

Annual Performance Report 2015

Draft Approach Paper

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Contact

Neeraj Kumar Negi (nnegi1@thegef.org),

Senior Evaluation Officer

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1. Background and Context

1.1 Introduction

The GEF Annual Performance Report (APR), produced by the GEF Independent Evaluation Office (GEF IEO), provides a detailed overview of the effectiveness of GEF activities and processes, key factors affecting effectiveness, and the quality of Monitoring and Evaluations systems (M&E) within the GEF partnership. Along with performance ratings of completed GEF projects, the APR covers selected issues affecting the GEF partnership that have been identified as being of current interest to GEF stakeholders.

The first APR (APR2004) was presented to the GEF Council in June 2005. APR 2004 alerted the GEF partnership to the then prevalent poor quality of terminal evaluation report. In subsequent years, this led to improvement in quality of terminal evaluation reports. Since the first report, APR has addressed several important issues such as results of completed GEF projects; quality of supervision of projects under implementation; project M&E; co-financing; activity cycle; and, management costs, etc. Findings and conclusions on several of these topics have had substantial influence on GEF programs and policies, and also that of the GEF Partner Agencies. For example, analytical work on Co-financing presented in the APR2009 contributed to revision of the Co-financing Policy (2014). Findings and conclusions on quality of supervision presented in APR2006 contributed to UNEP upgrading its “project at risk” monitoring system.

APR 2015 would be the 12th APR in the series. Consistent with the earlier issues, APR 2015 will include an assessment of project outcomes, risks to the sustainability of outcomes, the quality of M&E design and implementation in completed projects, the quality of project terminal evaluation reports, and an assessment and record of the degree to which GEF Council decisions have been adopted throughout the GEF partnership. In addition, APR 2015 will also present a study on tracking tools. This is consistent with the practice in past APRs wherein different performance related topics important to the GEF partnership are addressed.

APR 2015 will report on more than 1,100 completed projects. Of these, about 158 projects will be reported on for the first time. This includes about 116 projects that were completed in recent years and about 42 projects that were completed before 2005. The reporting in the APR will include projects funded through the following trust funds: the GEF Trust Fund, the Least Developed Countries Fund (LDCF), the Special Climate Change Fund (SCCF) and the Nagoya Protocol Trust Fund. The final number of projects covered in APR 2015 will be ascertained by January 15th 2016.

As in past years, APR 2015 will present an updated account of the adoption of Council decisions that have not yet graduated from the Management Action Record (MAR). This section of APR 2015 will also cover the relevant Council decisions made during calendar year 2015.

In FY2015, the GEF IEO moved away from reporting on separate streams of its work through annual reports – i.e. annual reports on impact evaluations, country portfolio evaluations, and performance evaluations. It started presenting a synthesis of the findings and conclusions of the completed evaluations and update on the progress of the ongoing work through the Semi-Annual Evaluation Report (SAER). The first report of this series was presented to the GEF Council in June 2015. The SAER June 2015 also incorporated findings and conclusions from two performance evaluations: APR 2014 and the Mid

Term Evaluation of the Expansion of GEF Partnership. This streamlining of reporting was appreciated by the GEF Council. APR 2015 will be an input to the SAER for the Council meeting of June 2016. The full report of APR 2015 will be presented to the Council as an information document.

The Office will continue its work on revision of the terminal evaluation guidelines. As of now Agencies are expected to follow the GEF IEO's *Guidelines for GEF Agencies in Conducting Terminal Evaluations* (GEF IEO, 2008).¹ The revised guidelines will take into account the changes in the GEF Monitoring and Evaluation Policy for GEF-6. The revised guidance is expected to address concerns such as reporting on results of programs and projects under programmatic approaches, and need for different approaches in reporting on medium size projects (MSPs) and on full size projects (FSPs).

2. Evaluation Questions and Coverage/Scope

2.1 Performance and Effectiveness of Completed Projects and Programs

The performance and effectiveness of completed projects and programs, and quality of terminal evaluations, will be assessed based on an analysis of the evidence presented in the terminal evaluation reports and in other project related documents. More specifically, this assessment will seek to answer the following questions including tracking of the performance trends and synthesis of lessons relevant to future work of the GEF:

1. To what extent do the completed projects and programs achieve their expected outcomes and these outcomes are sustainable?
2. What are the key factors associated with project performance and effectiveness?
3. What is the quality of project M&E and to what extent do M&E plans for programmatic approaches provide for terminal evaluations?
4. What is the quality of reporting through terminal evaluations?

Much of analysis will be based on the performance ratings provided by either the GEF IEO or the Partner Agency evaluation offices, after an independent review of the terminal evaluations. The analysis would compare performance and effectiveness based on the countries where projects are implemented (LDC, SIDS, region, etc), focal area, including multi-focal area projects, Partner Agency, project size, and cofinancing, etc. The process has been described in detail later in this paper.

2.2 Study on Tracking Tools

GEF has developed tracking tools to monitor results and performance at the project portfolio level. The tools are aimed at rolling up indicators from the project level and at tracking overall portfolio performance in focal areas. Tracking tools were first implemented in the GEF-3 period in the Biodiversity focal area. Thereafter, these tools have been developed for other focal areas including adaptation. GEF

¹ <https://www.thegef.org/gef/Guidelines%20Terminal%20Evaluations>

Partner Agencies are expected to provide data through tracking tools at CEO Endorsement (or CEO approval for MSPs), at mid-term and at project completion.

The Fifth Overall Performance Study (OPS-5) conducted by the GEF IEO assessed the Results Based Management (RBM) system of the GEF and concluded that the requirements were burdensome as too many indicators were being tracked. It emphasized the need to streamline the tracking tools to ensure greater efficiency and compliance. It recommended that the RBM framework for GEF-6 should include a limited number of outcome indicators, and that the tracking tools should be simplified. The study on tracking tools aims to assess the extent to which the OPS-5 recommendation on the topic has been implemented, and areas where further improvements are required. The study would also provide inputs for the Sixth Comprehensive Evaluation of GEF. The study will seek to answer following questions:

1. To what extent have the focal area tracking tools, including those for multi-focal projects, been streamlined and the burden on reporting on results reduced for GEF-6?
2. What are the arrangements in place to gather, report and manage information through tracking tools?
3. To what extent are the datasets based on information gathered through tracking tools complete, accessible and in readily usable form?
4. How is the information gathered through tracking tools being utilized?

The assessment of the extent to which tracking tools have been streamlined, and the extent to which the reporting burden has changed, would be based on a comparison of the tracking tools used during the GEF-5 period and the revised tools for the GEF-6 period. The analysis would also give attention to the streamlining effort for the multi-focal projects. It will also take into account the supporting guidance provided by the Secretariat to facilitate implementation of the tracking tools. Experience on actual implementation of the GEF-6 tracking tools is likely to be limited. Nonetheless, Partner Agency staff with experience in implementation of GEF-4 and GEF-5 tracking tools are likely to provide their perspective on how the revised tools may change or are changing the reporting burden. Similarly, the study will also gather information from the GEF Secretariat staff on the actions they have undertaken to streamline the tracking tools and their perspective on tradeoffs in the design choices made.

