



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

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Agenda Item 8

**FOUR-YEAR WORK PROGRAM AND BUDGET OF THE  
GEF INDEPENDENT EVALUATION OFFICE – GEF-6**

(Prepared by the GEF Independent Evaluation Office)

**Recommended Council Decision**

The Council, having reviewed document GEF/ME/C.48/01, “Four-Year Work Program and Budget of the GEF Independent Evaluation Office,” approves the annual budget for the Independent Evaluation Office for fiscal year 2016 for a total of \$4.7 million.

The multiannual budget for the evaluation program of the GEF Independent Evaluation Office is approved for the amount of \$19 million.

## **EXECUTIVE SUMMARY**

1. This four-year work program and budget presents the strategy and programming of all evaluations and other work of IEO proposed for the GEF-6 period. The work program has been developed to provide evaluative evidence pertaining to the major strategies approved in the Sixth Replenishment of the GEF Trust Fund and reflected in the GEF-6 Programming Directions. The work program contains both accountability-focused and developmental evaluations that will generate lessons for GEF programming. The evaluations will focus on the results, impact and performance of the GEF and will also evaluate key questions related to GEF strategies, including delivering multiple benefits and addressing drivers of global environmental change. The evaluations have been developed strategically to build up to the Sixth Comprehensive Evaluation of the GEF. Furthermore, the work program proposes to update and further strengthen guidance and methodologies in key areas, including impact evaluation, and gender and women's empowerment. The work program also emphasizes the need to strengthen knowledge management, learning and evaluation utilization throughout the programming cycle.

2. The annual budget for FY16 amounts to \$4.7 million while the full four-year budget for GEF-6 adds up to \$19 million. This is within the allocation agreed for IEO during the Sixth Replenishment of the GEF. It represents a minor increase from the budget of \$18.5 million for GEF-5. The budget includes salaries and benefits, operational costs, travel costs, consultants and advisory support, and publications. During the GEF-6 period IEO plans to move to full costing of evaluations, which means that staff, communication and dissemination costs are included in evaluation budgets. This is important for transparency and reflects the fact that IEO evaluations are all led by staff and utilize in-house human resources to the extent possible.

## TABLE OF CONTENTS

Executive Summary .....	ii
Overview .....	1
Reporting to the Council .....	2
Multiple Benefits and integrated approaches .....	2
Evaluation of Multiple Benefits in the GEF.....	3
Evaluation of Programmatic Approaches .....	3
Midterm Review of Integrated Programs.....	3
Addressing Drivers of Global Environmental Change.....	4
Joint Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems.....	5
Strategic Country-Level and Cluster Evaluations .....	5
Evaluating GEF Performance.....	5
Annual Performance Report.....	6
Evaluation of the Performance of the CSO Network.....	6
LDCF/SCCF Annual Evaluation Reports .....	6
Comprehensive Evaluation of the GEF.....	7
Policy, Guidance, and Methodological Development .....	8
GEF M&E Policy .....	8
Terminal Evaluation Guidelines.....	8
Impact Evaluation Guidelines and Handbook.....	8
Guidance on Evaluating Gender in GEF Programming.....	9
Participation in GEF Secretariat Working Groups.....	9
Knowledge Management, Learning, and Evaluation Utilization.....	10
Participation in GEF Meetings and Evaluation Networks .....	10
Special Initiatives.....	11
Climate-Eval Community of Practice .....	11
Evaluating Sustainable Development and Natural Resource Management .....	11
4 <sup>th</sup> International Conference on National Evaluation Capacities .....	12
Estimated Budgets for the IEO during GEF-6 .....	12
IEO Total Budget for GEF-5.....	14
IEO Staffing .....	15

## OVERVIEW

1. During GEF-6, the GEF Independent Evaluation Office (IEO) work program will continue to build on its past work, recognized for its independence and credibility.<sup>1</sup> The IEO will continue to provide feedback on the performance, results, and impacts of GEF support by focusing and organizing its work program around key evaluative issues, while enhancing the utility of the evaluations to the GEF partnership. Knowledge management will be mainstreamed in all IEO work, and the dissemination of lessons learned will be strengthened to promote learning and uptake. The IEO will strive to remain at the forefront of evaluation approaches and methodologies, and it will contribute to creating and sharing knowledge through participation in evaluation communities.

