

OPS5

FIFTH OVERALL PERFORMANCE STUDY OF THE GEF

IMPLEMENTATION OF GEF FOCAL AREA STRATEGIES AND TRENDS IN FOCAL AREA ACHIEVEMENTS

OPS5 Technical Document #3

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Implementation of GEF Focal Area Strategies and Trends in Focal Area Achievements

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I. INTRODUCTION

As a part of the Fifth Overall Performance Study (OPS5) of the Global Environment Facility, Technical Paper #3 on **Trends in Focal Area Achievements** builds on the analysis presented in the Evaluation of GEF Focal Area Strategies.¹ The paper provides the basis for an assessment of the implementation of Focal Area Strategies in GEF projects. The paper first analyses projects designed under the GEF-5 strategies, including an overview of the current state of the GEF-5 portfolio and a first overview of how Focal Area Strategies translate into GEF activities. Second, the paper develops the basis for an assessment of trends in Focal Area achievements by tracing the current GEF-5 Focal Area objectives back to the GEF-4 strategies and the earlier Operational Programs (OPs). This strategy mapping will serve as a starting point for the analysis of how GEF projects have evolved over time with respect to approach as well as results. This assessment is to be conducted as part of the Final Report of OPS5.

II. IMPLEMENTATION OF GEF FA STRATEGIES AND TRENDS IN FA ACHIEVEMENTS

1. Analysis of GEF Portfolio during GEF-5 (projects post PIF approval)

The following section provides an overview analysis of the **current GEF-5 portfolio plus LDCF/SCCF projects approved during the GEF-5 time period. This includes all projects that have received at least PIF approval or are further along in the project cycle.** The total number of projects included in the analysis is 383 including 277 FSPs, 29 MSPs and 77 Enabling Activities. Figure 1 and figure 2 show the regional distribution as well as the distribution among GEF Agencies by number of project and amount of approved resources. The regional and agency distribution for GEF-5 projects mirrors the GEF-3 and GEF-4 cohorts of projects analyzed in OPS4, with most projects located in Asia and Africa and most resources allocated to projects in Asia. The proportion of projects implemented by Multilateral Development Banks (MDBs) illustrates the downward trend of MDB projects within the GEF portfolio. As for previous cohorts, the average size of MDB projects measured by approved resources is significantly larger than for other GEF Agencies. This is particularly clear in the case of the World Bank, which implements 13% of GEF-5 projects but uses 30% of allocated GEF resources. Conversely, UNEP implements 16% of the projects with 7% of the resources allocated at this point.

¹ The full report and technical papers of the Evaluation of Focal Area Strategies can be found here: <http://www.thegef.org/gef/Focal%20Areas%20Evaluation%20-%20Thematic%3A%20Focal%20Area%20Strategies>

Figure 1: Regional distribution by number of projects and resources

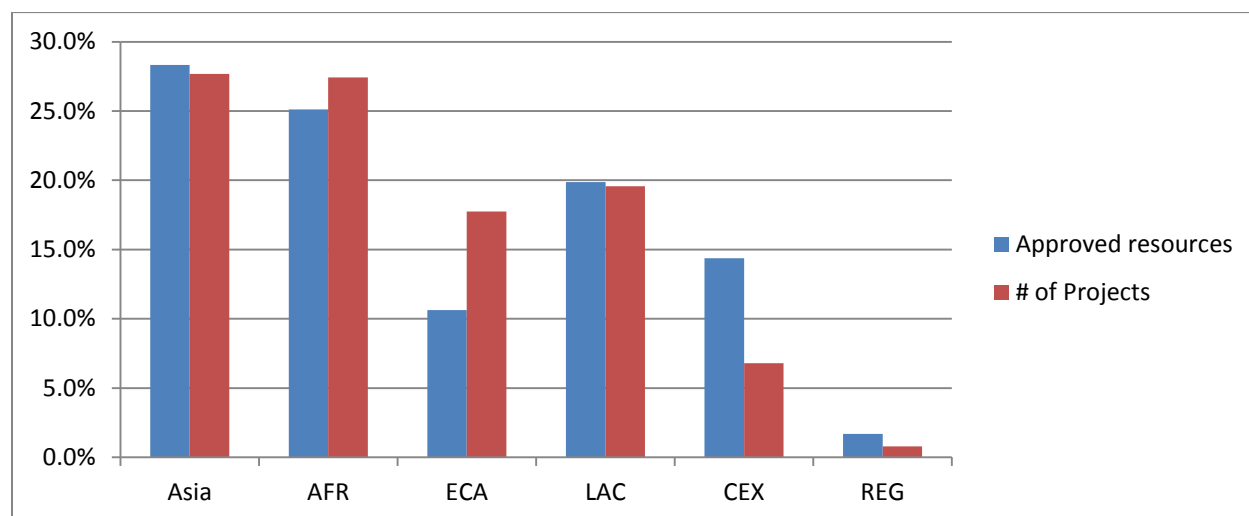
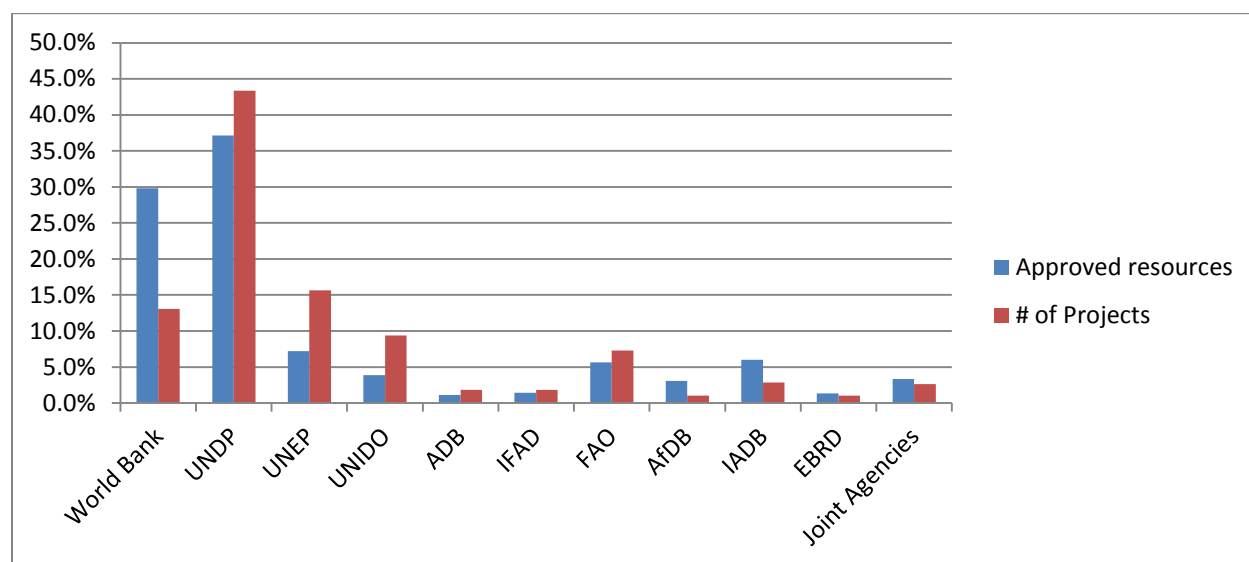


Figure 2: GEF Agency distribution by number of projects and resources



1.1 Distribution among Focal Areas and Focal Area Objectives (incl. LDCF/SCCF)

The two focal areas Climate Change Mitigation (26%) and Biodiversity (28%) receive approximately equal amounts of resources and jointly account for more than half of approved GEF resources during GEF-5 (see Figure 3 and 4). Biodiversity resources are concentrated in BD-1 (Protected Areas: 15%) and BD-2 (Production landscapes: 12%), which also represent the most resource intensive Focal Area objectives across all Focal Areas in the current GEF-5 plus LDCF/SCCF portfolio. Other Biodiversity objectives receive very limited funding: Biosafety (\$0) and ABS (\$3m).

Resources in Climate Change Mitigation, according to indicative resource allocation expectations, are more equally distributed between Focal Area objectives with most resources being approved in CCM-2 (Energy Efficiency: 7%) and CCM-3 (Renewable Energy:

5%). Similarly, approved resources for International Waters and Climate Change Adaptation objectives under LDCF/SCCF are comparably evenly distributed. In Chemicals, resources are strongly concentrated under objective CHEM-1 (POPs) as expected. Land Degradation displays a resource concentration under objective LD-3 (Competing land uses in wider landscape).

In comparison to the indicative resource allocations as identified during the Fifth Replenishment² and articulated in the GEF-5 Focal Area Strategies, several Focal Area objectives deviate significantly from the indicative figures. In Biodiversity, objective BD-2 “Mainstream BD conservation and sustainable use into production land/seascapes and sectors” received a much larger proportion of resources than indicated while BD-1 on Protected Areas received slightly less than the indicated proportion. In Climate Change Mitigation, CCM-5 on LULUCF received more resources than expected and has reached almost \$90 million already while the indicated total amount for the entire GEF-5 period was only \$50 million. Similarly, IW-4 on Areas Beyond National Jurisdiction has already received \$52 million with the indicative allocation for GEF-5 being only \$20 million. In the Land Degradation Focal Area, LD-3 “Reduce pressures on natural resources from competing land uses in the wider landscape” draws more resources than expected, having allocated \$105 million close to its full indicative allocation of \$135 million which is very likely to be exceeded by the end of the replenishment period.

The overall analysis of Focal Area objectives that have allocated more resources than expected reveals a certain pattern. Objectives BD-2, CCM-5, and LD-3, as the most prominent examples of high country demand and resource allocation, all relate to the nexus and the trade-offs between environmental protection and economic activities, addressing issues of competing land uses and changes in land use as well as mainstreaming of environmental goals into productive sectors.

The proportion of projects that combine different Focal Area objectives within one Focal Area, meaning without Multi-Focal Area (MFA) projects, is particularly high for SCCF (85%) and LDCF (80%). Partially, this can be explained by the formal limitations that have restricted the combination of LDCF/SCCF projects in MFAs leading to a relatively low proportion of projects combining LDCF/SCCF with other Focal Areas. Since the introduction of Multi Trust Fund (MTF) projects during GEF-5 (see section 1.3), these combinations are now possible and the number of corresponding projects is quickly increasing. Among the other Focal Areas, the proportion of projects addressing multiple objectives within one Focal Area is highest in Land Degradation (30%) and lowest in Biodiversity and International Waters (both 17%). The most frequent combinations of objectives within Focal Areas measured by number of projects are: BD1+2; CCM2+3; LD1+3; CHEM1+3; and combinations of all CCA objectives accounting for 37% of all projects under LDCF/SCCF.

² See table 2 of the Focal Area Strategies Evaluation (full report), p. 21-23.