When addressing Question 2, the study will take stock of the arrangements that are in place – at the project level, within the Partner Agencies, and at the GEF Secretariat level – to gather, manage and report information through tracking tools. The question will be addressed based on the interviews of the Secretariat and Partner Agency staff, including project managers.

Question 3 will be answered through a desk review of the datasets on tracking tools, including the filled up tracking tools, available at the Secretariat level, a determination of the extent to which tracking tools are available for all projects for which tracking tools were expected, how their use may differ for multifocal areas, and the extent to which available tracking tools are complete. The assessment will identify gaps in data and would determine whether there are patterns in compliance with expectations. The study will also assess how tracking tools are being customized for the Integrated Approach Pilots.

The study will also determine the utility of the tracking tools by taking stock of the extent the information gathered through these tools is being utilized at different levels – project, Partner Agency, and Focal Area level, for results based management and reporting. It will also take stock of how the information is being incorporated in GEF’s reporting to its Council, to the relevant Conventions, and to other stakeholders. It will also assess the extent this information is being used for learning and for improved project design.

2.3 Management Action Record

The GEF Management Action Record (MAR) tracks the level of adoption, by the GEF Secretariat and/or the GEF Partner Agencies (together here referred to as GEF Management), of GEF Council decisions that have been made on the basis of GEF IEO recommendations. The MAR serves two purposes: “(1) to provide Council a record of its decision based on the evaluation reports presented by the GEF IEO, the proposed management actions, and the actual status of these actions; and (2) to increase the accountability of GEF Management regarding Council decisions on monitoring and evaluation issues.”²

The MAR was first presented in APR 2005 and, thereafter, it has been a regular feature of the APR. Based on its experience of implementing MAR, the GEF IEO streamlined the process in FY2014-15 to make it less burdensome. There were two key changes in the approach:

- Compared to the earlier practice where all Council decisions tracked through MAR were also reported-on annually, from APR2014 onwards of the tracked decisions not all are being reported on annually. While progress on adoption of some Council decisions is still assessed based on the regular work of the GEF IEO, for others – where it is difficult to gauge compliance without a thorough assessment or where compliance may be ascertained only a certain point in the replenishment cycle – it is being assessed and reported on based on when an assessment on the topic is undertaken.
- Where appropriate, the decisions tracked may be graduated from MAR if ‘substantial’ rating or higher have been achieved. Up to APR 2013 the decisions could be graduated only if a ‘High’ rating has been achieved.

These changes in approach mean that at the start of the MAR process for a given year, the GEF IEO determines whether a decision needs to be reported on in MAR in that year. If a decision does not need to be reported that year, then the GEF IEO lists these decisions as those for which reporting has been deferred along with information on when and how the adoption of the decision will be assessed in future.

Ten Council decisions would be tracked through MAR 2015. Two new decisions, one from the June 2015 Council meeting, and the other from the October 2015 Council meeting, have been added to the MAR for tracking. In addition to GEF Council decisions, since APR 2012 the Independent Evaluation Office has

started tracking adoption of the decisions of the Least Developed Countries Fund and Special Climate Change Fund (LDCF/SCCF) Council. Where applicable these decisions would also be tracked.

For each tracked GEF Council and LDCF/SCCF Council decision that is reported on, self-ratings are provided by GEF Management on the level of adoption along with commentary as necessary. Ratings and commentary on tracked decisions are also provided by the GEF Independent Evaluation Office for verification. The rating categories for the progress of adoption of Council decisions were agreed upon through a consultative process of the Independent Evaluation Office, the GEF Secretariat, and the GEF Agencies. Categories are as follows: high, substantial, medium, negligible, not rated or possible to verify yet, or, N/A - Not-applicable. The Council decisions may be graduated or retired from the MAR because of high or substantial level of adoption of Council decision, or where a decision has become less relevant or subsequent Council decisions have made high/substantial level of adoption difficult, or further progress on adoption is likely to be slow and long drawn. An automatic reason for retiring is that a decision has been tracked in MAR for five years.

Table 1. Decisions tracked in APR 2014 and/or to be tracked in APR2015

Criteria	Number
Total number of GEF Council decisions tracked in APR 2014	22
Number of GEF Council decisions retired or graduated in APR 2014	14
Number of GEF Council decisions deferred in APR 2014	4
The GEF Council decisions reported on in APR 2014 for tracking and reporting in APR 2015	4
Number of GEF Council decisions tracked for first time in APR 2015	2
Number of deferred decisions tracked for the first time in APR 2015	0
Total number of GEF Council decisions planned to be tracked in APR 2015 (4+4+2)	10

GEF Cross Cutting Issues

Gender has been an important cross cutting theme which has been dominant in the GEF-6 replenishment process. One of the GEF-6 policy recommendations was that the GEF Secretariat develop an action plan on gender in order to operationalize the 2012 GEF Policy on Gender Mainstreaming. A study on gender is planned as an input to the Sixth Comprehensive Evaluation of the GEF. The study will assess whether the issues that the 2012 gender policy identified are being addressed at the project preparation and implementation stages using the analysis on gender undertaken in 2013 for the Fifth Overall Performance Study of GEF as a baseline. Although preparations for this study would start during FY2016, the study will not be ready for inclusion in APR2015 but would be included in APR2016. Other cross-cutting issues such as, stakeholder engagement, resilience, and social and environmental risks, safeguards or performance standards, will not be addressed in detail in this APR.

2.4 Coverage of Completed Projects in APR 2015

The GEF Agencies are required to submit terminal evaluations for completed GEF projects, with some exceptions. The Agencies are not required to submit terminal evaluations for activities under the Small Grants Programme (SGP), as well as Enabling Activities with GEF funding below \$0.5 million. These

activities are not covered in regular reporting through the APR.³ Based on Agency submissions of terminal evaluations to date and updates from the Partner Agencies, it is likely that about 158 completed projects will be covered for the first time in APR 2015. Of these, about 116 projects were completed after 2005, and about 42 were completed in or before 2005. Table 2 summarizes the number of projects by focal area for the APR2015 cohort, as well as the pre-2005 projects which will be reported on in APR2015 for the first time.