2. The role of evaluation is to look back and determine what was accomplished and why. But to remain relevant, evaluations must consider the current and future needs of those who will use the information produced. Particularly important is that the evaluations address key strategic issues of the organization in a comprehensive and timely manner. Thus, while the IEO will continue to provide quality evaluations on the impacts, results, and performance of the GEF for accountability purposes, the GEF-6 evaluation work program will be organized around key issues derived from the Sixth Replenishment of the GEF Trust Fund (GEF/C.46/07/Rev.01) and directly relevant to the GEF 2020 Strategy. The IEO will continue reporting on impact from a comprehensive and systemic perspective and will ensure that all evaluations consider and address impact when appropriate. It will deliver information and lessons to help refine the priorities contained in the GEF 2020 Strategy by organizing its work program around the following evaluative issues:

- (a) The extent, mechanisms, and conditions by which GEF support has identified and delivered integrated solutions and multiple benefits
- (b) The extent, mechanisms, and conditions by which GEF support has addressed drivers of environmental degradation
- (c) The performance of the GEF, including issues related to the GEF 2020 Strategy core operational principles

3. Any given evaluation will address one or more of these strategic issues, depending on the specific concerns, scope, and scale to be addressed. In addition to impact, the IEO will also assess the forms and extent by which projects in other focal areas address climate change mitigation and adaptation issues. Avoided greenhouse gas emissions will be assessed only when reliable data are available. Multiple benefits of climate change projects will be addressed by specific evaluations.

4. The key strategic priorities and core operational principles contained in the GEF-6 Programming Directions are far-reaching topics and provide a framework around which the IEO can organize a comprehensive program. Although these priorities have not been directly addressed by previous GEF strategies, in many instances the GEF has already pursued these goals. Thus, these topics are not completely new to the GEF. Also, given the GEF's

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<sup>1</sup> Report of the Second Professional Peer Review of the GEF Evaluation Function (GEF/ME/C.46/06).

longevity, there are sufficient past activities on which to design evaluations that can provide useful information that draw directly from GEF experience. The overall approach presented in the GEF-6 strategy, which gives special attention to the transformation of systems at scale, is very much in line with the path that the IEO pursued in the Fourth and Fifth Overall Performance Studies (OPS4 and OPS5). During GEF-5, the IEO work program addressed issues such as impact, drivers to environmental degradation, innovation, and scalable activities through its impact evaluations. Results of GEF support at the country level were assessed through country portfolio evaluations (CPEs). The performance of the GEF partnership was evaluated by tracking portfolio results and assessing various efficiency and effectiveness dimensions critical to the functioning of the GEF as a system. This work provides a foundation on which to further develop the methods and data sets to address the GEF-6 strategic priorities and other emerging issues. Work will culminate in the Sixth Comprehensive Evaluation of the GEF, which will build on all evaluative evidence generated throughout the four-year period.

5. In addition to the evaluative work for the GEF Trust Fund, the IEO provides support at full cost recovery to the two adaptation funds managed by the GEF: the Least Developed Countries Fund (LDCF) and the Special Climate Change Fund (SCCF). Since 2014, the evaluative work for these funds has been submitted to the LDCF/SCCF Council in the LDCF/SCCF Annual Evaluation Report (AER). During FY16–19, the IEO will report on completed LDCF/SCCF projects, other assessments, and special studies of these funds in the Annual Performance Report (APR). Also, the Sixth Comprehensive Evaluation of the GEF will synthesize conclusions and evaluative evidence on adaptation to climate change.

#### **REPORTING TO THE COUNCIL**

6. The IEO proposes to simplify its reporting to the Council by providing an overall Semi-Annual Evaluation Report (SAER) to every Council meeting as the main working document. The SAER will summarize all evaluation findings in the current period and provide a progress report on IEO work. It will also provide proposed Council decisions. The SAER will replace the multiple annual reports from the IEO that are currently presented to the Council. The full evaluation reports, including the APR, will be presented as information documents.

#### **MULTIPLE BENEFITS AND INTEGRATED APPROACHES**

7. The GEF has until recently been organized around the focal areas of biodiversity, climate change, international waters, land degradation, chemicals, and waste. Consequently, it has tracked its results based on focal area indicators. In addition, there is a set of projects classified under the multifocal area rubric; in the past, a specific operational program (OP12) was dedicated to integrated ecosystem management.<sup>2</sup> The Office conducted a study of the role of local benefits in global environmental programs, which was published in 2006 and explicitly focused on multiple benefits. Similarly, OPS5 conducted a portfolio analysis of multifocal area projects. The concept of multiple benefits is not new to the GEF<sup>3</sup>, although GEF-6 is designed more explicitly around it. The IEO will conduct evaluations of past programming that can inform

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<sup>2</sup> See GEF/ME/C.25/5 from May 2005 for a review of OP12.

<sup>3</sup> In 2004, the GEF Scientific and Technical Advisory Panel prepared a conceptual design tool for exploiting linkages between the GEF focal areas (GEF/C.24/Inf.10).

the GEF strategy in pursuing multiple benefits. Toward the end of GEF-6, the IEO will also conduct a midterm evaluation of the integrated programs. While assessing multiple benefits and integrated programs, the IEO will also keep track of benefits and results in specific focal areas to meet the reporting requirements of the conventions.

### **Evaluation of Multiple Benefits in the GEF**

8. The IEO proposes an evaluation that would analyze GEF programs on the ground to test the hypothesis that programs and projects developed and implemented under focal areas as well as multifocal area projects have generated multiple benefits across focal areas. The evaluation would thus not only cover multifocal area projects, but activities from all GEF focal areas, as well as projects that focus on sustainable forest management and multi-trust fund projects. The evaluation would use multiple methods, including field-based studies, geographic information systems (GIS), and remote sensing to track the effects and impacts of GEF support on a broad range of environmental, social, and economic fronts. The evaluation would be started in FY16 and expected to be reported on to the Council in FY18. This evaluation will also be closely coordinated with the strategic county-level evaluations.