Figure 3: Focal Area distribution by number of projects

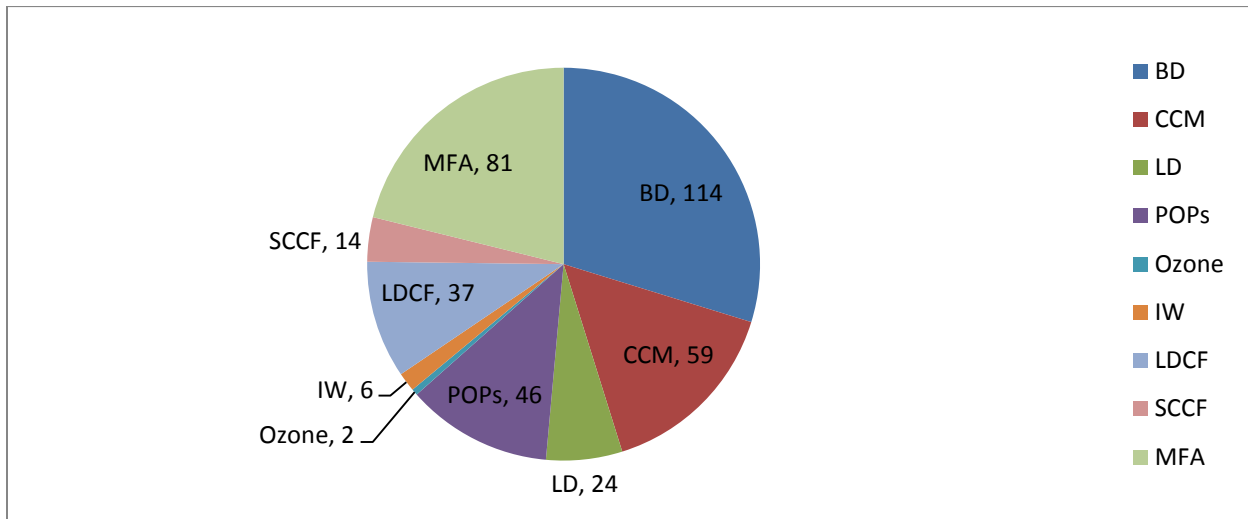


Figure 4: Focal Area distribution by approved resources

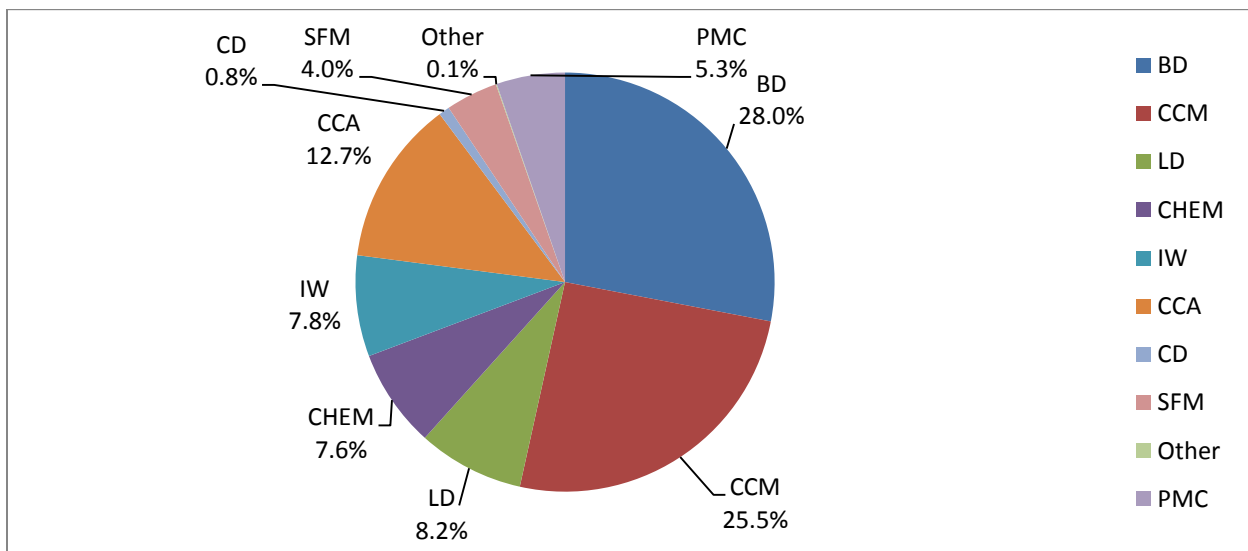
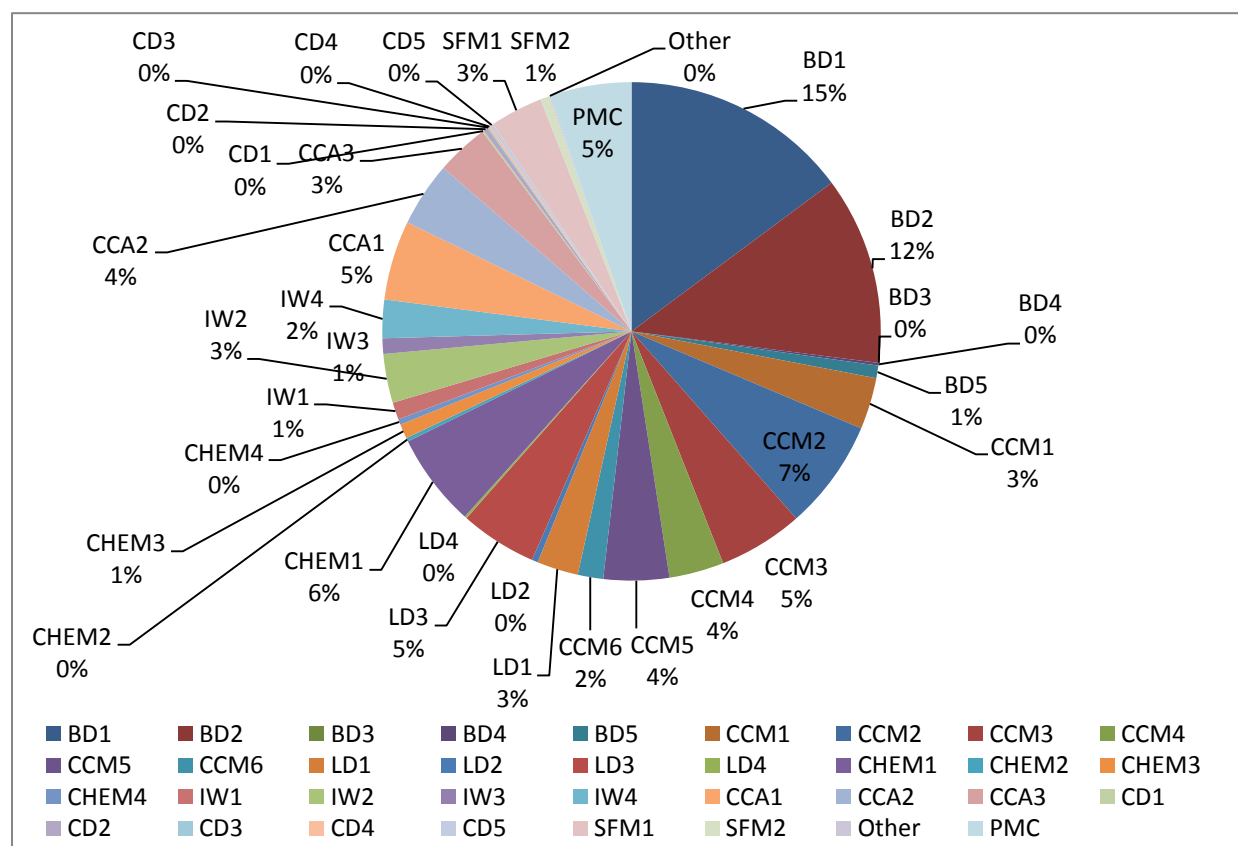


Figure 5: Focal Area Objectives distribution by approved resources



1.2 Multi Focal Area projects

Forty-five percent of all resources approved during the GEF-5 period as of 30 September 2013 went into Multi Focal Area (MFA) projects. By design, all Sustainable Forest Management (SFM) projects and 15 out of 16 projects that include Capacity Development (CD) objectives are MFAs. In addition, Land Degradation (78% of LD resources) and International Waters (70%) feature a particularly high proportion of MFAs (see table 1). The Climate Change Mitigation proportion is relatively low (32%). This corresponds with the observation that most CCM objectives are separated from other Focal Area Strategies, which is presented in the strategy mapping in section 3.2. The proportion of Chemical resources in MFAs is particularly low (7.2%), possibly signifying the distinct character of the Focal Area. Another explanation could be that Chemicals is not included under the STAR system. SCCF/LDCF also has a low MFA proportion, probably due to the fact that combination of LDCF/SCCF resources with other Focal Area resources in Multi Trust Fund (MTF) projects has only recently been introduced as an option for project design. However, the demand for MTF projects is increasing.

Table 1: MFA projects overview

	Total GEF funding during GEF-5 ³ (million \$)	% of total GEF resources during GEF-5	Total of MFA resources (million \$)	% of overall FA resources	% of total MFA resources
BD	586.5	28.0	318.3	54.3	33.8
CCM	533	25.5	167.7	31.5	17.8
LD	171.7	8.2	134.6	78.4	14.3
CHEM	159	7.6	11.5	7.2	1.2
IW	163.1	7.8	114.1	69.9	12.1
CCA	266.8	12.7	39.5	14.8	4.2
CD	17.5	0.8	16.4	93.5	1.7
SFM	84.1	4.0	84.1	100.0	8.9
Other	1.4	0.1	0.9	67.8	0.1
PMC	110.7	5.3	56	50.6	5.9
Total	2093.8	100.0	943.1	45.0	100.0

The most frequent combinations of MFA projects are:

- BD-1 + LD-3 (protected areas and competing land use)
- BD-1 + BD-2 + IW-4 (areas beyond national jurisdiction [ABNJ])
- BD-2 + LD-3 + SFM-1 (forest management and land use)
- BD-1 + BD-2 + CCM-5 + SFM-1 (forest management and land use)

1.3 Multi Trust Fund projects

There are four distinct funds that have received GEF managed resources during the GEF-5 replenishment period (see table 3): the GEF Trust Fund (86.4% of resources during GEF-5), the LDCF (9.7%), the SCCF (3.8%), and the Nagoya Protocol Implementation Fund (\$1 million). The possibility to combine climate change adaptation activities under LDCF/SCCF with activities funded through Focal Areas under the GEF Trust Fund has been introduced in GEF-5 as Multi Trust Fund (MTF) projects. Given the cross-cutting nature of adaptation activities that can reasonably complement activities under GEF Focal Areas, the number of corresponding projects is quickly increasing. At this point, the GEF-5 period features 13 approved projects that combine funding from multiple trust funds (MTFs). The SCCF, which allocated 30% of its resources into MTF projects during GEF-5, contributed resources to 9 out of these 13 projects (see table 2).

Table 2: MTF projects overview

	GTF+SCCF	GTF+LDCF	GTF+SCCF+LDCF	TOTAL
# of projects	8	4	1	13

³ As of 30 September 2012.

Table 3: MTF project funding distribution

	MTF funding (million \$)	Total resources by Fund (million \$)	MTF as % of Fund total
GTF	181.1	1,809	10.0
SCCF	24.2	80.3	30.1
LDCF	28.4	203.5	14.0
NPIF	0	1	0.0
TOTAL	233.8	2093.8	11.2

2. GEF Agencies perspectives on GEF-5 Strategy implementation

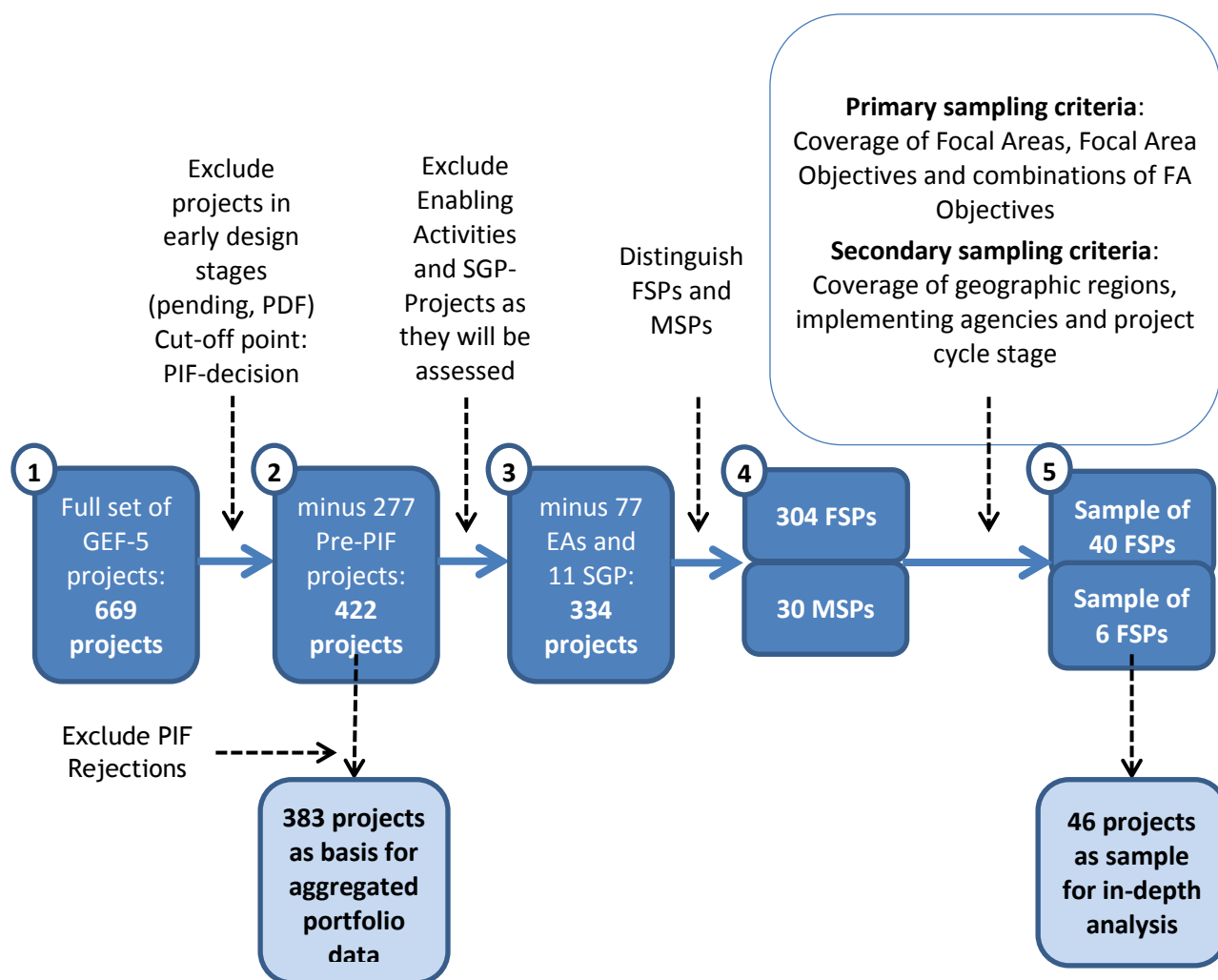
As a first step in the collection of information on the translation of GEF-5 Focal Area Strategies in GEF-5 projects, the Evaluation Office conducted consultations with the GEF Agencies gathering their input on the processes and procedures through which the GEF Strategies contribute to the design, preparation and implementation of GEF projects on the ground. The constructive discussions with the GEF Agencies raised a number of particularly pertinent aspects with regard to the implementation of GEF Strategies. The Final Report of OPS5 will explore these issues further and add data from different sources to triangulate findings and reach sound conclusions. The information gathered from the GEF Agencies therefore represents an initial input for a larger analytical effort.