Table 2 Number of Projects by Focal Area in APR2015 Cohort and Pre-2005 cohort

Focal Areas	APR2015 Cohort	Pre-2005 cohort	Grand Total
Biodiversity	31	6	37
Climate Change	48	18	66
International Waters	13	9	22
Land Degradation	8	—	8
Multi Focal Area	12	2	14
Ozone Depleting Substances	1	7	8
POPs	3	—	3
Grand Total	116	42	158

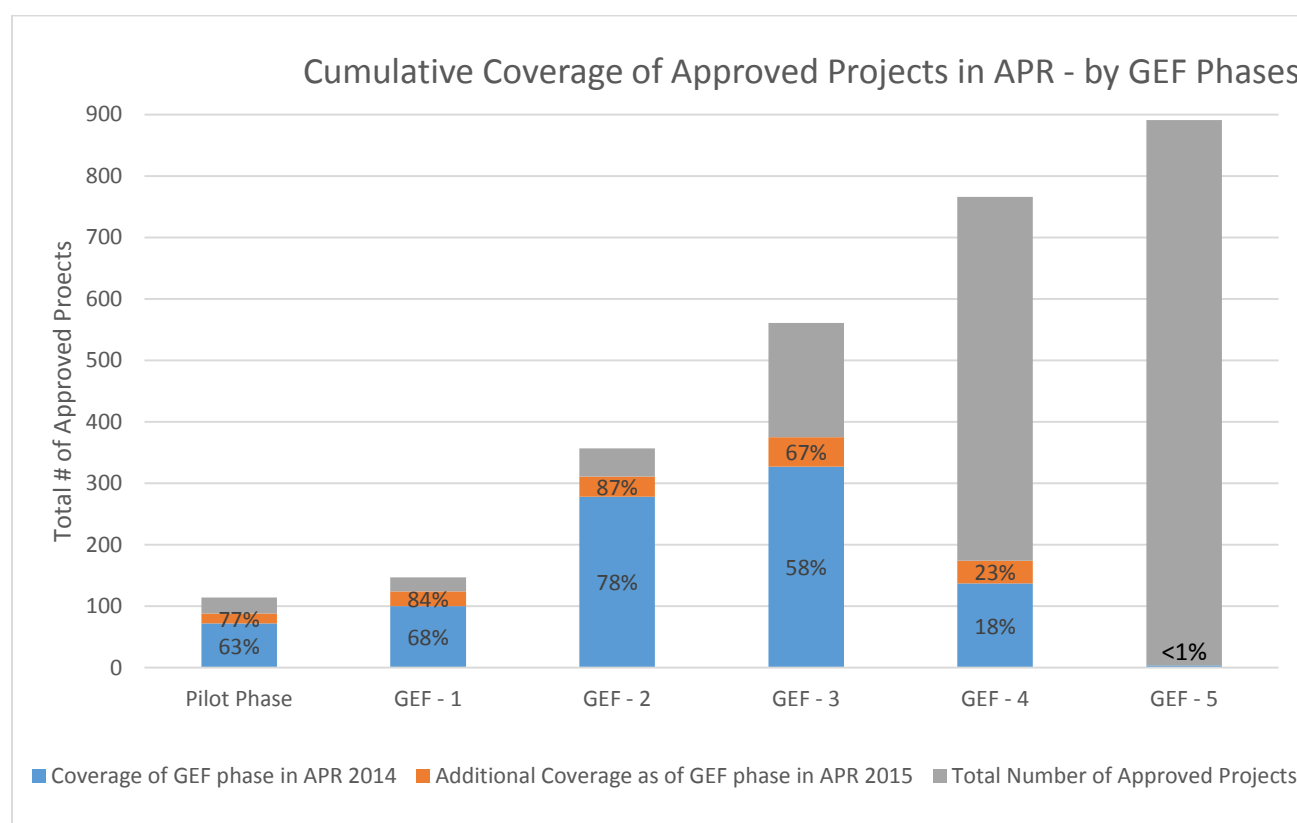
All of the terminal evaluations used for analysis and reporting in APRs are first reviewed to verify that ratings are properly substantiated, and where needed, to provide additional or revised ratings (such as for Quality of Terminal Evaluations). For earlier APR years, this oversight was performed entirely by the GEF IEO. Beginning in 2009, GEF IEO began accepting ratings from the independent evaluation offices of the World Bank Group, UNEP, and subsequently UNDP. This approach, which reduces duplicative work, follows the GEF IEO finding that ratings from these three evaluation offices are largely consistent with those of the GEF IEO (GEF IEO 2009). The GEF IEO will consider accepting the ratings provided by the evaluation offices of the other GEF agencies. The GEF IEO is also open to working with the Agency evaluation offices so that the independent review of terminal evaluations may be jointly undertaken. To track whether ratings provided by Agency evaluation offices continue to be consistent with the GEF IEO ratings, the Office will continue to conduct reviews for some of their terminal evaluations on a random sample basis. For APR 2015, where ratings from the independent evaluation offices of the GEF Partner Agencies are available, they will be reported in the APR. In their absence, GEF IEO ratings will be used.

As part of the work for APR 2014, the GEF IEO identified the projects completed before 2005 for which terminal evaluations had become available but had not yet been reported on in the APR. By reviewing the terminal evaluations for such projects, the GEF IEO was able to enhance the coverage of completed

³ Among the projects contained in the APR cohorts of the preceding periods are two Enabling Activities that have met the threshold for review. For analysis, these have been grouped with Full-Sized projects based on the size of associated GEF funding

projects for the Pilot Phase, GEF-1 and GEF2. Figure 1 presents an overview of the progress thus far, and the additional coverage in APR 2015. Increased coverage of projects from earlier periods has made the GEF IEO project results and performance datasets more complete. The Office has identified 42 more projects completed before 2005 to be included in APR 2015 for increasing the coverage. After this effort, the coverage of projects from the earlier replenishment periods would be more or less complete.

Figure 1. Percentage of approved projects covered in APR 2014, and additional coverage through APR 2015. Excludes Enabling Activities <\$0.5M and the GEF Small Grants Program.



2.5 Assessment of Arrangements for Conducting Terminal Evaluations for Programmatic Approaches

A continuing challenge is reporting on projects that had been approved under a programmatic approach through APR. This problem is being tackled through revision of the GEF M&E policy. Where possible, APR 2015 will report on the results of the completed project within the programmatic approach. The Office will also conduct a desk based survey of the M&E plans of programmatic approaches – including the child projects – approved by the GEF since GEF-4 and the arrangements specified in the program documents on evaluation of the program and child projects approved within the framework of the program.

3. Evaluation Design and Evaluability Assessment

3.1 Ratings scales for terminal evaluation reviews

APR 2015 will report on outcome achievements, risks to sustainability of outcome achievements, quality of M&E design and implementation, quality of implementation and execution of completed projects, and quality of terminal evaluation reports. Risks to sustainability of outcome achievements will be rated on a four-point scale, while all other indicators will be rated on a six-point scale. Annex 2 provides more information on the ratings scales.

3.2 Data Requirements

Data used in APR 2015 will be drawn primarily from Terminal Evaluations, Terminal Evaluation reviews, the GEF Secretariat PMIS system, and Trustee data on fund disbursements. The tracking tools sub study will utilize data from interviews with Secretariat Staff, GEF Partner Agency staff, as well as available tracking tools datasets and review of other relevant literature.