9. A separate substudy under the evaluation is planned on GEF approaches to climate finance, which will shed light on the specific strategies the GEF has adopted in climate mitigation and adaptation. In particular, the study will evaluate GEF climate work to provide evidence of the extent to which projects have been designed and implemented to generate synergies with other focal areas as well as local benefits.

### **Evaluation of Programmatic Approaches**

10. Although the GEF is primarily a project funding mechanism, it has experimented with programmatic approaches over several years. These were initially focused primarily on the international waters focal area, but have since been tested elsewhere. In its April 2008 meeting, the Council, after discussing the working paper “From Projects to Program: Clarifying the Programmatic Approach in the GEF Portfolio” (GEF/C.33/6), endorsed the objectives and basic principles for programmatic approaches and considered these approaches an option for providing GEF support.

11. In GEF-6, integrated programs (Integrated Approach Pilots) have been launched as an important new way of creating multiple environmental benefits. In order to learn from the past and contribute to the further development and performance improvement of GEF programming, the IEO plans to conduct an evaluation of GEF experiences with programmatic approaches. The evaluation would explore issues pertaining to process effectiveness and efficiency as well as the contributions to global environmental benefits. The evaluation would be started in FY16.

### **Midterm Review of Integrated Programs**

12. The GEF is piloting three integrated programs that seek to produce multiple environmental benefits by working with a broad range of organizations and sectors. The programs aim to support activities in recipient countries that can help them generate global environmental benefits that correspond to more than one global environmental convention or

GEF focal area by tackling underlying drivers of environmental degradation. Following are the three integrated programs, called Integrated Approach Pilots:

- (a) Sustainable Cities Program
- (b) Taking Deforestation out of Global Commodity Supply Chains
- (c) Sustainability and Resilience for Food Security in Sub-Saharan Africa

13. These programs have been added to existing GEF funding modalities and \$160 million has been allocated to them for the GEF-6 period. The “Summary of the Negotiations of the Sixth Replenishment of the GEF Trust Fund” (GEF/C.46/07/Rev.01) notes that an evaluation of the integrated programs “will be conducted and completed by the end of GEF-6.” To provide feedback for negotiations for the seventh replenishment of the GEF, the midterm review of the integrated programs will need to be completed by August 2017. However, by that time, implementation of only a few of the activities supported by the programs will have started and information on the results of these activities is unlikely to be available. The midterm review will therefore focus on the start-up of the programs, their uptake by the target group, and the process through which they are being implemented. The midterm review will also look at the links to the conventions and assess the relevance of the pilots to convention guidance. Where possible, the review will provide feedback on the quality of the activities being designed under the programs and the lessons that may be learned.

#### **ADDRESSING DRIVERS OF GLOBAL ENVIRONMENTAL CHANGE**

14. The GEF 2020 Strategy and GEF-6 programming are based on the concept of the GEF addressing the drivers of global environmental change instead of tackling the symptoms. The IEO needs to evaluate and generate lessons from GEF operations that can inform this new strategy.

15. Evaluations assessing whether the GEF has addressed the drivers of global environmental change in its programming would be conducted through clusters of GEF projects addressing a common set of concerns. Depending on the issues or concerns, these evaluations would be scaled at the country, regional, or global level. They will build on the experience of impact evaluations and CPEs. Impact evaluations have been conducted since 2007 and have focused on GEF support to transformation at the country, regional, and global scales. CPEs have been conducted since 2006 in all GEF geographic regions, covering large, medium, and small portfolios as well as diverse ones in terms of focal area and GEF Agency composition.<sup>4</sup> Joint impact evaluations and CPEs have also been conducted with the independent evaluation offices of the GEF Agencies. Evaluations of the extent and forms in which GEF support has addressed drivers of environmental degradation will seek to draw lessons relevant to GEF 2020 strategic priorities. These evaluations will explicitly indicate the extent to which the activities being evaluated were designed to address drivers, so as not to unfairly hold those activities to standards to which they were not designed to meet.

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<sup>4</sup> The ongoing three CPEs of GEF-5 will bring the total number of completed CPEs to 27 by the end of 2015.



## **Joint Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems**

16. This evaluation was designed to assess GEF global support to biodiversity conservation through protected areas. As such, it adopted a comprehensive approach, which seeks to assess the extent of the impact of GEF support as well as the conditions, pressures, and drivers affecting biodiversity conservation. The evaluation was begun during GEF-5 and will be completed and reported on to the Council during FY16. Its main objective is to assess the impact of GEF support to biodiversity conservation through support of protected areas and protected area systems. It evaluates the extent to which GEF strategies, programs, and interventions have been able to reduce pressures and address drivers affecting biodiversity. The evaluation also assesses the extent and ways in which GEF support has enhanced species and habitat protection and has supported restoration and enhanced capacities for biodiversity conservation through protected areas. The evaluation's focus is on interventions that are in line with the GEF-5 Biodiversity Strategy Objective 1 to improve the sustainability of protected area systems. The IEO and the UNDP Independent Evaluation Office are jointly undertaking this impact evaluation.