The initial discussions with GEF Agencies have, among other aspects, highlighted different uses of the GEF Strategies in project implementation that vary between different Focal Areas as well as between GEF Agencies. The use of GEF Strategies as characterized by the agencies ranges from functioning as a substantive guideline for project design and strategic approaches to serving mainly as a tool to identify initiatives or part of initiatives eligible for GEF funding and a guideline for secondary adjustments to existing project designs. The analysis of the functions of GEF Strategies in project implementation will be further refined in the Final Report of OPS5. In addition, GEF Agencies highlighted a number of issues regarding the GEF Strategies' role in the GEF project cycle (through PIFs) as well as its function as the basis of GEF monitoring requirements (through tracking tools). Aspects that were highlighted by GEF Agencies as room for further improvement include the requirement of defining project outputs at the PIF stage as well as the accumulation of monitoring burden through tracking tools in the context of Multi Focal Area projects. The Final Report of OPS5 will provide a more detailed analysis of these aspects based on information from several sources.

3. Implementation of GEF-5 and LDCF/SCCF Strategies at project level

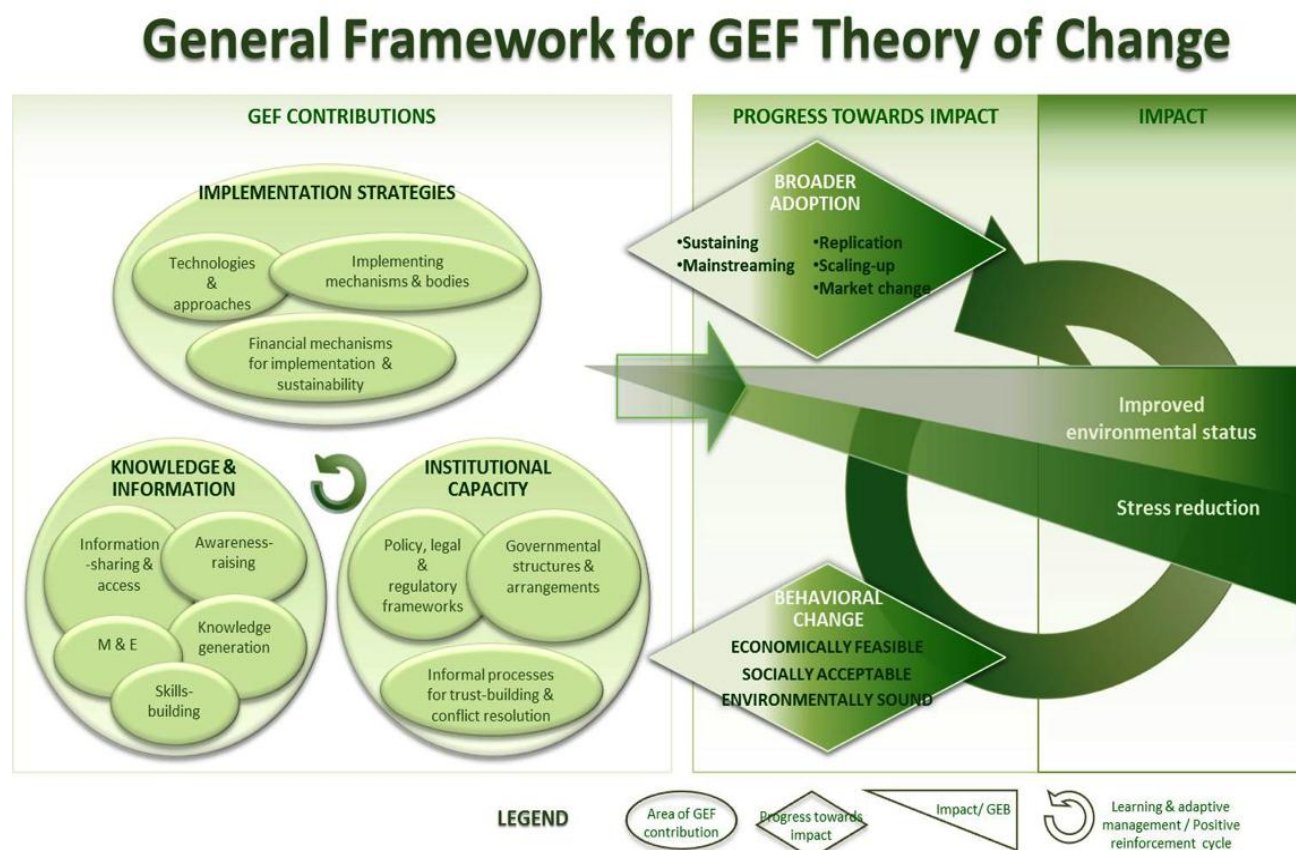
Section 3 presents an initial analysis of GEF-5 and LDCF/SCCF Strategy implementation at the project level based on the PIF review of selected projects in each Focal Area. The selection of project samples for detailed assessment follows the selection methodology and criteria presented in figure 6. The sets of selected projects are not representative or random samples. Instead, the projects are purposefully selected to illustrate different kinds of projects approved during GEF-5 to represent a spectrum of GEF-5 approaches as embodied in the different Focal Area objectives. The exact selection procedure and underlying quantitative data is presented in the annex.

Figure 6: Overview of project sample selection procedure



The analysis builds on the “General Framework for GEF Theory of Change” (see figure 7) as an analytical tool to assess the relationship between Focal Area Strategies and GEF-5 project design. The TOC framework provides the overarching categories of “Knowledge and Information,” “Institutional Capacity,” and “Implementation Strategies,” which are used to classify GEF activities throughout OPS5.

Figure 7: General Framework for GEF Theory of Change



The Technical Papers 1 to 7 of the Evaluation of GEF Focal Area Strategies (2011) present a specific Theory of Change for each Focal Area Objective, identifying and categorizing the specific set of possible GEF activities included under the respective objective. These identified types of activities serve as categories for the assessment of the relationship between GEF-5 project designs and Focal Area Strategies. Sections 3.1 to 3.7 present an overview of the corresponding PIF assessment of sample projects in each Focal Area. The tables list the set of activities identified in the Focal Area Strategy and indicate which of these activities are included in the design of each reviewed project based on the information provided in the PIF. The green shading indicates that a type of activity is included in the project design. Mere mentioning of an activity in the PIF is not sufficient to be considered an integral part of the project design. The PIF has to clearly show that there are concrete plans on how the respective activity will be realized through the project.

The analysis presented in this Technical Paper provides a first step towards the full assessment of the implementation of Focal Area Strategies in GEF-5 projects. The Final Report of OPS5 will build on this initial assessment and add more detailed information on how GEF projects reflect the assumptions and causal links embodied in the corresponding Focal Area Strategies.

3.1 Biodiversity

Table 4: Project Sample for Biodiversity

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4464	UNEP	Asia	Nepal	Integrating Traditional Crop Genetic Diversity into Technology Using a BD Portfolio Approach to Buffer Against Unpredictable Environmental Change in the Nepal Himalayas	IA Approved	BD-2, BD-4	2300000
4623	UNEP	CEX	Global	Support to GEF Eligible Parties (LDCs & SIDs) for the Revision of the NBSAPs and Development of Fifth National Report to the CBD - II	IA Approved	BD-5	6118200
4637	World Bank	LAC	Brazil	Marine and Coastal Protected Areas (GEF MAR)	Council Approved	BD-1, BD-2	18200000
4646	UNDP/FAO	Asia	China	CBPF-MSL Main Streams of Life - Wetland PA System Strengthening for Biodiversity Conservation (PROGRAM)	Council Approved	BD-1	33426 (program)
4773	IFAD	LAC	Peru	Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion in Peru	IA Approved	BD-2	5354545
4827	UNDP	AFR	Kenya	Enhancing Wildlife Conservation in the Productive Southern Kenya Rangelands through a landscape approach Kenya	Council Approved	BD-1, BD-2	3990909
4842	UNDP	ECA	Croatia	Strengthening the Institutional and Financial Sustainability of the National Protected Area System	Council Approved	BD-1, BD-2	4953000
MSP							
4780	UNDP	LAC	Panama	Promoting the application of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Panama	CEO Approved	BD-4	1000000

Table 5 illustrates that selected projects in the Biodiversity Focal Area generally include activities in each of the three main categories identified by the TOC framework. Especially projects addressing BD-1 mostly employ an encompassing approach on Protected Areas that includes multiple types of activities including formulation of governance frameworks, improvement in PA management as well as establishment of financing mechanisms. Projects addressing BD-2 tend to be somewhat more focused on a specific subset of activities, primarily the development of policy, regulatory and legal frameworks. Product certification, which is highlighted by objective BD-2, is not prominently featured in the selected projects. None of the selected project addressed issues of Invasive Alien Species, which is also included under objective BD-2.

Table 5: PIF Analysis for project sample in Biodiversity

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4464								
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
BD-4	ABS knowledge creation		Governance framework for ABS	Institutional CD		Support for concrete ABS agreements		
4623								
BD-5			BD in sectoral planning	CBD obligations	NBSAPs			
4637								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
4646								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
4773								

BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
4827								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
4842								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
4780								
BD-4	ABS knowledge creation		Governance framework for ABS	Institutional CD		Support for concrete ABS agreements		

3.2 Climate Change Mitigation

Table 6: Project Sample for Climate Change Mitigation

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4427	World Bank	ECA	Russian Federation	Russia Energy Efficiency Financing (REEF) Project	Council Approved	CCM-2, CCM-4	22727273
4488	World Bank	Asia	China	Green Energy Schemes for Low-Carbon City in Shanghai, China	PPG Approved	CCM-1, CCM-2, CCM-3, CCM-4	4345000
4753	UNIDO	Asia	Pakistan	Sustainable Energy Initiative for Industries	IA Approved	CCM-2, CCM-3	3550000
4757	UNDP	LAC	Mexico	Sustainable Energy Technology Development Project for Climate Change	CEO PIF Rejection	CCM-1	16627273
4785	UNIDO	AFR	Cameroon	Promoting Investments in the Fight Against Climate Change and Ecosystems Protection Through Integrated Renewable Energy and Biomass Solutions for Productive Uses and Industrial Applications	Council Approved	CCM-3	2000000
4880	IADB	LAC	Regional	Climate Technology Transfer Mechanisms and Networks in Latin America and the Caribbean	Council Approved	CCM-1, CCM-2, CCM-3, CCM-4, CCM-5, CCA-3	10899000

4904	AfDB	AFR	Regional	Pilot African Climate Technology Finance Center and Network	Council Approved	CCM-1, CCM-2, CCM-3, CCM-4, CCA-3	14340000
4918	World Bank	Asia	India	Partial Risk Sharing Facility for Energy Efficiency	Council Approved	CCM-2	18000000
4929	AfDB	AFR	Regional	AfDB-PPP Public-Private Partnership Program	Council Approved	CCM-3	20000000
MSP							
4514	UNIDO	AFR	South Africa	Greening the COP17 in Durban	CEO Approved	CCM-1, CCM-3, CCM-4	10000000

Table 7 shows that selected projects in the Climate Change Mitigation Focal Area in many cases also include activities in each of the three main categories, but that there is less emphasis on Knowledge and Information activities and a strong emphasis on Implementing Strategies. Pilot investments as well as establishment of financing and risk-sharing mechanisms are components of almost all selected projects. However, only two of the selected projects explicitly include support for Energy Service Companies (ESCOs), which is highlighted by the Focal Area Strategy. Projects under objective CCM-4 mostly do not highlight concrete instruments identified by the strategy like traffic control and vehicle efficiency regulation. But these instruments might still be implicit components of the project not yet explicitly identified during the PIF stage.