3.3 Design Strengths and limitations

As noted earlier, where terminal evaluation reviews prepared by the evaluation offices of the agencies are available, the GEF IEO accepts these ratings. In other instances it undertakes reviews to provide its own performance ratings. In addition, it also reviews some of the terminal evaluations for which agency evaluation offices have conducted reviews to ensure that the ratings from the GEF IEO and the Partner Agency evaluation offices remain consistent. The procedure for this GEF IEO review of terminal evaluations is as follows. Using a set of detailed guidelines to ensure that uniform criteria are applied (see Annex B for these guidelines), GEF IEO reviewers assess the degree to which project ratings provided in terminal evaluations are properly substantiated, and address the objectives and outcomes set forth in the project design documents approved by the GEF Council and/or GEF CEO. In the process of drafting a terminal evaluation review, a peer reviewer with substantial experience in assessing terminal evaluations provides feedback on the report. This feedback is incorporated into subsequent versions of the report.

When a primary reviewer proposes downgrading of project outcome ratings from the satisfactory range to the unsatisfactory range, a senior evaluation officer in the GEF IEO also examines the review to ensure that the proposed rating is justified. In cases where a terminal evaluation report provides insufficient information to make an assessment or to verify the report's ratings on any of the performance dimensions, the Evaluation Office rates the performance as "Unable to Assess," and excludes it from further analysis on the respective dimension. Reviews are then shared with the GEF agencies and, after their feedback is taken into consideration, the reviews are finalized.

Project ratings are aggregated and assessed by APR year cohorts, project completion year and by replenishment periods in which the underlying projects were approved. Each approach on its own has some strengths and weaknesses. For example, while APR year cohorts are always complete (the data for past years does not change), this approach does not track the underlying performance of the portfolio as accurately. At the other extreme while analysis based on GEF replenishment periods (in which the

underlying projects were approved) is probably more effective in tracking trends, due to considerable variation in project implementation and completion period it takes a long time before such reporting is feasible. Based on what is appropriate for a given topic, the GEF IEO will use one of, or a combination of, these approaches.

Although there are several common elements in the review and rating approach adopted by the evaluation offices of the Partner Agencies, they are not entirely consistent with the approach adopted by the GEF IEO. Although GEF IEO's approach to adopt the ratings provided by the agency evaluation offices reduces the duplication of effort, it introduces a potential source of variation in rating and makes inter-agency comparisons difficult. Over the years the IEO has tracked the difference in the ratings provided by the GEF IEO and the agency evaluation offices, and has found that the difference is not statistically significant although the number of observations is also still low. The GEF IEO will continue to track these differences through conducting independent reviews on a sample basis.

For the tracking tool study the approach adopted for gathering information is appropriate given that the study is aimed at providing real time feedback. The approach will provide solid information on the experience with the GEF-5 tools along with rich information on collection, management and reporting of data gathered through tracking tools across and beyond the GEF partnership. However, given that the tracking tools for GEF-6 period have been implemented only recently, it may be anticipated that much of the information gathered on strengths and weaknesses of the GEF-6 tracking tools would not be based on actual experience but will – at best – be based on well informed opinions.

4. Stakeholder and Peer Feedback

In addition to quality control mechanisms within the terminal evaluation review process, the preliminary findings of the APR are shared with the key stakeholders through an interagency meeting. The datasets emerging from the terminal evaluation reviews are also shared. The meeting provides an opportunity to the key stakeholders such as GEF Partner Agencies, the Secretariat, STAP, and the CSO Network, to provide feedback on the emerging findings of the APR. The draft report of the APR is also shared with the key stakeholders to get their feedback on the emerging conclusions, and to identify errors of analysis and of omission and commission. The finding of the terminal evaluation review process and the study on tracking tools will be vetted in this manner.

5. Expected Outputs, Outreach and Tracking

The APR is largely intended for the GEF Council and a GEF corporate audience, including the GEF Secretariat, the GEF Partner Agencies, STAP, and the CSO Network. The report will be delivered in time for the June 2016 Council meeting (June 7th to 9th 2016). At that point, it will have been circulated among and discussed with GEF Secretariat and GEF Agency staff, and its findings and conclusions incorporated in GEF IEO SAER for summer 2016 Council meeting. By the time the full report is presented to the Council as an information document, the key stakeholders such as GEF Partner Agencies, GEF

Secretariat and STAP, would have had an opportunity to review it, provide feedback, and think about ways to address its findings. The report will be published on the GEF IEO website and distributed via email among the GEF Council members, GEF country focal points, GEF Secretariat, Partner Agencies, and the CSO network. Hard copies may also be printed at request of the key stakeholders. An interactive dashboard will be created to enable users to view results and trends. The Office may develop other knowledge products and services targeted to specific audiences.

6. Resources and Schedule

6.1 Evaluation Team

The report will be prepared by a team including Neeraj Kumar Negi, Senior Evaluation Officer; Molly Watts, consultant; and several other consultants.

6.2 Schedule of Work Activities

The report will be delivered in the second half of FY16, in time for the June 2016 GEF Council meeting. Table 3 shows the schedule of work activities for completion and presentation of the findings of APR 2015. The schedule of work has been prepared keeping in mind the GEF Council meeting schedule.

Table 3. Schedule of work activities for completion and presentation of APR 2015

Project milestone	Work period or completion date
Approach paper	November 2015
Review of terminal evaluations	Nov 2015 to Feb 2016
Data gathering for study on tracking tools	Nov 2015 to Feb 2016
Presentation of draft APR at Inter-Agency meeting	End of March 2016
Draft report of preliminary findings	April 10 th , 2016
APR2015 incorporated in draft SAER	April 15 th , 2016
APR2015 finalized	April 20 th , 2016
Council information document of APR 2015 uploaded	May 6 th , 2016
Publication of the finalized report of APR 2015	June to September 2016

Annex A

a. List of projects included in APR 2015 cohort

Table 3. The list of 116 projects provided here is tentative and will be updated once the list is finalized

GEF_ID	Project Name	Agency	Country	Type	Focal Area	GEF Phase
8	Rural Energy	World Bank	Guinea	FP	CC	GEF - 2
11	Enabling Activity for the Preparation of India's Initial Communication to the UNFCCC	UNDP	India	EA	CC	GEF - 2
31	Introduction of Viable Electric and Hybrid-Electric Bus Technology	UNDP	Egypt	MSP	CC	GEF - 2
91	Small and Medium Scale Enterprise Program (IFC)	World Bank/IFC	Global	FP	MF	GEF - 1
111	Energy Efficiency Co-Financing Program	World Bank/IFC	Hungary	FP	CC	GEF - 1
124	Renewable Energy in Rural Markets Project	World Bank	Argentina	FP	CC	GEF - 1
261	Capacity Building for the Rapid Commercialization of Renewable Energy	UNDP	China	FP	CC	GEF - 1
304	Promoting Methane Recovery and Utilization from Mixed Municipal Waste	UNDP	China	FP	CC	GEF - 1
519	Efficient Lighting Initiative (Tranche I)	World Bank/IFC	Global	FP	CC	GEF - 2
590	Elimination of Ozone Depleting Substances in the Production of Household Refrigerators and Freezers	World Bank/IFC	Slovak Republic	FP	ODS	GEF - 1
614	Demonstrations of Innovative Approaches to the Rehabilitation of Heavily Contaminated Bays in the Wider Caribbean	UNDP/UNEP	Regional	FP	IW	GEF - 2
652	CEPALCO Distributed Generation PV Power Plant	World Bank/IFC	Philippines	FP	CC	GEF - 2
660	Barrier Removal to Secure PV Market Penetration in Semi-Urban Sudan	UNDP	Sudan	MSP	CC	GEF - 2