17. Phase 1, undertaken in FY13 and the first part of FY14, provided an initial analysis of the impacts of GEF support through the analysis of global time-series data on species populations, change in the management effective tracking tool scores, and terminal evaluations. Findings on the availability of METTs and monitoring arrangements for impact at project completion were reported as part of OPS5 in November 2013. Phase 2 provides more in-depth analyses of factors contributing to or hindering biodiversity conservation in protected areas. These analyses have been done by looking at correlations between biodiversity-related results and factors at the global portfolio, country, and protected area levels.

### **Strategic Country-Level and Cluster Evaluations**

18. The SCCEs are introduced with the specific objective of assessing the multiple benefits of GEF support and whether GEF projects and portfolios in countries have addressed and are addressing the driving forces of global environmental change. GEF-wide learning from the SCCEs requires selecting countries, regions, and global topics for which there is sufficient experience with GEF programming. It is therefore important to focus the SCCEs on countries and topics that involve a critical mass of projects in GEF-6. Such strategically selected SCCEs will provide lessons for GEF programming, including the new Integrated Approach Pilots.

### **EVALUATING GEF PERFORMANCE**

19. The IEO undertakes performance evaluations to provide feedback on the quality of the GEF portfolio, GEF policies and processes, and monitoring and evaluation (M&E). The evaluations also assess the relevance, efficiency, and effectiveness of GEF-supported activities and processes in delivering expected outputs and outcomes. During the course of the plan period, the IEO will prepare several performance evaluations, many of which are directly related to the GEF 2020 Strategy's operational principles: these include APRs, the evaluation of the Civil Society Organization (CSO) Network, and targeted studies on several performance-related topics such as cofinancing, the activity cycle, resource allocation, nongrant instruments, the effects of the expansion of the GEF partnership, and results-based management.

## **Annual Performance Report**

20. The APR is a feature product of the IEO's performance evaluation work. Based on the information received on completed projects, the APR presents a detailed account of the performance of the GEF portfolio in terms of project results, processes that may affect project results, and M&E arrangements. It also provides feedback on the quality of reporting by the agencies on completed projects. The APR also presents management action records, which track adoption of the Council's decisions across the GEF partnership. Based on the emerging needs of the partnership, the IEO will continue to present targeted studies on various performance-related topics.

## **Evaluation of the Performance of the CSO Network**

21. The IEO will undertake an evaluation to assess the performance and outcomes of the CSO Network in response to the Council's request in its 47<sup>th</sup> meeting. The work will begin with an internal literature review of the history of the creation of the network and its engagement with the GEF partnership, as well as external review of models and processes for CSO engagement with international financial institutions. Based on the findings of the literature review, the Office will develop an approach paper to guide the CSO Network evaluation, detailing methods and issues to be assessed including the network's performance, effectiveness, relevance, and efficiency in promoting public involvement. The evaluation will assess network performance in the context of other forms by which the GEF engages with civil society. It will require wide-ranging consultations across the GEF partnership as well as intensive efforts to gather evaluative evidence from a variety of data sources and stakeholders. The evaluation will be undertaken early in GEF-6 with a view of presenting it to the Council at its June 2016 session.

## **LDCF/SCCF Annual Evaluation Reports**

22. The LDCF/SCCF AERs during FYs 2016–19 will assess completed projects using information from terminal evaluations. As the LDCF/SCCF portfolio matures, the submission of an increasing number of terminal evaluations will permit more detailed assessment of the portfolio's performance including project results, processes that may affect project results, and M&E arrangements. The AERs will also present management action records to track adoption of the LDCF/SCCF Council's decisions across the GEF partnership. AERs will also report on other assessments and special studies during FYs 2016–19, in line with the LDCF/SCCF strategic programming pillars. Currently the AER includes innovative approaches, gender mainstreaming and women's empowerment, and lessons learned and good practice. Potential additional topics to be reported on are multi-trust fund projects and LDCF/SCCF thematic programming priorities.

23. The IEO will also report on updates of the 2009 Joint LDCF evaluation and the 2011 SCCF evaluation in the AER. The LDCF evaluation update will take place in FY16, following up on earlier evaluative work of the LDCF. It will provide evaluative evidence on the progress towards LDCF objectives, as well as the major achievements and lessons learned from LDCF implementation of more than 15 years. The SCCF evaluation update will be undertaken in FY17. The number of SCCF projects has increased considerably since the last SCCF program evaluation. The update will provide evaluative evidence on the progress towards SCCF objectives as well as the major achievements and lessons learned from SCCF implementation of

more than 15 years. The evaluation will follow up on the conclusions and recommendations of the 2011 SCCF evaluation and will provide inputs to the ongoing process of reshaping the architecture of climate finance.