Table 7: PIF Analysis for project sample in Climate Change Mitigation

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4427								
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-4	Public awareness campaigns		Transport mgmt.	Vehicle efficiency regulation	Traffic control	Financing and risk sharing	Technology, approach pilots/ investment	

4488								
CCM-1	Technical skill building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-4	Public awareness campaigns		Transport mgmt.	Vehicle efficiency regulation	Traffic control	Financing and risk sharing	Technology, approach pilots/ investment	
4753								
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
4757 PIF REJECTION								
CCM-1	Technical skill building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
4785								
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs

4880								
CCM-1	Technical skill building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-4	Public awareness campaigns		Transport mgmt.	Vehicle efficiency regulation	Traffic control	Financing and risk sharing	Technology, approach pilots/ investment	
CCM-5	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches	Networks of LULUCF stakeholders
CCA-3	Skill building for TT		Governance framework for TT				Technology, approach pilots/ investment	
4904								
CCM-1	Technical skill, knowledge building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs

CCM-3	Technical skill, knowledge building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-4	Public awareness campaigns		Transport mgmt.	Vehicle efficiency regulation	Traffic control	Financing and risk sharing	Technology, approach pilots/ investment	
CCA-3	Skill, knowledge building for TT		Governance framework for TT				Technology, approach pilots/ investment	
4918								
CCM-2	Information and awareness		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
4929								
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
4514								
CCM-1	Technical skill, knowledge building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
CCM-3	Technical skill, knowledge building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology, approach pilots/ investment	ESCOs
CCM-4	Public awareness campaigns		Transport mgmt.	Vehicle efficiency regulation	Traffic control	Financing and risk sharing	Technology, approach pilots/ investment	

3.3 Climate Change Adaptation under LDCF/SCCF

Table 8: Project Sample for LDCF/SCCF

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4447	FAO	LAC	Haiti	Strengthening Climate Resilience and Reducing Disaster Risk in Agriculture to Improve Food Security in Haiti Post Earthquake [LDCF]	CEO Endorsed	CCA-2, CCA-3	2727000
4657	IFAD	LAC	Honduras	Competitiveness and Sustainable Rural Development Project in the Northern Zone (Northern Horizons-GEF) [SCCF]	Council Approved	CCA-1, CCA-2, CCA-3	3000000
4724	UNDP	AFR	Gambia	Enhancing Resilience of Vulnerable Coastal Areas and Communities to Climate Change in the Republic of Gambia [LDCF]	Council Approved	CCA-1, CCA-2, CCA-3	8900000
4901	World Bank	Asia	India	India: Sustainable Livelihoods and Adaptation to Climate Change (SLACC) [SCCF]	Council Approved	CCA-1, CCA-2, CCA-3	8000000
4974	UNDP	AFR	Comoros	Enhancing adaptive capacity and resilience to climate change in the agriculture sector in Comoros [LDCF]	Council Approved	CCA-2, CCA-3	8990909
4976	UNDP	Asia	Bhutan	Addressing the Risk of Climate-induced Disasters through Enhanced National and Local Capacity for Effective Actions [LDCF]	Council Approved	CCA-1, CCA-2	11491200
MSP							
4431	UNDP	Asia	Maldives	Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector	IA Approved	CCA-1; CCA-2; CCA-3;	1650438

As illustrated in table 9, the selected SCCF and LDCF projects use a particularly encompassing approach and usually cover all types of activities identified in the strategies. A partial exception is the instrument of loss compensation systems like climate risk insurance schemes, identified by the LDCF/SCCF Strategy. Only three out of seven of the selected projects explicitly include climate risk insurance schemes under objective CCA-2.

Table 9: PIF Analysis for project sample in Climate Change Adaptation

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4447								
CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	
4657								
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	
4724								
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	

CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	
4901								
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	
4974								
CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	
4976								
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	

CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
4431								
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising	Governance framework and mainstreaming of CCA			Loss prevention measures	Loss compensation systems	
CCA-3	Skill building for TT		Governance framework for TT				Technology pilots, investments	

3.4 Land Degradation

Table 10: Project Sample for Land Degradation

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4550	UNDP	Asia	Samoa	Strengthening Multi-sectoral Management of Critical Landscapes	Council Approved	LD-3	4736363
4720	FAO	AFR	Angola	Land Rehabilitation and Rangelands Management in Small Holders Agro-pastoral Production Systems in Southwestern Angola	Council Approved	LD-1, LD-3	3013636
MSP							
4806	UNEP	CEX	Global	A Global Initiative on Landscapes for People, Food and Nature	IA Approved	LD-1, LD-3, LD-4	1000000

Table 11 shows that, like in other Focal Areas, the selected projects on Land Degradation also employ a comprehensive approach that combines the three main categories of activities. The two selected projects that included objective LD-1 on agriculture and rangeland systems both do not include components on establishing market-based incentive structures, neither with regard to corresponding institutional capacity development nor through support for pilot implementation of corresponding mechanisms. This aspect needs to be tested and further explored on the basis of the full portfolio in the Final Report of OPS5.

Table 11: PIF Analysis for project sample in Land Degradation

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4550								
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
4720								
LD-1	Capacity for GHG accounting in agriculture	Skill building for agro-eco mgmt.	Basis for market-based incentives	Policy incentives	Institutional CD	Implementation of sustainable agricultural practices	Community based agriculture mgmt.	Support market-based incentives
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
4806								
LD-1	Capacity for GHG accounting in agriculture	Skill building for agro-eco mgmt.	Basis for market-based incentives	Policy incentives	Institutional CD	Implementation of sustainable agricultural practices	Community based agriculture mgmt.	Support market-based incentives
LD-3	Skill building for integrated		Cross-sectoral harmonization	Capacity for institutional		Implementation of SLM in wider	Harmonized cross-sectoral strategies	

	land mgmt.			collaborati on		landscape s		
LD-4	New, improved tools for LD prevention	Monitoring of UNCCD APs	National reporting		Institut ional CD			

3.5 Chemicals

Table 12: Project Sample for Chemicals

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4387	UNIDO	ECA	Russian Federation	Phase-out of CFC Consumption in the Manufacture of Aerosol Metered-dose Inhalers (MDIs) in the Russian Federation	IA Approved	CHEM-2	2550000
4441	World Bank	Asia	China	Dioxins Reductions from the Pulp and Paper Industry in China	IA Approved	CHEM-1	15000000
4455	UNDP	CEX	Global	Economic Costs of Inaction for POPs and Chemicals Management	CEO PIF Rejection	CHEM-1, CHEM-3, CHEM-4	2700000
4668	UNEP	AFR	Regional	Demonstration of Effectiveness of Diversified, Environmentally Sound and Sustainable Interventions, and Strengthening National Capacity for Innovative Implementation of Integrated Vector Management (IVM) for Disease Prevention and Control in the WHO AFRO Region	Council Approved	CHEM-1	15491700
4891	UNEP/FAO	LAC	Regional	Improved management of agrochemical life cycles in the Caribbean and Central American region	CEO PIF Rejection	CHEM-1, CHEM-3	17302175
MSP							
4985	UNEP	ECA	Kyrgyz Republ	Reducing global and local environmental risks from primary mercury mining in	CEO Approved	CHEM-3	944000

			ic	Khaidarkan the Kyrgyz Republic			
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As shown in table 13, the selected projects on Chemicals follow a clear and consistent approach building on awareness raising, governance frameworks and implementation of phase out efforts either for HCFCs or POPs. The selected projects did not entail GEF support for newer initiatives like ODS destruction or pilot efforts on new POPs recently added to the convention. The two selected projects that were rejected at the PIF stage both envisioned to address objective CHEM-3, but did not clearly address the two areas for support identified under this objective, namely support for the Strategic Approach to International Chemicals Management (SAICM) as well as pilots on mercury reduction.

Table 13: PIF Analysis for project sample in Chemicals

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4387								
CHEM-2			Governance framework on ODSs		Institutional CD	HCFC phase out	Pilots on ODS destruction and disposal	
4441								
CHEM-1	Awareness raising and education on POPs		Governance framework on POPs	BAT and BEPs	Institutional CD	POPs phase out and alternatives	Mgmt. of exempted POPs	Pilots on "New POPs"
4455	PIF REJECTION							
CHEM-1	Awareness raising and education on POPs		Governance framework on POPs	BAT and BEPs	Institutional CD	POPs phase out and alternatives	Mgmt. of exempted POPs	Pilots on "New POPs"
CHEM-3			Capacity for international joint implementation			Support to SAICM	Pilots on PTS/mercury	
CHEM-4			NIPs					

4668								
CHEM-1	Awareness raising and education on POPs		Governance framework on POPs	BAT and BEPs	Institutional CD	POPs phase out and alternatives	Mgmt. of exempted POPs	Pilots on "New POPs"
4891								
PIF REJECTION								
CHEM-1	Awareness raising and education on POPs		Governance framework on POPs	BAT and BEPs	Institutional CD	POPs phase out and alternatives	Mgmt. of exempted POPs	Pilots on "New POPs"
CHEM-3			Capacity for international joint implementation			Support to SAICM	Pilots on PTS/mercury	
4985								
CHEM-3			Capacity for international joint implementation			Support to SAICM	Pilots on PTS/mercury	

3.6 International Waters

Table 14: Project Sample for International Waters

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4487	World Bank	AFR	Regional	LME-AF Strategic Partnership for Sustainable Fisheries Management in the Large Marine Ecosystems in Africa (PROGRAM)	Council Approved	IW-2	25000000

Table 15: PIF Analysis for project sample in International Waters

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4487								
IW-2	Information on climatic variability and change		SAP updates	Joint legal and institutional frameworks		Implementati on of SAPs on LMEs, fisheries		

3.7 Multi Focal Area projects

Table 16: Project Sample for MFA activities

ID	Agency	Region	Country	Title	Status	FA Objectives	Grant
FSPs							
4479	UNDP	LAC	Guatemala	Sustainable Forest Management and Multiple Global Environmental Benefits	Council Approved	BD-2, CCM-5, LD-2, LD-3, SFM-1	4400000
4511	World Bank	AFR	Regional	Sahel and West Africa Program in Support of the Great Green Wall Initiative	Council Approved	BD-1, BD-2, CCM-3, CCM-5, LD-3, CCA-1, CCA-2, SFM-1	73750000
4616	FAO	LAC	El Salvador	Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera	Council Approved	LD-1, LD-3, CCA-1, CCA-2	1521370
4649	ADB/World Bank	Asia	Regional	GMS-FBP Greater Mekong Subregion Forests and Biodiversity Program (PROGRAM)	Council Approved	BD-1, BD-2, CCM-5, LD-3, CCA-1, CCA-2, SFM-1, SFM-2	4877959
4660	FAO/UNEP	CEX	Global	ABNJ Sustainable Fisheries Management and Biodiversity Conservation of Deep-sea Living Marine Resources and Ecosystems in	Council Approved	BD-1, BD-2, IW-4	7315597

				the Areas Beyond National Jurisdiction (ABNJ)			
4664	UNEP/EBRD, UNDP, World Bank	ECA	Russian Federation	ARCTIC GEF-Russian Federation Partnership on Sustainable Environmental Management in the Arctic under a Rapidly Changing Climate (Arctic Agenda 2020)	Council Approved	BD-1, BD-2, CCM-1, CCM-2, CCM-3, CCM-5, IW-2, IW-3	906758
4766	UNIDO	Asia	Vietnam	Implementation of Eco-industrial Park Initiative for Sustainable Industrial Zones in Vietnam	Council Approved	CCM-1, IW-1, IW-2, CHEM-1, CHEM-3	3524000
4792	World Bank	LAC	Mexico	Conservation of Coastal Watersheds to Achieve Multiple Global Environmental Benefits in the Context of Changing Environments	Council Approved	BD-1, CCM-5, LD-3, SFM-1	39518181
4859	IADB	LAC	Brazil	Consolidation of National System of Conservation Units (SNUC) and Enhanced Flora and Fauna Protection	Council Approved	BD-1, BD-2, CCM-5, SFM-1	32621820
4717	UNDP	AFR	Seychelles	Expansion and Strengthening of the Protected Area Subsystem of the Outer Islands of Seychelles and its Integration into the Broader Land and Seascape	Council Approved	BD-1, LD-3	1785500
MSP							
4543	UNEP	CEX	Global	The GLOBE Legislator Forest Initiative	IA Approved	BD-2, CCM-5, CD-3	1000000

Table 17 illustrates that most selected MFA projects feature an even more encompassing design than the selected projects addressing only one Focal Area. Based on the PIF analysis, MFA projects represent particularly broad initiatives that employ the full tool kit of instruments and activities identified by the Focal Area Strategies in different Focal Areas. If this characteristic represents a clear distinction between MFA projects and single Focal Area projects will be further explored in the Final Report of OPS5.

