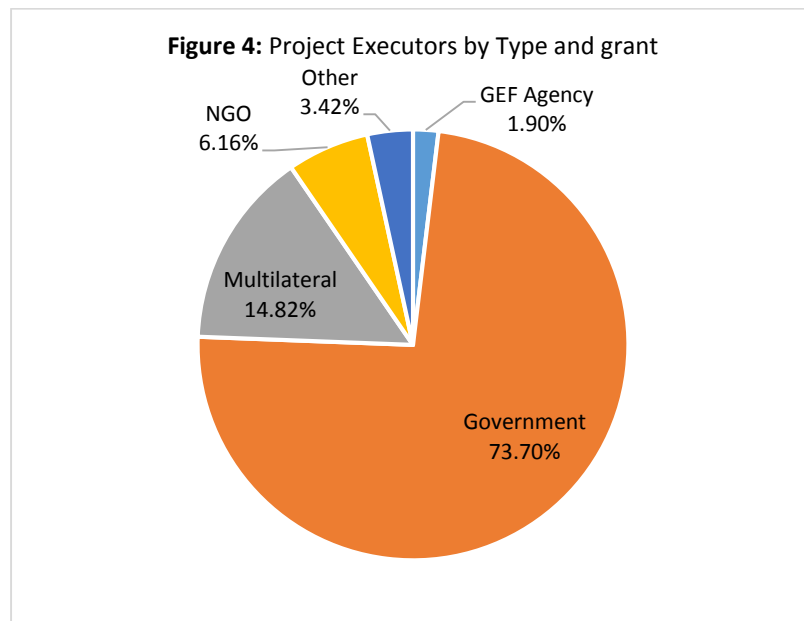
Table 3: Post-2008 Programs and Projects by GEF Agency

		Lead Agency	#	GEF Grant (\$)	Co-finance (\$)
Single-Agency Programs n = 14	Single-Agency Projects n = 98	ADB	9	28,966,800	1,343,938,000
		AfDB	5	22,574,365	194,193,500
		IADB	2	8,500,000	65,350,000
		UNDP	6	35,147,723	438,254,642
		UNEP	39	45,525,054	53,308,577
		UNIDO	9	43,414,804	173,055,000
		World Bank	28	190,219,999	2,361,797,738
Multi-Agency Programs n = 24	Single-Agency Projects n = 191	ADB	15	86,169,707	1,186,621,600
		EBRD	2	17,205,442	152,638,600
		FAO	17	79,511,307	279,474,335
		IFAD	5	20,294,497	81,797,200
		UNDP	76	271,949,375	1,384,053,183
		UNEP	22	52,300,394	172,244,245
		UNIDO	10	23,673,516	90,359,575
		World Bank	42	186,732,157	1,664,221,141
	WWF-US	2	275,230		
	Multi-Agency Projects n = 12	Multi	12	90,539,202	707,085,908
			301	1,233,982,960	10,090,565,292

⁴⁹ While the total funding for all GEF programs as of April 2016 is \$1,486 million, project total funding to date is \$1,233 million due to some projects in newer programs not having been submitted or approved yet.

⁵⁰ These percentages include all single- and multi-agency child projects, be these under a single- or a multi-agency program.

6. The majority of child projects is executed by government entities (74%); 15 percent are executed by multilateral agencies.



Annex 4

List of Interviewed Stakeholders

Central level Interviews

Name	Position/Organization
Claude Gascon	Manager, GEF Secretariat
Chizuru Aoki	Lead Environmental Specialist, GEF Secretariat
Gustavo Fonseca	Director of Programs, GEF Secretariat
Mohamed Bakarr	Lead Environmental Specialist, GEF Secretariat
Ibrahima Sow	Sr. Environmental Specialist, GEF Secretariat
Christian Severin	Sr. Environmental Specialist, GEF Secretariat
Thomas Hammond	STAP Secretary, STAP
Karin Shepardson	GEF Executive Coordinator, World Bank
Dominique Kayser	Senior Operations Officer, World Bank
Adriana Dinu	GEF Executive Coordinator, UNDP
Nancy Bennet	Results Management and Evaluation Advisor, UNDP
Brennan VanDyke	GEF Executive Coordinator, UNEP
Kelly West	Senior GEF Portfolio Manager, UNEP
Rami Salman	MENARID Program, IFAD
Estibalitz Morras	GEF Unit, IFAD
Steve Twomlow	Lead advisor Environment, IFAD
Sunae Kim	China Drylands Partnership, IFAD
Eric Patrick	Food Security IAP, IFAD
Juergen Hierold	GEF Coordinator, UNIDO
Marta Simonetti	Senior Manager, EBRD GEF Executive Coordinator, EBRD
Ryan Alexander	EBRD
Vlad Olievschi	EBRD
Mohamat Assouyouti	GEF Coordinator, AfDB
Jeffery Griffin	Senior Coordinator - GEF, FAO
Fritjof Boerstler	FAO
Jean-Ives Pirot	Head, GEF Coordination Unit, IUCN
Hervé Lefevre	Senior Director, GEF Relations and GEF Coordinator, WWF-US