## **COMPREHENSIVE EVALUATION OF THE GEF**

24. In OPS5, the IEO proposed that the Overall Performance Studies be renamed Comprehensive Evaluations of the GEF. This is justified on the grounds that the OPSs are evaluations that utilize advanced methodologies and build on independent evaluations conducted by the IEO. While performance-related concerns continue to be addressed, with greater maturity of the GEF portfolio and an increasing cumulative body of work, impact-related issues are now given more attention, including topics related to the drivers of environmental degradation, multiple benefits, and integrated programs. Their scope also goes beyond mere performance issues. Since OPS4, the evaluations have reported on the results and impact of the GEF. The Comprehensive Evaluation conducted towards the end of GEF-6, however, would be considered the sixth in the series of overall evaluations of the GEF.

25. It is proposed that the Sixth Comprehensive Evaluation (CEG6) will have as its overarching theme *GEF in the Changing Environmental Finance Landscape*. It would focus specifically on GEF strategies and approaches, as well as its relevance and performance and demonstrated strengths in the changing environmental finance architecture. As GEF-6 and the GEF 2020 Strategy emphasize integrated approaches, the Comprehensive Evaluation would aim to examine this strategy and its validity in view of the GEF's mandate to produce global environmental benefits. The entire IEO work program has been designed so that multiple evaluations can be brought to bear to shed light on these strategic questions, including the Joint Impact Evaluation of GEF Support to Protected Areas and Protected Area Systems, and the evaluation of multiple benefits in the GEF; the evaluation of programmatic approaches; the midterm review of integrated programs; the Joint GEF-UNDP Evaluation of the Small Grants Programme (presented to the Council in June 2015); and the SCCEs.

26. Adaptation to climate change will be included in the CEG6 through various channels. It will bring in evaluative evidence from all of the above evaluations, in particular the substudy on GEF approaches to climate finance, as well as the program evaluations of LDCF and SCCF.

27. The Sixth Comprehensive Evaluation of the GEF would also bring in evaluative evidence from important performance and process evaluations, including the APRs, the evaluation of the expanded GEF partnership, the evaluation of the CSO Network, and experiences from the new private sector modality and nongrant financing. The evaluation will also update the Midterm Evaluation of the System for Transparent Allocation of Resources (STAR) carried out as part of OPS5. Importantly, the Comprehensive Evaluation will report on gender mainstreaming in the GEF against the OPS5 review of the 2011 GEF Policy on Gender Mainstreaming and a review of the Gender Equality Action Plan approved by the Council in November 2014.

28. With the passage of time, the GEF portfolio has matured. As a result, there has been a steady increase in the number of projects that are completed each year. From about 40 terminal evaluations submitted per year in 2004–05, the number of terminal evaluations submitted by the Agencies has increased to about 160 in 2013–14. The cumulative number of terminal evaluations has increased from 108 in 2004, when the Office first began tracking terminal evaluations, to 918 in 2014. The large pool of terminal evaluations that are now accessible provide opportunities for the IEO to prepare deeper analyses and to uncover new patterns and relationships. However, given the increase in annual terminal evaluation submissions and the growth in the cumulative number of terminal evaluations, more resources will be required to undertake these analyses.

## **POLICY, GUIDANCE, AND METHODOLOGICAL DEVELOPMENT**

### **GEF M&E Policy**

29. Given the evolving nature of the GEF partnership—notably including the expansion of the number of GEF Agencies—there is a need to review and update the GEF M&E Policy. This revision will also take into account the role of the LDCF/SCCF and their relationships to the GEF.

### **Terminal Evaluation Guidelines**

30. The IEO issues terminal evaluation guidelines to provide the GEF partner Agencies with guidance on the preparation of terminal evaluations. These guidelines cover topics including, but not restricted to, the purpose and scope of terminal evaluations, roles and responsibilities, and communication with the IEO. Since the Office last issued terminal evaluation guidelines in 2008, there has been progress in several areas. The IEO now gives greater attention to concerns related to gender and to reporting on progress to impact. Similarly, the GEF M&E Policy of 2010 includes a minimum requirement on the engagement of operational focal points. These developments make it necessary for the terminal evaluation guidelines to be updated.

31. The Office has adopted a consultative approach to the update of the guidelines. Since 2013, it has been consulting with the partner Agencies on how the present guidance may be improved. While there is broad agreement on most of the issues, there is some disagreement on the extent to which reporting on progress to impact could be made mandatory given that the M&E Policy does not include reporting on impact as part of its minimum requirements. This bottleneck may be addressed through the incorporation of appropriate language in the new M&E Policy. During the four-year plan period, the Office will finalize the new terminal evaluation guidelines, keeping in mind the minimum requirements stipulated in the upcoming M&E Policy.