Table 17: PIF Analysis for project sample of MFA initiatives

	KNOWLEDGE & INFORMATION		INSTITUTIONAL CAPACITY			IMPLEMENTING STRATEGIES		
4429								
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investment	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.

			S					
CCM-5	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches	LULUCF stakeholder networks
LD-2			Basis for market-based incentives	Policy incentives	Institutional CD	Implementation of SFM practices	Reforestation	Support market-based incentives
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
SFM-1	Economic valuation tools	Knowledge generation on forest benefits	Governance framework	FLEG and conflict resolution	Institutional CD	Financial incentives	SFM practices implemented	Technology demonstration
4511								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology pilots	ESCOs
CCM-5	LULUCF knowledge		Governance framework	National measuring		Incentives and	Pilot approaches	Networks of

	creation			and monitoring		Financing	s	LULUCF stakeholders
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising				Loss prevention measures	Loss compensation systems	
SFM-1	Economic valuation tools	Knowledge generation on forest benefits	Governance framework	FLEG and conflict resolution	Institutional CD	Financial incentives	SFM practices implemented	Technology demonstration
4616								
LD-1	Capacity for GHG accounting in agriculture	Skill building for agro-eco mgmt.	Basis for market-based incentives	Policy incentives	Institutional CD	Implementation of sustainable agricultural practices	Community based agriculture mgmt.	Support market-based incentives
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	

CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising				Loss prevention measures	Loss compensation systems	
4649								
BD-1	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
BD-2	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
CCM-5	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches	Networks of LULUCF stakeholders
LD-3	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
CCA-1			Governance framework and mainstreaming of CCA			CCA practices implementation	Diversified livelihoods	
CCA-2	Risk information	Awareness raising				Loss prevention	Loss compensation	

						measure s	systems	
<i>SFM-1</i>	Economic valuation tools	Knowledge generation on forest benefits	Governance framework	FLEG and conflict resolution	Institutional CD	Financial incentives	SFM practices implemented	Technology demonstration
<i>SFM-2</i>	GHG monitoring from LULUCF	Long-term potential and trade-off analysis	Governance framework		Institutional CD	Testing carbon market approaches		
4660								
<i>BD-1</i>	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
<i>BD-2</i>	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
<i>IW-4</i>			Policy and legal Framework	CD for RFMOs		ABNJ mgmt. pilot		
4664								
<i>BD-1</i>	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
<i>BD-2</i>	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.

CCM-1	Technical skill, knowledge building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
CCM-2			Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology pilots, investments	ESCOs
CCM-3	Technical skill building		Policy incentives	Regulatory approaches	Institutional CD	Financing and risk sharing	Technology pilots, investments	ESCOs
CCM-5	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches	Networks of LULUCF stakeholders
IW-2	Information on climatic variability and change		SAP updates	Joint legal and institutional frameworks		Implementation of SAPs on LMEs, fisheries		
IW-3	TDAs	Portfolio learning	SAP formulation	National inter-ministry coordination	Institutional CD			
4766								
CCM-1	Technical skill, knowledge building	S-to-S technology cooperation	Governance framework for TT	Institutional CD		Financing and risk sharing	Technology, approach pilots/ investment	
IW-1	Information on climatic variability	Knowledge on improved methods	SAP updates and IWRM plans	Joint legal and institutional		Implementation of SAPs on IWRM		

	and change			frameworks				
<i>IW-2</i>	Information on climatic variability and change		SAP updates	Joint legal and institutional frameworks		Implementation of SAPs on LMEs, fisheries		
<i>CHEM-1</i>	Awareness raising and education on POPs		Governance framework on POPs	BAT and BEPs	Institutional CD	POPs phase out and alternatives	Mgmt. of exempted POPs	Pilots on "New POPs"
<i>CHEM-3</i>			Capacity for international joint implementation			Support to SAICM	Pilots on PTS/mercury	
4792								
<i>BD-1</i>	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
<i>CCM-5</i>	LULUCF knowledge creation		Governance framework	Measuring and monitoring systems		Incentives and Financing	Pilot approaches	Networks of LULUCF stakeholders
<i>LD-3</i>	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
<i>SFM-1</i>	Economic valuation tools	Knowledge generation on forest	Governance framework	FLEG and conflict resolution	Institutional CD	Financial incentives	SFM practices implement	Technology demonstr

		benefits					ed	ation
4859								
<i>BD-1</i>	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
<i>BD-2</i>	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.
<i>CCM-5</i>	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches	Networks of LULUCF stakeholders
<i>SFM-1</i>	Economic valuation tools	Knowledge generation on forest benefits	Governance framework	FLEG and conflict resolution	Institutional CD	Financial incentives	SFM practices implemented	Technology demonstration
4717								
<i>BD-1</i>	PA mgmt. skill building	Capacity for financing mechanism	National PA governance framework	Legal framework for financing	Institutional CD	Financing mechanisms and incentives	New PA creation	PA mgmt. effectiveness
<i>LD-3</i>	Skill building for integrated land mgmt.		Cross-sectoral harmonization	Capacity for institutional collaboration		Implementation of SLM in wider landscapes	Harmonized cross-sectoral strategies	
4543								
<i>BD-2</i>	Training on certification	Knowledge on benefits from BD	Governance framework for private investments	Institutional CD		Market-based incentives	Financing mechanisms	IAS mgmt.

CCM-5	LULUCF knowledge creation		Governance framework	National measuring and monitoring		Incentives and Financing	Pilot approaches, forest mgmt.	Networks of LULUCF stakeholders

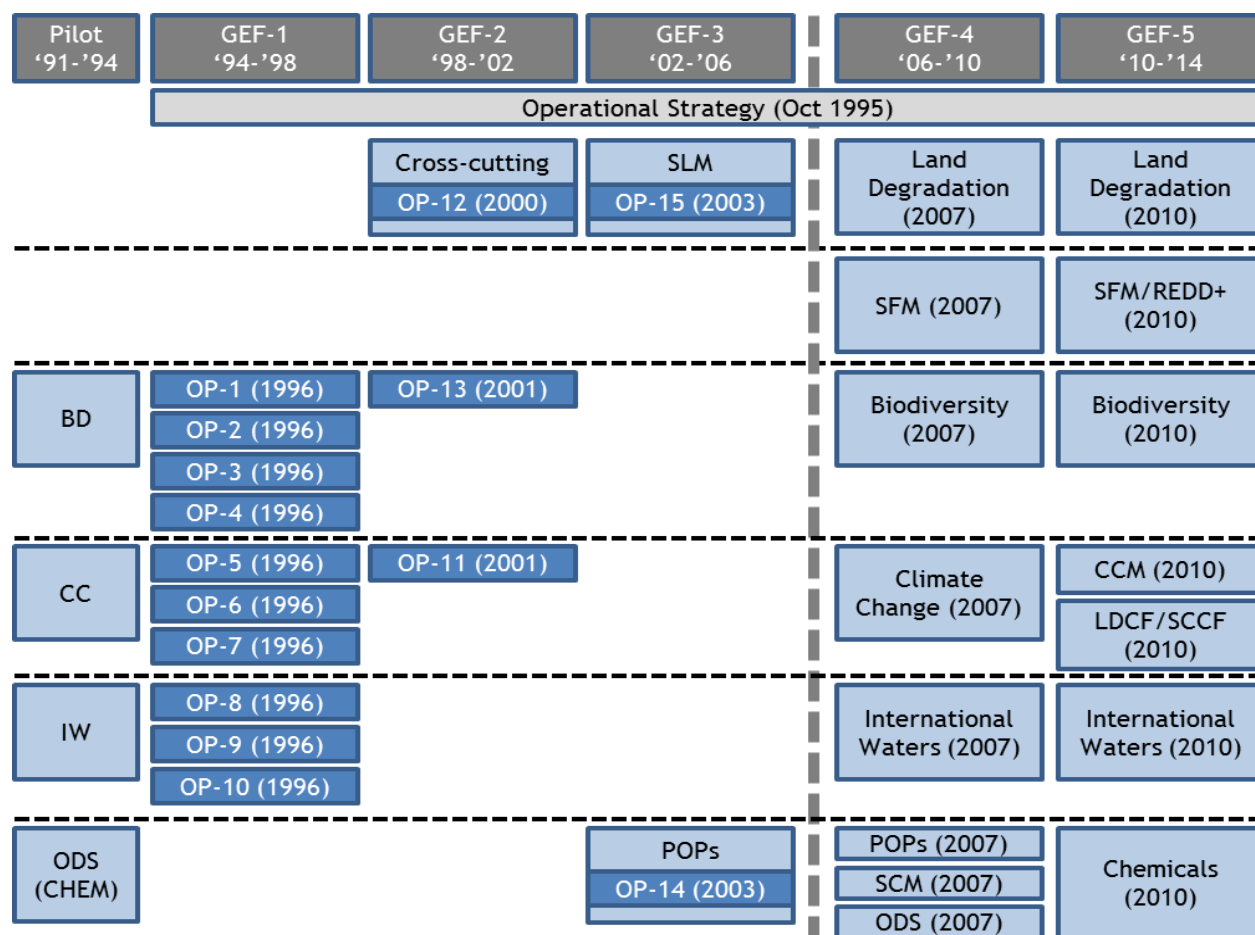
4. GEF Strategy Mapping

Taking the in-depth analysis of the design of GEF-5 Focal Area Strategies and LDCF/SCCF Strategy as a starting point, the following section illustrates how larger trends in strategic approaches have evolved over time during different GEF replenishment periods. It provides a mapping of the main issues and objectives addressed by the GEF over time, illustrating the evolution of GEF approaches to specific issues at the strategic level.

The back-tracing of Focal Area objectives presented in this Technical Paper is envisioned to serve as the basis for **further analysis to be presented in the Final Report of OPS5**. Based on the analysis conducted thus far, one promising way for deepening the assessment is to use a case study approach. For this, the Strategy Mapping would serve as a guide to the identification of projects that have addressed similar issues under different strategies/objectives. Based on this, case studies can be developed presenting the in-depth analysis of the identified sets of projects in order to illustrate the evolution of approaches as employed by GEF projects over time. In this way, the case studies can provide a perspective on the long-term trends in Focal Area achievements. An alternative or complementary approach could be the analysis of Terminal Evaluations and Terminal Evaluation Reviews.

Figure 8 provides an overview of the GEF Operational Programs (OPs) and Strategies over time.

Figure 8: Overview of GEF Strategies and Operational Programs



The key finding of the GEF Strategy Mapping is the high degree of consistency over time. Almost all GEF-5 Strategy objectives across all Focal Areas can be clearly traced in their development back to the initial ten Operational Programs approved by the GEF Council in 1996. Even objectives of new Focal Areas, especially Land Degradation, can be linked to similar objectives already expressed in OPs 1-4 under Biodiversity (see Figure 13). The Land Degradation agenda was then further defined through OP-12 on Integrated Ecosystem Management (2000) and OP-15 on Sustainable Land Management (2003).

In the Climate Change Mitigation Focal Area (see Figure 10), the role of GEF support for innovative low-carbon technologies has been adjusted over time. The corresponding objective was already articulated in the Operation Program 7 (1996). The focus on technology innovation was significantly decreased in the GEF-4 Strategy, but reemerged in the GEF-5 Strategy under objective CCM-1 with an orientation towards the transfer of technologies that have been demonstrated in developed countries and the adjustment of these technologies to conditions in developing countries.

The significance of land use, land use change and forests (LULUCF) for the Climate Change Mitigation focal area was not prominently addressed in the original OPs, but was added to the GEF strategic framework as early as 2000 in the cross-cutting OP-12 and further reinforced through OP-15 before being comprehensively addressed in the GEF-4 Climate Change Mitigation Strategy as well as the GEF-4 SFM Strategy.

Overall, the Strategy Mapping illustrates that most of the GEF-5 Focal Area Objectives in the original Focal Areas Biodiversity, Climate Change and International Waters had already been defined in the original Operational Programs and underwent only gradual adjustments in prioritization since then. At this point, the Strategy Mapping focused on the level of objectives. At the level of corresponding outputs, an initial analysis suggests a high level of consistency as well. However, a systematic mapping of strategies at the level of expected outcomes is necessary to provide a sound conclusion on strategic consistency over time at that level.

The two areas that can be characterized as new additions to the GEF's strategic framework, even though they can also be linked to earlier efforts, are the management of Areas Beyond National Jurisdiction (ABNJ) addressed by objective IW-4 (see Figure 11) supplemented by a corresponding Focal Area Set-aside in the Biodiversity Strategy, as well as the GEF's activities in the area of mercury reduction (see Figure 12) included in the Chemicals Strategy under objective CHEM-3. Figures 9 to 14 provide a summary illustration of the strategy mapping for the different Focal Areas.