Country level Interviews

Name	Country	Position/Organization
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Jin Liu	China	Sr. Environmental Specialist, WB Beijing office
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Liucan Zhu	China	Director, GEF China Office – FECO, Ministry of Environment
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Jie Wan	China	Division Chief, World Bank Loan Project Management Center, State Forestry Administration (SFA)
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Xin Lei	China	Deputy director of the International Division, Gansu Department of Finance
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Caixia Feng	China	Senior staff of the International Division, Gansu Department of Finance
Shaokang Liu	China	Senior staff of the International Division, Gansu Department of Finance
Qian Wang	China	Senior staff member of the International Division, Gansu Department of Finance
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Qibin Duan	China	Leader of the IFAD-GEF (in this mission) PMO, Division Director of Gansu Department of Agriculture and Animal Husbandry, Project Management Office

Name	Country	Position/Organization
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Name	Country	Position/Organization
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Name	Country	Position/Organization
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Nguyen Anh Khoa	Vietnam	Technical manager, Tien Phong Plastic Jsc
Pham Anh Tam	Vietnam	Tien Phong Plastic Jsc
Man Thuy Giang	Vietnam	STAMEQ // VSQI, she was attended training program on EnMS -
Nguyen Thi Luyen	Vietnam	Manager, Tien Phong Plastic Jsc
Vu Tu Quyen	Vietnam	International Cooperation Department, STAMEQ
Nguyen Xuan Quang	Vietnam	Director of company, ENERVI - Vietnam energy and environment Joint Stock Com
Pham Thi Nga	Vietnam	Project Coordinator - PMU of IEE project, UNIDO
Phan Thi Minh Thao	Vietnam	Director, RCEE Company
Tran Duc Hoa	Vietnam	Energy auditor, RCEE Company
Trần Nhật Ninh	Vietnam	Deputy general director, Tien Phong Plastic Jsc
Trinh Quoc Vu	Vietnam	Director of Science, Technology and Energy Conservation Department, Ministry of Industry and Trade

Annex 5

Countries and Projects Visited

Country	Province / State	GEF Program ID	GEF Project ID	Agency	Project Title	Project Location
China	Gansu	3482	2369	IFAD	An IEM approach to the conservation of biodiversity in dryland ecosystems	Taizishan National Nature Reserve; Linxia Hui Autonomous Prefecture; Hezheng County
			3483	ADB	Forestry and ecological restoration project in three northwest provinces	Tianshui City, Daping village, Shifo Township
			3864	UNDP	CBPF: Strengthening Globally Important BD Conservation through Protected Area Strengthening in Gansu	Taizishan National Nature Reserve
	Ningxia		2369	IFAD	An IEM approach to the conservation of biodiversity in dryland ecosystems	Haba Lake ational Nature Reserve; Yanchi county
			2788	ADB	CBPF: Ningxia Integrated Ecosystem and Agricultural Development Project	Yinchuan City
			3484	ADB	Management and policy support to combat land degradation	Yongning County
			Non-GEF	JICA	Ningxia Afforestation and Vegetation Cover Project	Yinchuan City Yanchi County
			Non-GEF	WB	Ningxia Desertification Control and Ecological Protection Project	Yinchuan City Yanchi County
			Non-GEF	UNDP	Ningxia Anti-Desertification and Livelihood Improvement Project	Yanchi county
			Shaanxi	3483	ADB	Forestry and ecological restoration project in three northwest provinces
	3608			WB	Sustainable development in poor rural areas – SLM	Quliuyuan Village; Dingjiagou Village, Longxian County
Morocco	Marrakech	4620	5292	WB	MENA: Morocco GEF Social and Integrated Agriculture (ASIMA)	Plantation de 30000 Ha de Cactus de Rhamna, Rhamna
Jordan	Al Husseinieh		5026	WB		Al Husseinieh Hafir, Al Husseinieh

Country	Province / State	GEF Program ID	GEF Project ID	Agency	Project Title	Project Location
	Qaseer Burqu		5026	WB	MENA: Badia Ecosystem and Livelihoods Project (BELP)	Burqu lodge and Burqu Castle, Qaseer Burqu
	Al Hashemiah		5026	WB		Al Hashemiah reserve, Al Hashemiah
India	Andhra Pradesh	3661	3936	UNDP	IND-BD Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Godavari River Estuary in Andhra Pradesh State	Kakinada
	Maharashtra		3941	UNDP	IND-BD Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Malvan Coast, Maharashtra State	Sindhudurg
	Tamil Nadu	N/A	634	UNDP	Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve's Coastal Biodiversity	Gulf of Mannar

Annex 6

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