### **Impact Evaluation Guidelines and Handbook**

32. A framework for a theory of change on GEF initiatives was developed as part of the impact evaluation of GEF support to the South China Sea and adjacent areas. The current framework emerged as a result of lessons learned from that and previous evaluations, and was further refined through consultations with the GEF Secretariat and the findings of subsequent evaluations. Since 2012, the framework has been used to evaluate the relevance of the GEF-5 focal area strategies; progress made toward impact of a portfolio of almost 500 projects; the relevance of the GEF portfolio in specific countries; and the results of GEF support and factors

affecting impact in international waters, climate change mitigation, and biodiversity at the regional, country, market, and site scales. To make the framework more useful both as a tool for evaluation and as a means of communicating evaluation findings, the IEO seeks to further develop the framework with broader stakeholder participation and wider dissemination through the publication of a handbook explaining its use. This handbook builds on the Review of Outcomes to Impact (ROtI) methodology that was developed by the IEO in 2010, and is meant to provide an approach to assessing impact that can be used to develop methodologies appropriate to each evaluation.

33. This handbook will present “how to” guidelines and examples of the Office’s approach to assessing impact. Building on the ROtI handbook, it will highlight the use of a dynamic theory of change framework to generate and test hypotheses on the extent to which development activities contribute to long-term impacts. It will include conceptual and practical tools focused on assessing environmental and socioeconomic changes resulting from GEF support, investigating the mechanisms and causal pathways that have led to these changes, identifying the factors that affect progress toward impact, and assessing the GEF’s role in these transformations. The drafting of the handbook will be used as an opportunity to interact with the GEF Secretariat and Agencies to obtain their inputs in order to develop a handbook with high utility for both operations and evaluation.

### **Guidance on Evaluating Gender in GEF Programming**

34. During GEF-6, the IEO will continue its work on methodological development to include dimensions of gender equality in evaluations, the GEF M&E Policy, and guidelines. Approach papers for major IEO evaluations will integrate gender standards and principles in the evaluation methodology and process. Gender dimensions will be incorporated into the GEF M&E Policy and the terminal evaluation guidelines when they are revised, as well as in new guidelines. The IEO will also report annually to the United Nations System-Wide Action Plan on Gender Equality and Empowerment of Women (UN-SWAP) on the level of integration of gender in its evaluations.

35. Assessment of gender mainstreaming in the GEF will be included in the Sixth Comprehensive Evaluation of the GEF. The IEO will assess progress in implementation of the 2011 GEF Policy on Gender Mainstreaming since OPS5 and a review of the Gender Equality Action Plan approved by the Council in November 2014.

### **Participation in GEF Secretariat Working Groups**

36. During GEF-5, the IEO participated in several working groups convened by the Secretariat. These working groups covered topics such as cofinancing, gender, the activity cycle, greenhouse gas emissions avoidance benefit measurement, the STAR, and results-based management. The IEO participates in these working groups to ensure the utility of its evaluations by making evaluative evidence available to these groups; providing clarifications on data sets, findings, and conclusions; and pointing out the limitations of the work. During GEF-6, the IEO will participate in working groups at the Secretariat’s request and in a role consistent with the IEO mandate and independent status.

## **KNOWLEDGE MANAGEMENT, LEARNING, AND EVALUATION UTILIZATION**

37. Knowledge management and communication are integral parts of the IEO's work, as they support the use of evaluations. During GEF-5, the IEO further expanded the knowledge management work initiated during GEF-4, including via standardized publications, Signposts, webinars, multimedia, infographics, enhancement of the IEO website, and piloting of new communication approaches and ways to engage stakeholders from the start-up of evaluations through the evaluation data-gathering and analysis phase and including online consultation platforms. During GEF-6, the IEO will focus on mainstreaming knowledge management in its evaluations, where appropriate, to increase their utility for the GEF Council and a wider range of stakeholders.

38. The work will begin with a knowledge management needs assessment to determine the current level of use of IEO products, collect information on the most appropriate and preferred communication formats, and identify priorities and topics for future learning products. Based on the findings of the needs assessment, the IEO will develop a knowledge, learning, and communications strategy for GEF-6 and innovative products and approaches for knowledge dissemination and learning. To mainstream knowledge management, every IEO evaluation will have a knowledge management and communication plan to engage stakeholders at key points during and after the conduct of the evaluation, to the extent possible. Stakeholders will be informed and engaged through products such as briefs, webinars, multimedia, infographics, and publications of evaluations in line with the findings of the knowledge management assessment. In implementing the knowledge strategy, the IEO will work in close collaboration with the GEF Secretariat, GEF Agencies, evaluation offices and units of GEF Agencies, the Scientific and Technical Advisory Panel, and other partners. The development of joint learning activities and products will be explored, such as common theme knowledge products.

39. Regarding the technical aspects related to knowledge management and communications, for GEF-6 the IEO will continue its focus on identifying new online trends and updating the capabilities of our websites (GEF IEO and Climate-Eval). Also, we will be working on the improvement of our file system using a combination of tools that allow external (client and stakeholder) and internal (office staff) collaboration to improve the exchange of information, contributing to a dynamic evaluation process.