Figure 9: Overview of GEF Strategy mapping for Biodiversity

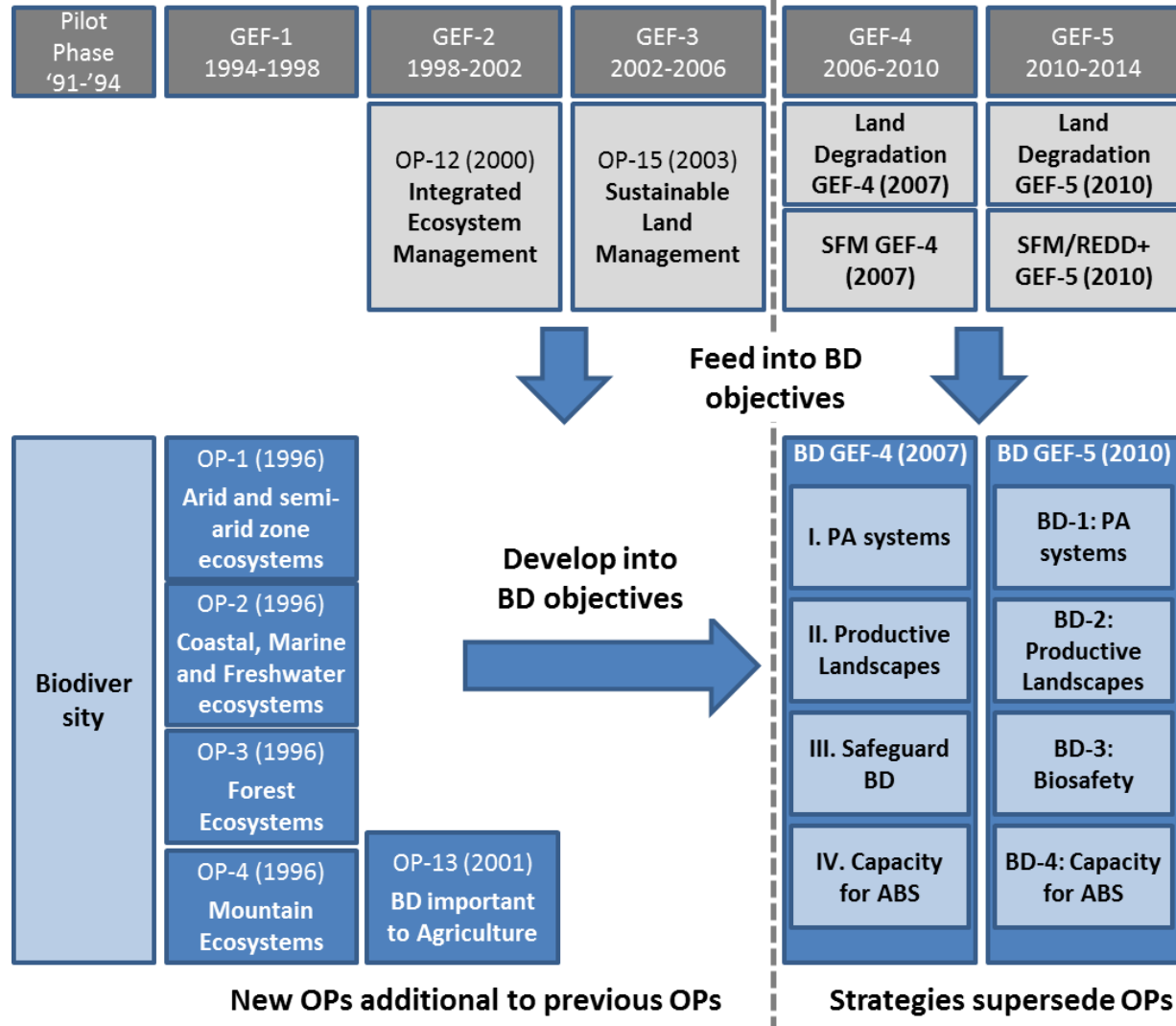


Figure 10: Overview of GEF Strategy mapping for Climate Change Mitigation

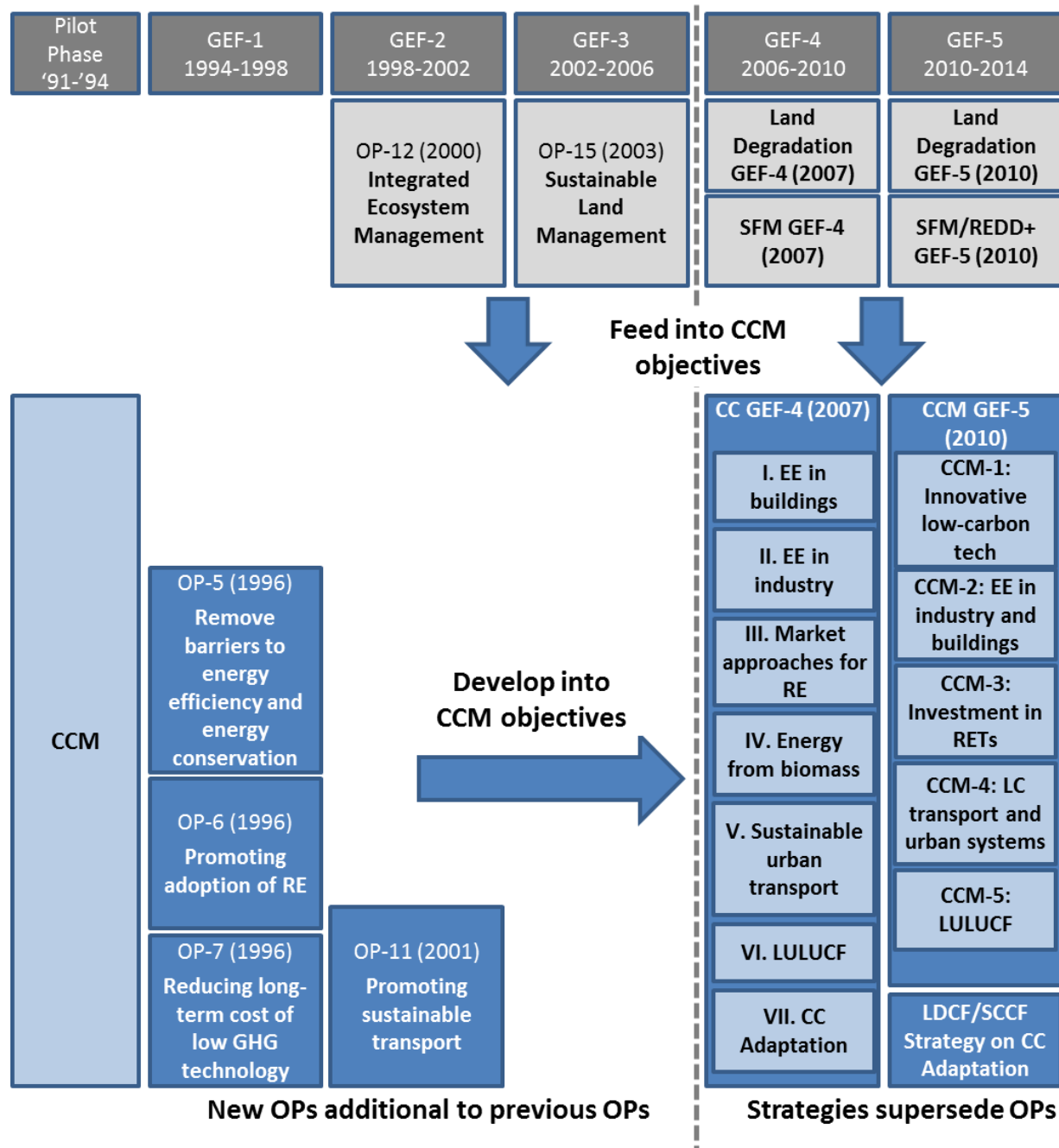


Figure 11: Overview of GEF Strategy mapping for International Waters

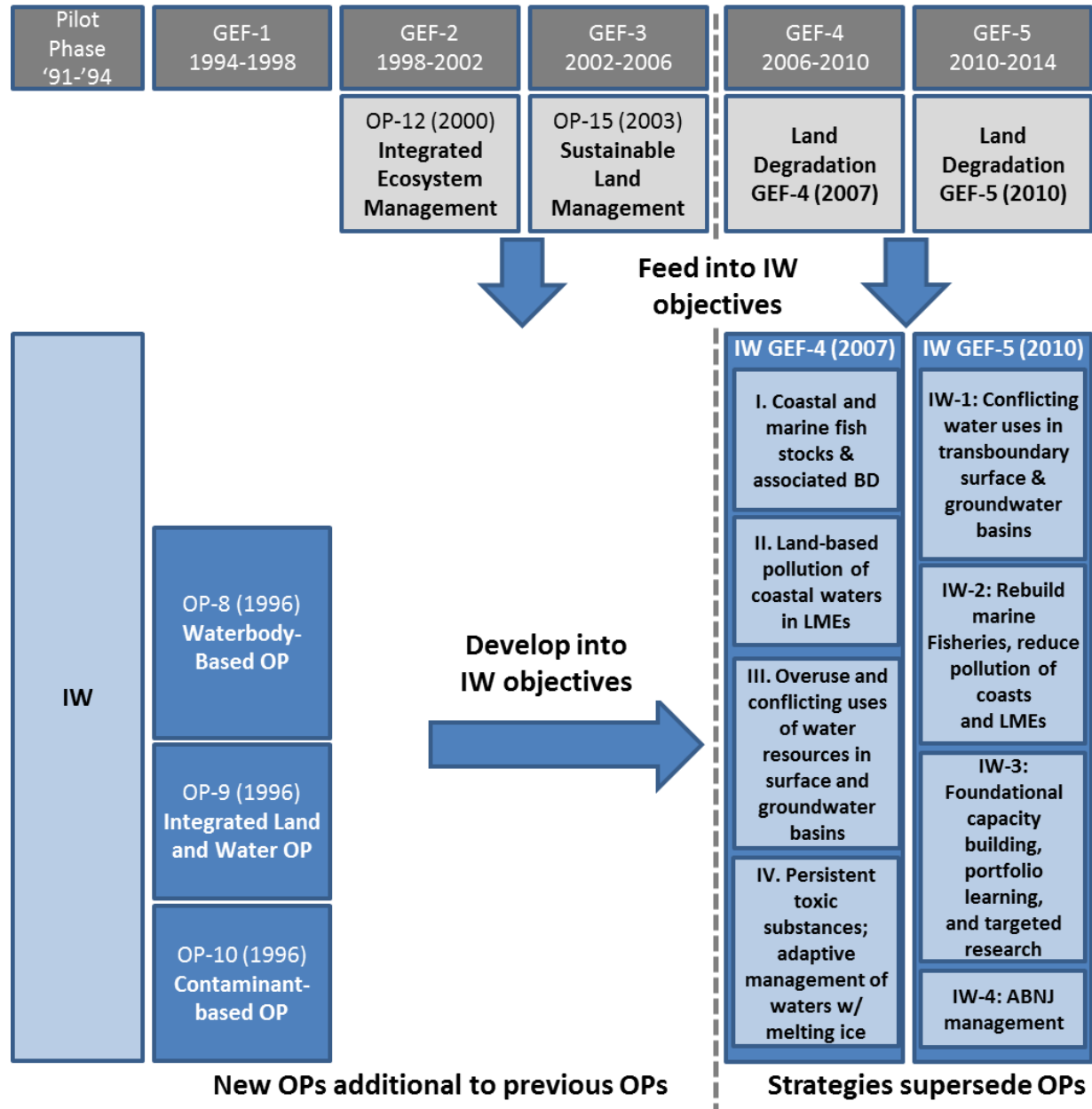


Figure 12: Overview of GEF Strategy mapping for Chemicals

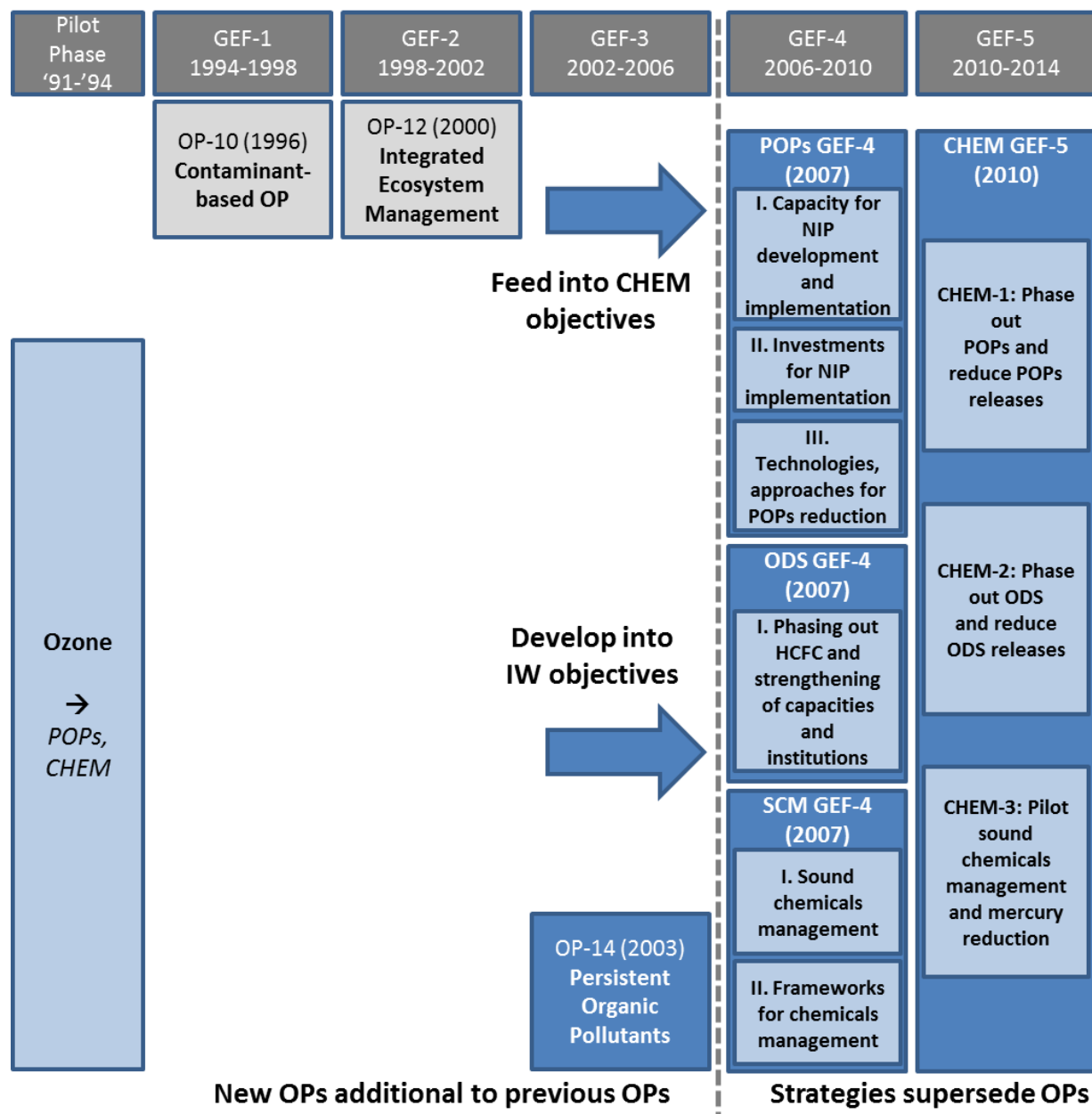


Figure 13: Overview of GEF Strategy mapping for Land Degradation

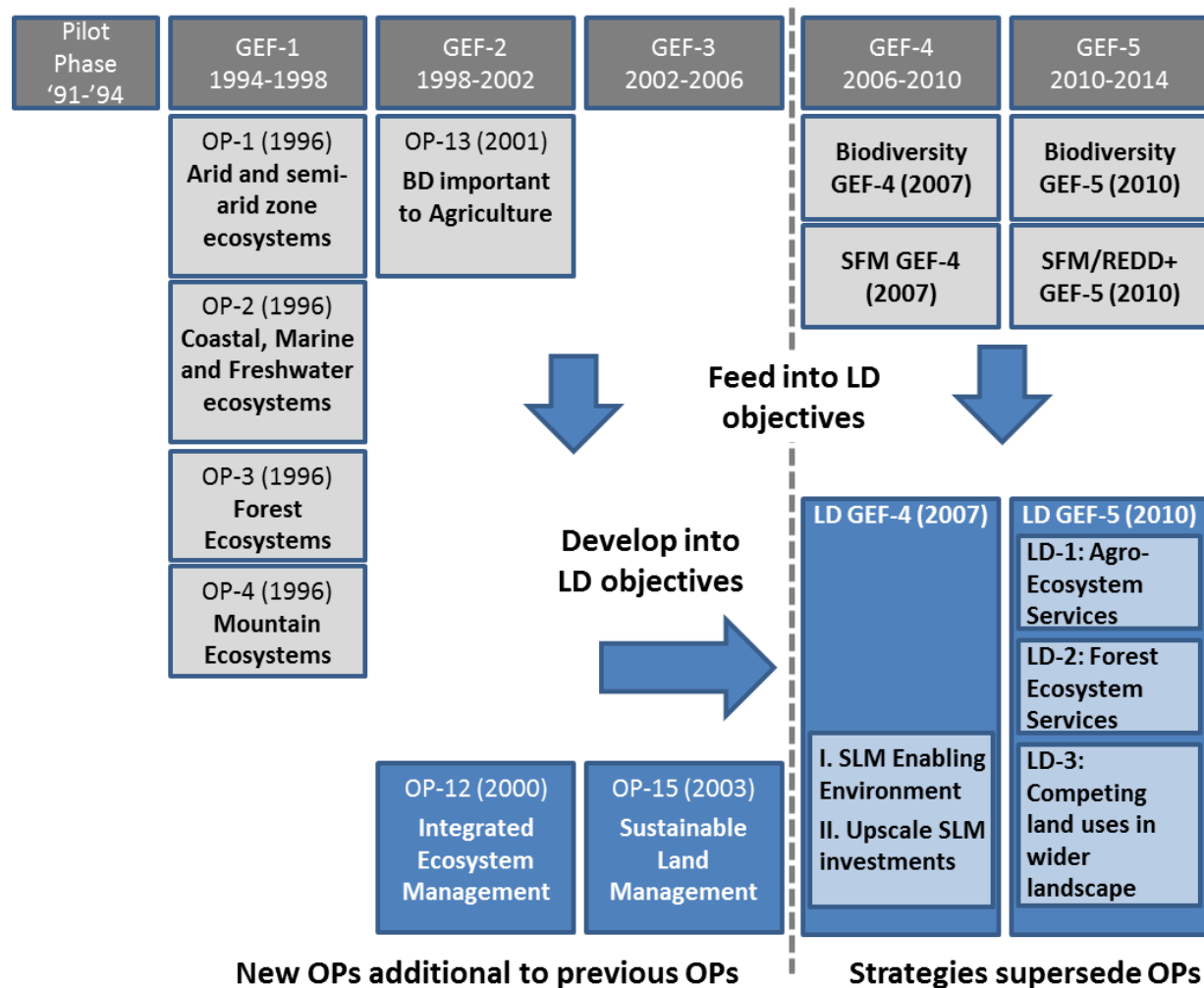
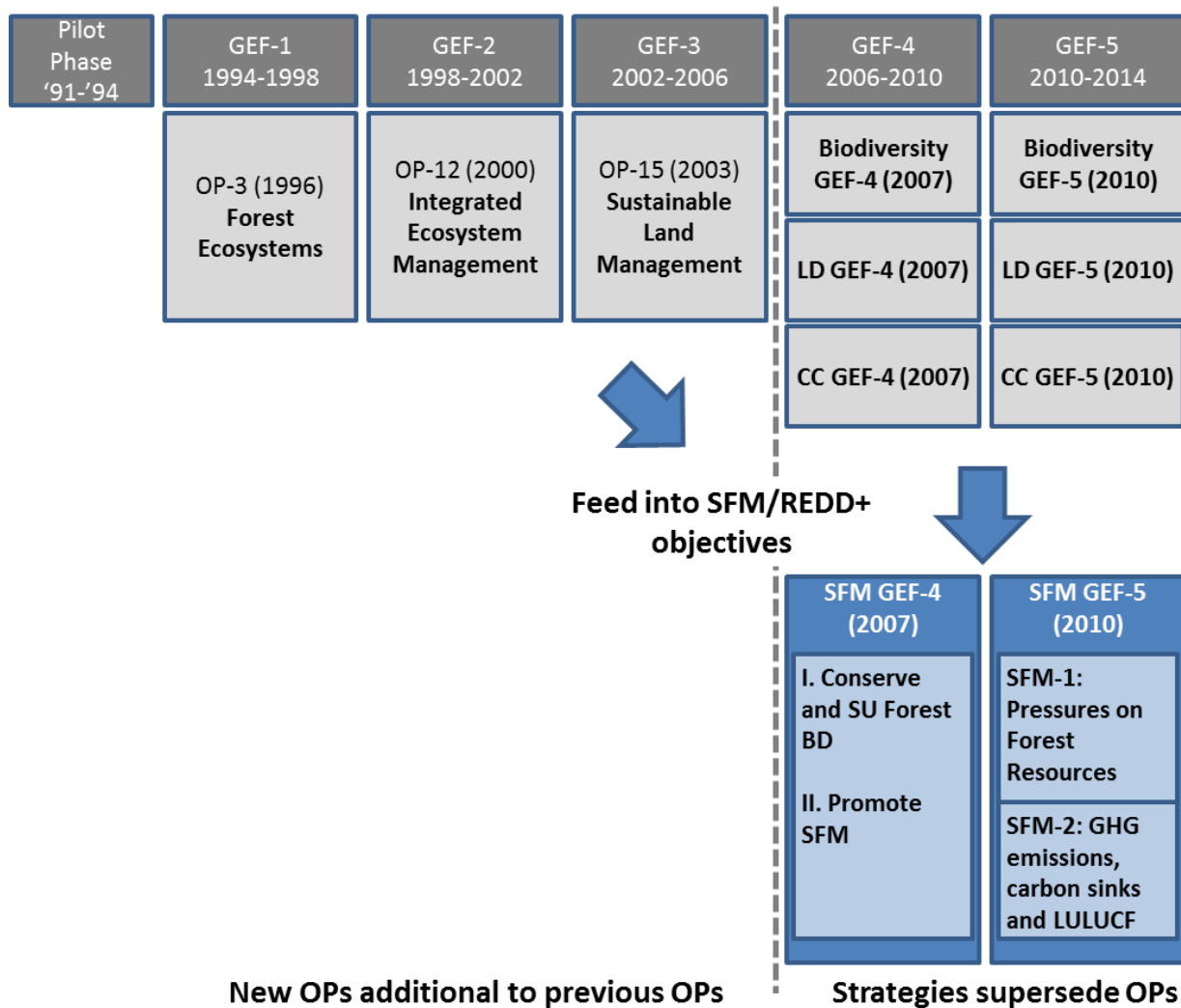


Figure 14: Overview of GEF Strategy mapping for SFM/REDD+



Annex: Quantitative data for project sample selection

In order to deepen the analysis of the implementation of GEF-5 Strategies in GEF projects, a sample of projects was selected for each focal area for more detailed analysis primarily based on PIF reviews. The overall process of selection is depicted in figure 7. The sets of selected projects are not representative, random samples. Instead, the projects are purposefully selected to illustrate different kinds of GEF-5 projects to represent a spectrum of GEF-5 approaches as embodied in the different Focal Area objectives.