666	Coastal Zone Management along the Gulf of Aden	World Bank	Yemen	MSP	BD	GEF - 2
765	West Java/Jakarta Environmental Management Project	World Bank	Indonesia	FP	CC	GEF - 2
781	Enabling China to Prepare Initial National Communication to the UNFCCC	UNDP	China	EA	CC	GEF - 2
787	Rural Energy for Development	World Bank	Uganda	FP	CC	GEF - 2
841	Barrier Removal for Efficient Lighting Products and Systems	UNDP	China	FP	CC	GEF - 2
965	Systems Efficiency Improvement, Equitization and Renewables (SEER) Project - Renewables Components	World Bank	Vietnam	FP	CC	GEF - 2
967	Private Sector Led Development of On-Grid Wind Power in Tunisia	UNDP	Tunisia	FP	CC	GEF - 3
968	Strengthening the National System of Protected Areas	UNDP	Cuba	FP	BD	GEF - 2
1064	Strengthening Capacity for Managing National Parks and Biodiversity	World Bank	Gabon	FP	BD	GEF - 3
1074	DBSB: Anatolia Watershed Rehabilitation Project - under WB-GEF Strategic Partnership for Nutrient Reduction in the Danube River and Black Sea	World Bank	Turkey	FP	IW	GEF - 2
1089	Asian Conservation Company (ACC)	World Bank/IFC	Philippines	FP	BD	GEF - 2
1144	Komodo National Park Collaborative Management Initiative	World Bank/IFC	Indonesia	FP	BD	GEF - 2
1189	Integrated Marine and Coastal Resource Management	World Bank	Senegal	FP	BD	GEF - 3
1234	Community-based Coastal and Marine Biodiversity Management Project	World Bank	Benin	FP	BD	GEF - 3
1270	Marine Electronic Highway Demonstration	World Bank	Regional	FP	IW	GEF - 3

1273	Coastal Marine and Biodiversity Management	World Bank	Guinea	FP	BD	GEF - 3
1300	Ecosystem Management of the Salar del Huasco for Biodiversity Conservation and Sustainable Use Outside Protected Areas	UNDP	Chile	MSP	BD	GEF - 2
1302	Conservation of Key Forests in the Sangihe-Talaud Islands	World Bank	Indonesia	MSP	BD	GEF - 2
1358	Renewable Energy-based Electricity Generation for Isolated Mini-grids	UNEP	Zambia	FP	CC	GEF - 3
1361	Generation and Delivery of Renewable Energy Based Modern Energy Services in Cuba; the case of Isla de la Juventud	UNEP	Cuba	FP	CC	GEF - 3
1400	Capacity Building for the Implementation of the Cartagena Protocol on Biosafety	UNDP	Mexico	MSP	BD	GEF - 2
1439	Efficient Lighting Initiative (ELI)	World Bank/IFC	Global	FP	CC	GEF - 2
1476	Caatinga Conservation and Sustainable Management Project	World Bank	Brazil	FP	MF	GEF - 3
1490	Mekong River Basin Wetland Biodiversity Conservation and Sustainable Use Program	UNDP	Regional	FP	BD	GEF - 2
1532	Electric Cooperative System Loss Reduction Project	World Bank	Philippines	FP	CC	GEF - 3
1541	Commercializing Energy Efficiency Finance (CEEFF) - Tranche I	World Bank/IFC	Regional	FP	CC	GEF - 2
1615	Geothermal Energy Development Program , GeoFund	World Bank	Regional	FP	CC	GEF - 3
1637	Community Management of the Bio-Itza Reserve Project	World Bank	Guatemala	MSP	BD	GEF - 2
1685	FC-1: Fuel Cells Financing Initiative for Distributed Generation Applications (Phase 1)	World Bank/IFC	Global	FP	CC	GEF - 3

1889	Hazard Risk Mitigation and Emergency Preparedness Project	World Bank	Romania	FP	IW	GEF - 3
1892	Heat Reform and Building Energy Efficiency Project	World Bank	China	FP	CC	GEF - 3
1916	Marine Aquarium Market Transformation Initiative (MAMTI)	World Bank/IFC	Regional	FP	BD	GEF - 3
2014	Incorporating Non-Motorized (NMT) Transport Facilities in the City of Gaborone	UNDP	Botswana	MSP	CC	GEF - 3
2098	Western Indian Ocean Marine Highway Development and Coastal and Marine Contamination Prevention Project	World Bank	Regional	FP	IW	GEF - 3
2101	Marine and Coastal Environment Management Project (MACEMP)	World Bank	Tanzania	FP	MF	GEF - 3
2111	Russian Sustainable Energy Finance Program	World Bank/IFC	Russian Federation	FP	CC	GEF - 3
2129	Demonstrating and Capturing Best Practices and Technologies for the Reduction of Land-sourced Impacts Resulting from Coastal Tourism	UNEP	Regional	FP	IW	GEF - 3
2174	Commercializing Energy Efficiency Finance (CEEF) - Tranche II	World Bank/IFC	Regional	FP	CC	GEF - 2
2360	PCB Management and Disposal Demonstration	World Bank	China	FP	POPs	GEF - 3
2366	Southern Provinces Rural Electrification II Program	World Bank	Lao PDR	FP	CC	GEF - 3
2374	Rural Energy II	World Bank	Vietnam	FP	CC	GEF - 3
2387	National Communications Programme for Climate Change	UNDP/UNEP	Global	EA	CC	GEF - 3
2391	Facilitation of Financing for Biodiversity-based Businesses and Support of Market Development Activities in the Andean Region	UNEP	Regional	FP	BD	GEF - 4

2441	LDC and SIDS Targeted Portfolio Approach For Capacity Development and Mainstreaming of Sustainable Land Management	UNDP	Global	FP	LD	GEF - 3
2504	CACILM: Central Asian Countries Initiative for Land Management Multi-country Partnership Framework Phase 1	ADB	Regional	FP	LD	GEF - 3
2515	Decentralized GEF Medium-sized Grants Programme	World Bank	Argentina	FP	MF	GEF - 3
2551	Colombian National Protected Areas Conservation Trust Fund	World Bank	Colombia	FP	BD	GEF - 3
2605	Transitional Agriculture Reform	World Bank	Serbia	FP	BD	GEF - 3
2609	GEF-World Bank-China Urban Transport Partnership Program (CUTPP)	World Bank	China	FP	CC	GEF - 4
2618	Biodiversity and Agricultural Commodities Program (BACP), Phase 1	World Bank/IFC	Global	FP	BD	GEF - 3
2624	China Utility-Based Energy Efficiency Finance Program (CHUEE)	World Bank/IFC	China	FP	CC	GEF - 3
2648	Capacity Building for the Implementation of the National Biosafety Framework	UNEP	Tunisia	MSP	BD	GEF - 3
2720	Regional Project to Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention	UNIDO	Regional	FP	POPs	GEF - 3
2751	SFM Rehabilitation and Sustainable Use of Peatland Forests in South-East Asia	IFAD	Regional	FP	MF	GEF - 4