40. For the Sixth Comprehensive Evaluation of the GEF, the IEO will explore the possibility of developing lessons learned products summarizing evaluative evidence across evaluations on themes related to key priorities of GEF-6 and GEF 2020. The IEO will also carry out an assessment of knowledge management in the GEF including a review of the GEF-6 knowledge management strategy and work plan of the GEF Secretariat.

## **PARTICIPATION IN GEF MEETINGS AND EVALUATION NETWORKS**

41. The IEO has always served as a source of information and resources to the Council, government focal points, and stakeholders in general. For that reason, the Office will continue developing instructional and learning products to facilitate the dissemination of lessons learned from its evaluations. At the same time and in coordination with the GEF Country Support

Program, the IEO will develop new training materials to be distributed during the Extended Constituency Workshops.

42. The IEO is aware of the importance of being a part of the general dialogue within the global evaluation community. During GEF-6, the Office will maintain an active role in the UN Evaluation Group and the Evaluation Cooperation Group of the international financial institutions. Other relevant networks include the Results, Measurement and Evidence Stream of the World Bank Group and the International Development Evaluation Association. Also, the Office will continue to maintain close interaction with universities and research institutes on specific methodological and analytical work, both for the benefit of its evaluations and in order to remain at the forefront of evaluation approaches in the multilateral world.

### **SPECIAL INITIATIVES**

43. Special initiatives of the Office are financed through voluntary funding outside the budget approved by the Council and are managed by staff financed by that funding. The Special Initiatives Trust Fund of the Office was set up with the approval of the Council in 2006.

### **Climate-Eval Community of Practice**

44. The IEO has been hosting Climate-Eval, a community of practice on the evaluation of climate change and development since 2008. This initiative is aimed at establishing a virtual network in which practitioners active in climate change and development evaluation can exchange, access, and solicit current information related to effective evaluation practices in this rapidly evolving field. Climate-Eval contributes to building capacity among evaluation practitioners through the identification of best practices and lessons learned, and the development of indicators and guidelines for climate change projects and programs.

45. Currently, the Office is conducting an internal review of Climate-Eval to assess to what extent the original objectives have been reached and how much of an impact Climate-Eval has had in the evaluation community, and which areas need to be improved. It is important to highlight the importance of Climate-Eval as a public place where individuals, international organizations, civil society organizations, academic institutions, and the private sector can discuss and learn about key issues related to climate change and development evaluation. During GEF-6, it is expected that the community of practice will expand its focus on climate change to include natural resource management.

### **Evaluating Sustainable Development and Natural Resource Management**

46. The IEO plans to join forces with leading evaluation organizations to form a working group to convene a workshop representing all key interests in the evaluation of sustainable development and natural resource management. Participants would include the evaluation and environmental communities, donor and other agency interests, civil society, and philanthropy. The key questions to be addressed at the workshop will include: (1) What are the characteristics of evaluating sustainable development and natural resource management that distinguish them from evaluation in other domains? (2) Are new or enhanced approaches or methods needed for

evaluation (summative, formative, and developmental), and what are the options for addressing these? (3) What is the level and distribution of current capacity across the globe to evaluate sustainable development and natural resource management, including what incremental capacity would be required and the options for addressing such a shortfall? The results of the workshop will be published and will focus on options for strategies to address identified gaps in capacity and in approaches and methods.

#### **4<sup>th</sup> International Conference on National Evaluation Capacities**

47. The IEO intends to join the UNDP Independent Evaluation Office, the International Development Evaluation Association and other partners at the 4<sup>th</sup> International Conference on National Evaluation Capacities to be held in Bangkok, October 2015. The overall objectives of these biennial conferences are to (1) share experiences, challenges, and solutions from program countries with national M&E systems, including countries that may be considering creating one; (2) identify lessons and challenges in implementing national M&E systems and the use of evaluation; and (3) identify supply and demand for technical assistance in strengthening institutional capacity for national M&E systems under the umbrella of South-South and triangular cooperation. Participation in the conference is relevant and important to the IEO as we move increasingly to utilizing and building upon national capacities and systems to conduct independent evaluations. The Office will lead a specific workshop on evaluating global environmental programs at the 2015 conference.

#### **ESTIMATED BUDGETS FOR THE IEO DURING GEF-6**

48. The approved budget for the IEO for the GEF-6 replenishment period is \$19.0 million. The estimated annual budgets and multiannual budgets for the IEO are shown in table 1. As in previous years, the budget follows the standards applicable to evaluation offices in multilateral agencies. The IEO work program has been tailored so that the approved budgets will allow for an effective and efficiency delivery of the proposed evaluations. The annual budget includes fixed costs on salaries and general operations; the variable costs include allocations for participation in networks, a larger and focused knowledge management initiative, and professional development. The multiannual budgets include the costs of consultants, travel, and miscellaneous expenses. As the evaluations will be all led by IEO staff utilizing in-house human resources to the extent possible, staff cost will be charged directly to the individual evaluation budgets via the World Bank time recording system.