The sample size for each Focal Area corresponds to the relative prevalence of projects from the respective Focal Area in the overall GEF-5 portfolio. The samples were selected to maximize the coverage of Focal Areas, Focal Area Objectives and combinations of FA Objectives. As secondary sampling criteria, projects were selected in order to achieve broad coverage of geographic regions and implementing agencies.

a) Biodiversity

Table 18: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - BD Objectives Overview			MSP - FA Distribution		
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects	Focal Area	# Projects	% Projects
BD	56	18.4	BD-1	27	48.2	BD	9	30.0
CCM	73	24.0	BD-2	9	16.1	CCM	2	6.7
LD	11	3.6	BD-3	0	0.0	LD	2	6.7
POPs	33	10.9	BD-4	0	0.0	POPs	10	33.3
Ozone	3	1.0	BD-5	2	3.6	Ozone	0	0.0
IW	6	2.0	BD-6	0	0.0	IW	0	0.0
MFA	70	23.0	BD-1, BD-2	16	28.6	MFA	5	16.7
LDCF	34	11.2	BD-2, BD-4	2	3.6	LDCF	2	6.7
SCCF	18	5.9	TOTAL	56	100.0	SCCF	0	0.0
TOTAL	304	100.0				TOTAL	30	100.0

Table 19: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for BD			FSP - GEF Agencies for BD			FSP - GEF Agencies for BD		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	20	35.7	WB	5	8.9	UNDP/FAO	1	1.8
AFR	10	17.9	UNDP	33	58.9			
ECA	3	5.4	UNEP	6	10.7	TOTAL	56	100.0
LAC	20	35.7	UNIDO	0	0.0			
CEX	3	5.4	ADB	0	0.0			
REG	0	0.0	IFAD	2	3.6			
TOTAL	56	100.0	FAO	8	14.3			

			AfDB	0	0.0			
			IADB	1	1.8			
			EBRD	0	0.0			

3.2 Climate Change Mitigation

Table 20: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - CCM Objectives Overview			FSP - CCM Objectives Overview		
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects	Focal Area	# Projects	% Projects
BD	56	18.4	CCM-1	6	8.2	CCM-2, CCM-4	1	1.4
CCM	73	24.0	CCM-2	13	17.8	CCM-2, CCM-3, CCM-4	1	1.4
LD	11	3.6	CCM-3	21	28.8	CCM-2, CCM-3, CCM-6	1	1.4
POPs	33	10.9	CCM-4	7	9.6	CCM-2, CCM-3, CCA-3	1	1.4
Ozone	3	1.0	CCM-5	1	1.4	CCM-1, CCM-2, CCM-3, CCM-4	1	1.4
IW	6	2.0	CCM-6	5	6.8	CCM-1, CCM-2, CCM-3, CCM-4, CCA-3	2	2.7
MFA	70	23.0	CCM-1, CCM-2	3	4.1	CCM-1, CCM-2, CCM-3, CCM-4, CCM-5, CCA-3	1	1.4
LDCF	34	11.2	CCM-1, CCM-3	2	2.7	TOTAL	73	100.0
SCCF	18	5.9	CCM-1, CCM-4	1	1.4			
TOTAL	304	100.0	CCM-2, CCM-3	6	8.2			

Table 21: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for CCM			FSP - GEF Agencies for CCM			FSP - GEF Agencies for CCM		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	30	41.1	WB	15	20.5	ADB/UNEP	1	1.4
AFR	11	15.1	UNDP	26	35.6			
ECA	15	20.5	UNEP	5	6.8	TOTAL	73	100.0
LAC	12	16.4	UNIDO	12	16.4			
CEX	4	5.5	ADB	4	5.5			
REG	1	1.4	IFAD	0	0.0			
TOTAL	73	100.0	FAO	0	0.0			
			AfDB	2	2.7			
			IADB	5	6.8			
			EBRD	3	4.1			

3.3 Climate Change Adaptation under LDCF/SCCF

Table 22: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - CCA (SCCF) Objectives Overview			FSP - CCA (LDCF) Objectives Overview		
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects	Focal Area	# Projects	% Projects
BD	56	18.4	CCA-1	2	11.1	CCA-1	3	8.8
CCM	73	24.0	CCA-2	1	5.6	CCA-2	3	8.8
LD	11	3.6	CCA-3	0	0.0	CCA-3	0	0.0
POPs	33	10.9	CCA-1, CCA-2	5	27.8	CCA-1, CCA-2	7	20.6
Ozone	3	1.0	CCA-1, 2, 3	10	55.6	CCA-2, CCA-3	11	32.4
IW	6	2.0	TOTAL	18	100.0	CCA-1, 2, 3	10	29.4
MFA	70	23.0				TOTAL	34	100.0
LDCF	34	11.2						
SCCF	18	5.9						
TOTAL	304	100.0						

Table 23: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for CCA			FSP - GEF Agencies for CCA (SCCF)			FSP - GEF Agencies for CCA (LDCF)		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects

Asia	16	30.8	WB	4	22.2	WB	0	0.0
AFR	27	51.9	UNDP	6	33.3	UNDP	27	79.4
ECA	3	5.8	UNEP	1	5.6	UNEP	1	2.9
LAC	5	9.6	UNIDO	0	0.0	UNIDO	0	0.0
CEX	1	1.9	ADB	1	5.6	ADB	0	0.0
REG	0	0.0	IFAD	3	16.7	IFAD	2	5.9
TOTAL	52	100.0	FAO	1	5.6	FAO	4	11.8
			AfDB	0	0.0	AfDB	0	0.0
			IADB	1	5.6	IADB	0	0.0
			EBRD	1	5.6	EBRD	0	0.0

3.4 Land Degradation

Table 24: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - LD Objectives Overview			MSP - FA Distribution		
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects	Focal Area	# Projects	% Projects
BD	56	18.4	LD-1	2	18.2	BD	9	30.0
CCM	73	24.0	LD-2	0	0.0	CCM	2	6.7
LD	11	3.6	LD-3	3	27.3	LD	2	6.7
POPs	33	10.9	LD-4	1	9.1	POPs	10	33.3
Ozone	3	1.0	LD-1, LD-2	1	9.1	Ozone	0	0.0
IW	6	2.0	LD-1, LD-3	2	18.2	IW	0	0.0
MFA	70	23.0	LD-2, LD-3	1	9.1	MFA	5	16.7
LDCF	34	11.2	LD-1, LD-2, LD-3	1	9.1	LDCF	2	6.7
SCCF	18	5.9	TOTAL	11	100.0	SCCF	0	0.0
TOTAL	304	100.0				TOTAL	30	100.0

Table 25: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for LD			FSP - GEF Agencies for LD			FSP - GEF Agencies for LD		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	4	36.4	WB	2	18.2	Joint	0	0.0
AFR	3	27.3	UNDP	5	45.5			
ECA	3	27.3	UNEP	1	9.1	TOTAL	56	100.0
LAC	0	0.0	UNIDO	0	0.0			
CEX	1	9.1	ADB	2	18.2			
REG	0	0.0	IFAD	0	0.0			
TOTAL	11	100.0	FAO	1	9.1			
			AfDB	0	0.0			
			IADB	0	0.0			
			EBRD	0	0.0			

3.5 Chemicals

Table 26: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - CHEM (POPs) Objectives			FSP - CHEM (ODS) Objectives		
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects	Focal Area	# Projects	% Projects
BD	56	18.4	CHEM-1	20	60.6	CHEM-2	2	66.7
CCM	73	24.0	CHEM-2	0	0.0	CCM-2	1	33.3
LD	11	3.6	CHEM-3	0	0.0	TOTAL	3	100.0
POPs	33	10.9	CHEM-4	1	3.0			
Ozone	3	1.0	CHEM-1, CHEM-3	10	30.3			
IW	6	2.0	CHEM-1, 3, 4	2	6.1			
MFA	70	23.0	TOTAL	33	100.0			
LDCF	34	11.2	CHEM-1	20	60.6			
SCCF	18	5.9	CHEM-2	0	0.0			
TOTAL	304	100.0						

Table 27: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for CHEM			FSP - GEF Agencies for CHEM			FSP - GEF Agencies for CHEM		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	14	38.9	WB	3	8.3	UNEP/FAO	1	2.8
AFR	8	22.2	UNDP	11	30.6	UNIDO/UNEP	1	2.8
ECA	7	19.4	UNEP	7	19.4	TOTAL	36	100.0
LAC	5	13.9	UNIDO	8	22.2			
CEX	2	5.6	ADB	0	0.0			
REG	0	0.0	IFAD	0	0.0			
TOTAL	36	100.0	FAO	5	13.9			
			AfDB	0	0.0			
			IADB	0	0.0			
			EBRD	0	0.0			

3.6 International Waters

Table 28: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - FA Distribution Overall			FSP - IW Objectives Overview					
Focal Area	# Projects	% Projects	FA Objectives	# Projects	% Projects			
BD	56	18.4	IW-1	1	16.7			
CCM	73	24.0	IW-2	2	33.3			
LD	11	3.6	IW-3	2	33.3			
POPs	33	10.9	IW-1, IW-2, IW-4	1	16.7			
Ozone	3	1.0	TOTAL	6	100.0			
IW	6	2.0						
MFA	70	23.0						
LDCF	34	11.2						
SCCF	18	5.9						
TOTAL	304	100.0						

Table 29: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for IW			FSP - GEF Agencies for IW			FSP - GEF Agencies for IW		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	1	16.7	WB	1	16.7	UNDP/FAO	1	16.7
AFR	1	16.7	UNDP	1	16.7			
ECA	1	16.7	UNEP	3	50.0	TOTAL	6	100.0%
LAC	0	0.0	UNIDO	0	0.0			
CEX	3	50.0	ADB	0	0.0			
REG	0	0.0	IFAD	0	0.0			
TOTAL	6	100.0	FAO	0	0.0			
			AfDB	0	0.0			
			IADB	0	0.0			
			EBRD	0	0.0			

3.7 Multi Focal Area projects

Table 30: Primary sampling criteria - Coverage of Focal Areas, Focal Area Objectives and combinations of Focal Area Objectives

FSP - MFA Objectives Overview					
FA Objectives	#	FA Objectives	#	FA Objectives	#
BD-1, LD-3	3	BD-1, BD-2, LD-3, SFM-1	1	BD-2, CCM-5, LD-2, LD-3, SFM-1	1
BD-2, CCM-5	1	BD-1, CCM-5, LD-3, SFM-1	2	BD-2, CCM-5, LD-3, SFM-1, SFM-2	1

BD-2, LD-1	1	BD-1, CCM-5, LD-3, SFM-2	1	BD-2, LD-3, IW-1, IW-2, SFM-1	1
BD-2, IW-3	1	BD-1, LD-1, LD-3, SFM-1	1	BD-2, LD-3, CCA-1, CCA-2, SFM-1	2
BD-2, IW-4	1	BD-1, LD-3, CCA-2, SFM-1	1	BD-2, CCM-3, LD-1, LD-2, LD-3, IW-1, SFM-1	1
BD-1, BD-2, CCM-5	1	BD-2, CCM-1, CCM-5, LD-1	1	BD-1, BD-2, CCM-1, CCM-2, CCM-3, CCM-5, IW-2, IW-3	1
BD-1, BD-2, LD-3	1	BD-2, CCM-1, CCM-2, IW-2	1	BD-1, BD-2, CCM-3, CCM-5, LD-3, CCA-1, CCA-2, SFM-1	1
BD-1, BD-2, IW-3	1	BD-2, CCM-3, LD-1, CCA-1	1	BD-1, BD-2, CCM-5, LD-3, CCA-1, CCA-2, SFM-1, SFM-2	1
BD-1, BD-2, IW-4	3	BD-2, CCM-5, LD-1, LD-3	1	CCM-1, CCM-2, CCM-3, LD-1	1
BD-1, CCM-5, LD-2	1	BD-2, CCM-5, SFM-1, SFM-2	1	CCM-2, CCM-3, IW-2, CHEM-3	1
BD-1, CCM-5, SFM-2	1	BD-2, LD-1, LD-3, SFM-1	2	CCM-3, CCM-5, LD-2, SFM-1	1
BD-1, LD-3, SFM-2	1	BD-2, LD-3, IW-3, SFM-1	1	CCM-5, LD-1, LD-2, SFM-1	1
BD-2, CCM-2, CCM-3	1	BD-2, LD-3, CCA-1, SFM-1	1	CCM-5, LD-3, SFM-1, SFM-2	2
BD-2, CCM-5, SFM-2	1	BD-1, BD-2, BD-5, IW-2, IW-3	1	CCM-5, LD-1, LD-3, SFM-1, SFM-2	1
BD-2, LD-1, LD-3	2	BD-1, BD-2, LD-3, SFM-1, SFM-2	1	CCM-1, IW-1, IW-2, CHEM-1, CHEM-3	1
BD-2, LD-2, SFM-1	1	BD-1, CCM-3, CCM-5, LD-3, SFM-1	1	LD-1, LD-3, CCA-1, CCA-2	1
BD-2, LD-3, SFM-1	3	BD-1, CCM-3, CCM-5, SFM-1, SFM-2	1		
BD-1, BD-2, CCM-5, SFM-1	4	BD-1, CCM-5, LD-3, SFM-1, SFM-2	1	TOTAL	70
BD-1, BD-2, CCM-5, SFM-2	1	BD-1, LD-1, LD-3, CCA-1, SFM-1	1		
BD-1, BD-2, LD-1, SFM-1	1	BD-2, CCM-1, CCM-5, LD-1, LD-3	1		

Table 31: Secondary sampling criteria - Coverage of geographic regions, GEF agencies and project cycle stage

FSP - Regional Distribution for MFA			FSP - GEF Agencies for MFA			FSP - GEF Agencies for MFA		
Region	# Projects	% Projects	Agency	# Projects	% Projects	Agency	# Projects	% Projects
Asia	13	18.6	WB	25	35.7	UNEP/UNDP	1	1.4
AFR	17	24.3	UNDP	16	22.9	UNEP/EBRD, UNDP, World Bank	1	1.4
ECA	18	25.7	UNEP	8	11.4	FAO/UNEP	1	1.4
LAC	15	21.4	UNIDO	1	1.4	FAO/UNEP, World Bank	1	1.4

CEX	5	7.1	ADB	0	0.0	ADB/World Bank	1	1.4
REG	2	2.9	IFAD	0	0.0			
TOTAL	70	100.0	FAO	9	12.9	TOTAL	70	100.0
			AfDB	2	2.9			
			IADB	4	5.7			
			EBRD	0	0.0			

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