2758	WB/GEF POL: Coastal Cities Environment and Sanitation Project - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	World Bank	Vietnam	FP	IW	GEF - 3
2759	WB/GEF POL: Manila Third Sewerage Project (MTSP) - under WB/GEF Partnership Investment Fund for Pollution Reduction in the LME of East Asia	World Bank	Philippines	FP	IW	GEF - 3
2761	National Program Support for Environment and Natural Resources Management Project (NPS-ENRMP)	World Bank	Philippines	FP	MF	GEF - 3
2806	Promoting Payments for Environmental Services (PES) and Related Sustainable Financing Schemes in the Danube Basin	UNEP	Regional	MSP	BD	GEF - 4
2822	Support the Implementation of the National Biosafety Framework	UNEP	Mauritius	MSP	BD	GEF - 3
2828	Rural Electrification and Renewable Energy Development	World Bank	Nigeria	MSP	CC	GEF - 3
2876	SPWA-CC: Ouagadougou Transport Modal Shift	World Bank	Burkina Faso	MSP	CC	GEF - 4
2884	Mainstreaming Market-based Instruments for Environmental Management Project	World Bank	Costa Rica	FP	BD	GEF - 3
2889	Zambezi Valley Market Led Smallholder Development	World Bank	Mozambique	FP	MF	GEF - 3
2902	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region	World Bank	Regional	FP	CC	GEF - 4
2911	West African Regional Biosafety Program	World Bank	Regional	FP	BD	GEF - 3

2918	Sustainable Energy Development Project (SEDP)	World Bank	Rwanda	FP	CC	GEF - 3
2947	Renewable Energy and Rural Electricity Access (RERA)	World Bank	Mongolia	FP	CC	GEF - 3
2952	Thermal Power Efficiency	World Bank	China	FP	CC	GEF - 4
2996	Portfolio Approach to Distributed Generation Opportunity (PADGO) (Phase 1)	World Bank/IFC	Sri Lanka	FP	CC	GEF - 3
3227	Conservancy Adaptation Project	World Bank	Guyana	FP	CC	GEF - 3
3263	Strengthening Institutions, Regulations and Enforcement Capacities for Effective and Efficient Implementation of the National Implementation Plan (NIP) in China	UNIDO	China	FP	POPs	GEF - 4
3271	SP-SFIF Regional Activities of the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub Saharan Africa - Tranche 1	World Bank	Regional	MSP	IW	GEF - 3
3314	SP-SFIF: Sustainable Management of Fish Resources - under the Strategic Partnership for a Sustainable Fisheries Investment Fund in the Large Marine Ecosystems of Sub-Saharan Africa	World Bank	Senegal	FP	IW	GEF - 3
3343	Enhancing the Use of Science in International Waters Projects to Improve Project Results	UNEP	Global	MSP	IW	GEF - 4
3363	SIP: Integrated Ecological Planning and Sustainable Land Management in Coastal Ecosystems in the Comoros in the Three Island of (Grand Comore, Anjouan, and Moheli)	IFAD	Comoros	MSP	MF	GEF - 4

3379	SIP: Participatory Environmental Protection and Poverty Reduction in the Oases of Mauritania	IFAD	Mauritania	FP	LD	GEF - 4
3384	SIP: Scaling up SLM Practice, Knowledge, and Coordination in Key Nigerian States	World Bank	Nigeria	FP	LD	GEF - 4
3390	SIP: Lower Usuthu Smallholder Irrigation Project (LUSIP)	IFAD	Swaziland	FP	MF	GEF - 4
3468	SLEM/CPP: Institutional Coordination, Policy Outreach and M & E Project under Sustainable Land and Ecosystem Management Partnership Program	World Bank	India	MSP	LD	GEF - 4
3471	SLEM/CPP: Sustainable Land Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector	World Bank	India	FP	MF	GEF - 4
3479	CO-EFFICIENCY: Improving Energy Efficiency in Buildings in Colombia through Synergies between Environmental Conventions	UNDP	Colombia	MSP	CC	GEF - 4
3484	PRC-GEF Partnership: Capacity and Management Support for Combating Land Degradation in Dryland Ecosystems	ADB	China	FP	LD	GEF - 4
3562	Latin-America: Communication and Public Awareness Capacity-Building for Compliance with the Cartagena Protocol on Biosafety	World Bank	Regional	MSP	BD	GEF - 4
3567	CPP: Burkina Faso - Sub-programme of the Northern Region-under Partnership Programme for Sustainable Land Management	IFAD	Burkina Faso	FP	LD	GEF - 3

3628	MENARID: Cross Cutting M & E Functions and Knowledge Management for INRM within the MENARID Programme Framework	IFAD	Regional	MSP	LD	GEF - 4
3630	BS Development of Biosafety Mechanisms to Strengthen the Implementation of the Cartagena Protocol in Guatemala	UNEP	Guatemala	MSP	BD	GEF - 4
3642	BS Support the Implementation of the National Biosafety Framework of LAO PDR	UNEP	Lao PDR	MSP	BD	GEF - 4
3645	MENARID: Reducing Risks to the Sustainable Management of the North West Sahara Aquifer System (NWSAS)	UNEP	Regional	MSP	IW	GEF - 4
3668	Extension of Kasanka Management System to Lavushi Manda National Park	World Bank	Zambia	MSP	BD	GEF - 4
3671	Energy Efficiency Investment Support Framework	World Bank	Jordan	MSP	CC	GEF - 4
3692	Effective Management of Nkhotakota Wildlife Reserve (PDMNWR)	World Bank	Malawi	MSP	BD	GEF - 4
3728	Strengthening of The Gambia's Climate Change Early Warning Systems	UNEP	Gambia	MSP	CC	GEF - 4
3818	SFM Capacity Development for Climate Change Mitigation through Sustainable Forest Management in non-Annex I Countries	World Bank	Global	MSP	MF	GEF - 4
3838	Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas	UNEP	Rwanda	FP	CC	GEF - 4

3882	SLEM/CPP: Reversing Environmental Degradation and Rural Poverty through Adaptation to Climate Change in Drought Stricken Areas in Southern India: A Hydrological Unit Pilot Project Approach (under India: SLEM)	FAO	Global	MSP	CC	GEF - 4
3886	Colombian National Protected Areas Conservation Trust Fund – Additional Financing for the Sustainability of the Macizo Regional Protected Area System (SIRAPM)	World Bank	Colombia	FP	BD	GEF - 4
3960	CBSP-Capacity Building for Regional Coordination of Sustainable Forest Management in the Congo Basin under the GEF Program for the Congo Basin	World Bank	Regional	MSP	MF	GEF - 4
4010	BS: Capacity Building for Biosafety Implementation	UNEP	Mongolia	MSP	BD	GEF - 4
4027	Global Partnership with Fisheries Industry for the Sustainability of Living Aquatic Resources	World Bank	Global	MSP	IW	GEF - 4
4169	SPWA-BD: Scaling up the impacts of goods practices in linking poverty alleviation and biodiversity conservation	World Bank	Regional	MSP	BD	GEF - 4
4210	Sustainable Urban Transport in Chiang Mai	World Bank	Thailand	MSP	CC	GEF - 4
4219	Emergency program for solar power generation and lighting for Haiti, as a consequence of the Earthquake in Port au Prince.	World Bank/IADB	Haiti	MSP	CC	GEF - 4
4285	Promoting Energy Efficiency Technologies in Beer Brewing Sector in Burkina Faso	UNIDO	Burkina Faso	MSP	CC	GEF - 4