Table 1

<i>Estimated Budgets - GEF6 (thousand \$)</i>					
<i>Fixed Costs</i>	<i>FY16</i>	<i>FY17</i>	<i>FY18</i>	<i>FY19</i>	<i>Total</i>
<i>IEO Evaluators Team- Salaries/Benefits</i>	1,845	1,785	1,889	1,928	<b>7,447</b>
<i>IEO Staff Support to Evaluations- Salaries &amp; Benefits</i>	759	992	1,116	1,156	<b>4,023</b>
<i>Total Salaries and Benefits (A)</i>	2,604	2,777	3,005	3,084	<b>11,470</b>
<i>General Operations Costs (B)</i>	450	470	490	510	<b>1,920</b>
<i>Total (A+B)</i>	3,054	3,247	3,495	3,594	<b>13,390</b>
<i>Variable Costs</i>					
<i>Professional Development</i>	60	60	60	60	<b>240</b>
<i>Participations in Networks</i>	40	40	40	40	<b>160</b>
<i>IEO Management Operations</i>	50	55	60	65	<b>230</b>
<i>Knowledge Management</i>	30	30	40	40	<b>140</b>
<i>Total (C)</i>	180	185	200	205	<b>770</b>
<b><i>Total Annual Budget (A+B+C)</i></b>	<b>3,234</b>	<b>3,432</b>	<b>3,695</b>	<b>3,799</b>	<b>14,160</b>
<i>Evaluations</i>					
<i>Protected Areas</i>	100				<b>100</b>
<i>Civil Society Organizations Network</i>	200				<b>200</b>
<i>Multiple Benefits</i>	325	325	75		<b>725</b>
<i>Programmatic Approaches</i>	250	250	25		<b>525</b>
<i>Integrated Programs</i>	250	250	175		<b>675</b>
<i>Strategic Country Level and Cluster Evaluations</i>	200	500	375		<b>1,075</b>
<i>Sixth Comprehensive Evaluation of the GEF</i>		500	400	40	<b>940</b>
<i>Annual Performance Report</i>	150	150	150	150	<b>600</b>
<b><i>Total Evaluations Budget (D)</i></b>	<b>1,475</b>	<b>1,975</b>	<b>1,200</b>	<b>190</b>	<b>4,840</b>
<b><i>Total IEO Budget GEF-6 (A+B+C+D)</i></b>	<b>4,709</b>	<b>5,407</b>	<b>4,895</b>	<b>3,989</b>	<b>19,000</b>

## IEO Total Budget for GEF-5

49. The approved GEF-5 budget of \$18.5 million is estimated will be fully executed. Table 2 shows how the budget was disbursed over the four-year period of GEF-5. The Office operates under strict budget controls to maximize the use of the allocated funds, allowing the timely delivery of the approved work program.

Table 2

<b>Budgets for GEF-5 (thousand \$)</b>					
	<b>FY12 (Actuals)</b>	<b>FY13 (Actuals)</b>	<b>FY14 (Actuals)</b>	<b>FY15 (Estimates)</b>	<b>TOTAL</b>
<b>Annual Budget</b>					
Staff cost	<b>2,166</b>	<b>2,200</b>	<b>2,595</b>	<b>2,533</b>	9,494
Operations cost	<b>363</b>	<b>410</b>	<b>430</b>	<b>440</b>	1,643
Management & Advisory Support	<b>62</b>	<b>29</b>	<b>113</b>	<b>70</b>	274
Publications	<b>56</b>	<b>45</b>	<b>27</b>	<b>40</b>	168
Networks	<b>86</b>	<b>49</b>	<b>77</b>	<b>82</b>	294
<b>Subtotal (A)</b>	<b>2,733</b>	<b>2,733</b>	<b>3,242</b>	<b>3,165</b>	<b>11,873</b>
<b>Multi-annual Budget</b>					
<i>Country Performance Evaluations</i>	566	535	380	580	2,061
<i>Impact</i>	331	216	427	250	1,224
<i>Thematic</i>	225	280	1,085	100	1,690
<i>Performance</i>	145	369	340	175	1,029
<i>Knowledge Management</i>	196	176	92	159	623
<b>Subtotal (B)</b>	<b>1,463</b>	<b>1,576</b>	<b>2,324</b>	<b>1,264</b>	<b>6,627</b>
<b>Total (A+B)</b>	<b>4,196</b>	<b>4,309</b>	<b>5,566</b>	<b>4,429</b>	<b>18,500</b>

## **IEO Staffing**

The IEO is starting GEF-6 with a total of 14 permanent staff and 5 Extended-Term Consultants (Table 3).

<b>Table 3. IEO Staff FY-16</b>	
<b>1</b>	Director
<b>1</b>	Chief Evaluation Officer
<b>4</b>	Senior Evaluation Officer
<b>1</b>	Senior Operations Officer
<b>2</b>	Evaluation Officer
<b>1</b>	Knowledge Management Officer
<b>1</b>	Research Assistant
<b>1</b>	Senior Program Assistant
<b>1</b>	Program Assistant
<b>1</b>	Junior Professional
<b>5</b>	Extended-Term Consultant