Annex B. Terminal Evaluation Report Review Guidelines

The assessments in the terminal evaluation reviews will be based largely on the information presented in the terminal evaluation report. If insufficient information is presented in a terminal evaluation report to assess a specific issue such as, for example, quality of the project's monitoring and evaluation system or a specific aspect of sustainability, then the preparer of the terminal evaluation reviews will briefly indicate so in that section and elaborate more if appropriate in the section of the review that addresses quality of report. If the review's preparer possesses other first-hand information such as, for example, from a field visit to the project, and this information is relevant to the terminal evaluation reviews, then it should be included in the reviews only under the heading "Additional independent information available to the reviewer." The preparer of the terminal evaluation review will take into account all the independent relevant information when verifying ratings.

B.1 Criteria for Outcome Ratings

Based on the information provided in the terminal evaluation report, the terminal evaluation review will make an assessment of the extent to which the project's major relevant objectives were achieved or are expected to be achieved⁴, relevance of the project results, and the project's cost-effectiveness. The ratings on the outcomes of the project will be based on performance on the following criteria:⁵

- a) **Relevance.** Were project outcomes consistent with the focal area/operational program strategies and country priorities? Explain.
- b) **Effectiveness.** Are project outcomes commensurate with the expected outcomes (as described in the project document) and the problems the project was intended to address (that is, the original or modified project objectives)?
- c) **Efficiency.** Include an assessment of outcomes and impacts in relation to inputs, costs, and implementation times based on the following questions: Was the project cost-effective? How does the project's cost/time versus outcomes equation compare to that of similar projects? Was the project implementation delayed due to any bureaucratic, administrative, or political problems and did that affect cost-effectiveness?

An overall rating will be provided according to the achievement and shortcomings in the three criteria ranging from highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, highly unsatisfactory, and unable to assess.

The reviewer of the terminal evaluation will provide a rating under each of the three criteria (relevance, effectiveness, and efficiency). Relevance of outcomes will be rated on a binary scale: a 'satisfactory' or

⁴ *Objectives* are the intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002).

⁵ *Outcomes* are the likely or achieved short-term and medium-term effects of an intervention's outputs. Outputs are the products, capital goods, and services that result from a development intervention; these may also include changes resulting from the intervention that are relevant to the achievement of outcomes (OECD DAC 2002). For the GEF, environmental outcomes are the main focus.

an 'unsatisfactory' rating will be provided. If an 'unsatisfactory' rating has been provided on this criterion, the overall outcome achievement rating may not be higher than "unsatisfactory". Effectiveness and Efficiency will be rated as following:

- **Highly satisfactory.** The project had no shortcomings. The actual outcomes were significantly higher than the ex-ante expectations.
- **Satisfactory.** The project had minor shortcomings. The actual outcomes were commensurate with the ex-ante expectations.
- **Moderately satisfactory.** The project had moderate shortcomings. The actual outcomes were slightly lower than the ex-ante expectations but with several area areas where performance matched the expectations.
- **Moderately unsatisfactory.** The project had significant shortcomings. The actual outcomes were lower than the ex-ante expectations, with a few area areas where performance matched the expectations.
- **Unsatisfactory.** The project had major shortcomings and the actual outcomes were substantially lower than the ex-ante expectations.
- **Highly unsatisfactory.** The project had severe shortcomings and actual outcomes were negligible or absent compared to the ex-ante expectations.
- **Unable to assess.** The reviewer was unable to assess outcomes on this dimension.

In providing a rating, a reviewer will look for the description that best fits the achievements of a project. The calculation of the overall outcomes score of projects will consider all three criteria, of which relevance criterion will be applied first - the overall outcome achievement rating may not be higher than "unsatisfactory". The second constraint that is applied is that the overall outcome achievement rating may not be higher than the "effectiveness" rating. The third constraint that is applied is that the overall rating may not be higher than the average score of effectiveness and efficiency criteria calculated using the following formula:

$$\text{Outcomes} = (b + c) \div 2$$

In case the average score is lower than the score obtained after application of the first two constraints, then the average score will be the overall score. The score will then be converted into an overall rating with mid values being rounded up upwards.

B.2 Impacts

Has the project achieved impacts, or is it likely that outcomes will lead to the expected impacts? Impacts will be understood to include positive and negative, primary and secondary long-term effects produced by a development intervention. They could be produced directly or indirectly and could be intended or unintended. The terminal evaluation review's preparer will take note of any mention of impacts, especially global environmental benefits, in the terminal evaluation report including the likelihood that the project outcomes will contribute to their achievement. Negative impacts mentioned in the terminal evaluation report should be noted and recorded in section 2 of the terminal evaluation reviews

template in the subsection on “Issues that require follow-up.” Although project impacts will be described, they will not be rated.

B.3 Criteria for Sustainability Ratings

Sustainability will be understood as the likelihood of continuation of project benefits after completion of project implementation (GEF 2000). To assess sustainability, the terminal evaluation reviewer will identify and assess the key risks that could undermine continuation of benefits at the time of the evaluation. Some of these risks might include the absence of or inadequate financial resources, an enabling legal framework, commitment from key stakeholders, relevant environmental factors, and an enabling economy. The following four types of risk factors will be assessed by the terminal evaluation reviewer to rate the likelihood of sustainability of project outcomes: financial, sociopolitical, institutional frameworks and governance, and environmental.

The following questions provide guidance to assess if the factors are met:

- **Financial resources.** What is the likelihood that financial resources will be available to continue the activities that result in the continuation of benefits (income-generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project outcomes)?
- **Sociopolitical.** Are there any social or political risks that can undermine the longevity of project outcomes? What is the risk that the level of stakeholder ownership is insufficient to allow for project outcomes/benefits to be sustained? Do the various key stakeholders see in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project?
- **Institutional framework and governance.** Do the legal frameworks, policies, and governance structures and processes pose any threat to the continuation of project benefits? While assessing this parameter, consider if the required systems for accountability and transparency, and the required technical know-how, are in place.
- **Environmental.** Are there any environmental risks that can undermine the future flow of project environmental benefits? The terminal evaluation should assess whether certain activities in the project area will pose a threat to the sustainability of project outcomes. For example, planned construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project.

The reviewer will provide an overall risk rating after assessing the overall level of risks (taking into account risks related to financial resources, sociopolitical, institutional, environmental factors, and other risks as applicable) as follows:

- **Likely.** There are no risks affecting that criterion of sustainability.
- **Moderately likely.** There are moderate risks that affect that criterion of sustainability.
- **Moderately unlikely.** There are significant risks that affect that criterion of sustainability.
- **Unlikely.** There are severe risks affecting that criterion of sustainability.

- **Unable to assess.** Unable to assess risk on this dimension.
- **Not applicable.** This dimension is not applicable to the project.

B.4 Criteria for Assessment of Quality of Project M&E Systems

GEF projects are required to develop M&E plans by the time of work program inclusion, to appropriately budget M&E plans, and to fully carry out the M&E plan during implementation. Project managers are also expected to use the information generated by the M&E system during project implementation to improve and adapt the project to changing situations. Given the long-term nature of many GEF projects, projects are also encouraged to include long-term monitoring plans that measure results (such as environmental results) after project completion. Terminal evaluation reviews will include an assessment of the achievement and shortcomings of M&E systems.

- M&E design.** Project should have a sound M&E plan to monitor results and track progress in achieving project objectives. An M&E plan should include a baseline (including data, methodology, and so on), SMART (specific, measurable, achievable, realistic, and timely) indicators and data analysis systems, and reporting and evaluation at specific times to assess results. The time frame for various M&E activities and standards for outputs should be specified. Dedicated funding for M&E should be provided in a project's budget. Responsibilities for undertaking M&E activities should be specified. Questions to guide this assessment include: In retrospect, was the M&E plan at entry practicable and sufficient (sufficient and practical indicators identified; timely baseline; targets created; provisions made for the effective use of data collected; analysis systems specified including studies and reports; practical organization and logistics set forth in terms of responsibility for, and scheduling of, M&E activities)?
- M&E plan implementation.** An assessment will be made on the quality of M&E implementation over the project's lifetime, as well as the extent to which provisions were made for continuing M&E following project closure where warranted. Such an assessment will cover whether the M&E system was in place and allowed the timely tracking of results and progress toward project objectives throughout the project; whether annual project reports were complete, accurate, and with well-justified ratings; whether the information provided by the M&E system was used to improve and adapt project performance; and whether proper training was provided for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Question to guide this assessment include: Did the project M&E system operate throughout the project? How was M&E information used during the project? Did it allow for tracking of progress toward project objectives? Did the project provide proper training for parties responsible for M&E activities to ensure data will continue to be collected and used after project closure?

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A number rating 1–6 will be provided for each criterion according to the achievement and shortcomings with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating. The reviewer of the

terminal evaluation will provide a rating under each of the three criteria (M&E design, M&E plan implementation, and M&E properly budgeted and funded) as follows:

- **Highly satisfactory.** There were no shortcomings in that criterion of the project M&E system. The presented or implemented M&E approach is appropriate for the given project.
- **Satisfactory.** There were minor shortcomings in that criterion of the project M&E system. Overall the presented or implemented M&E approach is appropriate for the given project.
- **Moderately satisfactory.** There were moderate shortcomings in that criterion of the project M&E system. Although there are a few area where the presented or implemented M&E approach could be improved further, it is appropriate for the given project.
- **Moderately unsatisfactory.** There were significant shortcomings in that criterion of the project M&E system. There are some areas where the presented or implemented M&E approach could be improved further. Despite some areas where the M&E approach is adequate, overall the M&E plan is inappropriate for the given project.
- **Unsatisfactory.** There were major shortcomings in that criterion of the project M&E system. There are several areas where the presented or implemented M&E approach is weak. Overall the M&E plan is inappropriate for the given project.
- **Highly unsatisfactory.** There was no project M&E system or implementation of M&E approach was very poor. It is unlikely that the M&E system provided any information of value.

B.5 Criteria for Assessment of Quality of Terminal Evaluation Reports

The ratings on quality of terminal evaluation reports will be assessed using the following criteria:

- a) The report presents an assessment of all relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable.
- b) The report was consistent, the evidence presented was complete and convincing, and ratings were well substantiated.
- c) The report presented a sound assessment of sustainability of outcomes.
- d) The lessons and recommendations are supported by the evidence presented and are relevant to the portfolio and future projects.
- e) The report included the actual project costs (totals, per activity and per source) and actual co-financing used.
- f) The report included an assessment of the quality of the M&E plan at entry, the M&E system used during implementation, and whether the information generated by the M&E system was used for project management.

A number rating 1–6 will be provided for each criterion according to the achievement and shortcomings with highly satisfactory = 6, satisfactory = 5, moderately satisfactory = 4, moderately unsatisfactory = 3, unsatisfactory = 2, highly unsatisfactory = 1, and unable to assess = no rating.

Each criterion to assess the quality of the terminal evaluation will be rated as follows:

- **Highly satisfactory.** There were no shortcomings in the terminal evaluation on this criterion. The report is comprehensive and provides credible, systematic, and detailed information on this criterion.
- **Satisfactory.** There were minor shortcomings in the terminal evaluation on this criterion. Overall, the report is comprehensive and provides credible, systematic, and detailed information on this criterion.
- **Moderately satisfactory.** There were moderate shortcomings in the terminal evaluation on this criterion. Overall, the report is comprehensive and provides credible, systematic, and detailed information on this criterion although some information gaps were also noted.
- **Moderately unsatisfactory.** There were significant shortcomings in the terminal evaluation on this criterion. Overall, despite some areas of adequate reporting, the report is not comprehensive and has several information gaps on this criterion.
- **Unsatisfactory.** There were major shortcomings in the terminal evaluation on this criterion. The report is not comprehensive and has many information gaps on this criterion.
- **Highly unsatisfactory.** There were severe shortcomings in the terminal evaluation on this criterion. The reporting on this criterion is inadequate and has severe information gaps.

The first two criteria (of all relevant outcomes and achievement of project objectives and report consistency and substantiation of claims with proper evidence) are more important and have therefore been assigned a greater weight. The quality of the terminal evaluation reports will be calculated by the following formula:

$$\text{Quality of the Terminal Evaluation Report} = 0.3 \times (a + b) + 0.1 \times (c + d + e + f)$$

The total number will be rounded and converted to the scale of highly satisfactory to highly unsatisfactory.

B.6 Assessment of Processes Affecting Attainment of Project Outcomes and Sustainability

This section of the terminal evaluation review will summarize the factors or processes related to implementation delays and co-financing that may have affected attainment of project results. This section will summarize the description in the terminal evaluation on key causal linkages of these factors:

- **Co-financing and project outcomes and sustainability.** If there was a difference in the level of expected co-financing and actual co-financing, what were the reasons for it? To what extent did materialization of co-financing affect project outcomes and/or sustainability? What were the causal linkages of these effects?
- **Delays and project outcomes and sustainability.** If there were delays, what were the reasons for them? To what extent did the delay affect project outcomes and/or sustainability? What were the causal linkages of these effects?

Country ownership and sustainability. Assess the extent to which country ownership has affected project outcomes and sustainability. Describe the ways in which it affected outcomes and sustainability, highlighting the causal links.